

Guidance on the Multi-Year Appeal (MYA)

2023



Table of contents

1. Introduction.....	3
2. What is the MYA?.....	4
3. How is the MYA governed?	4
4. Which type of projects can be submitted?.....	5
5. How can implementing partners be engaged in a project?	6
6. Which funding windows are available?	6
7. How are projects submitted and approved?	8
8. When can projects be submitted?	8
9. What is the criteria when submitting projects?	9
9. What are the monitoring and reporting requirements?.....	9
10. Are MYA projects evaluated?.....	10
11. How does DPPA's Gender Marker work?	10
12. How should risks be accounted for when preparing projects?.....	12
13. Who can I contact?	12

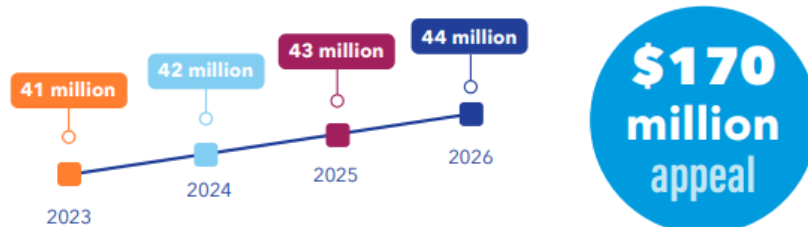
1. Introduction

The Department for Political and Peacebuilding Affairs (DPPA) is the lead entity of the United Nations for good offices, political analysis, mediation, electoral assistance and peacebuilding support. The Multi-Year Appeal (MYA) is a pooled funding mechanism to support DPPA's efforts in preventing and resolving conflict worldwide.

In 2022, the MYA received a record- high of \$36.4 million from 31 donors, which demonstrates an increase of more than 20 per cent compared to 2021. The five largest donors - Germany, The Netherlands, Norway, Sweden and the Republic of Korea - accounted for close to 60 per cent of the total received.

While the MYA maintains an overall healthy cash position, the current funding environment remains uncertain, as key donors continue to announce Official Development Assistance (ODA) cuts and ripple effects of various crises continue to percolate.¹ Therefore, the Department will continue to exert all efforts to further expand and diversify its donor base. In 2022, 86 per cent of the total income was received from the Western European and Other (WEOG)- group, while 10 per cent of funding came from the Asia Pacific region and 4 per cent from others.

In 2023, the MYA is more important than ever as the Department relies on extrabudgetary resources to meet growing demand for its expertise. A **new Appeal was launched, calling for \$170 million** for the period 2023-2026.² The annual funding target for 2023 is 41 million.



The new MYA is guided by the objectives set out in **DPPA's new Strategic Plan for 2023 - 2026**³ and its accompanying Results Framework. The new Strategic Plan reflects the need to continue to make progress across the following goals:

- Goal 1: Preventing and resolving violent conflicts and sustaining peace
- Goal 2: A more effective multilateral architecture for international peace and security
- Goal 3: A stronger, more diverse and more effective Department

¹ An overview of current donor funding and other information related to the MYA can be found at <https://dppa.un.org/en/funding>

² The new MYA Appeal is available at: <https://dppa.un.org/sites/default/files/mya.pdf>

³ The new Strategic Plan is available at: https://dppa.un.org/sites/default/files/dppa_strategic_plan_2023-2026.pdf

The purpose of this guidance is to provide information on the MYA, its governance structure, funding windows and process for accessing funding through the submission and approval of MYA projects.

2. What is the MYA?

The MYA is the primary instrument for DPPA to raise extrabudgetary funding for conflict prevention and sustaining peace. It complements the main source of financing for the Department, the United Nations regular budget, which has been under increasing strain in recent years.

The MYA **enables the Department to maintain crucial efforts**, including support to Special Political Missions (SPMs) and Good Offices of the Secretary-General; technical assistance to electoral processes; political analysis; mediation support capacity; Women, Peace and Security (WPS), climate security and innovation and new technologies.

Some 70 per cent of MYA funding is unearmarked, allowing for flexible and rapid engagement worldwide. Funding can be **deployed within 72 hours** in response to urgent needs.

In the peace and security pillar, the MYA **works alongside other XB funding instruments** that are different in purpose, size, governance structures and target group.

