

# Operational Manual

April 2020



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CAMBRIDGE  
EDUCATION

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CANNOT  
WAIT**

The global fund for education in emergencies

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## i. Acronyms

AF	Acceleration Facility	MEL	Monitoring, evaluation, and learning
Col	Conflict of interest	MHPSS	Mental health and psychosocial support
CSG	Child safeguarding	MYRP	Multi-Year Resilience Programme
CSO	Civil society organization	NGO	Non-governmental organization
ECW	Education Cannot Wait	OCHA	UN Office for the Coordination of Humanitarian Affairs
EiEWG	Education in Emergencies Working Group	PSEA	Prevention of sexual exploitation and abuse
ERP	External Review Panel	RFP	Request for Proposals
ExCom	Executive Committee	TOC	Theory of Change
FER	First Emergency Response	ToR	Terms of Reference
FSO	Funds Support Office	UNESCO	United Nations Educational, Scientific and Cultural Organization
GPE	Global Partnership for Education	UNHCR	United Nations High Commissioner for Refugees
HACT	Harmonized Approach to Cash Transfers	UNICEF	United Nations Children's Fund
HLSG	High-Level Steering Group	WFP	World Food Programme
IASC	Inter-Agency Standing Committee		
INEE	Inter-agency Network for Education in Emergencies		
JENA	Joint education needs assessment		
LEG	Local Education Group		
M&E	Monitoring and evaluation		

## ii. Introduction

**This Operational Manual outlines policies and procedures related to the operations of Education Cannot Wait (ECW) as a global fund dedicated to education in emergencies and protracted crises. It is informed by established standards and principles for crisis-sensitive programming in humanitarian contexts and aligned with ECW's Strategic Plan 2018–2021 (see APPENDIX 1.1). The approach adopted strikes a balance between predictability and the need for flexibility that working in crisis settings requires.**

**To ensure that the manual is both comprehensive and user-friendly, it is organized in two parts:**

- 1) a concise main text, providing an overview of governance arrangements and other key components of operationalizing ECW's strategy; and**
- 2) set of appendices, consisting of documents that provide more detailed policy and guidance on a range of issues, including with respect to proposing and implementing projects under ECW's three funding windows (First Emergency Response, Multi-Year Resilience Programme, Acceleration Facility).**

The appendices are cross-referenced for consistency with the main text and with one another, and are accessible on the ECW website: [www.educationcannotwait.org](http://www.educationcannotwait.org).

The Operational Manual and its associated appendices are meant for all of ECW's partners and stakeholders, current and prospective, at both a national and global level. This core manual is intended as a reference document to provide an overview of how ECW operates, while the appendices provide partners with more specific and practical guidance.

To ensure that this operational guidance remains fit for purpose and responsive to ongoing learning and feedback from partners, a process for future updating and refinement of the manual and its appendices is outlined in APPENDIX 5.1.

# 1. ORIGINS



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**Education Cannot Wait (ECW) is the first and only global multilateral fund dedicated to education in emergencies and protracted crises. It was launched during the World Humanitarian Summit in 2016 by international humanitarian and development aid actors, along with public and private donors, to address the urgent education needs of 75 million children and youth in crisis settings.**

Specifically, ECW was created to:

- 1) give priority to quality education for children and youth in emergencies and protracted crises, particularly “forgotten emergencies”;
- 2) secure sufficient funding to cover education needs across crises;
- 3) improve coordination among education actors;
- 4) strengthen capacity to lead and deliver education and recovery efforts, both nationally and internationally; and
- 5) develop and share knowledge to inform decision making.<sup>1</sup>

Translating the World Humanitarian Summit’s Agenda for Humanity into action, ECW’s investments are designed to usher in a more collaborative approach, ensuring that relief and development partners join forces to achieve quality education outcomes. These investments aim to uphold the commitments of the Grand Bargain. They facilitate swift and sustainable action, uniquely enabling actors on the ground to respond with humanitarian speed and development depth to the needs of children and youth in crisis contexts.

<sup>1</sup> For more detail, please see Overseas Development Institute (ODI), *Education Cannot Wait: Proposing a fund for education in emergencies*. London: May 2016. <https://www.odi.org/sites/odi.org.uk/files/resource-documents/10497.pdf>.

This *New Way of Working* – bringing diverse stakeholders together around collective outcomes, providing multi-year financing and promoting a holistic, whole-of-system approach – seeks to transform education responses in emergencies and protracted crises, and to make meaningful and lasting progress towards the achievement of Sustainable Development Goal 4: “Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.”



**“Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.”**

# 2. CHARTER



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ECW commits itself to the following Charter, to which all its partners are also committed:

## 1. VISION

ECW envisions a world where all children and youth affected by crises can learn free of cost, in safety and without fear, in order to grow and reach their full potential.

## 2. MISSION

ECW's mission is to generate greater shared political, operational, and financial commitment to meet the educational needs of millions of children and young people affected by crises, with a focus on a more agile, connected, and faster response that spans the humanitarian – development continuum to lay the ground for sustainable education systems.

## 3. OVERARCHING GOAL

ECW's overarching goal is that ECW-supported interventions reach crisis-affected children and youth, improving their learning outcomes and enhancing their socio-emotional well-being and employability.

## 4. PRINCIPLES: HOW ECW WORKS

ECW facilitates the development of joint programming against a shared set of principles: *humanitarian principles*, such as humanity, impartiality, neutrality, and independence; and, where possible *development principles*, such as national ownership, capacity development, and sustainability. Together, these principles guide ECW towards shared outcomes under the imperative to do no harm and to leave no one behind.

ECW adheres to a **rights-based** approach with attention to international human rights and refugee and humanitarian law, and supports established coordination structures, recognition of comparative advantages, and a clear division of labour.

In the development of joint programming, ECW promotes the **right to education** through the four essential features that ensure its meaningfulness:

- **Availability** – Education is free and there are adequate infrastructure and adequate numbers of trained teachers able to support the delivery of education.
- **Accessibility** – The education system is non-discriminatory and accessible to all, and positive steps are taken to include the most marginalized.
- **Acceptability** – The content of education is relevant, non-discriminatory, culturally appropriate, and of quality; schools are safe and teachers are professional.
- **Adaptability** – Education evolves with the changing needs of society and challenges inequalities, such as gender discrimination; education adapts to suit locally specific needs and contexts.

ECW promotes the application of **core standards for education in emergencies**. These include the fundamental and all-encompassing standards applicable to the provision of education in emergencies and protracted crises, such as the Inter-agency Network for Education in Emergencies (INEE) Minimum Standards as well as the Safe Schools Declaration, the Minimum Standards for Child Protection in Humanitarian Action (CPMS) and the Inter-Agency Standing Committee (IASC) guidance for

humanitarian action – including *Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action*, and *Guidelines on Mental Health and Psychosocial Support in Emergency Settings*.

ECW prioritizes **inclusive education**. ECW's support includes investments targeting children and youth from ethnic and religious minorities, internally displaced persons and refugees, and those with special needs.

ECW prioritizes **gender equality**. ECW's support includes targeted gender-responsive and transformative investments informed by gender analyses. Through implementation of its Gender Strategy 2018-2021 (see Appendix 2.2), ECW seeks to ensure that the specific needs of girls and boys are systematically pursued throughout ECW's work, so that they benefit in an equitable way and inequality is not perpetuated.

ECW places **protection** at the centre of its investments, encompassing the protection of students, teachers, and schools. It supports interventions that ensure physical, psychosocial, and cognitive protection that can sustain and save lives, while also advocating for legal protection under international law.

ECW adheres to **ethical and safeguarding standards** concerning the treatment of children and vulnerable adults.

ECW promotes **capacity strengthening** with multiple partners.

### 5. ADDED VALUE<sup>2</sup>

Through its unique mandate and modalities, ECW:

- Provides speedy support in crisis situations, particularly at the onset of emergencies
- Facilitates joint programming among in-country actors
- Leverages additional financing for education in emergencies and protracted crises
- Ensures crisis-sensitivity
- Strengthens humanitarian – development coherence and the New Way of Working
- Delivers at humanitarian speed with development depth
- Promotes the localization agenda and the Grand Bargain
- Raises the centrality of education in emergencies and protracted crises on the global stage

### 6. CORE FUNCTIONS: WHAT ECW DOES

ECW's five core functions in relation to education in emergencies and protracted crises are to:

- Inspire political commitment
- Generate additional funding
- Plan and respond collaboratively
- Strengthen capacity to respond
- Improve accountability

### 7. LINKS TO STRATEGY

ECW engages in strategic planning processes, leading to the adoption of multiyear strategic plans. ECW's strategic planning puts into action the vision, mission, overarching goal, principles, added value, and core functions articulated in this Charter.

<sup>2</sup> For more detail on ECW's added value, see APPENDIX 2.1.

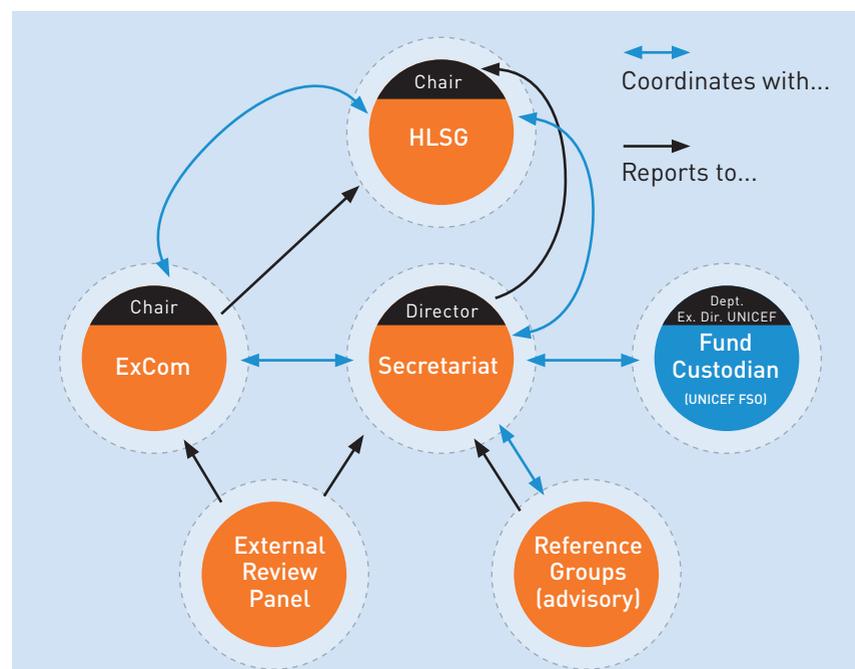
# 3. GOVERNANCE



### 3.1. Introduction

This chapter summarizes ECW's governance structure, including the membership, functions, responsibilities, accountabilities, and work flows of ECW's organs. Those organs and their respective leaders are the High-Level Steering Group (HLSG) and its Chair; the Executive Committee (ExCom) and its Chair; the ECW Secretariat and the ECW Director; the Fund Custodian; the External Review Panel (ERP); and Reference Groups. Figure 3.1 sets out the relationships between ECW's organs.

Figure 3.1 ECW Organizational Chart



### 3.2. High-level steering group

The outline covers the HLSG's membership, chairmanship, compensation, functions, and working methods, including relationships with other ECW organs.

#### A. MEMBERSHIP AND SELECTION PROCESS

There is no fixed number of members to the HLSG, which may grow to benefit from the inclusion of global leaders able and willing to bring experience, political support, funding, and strategic insight to the governance of ECW. The HLSG is comprised of the following:

- 1. Donor Representatives:** All donors including bilateral and multilateral partners, private sector companies and private foundations which contribute to ECW can join the HLSG.
- 2. Country Constituency Representatives:** Up to two senior ministers or current/former Heads of State or Heads of Government from crisis-affected countries, elected for a two-year term, renewable once, by an open, transparent and participatory process facilitated by the ECW Secretariat in consultation with the UN Office for the Coordination of Humanitarian Affairs (OCHA). In addition, the HLSG Chair may invite (non-voting) senior ministers from ECW recipient countries to advise and guide the HLSG on ECW investments in their respective countries.
- 3. Civil Society Constituency Representatives:** At least four heads of civil society organizations (CSOs), elected for a two-year term, renewable once, by an open, transparent and consultative process facilitated by the ECW Secretariat in consultation with INEE and the Global Education Cluster;

those representatives should include both international as well as local or national non-state actors, including at least one representative from a youth-led CSO. If a CSO serves two two-year terms, it may re-apply for membership again after a further two years.

4. **Individual Members *ex officio***, with no term limit to membership:
  - i. The Chair, as a non-voting member
  - ii. The ECW Director, as a non-voting member
  - iii. Five UN agency heads: OCHA, UNESCO, UNHCR, UNICEF, and WFP, with flexibility to add other UN agency heads as partnerships develop
  - iv. The Chief Executive Officer of the World Bank
  - v. The Chair of the Global Partnership for Education
  - vi. The Director of INEE
5. **HLSG members** should be of the level of ministerial, agency or organization head; and contribute to the gender and geographical representative balance of the HLSG.
6. In exceptional situations, **HLSG members may nominate alternates**, normally at the level of their own deputies, to attend a particular HLSG meeting or event.
7. The HLSG Chair may invite a small number of non-voting **observers to attend** HLSG meetings.
8. The names and institutional affiliations of HLSG members are **published on the ECW website**.

## B. CHAIR

1. The Chair will serve for a period of three years, renewable once. Should the need arise, the HLSG can agree by consensus to extend the Chair for one additional year upon completion of two terms.

2. The Chair is a non-voting, independent member of the HLSG and does not represent her/his organization, government, or entity but the fund as a whole.
3. On completion of the term, HLSG members will nominate candidates for a new chair.
4. Selection and renewal of the HLSG chair is determined by HLSG voting members.
5. The Chair is the primary supervisor of the ECW Director.

## C. COMPENSATION

1. HLSG members do not receive compensation for their services and (except for members from crisis-affected countries) meet their own costs of participating in HLSG activities.
2. HLSG members from crisis-affected countries have their reasonable expenses for attendance at HLSG meetings and for participating in other ECW activities paid or reimbursed, in accordance with UN travel regulations.

## D. FUNCTIONS

The HLSG is committed to the vision and values encapsulated in the ECW Charter (see chapter 2 of this Operational Manual). The HLSG's core functions are (i) provision of overall strategic direction to ECW; (ii) advocacy for high-level political commitment and funding for the achievement of ECW's goals and objectives; and (iii) approvals of policies and appointments of the HLSG Chair and the ECW Director.

## E. STRATEGIC DIRECTION

The HLSG:

1. Determines the overall strategic direction of ECW, including approval of the Strategic Plan;

2. Approves Annual Results Report on the performance of ECW to deliver on its strategic plans and vision.

#### **F. ADVOCACY AND RESOURCE MOBILIZATION**

The HLSG:

1. Conducts political and resource mobilization advocacy year-round for ECW and, more widely, for education in emergencies and protracted crises;
2. Approves the resource mobilization strategy supporting ECW's Strategic Plan.

#### **G. DECISION MAKING ON POLICIES AND APPOINTMENTS**

The HLSG:

1. Approves policies relating to ECW's governance in alignment with the Standard Contribution Agreement;
2. Approves funding for grants that would normally be approved by ExCom, but about which ExCom chooses to escalate the decision to the HLSG;
3. Receives semi-annual updates on the use and distribution of Fund resources, and the overall performance of ECW's investments against its results framework and evaluations;
4. Hears and makes recommendations on any major issues relating to governance, fundraising, fraud, the use and management of ECW resources and investments raised by ExCom;
5. Approves the appointment of the HLSG Chair and the ECW Director;
6. Approves ECW's hosting arrangements.

