

Guidance for Applicants:

Humanitarian, Development, Peacebuilding and Partnership Facility

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# Background

Creating sustainable development solutions for countries affected by crisis, conflict, and violence is a global responsibility. More than one billion people have lifted themselves out of poverty in the past 15 years, but risks from both natural and human-caused crises threaten these hard-won gains. The changing nature of crisis has contributed to an increasing awareness of the need to look beyond linear approaches to crisis response, relief and recovery, and leverage resources, capacities and mandates across international tools and multilateral organizations.

For many stakeholders, this evolving landscape underscores the complementarity of the United Nations (UN) and World Bank Group (WBG) in mitigating the risks of crisis, building resilience to its impact, and enabling sustainable recovery. The UN remains today the pre-eminent multilateral institution focused on crisis response and recovery. With an annual budget of over $48 billion and responsibilities in the coordination of humanitarian relief and the delivery of multilateral responses to regional and international insecurity, the UN today manages over 80% of international peace and security operations and 50% of Humanitarian aid. The World Bank’s record $75 billion commitment under the International Development Association’s (IDA) 18th replenishment and the doubling of resources for countries affected by FCV to $14,4 billion[[1]](#footnote-1), has confirmed it as one of world’s largest development financiers, and marked a strategic shift towards making reducing the risk of fragility and conflict as a top development priority.

The complementary mandates and capacities of the two organizations, has been demonstrated through collaborations on complex global challenges such as joint responses to the Ebola epidemic in 2014-2015, the forced displacement resulting from the Syria regional crisis and the risk of Famine in Eastern Africa in 2018.

Recognizing this complementarity, the UN is establishing a **Humanitarian, Development, Peacebuilding and Partnership (HDPP) Facility** within the Peacebuilding Fund to catalyze greater partnerships between the UN and the World Bank Group in Crisis-Affected situations.

## Justification

Engagement between the UN and the World Bank remains a policy and strategic priority across the pillars of the UN.

* At the **World Humanitarian Summit**, former UN Secretary-General Ban Ki-moon and the heads of UNICEF, UNHCR, WHO, OCHA, WFP, FAO, UNFPA and UNDP, with the endorsement of the World Bank and the International Organization for Migration, adopted the Commitment to Action on the New Way of Working to Transcend Humanitarian and Development Divides. The Commitment to Action itself defines the new way of working as working towards collective outcomes across the UN system and the broader humanitarian and development community. To overcome long-standing attitudinal, institutional, and funding obstacles, it commits the signees to work over multi-year timeframes (recognizing the reality of protracted crises) and supporting “collective outcomes” aiming to contribute to longer-term development gains, in the logic of the SDGs.
* Within the **UN Development System** the partnership is highlighted as one of the areas for action in the General Assembly Resolution 67/226 on the 2012 GA Quadrennial Comprehensive Policy Review of operational activities for development of the United Nations System (QCPR). Paragraph 104 and 105 respectively “Encourages the United Nations system and the Bretton Woods institutions to continue strengthening their efforts to improve coordination with regard to the transition from relief to development, including, where relevant, the development of joint responses for post-disaster and post-conflict needs assessments, programme planning, implementation and monitoring, in full consultation with affected Member States, including funding mechanisms, in order to deliver more effective support and to lower transaction costs for countries in transition from relief to development”. This was further underscored in the recent QCPR resolution A/71/468/Add.1 adopted in 2016.
* With the UN **Peace and Security pillar**, the partnership is recognized through the General Assembly and Security Council resolutions on the Review of the United Nations Peacebuilding Architecture (A/RES/70/262 and S/RES/2282 (2016)), “Requests the Secretary-General to explore options for strengthening the United Nations–World Bank collaboration in conflict-affected countries in order to: (a) assist such countries, upon their request, in creating an enabling environment for economic growth, foreign investment and job creation, and in the mobilization and effective use of domestic resources, in line with national priorities and underscored by the principle of national ownership; (b) marshal resources, and align their regional and country strategies, to promote sustainable peace; (c) support the creation of enlarged funding platforms bringing together the World Bank Group, multilateral and bilateral donors and regional actors to pool resources, share and mitigate risk, and maximize impact for sustaining peace; (d) enable and encourage regular exchanges on priority peacebuilding areas.” ([A/RES/70/262 and S/RES/2282](https://www.un.org/press/en/2016/sc12340.doc.htm)).

Responding to these calls the UN Secretary-General[[2]](#footnote-2) and World Bank President signed a **UN-WB Partnership Framework for Crisis-Affected Situations** on 22 April 2017.[[3]](#footnote-3) This framework highlights a joint commitment to reducing needs, risks, and vulnerability, contributing to the 2030 Agenda and efforts to leave no one behind. The framework identifies four areas of operational collaboration:

• Identify and reduce critical multi-dimensional risks of crisis, and prevent violent conflict in relevant countries or regions within the mandate of both institutions;

• coordinate support for situations of protracted crisis, including aligning strategies, objectives and collective outcomes, in particular for populations affected by forced displacement, and based on joint analyses and assessments;

• develop joint analyses and tools where the complementarity of mandates may enable more effective solutions; and

• scale up impact, by leveraging existing financing and comparative advantages, and ensuring that operational policies, frameworks, and tools used by both organizations facilitate cooperation and improve efficiency and complementarity.