These most relevant to the work of DPPA are:

- (i) The Peacebuilding Fund (PBF);
- (ii) The Joint DPPA-UNDP Programme on Conflict Prevention, and;
- (iii) XB funding from the Department of Peace Operations (DPO).

MYA funding can be accessed through the submission of projects in line with DPPA's mandate from supporting efforts at Headquarters, including thematic Divisions and the single Regional Pillar, to supporting Special Political Missions (SPMs), liaison presences, and non-mission settings in the field.

3. How is the MYA governed?

The Under-Secretary General (USG) for DPPA has the oversight of the MYA and the Trust Fund in support of Political Affairs (SZA) and the authority of the effective and efficient use of voluntary contributions. The USG delegates this oversight to the XB Committee, which oversees the implementation and management of the SZA and all its sub-accounts:

In summary, the XB Committee is responsible for:

- Setting the priorities and policies for XB in general;
- Recommending the approval of MYA projects to the USG and deciding on budget allocations;
- Ensuring there is no duplication between MYA-funded projects and other funding instruments (especially with the UNDP-DPPA Joint Programme and the PBF).
- Overseeing and monitoring the implementation of MYA projects to ensure that results are met;

The XB Committee is chaired by DPPA's Chief of Staff, and composed of representatives of the three front offices of the ASGs who represent the regional divisions; one representative from each thematic division⁴ and the Executive Office.

The XB Committee meets on a bi-monthly basis to review and make recommendations on new projects and additional requests for funding. The Donor Relations Team in DPPA/OUSG is the Secretariat of the XB Committee and works in close coordination with the Executive Office.

The XB Committee is supported by a network of **XB Focal Points and Assistants responsible for the coordination of MYA projects** and activities within their respective divisions. The XB Focal Points (and alternates) are designated in each regional and thematic division under DPPA's purview, and, with support from the Assistants, have the responsibility to provide day-to-day support to Project Managers in their respective divisions in the day-to-day implementation of projects.

4. Which type of projects can be submitted?

MYA funding supports **projects in line with DPPA's mandate** at Headquarters (i.e., for the thematic divisions and the single regional pillar) and in the field (i.e., in Special Political Missions (SPMs), liaison presences and/or non-mission settings).

MYA funding does not support: 1) Projects in support of peacekeeping missions except in the context of a "regional strategy within the remit of a particular peacekeeping mission"; and 2) Projects/activities which are already funded either by assessed contributions (i.e., support account or regular programme budget) or by any other extra-budgetary funding instrument such as the Peacebuilding Fund, the Joint UNDP-DPPA Programme on Conflict Prevention or DPO extrabudgetary funding.

The **planning of MYA projects is initiated** either in the field - SPMs, liaison presences and non-mission settings - or at Headquarters. All projects that are coordinated or implemented in partnership with other stakeholders or UN entities, including Resident Coordinator Offices (RCOs), **must be submitted through the relevant regional desk at Headquarters in DPPA** and cannot be received as standalone submission.

Projects **cannot exceed a timeframe of 12 months** and, as per the annual project cycle, must end on 31 December of each year, regardless of the date of submission.

While there is **no minimum budget threshold**, where possible divisions should not submit individual projects below \$70,000 but instead incorporate these into existing projects.

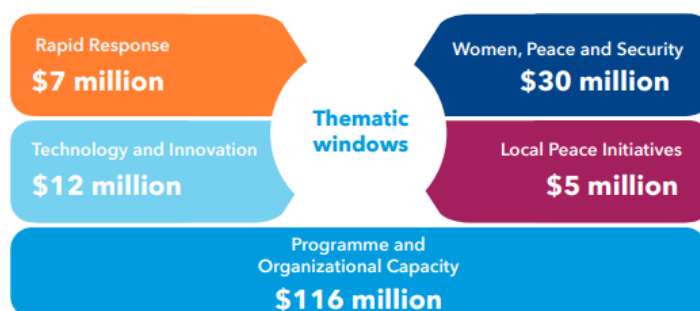
5. How can implementing partners be engaged in a project?

Implementing partners may be engaged through the following modalities:

- For **UN entities**, a partnership may be formalized through a Memorandum of Understanding (MoU) where the terms and conditions (including the negotiation of Programme Support Costs (PSC) of the partnership are defined; or through a financial authorization, for example with UNDP, based on the UNDP Service Level Agreement.
- For **non-UN entities**, the decision on which modality to use depends on whether the SPM is purchasing a market-based product or service, or whether it is working with the partner jointly towards a shared objective. Implementing partners should be selected by the SPM through a strict vetting process that includes a careful assessment of capacity and qualifications.

