GUIDANCE NOTE

Terms of Reference and Rules of Procedures for the Joint Steering Committee

JUNE 2021
Terms of Reference and Rules of Procedures for the Joint Steering Committee

This Guidance Note is part of a series of practical, programming guidance periodically issued by PBF. The purpose of PBF Guidance Notes is to provide additional information to recipients of PBF funding and PBF Secretariats to improve design, implementation, monitoring and evaluation of PBF projects. This Guidance Note on Theories of Change provides a specific peacebuilding lens to guide fund recipients’ development of theories of change and should be used to inform project design choices at the outset of project conceptualization.

This TOR/ROP example, drawn from an actual PBF country, is among the most detailed and functional yet elaborated for the PBF, and can serve as a helpful guide to newly forming JSCs.
INTRODUCTION

The **(insert country name)** Peacebuilding Fund Joint Steering Committee (JSC) is established to oversee and coordinate the operations of the Peacebuilding Fund (PBF) in **(insert country name)** in accordance with the Terms of Reference (ToR) of the Peacebuilding Fund of July 2009 and within the framework of **(insert country name)**’s approved Peacebuilding Strategic Results Framework. These JSC ToR and Rules of Procedure (RoP) are designed to guide and facilitate the work of the JSC in **(insert country name)** articulating:

- ✔ The structure and composition of the JSC
- ✔ The responsibilities of the JSC
- ✔ Mechanisms and procedures for decision-making
- ✔ Structure and functions of the PBF Secretariat
- ✔ Structure and functions of the Technical Advisory Panel (TAP)

I. TERMS OF REFERENCE

1. Role of the Joint Steering Committee

The JSC will provide strategic guidance and oversight as well as make decisions on the allocation of the PBF at the country level. The JSC makes decisions by consensus and is co-chaired by the [a senior Government representative, possibly a Minister or a Head of Department] and UN [for example, Deputy Special Representative of the Secretary-General or UN Resident Coordinator].

2. Structure and Composition

The Joint Steering Committee will be comprised of **members:**

- ✔ Co-Chairs (2): Specify – Senior Government and UN representatives
- ✔ Representatives from the Government of **(insert country name)** (number):
- ✔ Multilateral Representatives *(number)*: From the United Nations Country Team, eg. World Bank, EC, ECOWAS
- ✔ Bilateral Representatives *(number)*: Specify
- ✔ Representative of **(insert country name)** Civil Society (number) specify, as nominated by Civil Society coordination group
- ✔ Representative of International NGOs *(number) - specify*
- ✔ Representative of **(insert country name)** Business Community *(number)*
The Co-Chairs may consider allowing observers to participate.

The JSC will be assisted by a PBF Secretariat, and by a Technical Committee composed by Senior Technical Advisors from the different line Ministries, UN agencies and other agencies, which are involved in the implementation of the PBF support.

### Frequency of Meetings

The JSC Co-Chairs will convene meetings as required. It is envisaged that, after the bulk of the concept notes and project proposals have been considered, JSC meetings shall be convened on a quarterly basis for progress review and monitoring.

### Agenda

The agenda of the JSC meeting and all supporting documentation shall be prepared and disseminated by the PBF Secretariat in consultation with the Technical Committee and/or the Co-Chairs. JSC members may make requests for items to be included on the agenda.

**Quorum**

A quorum of the JSC shall consist of more than 50 per cent of the membership, including at least one Co-Chair in attendance.

### 3. Responsibilities

The JSC will be primarily responsible for:

- **REVIEWING AND APPROVING** any formal conflict analysis study which is produced as a basis for the (insert country name) Eligibility Request.
- **REVIEWING AND APPROVING** the ToR and RoP of the JSC, the Technical Committee and the PBF Secretariat, and updating and / or modifying them, as necessary.
- **PROVIDING** strategic directions for, reviewing and adopting the (insert country name) PBF Eligibility Requests and associated Strategic Results Frameworks, and making revisions as appropriate.
- **DETERMINING** the methodology for project preparation and endorsement, including potentially making calls for concept notes in line with PBF Strategic Results Framework, prior to the elaboration of full project documents.
- **MAKING** clear the criteria for endorsing projects according to PBF requirements (see template 3.3 of the PBF Guidelines) and (insert country name) priorities.
- **REVIEWING** and endorsing project proposals and funding requests submitted by eligible ‘Recipient UN Organizations’, ensuring they are in line with the approved Strategic Results Framework outcome areas and funding envelopes.
- **ENSURING** appropriate consultative processes take place with key stakeholders at the country level, to avoid duplication or overlap between the PBF and other funding mechanisms.
- **ENCOURAGING** joint projects by Recipient UN Organizations with other stakeholders, including government, civil society organization (CSOs), and other partners, so as to address critical peacebuilding and peace consolidation in a holistic manner and to find best available expertise.

