COVID-19 Solidarity Response Fund

Playbook

A GUIDE FOR A COLLABORATIVE JOURNEY

World Health Organization
United Nations Foundation
Swiss Philanthropy Foundation
Acknowledgments

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The Fund would never have been possible without the hundreds of thousands of contributors to the Fund, including corporations, corporate foundations, non-profit organizations, philanthropic foundations, and thousands of individuals donors. Their generosity has surely saved many lives.
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<tr>
<td>AU/African CDC</td>
<td>African Union/African Centers for Disease Control and Prevention</td>
</tr>
<tr>
<td>BCUN</td>
<td>Business Council for the United Nations</td>
</tr>
<tr>
<td>CEPI</td>
<td>Coalition for Epidemic Preparedness Innovations</td>
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<tr>
<td>CHF</td>
<td>The Swiss Franc</td>
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<tr>
<td>CPWF</td>
<td>China Population Welfare Foundation</td>
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<tr>
<td>FENSA</td>
<td>Framework of Engagement with Non-State Actors</td>
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<tr>
<td>FIRM PLEDGE</td>
<td>Signed agreement for a donation with funding not yet received</td>
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<td>THE FUND; SRF</td>
<td>COVID-19 Solidarity Response Fund</td>
</tr>
<tr>
<td>HMP</td>
<td>Health and Multilateral Partnerships Department</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>JCIE</td>
<td>Japan Center for International Exchange</td>
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<tr>
<td>LOI</td>
<td>Letter of Intent</td>
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<tr>
<td>NGO</td>
<td>Non-Profit Organization</td>
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<tr>
<td>PSC</td>
<td>Programme Support Cost</td>
</tr>
<tr>
<td>SOFT PLEDGE</td>
<td>Promise of funds not yet formalized in an agreement</td>
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<tr>
<td>SPF</td>
<td>Swiss Philanthropy Foundation</td>
</tr>
<tr>
<td>SPRP</td>
<td>Strategic Preparedness and Response Plan</td>
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<tr>
<td>TGE</td>
<td>Transnational Giving Europe</td>
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<tr>
<td>UN</td>
<td>United Nations</td>
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<tr>
<td>UNF</td>
<td>United Nations Foundation</td>
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<tr>
<td>UNHCR</td>
<td>United Nations High Commissioner for Refugees</td>
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<td>UNICEF</td>
<td>United Nations Children’s Fund</td>
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<td>UNRWA</td>
<td>UN Refugee Agency; United Nations Relief and Works Agency for Palestine Refugees in the Near East</td>
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<tr>
<td>WFP</td>
<td>World Food Programme</td>
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<tr>
<td>WHO</td>
<td>World Health Organization</td>
</tr>
<tr>
<td>WHOF</td>
<td>WHO Foundation</td>
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</table>
An unprecedented challenge to the world

The coronavirus pandemic has throttled economies, ravaged communities, and taken the lives of over a million people worldwide. In this time of global health emergency, the world looks to the World Health Organization (WHO) as the world’s leading public health authority and coordinator of the international health response.

Soon after WHO Director-General Dr. Tedros Adhanom Ghebreyesus declared a global public health emergency on 30 January 2020, it was clear that a united and sustained collective effort would be required to mitigate this outbreak. The COVID-19 Solidarity Response Fund (the Fund) was created as a novel and essential instrument to support WHO’s global response to the COVID-19 pandemic.

The objective of the Fund is to bring together partners from around the world with a shared mission of raising and allocating funds to support WHO’s Strategic Preparedness and Response Plan (SPRP) — the global plan for countries to prevent, detect, and respond to the pandemic. The Fund is the preeminent platform to allow individuals, corporations, foundations, and other organizations around the world to provide direct support to the work of WHO and its partners.

A novel mechanism to respond to a global pandemic

When the Fund was set up, the full scope, duration, and severity of the pandemic remained unknown. However, it was clear that it would be necessary for the Fund to operate with the principles of international solidarity, transparency, and accountability. Of utmost importance was enabling a mechanism to allow flexible contributions to WHO’s global pandemic response as quickly as possible.

Based on these considerations, on 25 February 2020, WHO contacted the United Nations Foundation (UNF) to jointly create a vehicle that could accept contributions from a range of individuals and entities including non-traditional donors to the United Nations (UN). With a 20-year grantmaking history, a mission tied to enabling support to the UN system, the housing of dozens of fiduciaries for the UN, a long-standing close collaboration with WHO, and the status of non-State actor in official relations with WHO, UNF was uniquely positioned and qualified to play a key role in the establishment of the Fund. The Geneva-based Swiss Philanthropy Foundation (SPF) and the cross-European Transnational Giving Europe (TGE) network were immediately engaged to facilitate tax-deductible donations in 20 European jurisdictions.

Less than three weeks later, on 13 March 2020, the COVID-19 Solidarity Response Fund was officially launched by the WHO Director-General, together with UNF President and CEO Elizabeth Cousens and SPF Chairman Etienne Eichenberger.

Momentum was established quickly with a matching campaign that included contributions from Google and Facebook totaling US$15 million. Within two weeks, the Fund raised US$100 million, and within six weeks, donations and commitments crossed the US$200 million threshold.

The generosity of Fund contributors and the engagement of partners has been tremendous. The Fund has provided an opportunity for many different communities to take immediate action in response to COVID-19 and to share public health messaging with broad audiences. A broad network of champions and influencers, including athletes (through FIFA, NBA, and others), Gen-Z influencers (through Twitch, YouTube, Tik Tok, and other activations), and the corporate sector enthusiastically joined this global effort.

On 18 April 2020, the One World: Together At Home concert, co-organized by WHO and Global Citizen and curated by Lady Gaga, mobilized tens of millions. The event was awarded Guinness World Record titles for most musical acts to perform at a remote music festival and most money raised for charity by a remote music festival.

The Fund represents a critical “real-time” example of how partners can constructively work together, in the spirit of solidarity, to put in place an innovative instrument that can make a real difference in people’s lives. At the outset of the pandemic, a critical challenge to the world demanded a critical response to the pandemic. The Fund has allowed this to happen.

“We are at a critical point in the global response to COVID-19 — we need everyone to get involved in this massive effort to keep the world safe.”

DR. TEDROS ADHANOM GHEBREYESUS, WHO DIRECTOR-GENERAL
pandemic, WHO did not have in place a mechanism to quickly allow non-traditional donors to contribute directly to WHO’s efforts. Though already in development, the official establishment of the WHO Foundation (WHOF) — which fits this purpose — would not take place until May 2020. Thus, the Fund effectively filled a critical gap at an urgent moment and provided proof of concept for the WHOF.

A system of collaborative partners

The COVID-19 Solidarity Response Fund was created as an ad-hoc, time-limited, and scope-limited vehicle to support the global COVID-19 response. The Fund is a pooled fund co-managed by WHO and a diverse group of partners, including UNF and SPF as core partners; the TGE network allowing donations in 20 European countries; and other fiduciary partners, beneficiary partners, and amplifiers, each with their respective role and responsibility to the Fund outlined in this section. While the Fund remains an informal collaboration, its strength is predominantly based on the close relationships and accountability systems that link all partners involved.

Along the way, different partners joined the Fund, each playing a different role in the overarching mechanism. Partners such as the King Baudouin Foundation Canada, Japan Center for International Exchange, and the China Population Welfare Foundation (CPWF) joined the Fund as FIDUCIARY PARTNERS to facilitate donations in Canada, Japan, and China, respectively. Fiduciary partners accepted donations from Fund Contributors which included a diverse array of corporations, corporate foundations, individuals, non-profit organizations (NGOs) and philanthropic foundations.

Celebrities and other partners such as Global Citizen, UNICEF, and UNHCR joined efforts as AMPLIFIERS/INFLUENCERS (the latter two as beneficiary partners as well) to amplify country preparedness and response needs and WHO messages. Google, Facebook, and different crowdfunding and employee matching mechanisms offered DONATION PLATFORMS to accelerate fundraising efforts, each linked to a fiduciary partner. Together with WHO, organizations such as CEPI, WFP, UNICEF, UNHCR, UNRWA, and African Union/African CDC acted as BENEFICIARY PARTNERS, receiving funds to accelerate the response to COVID-19 in their respective areas of expertise.

Since the Fund is a collaborative arrangement and not a sole legal entity, all partners involved in the Fund have committed to creating a system of agreed, mutual accountability to ensure the integrity of the Fund and consistency across business practices. Based on the role they play (contributors, amplifiers/influencers, donation platforms, fiduciary partners, and beneficiary partners) they are bound by agreements that define responsibilities in terms of financial flow, performance, and reporting.

WHO remains the central coordinator and authority for the Fund and for all flow-down decisions impacting the Fund’s other partners. While the other Fund partners are responsible for facilitating, executing, and collaborating on Fund activities, WHO plays a unique and involved role in authorizing and establishing the precedent for the Fund’s activities. This is most notably represented in the allocation, and oversight of expenditure of donations received, as detailed in Chapter 3.

FIDUCIARY PARTNERS (UNF, SPF, TGE affiliates, KBFC, JCIE, CPWF, WHOF) are responsible for fundraising and have a legal agreement with WHO that defines rules for fundraising and sets the scene on their way of contributing to WHO’s efforts against COVID-19. Major contributors have a legal agreement with fiduciary partners in order to process their donation. Philanthropic foundations and NGOs can donate directly through WHO, and legal arrangements are established accordingly.

All BENEFICIARY PARTNERS are accountable for the use of funds received and for the implementation of projects. Funds can be disbursed to beneficiary partners from WHO or directly from the main fiduciary partner, UNF. Legal agreements are set accordingly to define the reporting mechanism. As the largest fiduciary partner representing the greatest share of resources raised, UNF was the logical and most efficient fiduciary partner to directly provide grants to most non-WHO beneficiary partners.

ALL PARTNERS involved in the Fund’s efforts are accountable for how funds are raised, allocated, and implemented, according to their roles. Periodic impact reports (beginning monthly, then transitioning to quarterly) are consolidated by UNF, with input from different partners involved, and distributed to contributors and posted on the Fund’s website. WHO also provides regular updates to traditional UN donors, notably WHO Member States, including details on the Fund’s contributions to the overall SPRP.
COVID-19 SOLIDARITY RESPONSE FUND — THE ECOSYSTEM OF PARTNERS

**BENEFICIARY PARTNERS***

* Illustrative of main beneficiary partners. List is not comprehensive.

**FIDUCIARY PARTNERS**

**DONATION PLATFORMS**

**FUND CONTRIBUTORS**

**AMPLIFIERS / INFLUENCERS**

For Solidarity Fund and WHO messages

* Illustrative of main beneficiary partners. List is not comprehensive.
COVID-19 SOLIDARITY RESPONSE FUND — HOW IT WORKS

FOREWORD

SOLIDARITY RESPONSE FUND

WORLD HEALTH ORGANIZATION

FIDUCIARY PARTNERS

UNICEF

CPWF

UNF

SPF

TGE

WHOIF

JGIE

BENEFICIARY PARTNERS*

CEPI

UNICEF

WFP

UNHCR

UNRWA

OTHERS

FUND CONTRIBUTORS

Corporations

Corporation foundations

Philanthropic foundations

Individuals

HNWI

NGOs

HYBRID/DONATION PLATFORMS

AMPLIFIERS

Global Citizen

Celebrity engagement

KEY

Grant Reports

Funding Reports

Legal Agreements

Funding Agreements

Communications Guidelines

Legal & Compliance Reports

Impact Reports

* Illustrative of main beneficiary partners. List is not comprehensive.
Fast and flexible allocations translate to strong impact

The speed and timeliness of the Fund’s establishment, the outpouring of generosity of contributors, the flexible nature of the funding, and the agility and rapidity of disbursements are hallmarks of the Fund and proved to be essential in the global response to the COVID-19 pandemic. Weekly Fund disbursements to WHO and its partners since the third week of Fund operations has ensured that Fund contributions were some of the earliest to support the global response.

Allocation of Fund resources is based on health priority needs and in alignment with the SPRP and is decided by a Steering Committee composed of WHO senior leadership. The Committee allocates both disbursed Fund contributions and two-thirds of the Fund’s firm pledges, helping to speed the pandemic response.

This rapid allocation process allowed several important COVID-19 response projects to be initiated. However, some of these needs later received sufficient funding from other sources, so part of the initial funding could be returned to the Fund’s funding pool and reallocated to other needs.

As of November 20th, the Fund allocated a total of US$219 million.

In this relatively short interval — from conception to the disbursement of funds — the COVID-19 Solidarity Response Fund has demonstrated an unprecedented degree of responsiveness to meet the challenges of COVID-19 for countries around the world. The Fund has been agile even in its project management, with decision-making and operational structures iteratively refined during the early phases of operation.

The Fund is accountable to the thousands of individual donors, private sector companies, and foundations that decided to contribute to the fight against COVID-19. Focused, rapid, agile, flexible, and accountable, the Fund has filled a niche that no other mechanism could for this moment’s global health crisis. Furthermore, the Fund has generated valuable insights and experience that the WHO Foundation and other parts of the UN system will carry into the future in support of WHO’s efforts to promote health, keep the world safe, and protect the vulnerable in the years to come.
THE AGILE WAY FOR DECISION MAKING ON ALLOCATIONS

Total allocations 219 M as of November 20, 2020*

* Total and allocation amounts have been rounded up to the nearest tenth.
CHAPTER 1

Overview and General Principle of the Fund
Overview of the COVID-19 Solidarity Response Fund

The COVID-19 Solidarity Response Fund was created as an ad-hoc, time-limited and scope-limited vehicle to fundraise in support of the global COVID-19 response, coordinated and led by the World Health Organization. From early in the outbreak, it was clear that the COVID-19 pandemic represented a once-in-a-century event with effects extending far beyond health outcomes and required an equally unprecedented global response.

At the outset of the pandemic, WHO did not have in place a mechanism to quickly allow non-traditional donors to the United Nations system to contribute directly to WHO’s efforts. Though already in development, the official establishment of the WHO Foundation — which now serves this purpose — would not take place until May 2020.

The Fund was created to give individuals, corporations, foundations, and other organizations around the world a pathway to directly support the work of WHO and its implementing partners to help countries prevent, detect, and respond to the COVID-19 pandemic.

By leveraging the capacity of fiduciary partners around the world, the creation of the Fund has provided a rapid, efficient, and scalable mechanism to overcome limitations that have, up until now, made it difficult for WHO to accept direct financial support from such a wide range of non-traditional contributors.

The Fund’s primary objective is to channel needed financial support to priority public health interventions recommended in WHO’s COVID-19 Strategic Preparedness and Response Plan — the global plan for countries to prevent, detect, and respond to the pandemic. The Fund is an innovative and efficient way to fill urgent and critical financial gaps, address unanswered or rapidly emerging needs, and balance the sometimes inequitable allocation of resources across populations.

The creation of the Fund is aligned with the direction of the WHO Investment Case to secure more flexible funds for WHO’s work and diversify the donor base of WHO beyond its traditional contributors. It also follows the parameters and guidance set out in WHO’s Framework of Engagement with Non-State Actors (FENSA), which guides the way WHO interacts with non-Member State entities, including NGOs, private sector entities, philanthropic foundations and academia institutions (where there may be potential donors).

Key principles

The COVID-19 Solidarity Response Fund is managed according to the following principles:

» The Fund is a single pooled fund with no earmarking of contributions in order to maximize efficiency and align resources against highest priority needs.

» Contributions made to the Fund are used to finance the SPRP. This doesn’t mean that the Fund is an SPRP-implementing fund, but projects supported by the Fund must operate within the SPRP framework and fulfill its priorities.

» Contributions can be secured by the Fund’s primary fiduciary partners, the United Nations Foundation (UNF) and Swiss Philanthropy Foundation (SPF), as well as other designated fiduciary partners or by WHO directly.

» The Fund follows a “minimal regrets” due diligence approach when vetting potential funders. This approach is consistent with WHO’s FENSA guidelines of ensuring contributions from entities in the tobacco or arms industries are not accepted, while also allowing flexibility in accepting donations from a wide range of partners in order to maximize contributions and ensure the highest level of support to the SPRP.

» Originally, allocation decisions were to be taken by the WHO Director-General. In order to maintain flexibility and agility of the allocation process, the Director-General delegated the decision-making power on allocations to a Steering Committee led by the Executive Director, WHO Health Emergencies Programme.

» While WHO is the primary beneficiary of the Fund, allocations are decided based on public health needs assessed through the SPRP. This allows flexibility for the Steering Committee to make determinations about allocating funds to benefit other institutions working to advance the global COVID-19 response. The Fund does not mobilize resources for WHO’s core budget; it only supports specific projects advancing COVID-19 response efforts.
Beneficiary partners are expected to continue their own resource mobilization strategies and are welcome to solicit funding from non-State actors directly (i.e., not all funding has to go through the Fund). However, if beneficiary partners directly source large non-traditional contributors for their work under the SPRP, these resources can be channeled through the Fund. The attribution of these funds back to the beneficiary is done on an informal basis with no legally formalized earmarking.

Roles and responsibilities

Since its inception, a number of agencies and organizations have been invited to participate in different roles as part of the COVID-19 Solidarity Response Fund.

WHO is the leading actor, convening partners in the fight against COVID-19. Together with its convening power, WHO’s main role is to decide on the allocation of funds on behalf of the Fund. A WHO Steering Committee was appointed by the WHO Director-General to make allocation decisions on a regular basis.

WHO also acts as beneficiary partner, as it receives funds from fiduciary partners.

While WHO cannot easily receive funds directly from the private sector and individuals, it still can act as fiduciary partner for select non-traditional donors, such as philanthropic foundations and NGOs wanting to contribute to the Fund, while also remaining responsible for managing donations by traditional contributors, such as Member States, philanthropic foundations, NGOs, and multilateral financial institutions that can donate directly to WHO. Finally, WHO can provide grants to other beneficiary partners.

Fiduciary partners receive contributions on behalf of the Fund and transfer them to WHO for allocation and disbursement, or allocate them directly to additional beneficiary partners, upon instruction from WHO. As primary fiduciary partners, UNF and SPF co-designed the overall approach, key messages, and business functions of the Fund.

Based on its 20-year grantmaking history, its longstanding collaboration with WHO, and its status as a non-State actor in official relations with WHO, the United Nations Foundation was uniquely positioned and qualified to play a key role in establishing the Fund and serving as its primary fiduciary partner and manager. In addition to being the largest fiduciary partner for the Fund, UNF co-leads the Fund’s Project Management Board, co-leads several working groups, and drives many of the Fund’s outreach and engagement efforts. The agreement between UNF and WHO was signed on 12 March 2020.

The Geneva-based Swiss Philanthropy Foundation immediately followed, joining the Fund on 13 March 2020 as primary fiduciary partner. SPF serves as a conduit for Transnational Giving Europe (TGE), a network of independently operated charities who facilitate tax-deductible donations in 20 European jurisdictions, and Canada through the King Baudouin Foundation. Based on pre-established working arrangements between SPF and the TGE network, TGE network members transfer funds first through SPF before onward disbursement to WHO.

The Japan Centre for International Exchange joined the Fund on 9 April 2020 as a fiduciary partner, transferring donations through UNF and not directly to WHO due to its pre-existing longstanding relationship with UNF and desire to ensure funds given through it were able to be allocated to a range of beneficiary partners (as described in Chapter 3, UNF is the only fiduciary partner that disburses to other beneficiary partners).

The China Population Welfare Foundation joined the Fund on 20 May 2020 to facilitate engagement of contributors in China. CPWF mostly focuses on individual donors and transfers funds on a monthly basis directly to the WHO.

On 27 May 2020, the WHO Foundation was launched, and has acted as a fiduciary partner for the COVID-19 Solidarity Response Fund since June 2020. Of note, the WHOF was in development but not yet established when the pandemic began to escalate in the early part of 2020. The Fund served an interim purpose that will be fulfilled by the WHOF in the future. In doing so, the Fund provided proof of concept for the WHOF as a mechanism to collect funds from non-traditional WHO contributors.

Contributors to the Fund may be organizations, private companies, corporate foundations, philanthropic foundations, individuals, and non-governmental organizations all selected and approved in accordance with the Fund’s minimal regrets due diligence approach. Traditional contributors, such as Member States, philanthropic foundations, NGOs, and multilateral financial institutions can donate directly to WHO, but all other donors can only contribute to WHO’s COVID-19 response efforts through one of the Fund’s fiduciary partners. Many contributors can take advantage of tax benefits through a fiduciary partner based on the geographic area where they
operate. All contributors’ gifts are unrestricted. Some contributors also act as amplifiers by sharing the work of the Fund within their networks (e.g., employees, clients/customers, other stakeholders) based on a set of branding guidelines as outlined in Chapter 2.

**Beneficiary Partners’** main role is to receive and implement funds contributed through the Fund. They are responsible for the judicious expenditure of Fund resources as outlined in project proposals. These partners also monitor impact and share back narrative and financial reporting. Partners are identified based on priorities established in the SPRP and consistent with the Fund’s allocation principles and processes as outlined in Chapter 3. Beneficiary partners include:

- **WHO**, the primary beneficiary of the Fund. As of mid-November, [US$112.4] million has been allocated to procure and deliver essential commodities, including personal protective equipment (PPE) and diagnostic testing kits, to 173 countries. WHO also received funds to support research and development of novel COVID-19 countermeasures and Unity Studies, contact tracing, infodemic management, training and workforce support, and engagement with civil society organizations, among other allocations.

- **The Coalition for Epidemic Preparedness Innovations**, to sustain several research programs on potential vaccines, which have been a priority from the very beginning of the outbreak.

- **The World Food Programme (WFP)**, for its work on global supply chain logistics for health commodities such as personal protective equipment (PPE), tests, and testing kits.

