Annex 1: Detailed Funding Windows Management Functions

Key Fund Management Functions

The functions of the Trust Fund Manager as currently described in POPP correspond to a fund management model where most of the Fund Management functions are concentrated in a single individual. In line with the functional alignment and Corporate Accountability Framework (CAF) established as part of the 2014-15 structural changes at HQ and regional level, as well as the experiences of the Multi Partner Trust Fund management practices, and with specific consideration for the management of pooled funding, a Funding Windows Secretariat shall be established with a clear segregation of functions and duties across fund management, fund administration, donor coordination and resource mobilization, and coordination with country offices. These functions combined form the nucleus of the 'Fund Management function', and are undertaken by BPPS, BMS, BERA, CRU and the Regional Bureaux as part of the integrated Funding Windows Secretariat. The Funding Windows Secretariat functions under the guidance of the EG and OPG governance arrangements as detailed in the main Framework Paper. Individuals appointed to the Fund Manager and Fund Administrator roles are accountable to their Bureau Director.   Responsibility for key functions is outlined below.

1.   **Funding Windows Fund Management and Administration functions:**

Functions	Fund Manager (BPPS)	Fund Administrator (BMS)	BERA	CRU	RBx
1. **Focal point functions**	• Act as the main focal point within UNDP for all questions and communications relating to the activities of the FW. • Serve as the main contact for day to day engagement with all contributing partners. • Ensure appropriate representation of the FW at meetings with key stakeholders including, other UN bodies/agencies or programme country Governments.	• Focal point for financial information on the FW • Administer the information on the FW Portal • Prepare protocol in conjunction with the Fund Manager and BERA on fund administration	• Focal Point for interactions with contributing partners. • Prepare and maintain public and donor specific information packages	• Focal point for coordinating emergency funding allocations for immediate crisis response	• Focal point for all engagement with COs. • Ensure that the CO projects are designed, approved, managed and evaluated in compliance with the UNDP POPP
2. **Resource mobilization**	• Sign Contribution Agreement with the contributing partners.	• Establish a system of proactive compliance monitoring to assist the Trust	• Prepare Resource mobilization and advocacy plan		• Support coordinated resource mobilization

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	• Support BERA in engaging with contributing partners on substantive aspects	Fund Manager to ensure that all financial obligations arising from the contribution Agreement are met • Review non-standard agreement requests and obtain BMS clearance • Maintain records and repository of all signed contributions agreements • Publish contribution agreements on Portal	• Prepare resource mobilization target proposals for each funding window based on pipeline information and strategic donor intelligence for review and decision by the EG • Initiate and follow-up on all fund raising activities of the trust fund in coordination with the Fund Manager and Fund Administrator. • Prepare and maintain standard contributions agreement templates		• Work with COs to prepare pipeline proposals
3. **Receipt of contributions**	• Ensure achievement of milestone requirements as specified by donors in contribution agreements.	• Inform the Fund Manager and BERA of pending and received contributions. • Record Donor contributions in Atlas according to the established rules for recording revenue and receivables • Maintain receivables information and reports in the Portal	• Follow-up with the donor to ensure that contributions are received on a timely basis, in accordance with the payment schedule in the contribution agreement.		• Oversee achievement of milestones by CO implementing TF activities.

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		• Follow-up with BERA on receivable contributions on the basis that all obligations have been met by the Fund Manager.			
4. Guidance to Country Offices	• Prepare/update operational manual for the Funding Windows and other training material	• Contribute to operational manual on finance issues			• Disseminate guidance within the region, and oversee CO adherence to the guidance
5. Allocation	• Coordinate and review priority pipeline proposals (country, regional and global projects) for submission to the OPG on a semi-annual basis • Propose and update specific performance based criteria for the OPG decisions (e.g. CO delivery track record, etc.) • Work with RBx on feedback to CO and follow up. • Ensure quality assurance is conducted for project documents before allocation of funds • Approve allocations based on prioritization by OPG and issue allocation letters, with a copy to the Fund Administrator	• Consolidate pipeline reports • Support RBx and Fund Manager on prioritization exercise • Prepare reports on the financial aspects of the performance criteria of the FW • Allocate resources in Atlas as approved by Fund Manager, and consistent with the decisions by the OPG • Ensure that allocations to projects do not exceed the trust fund resource balance • Ensure consistency of allocation information on the Portal • Prepare reports on the allocation of resources		• Coordinate fast track approval process in consultation with the Fund Manager for emergency funding allocations for immediate crisis response	• Decide with COs on priority proposals and ensure tagging in Atlas • Ensure project documents are prepared according to QA standards • Ensure 15% minimum allocation to gender related activities for allocations • Work with Fund Manager on consolidating priority pipelines to be submitted to OPG. • Ensure for their COs that allocations are fully budgeted and expended, at the same time ensuring that:

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	• In line with OPG decisions, work with the Fund Administrator to ensure that trust fund resources are allocated on a priority basis so that unallocated/unexpended trust fund balances do not exist. • Inform OPG on the allocated resources.				project budgets do not exceed project allocations and project expenses plus advances to national implementing partners do not exceed project budgets.