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1. Any revision/modification of the Strategic Results Framework will require consultation and approval from PBSO / NY.
• **REVIEWING** and, as appropriate, acting upon six months status updates submitted by Recipient UN Organizations to the JSC through the PBF Secretariat.

• **ENSURING** there are monitoring mechanisms in place, through the PBF Secretariat and otherwise, to track progress against the Strategic Results Framework.

• **RECONSIDERING** periodically the peacebuilding vision and strategy contained in the Strategic Results Framework and determining if it is still valid or needs amendment. Any amendment to the Strategic Results Framework will need to be communicated to and approved by PBSO.

• **PREPARING**, with the assistance of the PBF Secretariat and the Technical Committee/Technical Assessment Panel, an annual report of performance against the Strategic Results Framework, to be submitted to PBSO on 1 December every year, after at least six months of Strategic Results Framework implementation. The report should be prepared using PBF templates (template 4.2).

4. Decisions

The JSC shall make its decisions by consensus including for REGULAR and RAPID ENDORSEMENT requests.

If a decision has been made to prepare project concept notes before development of full project documents, the JSC may take the following decisions with regards to the submitted concept notes:

a) Approve for development into a full project proposal (with comments),
b) Return with comments calling for resubmission of another concept note,
c) Defer for possible later consideration (with no immediate action required at that time),
d) Reject (with comments).

Once project documents have been submitted to the JSC for consideration, together with the Technical Committee assessment, the JSC may take the following decisions with regards to the project proposals:

a) Endorse for funding and implementation,
b) Return with comments for further consideration,
c) Defer for possible later consideration,
d) Reject (with comments).

e) In emergency situations the Co-Chairs may consider RAPID response requests up to the value of USD (insert sum). In such cases a full proposal will be submitted marked “RAPID RESPONSE REQUEST” and the regular quorum rule will not apply - however, it is expected that co-chairs will liaise with entities of concern in the approval process. The detailed procedures for the RAPID APPROVAL track are outlined in Appendix A.

In the event of consideration of a project proposal that has direct implications for the organization of a JSC member, that member shall disclose any potential conflict of interest to the co-chairs. Their input may be sought for clarification on related issues. In the case of a JSC member (including a Co-Chair) with a conflict of interest (organizational or personal), that member shall not vote in relation to the project. In the case of a Co-Chair implicated in a project - the Co-Chair may still sign the decision in representation of the general consensus of the JSC members.

Decisions of the JSC shall be duly recorded. The co-chairs will jointly sign all decisions of the JSC.

Not later than five working days after the JSC meeting, the PBF Secretariat will submit the signed JSC decision together with all supporting documentation, including a duly signed Project Document (template 3.2) and the Project Transmittal form (template 3.3), to the Office of the Assistant Secretary General for Peacebuilding Support.
The JSC may take decisions on amendments of the Strategic Results Framework if needed after the annual review. PBSO has to be fully informed on the action proposed and will.

5. The PBF (insert country name) Secretariat

The JSC will be supported by the PBF (insert country name) Secretariat, under the overall supervision of the Co-Chairs of the JSC. The Secretariat, which will liaise with the co-chairs, will comprise (insert number of staff and their positions) and be responsible for:

- PROVIDING JSC with secretarial and administrative support, including organising meetings, recording minutes and sharing documents with members of the JSC
- DOCUMENTING, communicating and ensuring follow-up of the JSC’s decisions, particularly ensuring submission of appropriately signed and complete documentation on endorsed projects to the UNDP MDTF Office
- MAINTAINING a database on projects and implementing partners
- REVIEWING and analyzing concept notes and project proposals, including ensuring all technical review (together with the technical committee, if available), and submitting recommendations to the JSC
- SUPPORTING inter-project coordination and providing guidance to Recipient UN Organizations on common methodology for project design, monitoring and evaluation and related issues
- ORGANISING specific project impact monitoring and evaluation training and review (including independent impact evaluations)
- TRACKING the implementation of projects and the progress against the Strategic Results Framework, including tracking Strategic Results Framework indicators, and making recommendations for improvements, if deemed necessary
- IDENTIFYING problems that may arise in relation to project delivery and management and advising the JSC on appropriate action, with follow up and reporting back on progress or lack thereof
- REVIEWING reports and status updates from projects and providing quality assurance of reports and advice to RUNOs
- ACTING as a local repository of knowledge regarding the rules and regulations of the PBF and related management arrangements
- As directed by the JSC Co-Chairs, supporting information sharing (including bulletins), awareness raising and training as required
- ENSURING linkages of PBF (insert country name) to national processes, in particular with (insert national planning frameworks, other UN frameworks – eg. e Poverty Reduction Strategy (PRS)) and the related supportive efforts of the UN and partners
- PROMOTING PBF awareness especially amongst Government and civil society and international partners
- DOCUMENTING issues and periodically sharing ‘lessons learnt’ with the JSC and PBSO
- On request, PROVIDING information to PBSO on progress with implementation, to assist with PBSO briefings and reporting
- Under the guidance of the JSC and with the support of the Technical Committee and RUNOs, drafting the annual JSC on Strategic Results Framework implementation, to be submitted to PBSO on 1 December every year
- Any other PBF related tasks as directed by the JSC Co-Chairs.
6. The PBF Technical Committee/ Technical Assessment Panels

The JSC and the Head of the PBF Secretariat will draw upon, as required, technical advice from a group of experts known as the Technical Committee who have:

- Specific technical expertise in the area of the PBF support in [insert country]
- Demonstrated strategic understanding of peacebuilding and conflict-sensitive development
- Proven experience in project appraisal, monitoring and evaluation

The Technical Committee membership broadly mirrors that of the JSC. The members are (include only the actual members):

- Technical Staff from Government: Ministries of Internal Affairs (MIA), Public Works (MPW), Labour (MoL), Gender and Development (MoGD), Agriculture (MoA), LRDC, LIGIS; UNMIL: O/DSRSG (Recovery and Governance and Rule of Law), Political, Policy and Planning Section (PPPS), Civil Affairs (CA), Reintegration and Rehabilitation and Recovery (RRR), Human Rights Protection Section (HRPS)
- Specialised UN agencies, funds and Project (UNCT)
- Donor representatives working on peacebuilding
- Civil Society Representatives and International NGOs
- [insert country name] Business representatives.

Each project proposal submitted will be reviewed by the PBF Secretariat and a relevant sub-Committee of the Technical Committee, (known as Technical Assessment Panel) based on the content of the proposal and the availability of experts. Membership of each specific Technical Assessment Panel will be determined by the PBF Secretariat in consultation with Co-Chairs if necessary.

Potential conflict of interest by Technical Committee members should be declared to the Secretariat - however, their input may still be sought on technical grounds. The PBF Secretariat will ensure that proceedings of the technical review process and recommendations are concisely but fully recorded with the submission form to the JSC (using PBF template 3.3).

7. Public Disclosure

The JSC shall commit to public disclosure with appropriate newsletters and press releases. Upon agreement with the Executive Coordinator of the MPTF Office (New York), related information shall also be posted on the UNPBF website www.unpbf.org. Such reports and documents may include records of decisions, summary sheets of both endorsed and pipeline projects, fund level and financial and progress reports and summaries of internal and external project evaluations. The JSC and the MPTF Office Executive Coordinator shall take all reasonable steps to ensure the accuracy and appropriateness of material to be posted.

Date: _____________________
Place: _____________________

**Government Co-Chair name and signature:**

**UN Co-Chair name and signature:**
II. RULES OF PROCEDURE

PART ONE: GENERAL OVERVIEW AND CRITERIA

1. Review of Strategy

The JSC shall periodically review the (insert country name) PBF Strategic Results Framework, and associated objectives and guidelines, in response to evolving security, political and socio-economic issues in (insert country name) and the JSC’s ongoing consultation with PBF stakeholders.2

2. Objectives of the project

- Support strategic, catalytic initiatives for high positive impact on immediate peacebuilding needs in (insert country name) in project areas consistent with the PBF Strategic Results Framework
- Promote inclusive partnership involving UN agencies, government institutions, civil society partners, communities and other stakeholders
- Influence positively all relevant national policy and project processes bringing focus on conflict factors and peacebuilding needs throughout
- Enhance capacity building and local ownership.