- **UNICEF**, for its work supporting vulnerable communities with water, sanitation, and hygiene resources; basic infection prevention and control measures; and access to care for vulnerable families and children.

- **The African Union/African CDC**, to detect and prevent transmission (including surveillance, laboratory services, infection prevention control, and mobilization of rapid responders); prevent deaths (including healthcare preparedness, case management, protection of healthcare workers and frontline responders, and access to medicines and vaccines); prevent social harm (including countermeasures, risk communications, and social engagement); and other cross-cutting activities including supply chain management and coordination.

- **UNHCR**, which supports urgent needs for refugee populations such as risk communication and community engagement on hygiene practices, provision of hygiene and medical supplies, establishment of isolation units, and support for innovative preparedness activities.

- **UNRWA**, for its work with Palestinian populations to reduce the risk of infection and morbidity from COVID-19 including protection of frontline health workers through the provision of PPE and enhanced hygiene and cleaning practices, provision of access to life-saving primary healthcare and essential medicines throughout the crisis, and management of medical waste to ensure proper infection prevention and control.

A variety of entities have become amplifiers, disseminating and amplifying messages not only about the Fund but also sharing key public health messages, guidance, and recommendations through their respective channels and networks. Amplifiers include UNF, UNICEF, and UNHCR; existing WHO partners such as the Fédération Internationale de Football Association (FIFA) and Global Citizen (including the celebrities it works with); media companies such as Now This, Vice, and Upworthy; and international business associations including the World Economic Forum, International Chamber of Commerce, International Organization of Employers, UN Global Compact, and Connecting Business Initiative.
OVERVIEW AND GENERAL PRINCIPLE OF THE FUND

Governance structure and coordination

The Fund benefits from a robust, transparent project management structure, which guides both the week-to-week decision-making and reporting activities and sets out clear processes to expand the network of partners. This structure was progressively established in the first several weeks of the Fund’s existence as the needs for coordinated management and oversight increased due to the Fund’s exponential growth.

Following project management best practice, this process focused on identifying both the function and composition of various Fund components and decision-making groups as well as core work streams and the relevant activities under each.

The WHO lead team is based in the External Relations Department of Health and Multilateral Partnerships (HMP), which works closely with colleagues in WHO Health Emergencies, Business Operations, and Coordinated Resource Mobilization. The WHO lead, who serves as co-lead for the Fund’s Project Management Board, is the Director of Health and Multilateral Partnerships.

The UNF team working on the Fund includes colleagues in the following departments: Executive Office, Public Affairs, Integrated Development (fundraising), Finance and Business Services, Strategic Planning & Implementation, and Global Health. The UNF lead, who serves as co-lead for the Fund’s Project Management Board, is the Vice President for Global Health Strategy.

The SPF’s engagement in the Fund is led by the SPF Director General. Both the Management and the Operations teams at SPF are involved in the management and supervision of the COVID-19 Solidarity Response Fund. A dedicated Project Administrator follows the daily operations and acts as the focal point of contact to both contributors and Fund partners. The TGE Project Coordinator liaises with TGE partners. The Director of Finance and Administration supervises donor compliance, monitors finances, and transfers funds to WHO.

There are similar focal points and teams from the other fiduciary partners to support fundraising efforts and relations with WHO.

In its formative pre-launch and immediate post-launch phase, the Fund’s day-to-day operational planning and decision making was carried out jointly between WHO and UNF, with supportive partnership from SPF.
COVID-19 SOLIDARITY RESPONSE FUND — THE ECOSYSTEM OF PARTNERS

**OVERVIEW AND GENERAL PRINCIPLE OF THE FUND**

**BENEFICIARY PARTNERS***

* Illustrative of main beneficiary partners. List is not comprehensive.

**FIDUCIARY PARTNERS**

**DONATION PLATFORMS**

**FUND CONTRIBUTORS**

**AMPLIFIERS / INFLUENCERS**

For Solidarity Fund and WHO messages

**OTHER AMPLIFIERS / INFLUENCERS**
Initial governance protocols were described in the agreement letters between the Fund’s primary fiduciary partners, including delegation of obligations and responsibilities, distribution of administrative fees, basic donor recognition principles, and name and logo use.

A pro bono agreement was signed with the consulting firm Ernst & Young (EY) to document and further strengthen the project management architecture of the Fund. A Project Management Office team was created for this purpose, including focal points from WHO, UNF, and EY.

As of 1 November 2020, Fund is governed by the following bodies, with the following responsibilities:

**PROJECT STEERING COMMITTEE:**
- Sets objectives, targets, and goals
- Reviews options and makes decisions
- Decides allocation of funds
- Provides direction
- Oversees expenditures

**PROJECT MANAGEMENT BOARD:**
- Provides direction and support for all Fund working groups and workstreams
- Clears “roadblocks,” resolves problems, and maintains momentum
- Coordinates teams and manages relations with fiduciary and beneficiary partners
- Tracks and reports progress to the Steering Committee, which is also communicated externally to Fund stakeholders
- Prepares supporting materials for Steering Committee decision-making on allocations
- Oversees smooth financial flows of Fund

**PROJECT MANAGEMENT OFFICE TEAM:**
- Documents and proposes adjustments to the process, approach, and tools/templates for workstreams to assure compliance with internal policies and processes
- Supports management of workstream interdependencies and drives issues to closure
- Reports status and progress to Project Management Board when appropriate
- Identifies issues and risks and escalates to Project Management Board

**WORKSTREAMS:**
- Design workstream specific plans
- Manage timely execution of plans
- Address issues
- Minimize process disruption
- Report to Project Management Board regularly
**COVID-19 SOLIDARITY RESPONSE FUND – PROJECT ORGANIZATION**

### PROJECT STEERING COMMITTEE
- Weekly meeting
  - Sets objectives, targets and goals
  - Review options and makes decisions

### PROJECT MANAGEMENT BOARD
- Bi-weekly touchpoints
  - Provides direction and support
  - Clears “road blocks,” resolve problems, maintains momentum
  - Coordinates teams, manages relations with fiduciary partners and beneficiary partners
  - Tracks and reports progress to the Steering Committee, which is also communicated externally to Fund stakeholders
  - Prepare supporting materials for decision making on allocations
  - Oversees smooth financial flows of the fund

### PMO TEAM
- Weekly meeting / on-going collaboration
  - Manages workstream interdependencies and drives issues to closure
  - Reports status and progress to Project Management Board when appropriate
  - Identifies issues and risks and escalates to project management board

### CROSS FUNCTIONAL WORKSTREAM
- Process and Procedures
- LEAD
  - External Relations Officer, WHO Dept Health and Multilateral Partnerships

### WORKSTREAMS
- **WHO-LED ACTIVITIES**
  - Design workstream specific plan
  - Manage timely execution of plans
  - Address issues
  - Minimize process disruption
  - Report to Project management board regularly

- **WHO- & UNF-SHARED ACTIVITIES**
  - Tracking
    - WHO: HMP Lead Support for the COVID-19 Solidarity Response Fund
    - UNF: Chief Financial Officer
  - Reporting
    - UNF: Chief Financial Officer/ Executive Director, Business Services, Budgets, and Reporting

- **FIDUCIARY-LED ACTIVITIES**
  - Technology
    - UNF: Director of Technology and Digital Services
    - SPF: Director General
    - CPWF: Assistant to Secretary General and Director
  - Grants
    - UNF: Chief Financial Officer/ Senior Director, Business Services and Contracts
    - SPF: Director General
    - CPWF: Assistant to Secretary General and Director

### OVERVIEW AND GENERAL PRINCIPLE OF THE FUND

**LEAD**
- Executive Director, WHO Health Emergencies Programme

**MEMBERS**
- Executive Director, External Relations and Governance
- Assistant Director-General, Business Operations
- Director, Health and Multilateral Partnerships (secretary)

**NON-EXECUTIVE MEMBERS**
- Director-General’s Representative for Evaluation and Organizational Learning (contributing in an advisory capacity)
- Chef de Cabinet (copied for information)

**TECHNICAL ADVISORS**
- Assistant Director-General, Emergency Response
- Assistant Director-General, Emergency Preparedness and International Health Regulations
- Director, Health Emergencies Strategy, Programmes and Partnerships
- Comptroller a.i., Director Accounts, FNM/ACT
- Change Manager Officer, External Relations
- Acute Management Support Unit, WHO Health Emergency Programme
- HMP Lead Support for the COVID-19 Solidarity Response Fund (also rapporteur)

**CO-LEADS**
- WHO Director for Health and Multilateral Partnerships, & UNF Vice President for Global Health Strategy*

**MEMBERS**
- WHO: HMP Lead Support for the COVID-19 Solidarity Response Fund
- UNF: SRF Consultant
- SPF & TGE: Director General
- JCIE: Executive Director
- CPWF: Assistant to Secretary General and Director
- Ad hoc resources

* Daily check-in calls

**PROJECT MANAGEMENT TEAM**
- Primary Lead Support
  - HMP Lead Support for the COVID-19 Solidarity Response Fund

**EXTERNAL PARTNERS & ACCOUNTING & BUDGETING**
- WHO: Comptroller a.i., Director Accounts, FNM/ACT
- UNF: Chief Financial Officer

**ALLOCATIONS**
- WHO: Director, Health and Multilateral Partnerships/ HMP Lead Support for the COVID-19 Solidarity Response Fund

**IMPLEMENTATION**
- WHO: Team Lead Acute Emergency Management

**MANAGEMENT BOARD**
- OVERSEES ALLOCATIONS
- ONGOING OVERSIGHT

**PROJECT MANAGEMENT TEAM**
- WHO / UNF / EY Core team

**CROSS FUNCTIONAL WORKSTREAM**
- Process and Procedures

**FINANCE & SERVICES**
- Budgeting
- Accounting & Budgeting
Key Performance Indicators (KPIs)

To ensure the Fund’s overall performance can be monitored objectively, a set of Key Performance Indicators (KPIs) has been developed for tracking various aspects of the Fund’s internal and external operational performance. The following section provides a summary of each indicator including a goal, the measurement mechanism, and data sources. Because the Fund was a novel instrument, indicator baselines are not defined.

STRATEGIC OBJECTIVES AND CRITERIA OF SUCCESS

The Fund’s primary objective is to rapidly channel flexible financial support to priority public health interventions under the SPRP by filling urgent and critical financial gaps, addressing unmet needs, and balancing the sometimes-inequitable allocation of resources across populations.

The KPIs, then, support the processes of tracking, measuring, and reporting on projects and initiatives funded, the efficiency of funding, and their alignment with the SPRP objectives. Additionally, as part of a learning agenda related to this novel financing mechanism, some KPIs relate to characteristics of the funds raised, the number of donors and partners, and the reach of the Fund.

Because the Fund wholly supports the strategic objectives of the SPRP, indicators for the Fund’s impact are the same as those in the SPRP — not customized to the Fund unless otherwise noted in proposals approved by Steering Committee.

KPI TRACKING AND REPORTING

Monitoring and measuring defined KPIs occurs on a regular basis, depending on the indicator (e.g., weekly, monthly, or quarterly). The Fund is on a one-year formal reporting cycle, starting from its launch date in March 2020. KPI evaluation reports are presented to the Steering Committee and shared according to the frequency outlined in the following table.
## OVERVIEW AND GENERAL PRINCIPLE OF THE FUND

### SUCCESS CRITERIA AND MEASUREMENT

<table>
<thead>
<tr>
<th>KPI#</th>
<th>GOAL</th>
<th>INDICATORS</th>
<th>DATA SOURCE</th>
<th>MEASUREMENT FREQUENCY</th>
<th>RESPONSIBILITY</th>
</tr>
</thead>
</table>
| KPI01| Provide funding to support the Strategic Preparedness and Response Plan for other unmet needs | Total amount of funding raised  
Funding allocated from the Fund in accordance with the SPRP to fill needs  
Number of projects supported per pillar of the SPRP | Fund shared tracker  
Fund impact reports | Quarterly | WHO |
| KPI02| Ensure speed, timing and flexibility of funding to respond to support the Strategic Preparedness and Response Plan | Total disbursements as a percentage of pledges  
Funds disbursed by week from Fund inception  
Amount of funding reallocated or redeployed based on changes to Member State Funding | Fund shared tracker | Monthly | WHO |
| KPI03| Increase global support for WHO’s response to the global COVID-19 pandemic | Number of countries represented by donors to the Fund | Fiduciary partner financial or donation tracker | Quarterly | Fund fiduciary partners |
| KPI04| Increase support to beneficiary organizations responding to the global COVID-19 pandemic | Funds granted to beneficiary organizations  
Number of beneficiary organizations  
Percent of funds granted represented as total proposals received by WHO | Steering Committee allocations decisions log | Quarterly | WHO |
| KPI05| Increase support from influencers and celebrities for the COVID-19 Solidarity Response Fund and WHO’s response to the global pandemic | Number of influencers and celebrities publicly supporting the Fund  
Number of celebrities/influencers promoting the Fund  
Social media audience reach via celebrity/influencer accounts | UNF, WHO | Quarterly | |
CHAPTER 2

Fundraising
Overview and summary

The COVID-19 Solidarity Response Fund is a group of diverse partners, each with its own set of roles and responsibilities, who work toward the goal of marshaling financial resources to support the World Health Organization’s COVID-19 Strategic Preparedness and Response Plan. The process of prospecting, accepting, and managing contributions, as well as stewarding the corresponding contributors, is the primary responsibility of the Fund’s fiduciary partners. The following is a list of all the fiduciary partners involved in the Fund.

- United Nations Foundation (UNF)
- Swiss Philanthropy Foundation (SPF)
- Members of the Network of Transnational Giving Europe¹ (TGE)
- Japan Center for International Exchange (JCIE)
- United Nations Children’s Fund (UNICEF)
- China Population Welfare Foundation (CPWF)
- Foundation for the World Health Organization (WHOF)
- World Health Organization² (WHO)

The partners listed above are the primary bodies responsible for receiving funds from contributors and disbursing funds to the beneficiary partners of the Fund. Based on capacities and strengths, some, like the United Nations Foundation, embarked on active fundraising, while others, primarily in the TGE network, were engaged upon expression of interest from a potential contributor in their geographic market. The following chapter outlines the processes, key considerations, and important decisions that were made when approaching potential contributors, fundraising, and managing contributors on behalf of the COVID-19 Solidarity Response Fund.

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¹ TGE operates in 20 European jurisdictions, including: Stiftung Philanthropie Österreich (Austria); King Baudouin Foundation (Belgium and Canada); Because (Bulgaria); European Foundation for Philanthropy and Society Development (Croatia); Open Estonia Foundation (Estonia); Fondation de France (France); Maecenata Stiftung (Germany); HIGGS (Greece); Carpathian Foundation Hungary (Hungary); Community Foundation for Ireland (Ireland); Fondazione Donor Italia (Italy); Fondation de Luxembourg (Luxembourg); Prins Bernhard Cultuurfonds (Netherlands); Academy for the Development of Philanthropy in Poland (Poland); Fundaciao Oriente (Portugal); Odorheiu Secuiesc Community Foundation (Romania); Carpathian Foundation Slovakia (Slovakia); SKUP Skupnost privatnih zavodov (Slovenia); Fundación Empresa y Sociedad (Spain); Swiss Philanthropy Foundation (Switzerland); and CAF – Charities Aid Foundation (United Kingdom).

² The World Health Organization, as the primary beneficiary of the COVID-19 Solidarity Response Fund, accepts donations from few select non-traditional donors. The World Health Organization does not fundraise in the same manner as the other fiduciary partners as outlined in the process below, but rather, accepts donations when relevant and applicable. The purpose of the COVID-19 Solidarity Response Fund was meant to set up a system in which the WHO would not be solely responsible for actively fundraising. Instead, it would receive donations from partners who fundraised on its behalf.
COVID-19 SOLIDARITY RESPONSE FUND – REVENUE RECEIVED & DISBURSED

FUNDRAISING

SOLIDARITY RESPONSE FUND

COVID-19 SOLIDARITY RESPONSE FUND

CONTRIBUTORS

Corporations
Corporation foundations
Philanthropic foundations
Individuals
HNWI
NGOs

HYBRID/DONATION PLATFORMS

FUND CONTRIBUTORS

Corporations
Corporation foundations
Philanthropic foundations
Individuals
HNWI
NGOs

KEY

Grant Reports
Funding Reports
Impact Reports
Legal Agreements
Funding Agreements
Communications Guidelines
Revenue
Primary Fiduciary Partner

* Illustrative of main beneficiary partners. List is not comprehensive.
Fundraising

The Fund’s prospective contributors are diverse, ranging from Fortune-500 companies to individual, grassroots donors. The Fund targets individuals, private sector companies, corporate foundations, and other organizations, many of whom are motivated by tax-exemption benefits which cannot be provided by WHO. Prospective contributors to the COVID-19 Solidarity Response Fund are connected with one of the Fund’s fiduciary partners, depending on geographic region. Of note, traditional contributors such as Member States, multilateral institutions, and philanthropic foundations can donate directly to WHO and are not considered prospective contributors to the Fund. Unrestricted gifts to WHO from philanthropic foundations and NGOs for its COVID-19 response also, in principle, count toward the Fund.

Fiduciary partners pursue a variety of outreach mechanisms to raise awareness among broad new audiences in order to amplify the Fund’s existence and funding needs. At times, these contributors are proactively engaged and solicited for contributions, though Fund fiduciary partners differ in the amount of proactive outreach and fundraising strategies they conduct, with several partners acting as passive fiduciary partners only.

Some prospective contributors seek out the Fund on their own accord or are received by referral from other agencies or partners. The Fund has a general email inbox which is monitored by UNF staff. Prospective contributions received through the inbox are gauged to identify intent and assess the best fiduciary partner to facilitate the contribution. As described in more detail in Section III, once a prospective contributor is identified, the corresponding fiduciary partner initiates the minimal regrets due diligence process. Once a partner clears due diligence, the contribution is secured and committed in writing between the fiduciary partner and the prospective contributor. A detailed overview of donor agreements and policies can be found in Section IV.

Each fiduciary partner defines contributors according to their internal terminology and best practice. Overall, for the Fund, there are three main categories of contributors.

- **FUND CONTRIBUTORS:** These contributors represent the primary funding partner type and are responsible for fulfilling pledges, accepting the terms and conditions of donating, and amplifying calls to action when appropriate. This can include both individual and institutional donors. GSK, Apple, and Harry Styles are examples of fund contributors.

- **HYBRID/DONATION PLATFORMS:** These contributors, such as Facebook and Google, are responsible for both amplifying the message of the Fund to a broad range of audiences and collecting and routing donations to fiduciary partners. In addition to channeling funds from individual contributors, many of these platforms also serve as Fund contributors with contributions (potentially matching) at the corporate level.

- **AMPLIFIERS:** These contributors are responsible for communicating the message of the COVID-19 Solidarity Response Fund and encouraging a wide range of audiences to contribute to the Fund but are not typically contributors themselves.

**DIRECT CONTRIBUTORS**

The following outlines standard practices and considerations made by each individual fiduciary partner when directly soliciting donations from prospective donors.

**United Nations Foundation**

At the United Nations Foundation, solicited donations primarily came from the offices of Executive Leadership, Integrated Development, Global Health, and the Business Council for the United Nations (BCUN). Prospective contributors are chosen for proactive solicitation based on existing relationships and an examination of existing funder pipelines. During the initial launch of the Fund, UNF leadership communicated funding asks to a wide range of partners via email and direct phone calls, which brought a wave of funders directly to UNF. UNF continues to seek contributions through email and phone solicitations. These solicitations are made by a diverse range of teams across the UNF, though primarily are completed by the Integrated Development, Global Health, and Executive Office teams.

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3 In the case where beneficiary partners directed funding to any of the fiduciary partners, attribution of these funds can be made on an informal basis with no legally formalized earmarking. There is an agreement that funds to non-WHO beneficiary partners are “hard earmarked” or hosted in separate funds and allocated to the intended beneficiary. This is conducted on two conditions: 1) the volume of earmarked resources is deemed sufficient and 2) the WHO allocation committee requested and/or approved of the earmark. This has never yet been executed in this manner.
Once contact with a prospective contributor has been made and interest in the Fund is expressed, information and FAQs about the COVID-19 Solidarity Response Fund are provided. Potential contributors are informed of Fund priorities and made aware that all funds are unearmarked and distributed at the discretion of the WHO within the framework of the SPRP based on highest needs.

At UNF, Fund contributors are responsible for upholding the requirements of the relationship as defined in a legally binding agreement which is cosigned during the fundraising process. These agreements outline the committed amount, timeline of receipt, use of marks and logos, public recognition by the Fund, the mechanism for obtaining the donation (e.g., check or wire), and reporting requirements (where applicable).

UNF works directly with all Fund contributors whose gifts exceeded US$100,000 to ensure they are aware of and meet the responsibilities listed above. Contributors who provide funds under US$100,000 are not obligated to sign legal agreements or held to the same requirements listed above. All fiduciary partners, however, are responsible for adhering to the branding and compliance guidelines set forth by the WHO and each fiduciary partner.

When prospecting potential reoccurring contributions, especially among individuals who have opted in to receive further communication from the Fund, UNF solicits directly to past contributors through a series of e-mails to ask for second and sometimes third gifts. UNF has limited access and permissions when communicating with online contributors who have channelled funds through one of the donation platforms. Select corporate donors were solicited for reoccurring donations and were enticed to contribute through specific efforts or events. For example, at least a half-dozen corporate donors who gave to the Fund were invited to join Global Citizen’s One World: Together at Home concert — a global broadcast and digital special aimed to support frontline healthcare workers and encourage donations to the COVID-19 Solidarity Response Fund.