#### **H. WORKING METHODS**

1. The HLSG meets in person twice a year, once in New York during the United Nations General Assembly in September and once in April during the World Bank Spring Meetings.
2. Each meeting is scheduled to last for at least one and a half hours.
3. The meetings focus on strategic issues and high-level decisions and approvals.
4. Virtual meetings via teleconferencing and email consultations are held as necessary.
5. The HLSG uses all reasonable efforts to make decisions by consensus. All past decisions have been taken by consensus. If no consensus can be reached, the Chair of HLSG can call for a vote, any decision of the HLSG requires a majority of members present and voting.
6. Each voting member of the HLSG has one vote.
7. A quorum is a majority of all voting HLSG members (or their alternates).
8. Each HLSG member nominates an ExCom member at senior level to support the HLSG member, receive communications from the Secretariat, advise the HLSG member in decision-making processes, and serve on ExCom to fulfil its assigned functions, as expressed in its ToR.

The HLSG may decide on a threshold, such that donor members must make a minimum contribution to ECW to obtain full voting rights.

### 3.3 Executive Committee

This section is based on the ToR of ExCom. It covers ExCom’s membership, chairmanship, compensation, functions, and working methods, including relationships with other ECW organs. The guidance below reflects developments since ECW’s inception regarding how it operates most effectively. It is harmonized with the guidance concerning the HLSG, in section 3.2 above, and with the ECW Director’s job description.<sup>3</sup>

#### A. MEMBERSHIP AND SELECTION PROCESS

There is no fixed number of members of ExCom, which may grow to benefit from inclusion of people able and willing to bring experience, political support, strategic insight, and technical expertise to the governance of ECW. All ExCom members should be senior with authority to make decisions on behalf of their institutions, and with direct access to their respective minister/head of agency/chief executive officer.

**ExCom’s membership closely mirrors that of the HLSG. It is comprised of the following:**

1. **Donor Representatives:** Senior representatives of those donor countries and organizations, including bilateral and multilateral partners, private sector companies and private foundations, which contribute to ECW, are welcome to join ExCom. They should be officially appointed by their respective HLSG principal in the case of HLSG member institutions,

with authority to make decisions on behalf of their institutions, and with access to their respective minister/head of agency/chief executive officer.

2. **Country Constituency Representatives:** Up to two senior representatives of governments from crisis-affected countries, nominated by their respective HLSG principal, for a two-year term, renewable once.
3. **Civil Society Constituency Representatives:** At least four senior representatives of CSOs, nominated by their respective HLSG principal, for a two-year term, renewable once; these representatives should include both northern and southern CSOs and at least one representative from a youth-led CSO.
4. **Individual Members *ex officio*:**
  - i. The ECW Director, as a non-voting member
  - ii. A senior representative nominated by the HLSG Chair
  - iii. Five senior representatives of UN agencies: OCHA, UNESCO, UNHCR, UNICEF, and WFP, with flexibility to add other senior representatives of UN Agencies as partnerships develop;
  - iv. A senior representative of the World Bank
  - v. The Coordinators of the IASC Global Education Cluster
  - vi. A senior representative of the Global Partnership for Education
  - vii. The Director of INEE
5. **ExCom members** should possess skills, expertise, and experience relevant to ECW; be of a high level of seniority, with ready access to their HLSG principals; and contribute to the gender balance and diversity of ExCom.
6. In exceptional situations, **ExCom members may nominate alternates**, normally at the level of their own deputies, to attend particular ExCom meetings or events.

<sup>3</sup> See APPENDIX 3.3, Director’s job description

7. The **list of institutional ExCom members** is published on the ECW website.
8. The Chair of ExCom may **invite non-voting observers** to ExCom meetings.

#### B. CHAIR

1. The Chair of ExCom is a voting member.
2. The Chair is at the level of senior director or corresponding level.
3. The Chair is elected by a majority vote of ExCom members.
4. The Chair serves a two-year term, renewable once.
5. The Chair may be assisted by a Vice Chair.
6. The Chair is responsible for the effective functioning of the Committee, including ensuring opportunities for active participation by all members.
7. The Chair communicates regularly with the ECW Director to coordinate the respective efforts of ExCom and the Secretariat, and to prepare the agenda for ExCom meetings and calls.

#### C. COMPENSATION

1. ExCom members do not receive compensation for their services and (except for members from crisis-affected-countries) meet their own costs of participating in ExCom activities.
2. ExCom members from crisis-affected countries have their reasonable expenses for attendance at ExCom meetings and for participating in other ExCom activities paid or reimbursed.

#### D. FUNCTIONS

ExCom is committed to the vision and values encapsulated in the ECW Charter (see chapter 2 of this Operational Manual). ExCom's core functions are: (i) to provide macro-level review and monitoring of operations; (ii) to provide macro-level review and monitoring of finances; (iii) to support the HLSG as required; (iv) to provide support to the Secretariat on resource mobilization, operational, technical, or policy issues; (v) to support capacity-building and donor engagement in crisis-affected contexts through members' in-country representation and staff; and (vi) to approve certain actions and decisions. These functions are detailed below.

##### i. *Review and monitoring of operations*

**ExCom reviews, monitors, clears, and flags any major issues to the HLSG concerning:**

1. New ECW policies, strategies, and operational modalities developed by the Secretariat for HLSG approval;
2. Risk mitigation procedures regarding the operations of ECW and the actions of the Secretariat, Fund Custodian, and grantees;<sup>4</sup>
3. The overall progress of ECW investments against the results framework, particularly ECW's core indicators;
4. The progress, timeliness, and effective execution of tasks by the ERP;
5. Participates in the review of ECW hosting arrangements.

<sup>4</sup> ECW uses the term 'grantee' to refer to agencies that are direct recipients of ECW funding. Grants may be made to one or occasionally more grantees. The term 'sub-grantee' refers to agencies or institutions that receive ECW funding from a direct grantee. The term 'implementing partners' is also used to designate sub-grantees. Sometimes the expression 'sub-grantee implementing partners' is used to avoid any ambiguity.

### ii. *Review and monitoring of finances*

**ExCom reviews, monitors, and flags any major issues to the HLSG concerning:**

1. The results of any external or internal audits;
2. Progress towards ECW results and finances as reported in the annual results reports and official financial statements from UNICEF;
3. The Resource Mobilization Strategy supporting the ECW Strategic Plan.

### iii. *Support to the HLSG*

**ExCom:**

1. Supports HLSG members in their advocacy and fundraising activities;
2. Advises the HLSG on any major issues and developments relating to governance, fundraising, the use and management of ECW resources, or the investment portfolio's performance;
3. ExCom member provides updates to their HLSG member on the progress of ECW investments;
4. Makes recommendations to the HLSG on investments exceeding US\$ 3 million that the Committee chooses to escalate.

### iv. *Support to the Secretariat on technical and policy issues*

**ExCom:**

1. May support the Secretariat on relevant operational, strategic, and policy issues, including those raised by the ERP in ERP reports;
2. Supports the Secretariat in its advocacy and resource mobilization activities;

3. Supports the Secretariat in facilitating First Emergency Responses (FERs) and Multi-Year Resilience Programmes (MYRPs) at country level, drawing upon members' field presence where relevant.

### v. *Support to capacity-building and donor engagement in crisis-affected contexts*

**ExCom:**

1. May support the capacity-building of ECW grantees and sub-grantees through in-country coordination structures and members' in-country staff, including in areas that contribute to quality education, such as gender equality and inclusion, protection, Mental Health and Psychosocial Support (MHPSS), nutrition, and livelihoods;<sup>5</sup>
2. May support ECW with seconded advisors and specialists at headquarters and country level;
3. Encourages alignment between ECW investments and in-country investments from other sources to ensure they are mutually supportive to achieve common goals, including in situations in which there is existing in-country sector support;
4. Supports the compilation of information on resources mobilized in-country against ECW-supported programmes.

### vi. *Approvals*

**ExCom** approves the process for carrying out certain operational and financial actions initiated and undertaken by the Secretariat under the authority delegated to the ECW Director by the HLSG. These approvals concern general operational and financial matters as well as matters related to the funding windows.

<sup>5</sup> For more details, see APPENDIX 6.8, *ECW Capacity Building Framework*.

**a. Approval of operational and financial actions and decisions**

Based on requests from the ECW Director, ExCom approves:

1. Policies, for example, relating to earmarking, due diligence, conflicts of interest, risk management, and financial guidelines;
2. Strategies for specific funding mechanisms;
3. The Secretariat's annual budgets and annual work plan;
4. Allocations to funding windows, as well as any mid-year adjustments to those allocations;
5. Additional earmarks to crises above designated thresholds;
6. Innovative finance mechanisms in line with the HLSG-approved Resource Mobilization Strategy;
7. Non-traditional contributors deemed 'high risk' by UNICEF's and ECW's due diligence frameworks and processes;
8. The selection of ECW grantees, where UNICEF is the grantee.

**b. Approval of specific actions relating to the three funding windows**

Within each funding window, ExCom has specific approvals to undertake. In doing so, ExCom works in close coordination with and provides policy advice to the Secretariat. With MYRPs and Acceleration Facility (AF) grants, ExCom also reviews the recommendations of the ERP.

ExCom members may suggest amendments to proposals, focused on compliance with ECW's agreed policies, procedures, and operational guidance, addressed to the Secretariat focal point for the respective grant, within the timeframes set out in the respective funding window guide.

ExCom approves FER grants valued at over US\$ 3 million, all MYRP grants, and AF grants valued at over US\$ 500,000, as well as all grants in which the organization acting as Fund Custodian is included as a grantee. For details of the specific ExCom functions in the approval of the three funding windows, see CHAPTER 4 (below) and the respective guides for the FER, MYRP, and AF windows (APPENDICES 4.1, 4.2, and 4.3).

Approval criteria for each of the funding windows are outlined in detail in CHAPTER 4. In broad terms, however, approvals of funding decisions by ExCom should consider the following:

1. Does the proposed FER, MYRP, or AF financing request align with the ECW Strategic Plan and the ECW Gender Strategy and Policy?
2. For proposals under the AF, does the proposed financing request align with the AF Strategy?
3. Is the requested funding level coherent with the allocations to the associated funding window?
4. For FER requests, has the proposal been subject to the agreed ECW Secretariat internal quality assurance processes; and has it been demonstrated that it has sufficiently met requirements, per the consolidated feedback matrix submitted by the Secretariat to ExCom with each proposal?
5. For funding requests in support of MYRPs and those under the AF, has the proposal been subject to the agreed internal (ECW Secretariat) and external (ERP) quality assurance processes; and has it been demonstrated that it has sufficiently met requirements, per the consolidated feedback matrix submitted by the Secretariat to ExCom with each proposal?
6. For all funding proposals, does ECW have sufficient funding to cover the proposed amount?

**E. WORKING METHODS**

1. ExCom meets quarterly – in person twice per year and by teleconference twice per year.
2. The meetings focus on operational and strategic matters and approvals.
3. Each institutional member of ExCom has one vote.
4. A quorum is a majority of all voting ExCom members.
5. ExCom uses all reasonable efforts to make decisions by consensus. If no consensus can be reached, the chair of ExCom can call for a vote; any decision of ExCom shall require a majority of institutional members present and voting.
6. ExCom members recuse themselves from decisions in which they might have a conflict of interest, for example, in the approval of a MYRP, FER, or AF in which they are the choice of grantee.
7. Given the need to respond quickly to new emergencies and crises, requests for ExCom approvals may be made through email and/or teleconferences and/or through non-objection with a review time of one week. ExCom may call for further discussion and then conduct non-objection votes by email.
8. Minutes are taken during each quarterly ExCom meeting or call and then distributed.

ExCom may decide on a threshold, such that donor members must make a minimum contribution to ECW to obtain full voting rights.

**3.4 ECW Director and Secretariat**

This section covers the roles of the ECW Director and Secretariat – leadership, functions, and working methods, including relationships with other ECW organs. The guidance below reflects developments since ECW's inception in how it operates most effectively. It is harmonized with the guidance concerning the HLSG and ExCom, in sections 3.2 and 3.3 above, and with the ECW Director's job description.

**A. LEADERSHIP – THE ECW DIRECTOR**

The job description of the ECW Director sets out the functions and accountabilities, which are commensurate with the level of the position (D2 – Senior Director) as stated in the employment contract issued by UNICEF.<sup>6</sup> The Director's primary accountability is to the HLSG, and the Director reports directly to the HLSG Chair as primary supervisor and the UNICEF Deputy Executive Director of Programmes as secondary supervisor. The Director's position is governed by UN Staff Regulations and Rules, including UNICEF human resources policies and procedures.

The Director has broad responsibility, under the authority of the HLSG and its Chair, to provide strategic leadership to ECW and manage the Secretariat. As per the job description commensurate to the level, the Director's functions include strategy and policy development and implementation, advocacy to inspire political commitment for the goals of ECW; partnership building

<sup>6</sup> See APPENDIX 3.3, Director's job description.

and development; mobilizing resources to leverage sufficient support for education in emergencies and protracted crises; building alliances among relevant stakeholders (governments, CSOs, private sector companies, foundations, and crisis-affected populations) towards collective outcomes; management of and oversight over ECW investments and the work of the Secretariat; and leadership of knowledge-development and learning to improve response and delivery of education in emergencies and protracted crises.

The Director approves all FER grants valued up to US\$ 3 million and all AF grants valued up to US\$ 500,000, except those of which UNICEF is a grantee. ExCom approves all other grants.

## **B. APPOINTMENT AND PERFORMANCE ASSESSMENT OF THE ECW DIRECTOR**

The ECW Director is selected based on a transparent and highly competitive process, and the ECW Director is a UNICEF staff member under UN Staff Regulations and Rules, including UNICEF human resources policies and procedures. The recruitment includes a global search by an Executive Search Firm, a series of interviews according to UNICEF human resources policies and procedures, and is followed by endorsement by the HLSG.

The ECW Director undergoes an annual performance review which is carried out by the Chair of HLSG and the UNICEF Deputy Executive Director of Programmes, using standard UNICEF performance management processes. In addition, the Chair of ExCom and the ECW Director formulate up to four indicators, aligned with the ECW Director's job description and the ECW Annual Work Plan, at the outset of the planning cycle.

The Chair of ExCom assesses the performance of the ECW Director against these indicators and discusses the assessment with the ECW Director, who can comment on the assessment. The assessment and comments are then shared with the Chair of HLSG to incorporate in the overall performance assessment.

The ECW Director will have a term of four years renewable once for four years, for a total of eight years.<sup>7</sup>

## **C. FUNCTIONS**

Under the leadership of the ECW Director, the Secretariat has overall responsibility for the day-to-day operations of ECW, supporting the HLSG and ExCom to fulfil ECW's five core functions. Secretariat staff members report to the Director, as per UN Staff Regulations and rules, including UNICEF Human Resources Policies and Procedures, and are therefore guided by the core functions and authority delegated by the HLSG to the Director. The Secretariat's functions are thus: (i) strategy and policy development and implementation; (ii) advocacy, external relations, and communication; (iii) oversight and management of fund-raising, finances, reporting, and risk; (iv) management and monitoring of grants and relationships with grantees; and (v) supporting other ECW organs in their work.

### *i. Strategy and policy development and implementation*

- 1.** The Director leads the development and implementation of ECW's strategy, policies, and budget.
- 2.** The Director and Secretariat:
  - a. Oversee and facilitate ECW's strategic planning and policy development processes;

<sup>7</sup> At the time of approval of this manual (April 2020), all existing contracts will be respected. Aligned with UN Rules and Regulations, the tenure must be stated in the vacancy announcement and Letter of Appointment.

- b. Develop policy statements and manage the process of their adoption by HLSG and ExCom;
- c. Oversee the implementation of ECW's strategic plans and policies.