This framework builds on almost a decade of efforts to strengthen collaboration in crisis-affected situations, and updates an earlier framework signed in 2008. The Partnership Framework will be monitored by a joint **UN-WB Steering Committee on Crisis-Affected Situations**, focused on setting joint strategic priorities around prevention; protracted crisis; forced displacement; and countries at risk. This Partnership Framework also contributes to the **UN-WB Strategic Partnership Framework for the 2030 Agenda** signed on 18 May 2018, which also underscores the joint work in post-crisis and humanitarian settings as one of the four priorities.

Implementation of this agreement has been advanced by noteworthy progress in the last year, including through the joint publication of ***Pathways for Peace: Inclusive Approaches to Preventing Violent Conflict***, the development of the ***Famine Action Mechanism***, the launch of a ***UN-WB Humanitarian-Development-Peace Initiative (HDPI)*** and continued advancements on the issue of ***forced displacement***.[[4]](#footnote-4) Further priorities and monitoring are undertaken by a joint UN-WB Steering Committee for Crisis-Affected Situations.

# Objective

The HDPP Facility will support implementation of policy commitments across the Humanitarian, Development, Peace nexus by enabling the UN to leverage partnerships and increase impact in efforts to “build resilience of the most vulnerable people, reduce poverty, enhance food security, promote shared prosperity, and sustain peace” (UN-World Bank Partnership Framework for Crisis-Affected Situations 2017)

This will be done through the provision of grant financing and advisory and technical support to UN Resident Coordinators, Agencies, Funds and Programmes and peace operations in support of the establishment and implementation of joint frameworks with the World Bank in crisis-affected situations. Joint frameworks can be sectoral or strategic but should identify joint priorities or outcomes against which the UN, WB and partners can leverage existing instruments (e.g. PBF, IDA, CERF) to achieve greater impact across the humanitarian, development and peace nexus.

The overall outcome statement of the HDPP Facility is “UN programmes and projects leverage partnerships and increase impact in efforts to build resilience of the most vulnerable people, reduce poverty, enhance food security, promote shared prosperity, and sustain peace.”

# Scope

Noting 10 years of experience in bringing the World Bank and UN together, joint analysis and assessment and setting joint strategic objectives remains the most efficient way to bring about concerted efforts of the UN and the World Bank.

The HDPP facility will provide technical and advisory support and grants to UN entities:

## Technical and Advisory Support

In many circumstances, technical and/ or advisory support may be beneficial in developing joint proposals. Such support may come from multiple sources, drawing on the different tools and guidance developed by the UN and WB over recent years (see below) the HDPP secretariat can often advise on where such expertise lies in the system. These different tools represent areas of knowledge development and alignment between the UN and World Bank, ranging from support to governance in conflict-affected settings, to alignment of risk and resilience analysis between the UN and the World Bank.

Mission support can also be requested from the HDPP secretariat, which may dispatch experts and relevant HQ or regional partners from across the nexus. The HDPP facility is managed by a senior technical advisor in the Peacebuilding Support Office on behalf of the UN system. The advisor will take primary responsibility for liaison with the WBG’s Fragility, Conflict and Violence Group, and will work in close consultation and coordination with dedicated focal points within the humanitarian and development communities.

The HDPP team can help ensure that in-country UN staff have access to the necessary guidance, expertise and support (in-country or remote) to develop effective partnership activities and strategies with the World Bank Group across the humanitarian-development-peacebuilding nexus. The same modality of support can be offered at regional level with similar processes to the country level support.

## HDPP Grants

The HDPP facility will provide grants of $100,000 – $400,000 to be implemented within 18 months. to cover the costs of analysis, assessment, planning and capacity required to develop and implement joint strategic/sectoral priorities or projects defining collective outcomes between the UN and World Bank Group – across the humanitarian, development and/or peacebuilding nexus.

**Grants to country operations** will focus on joint analysis and priority setting, joint assessment and planning, joint project preparation, including seed funding; joint lessons learned and guidance/ capacity development, and technical assistance / staffing support. Grants can cover mission travel; event planning and executions; consultant support; additional staffing; secondments; software or hardware related to project implementation.

**On exceptional basis grants can be provided to headquarters units,** to focus on the development of joint innovative thematic and operational knowledge, capacity and guidance to support country operations. Joint operational and thematic tools enable partnerships and are assessed to be “catalytic […] across both institutions” according to the 2016 Portfolio Review of the UN-World Bank Fragility and Partnership Trust Fund.

* Applications to be submitted by the resident coordinator or DSRSG;
* Under PBSO management UNOPS operates the grant transfer;
* UNOPS holds the fiduciary responsibility and will
  + transfer grant (project budget) to the bank account of the UN agency awarded as grantee;
  + obtain grant disbursement data from grantees;
  + and in coordination with the HDPP Secretariat and grantees, provide a report on the disbursement rate of fund for all grants every six months.
  + Provide final financial report at the closure of the grant or respective project.