China Population Welfare Foundation

The China Population Welfare Foundation has actively maintained close communication with the Ministry of Civil Affairs and National Health Commission of the People’s Republic of China and completed the approval and filing procedures of the “Support the COVID-19 Solidarity Response Fund for the World Health Organization through Action of China” project in accordance with Chinese regulations. With this completed, CPWF can legally raise funds and release the information of public fundraising conducted through its website and social media. Through active outreach, CPWF mobilizes companies and individuals to become direct contributors to the Fund. Prospective contributors are identified due to their willingness to increase social influence and actively participate in combatting COVID-19. During the mobilization process, CPWF provides potential contributors with background materials and guidelines for recognizing contributions.

CPWF has designed and compiled several documents to formalize Fund procedures. These documents include the application form and guidelines for the approval of foreign related public fundraising projects and the template of public fundraising projects, which comprehensively describe the processing procedures, approval details, and standardized project management practices used to manage solicited donations. Examples of these documents can be found in Appendix A.

In order to help more Chinese audiences understand the value and purpose of the COVID-19 Solidarity Response Fund, CPWF developed the Chinese and English web page WHO
Solidarity Response Fund, Action of China to introduce the main contents of the Fund. This website links to the Fund’s principal website for additional information. A high-profile launch event was organized to garner additional visibility, as detailed later in this chapter.

Japan Center for International Exchange
At JCIE, educational events were set up to introduce the Fund to corporate executives and the general public. To encourage donor interest and outreach, additional focus was given through traditional media coverage (such as op-eds and other national-level media coverage) and online dissemination of Fund information through social media and portal sites. Potential donors can express interest through direct contract via phone or email or through the submission of an online inquiry. Upon receipt of a prospective donor inquiry, JCIE begins the process of answering any donor inquiries and initiating the minimal regrets due diligence process.

Swiss Philanthropy Foundation and Transnational Giving Europe Partners
SPF and the TGE network partners take similar approaches to donor cultivation and engagement. Rather than doing proactive fundraising among a network of pre-established prospective donors, most contributors seek out intermediary partners following engagement with various Fund channels (e.g., the Fund website, other Fund partners, the Fund email inbox). SPF, as well as many TGE network members, built a page on their website specifically for the Fund, with content drawn from the Fund’s main website and adapted to local languages. These digital resources also have been useful for attracting prospective contributors to the Fund.

When a prospective contributor expresses interest in giving to the Fund via SPF or TGE network partners, further information is shared with the prospective contributor by SPF or the TGE partner as needed, and due diligence is completed. Contributors are not required to sign a letter of agreement, but if a contributor requests an agreement, their template is used. The agreements include parameters for use of the Fund’s brand guidelines.

OTHER CONTRIBUTIONS
The Fund’s high visibility, early launch, and frequent amplifier moments attracted contributors directly to the Fund. These contributions came through several major channels:

- Amplifier events, such as the Twitch Stream Aid or One World: Together at Home concert sponsored by Global Citizen;
- Digital influencer engagement, including celebrity social media accounts, and benefits received from new music releases;
- Online giving campaigns, such as Facebook Giving and Tencent Public Welfare, or via online gaming platforms;
- Employee giving campaigns, some of which featured a match by employers;
- Percentage of sale efforts by retail companies;
- Donor-advised funds, such as Fidelity Charitable Giving;
- Directly via the Fund’s website and fiduciary partners’ websites.

In the examples listed above, third-party vendors are involved in receiving and then disbursing contributions to fiduciary partners on behalf of individual donors, allowing for thousands of donors to donate directly without any direct contact from fiduciary partners. Due to pre-existing relationships with many of these third-party vendors, UNF most often serves as the fiduciary partner for such arrangements.

Several companies and brands continue to promote the Fund in their marketplaces via percentage of sale efforts. These
WHO Foundation

The WHO Foundation has advanced donor engagement for the Fund since the Foundation’s inception in May 2020 as part of its broader efforts to raise awareness and funds for COVID-19 response. One example is the creation of the eBay “Own the Moment” auction (rescheduled for March 2021), which seeks to raise money for the Fund via an auction of carefully curated, high-profile celebrity items and experiences. The Foundation’s communications and partnerships teams have helped circulate a concept note and marketing materials, developed in collaboration with WHO and supporting communications/PR agencies, to a list of potential donors encouraging their engagement in the auction to support WHO’s COVID-19 response. This list has been compiled based on the collective networks of the organizers and is regularly revisited and updated with new opportunities and leads based on ongoing partnership and outreach discussions of the parties involved. Once donors agree to make a donation, the WHO Foundation connects them to the auction logistics team to transfer the item and support the development of any creative content that is needed to augment the auction marketing.

COVID-19 SOLIDARITY RESPONSE FUND WEBSITE

To enable individual online donations from anywhere in the world, UNF established a web-based donation platform in consultation with WHO: covid19responsefund.org. This website is the primary home for general information about the Fund, including its purpose, impact, and an online donation form. The WHO website also hosts a prominent page describing the Fund and links to the Fund’s website. As the Fund and pandemic response evolves, content on the website is updated to include additional information related to disbursements and impact. Updating content is done on a “Google Doc” shared between WHO and UNF communications staff who are part of the Fund’s communications working group. Edits are reviewed and cleared by the Fund communications working group chair at UNF before being published.

UNF and WHO also publish blogs about the work of WHO and its implementing partners on COVID-19 response, and these are shared on the impact page of the website as well. Disbursement figures are updated weekly based on data in the Fund’s shared tracker, which is described in greater detail in Chapter 3.
Recognizing the global reach and relevance of the Fund, UNF created additional versions of the Fund’s website in French and Spanish. Other fiduciary partners have their own Fund web pages, which derive content from the Fund’s central website, to enable easy access in local languages and linkage to online giving opportunities.

As previously noted, the Swiss Philanthropy Foundation, members of the Transnational Giving Europe network, Japan Center for International Exchange, and China Population Welfare Foundation each manage their own pages.

**AMPLIFYING EFFORTS**

The Fund benefits from a network of influential amplifying partners who can extend the reach of the Fund, tap new audiences, and offer new ways for individual contributors to give to the Fund. UNF established relationships for amplification include Facebook, Amazon (and associated properties), Twitch, Tiltify, Google (and associated properties), Snapchat, and TikTok. These amplifying partners also enhance the value proposition for corporate donors to the Fund, providing additional visibility for corporate gifts. Some amplifying partners act as intermediaries, receiving funds directly before onward transmittal to a fiduciary partner. For all major amplifying partners, direct partnership arrangements are made through legally binding agreements between a Fund fiduciary partner and the amplifier.

Examples of amplifying partners include social media and gaming companies who offered an opportunity for their millions of users to contribute to the Fund; the influencer community, including musicians, actors, sporting stars, and digital influencers with large followings on social media; and fundraising partners, who organized and hosted virtual fundraising events to benefit the Fund and other charitable efforts.

**Social Media**

Fiduciary partners utilize their own social media accounts to drive contributions to the Fund. A common hashtag — #COVID19Fund — was adopted early and shared widely with contributors, supporters, and influencers via the Partner Toolkit along with other resources to ensure consistent branding, unify content, and amplify the Fund. The toolkit consistently provides key social media handles, hashtags, and suggested messaging so content from multiple partners and beneficiaries present a strong and cohesive brand identity across platforms.

When applicable, fiduciary partners established new social media accounts on additional platforms (such as Snapchat and TikTok) to generate new fundraising partnerships with those social media companies and to drive donors to give via their platforms. These platforms share similar key messages, consistent with the Fund’s partner toolkit and expressing the urgency of supporting WHO’s critical work on COVID-19 through the Fund.

Social media platforms are also used to amplify key moments such as World Health Worker Week (5–11 April 2020) and Giving Tuesday Now (5 May 2020), which were leveraged as opportunities to drive donations to the Fund. UNF and WHO are responsible for developing impact graphics and videos used to promote the Fund and WHO’s work. WHO amplifies major announcements and Fund materials through its channels when relevant, recognizing some significant donors and reiterating the need for solidarity and donations to collective solutions like the Fund.


**Influencers**

Additionally, the Fund increased its public reach through the support of celebrities, athletes, musicians, and digital influencers.

To ensure there is consistent messaging and branding about the Fund for public engagement opportunities, WHO and UNF jointly developed a two-page information sheet which outlines key messages about WHO, the Fund, and how funds raised help WHO’s COVID-19 response. These resources also include important public health messages about social distancing, handwashing, knowing the signs and symptoms of COVID-19, and being kind during this unprecedented and difficult time. The two-pager was adapted into a framework called “5 Things You Can Do to Help Stop the Spread of COVID-19” and is shared with talent managers along with talking points for influencers to request contributions to the Fund. These resources are used by influencers during both active fundraising events, as well as softer advocacy moments across social media channels or other platforms.
Public figures have often offered to engage with the COVID-19 Solidarity Response Fund by emailing the Fund inbox, UNF press inbox, or WHO’s media team. To process these requests, WHO sends inquiries and opportunities to UNF to determine the value of such engagements and to help vet and create agreements when necessary. Decisions to pursue engagements with public figures are made by the communications working group based on two criteria: i) potential to raise significant revenue and/or ii) potential to reach new or wide audiences with key messaging. These criteria balance level of effort with return. Once agreements are in place, UNF shares the messaging document and partner toolkit with talent to ensure full alignment with Fund messaging.

**Events and Amplifying Moments**

At times, the Fund has benefitted from coordinated fundraising campaigns and moments led by an amplifying partner who most often worked directly with a Fund fiduciary partner. Examples of these coordinated fundraising campaigns include Twitch’s Stream Aid and One World: Together At Home, organized by Global Citizen and curated by Lady Gaga.

For the China Population Welfare Foundation, this included active contact and virtual visits with medical industry associations to obtain the support of their member organizations, including the Chinese Hospital Association, Chinese Medical Association, and the Chinese Preventive Medicine Association. CPWF launched a large-scale publicity and fundraising campaign called “United as One — Call on Everyone to Donate 1 Yuan to Make the World a Better Place” to support the Fund. They also co-launched a campaign together with 21 global anti-epidemic partners and participated in “99 Charity Days.”

On 20 May 2020, CPWF held a launch event at the UN China headquarters in Beijing together with senior representatives from the Ministry of Foreign Affairs, the Ministry of Civil Affairs, and the National Health Commission of the People’s Republic of China. The launch was attended by UN Resident Coordinator in China, and WHO Representative to China, with a recorded video message from WHO Director-General. The event was accompanied by a press release to notify international media that CPWF was operational as a fundraising entity of the COVID-19 Solidarity Response Fund. Additionally, CPWF launched the “Solidarity Response, One for Everyone” campaign, recruiting individuals or enterprises as global anti-epidemic partners to mobilize resources for the Fund and to tweet #SolidarityResponse and/or #OneforEveryone on the microblog with WHO, Xiamen Airlines, and other global anti-epidemic partners. To further expand the impact of the Fund, CPWF recruited 21 enterprises during September 2020 to participate in Tencent’s National Public Welfare Day and mobilize digital Fundraising for the Fund.

At JCIE, sponsored webinars featuring leaders from WHO, JCIE, business, government, media, and civil society were hosted to draw attention to the work of the Fund. Such events were designed as educational opportunities on WHO’s global COVID-19 response as well as opportunities to express gratitude to donors and report on expended funds. These opportunities greatly deepened understanding of WHO in Japan. JCIE has also supported a number of organizations’ fundraising drives and capitalized on individual giving of stimulus funds received from the Japanese government.

As year-end fundraising approaches, JCIE will also center fundraising around Giving Tuesday and end-of-year giving to encourage additional individual donations.

At the WHO Foundation, a series of partnerships with stakeholders from diverse industries were enabled to raise funds for the Fund using a custom QR code and URL created by the WHO Foundation’s fundraising partner, Heroes. Examples include the MDL Beast Festival online concert hosted in Saudi Arabia, beIN media group’s global coverage of the Roland-Garros (French Open) tournament via broadcast and digital platforms, and an upcoming eBay auction which will offer potential donors the opportunity to bid on celebrity-donated items and experiences. In addition to these targeted fundraising campaigns, the WHO Foundation also engaged in several other partnerships to raise funds and awareness more broadly for global COVID-19 response. These include collaborations with Kim Sledge (#WeAreFamily) and the Foundation’s engagement in the Healing Arts Initiative.

To date, the Fund has provided a valuable mechanism and platform through which the WHO Foundation can engage its stakeholders in supporting WHO’s broader COVID-19 response efforts. Importantly, it has also provided an entry point for influential stakeholders to invite their networks and communities to donate.

Such moments provide opportunities to galvanize the identity of the Fund and attract new audiences of individuals, companies, and philanthropies — reaching more people with the Fund’s key messages and opportunities to give. At times, the lead contributing partners on those efforts matched contributions to incentivize donations.
Media

Fundraising for the COVID-19 Solidarity Response Fund is conducted via a blend of solicited and unsolicited donations, both of which are amplified via media and public engagement strategies.

During the establishment of the COVID-19 Solidarity Response Fund, UNF and WHO implemented a broad media engagement strategy to ensure a large audience was aware of the Fund’s launch and its status as a first-of-its-kind initiative to mobilize critically needed resources to finance the global COVID-19 response led by WHO. WHO and UNF worked together on designing the launch strategy, including look and feel, key messages, digital engagement, and media engagement. A global joint press release announced the creation of the Fund, and WHO Director-General Dr. Tedros Adhanom Ghebreyesus also announced it during a global press conference on 13 March 2020. The joint press release was sent to WHO’s media email distribution list as well as all UNF media subscribers; it was also posted to the WHO and UNF websites. Additionally, an embargoed press briefing was held on 12 March 2020, which featured UNF President and CEO Elizabeth Cousens; UNF Vice President for Global Health Strategy Kate Dodson; and WHO Director of Health Emergencies Strategy, Programmes, and Partnerships Scott Pendergast. Among other outlets, top-tier media including CNN, Reuters, Bloomberg, The Telegraph AFP, CBS, TIME, and Yahoo all participated and filed stories.

As the Fund hit major fundraising milestones, progress updates were pitched to many reporters who covered the initial launch of the Fund, leading to additional press coverage. The Fund explored new fora for media engagement including podcasts, Zoom video interviews, and livestream platforms such as Twitch, in addition to traditional print and radio opportunities.

Press inquiries regularly come to WHO or UNF via their respective press inboxes or through direct email communications. Media opportunities are assessed collaboratively, vetted, and, if deemed to be a good opportunity, pursued with the appropriate spokespeople. All responses to media inquiries are drafted and reviewed for technical accuracy and political sensitivities and are cleared with relevant organizational leadership as needed.

Formal media partnership opportunities were pursued with a few high-impact partners, including NowThis, Good/Upworthy, Vice, and MTV Shuga (MTV/Viacom), to spread the Fund’s key messages.

In addition, CPWF made full use of Tencent’s news flash screen ads and public front page resources, with the help of the “finger to finger war epidemic” and “intensive care” games launched by the Bytedance and combined with hot topics on microblog hot search list. CPWF also mobilized funds through cooperative events, such as online sports events, public games, book sales, and other forms of charitable selling, created in accordance with partner capabilities and qualifications and formalized through signed agreements.

At JCIE, the leveraging of Japan’s role in the global health community as well as several existing publications was utilized to spread news about the Fund. This was done via a launch and announcement of JCIE’s Fund involvement through a special JCIE COVID-19 newsletter which was disseminated to members of Japan’s global health community and through highlighting a senior Japanese official at the WHO, ADG Naoko Yamamoto, during interviews, media coverage, and op-eds in major newspapers. These include a piece in July 2020 by Satoko Itoh in the Asahi Shimbun and Nikkei Shimbun newspapers; 1 November interviews with Yamamoto, Itoh, and others in Asahi Shimbun, and a three long-form interviews in Asahi Globe+ from 7–9 November.

The WHO Foundation used a variety of channels to promote the Fund, including its website where the Fund has been featured as an option within the “donate” page/user experience since the Foundation’s creation. In partnership with the WHO Foundation’s fundraising partner, Heroes, a custom campaign (including a URL and QR code) was created and embedded into the site to easily facilitate donations from interested donors. Additionally, the WHO Foundation mobilized its social media accounts to raise money and awareness for COVID-19 response efforts including the Fund across dedicated Twitter, Instagram, and Facebook posts. Several of the Foundation’s partnerships since May 2020 were also accompanied by press releases and/or targeted marketing materials that highlighted the Fund as a beneficiary of fundraising efforts, including its collaborations with MDL Beast, beIN Media Group, and eBay.

Note: For donations which are received though not solicited, written agreements are not used. In these instances, the fiduciary partner is responsible for conducting due diligence upon receipt of the donation. In these instances, no public acknowledgment of the donation is made, and the partner communications toolkit is not shared.
Due diligence

When considering new Fund partners, fiduciary partners conduct due diligence to understand and acknowledge potential legal, financial, reputational, or other risks related to accepting a donation or entering into a partnership.

Each fiduciary partner is responsible for complying with its existing internal due diligence requirements and procedures, including ensuring compliance with local laws. Fiduciary partners’ due diligence policies can be found in Appendix B.

While each partner conducts due diligence in alignment with their own internal policies and procedures, all fiduciary partners jointly established a baseline level of due diligence, developed before the launch of the Fund in consultation with WHO, and include the following criteria:

» Adherence to the exclusionary due diligence principles set forth by the World Health Organization. This includes not working with any partners who are involved in the production or manufacturing of tobacco products or arms

» Consideration of the requirements and reputations of the United Nations and World Health Organization

» Adherence to due diligence policies and requirements of each fiduciary partner

Due to the outstanding and exceptional nature of the crisis, the Fund’s approach to due diligence assumes a “minimal regrets” approach. The Fund allows WHO to maintain an arm’s-length relationship from contributors, as all funds are disbursed through fiduciary partners as pooled, unearmed, and unrestricted. Importantly, the use of WHO’s logo is not allowed by any Fund contributors. While due diligence is conducted with the WHO due diligence criteria in mind, the process is ultimately owned by the fiduciary partners and not WHO. Except in rare instances, no Fund contributor creates new legal or administrative agreements directly with WHO as a result of engaging in the Fund. Therefore, fiduciary partners did not have to assume the full due diligence and partner eligibility process of WHO’s Framework for Engagement with Non-State Actors (FENSA).

Due diligence for the COVID-19 Solidarity Response Fund is conducted by each fiduciary partner during the prospecting stages of a contribution. The process is initiated by a fiduciary partner during the initial donor outreach stages or when a prospective contributor approaches the Fund or a fiduciary partner without solicitation. Due diligence is conducted on both individuals and organizations, as well as any other third-party amplifying partners who serve as intermediate fiduciaries of donations. This includes mechanisms such as donor-advised funds and credit card processing organizations.

The due diligence process is conducted in order to understand any and all concerns that may exist when accepting a contribution from a prospective contributor. All fiduciary partners responsible for conducting due diligence vet prospective contributors to understand what, if any, risks may be entailed by partnership, paying special attention to the contributor’s involvement with:

» Tobacco/alcohol/weapons industries

» UN sanctions violations

» Health-related risks/concerns

Determinations about the criteria above are made to ensure all contributors, at minimum, are not in violation of the mission and vision of the World Health Organization or the United Nations.

Any and all risks found during the due diligence process are reviewed by the appropriate staff members within each fiduciary partner, in alignment with the fiduciary partner’s internal approval processes. Additionally, if a prospective funder is considered high-risk, due diligence results are also discussed with the project lead at WHO, who would then review and advise on the final partnership decision. Once a partner is approved, the process of accepting and managing a contribution can proceed.

Contributor agreements and policies

Upon completion of the due diligence process, most contributions are secured and committed in writing. Written agreements are made between the contributor and the fiduciary partner receiving funds, specific to the requirements of each fiduciary partner and drafted in accordance with each fiduciary partner’s legal and compliance requirements. When accepting a contribution, each fiduciary partner is also held to the compliance standards of each contributor. This includes completing grant applications and formal grant requests when required, as well as complying with any other contributor requests, as applicable and within reason.
At UNF, all contributions over US$100,000 to the COVID-19 Solidarity Response Fund are required to sign Letters of Intent (LOIs). If a contribution is based on a percentage of sales arrangement, a separate agreement is signed in addition to the LOI. These separate agreements are needed to define the use of marks, logos, and required customer disclosure language which must be included in any sales campaign. Sample LOI and percentage of sale templates used can be found in Appendix C.

At the China Population Welfare Foundation, contributions are formalized by a jointly signed grant agreement. Contributions greater than RMB¥10,000 (approximately US$1,500) require a signed donation agreement and uniform invoice of public welfare donation so the contributor can apply for tax reductions and exemptions. A sample of the CPWF contributor agreement can be found in Appendix B.

At the Swiss Philanthropy Foundation and Transnational Giving Europe, contributors are not required to sign an agreement. However, agreements are signed when required by the contributor, and such is the case for several corporate and foundation contributors. In these instances, agreements are signed based on the template and language provided by the contributor.

At JCIE, all organizations/corporate contributors are required to sign a donor agreement before making a payment. The agreement indicates the pledge amount, target payment date, and contact information and alerts donors that a comprehensive due diligence review is conducted on all donors contributing over JPY¥1 million before a donor agreement can be signed or funds can be accepted. For organizations donating less than JPY¥1 million, donor agreements can be finalized without JCIE’s due diligence review; however, these donors are instead required to declare they have not been subject to a UN or U.S. sanction; do not engage in the manufacturing of alcohol, tobacco, or armaments; and are not involved in any activities considered socially undesirable which may affect the reputation of the Fund. A comprehensive due diligence review is conducted on these partners to ensure accuracy in such statements.