3. Eligibility Criteria and Conditions for Participation

Only eligible UN agencies - determined as Recipient UN Organizations, having signed global agreements with the MDTF Office on the use of the PBF - may seek direct financial support through the PBF. They must work jointly with other members of the UN Country Team, UNMIL and a range of partners who can contribute and add value to projects, and who have a relevant, successful track record. Other than UN entities, partner organizations are principally government, non-governmental organizations and civil society. Full participation of all is highly desirable.

To seek financial support from the PBF, Recipient UN Organizations must submit concept notes and full project proposals as called for by the JSC and in accordance with guidelines detailed in ‘Part Two: Proposal Submission and Selection’ and (list relevant annexes).

Members of the TAP assessing both concept notes and full project proposals, and staff of the PBF Secretariat, should not have a professional interest in the projects or organizations being considered. Any potential conflict of interests should be disclosed to the Co-Chairs of the JSC.

4. Strategic Allocation of Resources

The JSC shall periodically determine and update resource requirements to carry out the (insert country name) PBF Strategic Results Framework on the basis of a ‘Funding Framework’ that would be prepared by the Executive Coordinator of the MDTF Office.

5. Financial Management and other Fiduciary Requirements

- Once fully approved, the project will have a maximum duration of 18 months
- Funds are to be used exclusively to cover expenditures in the approved project in accordance with the project agreement.

2. Any revision/modification of the Strategic Results Framework will require consultation and approval from PBSO / NY.
Administrative costs for project management may not exceed 7% of the total amount approved. These costs must be anticipated and designated as ‘Agency Management Support’ in the budget submitted with the project proposal.

PART TWO: PROPOSAL SUBMISSION AND SELECTION

Only eligible UN agencies - determined as Recipient UN Organizations, having signed global agreements with the MDTF Office on the use of the PBF - may seek direct financial support through the PBF. They must work jointly with other members of the UN Country Team, UNMIL and a range of partners who can contribute and add value to projects, and who have a relevant, successful track record. Other than UN entities, partner organizations are principally government, non-governmental organizations and civil society. Full participation of all is highly desirable.

To seek financial support from the PBF, Recipient UN Organizations must submit concept notes and full project proposals as called for by the JSC and in accordance with guidelines detailed in ‘Part Two: Proposal Submission and Selection’ and (list relevant annexes).

Members of the TAP assessing both concept notes and full project proposals, and staff of the PBF Secretariat, should not have a professional interest in the projects or organizations being considered. Any potential conflict of interests should be disclosed to the Co-Chairs of the JSC.

6. Concept Note Submission and Recommendation Process

A Concept Note is a synopsis of a project which provides the JSC with an opportunity to consider the outline of a problem statement and potential solution within the context of the PBF (insert country name) Strategic Results Framework.

The process of formulating Concept Notes should also permit existing or potential partners of UN agencies to explore together and document approaches and partnerships in response to peacebuilding needs in (insert country name).

The JSC will consider Concept Notes against objectives and defined criteria. If a Concept Note is considered to be of merit it may receive a favorable response from the JSC and lead to a formal project proposal.

7. The Key Steps in Proposal Review Process

Step 1: Call for Concept Notes

A call for Concept Notes will be made by the JSC, conforming to the format attached (insert annex ref). Concept Notes and covering letters must strictly observe the relevant deadlines and provisions contained in the call for Concept Notes. They must be submitted by a Recipient UN Organization to the JSC, through the PBF Secretariat for review.

The Concept Note should be primarily limited to the information requested and should be no longer than 5 pages (excluding cover page) and submitted in English. Applicants should submit one original signed hard copy of the Concept Note and two duplicate copies, together with an electronic version.
STEP 2: RECEIPT AND SCREENING OF CONCEPT NOTES

Each Concept Note received by the PBF Secretariat will be subjected to internal review to (i) verify compliance with both the call for concept Notes and the guideline document and (ii) a technical pre-assessment. All eligible Concept Notes will be forwarded to a TAP for assessment of their merit.