#### ii. *Political advocacy, external relations, and communication*

1. The Director acts as an “influential and powerful advocate”<sup>8</sup> for ECW, in conjunction with the Chair and members of the HLSG.
2. The Director and Secretariat:
  - a. Support and amplify the HLSG's political advocacy efforts;
  - b. Represent ECW externally and support efforts for the field of education in emergencies and protracted crises more broadly;
  - c. Coordinate with external stakeholders in the growing education architecture;
  - d. Manage advocacy and external communication for ECW;
  - e. Actively advocate for inclusive quality education for all children and youth in emergencies and crisis-affected countries;
  - f. Advance child safeguarding, gender equality, and accountability to affected populations;
  - g. Advance the modelling and delivery of quality and inclusive education in emergencies and protracted crises, including protection and MHPSS;
  - h. Ensure that ECW contributes to global knowledge and learning to improve the efficiency and effectiveness of education in emergencies and protracted crises.

#### iii. *Management of fundraising, finances, data, reporting and risk*

1. The Director works with the Chair of the HLSG, supported by HLSG and ExCom members, to develop ECW's case for investment to mobilize new resources from traditional donors and non-traditional funding sources as outlined in the Standard Contribution Agreement.
2. The Director and Secretariat:
  - a. Support countries to leverage additional resources at national, regional, and international levels to meet needs for education in emergencies and protracted crises;
  - b. Manage relationships with current donors and investors;
  - c. Design, pilot, establish, and manage innovative financing instruments;
  - d. Develop ECW's annual budgets and manage spending;
  - e. Manage contracts with service providers;
  - f. Manage ECW's data, including data sharing and knowledge management platforms, in line UNICEF's data privacy policy;
  - g. Manage and minimize risks to ECW, in coordination with the Fund Custodian;
  - h. Provide regular reports to donors and the HLSG as required.

#### iv. *Management of grants and relationships with grantees*

For details of the specific functions of the Director and Secretariat in management of the three funding windows, see chapter 4 (below) and the respective guides for the FER, MYRP, and AF windows (APPENDICES 4.1, 4.2, and 4.3).

<sup>8</sup> See APPENDIX 3.3, Director's job description

#### v. *Supporting other ECW governance organs*

The Secretariat supports and facilitates the activities of the HLSG, ExCom, the Fund Custodian, the ERP and Reference Groups.

#### D. WORKING METHODS

1. The ECW Director leads ECW and manages all the work of the Secretariat.
2. The Secretariat works in close partnership and coordination with ExCom and the Fund Custodian.
3. The Secretariat helps the Chairs of the HLSG and ExCom to prepare for meetings and teleconferences, aiming to provide background documents to the HLSG three weeks in advance, and to ExCom two weeks in advance of meetings.
4. The Secretariat manages, facilitates, and supports the work of the ERP and Reference Groups.
5. The Secretariat contracts and manages external service providers as required to fulfil ECW's five core functions.

### 3.5 External Review Panel

The ERP has been established to provide independent, expert technical advice, contributing to quality assurance for all incoming MYRP proposals and for AF proposals greater than US\$ 500,000. It also provides recommendations to ExCom or the HLSG on the technical content and funding of such proposals. The ToR for the Panel can be found in APPENDIX 3.4.<sup>9</sup>

#### A. MEMBERSHIP AND SELECTION PROCESS

1. The ERP roster consists of 4–6 members.
2. Panel selection criteria: (i) Broad, geographically diverse experience relevant to ECW's needs, including in emergency situations; (ii) experts from both the humanitarian and development sectors; (iii) expertise in education, different emergency contexts, human rights, gender, inclusion, refugees and migration; and (iv) ethnic and gender diversity.
3. A member of the ECW Secretariat serves as the coordinator and secretariat of the panel.
4. The ERP coordinator will select a minimum of three reviewers from the roster ('serving members') to review a given proposal, based on expertise requirements for that particular review.
5. All members serve in a personal capacity and do not represent their employers or governments.
6. The reviewers will not be current members or delegates of the HLSG or ExCom, or be current members of the Secretariat.

<sup>9</sup> The current version is 20190130 draft External Review Panel ToR, available from the Secretariat.

7. The recruitment process for the ERP roster will be open and transparent, following UNICEF Division of Human Resources recruitment procedures, and its publicly available selection criteria. The Secretariat and Director are responsible for conducting the recruitment process and preparing and sending a proposal of ERP roster members to ExCom for their approval.
8. Members are appointed for three-year terms. Membership can be renewed for an additional term, for a maximum of six consecutive years.

## B. FUNCTIONS

### The ERP:

1. Reviews proposals for AF grants exceeding US\$ 500,000 and MYRP grants (following the Secretariat's review for completeness and compliance with agreed guidelines);
2. Makes recommendations to ExCom or the HLSG on funding of proposals based on technical soundness and review criteria (see APPENDICES 4.2 and 4.3);
3. Has no decision rights.

For details of the functions of the ERP coordinator, see the ERP ToR (APPENDIX 3.4).

## C. WORKING METHODS

### i. Meetings

1. Annual meetings of ERP consultants working on review of proposals are held in person or by teleconference and are convened by the ERP coordinator.
2. Meetings are closed to the public. If held by teleconference, only ERP members may be present.

### ii. Recommendation on funding

1. All reasonable efforts will be made to make recommendations by consensus. If a consensus cannot be reached, a majority vote of the reviewers will be used.

### iii. Reporting and minutes

1. The ERP will produce a consolidated report of its activities, observations, recommendations, and findings across grant applications after each meeting, to be submitted to the ECW Director and ExCom. These reports will be retained by the ECW Secretariat, and may be made publicly available on ECW's website.
2. The reviewers will produce a report on each proposal reviewed, specifying whether or not the proposal is recommended for funding (including whether it is for full, partial, or no funding), the Panel's reasons, whether there are any major outstanding issues that need to be addressed prior to disbursement, as well as any additional recommendations for the Secretariat and ExCom's attention.

### iv. Conflicts of interest

1. ERP members will not take part in any discussion or action for proposals:
  - In which they took part in the preparation process;
  - That would directly benefit an organization or entity to which they are affiliated;
  - That are from countries of which they are a citizen or where they have strong personal or professional ties.

For further details on provisions for avoiding conflicts of interest, see the ERP ToR (APPENDIX 3.4).

#### v. *Remuneration*

1. ERP members will receive an honorarium for actual services provided on a per proposal basis, as well as reimbursement for travel expenses in accordance with UNICEF's travel policy. The honorarium amount will be determined in accordance with ECW policies and budgets.
2. ERP members are not required to accept the honorarium and may agree to serve in a voluntary capacity.

### 3.6 Reference Groups

This section of the Operational Manual covers the functions, membership, and selection of Reference Groups.<sup>10</sup>

#### A. MEMBERSHIP AND SELECTION

1. Reference Groups may be comprised of:
  - i. Technical and policy specialists drawn from ExCom, its constituent governments and organizations, who possess relevant expertise and experience;
  - ii. Technical and policy specialists drawn from non-members of ExCom who possess relevant expertise and experience.
2. The Secretariat develops a ToR for each Reference Group.
3. The Director with the Chair of ExCom nominates members and chairs as necessary.
4. The Director, with the Chair of ExCom takes into account the

experience and seniority of nominated individuals, relevant expertise, ability to meet necessary time commitments, and fair and equitable representation within the Reference Group.

5. The Director and the Chair shares the list of nominations with ExCom.

#### B. FUNCTIONS

1. Reference Groups are groupings of experts drawn from ECW constituencies and established by the Secretariat to provide technical advisory inputs to ECW's work.
2. Some Reference Groups are established to develop specific deliverables, such as drafts of ECW policies and procedures, within assigned time periods, after which they are dissolved. Some may be reconvened as ECW's needs, opportunities, and circumstances evolve. Some are standing Reference Groups, with ongoing functions, and without a fixed time horizon.
3. Reference Groups are one means through which ExCom members and other ECW stakeholders can engage with and provide thematic technical advice and support to the work of the Secretariat.
4. Reference Groups have no decision-making authority.

#### C. WORKING METHODS

1. Reference Groups meet as needed, in person when possible, otherwise by teleconference.
2. The meetings focus on the deliverables specified in the Reference Group's ToR.
3. Reasonable deadlines are set for Reference Group deliverables.
4. Minutes will be taken during each Reference Group meeting or call and will be distributed to the members.
5. Each Reference Group will provide inputs to the regular ECW Operational Updates circulated to ExCom.

<sup>10</sup> Reference Groups were formerly known as Task Teams.

### 3.7 Fund Custodian

ECW is an independent global fund, with its own governance structure. However, for purposes of administrative and financial management, ECW is currently hosted by UNICEF. Under these arrangements, the hosting organization acts as Fund Custodian on behalf of ECW.

At present, ECW is hosted by UNICEF, with the specific role of Fund Custodian being fulfilled by the UNICEF Funds Support Office (FSO). The responsibility for facilitating administrative operations for ECW, supporting grant management, and ensuring compliance of grantees with UNICEF rules, regulations, and procedures (to which ECW must adhere as a hosted Fund) lies with the FSO, which sits under the control of the UNICEF Comptroller. The FSO also supports the financial management of ECW and manages the distribution of ECW funds to grantees. It does so at the request of ECW and on its behalf.

#### A. FUNCTIONS

Specific functions of the Fund Custodian, with appropriate support from the ECW Secretariat as needed, include:

1. Manage and administer ECW's Fund and Secretariat Accounts in accordance with UNICEF's financial rules and regulations.
2. Accept ECW contributions, unearmarked and earmarked in accordance with the earmarking requirements of the donor, by ensuring the rapid conclusion of a standard contribution agreement (SCA) between a donor and ECW for the receipt and application of funds.

3. Manage the 1 per cent administrative agent fee on all ECW contributions.
4. Manage the disbursements of funds to grantees, including project revisions, from ECW's Fund Account in accordance with decisions of ECW's governance
5. Ensure that ECW Secretariat and donors have timely access to all financial reports.
6. Ensure that allegations of fraud and misuse of funds are followed-up and that due process by all parties is followed.
7. Manage risk by assessing grantee financial management capacity and core values in accordance with UNICEF's Harmonized Approach to Cash Transfers (HACT) policies.
8. Manage the year-end financial activities for the Secretariat, including work planning and budget approvals.
9. Ensure that the Secretariat has full access to UNICEF's suite of services, including human resources, procurement, administrative services, legal, travel etc.

#### B. CONFLICT OF INTEREST SAFEGUARDS

Appropriate safeguards are in place to maintain the independence of ECW and avoid any perceived or real conflict of interest concerning the Fund Custodian. This includes requiring the review and approval by ExCom of all proposals involving the Fund Custodian (at present, UNICEF) as a grantee. It also implies communicating clearly to grantees about the capacity in which the Fund Custodian may interact with them on behalf of ECW and making the distinction between ECW and its Fund Custodian readily apparent in branding and communication (e.g., through the creation and use of its own email domain). Furthermore, it means ensuring that procedures are in place to prevent against privileging of the organization serving as Fund Custodian in any

### 3. Governance

way (voluntary or involuntary), including in communicating new opportunities or approving proposals and other requests.

ECW will develop guidance on identifying and addressing actual or potential conflicts of interest, including with respect to the relationship between ECW and its Fund Custodian, to be included as APPENDIX 7.4 to this Operational Manual.

## 4.

# FUNDING WINDOWS



The majority of ECW financial investments (95 per cent) are allocated to support country-level programming through two windows: FER and MYRP. The third ECW window, the AF, constitutes up to 5 per cent of ECW funding and aims to provide a flexible financing mechanism to fund strategic initiatives that tackle a prioritized subset of systemic barriers.

## 4.1 First Emergency Response Window

### A. INTRODUCTION

This window responds to the most immediate and urgent education needs as a crisis suddenly occurs or escalates. It provides rapid funding against an inter-agency coordinated proposal and is aligned with inter-agency planning and resource mobilization strategies, such as Flash Appeals and Humanitarian Response Plans. ECW's target is to deliver funds as expediently as possible after the declaration of the emergency, or of ECW entering into a dialogue with field emergency coordination mechanisms (typically the Education Cluster, UNHCR, the Education in Emergencies Working Group [EiEWG], or the Local Education Group (LEG) in rare cases where no humanitarian coordination body exists).

The size of the investment is determined by the following criteria: the extent of the needs, the size of the response, available financial resources, and the capacity of partners to implement. ECW does not set the level of funding as a percentage of the overall education requirements of the emergency via this window.

Rather, the Secretariat enters into a dialogue with field emergency coordination mechanisms and recommends a realistic level of funding.

The guidance below briefly summarizes processes for application, implementation, and monitoring of FER grants, criteria for selection of crises to be supported, of grantees and of proposals, responsibilities for approval of proposals and workflows.

For a discussion of the relationships between FER and MYRP grants, see section 4.2.e (below).

### B. GUIDANCE FOR APPLICATION, IMPLEMENTATION, AND MONITORING OF FER GRANTS

ECW's detailed guidance on the FER window is contained in the *Guide for Applying for First Emergency Response Grants*, available on ECW's [website](#) and found in APPENDIX 4.1.

The guide includes separate templates for drafting FER Concept Notes for FER grant applications by potential grantees and their implementing partner organizations.<sup>11</sup> It covers crisis selection criteria for FER grants, an overview of the FER application process and timeline, the responsibilities of in-country Coordination Leads (Education Cluster, EiEWG, or UNHCR) to establish wide and transparent communication channels involving government and all in-country partners, process requirements for successful applications, programmatic guidance, grantee selection criteria, detailed guidance for completing the FER

<sup>11</sup> For full list of templates for the respective funding windows, see "Planned Appendices" at the end of this manual, APPENDIX 4.4-4.12A-B.

application template, an overview of quality assurance processes, the monitoring responsibilities of FER grantees, reporting requirements, and interactions with the Secretariat and Fund Custodian that grantees may anticipate during programme implementation. Appendices to the guide provide the actual templates required by applicants. The FER Application template and Budget and Narrative Reporting template are also available separately on ECW's [website](#) (APPENDICES 4.4 and 4.10A). The FER Quality Assurance template is currently under development and will become APPENDIX 4.7.

ECW foresees the need for revision of the FER Guide in conjunction with the development of each new Strategic Plan to respond to evolving needs and to reflect stakeholders' experiences with application for the implementation and monitoring of FER grants.

### C. SELECTION CRITERIA

ECW has developed criteria for FER crisis selection, grantee selection, and proposal approval, outlined below.

These selection criteria are subject to review in conjunction with the preparation of each new Strategic Plan. They may be adjusted or refined as needed on the basis of lessons learned and alignment with ECW's overall strategic direction for a given plan period. Any adjustments or refinements made will be reflected in the Operational Manual and all other relevant guidance accordingly.

Table 4.1 FER Selection Criteria and Approval

### Crisis selection criteria

The ECW Secretariat actively monitors classifications by the IASC, UNICEF, and UNHCR. Where there are sudden-onset crises or escalations in existing crises, it approaches coordination mechanisms (typically the Education Cluster, UNHCR, or an EiEWG) to ensure awareness of ECW and to test the demand and need for ECW support. ECW also responds to requests emanating from in-country stakeholders regarding emerging or escalating crises, communicated either by the Resident Coordinator/ Humanitarian Coordinator, or by relevant coordination mechanisms for humanitarian crisis. Such requests may also come directly from national governments. In the case of large-scale acute emergencies, ECW is proactive to support the response and may reach out to the country through the appropriate coordination mechanism.

ECW will aim to make the crisis selection decision within *one week* of the triggering of a crisis review based on the below criteria. Operationally, the Secretariat retains management discretion to manage the crisis review and selection process.

#### Eligibility

1. New or sudden-onset emergencies or escalation of existing emergencies classified as L1, L2, or L3 (using UNHCR and UNICEF lists for L1 and L2 classifications, and IASC for L3) create immediate and urgent needs and trigger humanitarian response.
2. New displacement occurs and/or there are increases in the numbers of out-of-school children and youth.
3. The country has previously received FER funding, still satisfies the basic criteria above for a FER, and is not prioritized for a MYRP.
4. When the country triggers the 'Anticipatory Action' to reduce the impact of disasters and address humanitarian needs, as described in APPENDIX 4.19.