Grants should be aligned with the [2017 UN-World Bank Partnership Framework for Crisis-Affected Situations](https://www.agendaforhumanity.org/sites/default/files/resources/2018/May/un-wb_partnership_framework_for_crisis-affected_situations_signed_22_april_2017.pdf)[[5]](#footnote-5), and country priorities of the United Nations and World Bank. Requests for funding that align with the United Nations strategic priorities, for example, the conclusions of the Joint Steering Committee (JSC) for Humanitarian-Development collaboration, or the priorities of the Secretary-General’s Executive Committee, will be given preference.

# Output Areas

The Facility has three output areas:

## Output 1: Improving data, joint analysis and developing the evidence base for programming

The HDPP will support country managers to establish a common understanding of risks, needs, gaps and existing capacities through sharing analysis and pooling of relevant data. Joint data will serve to support the setting joint strategic priorities for the achievement of collective outcomes, but equally the convening of policy dialogue and coordination platforms with national governments and partners. Gender sensitivity and gender disaggregated data will be a requirement for any data and analytical processes supported by the HDPP Facility. Potential examples of support include:

* Establishing a common/shared data system at country level with humanitarian, development, and/or peace actors operating within the same geographical area;[[6]](#footnote-6)
* Conducting a public expenditure review of security and justice sector (UN-WB);[[7]](#footnote-7)
* Based on data gaps, conduct joint UN-WB diagnostics aimed at (re)building and/or strengthening core government functions in fragile and conflict-affected settings;[[8]](#footnote-8)
* Mapping of HDP actors and their activities (i.e. Overlaying OCHA’s 5W (humanitarian action mapping of who is doing what where) with development and security/political actors) to increase synergies and leverage complementarities; and
* Joint risk and resilience assessments leading to a joint understanding of the drivers of conflict and fragility;
* Joint analysis of gender roles in crisis-affected situations;
* Joint analysis of the role of youth in crisis affected countries.

## Output 2: Enabling Joint Assessments and joint planning frameworks

The HDPP will support through advisory capacity and, where required, financing, the development of aligned and/or shared operational planning between the UN and WB. In protracted crises, planning frameworks should be informed by and aligned to collective outcomes that address need, risk and vulnerability across the humanitarian, development and peace spectrum, bringing together priorities across the strategic plans (e.g. UNDAF, Humanitarian Response Plan or Refugee Response Plan, and the Country Partnership Framework), or sectorally, with a focus on delivering specific results on specific sectors. Aligned planning frameworks will work with a multitude of tools currently available – from the revised UNDAF, or Recovery and Peacebuilding Assessments of the EU-UN-World Bank, as well as context specific planning instruments, such as country-based compacts. Potential examples of support include:

* Joint planning through UNDAF, Strategic Assessment Missions, or other planning frameworks;
* Recovery and Peacebuilding Assessments (with WB and EU);
* Establishment of gender strategies and principles for programming;

## Output 3: Design and implementation support to scale up impact

Given the specific challenges of operating in fragile and conflict-affected situations, beyond planning and analysis, catalytic support including targeted technical assistance and seed funding may be needed to achieve desired project results. Project preparation support and operational assistance can be accessed either remotely or in country through stronger collaboration across humanitarian, development, peace actors leveraging each other’s comparative advantages. At times these initiatives require short-term deployment of partnership advisors. This can include specific support to improve gender sensitivity. Potential examples of support include:

* Establishment of joint UN-WB transition teams to identify, design, and implement projects to bridge the gap between the humanitarian, development, peace/security interventions
* Piloting the implementation of activities through joint delivery platforms at country level, which could include catalytic seed-funding;
* Implementation at country level of conflict prevention activities (peace-security-development nexus) involving government, UN or other peacebuilding actors;
* Support governments and national stakeholders to develop and implement prevention strategies; and
* Capacity building of relevant HDP actors to facilitate unblocking of implementation challenges of operating in crises affected situations.
* Adoption of a methodology and systems to allocate 30% of funds to gender equality and women’s empowerment across HDP programming.

# Lessons Learned, Guidance and Tools

At the country level**,** reviews have highlighted that effective partnerships are best enabled through joint analysis, planning towards setting joint strategic priorities and objectives rather than attempt to implement joint projects[[9]](#footnote-9). World Bank and UN staff note that joint implementation modalities – where fiduciary responsibilities are shared – are more “difficult and cumbersome”. In contrast, projects have maximized results when operating within existing operational arrangements and management accountabilities[[10]](#footnote-10) to target collective outcomes. Hence the grants will focus on setting joint strategic priorities for UN and World Bank, rather than enable joint programmes.

**At the global level** four drivers of institutionalization for the UN-WB partnership have been identified:

1. **Political and policy context and events**, where the twin goals of the WB to end poverty and ensure shared prosperity, the normative framework of Sustainable Development Goals, the global migration crisis have produced windows of opportunity for joint UN and WB action on fragility, violence, and conflict.
2. **Consensus on the analysis of the problems and solutions of conflict,** increasingly understood as requiring joined-up responses from the humanitarian, development and peacebuilding communities.
3. **Growing portfolio of joint operational tools**, including joint guidance, tools outlined below and joint governance mechanisms and fora at management level that translate policy to actionable processes.
4. **Expanding number of stakeholders incentivized to work on UN-WB partnership,** to translate policy and knowledge into operations, that in turn set precedents and create new ways to strengthen the partnership.