Individual donors donating JPY¥1 million or more through JCIE are required to sign a donor agreement upon receiving due diligence approval in order to receive the appropriate tax-deductible statements. Individual donors who donate less than JPY¥1 million and do not require tax deductible statements are directed to make an online donation to UNF via the Japanese-language portal JCIE set up to display direct translations of UNF’s Fund page.

At the WHO Foundation, donations are only received via online methods; therefore, no agreements are signed with donors. In order to ensure full compliance with WHO and its core values, the WHO Foundation’s online platform asks all individuals donating, despite the amount of the gift, to confirm in a self-declaration that they are not employed by or have a significant financial interest (in excess of US$5,000) in the arms or tobacco industries.

Once a contribution is committed in writing, it is considered a firm pledge and can be used for forecasting and allocation planning. For more details on the forecasting and allocation process, please see Chapter 3.

CONTRIBUTOR MANAGEMENT AND STEWARDSHIP

Contributor management and stewardship are ongoing processes that ensure contributors and partners to the COVID-19 Solidarity Response Fund are provided with the philanthropic experience which mirrors the highest industry standards and requirements. Fiduciary partners for the Fund follow industry standards and requirements in compliance with their respective country’s regulations and internal best practices and standards. These standards relate to data privacy, tax acknowledgement and reporting. Please see Appendix D for UNF’s data privacy policy.
It is incumbent upon all fiduciary partners to ensure all contributors’ data privacy is appropriately managed and protected. More details on this management process are contained in Chapter 5 — Risk Management.

Where relevant and in compliance with local laws, fiduciary partners may provide tax receipt or other official acknowledgement of receipt of a gift suitable for extending tax benefit to the contributor. Further information can be found in the contributor acknowledgement section.

The Fund takes a consolidated approach to communicating to contributors about the impact of the resources raised through the Fund via a report, initially released monthly and now quarterly. The report is a compilation of data, images, and narratives from all beneficiaries and is shared directly via email with all largescale contributors to the Fund; it is also posted publicly on the Fund web page. Furthermore, on behalf of the Fund, UNF organizes periodic phone calls with large-scale donors to share more about the work being supported by the Fund, including briefings from WHO leadership. Both of these are important elements of transparency and donor stewardship.

Contributor acknowledgement

Contributor acknowledgement ensures contributors receive informed, accurate documentation about the value of their contribution for tax purposes, as well as ensuring they are appropriate recognition for their donation contributions. Fund fiduciary partners adjust contributor acknowledgements based on the best practices and regulations guiding donations in the countries where they operate.

The Fund uses social media platforms like Twitter to publicly acknowledge donors in various ways. The Fund established a consistent public donor acknowledgement approach to ensure a more coherent look and feel across the fiduciary partners.

- Contributors at or above the US$100,000 gift mark receive their own “Thank You” graphic shared in a Tweet tagging the contributor through UNF’s account on behalf of the Fund. These donors are also acknowledged with at least one post on at least one other UNF social channel on behalf of the Fund. This is executed upon completion of the relevant agreements and following the contributor’s own announcement of the contribution. Amplification of these social media posts has been a common practice among fiduciary partners in order to reach broader audiences.

- If desired by the contributor, all contributions at or above the US$100,000 gift mark are acknowledged on the Fund’s website with the contributor’s logo and name. Contributors at this level are also provided messaging and collateral via the COVID-19 Solidarity Respond Fund Partner Toolkit. This toolkit is used by partners as a messaging tool to support public behavior change related to COVID-19 and was developed by the Fund’s communications working group, led by WHO and UNF. These contributors are also given access to the COVID-19 Solidarity Response Fund Brand Guidelines (Appendix E).

- All corporate donors who give at or above US$500,000 are also featured in a GIF, which includes the logos of several large donors.

- UNF is also responsible for amplifying acknowledgements on Twitter for donations directly received by WHO. These Tweets are at times further amplified by WHO’s Director-General, (typically for significant contributions at or above US$5 million).

In addition to the standard approach outlined above, each fiduciary partner to the Fund may use its own acknowledgement process based on best practices and their own internal standards. These include:

- UNF provides gift receipts or letters to contributors that identify the gift date, amount, and other relevant tax related information. Gift receipts are sent for donations made through the Fund’s website as well as all gifts over US$250 made offline through UNF (as required by United States law). Additionally, UNF sends thank you notes via e-mail as a means of stewardship to all corporate partners who contribute at least US$100,000 through UNF and all individuals who contribute at least US$2,500 through UNF.

- CPWF follows the donor acknowledgment guidelines outlined in the proposal for recognition of donations to individuals and companies, which can be found in Appendix E. In addition, as the remittance is completed, CPWF supplies a Certificate of Honor and uniform donation invoices for the donors. A timely announcement of the charity contribution list and a corporate contribution list are published on the CPWF website. For contributions of more than RMB¥300,000, or approximately US$42,000, contributors’ logos are displayed on the “COVID-19
**Fundraising**

for individual UNF teams to input any additional contributor-related information and expand on any outstanding contributor responsibilities. UNF also uses a separate financial tracker to account for all contributions received. Additional information on the financial tracker can be found in Chapter 2.

At CPWF, contributions are totaled daily from individual, corporate, and online giving platforms and are updated on the official COVID-19 Solidarity Response Fund, Action of China website. Fundraising totals are also regularly updated on the CPWF website, the official website of China Action, and 15 public fundraising platforms online. Through these channels, CPWF also shares progress on the disbursements to WHO and the implementation of the funds, as described in the impact reports developed by UNF.

SPF utilizes an internal prospecting monitoring file to appropriately manage contributors and steward contributions. This internal file is used to track the progress of donations, including the status of the donation, the primary fiduciary manager, and subsequent relevant processes required to manage the donation. Additionally, SPF uses an internal financial monitoring file to gather all donations received by SPF and those received from TGE partners. Contributor information, including any and all special requests or additional details, are included in files for SPF contributions and some TGE contributions. SPF monitors two bank accounts daily, one of which receives contributions in Swiss Francs (CHF) and the other in Euros. SPF receives a contribution update from TGE partners weekly.

At JCIE, donors indicate pledge amounts and target payment dates during the donor agreement process. Any variances from expected donations are followed up on by JCIE staff while received and pledged donations are tracked internally by JCIE staff in Tokyo and NY using shared spreadsheets.

At the WHO Foundation, donations are received exclusively via online platforms (not via check or wire). Donations received through the credit card processor Stripe go directly to the UN Foundation and Swiss Philanthropy Foundation as fiduciary partners for the WHO Foundation and generate a tracking tag to indicate when the donation was received via the WHOF. An excel report summarizing the donations received is provided on a semi-weekly basis.

**Tracking Donations**

Trackers are used to manage contributors across various internal teams within fiduciary partner institutions. The language, accessibility, and processes for tracking contributions differ amongst fiduciary partners. At minimum, trackers are used to ensure committed gifts are received in a timely fashion and contributors are appropriately managed, acknowledged, and stewarded. The COVID-19 Solidarity Response Fund utilizes a shared tracker, built in Microsoft Excel and hosted in Microsoft SharePoint, in order to manage the forecasting, tracking, and allocation of donations received. More information about the shared tracker can be found in Chapter 3.

UNF also utilizes a cross-departmental internal tracker in order to appropriately manage contributors and steward contributions. The internal tracker is used to track the progress of contributions along their life course in the UNF system. The internal tracker relates to the due diligence process, agreement signatory process, and communications and branding processes, among others. UNF’s internal tracker also provides an overall snapshot of funding opportunities in order to easily manage funder relationships and is updated on a daily or sometimes weekly basis, depending on funding volume and flow. Additional tabs within the tracker are used for individual UNF teams to input any additional contributor-related information and expand on any outstanding contributor responsibilities.
Ongoing stewardship

Ongoing stewardship defines the process of providing contributors and partners with timely reports on the use of their contributions and the impact of the COVID-19 Solidarity Response Fund. Fiduciary partners utilize a diverse variety of stewardship methods whose usage varies based on donation value and type. The Fund has shared and will continue to share impact reports, storytelling, and contributor recognition on the Fund website for all partners and the general public. The Fund’s website will be maintained by UNF through at least 2021 or later if/as needed.

The following describes the primary stewardship mechanisms for the Fund. These mechanisms are based on industry best practices and follow the practices of the American Red Cross and other disaster fundraising entities.

» IMPACT REPORT: An impact report, developed in English, is sent via email by UNF’s President and CEO to all contributors who provide gifts of US$100,000 or more. The impact report is developed on a periodic basis. It began as a monthly update and transitioned to a quarterly. The latest Fund report is posted on the Fund’s website and is publicly accessible. An annual report will be issued in July 2021.

» PARTNER CALLS: UNF hosts partner calls that allow Fund contributors over US$50,000 and other partners to hear from WHO. The calls began on monthly basis and transitioned to quarterly through December 2020. Often, these calls feature live updates from WHO leadership.

» DIGITAL CONTRIBUTOR COMMUNICATIONS: Individual contributors who donate through the Fund website and who have agreed to receive communications from the Fund get periodic communications about the Fund, which can include but are not limited to impact reporting, stories from the frontlines of pandemic response, and requests for additional contributions.

» FINANCIAL REPORTING: Shareable financial reports will be developed after an audited financial reporting process is completed, expected in spring 2022. For details related to current financial reporting, please see Chapter 3.

Fund fiduciary partners are free to translate the listed stewardship materials into local languages for distribution to local partners and to post on their own web pages.

In-kind and pro bono offers

The COVID-19 Solidarity Response Fund, as a matter of principle, does not accept or acknowledge formal in-kind contributions of goods or services of any monetary value. Notwithstanding, WHO may have pre-established relationships with Fund contributors, and those relationships may include transfer of in-kind goods or services. If a contributor is interested in exploring in-kind contributions to complement their financial gift to the Fund, they are referred to WHO’s private sector partnerships team to further explore.

In instances when the Fund has accepted offers of assistance — such as further amplifying the Fund to new audiences through free advertising space — it does so in a non-legally binding way, with no fiduciary partner acknowledging the monetary value of the in-kind good or service provided. Essentially, these offers are accepted as pro bono gestures in support of WHO’s COVID-19 response effort. These pro bono services are most typically seen with in-kind media partnerships which are used to help amplify the Fund. Partners on this work include MTV/Viacom, NowThis, Good/Upworthy, Vice, and Nasdaq, all managed through UNF.

In these cases, key messages, impact points, graphics, and connections with Fund spokespeople are offered to help media partners create consistent, high-quality content to amplify messaging around the Fund, share important public health messaging, and drive contributors to give.
CHAPTER 3

Fund Allocation & Management
Overview and summary

This chapter describes how the COVID-19 Solidarity Response Fund is managed and how the decision-making process on allocation works. The Fund’s primary objective is to rapidly channel flexible financial support to priority public health interventions consistent with the World Health Organization’s COVID-19 SPRP to fill urgent and critical financial gaps, address unanswered needs, and balance the sometimes-inequitable allocation of resources across populations.

Governance

Allocation decisions are made by the Steering Committee. The Steering Committee was constituted by the WHO Director-General and includes the following individuals:

**MEMBERS (WITH THE RIGHT TO VOTE):**

- Executive Director, WHO Health Emergencies Programme (lead)
- Executive Director, External Relations and Governance
- Assistant Director-General, Business Operations
- Director, Health and Multilateral Partnerships (secretary)

Each member has designated an alternate who can represent them.

**NON-EXECUTIVE MEMBERS:**

- Director-General’s Representative for Evaluation and Organizational Learning (contributing in an advisory capacity)
- Chef de Cabinet (copied for information)

**TECHNICAL ADVISERS:**

- Assistant Director-General, Emergency Response
- Assistant Director-General, Emergency Preparedness and International Health Regulations
- Director, Health Emergencies Strategy, Programmes and Partnerships
- Comptroller a.i., Director Accounts, FNM/ACT
- Change Manager Officer, External Relations
- Acute Management Support Unit, WHO Health Emergency Programme

**THE RESPONSIBILITIES OF THE STEERING COMMITTEE ARE:**

- To set, assess, and adjust objectives, targets, and goals of the Fund
- To review options and make decisions to guide the Fund’s management
- To make decisions on allocations of funds
- To provide direction to the overall management of the Fund
- To oversee implementation, expenditure, and reporting

Key principles for allocation

The process of making allocations from the Fund is managed according to the following principles:

- The Fund is a single pooled fund with no earmarking of contributions in order to maximize efficiency and alignment of resources against highest priority needs.
- The intended use of the Fund is to contribute toward financing the SPRP. This does not mean that the Fund is an SPRP-implementing fund, but projects supported by the Fund must operate within the SPRP framework and priorities.
- Fiduciary partners are responsible for managing donations on behalf of the Fund. While WHO cannot easily receive funds directly from the private sector and individuals, it remains responsible for managing donations from traditional contributors, such as Member States, philanthropic foundations, NGOs, and multilateral financial institutions that can donate directly to WHO.
- WHO is responsible for onward allocations of funds to implementing partners.
- The WHO Director-General delegated the decision-making power for allocations to a Steering Committee led by the Executive Director for WHO’s Health Emergencies Programme.
- While WHO is the primary beneficiary of the Fund, allocations are decided based on public health needs.
## Project Steering Committee

**Weekly meeting**
- Sets objectives, targets and goals
- Review options and makes decisions

**LEAD**
- Executive Director, WHO Health Emergencies Programme

**MEMBERS**
- Executive Director, External Relations and Governance
- Assistant Director-General, Business Operations
- Director, Health and Multilateral Partnerships (secretary)

**NON-EXECUTIVE MEMBERS**
- Director-General’s Representative for Evaluation and Organizational Learning (contributing in an advisory capacity)
- Chef de Cabinet (copied for information)

**Technical Advisors**
- Assistant Director-General, Emergency Response
- Assistant Director-General, Emergency Preparedness and International Health Regulations
- Director, Health Emergencies Strategy, Programmes and Partnerships
- Comptroller a.i., Director
- Accounts, FNWM/ACT
- Change Manager Officer, External Relations
- Acute Management Support Unit, WHO Health Emergency Programme
- HMP Lead Support for the COVID-19 Solidarity Response Fund (also rapporteur)

## Project Management Board

**Bi-weekly touchpoints**
- Provides direction and support
- Clears “road blocks,” resolve problems, maintains momentum
- Coordinates teams, manages relations with fiduciary partners and beneficiary partners
- Prepare supporting materials for decision making on allocations

**Members**
- WHO: HMP Lead Support for the COVID-19 Solidarity Response Fund
- UNF: SRF Consultant
- SPF & TGE: Director General
- JCIE: Executive Director
- CPWF: Assistant to Secretary General and Director

**Co-Leads**
- WHO: Director for Health and Multilateral Partnerships, & UNF Vice President for Global Health Strategy

## Workstreams

**Who-led activities**
- Design workstream specific plan
- Manage timely execution of plans
- Address issues
- Minimize process disruption
- Report to Project management board regularly

**Who-Unf-shared activities**
- tracking
  - WHO: HMP Lead Support for the COVID-19 Solidarity Response Fund
  - UNF: Chief Financial Officer
- reporting
  - UNF: Chief Financial Officer/Executive Director, Business Services, Budgets, and Reporting

**Communication**
- WHO: Team Lead, External Relations Communications
- UNF: Chief Communications Officer/Senior Communications Officer

**Celebrity Engagement**
- WHO: Head, Leadership and Internal Communications
- UNF: Senior Director, Global Partnerships Public Affairs

**Technology**
- UNF: Director of Technology and Digital Services
- SPF: Director General
- CPWF: Assistant to Secretary General and Director

**Grants**
- UNF: Chief Financial Officer/Senior Director, Business Services and Contracts
- SPF: Director General
- CPWF: Assistant to Secretary General and Director

**Fiduciary-led activities**
- Oversees expenditures
- Provides direction
- Oversees smooth financial flows of the fund

**Project Management Team**
- WHO / UNF / EY Core team

**PMO Team**
- Weekly meeting / on-going collaboration
- Documents and proposes adjustments to the process, approach, and tools/templates for workstreams to assure compliance with internal policies and processes
- Manages workstream interdependencies and drives issues to closure
- Reports status and progress to Project Management Board when appropriate
- Identifies issues and risks and escalates to project management board

**Cross Functional Workstream**
- Process and Procedures

**Lead**
- External Relations Officer, WHO Dept Health and Multilateral Partnerships

**Finance & Accounting & Budgeting**
- WHO: Comptroller a.i., Director Accounts, FNWM/ACT
- UNF: Chief Financial Officer
assessed through the SPRP. This allows flexibility for the Steering Committee to make determinations about allocating funds to benefit other institutions working to advance the global response to COVID-19. The Fund does not mobilize resources for WHO’s core budget. It only supports specific projects advancing COVID-19 response efforts.

**Management**

The Fund targets individuals, private sector companies, corporate foundations, and other organizations that seek tax benefits for their donations, which cannot be provided by WHO. Traditional contributors, such as Member States and philanthropic foundations that can donate directly to WHO or multilateral financing institutions, are not directed to the Fund.

All contributions received by the Fund’s designated fiduciary partners are accounted toward a collective total of the Fund’s resources. Contributions directly received by WHO but raised through the Fund are counted toward the same total. For allocation purposes, all Fund resources are managed as if they were a single pooled fund.

Until resources are allocated by the Fund Steering Committee and subsequently disbursed by a fiduciary partner, financial resources are managed by each fiduciary partner, tracked separately from other revenue, and recorded in the shared tracker (further detailed later in this chapter). Administratively, United Nations Foundation, Swiss Philanthropy Foundation, China Population Welfare Foundation, and the World Health Organization Foundation are the fiduciary partners who have direct agreements to transfer funds to WHO (and in the case of UNF, with other non-WHO Fund beneficiary partners).

Members of the Transnational Giving Europe (TGE) network, through pre-existing relationships with SPF, first transfer funds to SPF for onward transfer to WHO. JCIE, due to its pre-existing relationship with UNF and desire to communicate to its donors the ability for funds to go to a range of beneficiary partners (not solely WHO), first transfers contributions to UNF for onward disbursement.

**Fund shared tracker**

A shared tracker is used by Fund fiduciary partners to track anticipated contributions (pledges), received contributions, allocated resources, and funds disbursed to beneficiary partners. The Fund’s shared tracker is updated once a week by fiduciary partners and WHO via respective partner tabs that feed into a summary tab. The disbursement tab is used to document funds (by date, amount, and recipient) that have been granted to beneficiary partners since the inception of the Fund. The shared tracker enables WHO to review a weekly summary of funds mobilized, anticipated funds, and pending and completed disbursements, to help inform planning, forecasting and allocation discussions. This information is also used to generate transparent reports to donors and provide updates on commitments and disbursements on the Fund’s website.

The tracker was designed jointly by WHO and UNF (with input from partners) to ensure the mechanism meets a variety of needs and functions efficiently in a technologically secure platform. Based on feedback from WHO and other partners, UNF modified an early version of the tracker in the spring of 2020 to improve usability, ensure that all necessary information was captured in the summary tab, and address issues such as currency conversion. After the tracker was revised, UNF organized partner calls to train and orient all partners to the tracker and to troubleshoot technological issues. UNF IT colleagues were involved throughout the development process to ensure the tracker was built in a manner that ensured the safety and security of all information. For more information regarding IT and security risks, please see Chapter 5.

The purpose of the shared tracker is to allow each fiduciary partner to monitor and update contributions (classified as soft pledges, firm pledges, or received funds) in real time. The tracker also provides a mechanism to monitor the number of donors and the status of donor outreach, which is used by the fiduciary partners for communications, fundraising, and tracking of Key Performance Indicators (KPIs). Standard definitions for all terminology used by partners are provided on the summary sheet of the tracker to ensure consistency of usage. This glossary can be found in the definitions section at the beginning of this chapter.

The shared tracker also enables WHO to review a weekly summary of funds that are anticipated, pending, and mobilized, as well as disbursements that have been completed. This information helps inform planning, forecasting, and allocation
discussions by the Steering Committee. Fiduciary partners utilize data generated in the summary and disbursement tabs to provide weekly updates to WHO on the amount available for disbursement and to coordinate Fund reporting.

The tracker is organized into four parts:

1. **SUMMARY TAB**
   The summary tab pulls information from each of the individual fiduciary partner tabs in order to review the total incoming, disbursed, and available funds. A central tracker manager (based at UNF) reviews all totals on a daily basis to ensure accuracy of the summary and provide troubleshooting support to partners as needed.

2. **WHO FINANCIAL PLANNING TAB**
   The WHO financial planning tab provides an overview of all allocations which have been made, as well as details related to the total funds received and available to WHO to support forecasting analysis.

3. **DISBURSEMENT SUMMARY TAB**
   The disbursement tab is used to document funds by date, amount, and recipient that have been granted to beneficiaries since the inception of the Fund; it is also used to generate donor reports.

4. **DETAILED TABS FOR EACH FIDUCIARY PARTNER**
   The fiduciary partner tab is used to document the amount of incoming funds that are soft pledged, firm pledged, or received for each fiduciary partner. There are six fiduciary partner-specific tabs for the following partners: UNF, SPF (including TGE partners), JCIE, WHO Foundation, WHO, and UNICEF. Each tab is password-protected and managed and updated by the relevant partner on a weekly basis.

Five people have access to the full tracker. At UNF, the central tracker manager, the Vice President for Global Health Strategy and the IT manager have full access. At WHO, the Director for Health and Multilateral Partnerships and the HMP Lead Support for the COVID-19 Solidarity Response Fund have full access.

Ultimately, the tracker is an at-a-glance resource for all partners, including WHO, to understand the status of funds flowing in and out. It is a critical tool that enables interoperability of several institutions with varying degrees of familiarity with each other.