### Selection criteria

1. Need – both in terms of scale (e.g., number or proportion of children and youth affected) and vulnerability (e.g., out-of-school children and youth).
2. Gaps in support – in terms of having fewer needs met or being less likely to have needs met in the near future, whether via other funding sources or government support. If available, ECW draws on joint education needs assessments (JENAs) in making these decisions. When and where necessary, ECW may contribute to the undertaking of a JENA.
3. Added value – in terms of the extent to which ECW is likely to be able to make a difference, where ECW funds can be catalytic in terms of bringing other donors on board and where FER funds might have greatest impact.
4. Alignment with ECW's strategic priorities – as outlined in the current ECW Strategic Plan.

### Additional considerations

- Increased attacks on education and other protection-related concerns, as well as other emergency indicators
- Plans to launch a Flash Appeal or other strategic appeal under the humanitarian coordination mechanism
- The volume of unmet requirements in education in the crisis-affected region
- Potential to highlight a forgotten emergency
- Potential to draw in additional funders
- Potential to incentivize inclusion of education in strategies and appeals

### Grantee eligibility and selection criteria

The decision about which organizations should receive funds is made at country level via a process facilitated by the 'Coordinating entity'.<sup>12</sup> (See APPENDIX 4.1 for more detailed guidance, including a list of suggested criteria for grantee selection.) For individual country responses, there is no fixed limit on the number of grantees. ECW is committed to diversification (ensuring a healthy balance between UN agencies and NGOs, increasing reach to the most vulnerable, and promoting sustainability), though efforts should be made to avoid fragmenting funds across a large number of grantees.

ECW can directly fund UN agencies and NGOs that have received a HACT-based micro-assessment of 'low' or 'moderate' risk. Other organizations are eligible to receive funds as sub-grantees of directly-funded grantees in line with the sub-granting procedures of the grantee. In exceptional circumstances, for example, in response to rapid-onset natural disasters, ECW may fund non-HACT assessed grantees and treat them as 'high risk' pending the completion of a HACT micro-assessment.



<sup>12</sup> The 'Coordinating entity' refers to the coordination mechanism designated to coordinate preparation of the FER application (e.g., the Education Cluster or EiEWG) in a given context.

## Application approval criteria

The decision to fund a FER application is based broadly upon the following criteria:

1. A coordinated application among first responders (e.g., government, United Nations, and NGOs), developed collaboratively through existing coordination mechanisms (i.e., Education Cluster, EiEWG, or an equivalent) and aligned with their strategies, sector plans, and operational priorities – with specific engagement of local civil society from the outset, including through separate consultation where not represented in existing coordination mechanisms;
2. A clear understanding of the education needs in the crisis-affected area, including the needs of marginalized groups, with attention to gender and inclusion;
3. A compelling plan to address the education needs identified, including how the grantee(s) will pursue the sustainability of the intervention, i.e., through the definition of shared outcomes, and how the intervention will contribute to those shared outcomes;
4. Alignment with humanitarian standards and conflict-sensitive education principles, including the INEE Minimum Standards, the Child Protection Minimum Standards, the Sphere Handbook, and the IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings;
5. The technical soundness of the application and its component projects;
6. Alignment with ECW's strategic results framework and issue-specific strategies and policies (e.g., the ECW Gender Strategy 2018–2021, see APPENDIX 2.2);
7. The extent to which the proposal is likely to maximise the impact of ECW's resources;
8. The extent to which the application takes into account long-term implications of emergency education interventions.

## Approval responsibility

Based on recommendations from the Secretariat, the ECW Director approves:

1. FER funding for investments up to US\$ 3 million. This includes approval of crisis selection and proposals.

Based on recommendations from the ECW Director, the Executive Committee approves:

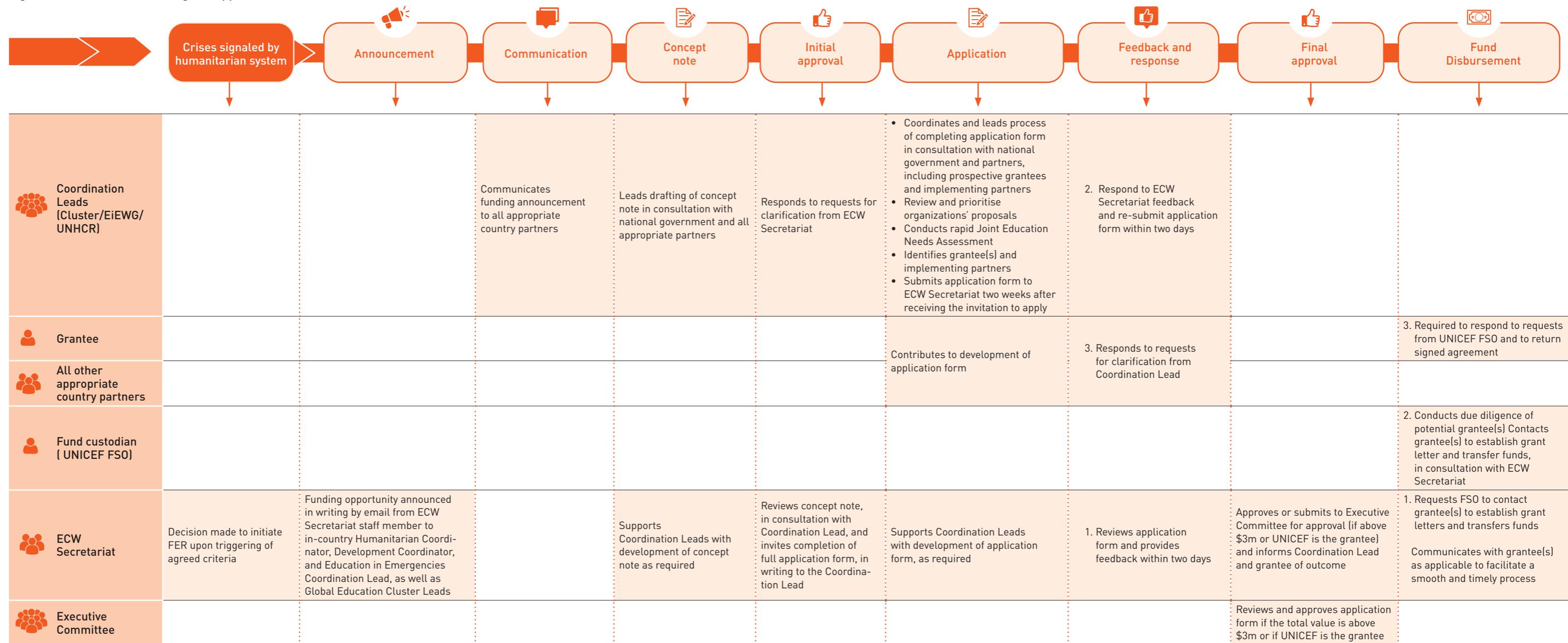
1. The FER reserve based on a request from the Secretariat;
2. The eligibility criteria for FER grantees;
3. FER funding for investments exceeding US\$3 million. This includes approval of crisis selection and proposals.
4. FER funding for investments less than US\$3 million where UNICEF is a grantee or sub-grantee (while UNICEF is the Fund Custodian). In these cases, a non-objection request will be issued by the ECW Secretariat to ExCom. This request will not solicit comments on the content of the proposal, but simply ask whether there is any objection to UNICEF acting as grantee in this specific context.

### D. WORKFLOWS

Figure 4.1 (below) sets out the flow of work between ECW bodies and other entities involved in a FER grant. While the timeline is indicative, it is in the interest of the children, teachers, parents, and communities affected by emergencies that each participant in these processes acts with the maximum speed possible, while balancing the need for inclusive and thorough in-country consultations to ensure the highest quality of programme planning, design, and implementation.

4. Funding windows

Figure 4.1: Work flows for FER grant applications<sup>13</sup>



## 4.2 Multi-Year Resilience Programme Window

### A. INTRODUCTION

This window responds to education needs in protracted crises. MYRPs address quality and financing challenges for education that persist in the humanitarian sector, as well as in the gap between short-term humanitarian and long-term development investments. Through extensive consultation with both humanitarian and development actors, coordination between humanitarian and development coordination bodies (i.e., LEG and Cluster), and collaboration on planning processes (including joint needs assessment), MYRPs make possible joint analysis, multiyear planning, and joint programming in protracted crises. By integrating immediate and medium-term responses that are mutually reinforcing, MYRPs facilitate long-term predictable funding, helping to strengthen coherence between humanitarian relief and development interventions and financing. MYRPs are closely aligned with existing plans and strategies, seeking to bridge national sector plans and humanitarian response plans, and they serve as both a financing and resource mobilization tool. In the case of a regional crisis (e.g., a regional refugee crisis), ECW will consider funding regional efforts across multiple countries, in addition to programmes developed at country level.

MYRPs are country-led and build on existing strategies and plans (such as the Comprehensive Refugee Response Framework, Cluster Strategies, Humanitarian Response Plans, and Education Sector and Transitional Plans), promote gender responsive programming, and aim to bridge short-term education actions with medium to long-term development interventions. ECW helps facilitate the process of developing these programmes (which are predominantly led by governments) and provides some seed

funding to help get them up and running and stimulate additional financing.

Thus, requests from the ECW Secretariat are for the *financing* towards these MYRPs. ExCom will be requested to take a decision on the financing request based on its judgement as to whether the programme document has gone through the necessary quality assurance processes and whether the proposed interventions to be financed by ECW are in line with relevant strategies.

## B. GUIDANCE FOR APPLICATION, IMPLEMENTATION, AND MONITORING OF MYRP GRANTS

ECW's detailed guidance on the MYRP window is currently under development.<sup>14</sup> Once complete, that document will become APPENDIX 4.2 to this Operational Manual.

The MYRP guide will cover an overview of the MYRP application process and timeline; the responsibilities of in-country Coordination Leads (Education Cluster, Education in Emergencies Working Group (EiEWG), UNHCR, or the Local Education Group (LEG) if no other more appropriate coordination mechanisms are available) to establish wide and transparent communication channels involving government and all in-country partners; process requirements for successful applications; grantee selection criteria; detailed guidance for completing the MYRP application template; programmatic guidance; requirements for programme implementation, including for an in-country programme oversight structure; engagement with national and local government ministries and authorities; use of the MYRP process for additional in-country resource mobilization;

<sup>14</sup> The current version, made available by the ECW Secretariat, is *17\_07\_19 MYRP proposal template with Guide*.

an overview of quality assurance processes; the monitoring responsibilities of MYRP grantees; reporting requirements; and interactions with the Secretariat and Fund Custodian that grantees may anticipate during programme implementation. Appendices will include essential grant application templates. The MYRP Quality Assurance template is currently under development and will become available as APPENDIX 4.8. A Narrative Reporting template is available on the ECW [website](#)<sup>15</sup> (see APPENDIX 4.11a).

ECW foresees the need for revision of the MYRP Guide in conjunction with the development of each new Strategic Plan to respond to evolving needs and to reflect stakeholders' experiences with application for, implementation and monitoring of, and accountability for MYRP grants.

## C. SELECTION CRITERIA

Table 4.2: MYRP selection criteria and approval

### Crisis selection criteria

Each ECW Strategic Plan outlines the protracted crises to be targeted by the MYRP window during the plan period. That set of priority countries is determined during the strategic planning process, using parameters that are aligned with the overall strategy.

The Secretariat makes a recommendation to the HLSG on both the number and list of countries where proposals should be sought, which the HLSG reviews and approves as part of approving the Strategic Plan. Once the HLSG has agreed to the list of priority countries outlined in the Strategic

<sup>15</sup> The document is entitled *Education Cannot Wait – Narrative report, Multi-Year Resilience Window*.

Plan, ECW establishes a timetable for initiating the development of MYRPs over the plan period.

The Secretariat retains management discretion to propose to ExCom on an ad hoc basis that crisis situations be reviewed for inclusion among the priority countries for the plan period in progress. Similarly, the Secretariat may modify the established timetable for initiating MYRPs on the basis of unfolding developments and strategic opportunities, as needed.

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#### Ranking of protracted crises<sup>16</sup>

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1. The severity of the crisis (not specific to education);
2. The risk of the crisis continuing and/or new crises emerging (not specific to education);
3. The humanitarian funding needs for education;
4. The level of per-capita education funding from humanitarian and development sources; and
5. The education needs in the country (i.e., with regards to access, equity and continuity).

For a more detailed explanation of these criteria, see APPENDIX 4.13B, Methodology for MYRP Country Prioritisation. These five criteria – and/or the methods for calculating the corresponding scores and indices – may be revised or adjusted as needed during the strategic planning process to ensure alignment with ECW's overall strategic direction for a given plan period. Any adjustments or refinements made will be reflected accordingly in the Operational Manual and all other relevant guidance.

<sup>16</sup> The selection process defines a 'protracted crisis' as any crisis that has had a humanitarian emergency for the past three years consecutively, based on OCHA appeals data, UNHCR Refugee Response Plan information, and UNICEF Humanitarian Action for Children appeal information. When new crises emerge, and are expected to become protracted, they may also be considered.

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#### Programme development

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A MYRP is developed by a coalition of actors working in education in the crisis-affected area, in close collaboration with national governments and in line with principles of crisis sensitivity. To ensure positive educational outcomes, the MYRP builds linkages with other relevant sectors and bridges humanitarian response plans with national sector plans. For more detail about governance and management of the MYRP process at country level, see APPENDIX 4.2.

ECW may support the formulation of a MYRP through the deployment of technical and financial resources, including through the early release of funds for assessment and analysis of need

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#### Anticipatory Action Approach

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To ensure the availability of fast and flexible financing available for preparedness, early action/mitigation, early response, and early recovery, a sub-window for financing anticipatory actions is available under the MYRP window to allow for funds to be raised and allocated to the Anticipatory Action Plans in qualifying countries. This approach is aligned with UN General Assembly Resolution 74/118 and ECOSOC Resolution E/Res/2019/14.<sup>17</sup> The MYRP Plans can be used to deliver funding for activities related to identified needs triggered through the Anticipatory Action Approach, as described in APPENDIX 4.19.

<sup>17</sup> UN General Assembly Resolution 74/118 and ECOSOC Resolution E/Res/2019/14 encourage "strengthening innovative and anticipatory mechanisms and approaches, such as forecast-based and risk financing . . . to reduce the impact of disasters and address humanitarian needs.

## Grantee and sub-grantee implementing partner eligibility and selection criteria

Generally, ECW funds one MYRP per selected country or region in crisis. In some contexts, and with the agreement of ECW and the county-level actors, ECW may solicit and fund multiple aligned MYRPs for a selected crisis if political considerations make multiple proposals more effective. For more detail about governance and management of the MYRP process at country level, see APPENDIX 4.2.

### Eligibility

If a proposal is approved, one or several grantees selected by the in-country MYRP Steering Committee will be responsible for managing funds. Grantees will be screened as part of the joint proposal process to ensure they are able to fulfil ECW's fiduciary requirements and risk management protocols. ECW can directly fund organizations that have received a HACT-based micro-assessment of 'low' or 'moderate' risk. Other organizations are eligible to receive funds as implementing partners of direct grantees in line with the sub-granting procedures of the grantee.