Against the backdrop of lessons learned, the partnership advisor will consult World Bank HQ colleagues on joint HDPP project in country and will further advise on the strategic positioning of the project.

Resources available on relevant areas of support can be provided upon request:

* **2018 Compendium of Lessons Learned from UN-World Bank Partnership 2008-2018 (forthcoming)**
* **2016 Portfolio Review of the UN-World Bank Fragility and Partnership Trust Fund [upon request]**
* **2018 Monitoring Report of the UN-World Bank Partnership for Crisis-Affected Situations [upon request]**
* **2013 Review of the UN-World Bank Fragility and Conflict Partnership Trust Fund [upon request]**
* [**Website for the UN-World Bank Partnership for Crisis-Affected Situations**](https://www.un.org/peacebuilding/policy-issues-and-partnerships/partnerships/un-worldbank-partnership)
* [**The World Bank Group A to Z**](https://openknowledge.worldbank.org/handle/10986/20192)

## Guidance and Tools

A range of joint guidance and tools developed jointly by the UN and World Bank in recent years, offers practitioners in the field and at headquarter common analytical frameworks between the UN and the World Bank on an expanding set of issue areas:

|  |  |
| --- | --- |
| [(Re)Building Core Government Functions in Fragile and Conflict Affected Settings](https://www.undp.org/content/undp/en/home/librarypage/democratic-governance/core-government-functions/-re-building-core-government-functions-in-fragile-and-conflict-a.html) | Provide governments and donor partners with an overview of the main priorities and actions needed to re-establish core government functions in the immediate aftermath of conflict. It draws on the lessons of international experience to provide a selective synthesis of priority measures likely to be applicable in most countries emerging from violent conflict. It focuses on the first three years after the end of major internal violence when external actors have the mandate or authorization to engage, often through a resolution of the United Nations Security Council. |
| [Security Sector Public Expenditure Reviews](https://elibrary.worldbank.org/doi/10.1596/978-1-4648-0766-4_ch3) | Examines political, economic, security, and military motivations for a defense sector Public Expenditure Review (PER), using case studies that varied in scope and in the application of PER methodologies and public financial management (PFM) principles. |
| [Recovery and Peacebuilding Assessment](http://www.worldbank.org/en/topic/fragilityconflictviolence/brief/recovery-peacebuilding-assessments-faqs) | Recovery and Peacebuilding Assessments (RPBA), previously known as Post-Conflict Needs Assessment (PCNA), are processes to support more effective and coordinated reengagement in countries emerging from conflict or political crisis. RPBAs offer countries a standardized and internationally sanctioned approach to identify the underlying causes and impacts of conflict and crisis, and to help governments develop a strategy for how to prioritize recovery and peacebuilding activities over time. |
| [Post-Disaster Needs Assessment](http://www.undp.org/content/undp/en/home/climate-and-disaster-resilience/disaster-recovery/post-disaster-needs-assessments.html) | The European Union, the UN Development Group, and the World Bank have collaborated on the development of guides for conducting Post Disaster Needs Assessments (PDNA) and for preparing Disaster Recovery Frameworks (DRF). Both guides are based on good practices and experiences from around the world and are intended to coalesce international and local support behind a single, government-led post disaster recovery process. The PDNA Guidelines and the DRF Guide are complementary tools that are designed to avoid the duplication of efforts, streamline the recovery process and provide an evidence base for resource mobilization. |
| [Pathways for Peace: Inclusive Approaches to Preventing Violent Conflict](https://www.pathwaysforpeace.org/) | Pathways for Peace is a joint United Nations–World Bank Group study that originates from the conviction that the international community’s attention must urgently be refocused on prevention. Political actors tend to engage only when the risk of violence is high or violence is already present. Instead, viable, sustained action in support of preventing violence is needed throughout policies and programs. Drawing on case studies and 60 background papers the study offers analytical framework and instructive guidance on the role of women |
| [Forcibly Displaced: Toward a Development Approach Supporting Refugees, the Internally Displaced, and Their Hosts](https://openknowledge.worldbank.org/handle/10986/25016) | The report depicts the reality of forced displacement as a developing world crisis with implications for sustainable growth: 95 percent of the displaced live in developing countries and over half are in displacement for more than four years. To help the displaced, the report suggests ways to rebuild their lives with dignity through development support, focusing on their vulnerabilities such as loss of assets and lack of legal rights and opportunities. It also examines how to help host communities that need to manage the sudden arrival of large numbers of displaced people, under pressure to expand services, create jobs and address long-standing development issues. Critical to this response is collective action. As work on a new Global Compact on Responsibility Sharing for Refugees progresses, the report underscores the importance of humanitarian and development communities working together in complementary ways to support countries throughout the crisis―from strengthening resilience and preparedness at the onset to creating lasting solutions. |
| [Employment Programmes for Peace: A joint statement on an analytical framework, emerging principles for action and next steps](https://www.undp.org/content/undp/en/home/librarypage/poverty-reduction/employment-programmes-and-peace.html) | Research findings point toward a set of emerging principles for action that programme managers and other practitioners may wish to consider in designing and implementing employment programmes that aim to foster peace and stability in conflict-affected countries. The joint statement establishes an analytical framework for how to design employment programmes that support sustaining peace. |
| [Working with the World Bank Group in Fragile and Conflict-Affected Situations: A Resource note for UN Staff](https://undg.org/wp-content/uploads/2016/10/Working-with-The-WBG-1.pdf) | This resource note aims to help United Nations (UN) staff to better understand the World Bank Group (WBG) and work more effectively with it in fragile and conflict-affected situations (FCS). It is an introductory overview that draws on existing guidance and policies, and compiles—but does not substitute for—key resources that should be consulted directly in particular cases. |
| [Working with the UN in Fragile and Conflict-Affected Situations: A Resource note for World Bank staff](http://documents.worldbank.org/curated/en/864441467999126122/pdf/99007-WP-Box393178B-PUBLIC-workingwithUNinfragileandCAsituations.pdf) | This resource note is intended to help World Bank country management units, task team leaders, and other Bank staff better understand their UN partners and options for collaboration. It should be used in conjunction with relevant policies, procedures, and guidance. |