### Allocation Process

Efficiency and impact are the guiding principles of decision-making for Fund allocations. The allocation process must be transparent and accountable, while remaining flexible, quick, and outcome-oriented.

The Steering Committee met once a week on Tuesdays at 11:00–12:00 from May to July. Periodicity of the meeting was later on adapted according to the availability of funds to be allocated.

A quorum of 50% is needed to approve allocation proposals. Only the members of the Steering Committee have the right to vote. Non-executive members and technical advisers attend meetings to provide technical inputs to inform the decision-making process.

In case of absence, Steering Committee members are invited to inform the HMP Director before the beginning of the meeting. Proxy votes are allowed in circumstances when voting members were absent. The Assistant Director-General, Emergency Response votes on behalf of the Executive Director; WHO Health Emergencies Programme; the Change Manager Officer, External Relations votes on behalf of the Executive Director, External Relations and Governance; and the Comptroller a.i., Director Accounts, FNM/ACT votes on behalf of the Assistant Director-General, Business Operations.

Meeting minutes are taken by the HMP Solidarity Fund Lead Support, circulated to the Steering Committee prior to the meeting, and approved at the beginning of each meeting.

At the beginning of each meeting, a financial overview of the Fund is presented to the Committee using the shared tracker, which indicates total funds raised and pledged, total funds disbursed, total funds allocated, and the total funds yet to be allocated.

Steering Committee members review the tracker to determine the level of funds available to allocate. Funds in the following statuses are eligible for allocation:

- 100% of funds received by WHO
- 100% of funds signed in direct donor agreement with WHO
- 100% of funds available with a fiduciary partner as cash for disbursement
- 66% of funds committed with a signed donor agreement between a donor and a fiduciary partner (i.e., “firm pledge”)
 allocations were kept for possible short notice allocations. Programme Support Costs (PSC), a standard overhead charge to finance administration and management, are included in the amount allocated to WHO. The emergency response reduced PSC rate of 7% was applied.

The advance on the pooled award made by WHO based on the funds available for disbursement and 66% of firm pledges is set at each meeting and recorded in the minutes.

### Allocation Criteria

The allocation of funding by the Steering Committee considers the following elements:

- Full alignment of priorities with the SPRP
- Prioritization of most urgent public health needs and underfunded priorities, based on the evolving situation of COVID-19
- Capacity of partner beneficiary or WHO unit to rapidly implement activities and report on implementation
- Areas of WHO’s comparative advantage for global response, including rapid preparedness actions, country-level response, research and development, and availability of essential commodities
- Complementarity of Fund contributions to other streams of funding from traditional contributors toward a full funding of the SPRP
- Ability to strengthen alignment of implementing partners with the SPRP
- Capacity of Fund recipients to rapidly report on the use of funding (in addition to the full completion of financial and technical reports following project implementation)

The Fund does not put forward calls for interest or have an open application process for granting funds. However, proposals can be presented by WHO units and by prospective non-WHO beneficiary partners. Partners can present a proposal as a follow-up to direct interaction between the WHO Director-General and/or senior WHO leadership.

In the first phase of the pandemic, priority was given to allocating funds to procure supplies for WHO and the World Food Programme, and to manage supply chain logistics and key partnerships. In a second phase, the Steering Committee identified critical areas of vulnerability where funds would represent a vital and catalytic contribution to the COVID-19 response.

Beneficiary partners were selected according to priority areas of work such as vulnerable and target populations (UNICEF, UNHCR, UNRWA, AU/African CDC, World Organization of the Scout Movement, Big 6 Youth Organizations), research and development (CEPI, Solidarity Studies), and logistics (WFP).
FUND ALLOCATION AND MANAGEMENT

> **ACCEPTED PROPOSALS** are notified of their status by email from HMP, and disbursement procedures are initiated. Disbursements are made by WHO or by the primary fiduciary partner, UNF.

> **REJECTED PROPOSALS** are notified of their status by email from HMP.

> **PROPOSALS REQUIRING FURTHER CLARIFICATION** are invited to designate a focal point to attend the first 15–20 minutes of the Steering Committee meeting to provide clarification. The focal point then leaves the meeting to allow the Steering Committee to proceed with deliberations.

The template for proposals to be submitted to the Fund can be found in Appendix G.

**Disbursement process**

Based on allocation decisions made by the Steering Committee, funds are disbursed i) from fiduciary partners to WHO, ii) from WHO to beneficiary partners, and/or iii) from UNF directly to non-WHO beneficiary partners, upon instruction from WHO.

**DISBURSEMENT FROM PRIMARY FIDUCIARY PARTNERS TO WHO**

Primary fiduciary partners process disbursements to WHO as follows:

> Funds collected by UNF are transferred to WHO as soon as the amount available reached US$100,000 or monthly (whichever came first).

> Funds collected by SPF are transferred to WHO as soon as the amount available reached US$100,000 or monthly (whichever came first). Funds transferred by SPF include funds transferred by TGE partners. TGE partners transfer funds to SPF when the available amount reached US$50,000 or monthly, whichever occurred first.

> Funds collected by JCIE are transferred weekly to UNF as soon as the amount available reached US$100,000 or monthly (whichever came first).

> Funds collected by CPWF are transferred to WHO as soon as the amount available reached US$100,000 or monthly (whichever came first).

> Funds collected by WHOF are transferred to WHO as soon as the amount available reached US$100,000 or monthly (whichever came first).

> The recording of cash receipts from fiduciary partners is done automatically by the WHO income and awards team without requiring action from the technical unit unless it is a first-time receipt from a new donor to the Fund, in which case the WHO Health Emergencies finance team submit an Award Activation Request (AAR) to create a new source inside the pooled award. Source awards are simply awards set up to allow WHO to record the income from specific donors (SPF, UNF, etc.), but the funds are transferred and aggregated into a pooled award, which has a miscellaneous donor and allows the various sources to be combined into one award. In other words, the pooled award becomes the sum of all its sources which contains the receipts from the various partners.

> Based on the allocation decisions of the Steering Committee, separate individual awards are set up to make funds available for spending by the recipients, and the pooled award is reduced by the same amount. For that, a completed AAR form is submitted to the WHO income and awards team by the WHO Health Emergencies finance team along with a copy of the approved proposal/decision of the committee. The award number is communicated back within a couple of hours. These are standard awards established for the specific purpose of the approved allocation and managed entirely by the recipient budget center and award manager.

> By close of business (COB) Eastern Time on Mondays, UNF, SPF, and CPWF send updates to WHO via email on the amount of funds available to be disbursed as well as the number of firm pledges for the Steering Committee review on Tuesday. To assist WHO with planning/forecasting, UNF, SPF, and CPWF update allocation figures in the shared tracker.

> WHO shares disbursement instructions with fiduciary partners according to the following timeline:

  - with UNF by COB CET on Tuesdays (i.e., amount of funds to be disbursed to WHO or directly to other beneficiary partners)
  - with SPF by COB CET on Tuesdays
  - with CPWF as soon as the amount available reaches US$100,000 or monthly (whichever came first)
Pending available funds, allocation decisions, and fully executed agreements (e.g., with new beneficiary partners), UNF and SPF make weekly disbursements as instructed by WHO on Fridays.

CPWF makes monthly disbursements as instructed by WHO.

As soon as a disbursement by primary fiduciary partners is received, an acknowledgment email is sent from WHO to UNF, SPF, CPWF, WHOF, and other fiduciary partners to acknowledge the payments received.

These processes are articulated in separate grant agreements between WHO and each primary fiduciary partner that disburses directly to WHO, namely UNF, SPF, WHOF, and CPWF. They are intentionally nearly identical among the fiduciary partners to reduce transaction costs for WHO and ensure alignment across the Fund ecosystem. Each primary fiduciary partner has an engagement letter (with general principles of the Fund and processes) plus a grant agreement, which outlines the specific uses and responsibilities of WHO as grantee). At the time of the Fund’s launch, given the uncertainty about the amount of resources that would be raised by the Fund, grant agreements between WHO and primary fiduciary partners were developed for a duration of one year, with a flexible award ceiling based on the amount of funding raised. When the funding ceiling in the fiduciary recipients grant agreement is reached, an amendment is prepared to increase the ceiling for future payments.

After each disbursement, WHO processes a series of internal steps, including informing the Coordinated Resources Mobilization-Emergencies lead, regarding the data from the Fund’s shared tracker and ensures the COVID-19 funding tracker is up to date as concerns the:

- Latest amount raised by the Fund
- New payments received by WHO from fiduciary partners and direct contributors
- Agreed allocations from the Fund (amount and recipient)

**DISBURSEMENT FROM UNF TO OTHER FUND BENEFICIARY PARTNERS**

WHO is the main beneficiary of funds from UNF, though in several instances WHO has asked UNF to transfer funds to agencies partnering with WHO on COVID-19 response. These partner agencies include: CEPI, UNHCR, UNICEF, UNRWA, and WFP. Beneficiary partners are determined by WHO based on evolving programmatic needs and a review of proposals from potential partners.

UNF was asked to take on this additional responsibility because i) it is the largest fiduciary partner for the Fund, with more resources to allocate to non-WHO beneficiary partners; ii) it has pre-existing granting relationships with many UN agencies and grantmaking capacity in-house to manage and steward multiple grants; iii) there are transactional efficiencies to not have all funding first flow through WHO before reaching its intended beneficiary partner.

UNF processes disbursements from the Fund to other beneficiary partners as follows:

- Upon allocation decision by the Steering Committee to support a non-WHO beneficiary, WHO connects the intended beneficiary partner to UNF to develop a direct granting relationship between the two parties.

- A letter of engagement and grant agreement is developed and signed by UNF and the beneficiary partner. These engagement letters and grant agreements are nearly identical across all beneficiary partners (inclusive of WHO) in terms of the general principles, processes, and approaches to ensure consistency across the Fund ecosystem.

- If the beneficiary partner is new, UNF sends a test wire transfer to the receiving partner and, upon confirmation, transfers the full disbursement electronically at the end of the week (usually on Fridays). Partners confirm via email that they have received the funds.

- If the funding ceiling in UNF’s grant agreement with the beneficiary partner is likely to be exceeded, and the Fund Steering Committee requests that the beneficiary partner should receive additional funding, an amendment is prepared to increase the ceiling for future payments.
In light of this new influx of funds, in September 2020, the Steering Committee approved a principle of judicious redeployment of resources. In the event that a project to which Fund resources were already allocated could be supported by other funding that is more restricted in nature (by time or scope), this restricted funding would be allocated to fulfill project needs in first instance, and Fund resources would be recalled by a corresponding amount, allowing the funds to become available for new allocations.

The revolving mechanism is applied only to Fund projects conducted by WHO (not other beneficiary partners) in the year 2020. Additionally, the revolving mechanism only functions on expenditures and in instances when the amount of utilization has not yet been reported to contributors.

Since October 2020, the redeployable funds are regularly recorded in the shared tracker and submitted to the Steering Committee. Thus, two columns are added to include i) back-charged amounts from other sources and ii) net allocation from the Fund.

Starting in January 2021, the redeployed funds will be regularly reported in the COVID-19 Solidarity Response Fund impact report issued by UNF on a quarterly basis. This includes a detailed report of i) the total amount of funds allocated, their use, and their impact, ii) the total amount of funds back-charged to the Fund as soon as other resources have become available, and iii) the net funds available to be reallocated.

Expenditure oversight

The Steering Committee plays a key role in Fund implementation and expenditure oversight. As lead of the Steering Committee, the Executive Director for WHO’s Health Emergencies Programme is the grant manager for the pooled fund and responsible for the overall oversight of expenditures allocated to WHO.

The award managers of projects supported by the Fund are responsible for reporting on the implementation of the grants issued from the pooled fund and for the oversight of expenditures related to the respective grant, which follow the standard WHO implementation and oversight processes.

The Steering Committee will continue to meet regularly until the end of 2021 to monitor the implementation of the proposals and assure accountability for grant expenditures. Internal controls are run by WHO for expenditure against proposals, according to standard WHO procedures.
CHAPTER 4

Reporting, Implementation, and Impact
Overview and summary

The purpose of this chapter is to describe how the Fund reports on the use of contributor funds and their impact on the WHO-led response to the COVID-19 pandemic through formal institutional and financing reporting as well as regular storytelling and communications with donors.

The COVID-19 Solidarity Response Fund is an informal collaboration, not framed as a legal entity, but as a pooled fund co-managed by WHO and partners. All partners involved in the Fund, in their different capacities as contributors, fiduciary partners, beneficiary partners, influencers/amplifiers, and hybrid/donation platforms, have their own legal status and are bound to the Fund in various ways by legal agreements that define reporting commitments. These entities are accountable to each other in a system of agreed, shared accountability.

As described in Chapter 2, major contributors have legal agreements with individual fiduciary partners (UNF, SPF, TGE affiliates, JCIE, CPWF, WHOF, or WHO), which set out terms and conditions of the contributions and define reporting requirements and modalities. To the fullest extent possible, contributors are asked to accept the Fund reporting as outlined in this chapter. Nevertheless, a fiduciary partner may request additional reporting requirements as a condition of contributing; those additional reporting requirements are also the responsibility of the fiduciary partner.

Traditional UN donors, including philanthropic foundations and NGOs, can also donate directly to WHO and sign legal agreements accordingly. The United Nations Foundation, Swiss Philanthropy Foundation, China Population Welfare Foundation, and World Health Organization Foundation are each fiduciary partners with their own legal agreement with WHO that defines expectations of fiduciary partners to provide fundraising and revenue reporting that satisfies the reporting requirements of WHO.

As noted in Chapter 3, beneficiary partners can receive funds from WHO, or directly from UNF, upon request by WHO. Legal agreements define reporting mechanisms and other terms and conditions.

The Fund is ultimately accountable to, and reports to, the thousands of individual donors, companies, and foundations that contribute to the fight against COVID-19 through the Fund. Consolidated reports, reflecting inputs from all partners, tell the story of how the Fund is making an impact in the fight against COVID-19 under WHO’s global leadership.

This chapter is divided into two main sections:

1. Institutional and financial reporting
2. Impact reporting: storytelling and ad-hoc/regular updates

Institutional and financial reporting

The Fund places high priority on reporting about the use of donor funds and their impact on the WHO-led response. The first Fund impact report was published nine weeks after the Fund’s launch and covered the period from the launch of the Fund on 13 March 2020 to 2 May 2020. Two subsequent donor reports were published in June and July 2020 for contributions received and disbursed in May and June 2020.

After this, as the pace of new contributions and disbursements slowed, donor reporting moved to a quarterly cadence, with the latest report published in October, covering the period 1 July – 30 September 2020. In January 2021, an impact report is expected to be released, covering the period from 1 October – 31 December 2020. The Fund will publish an annual report in July 2021, covering the period from the Fund’s inception in March 2020 – 31 March 2021 (after allocations have been disbursed). A final official financial and narrative report will be produced in the second quarter of 2022 after the resources have been fully expended and results documented.

To create the reports, UNF collects information on the use of funds and financial information in a given reporting period from beneficiaries and fiduciary partners. This information is compiled, edited, and published by UNF on behalf of the Fund. As Fund contributions are provided without earmarking of any kind, reporting is illustrative rather than comprehensive, and based on proposals agreed on by WHO in advance of fund distribution. The reports use a narrative approach to describe the work of the Fund during the reporting period, though they include a financial table that reports allocation and disbursement information. These data are generated from the Fund shared tracker, which is regularly updated by Fund fiduciary partners – UNF, SPF (on behalf of Transnational Giving Europe affiliates), JCIE, CPWF, WHOF, and UNICEF (more details on the Fund shared tracker are available in Chapter 3). The reports do not include financial expenditure information.
COVID-19 FUND SOLIDARITY RESPOND FUND – REPORTING

MEMBER STATES OR GOVERNING BODIES
LEGAL & COMPLIANCE AUTHORITIES

WORLD HEALTH ORGANIZATION

FIDUCIARY PARTNER GOVERNING BODIES
COUNTRY SPECIFIC LEGAL & COMPLIANCE INSTITUTIONS

FIDUCIARY PARTNERS
JCIE
UNF
SPF
TGE
WHO

UNICEF

UNF
CEPI
UNICEF
WFP

UNHCR
UNRWA
OTHERS

BENEFICIARY PARTNERS*

UNICEF
UNHCR

SPF
CPWF

UNICEF

* Illustrative of main beneficiary partners. List is not comprehensive.

FUND CONTRIBUTORS
Corporations
Corporation foundations
Philanthropic foundations
Individuals
HNWI
NGOs

HYBRID/DONATION PLATFORMS

AMPLIFIERS

Global Citizen
Celebrity engagement

KEY
- Primary Fiduciary Partner
- Grant Reports
- Impact Reports
- Funding Reports
- Legal & Compliance Reports

COVID-19 SOLIDARITY RESPONSE FUND PLAYBOOK
Reports are cleared by UNF and WHO leadership and distributed via email from UNF’s President and CEO and by the Fund fiduciary partners. While the Fund reports are developed in English, JCIE and CPWF translate them into Japanese and Chinese, respectively. The reports reach a primary audience of institutional contributors who contributed US$100,000 or more to the Fund. The reports are also posted on the impact page of the Fund’s website and on the websites of Fund fiduciary partners to be viewed by members of the general public. These formal reports are complemented by ad-hoc reporting featured on the Fund’s website, social media accounts, and blog posts.

WHO REPORTING TO FIDUCIARY RECIPIENTS

As outlined in its agreements with fiduciary partners, at the end of 2020, WHO will prepare a single financial report for the pooled Fund contributions and share with all fiduciary partners. A final financial report will be provided when the Fund sunsets in 2022. Standard WHO procedures will be followed.

WHO REPORTING TO FIDUCIARY RECIPIENTS

As the largest fiduciary partner with pre-existing grantmaking capacity and granting relationships with several UN agencies, UNF disburses funds directly (upon instruction from WHO) to WHO and to other beneficiary partners, including CEPI, UNHCR, UNICEF, UNRWA, and WFP, each of which reports formally to UNF on its use of funds. The reporting requirements have been standardized across beneficiary partners and developed in consultation with WHO.

Beneficiary partners’ reporting requirements, grant agreement periods, and annual report due dates are set out in grant agreements signed by each beneficiary partner and UNF on behalf of the Fund.

Requirements include:

- Provision of content for ad-hoc storytelling, including images;
- Progress updates for each formal Fund report (monthly, then quarterly); and
- An annual narrative and financial report, including certified financial statements.

A full summary of beneficiary reporting requirements can be found in Appendix H.

Generally, the beneficiaries’ annual reports are due 60–90 days after the end of the grant period and are structured as follows:

- Narrative report of not more than five pages that describes how the grant funds were used and the results that were achieved, including:
  - Notable accomplishments;
  - Challenges or obstacles encountered and how they were addressed;
  - Tangible results; and
  - Copies of significant reports, books, or media productions stemming from the grant.
- Interim and certified final financial reports prepared in accordance with the grantee’s standard format.

From a process standpoint, UNF emails the beneficiary focal points one month prior to report due dates, reminding grantees of the upcoming deadlines. UNF reviews the inputs upon receipt and communicates with grantees as necessary on clarifications that may be required.
**REPORTING, IMPLEMENTATION, AND IMPACT**

**Storytelling/ad-hoc and regular updates**

The institutional reporting is complemented by regular updates for contributors and through storytelling on the Fund’s website, WHO’s and other fiduciary partners’ websites, social media channels, and blogs.

This includes:

- **A MID-YEAR NARRATIVE PROGRESS REPORT (AUGUST)**
- **AN ANNUAL NARRATIVE REPORT (JANUARY) ON WHO’S IMPLEMENTATION OF THE STRATEGIC PREPAREDNESS AND RESPONSE PLAN (SPRP)**

WHO publishes mid-year and annual narrative reports on the implementation of the SPRP. The progress report was published on 3 August 2020 and covered the period from 1 February to 30 June 2020. The progress report was widely disseminated to WHO contributors and published on the WHO website.

The report highlights the main points of progress that were made under the three objectives outlined in the SPRP: scaling up international coordination and support, accelerating research and innovation, and bolstering country preparedness and response. The report also sets out the challenges faced so far and provides an update on the resource requirements for the next phase of WHO’s response as part of an unprecedented whole-of-UN approach to the pandemic.

The progress report also includes an update on how the Fund advances progress on the SPRP under the section on “Context and Response Strategy — Financing the Response to Date.”

The annual narrative report on WHO’s implementation of the COVID-19 response under the SPRP will be issued in early 2021 and will include highlights on what was achieved in 2020 including with the support of the Fund.

- **WEEKLY DONOR EMAIL BY FIDUCIARY PARTNERS**

In the initial months of the response, UNF, on behalf of the Fund, developed weekly/biweekly informal update emails for major Fund contributors (over US$500,000). Each fiduciary partner had the opportunity to tailor these emails as they shared also with their contributors. Once the Fund released its first impact report and launched the Fund’s impact page, UNF discontinued this informal weekly email update.
>> PERIODIC CALL FOR FUND CONTRIBUTORS
UNF, on behalf of the Fund, hosts partner calls that allow Fund contributors to hear from UNF, WHO, and other crucial partners working on COVID-19 response. The calls were initially conducted on a monthly basis, with the frequency decreasing as contributions and disbursements slowed.