6. Which funding windows are available?

Funding is available under five thematic funding windows. With the new Appeal for 2023 - 2026, each window has a funding cap for the entire timeframe, limiting the possibility of additional earmarking.



1. Regular projects (programme and organizational capacity)

Regular projects continue to support DPPA’s core work, including in conflict prevention, mediation and resolution through in-depth analysis and targeted support. Activities may include core needs such as XB-funded posts, travel, consultancies, conferences, capacity-building activities, trainings etc. Support to SPMs; Crisis Response system of DPPA: e.g. The Standby Team of Senior Mediation Advisers; Work on policy setting, training, knowledge management, evaluations and strategic communications; and work in partnership with regional organizations, Resident Coordinators (RCs) and UN Country Teams (UNCTs), UN partners, World Bank, civil society, etc.

2. Technology and Innovation

This window responds to the Secretary-General’s Strategy on New Technologies and supports projects that leverage new methods, especially emerging technologies, to

strengthen the UN's conflict prevention, mediation and peacebuilding efforts. With the support of the Innovation Cell in the Policy and Mediation Division, projects are expected to address innovative approaches to peace and security in the human-machine-system nexus, through the development of original methodologies or through the design of new digital applications etc. Projects are submitted in and after consultation with the Innovation Cell.

3. WPS

Dedicated funds are set aside for targeted activities to implement and operationalise the WPS policy and agenda. Projects considered under the WPS window must demonstrate a Gender Marker score of 2b. They should be able to demonstrate impact advancing women's inclusion in political processes and peacemaking and help expand partnerships with women's organizations and civil society groups. With the support of Gender Adviser in the field, MYA projects provide resources for technical and operational support to SPMs, SRSGs and Special Envoys to promote women's political participation (in electoral and peacemaking processes); help SRSGs strengthen engagement with women-led civil society in shaping peacemaking work. Projects are submitted in and after consultation with the Gender, Peace and Security Team in DPPA's Policy and Mediation Division (PMD).

4. Local Peace Initiatives (LPI)

Projects in this window support SPMs in the delivery of their mandates with targeted local peace and mediation initiatives to build trust into a larger strategic engagement on peace and reconciliation. LPIs have an emphasis on inclusion (i. e. women, youth and/or minorities) and on the participation of civil society. Activities may include: Confidence-building measures at the local level to facilitate peace/mediation processes; Convening, dialogue and consensus-building activities between governments and communities; Capacity-building and overall support to women's groups, youth organizations for the establishment of local advisory groups and coordination committees.

5. Rapid Response

Rapid Response supports DPPA's crisis-type situation engagement, short-term needs and new initiatives which cannot be anticipated during the planning process of the regular MYA projects. Activities may include: Early warning, good offices, mediation, conflict prevention and peacebuilding activities (i.e., assessment missions, electoral support, good offices efforts, support to RCs/UNCTs, SRSGs and Special Envoys, support to parties and to regional organizations, national dialogue processes, etc.) and innovative initiatives or projects. Surge posts can be included in a Rapid Response project for a maximum of six months, along with the recruitment of consultants, travel costs, and conferences.

While there is no dedicated funding window for **Climate Security**, the Department works to mainstream this area throughout MYA activities, and investment has consistently grown since 2020. In the years ahead, MYA funding will be used to assist SPMs, especially in the most climate-vulnerable regions, to integrate climate considerations into their work and deliver concrete results.

7. How are projects submitted and approved?

The 2023 project submission process comprises two main steps:

- 1) Submission of project proposal through project and budget template (in MS Word and Excel)⁵
- 2) Submission of projects proposal in UMOJA

All projects are managed and approved through the Integrated Planning, Management and Reporting (IPMR) – platform on UMOJA. The **IPMR provides a single-entry point for all**

elements related to the management of projects and is connected to the budget planning tool (BPC). The IPMR is mandatory for all UN Secretariat entities and can be access via <https://mobile.umoja.un.org>.⁶ The level of access is determined by the user role that is associated with the user’s profile.