# Monitoring and Reporting Requirements

* All UN entities receiving HDPP grants will be held accountable for the effective use of resources first and foremost in pursuant to their respective established rules and regulations. The main purpose of reporting is to offer evidence, based on data, of progress against results to help with project implementation and learning.
* Whilst grant recipients of the facility will need to keep more detailed records of project implementation and progress in line with their own rules and regulations, HDPP project reports need to be succinct and focused on results.

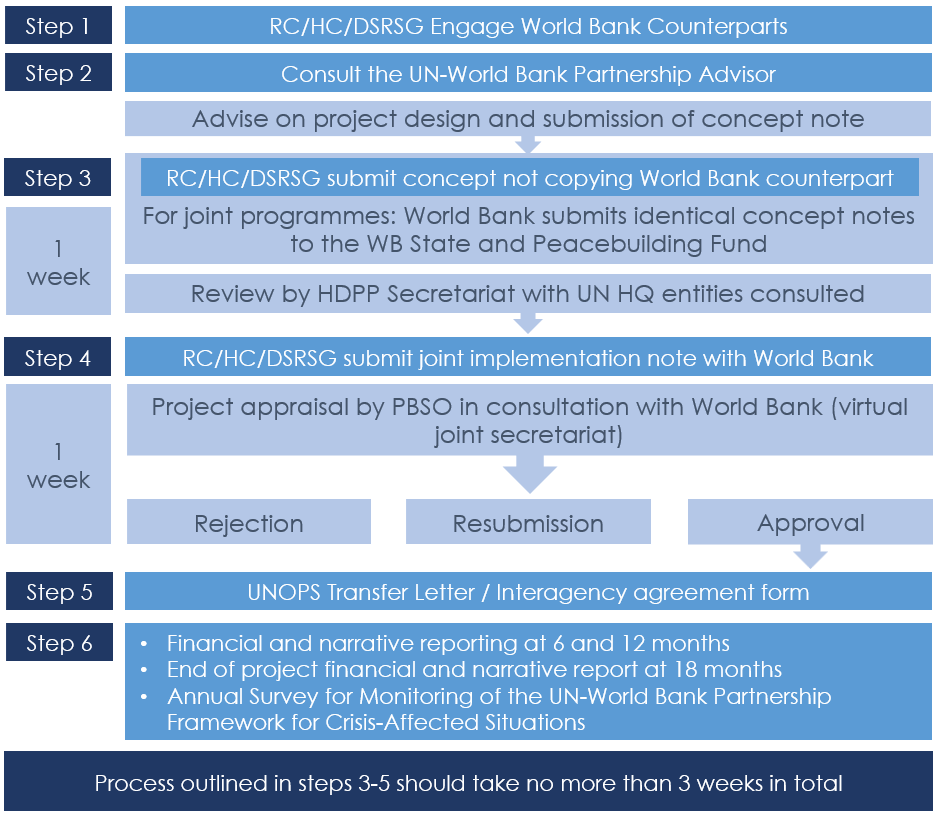
Grant recipients will be expected to report according to the following timetable.

|  |  |  |
| --- | --- | --- |
| Timing | Financial report | Narrative report |
| 6 months | ✓ | ✓ |
| 12 months | ✓ | ✓ |
| 18 months (end of project) | ✓ | ✓ |
| Annual Survey for the Monitoring Report for the UN-World Bank partnership Framework For Crisis Affected Situations | | |

* When providing narrative reports (templates will be provided), all grant recipients will be asked to contribute results to the overall indicators established by the strategic results framework of the HDPP facility and should ensure that data for these results are collected throughout the duration of the project.



# Overview of Application Process



# Step 1: Engage World Bank or partner counterparts

Initiation of a strategic dialogue between country management may take different shape depending on the context and the capacity of the national counterparts to coordinate efforts between development, humanitarian, and peacebuilding partners. However, a range of analytical documents can be used to frame a conversation between the UN, the World Bank and other partners.