>> REGULAR ONLINE HIGHLIGHTS ON USE OF FUND’S PARTNER CHANNELS
To tell the story of the Fund, a storytelling team at UNF was established and charged with communicating about innovative and/or interesting ways through which individuals and corporations were contributing to the Fund. The team was also in charge of liaising with Fund beneficiaries to document stories from the frontlines about how funds were being spent to help prevent, detect, and respond to COVID-19, especially in vulnerable communities. UNF worked in collaboration with colleagues from WHO, CEPI, UNICEF, UNHCR, UNRWA, and WFP to interview experts and share video and photo content from the field to create illustrative accounts documenting each beneficiary’s work. Blogs have also been used to tell a range of stories and showcase how WHO and partners are leading the global response to COVID-19 around the world — and why robust financial support of the Fund is greatly needed. These blogs were modified into “snackable” content for social media channels through graphics, video, and animation so the story of the Fund’s impact could be shared with a wide audience, creating transparency and driving further donations. All partners have the opportunity to either repurpose the content created by the UNF team or share directly.

In addition to the regular web stories, many communications products developed by WHO and used on its and its partners’ social media channels included a call to contribute to the Fund and linked to the Fund’s website. These products included videos, animations, and infographics (Detailed description included in Chapter 3).

>> WHO WEEKLY OPERATIONAL UPDATE ON COVID-19
These reports are developed by the WHO Health Emergencies Team to provide weekly overviews of i) public health response and coordination highlights, ii) global research highlights, iii) new technical guidance documents, iv) the strategic supply chain, v) appeals, vi) WHO funding mechanisms, v) the COVID-19 indicators summary, and vi) regional updates. The reports are widely disseminated and published on the WHO website.

>> REGULAR WHO CONTRIBUTORS UPDATE
These reports are developed by the WHO Engagement Established Government Contributors team to provide regular updates for WHO contributors. The updates normally include an overview of i) funding the Global Strategic Preparedness and Response Plan, ii) research and development, iii) the COVID-19 Solidarity Response Fund, and iv) supply chain management. The updates are sent out to Member States by the Executive Director, External Relations and Governance copying all relevant units in WHO, including the HMP Director.
CHAPTER 5

Risk Management
Overview

The COVID-19 Solidarity Response Fund was created out of an urgent need to financially support the global response to the novel coronavirus pandemic, coordinated by the World Health Organization (WHO). Given the unprecedented nature, size, and scope of the pandemic, and subsequently the Fund, there are inherent risks that exist for the Fund and its partners. The following chapter documents the Fund’s risks; the processes of acknowledging, assessing, and categorizing risks; and the considerations, decisions, and mitigating actions that have been established to manage risks.

Principles of risk management

The COVID-19 Solidarity Response Fund was created out of an urgent need to respond to the COVID-19 pandemic and to rapidly channel needed, flexible financial support to priority public health interventions under the WHO SPRP. The nature of the pandemic, ever-changing and swift in its spread, has required the Fund to be nimble as well. As a novel experiment in a novel pandemic, it was impossible to forecast the eventual size, scope, and complexity of the Fund at the onset of the pandemic, but there was an immediate recognition of the necessity of an approach that could remain flexible, iterative, collaborative, and responsive.

This approach filters down into all aspects of the Fund and its processes, including that of risk management. Risks related to the Fund must be assessed in a manner that is collaborative and takes into consideration the many diverse partners and stakeholders of the Fund. Given the size, structure, and high visibility of the Fund, there is a need to assess and mitigate risks rapidly to ensure the success of the Fund and all its relevant partners.

The Fund is not a legally established entity itself, and therefore it is incumbent upon each individual fiduciary and beneficiary partner to internally manage their own risks and raise potential concerns to the Fund’s Project Management Board and/or Steering Committee as needed. Since the creation of the Fund, the co-leads (one representative each from UNF and WHO) discuss and share risks with their respective leadership teams and bilaterally to the relevant fiduciary and beneficiary partners for awareness, input, and consultation on mitigating strategies. As is the case for all Fund processes, risk management and mitigation determinations are made by the WHO Steering Committee in consultation with other members of WHO leadership. This is especially important when risks are shared across the Fund ecosystem, such as fraudulent outside efforts to impersonate the Fund, which could potentially jeopardize the integrity of the entire enterprise. Mitigating actions are executed by the appropriate Fund workstreams, from individual working groups up to the Steering Committee, and are communicated across partners via staff liaisons.

Risks related to the Fund are classified into six major categories: strategic, financial, operational, political, reputational, and competitive. The following outlines the major risks within each of these categories as related to the Fund, including risks that were apparent at the time of Fund’s creation and evolved as the Fund matured, risks that have come up along the way, and potential future risks.
STRATEGIC RISKS

A strategic risk is a risk that is defined as being affected or created by the Fund’s strategy or primary objectives.

Inaction

Prior to the formal creation of the Fund, the largest strategic risk that existed was the risk of inaction. Namely, the inability to mobilize anticipated charitable interest in supporting WHO’s work by non-traditional donors would inhibit WHO’s ability to meet the goals outlined in the SPRP. The likelihood of WHO’s response being impeded due to lack of liquid funds was significant; traditional sources of funding to the WHO are often mobilized slowly and incrementally. The risk of inaction was mitigated through the decision to invite UNF to steward the process of establishing of the COVID-19 Solidarity Response Fund during the early stages of the pandemic. UNF, along with the Swiss Philanthropy Foundation, agreed to develop a mechanism for non-traditional contributors to financially support the SPRP.

Fund creation and setup

The incredible degree of interest and rapid growth of the Fund following its launch presented a strategic risk that the Fund would not be able to meet the anticipated demand to contribute. Additionally, there was a risk that WHO would not be able to administratively manage a novel, fast-paced, global fundraiser among non-traditional donors, given its core processes are built to manage Member State contributions. It was imperative that the Fund remain flexible and efficient while also adhering to the expectations of Member States.

These strategic risks are mitigated through the Fund’s strategic network of partners and a corresponding accountability structure. The fiduciary and beneficiary partners were chosen based on geographic location, interest areas, pre-existing relationships with WHO, and operational capabilities to ensure fundraising and spending could be executed efficiently and in accordance with the SPRP. When taken together, the diverse characteristics of these partners provided the bandwidth needed to establish the Fund. The accountability structure linking all partners established clear roles while maintaining WHO’s authoritative power. This allowed for a fair and effective distribution of responsibility that enabled WHO to manage the Fund in a manner that was aligned to its obligations to Member States.

Ensure support to the SPRP

There is an evergreen strategic risk related to the Fund’s ability to provide the meaningful, rapid, and substantive financial support for the timely fulfillment of the SPRP recommendations. In support of the SPRP, the Fund is primarily responsible for i) fundraising a consistent and large volume of contributions; ii) communicating to global audiences the critical need to support WHO and its SPRP; and iii) disbursing donations quickly and in accordance with priority needs.

This risk is well-mitigated, and although it remains an evergreen strategic risk, it is now minimal given the success of the Fund to date. As the second largest donor to the WHO as of November 2020, the Fund has exceeded expectations regarding the volume of donations. The development of the Steering Committee, its allocation criteria, and its decision-making authority has ensured those best suited to identify the urgent needs of the public health response have the authority and capability to make timely decisions to advance the goals of the SPRP. Finally, the diverse range of and timely allocations to beneficiary partners has ensured funds are reaching the key players in pandemic response activities.

FINANCIAL RISKS

A financial risk is defined as a risk that affects the Fund’s ability to meet its financial obligations.

Fundraising

At the start of the Fund, there was a financial risk that the Fund would be unsuccessful in raising contributions. This risk, if actualized, would jeopardize the Fund’s ability to meaningfully support the SPRP with a pool of funding available to allocate. This risk was quickly mitigated by WHO and UNF securing US$15 million in initial commitments upon the launch of the Fund, positioning it as the first major global mechanism for private individuals and organizations to financially support the SPRP.

The launch of the Fund on 13 March 2020 marked the first global fundraiser supporting pandemic response. This timeliness further solidified the status of the Fund and affirmed WHO’s leadership role in coordinating global efforts. Additionally, pre-existing fundraising capacities and capabilities of the fiduciary partners mitigated this risk as each partner relied on significant assets and capital to
conduct outreach, share communications, and steward a wide range of prospective contributors.

There is an additional risk related to the Fund’s sunsetting process. While proactive fundraising is currently expected to be completed by December 2020, there is a financial risk present if additional donations are passively received after this date. Passive donations may be received via third-party campaigns, such as employee-giving campaigns or donor-advised funds, which may continue to accept donations on the Fund’s behalf after fiduciary partners have fulfilled their fundraising obligations. It is anticipated that this risk will be mitigated by establishing the WHO Foundation as the primary recipient of all contributions to the Fund starting in early 2021, including those that are received by fiduciary partners. This will ensure there remains an active partner available to receive and steward additional contributions.

Real-time fund tracking
Given the high volume of donations received and distributed across the Fund’s network of fiduciary partners, there is a financial risk of Fund donations being miscalculated or inaccurately reported. This posed a significant risk as an accurate financial picture is necessary for the Steering Committee to effectively assess, allocate, and distribute funds to critical SPRP workstreams. This risk was recognized immediately, and a preliminary shared tracker was developed in conjunction with the Fund’s launch for daily inputs by SPF, UNF, and WHO to mitigate this risk. Additionally, each fiduciary partner established their own internal tracker, aligned to their institutional financial processes and procedures.

As the Fund’s network of partners grew, this preliminary tracker was replaced by a revised shared tracker in June 2020. The revised shared tracker was built with additional security protections, easily accessible and digestible summary pages, and automated calculations in order to streamline, simplify, and ensure accurate calculation of funds. The new tracker is now used by all relevant partners as a method of aligning to calculate, forecast, and allocate Fund donations. For more information about the shared tracker, please refer to Chapter 3.

Allocation decisions
The ability to allocate donations quickly and in accordance with the most urgent SPRP needs represents an evergreen financial risk for the Fund. Given the necessity for rapid response by WHO, it is critical contributions received for the Fund are allocated and disbursed expediently. This risk is mitigated through the establishment of the WHO Steering Committee which was formed as the primary governing body to oversee and determine necessary allocation decisions. The frequency of meetings of the Steering Committee (described in Chapter 3) ensures the timely deployment of funds.

The decision to allow redeployment of Fund resources in September 2020 presented another allocation risk. Redeployment ensures the Fund’s resources have additionality; that is, the resources further enable WHO’s COVID-19 response and avoid duplication of other available funding. This revolving process (also described in Chapter 3) is monitored regularly by the Steering Committee, which has oversight of not only the Fund’s allocation but the allocation of resources from WHO donors. Allowing the Fund’s resources to be redeployed can assure additionality but comes with an additional risk of diffusing the Fund’s value proposition of addressing urgent needs.

Last, there is an additional allocation risk related to the Fund’s sunsetting process. While all funds are expected to be initially allocated by 31 March 2021, there is a financial risk present if additional donations are received, funds become available through redeployment past the last allocation date, and/or Fund resources previously allocated are no longer needed in their entirety (in other words, projects come in under budget). This risk is mitigated by the continuation of the Steering Committee well beyond March 2021.

Expenditure process
There is a risk of funds not being spent in a timely fashion, as well as a risk of funds being used for alternative purposes. The ability to ensure all funds received are expended consistent with the objectives of the Fund and allocation decisions of the Steering Committee represent a financial risk for the Fund. This risk is mitigated in a few ways:

- By the terms of the grant agreements established between fiduciary partners and beneficiary partners, which outline the terms in which funds must be spent, including the timeline and purpose of the use of funds, consistent with the SPRP
- Through the Steering Committee, which will continue to meet regularly throughout 2021 to monitor the expenditure and possible reallocation of funds. Thus far, the Steering Committee has mitigated the risk of untimely use of funds by extending the expenditure period of the Fund through 2021
- Through WHO’s and other beneficiary partners’ existing internal controls and financial oversight functions
There is an additional expenditure risk related to the management of funds that are redeployed. In some instances, WHO receives funding, such as from Member States, and needs to allocate and spend these funds within a specific time frame and for specific purposes. In these instances, Fund resources that were already received and allocated are returned and redeployed in order to optimize the positive impact the Fund’s flexible resources can have on WHO’s global response in comparison to traditional restricted funds. There is a financial risk in ensuring redeployed funds are not miscalculated or communicated as spent to donors. This risk is being actively monitored by the Steering Committee and, thus far, has been mitigated through the assurance that any funds that have already been communicated as spent will not be redeployed. Additionally, this risk will be mitigated by accurate and timely documentation via the shared tracker and financial and narrative reporting to ensure all funders are aware of the use of resources.

**OPERATIONAL RISKS**

An operational risk is defined as a risk which affects the Fund’s ability to execute or operationalize its work.

**Roles and responsibilities**

At the initial launch of the Fund, there was an operational risk of failure to properly operationalize the Fund and its subsequent workstreams across a disparate and novel partnership. It was critical to ensure the Fund could be efficient in its operations in order to meet the demand of the Fund while remaining responsive to evolving needs. This risk was mitigated through the establishment of the Fund’s key principles, roles, and responsibilities and an operational design which articulated clear expectations for each partner and was designed with the comparative advantage of each partner in mind. This risk is also mitigated by highly functional staff liaisons, which fostered cohesion, shared best practices, and ensured consistent communication among partners.

**Staffing constraints**

All partners faced the risk of having insufficient staff capacity to manage the additional workload resulting from the Fund. Given the unprecedented nature of the pandemic, staff were required to transition to remote work, absorb additional at-home responsibilities, and balance the shifting needs and exponential growth of the Fund. This risk was mitigated early on in a few ways. First, the careful selection of fiduciary partners, including UNF as the primary fiduciary partner with sufficient existing capacity, allowed for greater internal allocation of staff time toward the Fund efforts. Second, the Fund created a fee structure that ensured adequate resources were available to support the fiduciary partners’ operations. Overhead allowed the Fund’s fiduciary partners to sustainably fundraise, track, and manage contributions; steward the relationship between the Fund and its donors; and execute the relevant processes which are inherent to fundraising, such as due diligence, the execution of agreements, and the fulfillment of donor reporting requirements. Third, each partner worked with their internal leadership teams to reallocate staff capacity where needed, manage competing institutional priorities, and hire additional staff capacity when necessary. As the Fund progressed, this risk has lessened as the volume of donations and communications needs have naturally and expectedly decreased. As the pandemic continues, this risk continues to be mitigated as employees adapt to managing both at-home and professional responsibilities and have set up the appropriate systems and structures to ensure success of the Fund while working virtually.
Cybersecurity and IT
During the launch and execution of the COVID-19 Solidarity Response Fund, there were many cybersecurity- and IT-related risks with which the Fund had to contend. Like all digital platforms, there was a risk of the Fund’s website hitting capacity and crashing, as well as risks stemming from phishing, hacking, and privacy violation attempts. Given the high-profile nature of the COVID-19 Solidarity Response Fund, special considerations were made to mitigate these risks as much as possible for the Fund’s donation site. Key security choices included using serverless hosting at launch which removed the risk of the site itself being hacked, using a multi-step approval process for all updates to the site which included code review to prevent mistakes and vulnerabilities, and using a hosted donation form that was monitored by a security firm for signs of fraud. There was also a risk that sensitive information, such as that related to donors, would be shared to those without the proper authority. These risks were mitigated during the initial launch of the Fund as significant efforts were made to ensure cybersecurity protections were enabled and aligned to the privacy policies of each individual Fund partner. While each partner did their best to mitigate against cybersecurity- and IT-related risks, the Fund did experience fraudulent “dummy” Funds being created. The Fund’s partners collaborated closely in evaluating fraudulent imposter sites, using an automated monitoring platform to constantly scan the web for imposter sites and collaborating on getting them taken down where appropriate. The Fund also made sure to course correct and address all cyber-related issues immediately and provided additional information on the website to communicate the distinction between the Fund and any copycat sites. Additionally, all shared trackers were made to be password protected and shared only with Fund staff who have the authority and credentials to view sensitive information. While cybersecurity and IT risks continue to exist for the Fund, risks to shared platforms continue to be monitored on an ongoing basis through each partners’ internal controls, by UNF’s Director of IT, and WHO’s Director of Cybersecurity as well as internally by each Fund partner’s relevant IT lead.

Documentation
There was an operational risk caused by a lack of clearly documented standard operating procedures for the Fund. Given the unprecedented and novel nature of the Fund, new business processes were established and institutionalized by each of the Fund’s partners. The swift growth of the Fund did not allow for the creation of full documentation of all processes before launch, which creates a risk of increased human error when executing business processes. This risk is mitigated by the reliance on existing internal processes and procedures among each of the Fund partners, and by the creation of this Playbook to document all Fund-specific considerations, decisions, and business processes. As the pandemic continues, the initial fast-paced nature of the Fund has slowed, and staff have incorporated the operations of the Fund into their workstreams, which has lessened this risk’s probability of occurring.

Political Risks
A political risk is defined as a risk which is created by the external political environment.

Need for a globally-relevant Fund
Given the global nature of WHO and its responsibility to its Member States, there is a political risk if the Fund is perceived as favoring specific countries or geographies. This risk is mitigated through the diversity of the Fund’s fiduciary and beneficiary partners and the Fund’s efforts both in fundraising and expenditure, which are globally focused under the SPRP. The Fund received contributions from 190 countries which is proof positive of this risk being successfully mitigated.

Member State roles
There is a political risk between WHO and its Member States generated by the establishment of a novel, highly dynamic, global fundraising effort in the midst of a pandemic. The Fund united an unprecedented number of individuals and private organizations to respond to critical global health needs and support the efforts of WHO. The size of the Fund’s resources make it larger than the contributions of almost any Member State. There is a risk that Member States perceive they have insufficient oversight or control over the Fund. This risk is currently being mitigated by extensive consultation between WHO and its Member States. Discussions relate not only to the Fund itself, but in the context of the Fund as a forerunner to the newly established WHO Foundation, which will serve a similar function in the future.
REPUTATIONAL RISKS

A reputational risk is defined as a risk which affects the external reputation of the Fund.

Use of funds

There is a reputational risk that exists in which contributors or external audiences do not understand how contributions are being used, who they are being used by, or whether allocation determinations are appropriate. Contributions to the Fund are used to support the SPRP, which has a diverse range of goals and workstreams. Funds are allocated to these workstreams at the discretion of the Steering Committee based on priority public health needs. Steering Committee decisions could be scrutinized when Fund resources are redeployed (especially if done multiple times). This results in a potential reputational risk that the Fund is perceived as not being transparent or timely in their use of funds, leading contributors to not see the value of their contribution if it is repeatedly recycled. Relatedly, Fund partners chose an overhead fee structure that was below benchmark rates for rapid response/disaster fundraising to avert any criticism of profiteering and provided adequate resources to support the Fund’s operational needs. To ensure contributor confidence, proactive and transparent communications about the structure, accountability, overhead rates, and impact of the Fund are documented in the impact reports and on the Fund website.

There is an additional risk that the Fund may be perceived as a vehicle to channel contributor support to specific projects, which may create undue influence by non-traditional donors (especially including the private sector) over WHO’s work. This risk is mitigated by i) not allowing contributions to be earmarked; ii) pooling and comingling all financial resources at the level of fiduciary partner so individual contributions cannot be separately tracked; and iii) using a network of fiduciary partners to enter financial relationships with contributors and other amplifier partners of the Fund, creating a degree of separation from WHO.

Acceptance of funds from problematic donors

The Fund takes a “minimal regrets” approach, allowing contributions from a wide range of stakeholders. This could result in unfavorable associations between contributors with their own reputational risks and the Fund. The reputational risk of this approach is mitigated by i) requiring fiduciary partners to lead in due diligence of major fund contributors, including screening for tobacco and arms industry ties and UN sanctions before accepting donations; ii) not allowing any contributor, as outlined in legal agreements with fiduciary partners and the Fund’s brand guidelines, to convey or infer a direct relationship between themselves and WHO; iii) not allowing for earmarked contributions and pooling all contributions at the level of the fiduciary partners.

Support by Member States

There is an additional reputational risk created by the change in WHO’s resource mobilization approach to COVID-19. The Fund, as a mobilizer of private donations, has acted as a novel pathway to supporting the work of WHO and the SPRP, a responsibility typically under the remit of Member States. There is a reputational risk that exists in which Member States are no longer positively incented to make due on their contributions or increase support the work of WHO since alternative fundraising mechanisms have yielded immense funding. This risk is mitigated through regular dialogue between WHO and Member States distinguishing the Fund’s exclusive support for pandemic response from the continuous financing provided by traditional donors to fund all of WHO’s standard work.

WHO Foundation

There is an additional reputational risk stemming from the establishment of the WHO Foundation, as there is a risk the COVID-19 Solidarity Response Fund will be confused with the WHO Foundation. Although the Fund and the WHO Foundation are linked in some ways, the mandate of the WHO Foundation is much broader and would suffer from being associated with only one dimension of WHO’s work. This risk is mitigated through clear communications about roles and responsibilities on digital platforms and with donors, and by inviting the WHO Foundation to serve as a fiduciary partner of the Fund to show alignment.
COMPETITIVE RISKS

A competitive risk is a risk which is defined as being created by the competitive landscape.

Other COVID-19 fundraisers

As the COVID-19 pandemic continued to spread around the world, many additional fundraising efforts were launched to address different aspects of pandemic response, creating a competitive risk for the Fund as donors could contribute to any of these other fundraising efforts. This competitive risk is mitigated through the Fund’s early-mover status. Being the first to market and the only effort that directly supported WHO’s response gave the Fund an important competitive advantage. Since the Fund was the first of its kind and capable of disbursing a significant volume of funds during its initial launch, it was able to leverage the momentum of early success and visibility to secure additional high-dollar value contributions. Additionally, since the Fund had reach in local, regional, and national markets, more contributors were motivated to contribute to a Fund that clearly had impact in the communities they serve.