All project submissions, except for Rapid Response requests, follow the **same review and approval process**, which entails a budgetary review through the Executive Office, a qualitative review including through OASGs, OUSG and, if needed, relevant thematic focal points for innovations, WPS and climate security, and a review through the XB Committee followed by recommendations for approval by the USG.



Rapid Response requests can be approved within 72 hours by the USG, bypassing the XB Committee’s approval. The maximum timeframe for Rapid Response projects is 6 months and the total amount of the project cannot exceed \$300,000.

8. When can projects be submitted?

In Q3 of each year, the Donor Relations Team launches a call for projects for the entire MYA-portfolio of the following year. For planning purposes, a flexible budget range is assigned to each division to cover projected financial requirements. This range is indicative and does not present a guarantee for funding.

Additional requests for funding and/or new project proposals, **can be submitted to the XB Committee throughout the entire year**. Regular XB Committee meetings take place on a bi-

⁵ All templates and additional guidance are available upon request with the Donor Relations Team.

⁶ Further guidance and step-by-step instructions are available with the Donor Relations team upon request.

monthly basis (January, March, May, July, September and November) to review and approve projects. Additional meetings may be convened, if needed. Approval of projects will depend on the availability of funding and alignment with departmental priorities.

9. What is the criteria when submitting projects?

To be considered, 2023 MYA project proposals should:

- **Contribute to DPPA's Strategic Plan and its accompanying Results Framework:** Projects should clearly define how they contribute to the Strategic Objectives identified in the new DPPA 2023-2026 Strategic Plan. This includes demonstrating how project results are expected to lead to changes in the selected outcomes.
- **Leverage DPPA's comparative advantage:** Projects should clearly state DPPA's mandate and comparative advantage vis-à-vis other partners in the same operating environment, if applicable. Cross-pillar collaboration and joint projects, for example with Peacebuilding
- **Prevent duplication with other funding mechanisms:** Projects should ensure that there is no duplication between the MYA and other extra-budgetary funding mechanisms to maximise value. This is particularly relevant in the case of country recipients of Peacebuilding Fund support (or about to be declared eligible) and/or any activity funded under the UNDP-DPPA Joint Programme on Conflict Prevention. Projects implemented in non-mission settings should be designed and implemented in coordination with the Resident Coordinator or UN Country Team on the ground.
- **Demonstrate gender mainstreaming:** DPPA's Gender Marker, updated for 2023, continues to ensure the integration of gender and WPS considerations across all MYA projects and in all stages of project management, from analysis, design, and implementation, to reporting and evaluation. It also allows the Department to perform gender budgeting and track resource allocation as well as overall investment to advance WPS commitments. All projects must complete the Gender Marker.
- **Provide an exit strategy:** Given the unpredictable nature of extra-budgetary funding, projects should be designed with an exit strategy in mind (i. e. other source of funding or identifying other institutional partners/national counterparts to fund the projects once MYA funding has expired).

9. What are the monitoring and reporting requirements?

Throughout the project cycle, project managers are expected to monitor the financial performance, risks (and accordingly adjust mitigation measures) and overall implementation of the project to ensure deliverables are met. In coordination with the Executive Office, the Donor Relations team organises **quarterly review meetings to assess the performance and implementation** of MYA projects. These quarterly reviews present an opportunity to monitor progress, review budgets and expenditures and adjust or reprogramme activities and unspent funds, if needed.

Reporting on progress and achievements which demonstrate DPPA's impact are critical to conveying our story to donors and ensuring continuity of MYA funding. As such, project managers are expected **to provide midyear and annual progress reports** for their respective projects based on templates provided by Donor Relations. These reports are consolidated for public and donor-specific reporting.⁷ In the case of earmarked funding and depending on the donor agreement, specific additional reporting may be required.

10. Are MYA projects evaluated?

The Department's Evaluation Policy makes provisions for decentralised evaluations, meaning not all evaluations have to be conducted and managed by OUSG. Divisions are encouraged to conduct evaluations or lessons learned of ongoing MYA projects and all project proposals are required to include information on whether any evaluation is planned (or else how activities will be monitored to ensure results are achieved). This is particularly relevant for: (i) Projects that have been ongoing for a long time; (ii) Projects with budgets over \$1 million; or (iii) Projects testing new approaches that need to be assessed before scaling up.

The Department undertakes evaluations and lessons learned studies as per its annual Learning and Evaluation Plan. To complement these systematic assessments, DPPA may also undertake rapid reviews to critically assess and analyse data from relevant MYA projects addressing similar issues.