### Selection criteria

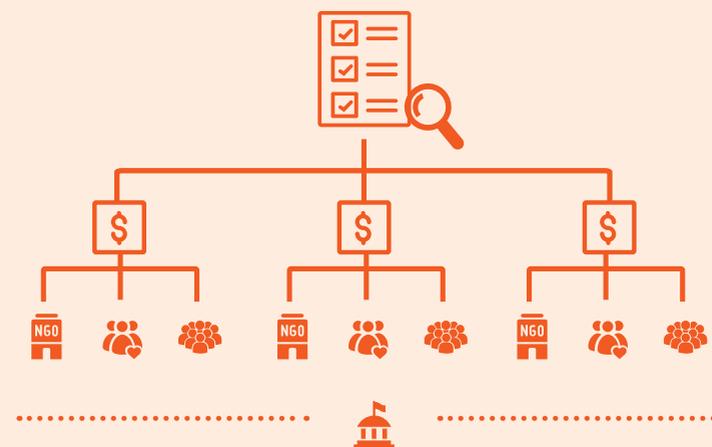
The ECW Secretariat does not make decisions regarding selection of grantees or sub-grantee implementing partners and respects the choices made at country level, provided they comply with ECW's fiduciary requirements and risk management protocols and are selected through a process that is based on objective criteria and is open, fair, and transparent.

ECW is committed to funding a diverse set of grantees across its investment portfolio. Each joint proposal should involve a range of sub-grantee implementing partners, with the aim of including multilateral organizations, international and national NGOs, and local CSOs.

Where it is reasonable to do so, proposals should include national governments as key partners in the assessment of needs and preparation of the joint response plan and should be aligned with country education plans. In refugee contexts, preference will also be given to proposals that support governments to include refugees within the national education system.

In the interest of increasing the diversity of implementing partners and supporting localization, MYRPs should involve national and local CSOs (e.g., national NGOs, local community and religious organizations), including through the conduct of a robust local civil society consultation as part of the joint proposal process and the inclusion of local civil society actors as implementing partners.

Documentation to support the Steering Committee's assessment of grantees against criteria will be shared with ECW along with minutes of meetings.



## Proposal approval criteria

### The decision to fund a proposal and, if so, how much funding to allocate is based broadly upon consideration of the following criteria:

The ERP and the ECW Secretariat will review each MYRP prior to tabling the proposal for approval for ECW seed funding. The review report from the ERP will inform ExCom about the assessment in relation to:

1. **Understanding of needs:** A comprehensive understanding of education needs over a three- to five-year period in the crisis-affected area, including the needs of marginalized groups, informed by the completion of contextual, risk, and gender analyses. The MYRP draws on JENAs and other context specific assessments. When and where necessary, ECW may contribute to the undertaking of a JENA.
2. **Comprehensive and relevant programme:** A comprehensive and inclusive programme to address education needs (including gender equality, protection, and the inclusion of marginalized groups) over a three- to five-year period in coordination with existing actors, including the national government (which usually has a national education sector plan), and the Education Cluster, wherever appropriate. This programme should adhere to humanitarian principles, while adopting approaches that are rights-based, are conflict-sensitive and do no harm, and that promote resilience.<sup>18</sup> It should pursue shared outcomes by being aligned with national education sector plans, humanitarian needs overviews, humanitarian response plans, and transitional education sector plans (where any of these exist). It should reflect consideration of linkages to longer-term development and system-strengthening needs. It should also demonstrate how sustainability will be pursued for the proposed programme, both across the MYRP period and beyond, and should include a strong risk management plan.

3. **Technical soundness and alignment with results framework:** Technical soundness of the proposal and the activities it outlines, to ensure the proposed activities are likely to achieve the desired outcomes. There should be clear alignment with ECW's Collective Outcomes Results Framework and Theory of Change (see APPENDICES 6.2 and 6.1), as well as issue-specific strategies (e.g., the *ECW Gender Strategy 2018–2021*).
4. **Grantees with capacity to execute:** Proposed grantees that have the operational and technical capacity to execute the programme and can take on the fiduciary and operational risk associated with sub-grants and management of implementing partners.
5. **Broad and inclusive proposal:** A broad set of consultations, including with government and civil society, to understand needs and to contribute to the development of the proposal. There should be fair, open, and transparent process for determining grantee(s) and implementing partners that ensures diversity and includes both humanitarian and development actors.
6. **Value for money:** A programme that is likely to maximize the impact of ECW's resources.
7. **Innovation:** A programme that experiments and pursues something different from the status quo that could address a challenge or help to increase impact.
8. **Resource mobilization potential:** The presence of the main drivers that enable the leveraging of new resources in country (e.g., clear responsibility to fundraise with the governance structure of the MYRP, the presence of a costed action plan for resource mobilization, the presence of a donor mapping and financial gap analysis).

<sup>18</sup> These approaches draw upon the [Principles for Good International Engagement in Fragile States & Situations](#).

## Approval responsibility

**Based on recommendations from the ECW Director, the Executive Committee approves:**

1. The programmatic priorities of the MYRP;
2. Maximum funding levels for each MYRP grant;
3. MYRP funding and grantees for all MYRP investments following review of the recommendations of the ERP.

### Approving amounts

When funding requests for financing towards MYRPs are submitted to ExCom for approval, ExCom will be asked to make a decision on the full multi-year programme amount, not simply for year one or years one and two. All grant recipients will be expected to ensure sub-awards are aligned the multi-year grant window to ensure continuity of education services and reduce management burden for sub-grant management. In addition, this is to ensure that additional repeat requests for funding for subsequent years do not have to come back to ExCom and that approvals are given for the full programme period.



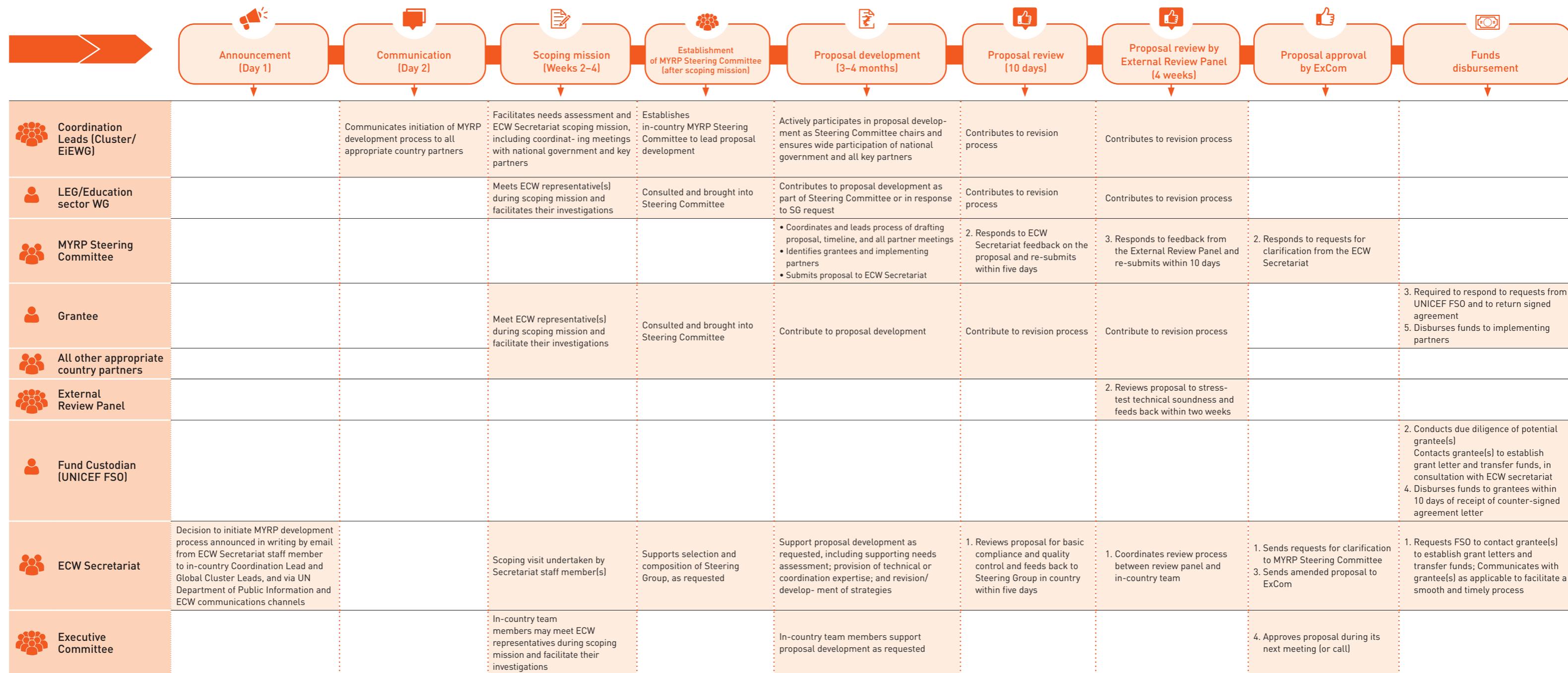
## D. WORKFLOWS

Figure 4.2 (below) sets out the flow of work between ECW bodies and other entities involved in developing a MYRP. The disbursement of funds to support a MYRP is expected to take place within eight months of the conclusion of the ECW scoping mission in country. It is in the interest of the children, teachers, parents, and communities affected by protracted crises that each participant in these processes acts with the maximum speed possible, while balancing the need for inclusive and thorough in-country consultations to ensure the highest quality of programme planning, design, and implementation.

MYRPs may have a duration of three to four years, depending on context and capacity. These programmes are renewable and subject to updating and realignment for as long as the protracted crisis lasts or warrants international assistance towards strengthening humanitarian – development coherence.

#### 4. Funding windows

Figure 4.2: Work flows for MYRP grant applications<sup>19</sup>



<sup>19</sup> Number of days refers to working days. The numbers in certain boxes refer to the order in which sub-processes are carried out.

## **A NOTE ON POSSIBLE RELATIONSHIPS BETWEEN FER AND MYRP GRANTS**

Generally, these two funding windows are discrete. Receiving a FER grant is not a prerequisite for a MYRP grant. However, there may be times when both windows are applied in the same country or context. Examples include:

- After a period of time, a crisis in which a FER grant has been received is considered to be protracted. An application for a MYRP grant may be justified.
- In a protracted crisis in which a MYRP grant is operating, a new and urgent humanitarian need may suddenly emerge, e.g., an intensification of armed conflict, a new influx of refugees or internally displaced persons, or a natural disaster occurring in a conflict zone. An application for a FER grant may be justified.
- In a country, there may be several regions with acute emergencies, justifying more than one FER grant application.
- In a country, there may be one region with an acute emergency, justifying a FER grant application, and another region in protracted crisis, justifying a MYRP grant application.
- In a crisis, repeated FERs may be used if the in-country partners assess that the situation is not sufficiently stable for a MYRP.

### 4.3 Acceleration Facility Window

#### A. INTRODUCTION

The objective of the AF is to provide a flexible financing mechanism to fund strategic initiatives that will tackle several systemic barriers to effective provision of inclusive, quality education in emergencies and protracted crises, namely: insufficient funding; weak political will, policies, and programmatic guidance; the lack of up-to-date quality data and analysis; and inadequate response and coordination capacities (with limited capacity around gender-responsive and inclusive approaches).

The primary vehicle through which ECW pursues this objective is by financing initiatives that increase the efficiency, effectiveness, equity, impact, and accountability of investments under its other two financing windows – the FER and MYRP. The AF complements these actions by investing in catalytic and transformative solutions to strengthen humanitarian development coherence, including but not limited to strengthening emergency preparedness and response planning in the education sector, building crisis-responsive education data systems, and generating and synthesizing evidence in education.

Evidence and knowledge accumulated as a result of all these efforts will be translated into tangible policy, programming, and advocacy actions for wider use and application. They will be disseminated and promoted through existing knowledge platforms, networks, and regional/sub-regional entities specifically designed for education in emergencies and protracted crises. This will contribute to global public goods in this field, both in terms of advancing good practice in gender-responsive, inclusive, and quality programming as well as strengthening entities such as the

Global Education Cluster, INEE, Education Sector Working Groups, Global Coalition to Protect Education from Attack, and other relevant networks facilitated by the Global Partnership for Education.

The AF has two strategic objectives:

1. To identify, foster and scale up innovations in both programming and financing for education in emergencies and protracted crises;
2. To strengthen systemic capacity in education at national, regional, and global levels to prepare for, and respond to, sudden-onset and protracted crises.

#### B. GUIDANCE FOR APPLICATION, IMPLEMENTATION, AND MONITORING OF AF GRANTS

ECW's detailed guidance on the AF window is contained in the *Acceleration Facility Strategy 2019–2021* (see APPENDIX 4.3).<sup>20</sup> The *ECW Acceleration Facility Application for Grant Funding* template is available separately (see APPENDIX 4.6).<sup>21</sup> The AF Quality Assurance and Reporting templates are also available (see APPENDICES 4.9 and 4.12A-B).

The Strategy includes details on the AF's strategic objectives, its contribution to global public goods, cross-cutting themes to be addressed, operational modalities, indicative budgets, grant management and implementation, and monitoring.

ECW foresees the need for revision of the AF Strategy, in conjunction with the development of each new Strategic Plan, to respond to evolving needs and to reflect stakeholders' experiences with application for the implementation and monitoring of AF grants.

<sup>20</sup> The current version, made available by the ECW Secretariat, is FINAL – *Acceleration Facility Strategy – 01.04.2019*.

<sup>21</sup> The current version, made available by the ECW Secretariat, is 20190329 *ECW AF application template*.

## C. SELECTION CRITERIA

Table 4.3: AF selection criteria and approval

### Proposal selection

#### Modality 1: Requests for proposals

The criteria used to evaluate proposals differ by Request for Proposal (RFP) and are defined in each of them. These criteria are informed by a set of clearly defined principles, including:

- Potential for impact at a global or regional level
- Likelihood of implementation success
- Value for money
- Past performance of the applicant
- Capacity and capabilities of applicant
- Attention within the proposal to gender, inclusion, and protection issues

#### Modality 2: Targeted support

In situations where there are not enough potential grantees performing the work identified as a priority in the strategy to justify an RFP process, the ECW Director or Secretariat may select a grantee (see approval below). This modality will be employed where:

- a. There is already an existing, similar initiative/partnership to which AF funds can be applied to expand the scope and/or depth of the approach; or
- b. The partner organization to be funded is mandated as the only entity undertaking that specific function.

### Grantee eligibility

This ECW facility maintains broad eligibility, considering all types of organizations and entities with which to develop partnership agreements (e.g., academia, civil society, private sector), provided that they have been micro-assessed as either 'low' or 'medium' risk under the HACT Framework. Other parties may receive funds as implementing partners of direct grantees in line with their respective policies on sub-grants.

All entities need to demonstrate that they have the necessary capacity to deliver on proposed projects within the required time frame.

Under modality 1, some RFPs may be more applicable to select groups or organizations (e.g., specific organizations with particular mandates). RFPs will specify the qualifications required.

### Proposal/Grantee Approval

#### Modality 1: Requests for proposals

The ERP scores proposals for RFPs exceeding US\$500,000 and the ECW Secretariat reviews RFPs of US\$500,000 or lesser value. RFPs reviewed by the ERP are recommended to ExCom for approval. The ECW Director approves RFPs reviewed by the ECW Secretariat.