Competition between fiduciary partners

While it may seem as though there would be a competitive risk between fiduciary partners in accepting contributions, this risk was almost non-existent. Fiduciary partners were selected to ensure global distribution and to allow fundraising domains to be geographically delineated. The division of fundraising responsibilities between fiduciary partners was also determined by the various organizational capacities and limitations of the fiduciary partners. These considerations included a fiduciary partner’s ability to extend tax benefits in their respective countries. The Fund’s partners took a proactive approach to guiding prospective contributors to the appropriate fiduciary partner based on geography. Individuals were largely stewarded to the Fund website to reduce transaction costs of multiple partners hosting multiple online fundraisers. Additionally, UNF hired a full-time consultant on behalf of the Fund to work directly across the network of fiduciary partners, beneficiary partners, and WHO to steward multi-market and complex prospective donors.

Competition between beneficiary partners

Similarly, while it may seem as though there would be a competitive risk between beneficiary partners in receiving donations, this risk was also minimal. This risk was mitigated as contributions to beneficiary partners are made at the discretion of the Steering Committee in accordance with urgent and unmet COVID-19 needs. Additionally, beneficiary partners are diverse in nature and work across the different programmatic areas outlined in the SPRP.

LOOK AHEAD

The risks articulated in this chapter represent risks which were and continue to be apparent for the COVID-19 Solidarity Response Fund. As the Fund efforts mature, there are likely some new risks that will have to be identified and mitigated.

As of November 2020, the Fund is expected to complete all active fundraising by the end of 2020, complete all allocations by March 2021, and expend all funds by December 2021. Throughout this process, there will be questions, and consequentially, risks related to the closure of the Fund and transition of WHO’s COVID-19-related fundraising to the WHO Foundation. Potential risks in this regard include assessing and redistributing staff capacity, ensuring purposeful allocation and expenditure of funds, managing programmatic and implementation procedures, ensuring accurate and compliant accounting procedures, documenting decisions and business processes, stewarding donor relationships, and maintaining Member State relationships and expectations. These risks are expected and will be assessed and mitigated in the same processes and with the same level of consideration as the risks previously mentioned. Such risks will be documented in the final version of this Playbook expected to be released at the end of 2021 or early 2022.
The COVID-19 pandemic has been met with a lack of action. The Fund was not established in a manner that is flexible and can meet anticipated demands. The Fund is not able to meet the goals of the SPRP. The Fund is not able to raise funds to support WHO or the SPRP. Funds are miscalculated or inaccurately forecasted. The Fund is not able to accurately or quickly allocate funds. Funds are not spent in a timely manner or are used for purposes outside of the SPRP. Recycled funds are not managed appropriately or are double counted. The volume of work and coordination the Fund requires is not manageable, and Fund partners are unable to keep up with the Fund as it grows. Many staff members simultaneously are balancing additional at-home responsibilities, the transition to remote work, and increased workloads due to the Fund.

<table>
<thead>
<tr>
<th>RISK TYPE</th>
<th>RISK</th>
<th>MITIGATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic</td>
<td>There has been a lack of action in responding to the COVID-19 pandemic.</td>
<td>WHO, the UN Foundation, and the Swiss Philanthropy Foundation created the COVID-19 Solidarity Response Fund.</td>
</tr>
<tr>
<td>Strategic</td>
<td>The Fund is not established in a manner which is flexible and can meet anticipated demands.</td>
<td>Accountability mechanisms were created, and there is a distribution of roles and responsibilities amongst beneficiary and fiduciary partners.</td>
</tr>
<tr>
<td>Strategic</td>
<td>The Fund is not able to meet the goals of the SPRP.</td>
<td>Significant fundraising efforts and a large volume of donations invalidate this risk. Additionally, the Steering Committee was developed to ensure allocation decisions can be made in a timely manner. Finally, the diverse range of beneficiary partners make sure the critical needs outlined in the SPRP are executed as needed.</td>
</tr>
<tr>
<td>Financial</td>
<td>The Fund is not able to raise funds to support WHO or the SPRP.</td>
<td>The Fund has thus far raised over $200 million, and fiduciary partners are continuing to accept donations into 2021. The first-mover status of the Fund has attributed to significant fundraising efforts.</td>
</tr>
<tr>
<td>Financial</td>
<td>Funds are miscalculated or inaccurately forecasted.</td>
<td>The Fund has taken extensive measures to set up and establish shared trackers and has assigned staff members to ensure accuracy of calculations.</td>
</tr>
<tr>
<td>Financial</td>
<td>The Fund is not able to accurately or quickly allocate funds.</td>
<td>The Fund has set up a standard process of forecasting, allocating, and disbursing funds through the establishment of the Steering Committee and uses a shared tracker to ensure ease of accessing relevant allocation information in order to make informed decisions.</td>
</tr>
<tr>
<td>Financial</td>
<td>Funds are not spent in a timely manner or are used for purposes outside of the SPRP.</td>
<td>Beneficiary partners must spend funds in alignment with the terms of the grant agreement which require timely use of funds. Impact reports demonstrate progress toward the SPRP.</td>
</tr>
<tr>
<td>Financial</td>
<td>Recycled funds are not managed appropriately or are double counted.</td>
<td>This risk is currently being actively monitored by the Steering Committee and, thus far, has been mitigated through the assurance that any funds which have already been communicated as spent will not be redeployed. Additionally, this risk will be mitigated through accurately and timely reporting to ensure all funders are aware of the use of funds.</td>
</tr>
<tr>
<td>Operational</td>
<td>The volume of work and coordination the Fund requires is not manageable, and Fund partners are unable to keep up with the Fund as it grows.</td>
<td>All partners have worked with their internal leadership teams to manage priorities and have brought on additional staff capacity when needed.</td>
</tr>
<tr>
<td>Operational</td>
<td>Many staff members simultaneously are balancing additional at-home responsibilities, the transition to remote work, and increased workloads due to the Fund.</td>
<td>Employees continue to work with their respective institutions on managing virtual work needs. Additional business processes were developed on an ongoing basis to meet Fund demands.</td>
</tr>
</tbody>
</table>

Continued on next page
### RISK MANAGEMENT

#### RISK REGISTER, CONTD.

<table>
<thead>
<tr>
<th>RISK TYPE</th>
<th>RISK</th>
<th>MITIGATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operational</td>
<td>There are phishing, hacking, and privacy violation attempts of shared online tools and the Fund website.</td>
<td>Significant efforts were made to ensure cybersecurity protections were enabled and aligned with the privacy policies of each individual Fund partner. Clear distinctions were made on the Fund’s website to communicate the difference between the Fund and any copycat funds. Additionally, all shared trackers were made to be password protected and shared only with Fund staff who have the authority and credentials to view sensitive information. Risks to shared platforms continue to be monitored and resolved on an ongoing basis by UNF’s Director of IT and WHO’s Director of Cybersecurity as well as internally by each Fund partner’s relevant IT lead.</td>
</tr>
<tr>
<td>Operational</td>
<td>Business processes for the Fund were established quickly and were not always well documented.</td>
<td>The handbook serves to document each individual partner’s internal processes, decision criterion, and standard operating procedures for the Fund.</td>
</tr>
<tr>
<td>Political</td>
<td>The Fund is not globally focused or is perceived as skewed in favor toward specific countries.</td>
<td>The diversity of the Fund’s fiduciary and beneficiary partners is representative of the global landscape. The Fund’s efforts, both in fundraising and expenditure, are globally focused and are overseen by WHO and the Steering Committee.</td>
</tr>
<tr>
<td>Political</td>
<td>Member States do not like the Fund.</td>
<td>WHO continues to be in conversation with Member States regarding Fund decisions and impact, and relationships are closely managed by WHO leadership.</td>
</tr>
<tr>
<td>Reputational</td>
<td>The COVID-19 Solidarity Response Fund is confused with the WHO Foundation.</td>
<td>Roles and responsibilities are clearly communicated on digital platforms and with donors. Additionally, the WHO Foundation has been invited as a fiduciary partner of the Fund.</td>
</tr>
<tr>
<td>Reputational</td>
<td>The COVID-19 Solidarity Response Fund accepts donations from a problematic donor, resulting in unfavorable associations between contributors, their own reputational risk, and the Fund.</td>
<td>Fiduciary partners are required to lead in due diligence for major fund contributors, and the Fund’s brand guidelines do not allow any contributor to convey or infer a direct relationship between themselves and the WHO. Additionally, the Fund does not allow for earmarked contributions.</td>
</tr>
<tr>
<td>Reputational</td>
<td>Member States are no longer incentivized to contribute to or support the work of WHO since alternative mechanisms have been proven to be available, leading WHO, and consequently the Fund, to be perceived as ineffective.</td>
<td>WHO will continue to be in regular communication with Fund donors and Member States regarding the impact of their donation, the breadth and depth COVID-19-related needs, and the urgency surrounding both public and private support.</td>
</tr>
<tr>
<td>Reputational</td>
<td>Donations are recycled to accommodate restricted funds, and donors are confused or do not see the value of their donation.</td>
<td>The Fund will continue proactive and transparent communications about the structure, accountability, and impact of the Fund via the impact reports and Fund website. Earmarking donations is not accepted per the donation terms of agreement.</td>
</tr>
</tbody>
</table>

*Continued on next page*
<table>
<thead>
<tr>
<th>RISK TYPE</th>
<th>RISK</th>
<th>MITIGATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reputational</td>
<td>There is competition between Fund fiduciary partners in receiving donations.</td>
<td>The Fund will continue to articulate that donations to the Fund are granted to WHO and its beneficiary partners, are not kept by fiduciary partners (apart from overhead costs), and are used at the discretion of WHO in support to the SPRP.</td>
</tr>
<tr>
<td>Competitive</td>
<td>There is competition between Fund beneficiary partners in receiving donations.</td>
<td>The Fund’s strategic advantage is that it launched early, had high visibility, and is the only fund of its kind that offers direct support to WHO.</td>
</tr>
<tr>
<td>Competitive</td>
<td>There is competition between fiduciary partners and WHO in retaining ownership of donor relationships.</td>
<td>Fiduciary partners have always divided and conquered donations based on the needs of the donor and the partners’ respective regions.</td>
</tr>
<tr>
<td>Competitive</td>
<td>Donors or external audiences do not understand how donations are being used or who they are being used by, and the Fund is perceived as not being transparent or rapid in its use of funds.</td>
<td>Donations to beneficiary partners are made at the discretion of the Steering Committee in accordance to critical and urgent COVID-19 needs. Additionally, beneficiary partners are diverse in their nature and work across the different programmatic areas outlined in the SPRP.</td>
</tr>
<tr>
<td>Competitive</td>
<td>As the pandemic continues, there are more fundraisers working on COVID-19 response.</td>
<td>A mapping process and donor survey has been sent to Fund partners to gauge interest in which donors fiduciary partners are interested in retaining.</td>
</tr>
</tbody>
</table>
APPLICATION FORM FOR FOREIGN-RELATED PUBLIC FUNDRAISING PROJECTS

NAME OF PROJECT ________________________________

FUNDRAISING REFERENCE NUMBER ________________________________

TARGET AMOUNT OF FUNDRAISING ________________________________

FUNDRAISING DURATION ________________________________

PROJECT DESCRIPTION ____________________________________________

PROJECT BUDGET AND PURPOSE ____________________________________

COUNTRY / REGION OF THE PROPOSED ASSISTANCE ________________________________

RECIPIENTS OF PROJECT ____________________________________________

NAME OF APPLICANT ________________________________

ADDRESS OF APPLICANT ____________________________________________

PROJECT MANAGER ________________________________ DATE OF BIRTH ________________________________

CERTIFICATE CATEGORY ________________________________ ID NUMBER ________________________________

POSITION ________________________________ TEL ________________________________

PROJECT CONTACT ________________________________ TEL ________________________________

EMAIL ________________________________

BANK ACCOUNT ________________________________

PROJECT INTRODUCTION

Mainly include the background, purpose, significance and feasibility description of the project, such as: the basic situation of the Country/Region or the group to be assisted, Past related project experience, project implementation and execution plan, etc. ________________________________

______________________________

______________________________

______________________________

______________________________
APPLICATION FORM FOR FOREIGN-RELATED PUBLIC FUNDRAISING PROJECTS, CONTD.

NAME OF PARTNER ORGANIZATION 1
________________________________________________________________________________________________________________________________________________________

COOPERATION CONTENT/DIVISION OF RESPONSIBILITIES
_____________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________

PROJECT CONTACT ___________________________ TEL _____________________________________________
EMAIL __________________________________ _________________________________

NAME OF PARTNER ORGANIZATION 2
_______________________________________________________________________________________________________________________________________________________

COOPERATION CONTENT/DIVISION OF RESPONSIBILITIES
_____________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________

PROJECT CONTACT ___________________________ TEL _____________________________________________
EMAIL __________________________________ _________________________________

ANNEX
1. Proposal of Fundraising Project.
2. Qualification documents of the applicant and organizations (copy of legal person registration certificate, etc.)
3. Introduction of applicants and partner organizations.
______________________________________________________________________________________________________________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________
______________________________________________________________________________________________________________________________________________________________________________________________________________________

APPLICANT (STAMP) ___________________________ DATE _____________________________

COMPETENT INSTITUTION (STAMP) ___________________________ DATE _____________________________

MINISTRY OF CIVIL AFFAIRS (STAMP) ___________________________ DATE _____________________________
GUIDELINES FOR THE APPROVAL OF FOREIGN-RELATED PUBLIC FUNDRAISING PROJECTS

Comply with the relevant regulations of the Charity Law of the People’s Republic of China. The applicant must be a charitable organization with public fundraising qualifications. A fundraising plan should be developed. The project must comply with the mission of the China Population Welfare Foundation.

Follow the process of handling major issues, submit an application to the Competent Institution and Ministry of the Civil Affairs, and at the same time report to the related department. After approval, upload the public fundraising projects information on the Charity China website and obtain the fundraising reference number.

TEMPLATE OF PUBLIC FUNDRAISING PROJECTS

PART A: BASIC INFORMATION OF THE PROJECT

BASIC INFORMATION

NAME OF PROJECT

FUNDRAISING NUMBER OF THE PROJECT
Please fill in the fundraising number obtained on the Charity China website.

PROJECT DESCRIPTION
Please fill in the core problem to be solved by the project, within 27 Chinese characters.

BACKGROUND
Please fill in the real identity information, the relationship with the recipient, and a brief introduction of the project, within 54 Chinese characters.

APPROVAL DATE

DONATION FIELD

IMPLEMENTATION LOCATION OF PROJECT

RECIPIENTS OF PROJECT

FUNDRAISING DURATION AND GOAL INFORMATION

FUNDRAISING DURATION

TARGET AMOUNT OF FUNDRAISING
Refers to the goal of public fundraising. When the fundraising goal is reached, the project will stop fundraising.
PROJECT PURPOSE
Used to display the donation thank you card to explain the purpose and goal of the project to donors.

MINIMUM EXECUTION AMOUNT
The amount that must be raised before the implementation of the project (if it is executable regardless of how much is raised, 0 can be filled in). If the final fundraising is less than the “minimum executable amount”, the direction of change must be indicated in the “Project Budget” module.

PROJECT PICTURES AND VIDEOS
PICTURES FOR PC USERS
Please upload pictures.

PICTURES FOR MOBILE USERS
Please upload pictures.

LINK TO PROJECT VIDEO

COVER IMAGE FOR PROJECT VIDEO
Please upload a picture.

PICTURE FOR CELL PHONE USERS
Please upload a picture.

PART B: DETAIL INFORMATION OF THE PROJECT

PROJECT INTRODUCTION
Please upload pictures and content. Within 4500 Chinese characters.

PROJECT BUDGET
It should be as detailed, meticulous and reasonable as possible. It must include “project budget”, “plan for use of donations”, and “management fee description”, within 50 Chinese characters. It is recommended to attach a detailed budget form.

PROJECT EXECUTION PLAN
Please fill contents including time, space, personnel, detailed project execution plan, pictures, within 800 Chinese characters.

IMPACT OF PROJECT
Please describe the implementation effect of the project, Donation users will see it in the pre-donation prompt.

PROJECT EXECUTION CAPABILITY DESCRIPTION
Please fill in the introduction of the organization and the description of the project/organization capability of the previous year.

ACKNOWLEDGEMENT
If there is a plan to give back to the donor, and you can afford the cost of mailing, please specify the feedback standard or gift in detail.
ABOUT CPWF
Introduce yourself or your team vividly, explain the background and story between you and the initiated project, so that supporters can get to know you in the shortest possible time to narrow the distance between each other. At least 50 Chinese characters. Please upload more high-quality pictures.

DONATION RECEIPT INFORMATION
The requested information must be filled in completely, including accurate email, phone number and other contact information that can be contacted in time.

INFORMATION OF THE PERSON IN CHARGE

LEGAL REPRESENTATIVE OF THE ORGANIZATION

PHOTO
Please upload a photo.

POSITION / TITLE

BRIEF INTRODUCTION
The United Nations Foundation’s Strategic Planning & Implementation, Finance, and Integrated Development teams are primarily responsible for ensuring due diligence is completed. For the COVID-19 Solidarity Response Fund, a task force consisting of staff members across the Foundation was created in order to ensure capacity to conduct due diligence was readily available.

**Partner Criteria**

Due diligence is conducted on partners dependent on the value and nature of the partnership, in accordance with UNF’s standard due diligence policy, as outlined in the Policy and Approach section below.

**Policy and Approach**

Overall, UNF’s due diligence policy provides a framework for vetting potential partners across relevant risk dimensions. This policy enables UNF staff and leadership to make informed decisions about whether to engage with a prospective partner and the appropriate nature of engagement.

UNF is committed to working with partners who are aligned with the values, ethics, and conduct of the United Nations (UN). It is UNF’s chief responsibility to uphold the name and reputation of the UN and its mutual respect for human rights, dignity, and social justice. For this reason, UNF’s approach to due diligence mirrors that of the UN Sustainable Development Group’s (UNSDG) Common Approach to Due Diligence to the greatest extent practicable. Our alignment to the UN includes introduction of exclusionary criteria; identification of partners’ high-risk industries; access to the Sustainalytics database to assess ESG risks; and the provision of a common, transparent platform for due diligence information sharing via UNF’s Salesforce system. In addition, UNF seeks relationships with partners who comply with national and international laws, are financially and regulatory compliant, and are well-aligned with the reputation of UNF and its affiliated brands.

UNF achieves this balance by vetting all potential partners through a two-tiered due diligence process — the first largely to screen for legal and regulatory infractions, and the second to assess the partnership along more reputational dimensions. Heightened review is given for potential partners with greater monetary support and/or degree of brand affiliation. The following outlines the thresholds and relevant screening levels which were used to determine the level of due diligence required for the COVID-19 Solidarity Response Fund, though additional screening may be requested at any point.

<table>
<thead>
<tr>
<th>PARTNER TYPE</th>
<th>DEFINITION</th>
<th>SCREENING TIER THRESHOLDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funder/Sponsor</td>
<td>A funder/sponsor is an individual or organization from which UNF is or will be receiving funding, OR to which will be publicly connected via MOUs, in-kind contributions, etc.</td>
<td>Tier 1 &gt; $10k</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Tier 2 &gt; $50k</td>
</tr>
</tbody>
</table>

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**APPENDIX B**

**THE UNITED NATIONS FOUNDATION DUE DILIGENCE POLICY**
Two-Tiered Approach

UNF’s vets all partners through a two-tiered due diligence process:

TIER 1

Lower risk organizational relationships undergo an initial screen (called a “Tier 1 review”). The Tier 1 review builds upon a set of UNF-determined exclusionary criteria that have been selected to align with the UN Global Compact and the UNSDG Common Approach, and excludes partners who:

- Are or have been subject to a UN sanction, have committed serious violations of U.S. or UN sanctions
- Derive or have derived revenue from the production of controversial weapons, including antipersonnel landmines, cluster bombs, or nuclear bombs
- Derive or have derived revenue from the production and/or manufacture of tobacco

However, the exclusionary criteria outlined above are not the only criteria evaluated during the Tier 1 screening. The Refinitiv World-Check tool evaluates partners against approximately 700 global databases to screen for both the above exclusionary criteria as well as human rights and environmental violations, illegal activity, and regulatory infractions. Examples of said databases include, though are not limited to, OFAC sanctions lists, FCPA penalties, and FTC charges. World-Check is unable to screen for negative press or other reputational factors, which will be evaluated through the Tier 2 review.

The Business Services and Contracts team is responsible for reviewing the package of Tier 1 results. In the case that unfavorable, questionable, or concerning findings surface for a potential partner, UNF will take care to understand the nature of the violations and ensure that the findings are not erroneous. The Contracts team will determine if additional review is necessary for a decision to be made or require further screening. Partners will be monitored on an ongoing basis via World-Check. The Contracts team will review any new results which may prompt further review of any prior partnership decisions.

TIER 2

In addition to Tier 1 review, higher-level partnerships undergo a subsequent due diligence evaluation (called a “Tier 2 review”) to more comprehensively assess the partnership along broader strategic and reputational considerations. The Tier 2 review has several objectives, including to provide more context about the terms of the partnership, to expand upon any infractions that were cited in Tier 1, and to scan for other potential controversies that would not have been cited in Tier 1 databases but still matter to UNF, its values, and those of its associated initiatives. The Tier 2 process also allows UNF to assess the organizational leadership of potential partners for any reputational concerns. The Tier 2 process is conducted by members of the COVID-19 due diligence task force, though is usually conducted by a member of the specific UNF team who initiated the partner relationship.

This process requires the writing of a reputational risk memo which summarizes any findings found through a combination of desk research, searches through news and media outlets, referrals from established partners, and reports available in the Sustainalytics database, available to UNF via the Foundation’s partnership with the UN Global Compact. Tier 2 due diligence also identifies if the prospective partner works in any high-risk industries according to those industries listed in the UNSDG’s Common Approach. Potential risks found through this process are summarized into a reputational risk memo, along with basic information regarding the organization, its leadership, and the proposed partnership. In addition to summarizing any concerns found, the reputational risk memo ensures documentation of the research methodology and risk conclusions made.