- CONCEPT NOTE EVALUATION CRITERIA

The TAP will assess the Concept Notes, including consideration of the following points, to determine the project’s strategic approach and potential effectiveness.

- **Relevance and Partnership:** The proposed concept should address a significant peacebuilding challenge in line with the PBF Strategic Results Framework, and noted conflict factors, demonstrating the potential impact on peacebuilding and national reconciliation in (insert country name). It should also demonstrate how each partner’s contribution is crucial for achieving overall project impact - describing how the partnership reflects the principles of joint decision-making, collaboration, capacity building and knowledge sharing. Consideration will also be given to the on-the-ground capacity of the UN recipient and partners and their potential to add value.

- **Innovation:** The proposed project should demonstrate the extent to which it varies from current approaches or offers new solutions to existing challenges (perhaps drawing on experience partners could bring in from similar efforts outside of (insert country name)).

- **Sustainability and Replicability:** The proposed project should demonstrate how it will continue to yield benefits beyond the period of the funding and the extent to which it can be sustained by national mechanisms. If the project is proposed as a pilot - the potential replicate and scale up efforts must be articulated.

- **Approach:** The proposed project should present a realistic implementation time frame, with envisaged tangible deliverables, outcomes and a description of the impact pathway.

- **Coherence with the (national plan, Eg. Poverty Reduction Strategy):** each project should indicate where it addresses part of and relates to the national PRS and / or other national policy documents.

- **Budget / Cost Effectiveness:** The costs should appear reasonable for the activities and outreach proposed, taking into consideration the scale of the problem addressed.

- **Impact and Outcomes:** each project should identify the anticipated impact and outcomes for the project and the indicators by which these will be measured. Where relevant, projects should outline an impact evaluation design, consisting of: (1) measurable outcomes; (2) potential for pre- and post-project data collection; and (3) potential control groups for comparison purposes (including method of selection). See Annex 1 for further details.

STEP 3: RECOMMENDATION BY THE SECRETARIAT TO THE JSC

Based on the outcome of the first two steps, the PBF Secretariat will prepare a recommendation for the JSC.
STEP 4: JSC REVIEW

The PBF (insert country name) Secretariat shall distribute to members of the JSC at least one week prior to the date of the scheduled meeting, the agenda, concept notes and any supporting documentation for consideration.

The JSC shall review concept notes and maintain a pipeline of potential projects, noting priorities and status of funds remaining under each priority area.

If the JSC approves a concept note, a call to the Recipient UN Organizations for a full project proposal may be made (see Annex 2 for format). The JSC may elect to require an independent evaluation of a proposed project and assign a consultant to work with the Recipient UN Organization and partners to design the full project proposal.

Alternatively, approved concept notes may be deferred for later consideration, if funding is not immediately available or it is not meeting immediate priorities.

The PBF (insert country name) Secretariat shall, at the direction of the Co-Chairs, inform all Recipient UN Organizations of the JSC’s decision and outline any next steps - passing on comments from the JSC and TAP where appropriate and, if relevant, detailing required further action.

STEP 5: PROJECT SUBMISSION AND APPROVAL PROCESS

Projects will be submitted (only) by Recipient UN Organizations using the attached Project Submission Form (Annex 3).

Project documents shall be jointly developed by the Recipient UN Organization with partnering national organisations and jointly presented and discussed at the JSC meeting.

The PBF (insert country name) Secretariat will ensure the technical review of projects with the TAP - compiling the analysis and assessment of quality of proposals (using criteria indicated in step 2. and Annexes).

The PBF (insert country name) Secretariat shall distribute to members of the JSC at least three days prior to the date of the scheduled meeting the agenda, submission forms and project proposals, and any supporting documents.

The JSC shall review project proposals, along with the recommendations of the PBF Secretariat and TAP, and take decisions to:

a) Endorse for funding and implementation,
   b) Return with comments for further consideration,
   c) Defer for possible later consideration,
   d) Reject (with brief comments).