#### Modality 2: Targeted support

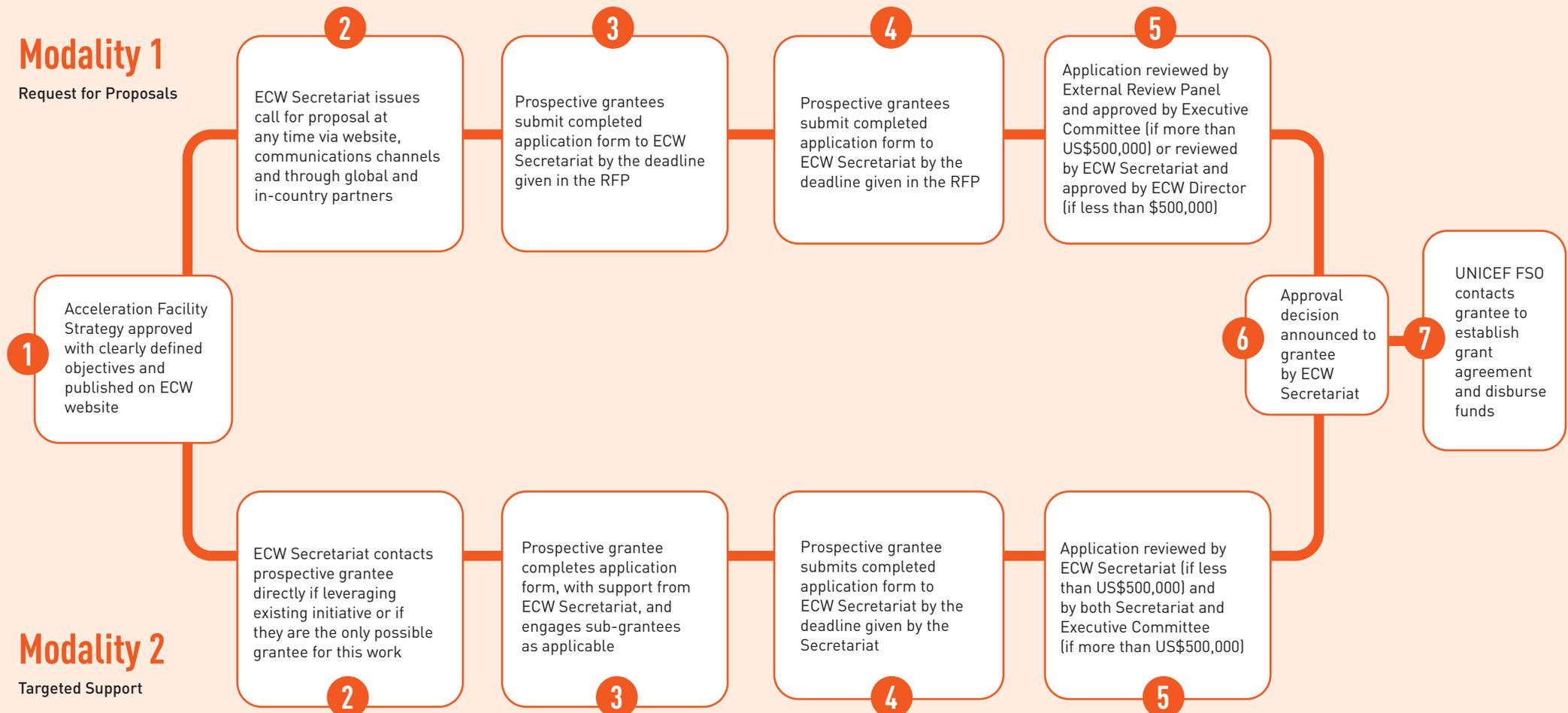
The ECW Secretariat reviews targeted support proposals of US\$500,000 or lesser value. The ECW Director can approve a proposal or grantee if the grant is equal or less than the Director's delegated authority of US\$500,000 and does not include the Fund Custodian (at present, UNICEF) as a grantee or sub-grantee. The ERP scores proposals for targeted support proposals exceeding US\$500,000. Upon the recommendation of the Secretariat, ExCom may approve AF grants exceeding US\$500,000 or in which the Fund Custodian is a grantee.

**D. WORKFLOWS**

Figure 4.3 (below) sets out the flow of work between ECW bodies and other entities involved in an AF grant. While the timeline is indicative, it is in the interest of all parties that each participant

in these processes acts with the maximum speed possible, while balancing the need for inclusive and thorough consultations to ensure the highest quality of programme planning, design, and implementation.

Figure 4.3: Work flows for AF grant applications



# 5. STRATEGIC PLANNING

## A. PURPOSE AND SCOPE

ECW's strategy sets an overarching goal and strategic objectives in pursuit of that goal, which drive – and give coherent direction to – all of ECW's activities for a given period. Development of the strategy is informed by ECW's purpose, principles, and core functions, encapsulated in the ECW Charter (see chapter 2) as well as by an understanding of the following:

- The current landscape of needs and interventions, including good practices and lessons learned, and research on what works in education in emergencies and protracted crises;
- The current funding landscape and focus;
- The capacity of local actors and implementers;
- Global, regional, and country-level infrastructure for education in emergencies and protracted crises;
- The value ECW can add;
- The findings of evaluations and feedback received from ECW stakeholders (including beneficiaries, grantees, sub-grantee implementing partners, and coordination mechanisms).

The ECW Strategic Plan determines the focus of all activities of ECW, including its funding windows, and any specific prioritization by region, thematic area, crisis type, or type of beneficiary (e.g., refugees, girls) for a given strategic planning cycle. It identifies the most pressing, under-funded needs and those that fall within ECW's areas of comparative advantage. The Strategic Plan informs which crises and programmes are selected under ECW's three funding windows and will prompt any operational refinements to these windows needed to deliver on ECW's strategic objectives for the period.

## 5. Strategic Planning

Specifically, the Strategic Plan outlines the countries to be targeted by the MYRP window during the plan period. While priorities for the FER and AF windows are set and selection criteria adjusted as needed in conjunction with development of each Strategic Plan, specific countries will not be identified due to the nature and purpose of those modalities.

In addition to its overall strategy, ECW may choose to develop issue-specific strategies and/or policies focused on given priorities (e.g., gender, MHPSS, protection) as part of its strategic planning process.

### B. PROCESS AND PLANNING CYCLE

The HLSG sets ECW's overall strategy. The strategic planning process is coordinated by the Secretariat, with third-party support as needed, and reviewed by ExCom. It is highly consultative, with input from a range of experts and stakeholders, including but not limited to representatives from national governments, international and local civil society, donors, multilateral organizations, the private sector, and academia, as well as students, parents, and teachers.

ECW's initial strategic plan covers a period of four years, from 2018 to 2021. Beginning with the next strategic plan, however, ECW will move to a five-year planning cycle to improve efficiency and maximize impact.

Strategic planning may necessitate adjustments to the Operational Manual to better align operational guidance with current strategy for a given period. This eventuality is addressed by the proposed mechanism for review and updating of the manual, outlined in APPENDIX 5.1.

## 6.

# MONITORING, EVALUATION, AND LEARNING



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**ECW's Monitoring, Evaluation, and Learning (MEL) approach aims to:**

- **Promote accountability**
  - **Ensure ECW partnerships achieve desired results**
  - **Ensure grants achieve desired results**
  - **Support results-based monitoring and risk management**
- **Facilitate learning and better programming**
  - **Improve performance by enabling timely course corrections and risk mitigation actions**
  - **Stimulate learning across ECW partnerships**
- **Facilitate decision making by ExCom, the Secretariat, and other ECW stakeholders**
- **Provide evidence for advocacy**

**This is achieved through four key activities: monitoring, evaluation, capacity development, and dissemination and learning. The MEL approach specifically contributes to ECW Systemic Outcomes 4 and 5,<sup>22</sup> particularly on improving data, evidence, and accountability.**

**Overarching documents for ECW's MEL approach are: [ECW Results Framework](#) (see APPENDIX 6.2) [ECW Evaluation Policy and Evaluation Plan](#) (see APPENDICES 6.4 and 6.5)**

<sup>22</sup> See Appendix 6.2, [ECW Collective Outcomes Results Framework](#).

## **A. MONITORING**

At the level of grantees, monitoring and reporting requirements are aligned to ECW's Results Framework to facilitate the tracking of progress against the same indicators. All grantees are required to submit progress and completion reports in accordance with the reporting schedule in the Grant Confirmation Letter (see APPENDICES 4.15 and 4.16). The reporting templates are specific to each investment modality and can be found in APPENDICES 4.10A–4.12B. Those reports are approved by the ECW Secretariat.

In terms of indicator requirements for grantees, ECW has a set of mandatory indicators for both FERs and MYRPs. At the output level, both investment windows have a common set of mandatory output indicators, such as numbers of teachers trained, and numbers of classrooms rehabilitated. At the outcome level, monitoring requirements differ between FERs and MYRPs. As speed is crucial for FERs and their duration is not more than one year, FERs have fewer mandatory indicators at outcome level. MYRPs with their multi-year funding have more mandatory outcome-level indicators, including on learning outcomes. Mandatory indicators may be modified or adjusted to mirror national indicators, if applicable. All MYRP, FER, and AF grantees are required to conduct a gender analysis during the programme lifetime and provide sex-disaggregated data. This should be funded from the ECW programme budget.

In line with Grand Bargain commitments, ECW works with global partners and donors to ensure that monitoring and reporting requirements are harmonized to the best possible extent. This includes working towards common indicators for education in emergencies and protracted crises and harmonized donor reporting templates, thereby alleviating the data collection and reporting burden for grantees. This harmonization will be achieved through engagement in a number of ways: shaping the setup of a common

data architecture for education in emergencies and protracted crises; participating in relevant international events and discussions; undertaking advocacy and thereby keeping harmonization on the agenda; and participating in consultations on specific indicators for education in emergencies and protracted crises with donors, e.g., the European Commission DG ECHO in 2019.

In addition to reviewing, analysing, and approving reports from grantees, ECW also conducts and/or participates in programmatic reviews with grantees and undertakes monitoring visits on a case-by-case basis, as outlined in the Standard Contribution Agreement. For FERs, ECW Secretariat staff do not routinely undertake monitoring visits, though third-party monitoring in FER countries may take place at the discretion of ECW Secretariat. Grantees are expected to monitor and report on the programmatic and financial progress of the programme in accordance with the stipulations in their Grant Confirmation Letter. As such, grantees' own monitoring and reporting systems at country level are paramount. For MYRPs, ECW Secretariat staff participate in annual programme reviews either remotely or face-to-face. These are aligned with in-country joint review processes where possible to avoid multiple review processes occurring in parallel.

During each annual review, grantees are required to provide the following updates to the ECW Secretariat: (1) updated situational analysis; (2) updated risk assessment; (3) financial utilization rates; (4) numbers of children reached – duly disaggregated; (5) gender-age marker monitoring; and (6) measurement of results at the outcome level. Based on this information, ECW discusses with grantees any programmatic adjustments as needed and disburses additional tranches to the grantee(s).

At the funds level, the Monitoring and Evaluation (M&E) team tracks progress against the indicators specified in the ECW Results Framework. This includes compiling and aggregating data from grantee reports to gauge progress towards beneficiary outcomes, such as access, continuity, quality, protection, and gender. It also includes compiling and analysing data from global partners to track progress against systemic outcomes for education in emergencies and protracted crises, such as political commitment, financing, rapid and collaborative responses, local and global response capacities, and improved data and evidence. Data will soon be accessible via an online database and can be aggregated for FERs and MYRPs separately to consider results by type of context.

#### *i. Roles and responsibilities*

At the funds level, the ECW Secretariat, and M&E team specifically, are responsible for tracking progress against expected results and working with global partners on harmonizing indicators, tools, and systems. ECW are also responsible for the ethical use of data and protection of sensitive grantee information. Grantees are responsible for monitoring at the grant level, with support from the M&E Team as needed. Grantees are required to demonstrate adherence to minimum quality standards for monitoring, including on how they plan to incorporate beneficiaries into their MEL plan, before being awarded a grant as part of the proposal development and approval process. ECW relies on partners leading on the ECW investment in-country for their knowledge of partner capacity and grantee systems.

#### *ii. Relevant documents*

ECW Results Framework (see APPENDIX 6.2)  
 ECW Results Dashboard (see APPENDIX 6.6)  
 ECW Annual Results Report 2018 (see APPENDIX 6.7)  
*These documents are updated periodically.*

**B. EVALUATIONS**

ECW conducts evaluations of its organizational strategic objectives, funding windows, and thematic approaches. These areas are not mutually exclusive, and success is partly determined by the achievement of grantees and the challenges of working in emergency and protracted crisis contexts. The Theory of Change (TOC) elaborates on these different layers and related accountabilities for ECW itself and the grantees.

At the level of the ECW Fund as a whole, ECW conducts a summative evaluation at the end of each strategic planning cycle to assess performance in relation to core functions. This includes an assessment of progress against both ECW's strategic objectives and its beneficiary outcomes. The findings of the summative evaluation are designed to inform the development of subsequent strategic plans.

At a grantee level, only MYRP grantees are required to carry out a programme evaluation at least once during the duration of the programme in accordance with their Grant Confirmation Letter (see APPENDICES 4.15 and 4.16 for UN and non-UN grantees, respectively). For the FER and AF, grantees do not have an obligation to undertake evaluations, but they may do so if deemed relevant in a given context. Evaluations form an integral part of all AF investments related to testing innovations for education in emergencies and protracted crises. These evaluations should be included in the grantee programme documents with relevant budget provisions (e.g., 5–10 per cent of the total programme budget, depending on the nature of the programme and context).

At the level of funding windows, ECW conducts formative evaluations to assess the relevance, efficiency, effectiveness, and impact of each funding window. These types of evaluations are

based on a sample of grantees for each funding window, each of which can feature as a stand-alone knowledge product in addition to the integrated overall assessment. These evaluations are managed by the ECW M&E Team and funded through the ECW Secretariat budget. They will be conducted at least once every strategic planning cycle.

Thematic approaches (e.g., non-formal education, quality education, safe and protective learning environments) are evaluated on a case-by-case basis, thereby contributing to the global discourse and knowledge base on how to address contemporary challenges for education in emergencies and protracted crises.

All evaluations are guided by globally accepted evaluation criteria from Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD-DAC) as well as commonly used [humanitarian evaluation criteria](#), including those relevant to the Grand Bargain agreements.

**i. Roles and responsibilities**

The ECW Evaluation Policy will be finalized upon approval by ExCom. The Evaluation Plan based on the policy is prepared for every strategic planning cycle. Budget provision for M&E is included in annual ECW Secretariat budgets, which are also approved by ExCom at the end of each preceding calendar year. Further information can be found in ECW's Evaluation Policy and Evaluation Plan in Appendices 6.4 and 6.5. All findings from all evaluations will be published on the ECW website.

In all evaluations, overall quality assurance is provided through the ECW M&E Team. To facilitate independence in its evaluations, ECW conducts evaluations through a two-tier approach. Grant-level evaluations, e.g., for MYRPs, should be included in

the relevant programme documents and are managed by the grantee. They should adhere to the grantee organization's evaluation standards and processes.

Formative evaluations of ECW's investment windows are managed by ECW's M&E staff.<sup>23</sup> At the stages of the ToR and inception report, an advisory group is tasked to review, provide recommendations for revisions, and approve the documents. At the stage of the evaluation report, the advisory group<sup>24</sup> provides their recommendation for approval by ExCom. ExCom approves both the evaluation report and the management response drafted by the ECW Secretariat based on the evaluation report's findings. The HLSG will be informed by ExCom of the outcomes of the evaluation report and management response.

For summative evaluations, ExCom approves the ToR and inception report based on the advisory group's recommendation. At the final stage of the evaluation, ECW forwards the advisory group's recommendations on the evaluation report along with ECW's management response for review by ExCom and subsequent approval by the HLSG.

## ii. *Relevant documents*

ECW Evaluation Policy and Evaluation Plan (see APPENDICES 6.4 and 6.5)

<sup>23</sup> To maintain segregation of duties, ECW's M&E staff involved in the management of evaluations are not eligible to lead or co-lead FER and MYRP investments.

<sup>24</sup> For details on the advisory groups, please refer to the Evaluation Policy (see Appendix 6.4).

## C. CAPACITY-BUILDING

As part of its broader capacity development approach, ECW aims to strengthen global and national M&E capacities to contribute towards achieving its systemic outcomes 4 (strengthen individual and institutional capacity of those leading education efforts in crises and improve delivery systems) and 5 (improved data, evidence, and accountability) in the ECW Results Framework. This is enacted by strengthening capacity to generate, manage, and use quality timely data and evidence through partnerships (e.g., with INEE, Global Education Cluster, UNESCO). Related capacity development efforts include leveraging funding for evidence-driven programming; strengthening EMIS systems and adapting them for emergency and protracted crisis contexts; and deploying M&E experts in conflict-affected countries. This extends to building capacity for accountability mechanisms and ensuring accountability to crisis-affected children and youth, covered in more detail in section 8.