11. How does DPPA's Gender Marker work?

The Department remains committed to advance its WPS agenda and sustain or increase the funding dedicated towards these efforts. Over the past 3 years, the proportion of projects that either make a significant contribution to the WPS agenda, or are entirely dedicated to WPS, increased by 14 per cent. DPPA's gender marker methodology is designed to ensure the integration of gender and WPS considerations in all stages of project management, from analysis, design, and implementation to reporting. It is also in line with DPPA's WPS Policy and a mandatory step for all MYA projects.

The **gender marker provides a four-point scale** that is based on the average response to six questions, relating to: 1) gender-sensitive analysis; 2) gender expertise; 3) stakeholders engagement; 4) target groups; 5) outputs; 6) budget allocation. While the general principles remain the same, a new gender marker scale was created for 2023 in view of the transition to the IPMR project management platform. The Department is **seeking to only approve projects with gender marker 1** or above, hence, projects with a gender marker 0 will need to include a strong justification. All projects are required to complete the 2023 Gender Marker needs as part of their project submission.⁸ The definition of each scale is as follows:

⁷ The 2022 Annual Report can be found at https://dppa.un.org/sites/default/files/dppa_my_a_annual_report_2022.pdf

⁸ The Gender Marker template is available with the Donor Relations Team upon request

Gender Marker	Definition	Examples
2b	Gender equality/women's empowerment is the principal objective of the project and the project is entirely dedicated to promoting gender equality/ women's empowerment.	<ul style="list-style-type: none"> - Support the gender analysis/ dissemination of research and good practices from women-led civil society and local peace efforts (i.e., mapping local gender priorities for prevention and resolution of conflict and confidence building measures, ensuring whole of society approaches in conflict prevention or PVE efforts). - Provide technical support to implement gender provisions of peace agreements. - Support a gender review of national legislation to assess action needed to repeal discriminatory laws and promote gender equality and women's political participation through legislation, including through quotas and other temporary special measures.
2a	The project significantly contributes to gender equality/ empowering women.	<ul style="list-style-type: none"> - Initiate an advisory or consultative inclusion mechanism with civil society with a focus on women leaders and women peacebuilders. - Strengthen protection systems for women leaders, human rights defenders, and ex-combatants and their families, as well as women members of political parties. - Adapt and integrate UN early warning indicators of conflict-related sexual violence (CRSV) to specific contexts to help inform conflict analysis and broader prevention strategies. - Support Member States in mainstreaming gender in recruitment practices, operational plans, regulations and procedures, consultations, and public outreach for elections.
1	The project contributes to gender equality/ women's empowerment in a limited way.	<ul style="list-style-type: none"> - Including gender specific indicators in early warning mechanism. - Ensuring that ongoing peacemaking and conflict prevention efforts are inclusive and promoting gender-responsive outcomes. - For trainings and events, ensuring that the content covers inclusion and gender equality-related issues and that the participants are gender balanced. - When planning high-level missions, ensuring that women civil society and gender experts are consulted and part of the programme.
0	The project is not expected to contribute to gender equality/ women's empowerment	<p>The project has no consideration of gender equality in its outcomes, outputs, or activities. Projects should at a minimum:</p> <ul style="list-style-type: none"> - Do no harm and not reinforce gender inequality, provide a justification why it was not possible to gender mainstream/ contribute to gender equality

12. How should risks be accounted for when preparing projects?

A list of relevant risk categories taken from the **UN Secretariat Enterprise Risk Management System** can be shared as part of the call for projects. Project managers should pick the most significant risks that may prevent their projects from delivering results. For each risk, project managers should define risk mitigation measures.

13. Who can I contact?

- For additional information on the MYA, please contact Ms. Delphine Bost, Senior Donor Relations Officer (bostd@un.org).
- For additional information on MYA project management, please contact Ms. Claudia Hergarten, Programme Management Officer (hergarten@un.org) and/or Ms Solomia Stahiv, Programme Management Assistant (solomia.stahiv@un.org).
- For additional information on monitoring and evaluation, please contact: Ms. Shuo Bree Feng, Programme Management Officer, (shuo.feng@un.org).
- For questions related to the budget process and access to the IPMR, please contact Mr James Kilonzo, Senior Finance and Budget Assistant (kilonzoj@un.org).