6. **Financial management of trust fund resources**	• With the FA, maintain a resource plan showing cash flow requirements and resources available based on revenue received and/or receivable, and actual/projected expenses.
	• Ensure that allocations are fully budgeted and expended.
	• Monitor for significant implementation issues that may impact the expenses or where there are implications for donor relations.
	• Define performance parameters for the Funding Windows (e.g. time between allocation and first disbursement; performance deviation between plan and implemented; reporting quality controls)
		• Exercise oversight over the financial aspect of the FW and report to the FM
		• Maintain controls to adhere to corporate policies and decisions of the OPG with respect to the utilization of resources of the trust fund
		• Monitor financial implementation of all projects and inform the FM on any deviations or projected deviations
		   ○ Cost Recovery including DPC
		   ○ Advances to Partners
		   ○ Commitments and obligations
		   ○ Atlas budgets setup
		   ○ Gender 15% minimum allocation
					• Oversee achievement of development results and implementation of FW project activities by COs, ensuring compliance with corporate frameworks
					• Inform the Fund Manager where there are significant implementation issues that may impact the expenses or where there are implications for donor relations;

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Functions	Fund Manager (BPPS)	Fund Administrator (BMS)	BERA	CRU	RBx
	• Ensure each project incorporates full project costing	• Ensure that the information in the portal is accurate and up to date. • Keep RBx informed on the financial performance of the projects under their oversight.			
7. **Reporting**	• Ensure that all reporting requirements as stated in the FW Contribution Agreement are complied with • Consolidate substantive/narrative reports for external consumption and upload on the portal. • Ensure the consolidation of substantive and financial reports to OPG and EG.	• Prepare interim financial reports per Funding window and sub-window, clearly indicating interim nature. • Prepare analytic financial reports on allocations, utilization and financial status of projects. • Consolidate financial reports and update Portal. • Prepare final Financial Reports			• Oversee COs compliance with recording and reporting requirements of corporate frameworks for FW project activities
8. **Monitoring**	• Monitor projects to ensure that the activities funded by the trust fund comply with the TOR of the trust fund. • Review the financial certified statement submitted by the Fund Administrator and consult with the Chief Finance Officer on any discrepancies. • Review project monitoring reports and approve	• Prepare consolidated project financial monitoring information • Liaise with Regional Bureaus to obtain additional financial monitoring information, where necessary • Share with RBx and Fund Manager periodic financial monitoring reports	• Follow-up with contributing partners on a regular basis to ensure that contributing partners are kept informed and queries are promptly resolved.		• Provide general oversight for CO or regional projects, including any support required from a RBM, project management, political or organizational risk perspective • Review project documents, annual

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					reports, NIM/DIM/NGO audit reports, evaluation reports, etc. • Contribute to consolidated monitoring reports prepared by Fund Manager
9. **Financial Closure**	• Work with RBx to ensure that all projects are closed once all sources of funds have been utilized.	• Monitor the status of project closure • Follow the trust fund closure procedures as set out in the POPP			• Oversee CO compliance with project closure requirements of corporate frameworks for FW project activities
10. **Remedial Actions**	• Submit for the consideration and approval of the OPG the appropriate remedial actions for performance problems identified in the projects implementation • Consult with RBx on proposed remedial actions and proactive identification of problems.	• Based on the performance criteria and the thresholds established by the OPG, prepare reports on the financial implications of remedial actions, and monitor impacts. • Share monitoring findings with RBx and Fund Manager periodically			• Oversee COs compliance with remedial actions for FW project activities • Based on the performance criteria and the thresholds established by the OPG, prepare reports on potential remedial actions and their implications.
11. **Risk Management**	• Prepare risk management strategy for each of the Funding Windows • Request approval from OPG on Risk Management	• Provide inputs on financial and operational Risks	• Provide inputs and implement mitigation measures on external and donor related risks		• Oversee CO risk management processes, and the implementation of

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	Strategy and mitigation measures • Escalate risks as appropriate to OPG. • Ensure risk mitigation measures are implemented				the corporate framework for ERM
12. **Advocacy on the Funding Windows**	• Co-organise (with BERA) meetings of the Contributing Partner Advisory Group meetings	• Support preparation of financial information for Contributing Partner Advisory Group meetings	• Co-organise (with BPPS) meetings of the Contributing Partner Advisory Group meetings • Develop corporate communications on the Funding Windows		• Contribute to Contributing Partner Advisory Group meetings, including on country level results