In addition to technical support from the ECW M&E Team, ECW uses funding from the AF to generate global/regional public goods and/or to support key partners/initiatives to advance the availability and quality of data on education in emergencies and protracted crises. The AF Strategy (APPENDIX 4.3) identified the lack of real-time data and analysis to inform decisions on education response as a key bottleneck in developing quality programmes. In this regard, ECW supports JENAs, evidence generation, and dissemination on what works to improve learning outcomes for girls and boys, and the development of measurement systems and tools to assess child outcomes more holistically.

At a grant level, the ECW M&E team provides technical support to improve the quality of grantees' proposed Theories of Change, Results Frameworks and indicators, costed M&E strategies/

plans, accountability mechanisms, and M&E tools and processes. Grantees in turn are expected to strengthen the M&E capacities of sub-grantee implementing partners, with a focus on national and local actors.

#### *i. Roles and responsibilities*

The ECW M&E Team is responsible for strengthening global and national M&E capacities in education in emergencies and protracted crises and for supporting grantees to monitor and evaluate results effectively. Grantees themselves play a role in developing M&E capacities at a more local level and are responsible for the capacity development of national and local organizations.

#### *ii. Relevant documents*

ECW Evaluation Policy (see APPENDIX 6.4)

ECW Strategic Plan 2018–2021 (see APPENDIX 1.1)

ECW Acceleration Facility Strategy (see APPENDIX 4.3)

ECW Capacity Building Framework (see APPENDIX 6.8)

### **D. REPORTING, DISSEMINATION, AND LEARNING**

As a contribution to global public goods, ECW sees the dissemination of knowledge products from its investments as a key component towards the achievement of systemic outcome 5 to strengthen the global and regional evidence base on education in emergencies and protracted crises. Data on key positive and negative results, as well as risks and how these were addressed, are presented in depth every year in ECW's Annual Results Report. This report is submitted as an advance copy to ExCom at the end of June, approved by the HLSG and published soon after. Aggregated data on selected indicators from the ECW Results Framework are made publicly available through a [dashboard](#) on ECW's website, updated quarterly (see also APPENDIX 6.6).

In addition to sharing its products through its website and in print, ECW disseminates its knowledge products (e.g., case studies, evaluations, and Annual Report) through conferences and international networks (e.g., INEE and the Global Education Cluster). The main language of publication is English, but key communication and advocacy products and reports will be translated into French, Arabic, and Spanish as needs evolve in the related geographical areas. At national or regional levels, the development and dissemination of learning materials, sometimes in local languages, is led by in-country grantees and partners.

Dissemination is aimed at the following stakeholders:

- Grantees, sub-grantee implementing partners, and other in-country stakeholders to promote continuous improvement and learning, including cross-country learning
- ExCom and HLSG to inform ECW strategy and decision making
- The general public and wider stakeholders through ECW's website, Annual Report, external relations efforts, and international forums.

### **I. ROLES AND RESPONSIBILITIES**

ECW's M&E team is responsible for developing the Annual Results Report, while grantees are responsible for fulfilling their reporting requirements to ECW, as per the Grantee Confirmation Letter. The ECW M&E team manages the dissemination of all global learning products from ECW's monitoring, evaluation, capacity-building, and reporting efforts. Dissemination of country-specific and project-specific products at a national and regional level is the responsibility of grantees with support from ECW to facilitate the transfer of learning between programmes, thereby avoiding reinventing the wheel in every context and enhancing accountability to affected populations (see also section 8). These populations also have a role to play in the dissemination of learning, under the leadership and guidance of grantees and sub-grantee implementing partners.

# 7.

# RISK MANAGEMENT, COMPLIANCE, & SAFEGUARDING

### A. OVERVIEW

There are extensive risks associated with disbursing funds and implementing large-scale programmes in crisis- and conflict-affected regions. To manage these, ECW has a Corporate Risk Framework (see APPENDIX 7.1) and a Programme Risk Plan and Procedure (see APPENDIX 7.6), both of which will become appendices to this manual. ECW will also soon develop guidance for operating in areas undergoing active armed conflict (to be included as APPENDIX 7.2).

All grantees are required to produce a full risk assessment during programme development, with support from the ECW Secretariat, and before any funding is disbursed. This includes, among others, a risk assessment in relation to safeguarding children and vulnerable people. Grantees are responsible for mitigating and managing all programme related risks, with oversight from the Secretariat and support from the Education Cluster and/or Steering Committee in-country.

Requirements for grantees with regard to compliance and regulations (e.g., ethics and conflict of interest, fiduciary oversight, legal compliance, protection of information, asset ownership, and intellectual property rights) are made explicit in the Grant Confirmation Letter (see APPENDICES 4.15 and 4.16). Grantees are required to report against these aspects of ECW's terms and conditions as part of their routine reporting. Both the ECW Secretariat and all grantees must adhere to UNICEF's data protection and management regulations regarding sensitive data. See Chapter 10 on Communications and Branding for further information, as well as ECW's Guidance on Visibility (APPENDIX 10.2).

**B. FIDUCIARY RISK MANAGEMENT**

ECW has several layers of mitigation measures in place to manage risks before a programme begins. For example, grantees are screened as part of the joint proposal process to ensure they are able to fulfil ECW's fiduciary requirements and risk management protocols. This screening is often done first by the Education Cluster or Steering Committee in country, and then by ECW. Grantees must satisfy the HACT assessment requirement<sup>25</sup> at a national level as well as UNICEF CSO policy<sup>26</sup> before the UNICEF FSO will disburse any funds, thereby ensuring that all organizations receiving ECW funds as grantees have undergone a financial capacity assessment. This provides an institutional safeguard for the accountability of donor resources, given that ECW does not have a presence in the countries in which it operates. Risk management during implementation is guided by each programme's risk assessment, and closely monitored by the ECW Secretariat.

**C. CONFLICT OF INTEREST**

Conflicts of interest (Col) between grantees and ECW should be identified as early as possible and mitigated as applicable. This is most likely to be an issue when UNICEF is a grantee while also disbursing funds as the hosting organization (see Fund Custodian section, above) but could also occur between Education Cluster co-leads, other grantees, or between members of ExCom/the HLSG and grantees. ExCom and HLSG members should not participate in decisions from which they or their institutions could directly benefit. In extreme cases, it may be necessary to

<sup>25</sup> In some cases, ECW may accept a non-HACT assessed grantee, in which case the Secretariat is responsible for ensuring an independent micro-assessment is undertaken by a third-party audit company before any funds are released. For more detail, please refer to ECW's forthcoming guidance around assessment of partners' compliance with sound principles for cash transfers, to be included as Appendix 7.5.

<sup>26</sup> The process includes: (1) core values and integrity assessment; (2) financial management assessment; and (3) a Prevention of Sexual Exploitation and Abuse (PSEA) assessment.

intervene in a grant due to a Col. This should be a transparent process, initiated and managed by the Secretariat in collaboration with the relevant entities. Any suspected Col should be reported to the Secretariat, and any reported or self-identified Col should be investigated by the Secretariat, under the leadership of the ECW Director. Any necessary changes in personnel or partner organizations/grantees as a result should be communicated to ExCom where it applies to ExCom members or their funding agreements. Further details on ECW's Col approach will be available in the forthcoming Guidance on Conflict of Interest in APPENDIX 7.4.

**D. SAFEGUARDING CHILDREN AND VULNERABLE PEOPLE**

Safeguarding of children and vulnerable adults from harm, including abuse and exploitation, is a specific and crucial risk ECW needs to manage. Harm could be perpetrated by the personnel and associates of organizations receiving RCW funds or ECW Secretariat personnel and associates. Harm could also eventuate due to the way in which programmes are designed and implemented. All ECW Secretariat personnel and partner organizations are required to report safeguarding incidents to ECW through a confidential reporting channel described in section 9.

As the ECW Secretariat and Fund are hosted by UNICEF, ECW operates under UNICEF's regulatory regimes for child safeguarding (CSG) and Prevention of Sexual Exploitation and Abuse (PSEA). For CSG, this includes UNICEF's Policy on Conduct Promoting the Protection and Safeguarding of Children 2016, its CSG Framework, and its Personnel Standards. For PSEA, UNICEF's Strategy to Prevent and Respond to Sexual Exploitation and Abuse and Sexual Harassment 2019 applies. Both regulatory regimes have mandatory reporting requirements,

## 7. Risk Management, Compliance, and Safeguarding

which inter-link with UN system-wide reporting mechanisms. UNICEF's CSG Policy and the PSEA Strategy are contained in APPENDIX 7.3A and 7.3B, respectively.

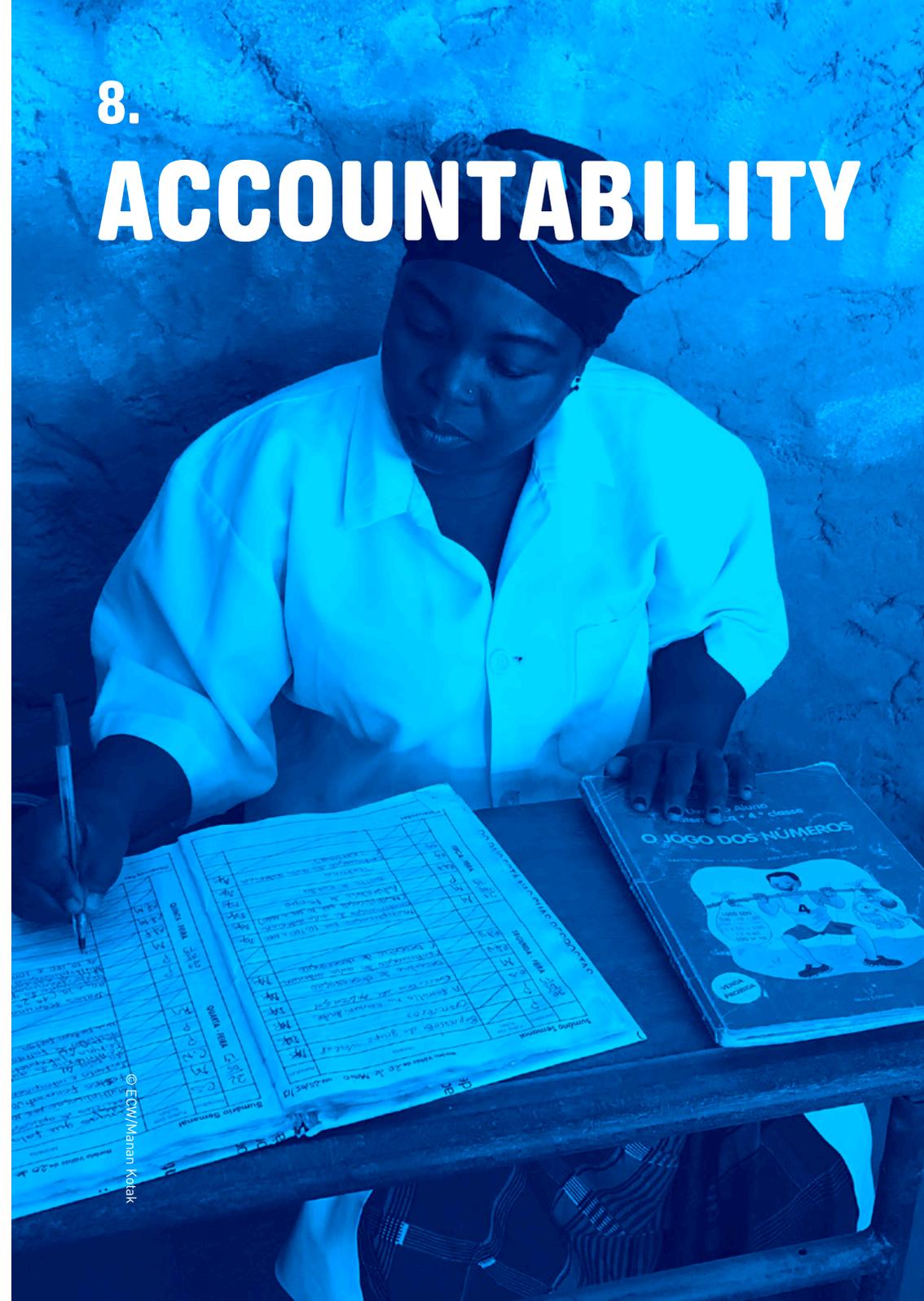
ECWs minimum standards for safeguarding have been developed with a range of partners and set clear and harmonized expectations. These are attached as APPENDIX 7.3C. All grantees will be required to meet these standards and to ensure that sub-grantees have appropriate safeguarding measures in place prior to the commencement of programme implementation. Regular monitoring and reporting of safeguarding practice will be a requirement for all grantees.

ECW recognizes the value of applying international standards, including in crisis settings. Partners are expected to apply the *INEE Minimum Standards for Education: Preparedness, Response, Recovery* and the *Minimum Standards for Child Protection in Humanitarian Action* where possible. Partners are also encouraged to work collaboratively across the cluster system to share knowledge and resource tools, including child protection situation maps and assessments.

### E. AUDIT

In line with the Grant Confirmation Letter the grantee must acknowledge that ECW may, at the request of any contributor or at its own initiative, request that the grantee or another entity conduct an enquiry, review, or investigation into credible allegations of misuse of funds disbursed from the Fund to the grantee. The grantee will promptly undertake such enquiry, review, or investigation at its own expense and report the results to ECW. The grantee will ensure that its sub-contractors and implementing partners provide full cooperation in any such enquiry, review, or investigation – whether conducted by itself or by another party at the request of the ECW.

# 8. ACCOUNTABILITY



Accountability can be understood at different levels and depths. Broader accountabilities for risk and compliance, governance organs and funding windows are covered in the respective sections of this Operational Manual. This chapter focuses on accountability for results, including results for crisis-affected communities reached by ECW programmes. ECW's approach to accountability for results is deeply rooted in the organizational Theory of Change (TOC). It represents a risk mitigation mechanism, which enables the appropriate execution of ECW's operations and use of ECW funds.

ECW's TOC is composed of two levels (see APPENDIX 6.1). TOC 1, or the TOC of ECW, denotes its accountability for providing grantees with the capacity to deliver programmes (through core functions, investment windows, guidelines, tools, and global public goods/entities supported through the AF). TOC 2, or the TOC of grantees, describes grantees' accountability for implementing the programmes and translating them into beneficiary outcomes through a participatory, inclusive process together with local actors. These levels are described below, with roles and responsibilities within each elaborated, and with supporting documents and tools signposted.

Transcending the TOC, there are fixed accountabilities from the grantee to ECW, which are itemized in the Grant Confirmation Letter for each grant; and from ECW to donors, which are itemized in the Standard Contribution Agreement. These documents should be referred to for all matters regarding accountability of a grantee or to a donor.

Broader fixed accountabilities between entities, which ensure that ECW follows due process, are summarized here:

- (i)** ExCom donor members are accountable to their governments for safeguarding their respective country's resources.
- (ii)** ExCom as a whole is accountable to the HLSG for delivering on the mandate of its ToR, including mobilizing resources and supporting the ECW Secretariat on operational, financial, and policy issues.
- (iii)** The ECW Director is accountable to the HLSG for fulfilling the terms of the Director's job description, including providing strategic leadership and supervision of the Secretariat on a daily basis. The Director reports directly to the Chair of the HLSG as primary supervisor and the UNICEF Deputy Executive Director of Programmes as secondary supervisor, and the ExCom Chair, who contributes with comments to the HLSG Chair against four indicators agreed with the Director at the outset of each reporting period.
- (iv)** The ECW Secretariat staff are accountable to the Director for delivering on ECW's mandate, including carrying out their core functions.
- (v)** Accountability for grant utilization sits with the grantee and the Secretariat. Grantees are accountable to ECW for following the conditions of their Grant Confirmation Letter, including achieving results, using funds as agreed, and not committing fraudulent or unethical behaviour. The Secretariat in turn is accountable to donors for overseeing the correct use of funds and grantee performance.
- (vi)** The FSO is accountable to the contributors for ensuring compliance with the requirements of the standard contribution agreement (SCA) with regards to distributing and managing grants as directed by ECW.