* The UN-World Bank [Pathways for Peace](http://www.pathwaysforpeace.org/) study offers countries analysis around strategic assessment and planning for conflict prevention;
* [the Progress Study on Youth Peace and Security](https://www.youth4peace.info/ProgressStudy) highlight the importance of economic as well as political inclusion of young people for the prevention of violent conflict;
* [the Global Study on Women Peace and Security focus](http://wps.unwomen.org/) on the importance of inclusion of women and gender equality as a path to more sustainable peace.

Mission support may be requested to initiate a strategic dialogue with relevant partners, however several due diligence steps may already identify relevant entry points:

* **1.1 Establish and outline respective project and strategic planning cycles:** For instance, is the partner slated to identify strategic priorities for programming in the coming year? How does that overlap with the UN strategic planning cycle (for instance, assessment in relations mission transitions; Common Country Diagnostics; Eligibility for the Secretary-General’s Peacebuilding Fund; Common Country Assessment; Recovery and Peacebuilding Assessment; Humanitarian and Disaster Risk Reduction Assessment.
* **1.2 Identify key milestones for strategic planning:** These could include Upcoming High-Level Visits; High-Level Fora; Country participation in the Universal Periodic Review; Launch of new UNDAF; Country Participation in the Peacebuilding Commission; Upcoming IMF article IV Consultations; High-Level Regional Events; Discussion at the Executive Committee of the Secretary-General; Regional Monthly review; Crisis Board Meeting; Meeting of the Joint Humanitarian-Development Steering Committee.
* **1.3 Establish a shared overview of ongoing and expected major programmes:** Includes status of disbursement, major milestones with contact and focal points –ideally including an overview of the country support offered by major donors. Data regarding Official Development Assistance can be found on <https://stats.oecd.org/>. PBSO offers a snapshot overview of the development portfolio and its relations to humanitarian and peacebuilding issues – (can be requested at [almaleh@un.org](mailto:almaleh@un.org))
* **1.4 Map government entry points of both the World Bank and the UN:** In most circumstances, what will emerge is the breath of engagement of the UN is wide and in many circumstances’ cuts across many more line ministries than other counterparts. While mapping relevant stakeholders, it may be beneficial to assess the capacity of the Government coordinate issues of relevance to HDP at the central executive level.

# Step 2: Consult the UN-World Bank Partnership Advisor

For the UN-World Bank partnership advisor will consult internally with relevant stakeholders across the UN system among Humanitarian, Development and Peacebuilding Actors – including the World Bank – on the merits of joint engagement.

For the purposes of headquarter consultation it is especially beneficial to clarify a number of issues:

* Where is the UN in regard to the project-planning cycle: Is there a Common Country Assessment, UNDAF, or Recovery and Peacebuilding Assessment, Core Government Function Diagnostic, or Security Sector Public Expenditure reviews.
* Where are partner organization (World Bank) in their planning cycles?
* Are there specific political, development, and humanitarian issues that motivate concerted action around a partnership?
* What are the position and presence of major donors?
* Has the World Bank country-level colleagues been involved in a conversation? How advance is it?
* What are the existing partnership mechanisms and are they functioning?

# Step 3: Develop a joint concept note with the partner (Template A)

* Template A is for UN recipients, while World Bank recipients will have identical concept note, containing roughly the same headlines and guidance.
* The concept notes should focus less on the operational modalities and more on the strategy of the programme.
* The concept notes will be assessed by a PBSO Project Appraisal Committee to enable quality assurance and will be used to consult UN HQ entities regarding the feasibility, timelines and relevance of the project.
* The concept note will be shared with the World Bank to ensure there is indeed alignment and buy-in at the country level to move the process forward.
* Finalized concept notes should be sent to [hdpp-facility@un.org](mailto:hdpp-facility@un.org) and copying in the UN-World Bank Parntership Advisor, Jago Salmon ([salmon@un.org](mailto:salmon@un.org)) as well as Ayham Al Maleh ([almaleh@un.org](mailto:almaleh@un.org))
* Please ensure you consult with UN-World Bank advisor ahead of formal submission to [HDPP-facility@un.org](mailto:HDPP-facility@un.org).

## Assessment of Proposals

To be considered for funding projects should have demonstrable buy-in of the senior most country management of both institutions and build on in-country strategic planning or operations, noting that humanitarian action will always be guided by humanitarian principles. Proposals should be gender sensitive, include or work towards a strong gender and youth analysis and ensure sex and age disaggregated data where possible.

Assessment of proposals is based on 4 criteria. Proposals must be

1. *Strategic*: Proposed activities must fit with UN and WB strategic objectives and activities in-country and demonstrate buy in from senior most management of the UN and WB in country;
2. *Catalytic*: Proposed activities must leverage comparative advantages, and resources against mutually agreed collective outcomes across the HDP nexus,
3. *Effective*: The scope and content of activities are appropriate to the objective, and are embedded within a robust analysis of risks and resilience;
4. *Innovative*: Proposed activities must demonstrate a commitment to moving beyond business as usual and demonstrate a commitment to knowledge management and lessons learning.