The PBF (insert country name) Secretariat shall, at the direction of the Co-Chairs, inform all Recipient UN Organizations of the JSC’s decision and outline any next steps - passing on comments from the JSC and TAP where appropriate and, if relevant, detailing required further action.
PART THREE: CONTRACTING AND REPORTING

8. Project / Project Implementation

Based on the approval of the JSC, and the signing of the Project Documents by the duly authorized parties, the Executive Coordinator, MDTF Office, shall transfer approved funds for project implementation to the particular Recipient UN Organization(s), after ensuring consistency with the applicable provisions of the Letter of Agreement (LOA) entered between donors and UNDP, as the Administrative Agent of the Recipient UN Organizations.

Copy of the fund transfer advice shall be provided to the (insert co-chairs of the JSC) and heads of the concerned Recipient UN Organizations in (insert country name).

9. Reporting

In line with the Memorandum of Understanding (MOU) between the Administrative Agent and Recipient UN Organization(s), the latter shall submit, on annual basis, financial and progress reports to the Executive Coordinator of the MDTF Office.

Subsequently, in accordance with the LOA agreed upon by Donors and the Administrative Agent, the Executive Coordinator shall in turn submit consolidated Fund level reporting to all Fund Donors, after receiving approval of the consolidated report by the (insert country name) JSC and the Head of the PBSO. Standard UNDG financial and progress reporting formats, modified as, appropriate, shall be utilized as indicated in (insert Annex ref).

As required by the Co-Chairs of the (insert country name) JSC, the Executive Coordinator of the MDTF shall keep the JSC abreast of the consolidated progress report.

10. Performance based budget allocation

Subsequent JSC approval of future allocation to Outcome Areas and approval of projects submitted by implementing Organisations shall be based on performance and delivery of results, as determined by PBSO and the JSC.
APPENDIX A:
(COUNTRY NAME) PEACEBUILDING FUND
RAPID APPROVAL TRACK

GUIDANCE NOTE AND APPROVAL PROCESS

1. Project submissions shall qualify for the (insert country name) PBF Rapid Approval Track if they meet the following criteria:

   i. The project must address an urgent need that cannot await a regular (insert country name) PBF Joint Steering Committee (JSC) meeting.

   ii. The project must be in line with the (insert country name) PBF Strategic Results Framework (or a newly arising matter of significance to peace and security and of immediate concern to the JSC).

   iii. The total budget of such submissions should not exceed US$ (insert value).

2. The PBF Rapid Approval Track process is described as follows:

   i. The Recipient UN Organisations shall forward to the JSC, through the PBF (insert country name) Secretariat, the Submission Form and a Project Document, duly signed by the Recipient UN Organisations (insert annex refs.).

   ii. The PBF Secretariat shall review the submission and shall communicate with the Recipient UN Organisations its initial comments regarding the overall quality of the submission and its compatibility with the standard format.

   iii. If satisfied in terms of quality and compatibility of the submission and the justification for using the (insert country name) PBF Rapid Approval Track, the PBF Secretariat shall seek approval of the Co-Chairs of the JSC to use the (insert country name) PBF Rapid Approval Track process for approval of the proposal.

   iv. Upon approval by the Co-Chairs of the use of the (insert country name) PBF Rapid Approval Track, the PBF Secretariat shall electronically distribute the Project Document and the Budget to all members of the JSC requesting comments and endorsement of the submission within two (2) working days from the day of distribution of the documents.

   v. The PBF Secretariat shall receive and compile the responses and will communicate with the Recipient UN Organization on comments of substantive nature for amendments to the document as necessary and make a written submission to the JSC Co-Chairs summarizing the comments received with its recommendations. No response by JSC members shall be considered as approval of the proposal.

   vi. The JSC Co-Chairs will sign the endorsed project document which will also be signed by the authorized representative of the relevant Recipient UN Organization. Upon signature, the PBF Secretariat will electronically forward the signed documents to the Executive Coordinator, MDTF Office, for the release of funds, in accordance with the MOU between the UN and MDTF Office, the LOA with Donors and the MOU between Recipient UN Organizations and the MDTF Office.
iv. The JSC Co-Chairs shall inform the following JSC meeting of any projects endorsed through the (insert country name) PBF Rapid Approval Track.

viii. The time frame for the approval process is a minimum of three (3) working days and a maximum of five (5) working days.

The approved project shall be subject to the same rules, regulations and procedures covering projects endorsed by the PBF Joint Steering Committee.
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