### A. TOC OF ECW

The TOC of ECW (level 1) presents its five core functions – to inspire political commitment, to mobilize funds, to plan and respond collaboratively, to strengthen capacity to respond, and to improve accountability<sup>27</sup> – and how these impact grantees through the three funding windows. If the TOC of ECW is effective, grantees should have sufficient capacity at the global, regional, national, and local levels. In other words, if ECW over time inspires political commitment, generates additional funding, plans and responds collaboratively, strengthens capacity for crisis response in country, and improves accountability, then an enabling environment for the three organizational funding windows will be created. In turn, if these funding windows are executed with appropriate guidance and support from the ECW Secretariat, then grantees should have sufficient capacity to design, test, and scale up innovations; develop global/regional capacities; and support advocacy at a global level. At a national level, grantees should have the capacity to assess, plan, and implement programmes as well as to monitor, report, and evaluate them. The responsibilities for upholding this relationship are detailed in the following Table.

<sup>27</sup> For further information, see Appendix 1.1, *ECW Strategy 2018–2021*, pp. 14–16.

Table 8.1: Roles and responsibilities for the TOC of ECW

Role	Responsibility
<b>HLSG</b>	Supports ECW to inspire political commitment and generate additional funding by advocating within their countries and on an international platform.
<b>ExCom</b>	Supports the capacity-building of grantees through in-country structures and staff. Approves proposals/grants above the Director's delegated authority.
<b>Director</b>	Internally and externally champions the advancement of children's educational opportunities in emergencies and protracted crises and advocates for the funding required to do so. Advised by the HLSG and ExCom, ensures the five key functions of ECW are being enacted and monitored.
<b>ECW Secretariat</b>	Ensures M&E requirements are integrated into guidance for all grantees. Ensures that proposals are of good quality and demonstrate a sufficient baseline from which capacity can be built. Plans and responds collaboratively with in-country partners. Supports and promotes accountability throughout the grant cycle. Ensures Operational Manual and guidance are available and provided to grantees and potential grantees, and that these documents are accurate and updated. Actively strengthens the capacity of grantees in-country through visits, guidance, advisory support and reviewing and approving project reports. Supports capacity-building of government and relevant government bodies where possible.

Role	Responsibility
<b>External Review Panel</b>	Ensures all MYRP and AF proposals reviewed meet minimum criteria and/or provide justification, if not.
<b>Reference Groups</b>	Provide advice to the ECW Secretariat on its overall implementation of the three funding windows and grantee capacity-building.
<b>FSO</b>	Supports the ECW Secretariat and grantees on compliance with UNICEF rules, regulations, and procedures.
<b>Education Cluster/EiEWG</b>	Support and promote capacity-building of in-country partners and provide guidance to ECW on in-country capacity. Advocate for grantees and implementing partners at national and international level.
<b>Grantees</b>	Follow the lead and guidance of the ECW Secretariat and in-country network during programme implementation, reaching out when support is needed.
<b>Sub-grantee implementing partners</b>	Follow the lead and guidance of the grantee, reaching out when support is needed.
<b>National governments</b>	Facilitate ECW's capacity-building efforts and support grantees and in-country partners to respond where necessary. Promote national and international advocacy around education in emergencies and protracted crises and the work of national organizations in this field.

Supporting documents and tools required for the achievement of the TOC of ECW include:

- Operational Manual and appendices (including individual funding window guidance and templates)
- HLSG, ExCom, and ERP ToRs (see APPENDICES 3.1, 3.2, and 3.4)
- Job description of ECW Director (see APPENDIX 3.3)
- ECW Strategic Plan 2018–2021 (see APPENDIX 1.1)
- ECW's Collective Outcomes Results Framework and Indicator Guidance (see APPENDICES 6.2 and 6.3)
- Grant Conformation Letters (see APPENDICES 4.15 and 4.16)
- Standard Contribution Agreements (available upon request from ECW Secretariat).

For related indicators for this section, see output indicators in the ECW Collective Outcomes Results Framework (APPENDIX 6.2) or Strategic Plan 2018–2021 (APPENDIX 1.1). Improvements in these indicators would be expected if the TOC for ECW is effective.

## B. TOC OF GRANTEES

The TOC of grantees (level 2) presents how grantees use ECW funds to realize beneficiary outcomes and impact. If grantees deliver programmes effectively through ECW's indicative intervention areas, this should contribute to the realization of the organization's five outcomes<sup>28</sup> and, by extension, to the overall impact of increased learning outcomes and well-being for children and youth affected by crisis. At this level, partners leading on the ECW investment in-country are accountable to

<sup>28</sup> Children access education; education is gender-responsive, inclusive, and equitable; children continue and complete education; children receive quality education; and learning spaces are safe and protective. See Appendix 1.1, *ECW Strategic Plan 2018–2021*, p. 31.

affected populations, including crisis-affected children, families, and communities as per each programme's scope of work and M&E plan. The roles and responsibilities for upholding these accountabilities are detailed in the table below.

**Table 8.2: Roles and responsibilities for TOC of grantees**

Role	Responsibility
HLSG	N/A
ExCom	Regularly monitors the degree to which ECW's investments are meeting intended outputs and outcomes.
Director	Advised by the HLSG and ExCom, ensures all programmes are being adequately delivered, supported, and monitored.
ECW Secretariat	<p>Ensures programme M&amp;E requirements are being met.</p> <p>Closely manages and monitors all programmes, including on performance, risk, and quality of implementation, intervening when necessary.</p> <p>Ensures external audits and monitoring of grantees is conducted.</p> <p>Ensures targets are being met and supports grantees to revise them, if necessary.</p> <p>Works closely with national government to encourage government uptake and ownership.</p>
External Review Panel	N/A

<sup>30</sup> Children access education; education is gender-responsive, inclusive, and equitable; children continue and complete education; children receive quality education; and learning spaces are safe and protective. See Appendix 1.1, ECW Strategic Plan 2018–2021, p. 31.

Role	Responsibility
Reference Groups	Provide advice to the ECW Secretariat on technical issues, including emerging tools and best practices.
FSO	Releases funds to grantees in a timely manner and manages grants effectively in line with UNICEF/ECW due diligence processes.
Education Cluster/EiEWG	Supports ECW grantees and partners in-country to deliver effectively, including in reaching and impacting crisis-affected populations.
Grantees	<p>Assess and plan programmes with solid M&amp;E plans and realistic targets in accordance with the context.</p> <p>Follow M&amp;E plan throughout programme implementation.</p> <p>Conduct risk assessment in accordance with programme window guidance.</p> <p>Make adjustments to programme delivery and M&amp;E as necessary in response to lessons learned and changes in context, and in collaboration with country partners and the ECW Secretariat.</p> <p>Document and disseminate lessons learned.</p>
Sub-grantee implementing partners	Implement programme as guided and advised by the grantee, responding to requests for changes in approach.
National governments	<p>Facilitate grantees and in-country partners to implement programmes, supporting them when problems arise where possible.</p> <p>Facilitate and support ECW to work in-country, including programme interventions by ECW Secretariat and stakeholder engagement.</p> <p>Take ownership of programmes, mainstreaming initiatives into national systems where possible and driving sustainable scaling up.</p>

## 8. Accountability

Supporting documents and tools required for the achievement of the TOC of grantees include:

- Grant Confirmation Letters (see APPENDICES 4.15 and 4.16)
- Individual programme proposals, including M&E plans and results frameworks (available on request from grantees/ECW Secretariat)
- Respective programme window guides and reporting templates (see APPENDICES 4.1–4.3 and 4.10A–4.12B).

For related indicators for this section, see Outcome Indicators in the ECW Results Framework (APPENDIX 6.2) or Strategic Plan 2018–2021 (APPENDIX 1.1). Improvements in performance against these indicators would be expected if the TOC for grantees is effective.

ECW should also incentivize partners to encourage more accountability at the level of the children, youth, teachers, parents, and communities they support. This could be considered in future revisions of this Operational Manual as ECW matures.

## 9.

# FEEDBACK AND COMPLAINTS

In addition to the mandatory reporting of safeguarding concerns, all feedback is welcomed by ECW to support institutional learning, strengthen accountability to stakeholders, increase transparency, and promote open channels of communication. As well as responding to specific solicitations for feedback from the ECW Secretariat periodically, donors, grantees, sub-grantee implementing partners, beneficiaries, and all other ECW stakeholders are encouraged to refer to the following contacts, documents, or channels to provide this feedback.

- (i) For feedback regarding this Operational Manual or associated appendices, please contact [info@un-ecw.org](mailto:info@un-ecw.org).
- (ii) For news, media, communications and branding, and ECW publications, please refer to the [Communication Guidelines](#), [News and Media](#) and the [Publications](#) sections of the ECW website, or contact [info@un-ecw.org](mailto:info@un-ecw.org).
- (iii) For safeguarding concerns (in relation to children and vulnerable adults), reports must be made in writing to [safeguarding@un-ecw.org](mailto:safeguarding@un-ecw.org), using the reporting template available on ECW's website. Information will be treated confidentially and sensitively in line with international best practice.
- (iv) For suspected misuse of ECW funds, email [dfam-fso@unicef.org](mailto:dfam-fso@unicef.org) and [info@un-ecw.org](mailto:info@un-ecw.org), in line with ECW's Policy on Misuse of Funds and Communications Protocol. Reports will be treated confidentially. Reports may also be made anonymously to [integrity1@unicef.org](mailto:integrity1@unicef.org).
- (v) For further information regarding making an anonymous complaint or raising confidential feedback, please refer to ECW's forthcoming Guidance on Whistleblowing, which will become APPENDIX 9.1 to this manual.
- (vi) For any other enquires or feedback, please contact [info@un-ecw.org](mailto:info@un-ecw.org).

ECW is committed to continuous and systematic feedback and is working with civil society partners to further strengthen the opportunities for feedback and learning.

# 10. EXTERNAL COMMUNICATION AND BRANDING

Effective communication is key to strengthening visibility for ECW and galvanizing support and funding for education in emergencies and protracted crises. ECW articulates a positive narrative that values partnership and collaboration and that acknowledges the achievements and contributions of its grantees and partners. It is committed to advocating for inclusive quality education for all children and youth affected by crisis and to mobilizing political and financial commitments to the goals of ECW.

ECW utilizes digital platforms, including its website and social media outlets, as well as targeted publications to communicate its identity and to highlight challenges and opportunities for addressing education needs in crisis-affected contexts. In doing so, it adheres to UNICEF's standards and safeguarding principles around the ethical collection, storage, and use of child testimonies, photos, and videos, and upholds their rights to expression, privacy, and protection.

To help ECW in its advocacy and communication, grantees and implementing partners are invited to share with the ECW Secretariat stories, quotations, photographs, and other content that might be used on ECW's digital platforms, with appropriate credit given and in accordance with ECW's ethical standards and privacy safeguards. Partners are also encouraged to publicize the achievements of ECW-funded activities, in line with ECW's forthcoming Guidance on Visibility, which will become APPENDIX 10.2 to this manual.

The [ECW Brand Guidelines](#), found in APPENDIX 10.1, provide an overview of ECW's narrative and branding, as well as guidelines and requirements for logo use, photography, and video. They should be referred to when developing all communication materials.

Written consent is required for usage of the ECW logo. Requests should be forwarded to the Secretariat at [info@un-ecw.org](mailto:info@un-ecw.org),



## 10. External Communication and Branding

accompanied by the proposed product as an attachment. Grantees may obtain blanket approval for use of the ECW logo on pre-approved project activities and in pre-approved project locations to avoid obtaining written consent repeatedly. For standard requests, the ECW Secretariat will respond within five working days.

# 11. APPENDICES

**Appendices are available on the ECW website:**  
**[www.educationcannotwait.org](http://www.educationcannotwait.org)**<sup>31</sup>

- 1.1** ECW Strategic Plan 2018–2021
- 1.2** ECW A Call for Action – A Case for Investment in Quality Education in Crisis
- 1.3** Resource Mobilization Strategy
- 
- 2.1** ECW Investing in Humanity – Understanding the Fund’s Added Value
- 2.2** Gender Strategy 2018–2021: Advancing Gender Equality in Education in Emergencies
- 2.3** ECW Gender Equality 2019–2021: Policy and Accountability Framework
- 2.4** Gender Task Team Terms of Reference
- 2.5** Implementation Plan for rolling out ECW’s First Gender Equality Policy and its First Gender Equality Strategy
- 2.6** Business Case for Investing in Gender
- 2.7** Capacity Building Framework

<sup>31</sup> Some appendices are updated regularly, the most up-to-date versions are available on the ECW website.

- 3.1** HLSG: Terms of Reference
- 3.2** ExCom: Terms of Reference
- 3.3** ECW Director Job Description
- 3.4** External Review Panel Terms of Reference
- 3.5** Reference Groups Generic Terms of Reference
- 
- 4.1** FER Guide
- 4.2** MYRP Guide
- 4.3** AF Strategy
- 4.4** FER Application Template
- 4.5** MYRP Application Template
- 4.6** AF Application Template
- 4.7** FER Quality Assurance Template
- 4.8** MYRP Quality Assurance Template
- 4.9** Consolidated Feedback on AF Proposal
- 4.10a** FER Narrative Reporting Template
- 4.10b** FER Budget and Financial Reporting Template
- 4.11a** MYRP Narrative Reporting Template
- 4.11b** MYRP Budget and Financial Reporting Template
- 4.11c** ECW Financial Report
- 4.12a-b** AF Reporting Templates
- 4.13a** Decision Paper – ECW Priority Countries for MYRP 2020–2021
- 4.13b** Methodology for MYRP Country Prioritisation
- 4.14** ECW Guidelines: No-Cost Extensions, Reprogramming and Redeployment of Funds
- 4.15** ECW Grant Confirmation Letter (UN)
- 4.16** ECW Grant Confirmation Letter (non-UN)
- 4.18** Policy on Misuse of Funds and Communications Protocol
- 4.19** Anticipatory Action Approach
- 5.1** Process for Updating Operational Manual
- 
- 6.1** Theory of Change
- 6.2** Collective Outcomes Results Framework
- 6.3** Indicator Guidance
- 6.4** Evaluation Policy
- 6.5** Evaluation Plan
- 6.6** Results Dashboard
- 6.7** Annual Results Report
- 
- 7.1** Corporate Risk Framework
- 7.2** Guidance on ECW Operations in Areas Undergoing Active Armed Conflict
- 7.3a** UNICEF Policy on Conduct Promoting the Protection and Safeguarding of Children
- 7.3b** UNICEF Strategy to Prevent and Respond to Sexual Exploitation and Abuse and Sexual Harassment
- 7.3c** Child Safeguarding Minimum Standards
- 7.4** Guidance on Conflict of Interest
- 7.5** Guidance on Assessment of Compliance with Sound Principles for Cash Transfers
- 7.6** Portfolio Risk Framework
- 7.7** Programme Risk Procedures
- 
- 9.1** Guidance on Whistleblowing
- 
- 10.1** ECW Brand Guidelines
- 10.2** ECW Guidance on Visibility

Education Cannot Wait (ECW) is the first and only global multilateral fund dedicated to education in emergencies and protracted crises. It was launched during the World Humanitarian Summit in 2016 by international humanitarian and development aid actors, along with public and private donors, to address the urgent education needs of 75 million children and youth in crisis settings.

Additional information is available at  
[www.educationcannotwait.org](http://www.educationcannotwait.org)  
Contact: [info@un-ecw.org](mailto:info@un-ecw.org)

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