Where current partnership activities often position the UN as an implementing partner of projects funded by the World Bank and National Governments, the HDPP facility seeks to establish strategic partnerships. HDPP enables the ‘upstream’ conversation – ahead of decision on overall programmatic portfolio of both the UN and World Bank, to ensure complementarity and synergies are leveraged to scale-up results across the HDP-nexus.

# Step 4: Submission of joint implementation proposal (Template B)

The joint implementation note should be developed jointly with partners. Joint projects will be assessed on the level of financial buy-in from both World Bank and/or other partners. Activities should be appropriate to achieve the outcomes highlighted within the concept note. Relevant analytical product, coordination functions, and high-level meetings should be adequately resourced, and mission travel included for non-resident entities involved. Dissemination, publication and maintenance of relevant analytical products, databases etc. as part of the project should similarly be adequately resourced.

The implementation proposal will be reviewed and Quality Assured by PBSO and the World Bank Partnership Advisor.

Finalized implementation proposal should be sent to [hdpp-facility@un.org](mailto:hdpp-facility@un.org) and copying in the UN-World Bank Partnership Advisor, Jago Salmon ([salmon@un.org](mailto:salmon@un.org)) as well as Ayham Al Maleh ([almaleh@un.org](mailto:almaleh@un.org)) Please ensure you consult with UN-World Bank advisor ahead of formal submission to [HDPP-facility@un.org](mailto:HDPP-facility@un.org).

# Step 5: Transfer letters

Funds are allocated as project grants from UNOPS. Relevant templates provided upon project approval.

# Step 6: Monitoring and reporting

See section on monitoring and reporting requirements above.

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| Template A: Concept Note Humanitarian, Development, Peacebuilding and Partnerships Facility | |
|  | Send to: [salmon@un.org](mailto:salmon@un.org); hdpp-facility@un.org  Copying: [almaleh@un.org](mailto:almaleh@un.org); |

|  |  |
| --- | --- |
| Title of Proposed Activity |  |
| UN Focal point |  |
| Partner focal point |  |
| Geographic Scope | Country: *[Name]*  Regional: *[Name]*  Global |
| Amount Requested (USD) |  |
| Date of Formal Submission to HDPP |  |

length should not exceed 5 pages. delete [instructions] BEFORE SUBMITTING\*

1. Project HUMANITARIAN, DEVELOPMENT, Peacebuilding Objectives and activIties:

[Detail the humanitarian, development and/or peacebuilding objectives of the project and list planned activities, and any innovative design features or delivery mechanisms.

1. expected results:

[Briefly describe the expected results of the project activities and the expected impact after the grant period. Include at least one output indicator per component and at least one outcome indicator for the grant activities.]

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| Activities | Output indicator | Expected impact / outcome |
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1. Outline the Theory of change:

[how do you expect these interventions to lead to results and why have these interventions been selected. Specify if any of these interventions are particularly risky]

1. PARTNERSHIP AND Implementation arrangements:

[Use the check boxes to indicate partner type(s). Below the check boxes, describe how and by whom the grant activities will be implemented and what partnership and implementation arrangements have already been made.]

International financial institution: *[name]*  UN agency: *[name]*  International or regional organization (excluding UN): *[name]*  NGO or CSO: *[name]*  Local government: *[name]*  Other*: [name]*

1. Implementation arrangements:

[Describe how and by whom grant activities will be implemented, for example which UN entity and teams will be involved, and what implementation arrangements have already been made.]

1. links to OTHER RELEVANT, UN, GoVERNMENT OR PARTNER INITIATIVES, PLANNNING and analysis processes:

[Describe how the project builds on previous engagements and/or complements country/regional/thematic strategies or initiatives. List the timeframes for corporate analysis and planning processes of UN and partners]

1. LEVEL OF READINESS AND TIMELINE FOR DELIVERY:

[Describe what steps have been taken to seek approvals, endorsements, and partnership arrangements, and provide a tentative timeline for project preparation and implementation/delivery.]

1. INCORPORATING GENDER EQUALITY OR WOMEN’S EMPOWERMENT OBJECTIVES:

[Use the check boxes to indicate whether a primary objective of this project is to address gender themes. Below the check boxes, describe how gender aspects will be incorporated in the proposed activities even if gender is not the primary focus.]

Activity **primarily** addresses gender themes and gender equality

Activity **primarily** addresses Gender Based Violence GBV)

1. estimated Project budget:

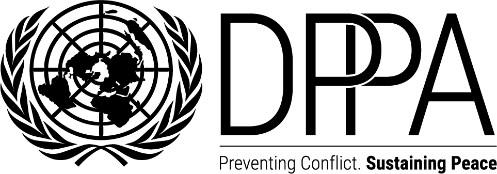
[Please estimate budget requirements by component/activity, adding rows as needed. Budget by expenditure category will be required with the submission of joint implementation arrangement]

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| --- | --- | --- | --- |
| Expenditure by component | HDPP Contribution  (USD) | Other contribution (USD) | Total  (USD) |
|  |  |  |  |
|  |  |  |  |
| TOTAL |  |  |  |

1. Endorsement

Formal submission of this proposal to PBSO must come from the Resident Coordinator, Humanitarian Coordinator, Deputy Special Representative of the Secretary-General or designee, while keeping in copy the partner country management (For instance, World Bank Country Director, Manager) .

# Template B: Joint UN-WB Implementation Arrangements



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| --- | --- |
| Title of Proposed Activity |  |
| Geographic Scope  Check appropriate location and list country/region | ☐ Country: *[Name]*  ☐ Regional: *[Name]*  ☐ Global |
| Amount Requested from SPF (USD) |  |
| Amount Requested from HDPP Facility (USD) |  |
| Proposed Project Start Date:  Proposed Project End Date:  Total duration (in months)[[11]](#footnote-11): |  |
| Date of Formal Submission |  |

|  |  |
| --- | --- |
| World Bank Project Contact:  Address:  Telephone:  E-mail: | UN Project Contact:  Address:  Telephone:  E-mail: |
| World Bank Country Director  Name of Representative  Signature  Date & Seal | Resident Coordinator (RC)  Name of Representative  Signature  Date & Seal |
| State and Peacebuilding Fund  Name of Representative  Signature  Peacebuilding Support Office, NY  Date | Peacebuilding Support Office (PBSO)  Name of Representative  Signature  Peacebuilding Support Office, NY  Date |

[This template should be submitted upon approval of joint UN-WB project proposal outlining objectives, results, and links to UN and WB processes. The detailed budget will be cleared respectively by the UN and WB secretariats.]

1. OUTPUTS, ACTIVITIES AND WORKPLAN

[Please provide a brief narrative overview of outputs and activities, and a completed workplan]

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| EXPECTED OUTPUTS | PLANNED ACTIVITIES | TIMEFRAME | | | | | | | | | | | RESPONSIBLE PARTY | PLANNED BUDGET |
| Q1 | | Q2 | | Q3 | | Q4 | | Q5 | | Q6 |
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1. JOINT IMPLEMENTATION AND MONITORING ARRANGEMENTS

[Please indicate what type of implementation arrangements will be in place for the HDP proposal and the division of responsibilities between the World Bank and the UN*[[12]](#footnote-12)*. If relevant, please indicate the risks and risk management strategy. For strategic assignments/secondments supervision and reporting lines need to be specified in the ToRs.]

1. BUDGET

Please provide the necessary financial information, including overall **estimated** costs for consultant salary and benefits if applicable. For country level/regional or thematic grants, please indicate the requested split between Bank executed resources (through the World Bank executed MDTF) and UN executed resources (through the UN window).

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| Expense (USD) | Contribution being sought from the UN-WB Partnership Trust Fund (USD) | | Estimated contribution from other sources (USD) |
|  | Bank-executed TF | UN-executed account |  |
| 1. Consultants |  |  |  |
| 2. Contractual services |  |  |  |
| 3. Supplies, Commodities, Materials |  |  |  |
| 4.Travel and WB staff time |  |  |  |
| 5. General Operating and other Direct Costs |  |  |  |
| 6. Indirect Support Costs\* |  |  |  |
| Total Expenses |  |  |  |
|  |  |  |  |

1. This new financing also includes $2 billion to support refugees and host communities, $2.5 billion to spur private enterprise in crisis-affected situations, as well as support for countries to mitigate the risk of falling into fragility. [↑](#footnote-ref-1)
2. The importance of this partnership has been further emphasized by the Secretary-General in his reports on the Outcome of the World Humanitarian Summit (A/71/353), Repositioning of the Development System (A/72/24-E/2018/3 and A/72/684-E/2018/7), and Peacebuilding and Sustaining Peace (A/72/707–S/2018/43). [↑](#footnote-ref-2)
3. [↑](#footnote-ref-3)
4. United Nations - World Bank Partnership Framework for Crisis-Affected Situations, Partnership Report July 2017 – June 2018 [↑](#footnote-ref-4)
5. a) Situations at risk of violent conflict; b) Situations of ongoing violent conflict; c) Situations with a high prevalence of forced displacement; d) Protracted and post-crisis (post-conflict or post-disaster) situations, requiring substantive support; and e) where climate change impacts and risks, disaster and disaster risks have a (possible) bearing on the above situations this framework applies as expressed in the guiding principles. [↑](#footnote-ref-5)
6. Humanitarian-Development-Peace Initiative: Taking Stock of a UN and World Bank Joint Initiative in seven Country Contexts, 2018 [↑](#footnote-ref-6)
7. Securing Development: Public Finance and the Security Sector, Harborne et al; 2017 [↑](#footnote-ref-7)
8. (Re)Building Core Government Functions in Fragile and Conflict Affected Settings, 2017 [↑](#footnote-ref-8)
9. 2013 Review of UN-World Bank Partnership in Fragile States [↑](#footnote-ref-9)
10. 2016 Portfolio Review of UN-World Bank Fragility and Partnership Trust Fund [↑](#footnote-ref-10)
11. The maximum duration of an IRF project is 18 months. [↑](#footnote-ref-11)
12. The World Bank TTL is accountable for ensuring that the Bank's fiduciary responsibilities are met with respect to trust funds under his/her management. The UN Project Manager will be responsible for the management of funds allocated from the UN ‘window’. [↑](#footnote-ref-12)