In addition to the criteria outlined above, the Tier 2 process pays special attention and notes any findings related to a partner’s involvement in alcohol, tobacco, and weapons industries, as well as any health-related controversies, in order to align to the values and due diligence criteria of the WHO.
Review and Quality Control

Members of the due diligence task force and Strategic Planning & Implementation team conduct quality control and review all due diligence cases, consisting of both Tier 1 and Tier 2 results, for accuracy, consistency, and to ensure documentation of research methodology is noted.

Partnership Decisions

Each due diligence case undergoes a two-step review process:

The first review is conducted by members of UNF’s Global Health team who review due diligence cases to ensure partners are aligned to the criteria of WHO and serve as the primary relationship manager between UNF and WHO. When additional insights from members of WHO are needed in order to make a partnership decision, the Global Health team is responsible for initiating conversation and passing due diligence findings to the relevant staff members at WHO. This is primarily the case for due diligence cases in which potential health-related concerns or high-risk findings were found. Upon approval by UNF’s Global Health team, and WHO when needed, partnership conversations can progress.

The second review is conducted by UNF’s Chief Operating Officer who is the final arbitrator of all partnership decisions at the United Nations Foundation. UNF’s COO makes a final partnership decision and determines if a partner is approved, rejected, or approved for specific and certain contexts.

SWISS PHILANTHROPY FOUNDATION DUE DILIGENCE POLICY

Swiss Philanthropy Foundation (SPF) has due diligence and compliance guidelines in place to verify incoming donations. For the Covid-19 Fund it hosts in particular, the following policy will be applied:

- The two bank accounts (CHF and EUR) dedicated to receiving donations in favor of the Covid-19 Response Fund of the WHO are held within a major Swiss bank. As such, any incoming donation will be subject to the usual compliance performed by Swiss banks as required by anti-money laundering requirements
- SPF will reject and/or refund any donation which does not comply with the requirements of Swiss anti-money laundering requirements
- SPF will verify that entities donating have no affiliation with the arms and tobacco industries
- SPF will verify that individuals donating CHF 100,000 or more to the COVID-19 response confirm that they are not employed by or have a significant financial interest (in excess of CHF 5,000) in the arms, alcohol or tobacco industries.
- For donations above CHF 10,000, SPF will automatically perform a compliance check with a trusted dedicated software
- SPF’s staff will consult SPF’s Board on any donation presenting aspects calling for vigilance
- Every week, SPF will send the list of donations received within the Covid-19 Fund to WHO for its acknowledgement and feedback before transfer to the WHO COVID-19 Solidarity Response Fund
- In case of non-compliance to the established standards (arms, tobacco, AML, etc), SPF will notify WHO together with the weekly communication planned on Mondays.
- For illegal cases and cases harmful to its reputation, SPF will automatically reject after informing WHO. For others cases, WHO to confirm the rejections in writing, within 7 days.
- Every Monday (noon time) SPF to send a report showing all the amounts received and donor’s information (including potential rejections).
- WHO to validate the report by Tuesday evening latest.
APPENDIX B  DUE DILIGENCE POLICIES

TRANSNATIONAL GIVING NETWORK DUE DILIGENCE POLICY

Due diligence for TGE mirrors the policy of The Swiss Philanthropy Foundation with the following exceptions:

» TGE Partners will receive donations onto their dedicated TGE bank account
» TGE partners will deal with donations according to their own compliance procedures and requirements, and national/EU anti-money legislation

» TGE partners will verify that entities donating have no affiliation with the arms and tobacco industries
» TGE partners will verify that individuals donating CHF 100,000 or more to the COVID-19 response confirm that they are not employed by or have a significant financial interest (in excess of CHF 5,000) in the arms, alcohol or tobacco industries.

CHINA POPULATION WELFARE FOUNDATION DUE DILIGENCE POLICY

Generally, the legal adviser of CPWF will investigate the qualification of the enterprise through the Internet, obtain the evaluation information given by the industry association, and see whether there are negative news or lawsuit cases. Based on this information an assessment is carried out to determine, whether we can cooperate or not.

With respect to entities that may wish to contribute to the COVID-19 response, CPWF will screen potential donors in line with WHO’s exclusion criteria and ensure that such entities confirm that they have no affiliation with the arms and tobacco industries by completing the WHO arms and tobacco disclosure statement.

We will query information through the “National Enterprise Credit Information Publicity System” and conduct necessary due diligence on the donors.

A copy of the legal person registration certificate of the entities will be required.

It is recommended that the donor and the China Population Welfare Foundation sign a donation agreement.

JAPAN CENTER FOR INTERNATIONAL EXCHANGE DUE DILIGENCE POLICY

I. GENERAL APPROACH

» We will conduct due diligence on all donors making contributions through JCIE, with a higher level of scrutiny for large donors. The aim is to ensure that we are (1) complying with international, Japanese, and US legal requirements, (2) aligning with UNF and WHO guidelines, (3) insulating the fund from being improperly used by those who wish to influence WHO policy, and (4) protecting the fund’s vital mission from being interfered with by scandal and controversy.

» One major concern for JCIE should be to avoid accepting donations from “bad players” who might be attempting to “greenwash” their reputation by using their donations to improve their image so they can continue to undertake harmful activities.

» A second concern for JCIE should be to avoid donations that might hamper the mission of the fundraising campaign by damaging its reputation.
II. PROCESS

1. JCIE/USA will do an intensive initial screening on all points for all large donors (corporate and individual giving 1+ million yen).

   - This will check whether there are any concerns reported in English language sources that we should be weighed in judging whether to accept the donation.

   - The screening will be documented in the JCIE template, and then a copy of that will be sent to JCIE/Japan as soon as possible so they can undertake follow up.

2. JCIE/Japan will conduct a less intensive follow-up that will entail:

   - (a) checking that the JCIE/USA findings seem accurate and complete, and

   - (b) adding any concerns that are raised in Japanese-language source, or that may be known within Japan’s business community.

   - When this is complete, the donors will be advised whether their contribution will be accepted.

3. For smaller donors (under 1 million yen), funds will be accepted after they certify that they are not engaged in prohibited activities. JCIE/USA will then conduct a quick investigation to confirm they are not the subject to sanctions and that there are no other concerns, documenting these findings.

IV. CONTENT OF SCREENING

1. Large Corporate Donors (1 million yen +) à Document on company template (MS Word docs in Google Drive)

   a. Screen for UN & US sanctions, by checking the following:

      (1) UN Security Council Sanctions

      There currently are no Japanese companies or individuals on the UNSC Sanctions list. There are 3 types we need to be careful of:

      (a) Companies that are controlled by or connected to the DPRK

      (b) Companies that are connected to the yakuza

(c) A company owned by Malik Noorzai and/or Faizullah Khan Noorzai. They are Pakistanis connected to the Taliban who once owned a business in Japan

To check companies and individuals, we should search on the UNSC list: https://scsanctions.un.org/consolidated

(2) UN Human Rights Council Occupied Territory/ Palestine List

There currently are no Japanese companies on the list

(3) US sanctions

We search the US Treasury sanctions database: https://sanctionssearch.ofac.treas.gov/

b. Screening for involvement with weapons/tobacco/alcohol

(1) Weapons

   - We want to confirm that the company’s major source of revenue is not arms, or that it is not one of the top arms producers in the world (within top 10 on Stockholm International Peace Research Institute (SIPRI) list: https://www.sipri.org/sites/default/files/2019-12/1912_fs_top_100_2018.pdf)

(2) Tobacco

   - We cannot accept donations from tobacco companies.

(3) Alcohol

   - We should not accept donations from companies whose primary business is alcohol manufacturing.

   - However, we can from those who are involved in retail businesses that happen to sell alcohol, etc.

C. Screening for Public Health Concerns

   - Google search: “Partner + Health/Health Concerns/Health Controversy” or some iteration of what is listed.

   - Google for environmental concerns.

   - Also, Google for connection with WHO
d. Screening for Other Controversies/Incidents/Human Rights Concerns/Misaligned Values
   
   >> Google “Partner + Controversy/Fraud/Scandal/Supply Chain/Human Rights/Lawsuits/Discrimination”


e. Screening for Leadership Reputation Concerns

   >> Google searches, etc., for CEO/President and other key figures associated with the company for sexual harassment, discrimination, etc.


f. Cause related marketing

   >> We can accept donations from organizations that are involved in cause related marketing; however, we should always request that they be clear that funds are going to the COVID-19 Solidarity Response Fund (not to the WHO, etc). In some cases, we will do a quick investigation to ensure that they are not engaged in illicit activities or behavior that will reflect poorly on the fund.

   >> We should make it clear that they are in no way affiliated with the COVID-19 Solidarity Response Fund, and that we do not endorse any products or services.


2. Large Individual Donors (1 million yen +)

   >> Document on Google sheet

   a. Screen for US & UN sanctions (as above)

   b. Screen for reputation concerns as well as other controversies/incidents/misaligned values, etc.

      >> Google searches, etc., for sexual harassment, discrimination, etc. (as above)

      >> Also, confirm there are no rumors of connection to illegal or illicit activity

      >> Look at social media (Twitter, Facebook, etc) to check if there are any reputational issues

      >> NOTE: We generally can accept donation from an individual who is employed by companies listed in 1) b, c, d, e.


3. Smaller corporate & individual contributions (200,000 yen ~ 1 million yen)

   >> These donors certify that they are not involved in prohibited activities, and can make their donations immediately. However, after the fact we should still confirm that they are not subject to sanctions or raise any other concerns, and take appropriate action if needed.

   >> Document this on Google sheet

   a. Check for US & UN sanctions (as above)

   b. Check for reputation concerns as well as other controversies, etc.
The WHO Foundation is currently developing a Gift Acceptance Policy which details the process to following ahead of receiving and soliciting gifts. This policy aims to guide the Foundation’s leadership and staff about critical issues triggered by certain gifts. This document is still in process and a final version has not been published yet, however the following outlines the major objectives of the policy.

Principally, the Gift Acceptance Policy aims to protect those core values described in Article 3.2 of the Foundation’s Statutes, which include: Supporting global health, encouraging innovation to address urgent health needs globally, and strengthening the World Health Organization’s work and priorities.

As for the due diligence process, the current initial financial point for commissioning an external due diligence report is USD10,000.

Given the WHO Foundation has not received any gifts above USD10,000, no external due diligence was conducted on individuals for gifts received. However, the WHO Foundation ensured that all online donations to the SRF requested the donors to confirm that they had no affiliation with the arms and tobacco industries, as outlined in the statement below.

“I certify that I am neither employed in, nor possess a significant financial interest (more than 5,000 CHF) in the arms, alcohol or tobacco industry. Donations from governments and their bodies, as well as donations from entities affiliated with the arms, alcohol or tobacco industries cannot be accepted and will be returned if received.”
Dear {NAME},

The United Nations Foundation (“UNF”) is pleased that [COMPANY] will support the United Nations Foundation’s COVID-19 Solidarity Response Fund (the “Fund”) in support of WHO. Your will pay UNF a total of [AMOUNT] USD no later than [DATE].

Gifts totaling more than $100,000 USD will be recognized by UNF in the following ways:

- Will receive partner toolkit
- Toolkit contains the only approved logo usage
- Will receive logo placement on COVID-19 Solidarity Response Fund site
- Will be included in weekly donor thank you gif on multiple UNF channels

UNF requests a high-resolution logo approved for use within 48 hours of execution of this letter of intention.

Your organization acknowledges and agrees that it may reference its contribution in press releases or public announcements solely as a donation to the United Nations Foundation’s COVID-19 Solidarity Response Fund in support of the World Health Organization or @WHO if announcing in social media. At no time shall your organization state or suggest that it has funded WHO directly nor shall the Donor have any right or license to use the WHO name, acronym, or emblem.

If you agree to the above, please have an authorized representative sign below and return to Holley Darden at hdarden@unfoundation.org.

Sincerely,

Andrew Axelrod
COO
United Nations Foundation

I agree to the understandings set forth in this letter and agree that UNF may announce our support for the Fund.

SIGNATURE

BY

TITLE

COMPANY

DATE
UNF LETTER OF INTENT FOR PERCENTAGE OF SALES OR CAUSE DONATION

DATE _____________________________________________________________

NAME ____________________________________________________________

COMPANY _________________________________________________________

ADDRESS _________________________________________________________

CITY / STATE / ZIP ________________________________________________

Dear __________________:

The United Nations Foundation (“UNF”) is pleased that you will support the United Nations Foundation’s COVID-19 Solidarity Response Fund (the “Fund”) in support of WHO. It is our understanding that you intend to donate the proceeds from ______________________________________________ that will run from _______________, 2020 until _______________, 2020. Proceeds will be donated no later than _______________, 2020.

If the proceeds total more than $100,000 USD, you will be recognized by UNF in the following ways:

» Will receive partner toolkit

» Toolkit contains the only approved logo usage

» Will receive logo placement on COVID-19 Solidarity Response Fund site

» Will be included in weekly donor thank you gif on multiple UNF channels

In furtherance of your activities to support the Fund, UNF agrees to enter into a formal agreement with you. This letter serves to note our intention to enter into that agreement.

You acknowledge and agree that you may reference its contribution in press releases or public announcements solely as a donation to the United Nations Foundation’s COVID-19 Solidarity Response Fund in support of the World Health Organization or @WHO if announcing in social media. At no time shall you state or suggest that you have funded WHO directly nor shall you have any right or license to use the WHO name, acronym, or emblem.

If you agree to the above, please have an authorized representative sign below and return to Holley Darden at hdarden@unfoundation.org.

Sincerely,

Andrew Axelrod
COO
United Nations Foundation

I agree to the understandings set forth in this letter and agree that UNF may announce our support for the Fund.

(SIGNATURE) ________________________________________________________

BY _______________________________________________________________________

TITLE ______________________________________________________________________

COMPANY ____________________________________________________________________ DATE ___________________________________________________________________
DONATION AGREEMENT

PROJECT: COVID-19 SOLIDARITY RESPONSE FUND  DATE ________________________________

1. ____________________________________________________________________________
   (“Donor”) will donate ____________________________________________________________________________ to the United Nations Foundation
   (“UNF”) to support the COVID-19 Solidarity Response Fund. The solidarity fund has been created to support the World Health
   Organization (“WHO”) in a massive effort to help countries prevent, detect, and manage the novel coronavirus (COVID-19) —
   particularly those where the needs are the greatest (the “Donation”).

   The Fund will advance COVID-19 efforts consistent with the WHO Strategic Preparedness and Response Plan, which includes, among
   other priorities:

   ➥ Send essential supplies such as personal protective equipment to frontline health workers
   ➥ Enable all countries to track and detect the disease by boosting laboratory capacity through training and equipment.
   ➥ Ensure health workers and communities everywhere have access to the latest science-based information to protect themselves,
     prevent infection and care for those in need.
   ➥ Accelerate efforts to fast-track the discovery and development of lifesaving vaccines, diagnostics and treatments

2. The Donation is made solely to support the COVID-19 Solidarity Response Fund (the “Fund”), to be used at the sole discretion of
   WHO. If, for any reason, UNF is unable to ensure that the Donation will be used to support the Fund, this Agreement will be considered
   null and void and all unexpended funds will be immediately returned to Donor.

3. UNF agrees that the Donation will not be used to participate in or intervene in any political campaign on behalf of (or in opposition to)
   any candidate for public office. If the supported project involves any lobbying activities (as defined by the Internal Revenue Code of
   1986, as amended (the “Code”)), UNF certifies that this Donation will not be earmarked for any lobbying activities.

4. UNF agrees that this Donation will be used in compliance with all applicable anti-terrorist financing and asset control laws, regulations,
   rules and executive orders. UNF also agrees to take all reasonable steps to ensure that no person or entity expected to receive funds in
   connection with this Donation is named on any list of suspected terrorists or blocked individuals maintained by the U.S. Government.

5. UNF further acknowledges that none of the activities financed by this Donation violates U.S. laws that prohibit corrupt payments to
   foreign officials for the purpose of obtaining or keeping business and that the Donor has not authorized any activity that would
   constitute such payments. UNF will use reasonable efforts to ensure that funds are not used to make corrupt payments to foreign
   officials for the purpose of obtaining or keeping business.

6. Donor hereby grants to UNF, a worldwide, revocable, limited, transferable, sub-licensable, royalty-free, fully paid up and non-exclusive
   license to reproduce, use and display its marks (the “Marks”) for purposes of identifying Donor as a contributor to the Fund under this
   Agreement and for no other purpose. For purposes of this Agreement, the Marks shall mean any trademark, service mark, name, logo
   or other identifying material of Donor. All goodwill associated with use of the Marks by UNF accrues to Donor. UNF agrees that it will
   take no action to jeopardize the rights of the Donor in the Marks. Donor must send UNF a high resolution logo approved for use when
   returning their signed Agreement or within 48 hours of execution of this Agreement.

7. The Donor acknowledges and agrees that it may reference its contribution in press releases or public announcements solely as a
   donation to the United Nations Foundation’s COVID-19 Solidarity Response Fund for WHO. At no time shall the Donor state or
   suggest that it has funded WHO directly nor shall the Donor have any right or license to use the WHO name, acronym, or emblem.

Acknowledged & Agreed: ____________________________________________  ____________________________________________

NAME ____________________________  Andrew Axelrod, COO
DONOR ____________________________  United Nations Foundation
DATE ____________________________  DATE ____________________________
CPWF DONOR AGREEMENT

DONATION AGREEMENT

PARTY A: ********* (HEREINAFTER REFERRED TO AS “*********)
ADDRESS ___________________________________________________________________________
CONTACT PERSON ______________________________________________________________________
TEL __________________________________________________________________________________
EMAIL ________________________________________________________________________________

PARTY B: China Population Welfare Foundation (hereinafter referred to as “CPWF”)
LEGAL REPRESENTATIVE: Hao Linna
ADDRESS: No.12 Dahuisi Road, Haidian District, Beijing.
CONTACT PERSON: Li Xiaolin
TEL: 010-62174218, 13520893499

After equal consultation between the two parties, the following agreement is reached according to “The Charity Law of the People’s Republic of China”, “Welfare Donation Law of the People’s Republic of China”, “Contract Law of the People’s Republic of China” and “Regulation on Funds” for fight against COVID-19:

ARTICLE 1 Party A voluntarily donates RMB _ _ _ _ _ _ _ _ _ _ _ _ _ _ (Capital: RMB _ _ _ _ _ _ _ _ _ _ _ _ _ _) to Party B for support the “COVID-19 Solidarity Response Fund For the World Health Organization·Action of China”. Agree to accept the donation from Party A.

ARTICLE 2 Both parties guarantee the right to sign this Agreement and have the necessary rights and authorizations to fully perform the obligations under this Agreement. The signing and performance of this agreement by the parties does not violate any laws, regulations and normative documents, and does not violate its own charter.

ARTICLE 3 The donation is that Party A has carried out after internal resolution procedures in accordance with the provisions of the law or its articles of association. The donation is voluntary and free of charge, without additional conditions affecting fair competition, and it is not related with recommending or purchasing products or services of Party A.

ARTICLE 4 According to the cooperation document signed by WHO, the donation from arms industry and tobacco industries are not allowed. Party A shall fill in the Arms and Tobacco Disclosure Statement as provided to the WHO.

ARTICLE 5 The purpose of the donation of Party A is as follows:

1. The funding will primarily support “Global Strategic Preparedness and Response Plan” of WHO.
   Specifically: (a) Provide personal protective equipment and other necessary materials to the front-line staff of epidemic prevention and control; (b) Ensure that health care workers and communities around the world have access to science-based information to protect themselves, prevent infection and care for people in need; (c) Accelerating the development of vaccines, diagnostics and therapeutic drugs.

2. In accordance with “The Charity Law of the People’s Republic of China” and related provisions, Party B will withdraw a certain proportion of donations as administrative expenses. Party A agrees that Party B shall withdraw 5% of the donation, that is, RMB________ (Capital: RMB________), as Party B’s administrative expenses.
ARTICLE 6 Ways of donation:

1. Party A shall remit the donation to Party B’s donation account by bank transfer.

2. Information of Party B’s donation account:
   Opening Bank of RMB Account: China Minsheng Bank Beijing Wei Gong Cun Branch
   Account Name: China Population Welfare Foundation
   RMB Account Number: 0121 0144 1000 0018
   Opening Bank of Foreign Currency Account: Bank of China, Head Office Sales Department
   Account Name: China Population Welfare Foundation
   Foreign Currency Account: 778350014171

3. Party A shall pay before ________ 2020

ARTICLE 7 Within 5 working days after Party B receives the donation from Party A, Party B shall issue to Party A a unified bill of public welfare donation according to the amount of the donation received which is true, legal and effective.

ARTICLE 8 Party B shall award a donation certificate to Party A after receiving Party A’s donation. Party B undertakes to be open and transparent in the use of donations and to publish the use to the public through the network or other means, cooperate with Party A’s special audit (if any) on the use of donations and accept all legal forms of social supervision.

ARTICLE 9 The contributions and use of funds of “COVID-19 Solidarity Response Fund For the World Health Organization-Action of China” will be published in accordance with the law by CPWF. For details, refer to the website of CPWF.

ARTICLE 10 The individuals, businesses, charities, etc. who donate more than RMB700,000(or $100,000) will be acknowledged on the COVID-19 response fund international web page (https://covid19responsefund.org/en) and the separate web page of the official website of the CPWF (http://www.cpwf.org.cn/who/index-en.html), but will not be cited by the WHO website.

ARTICLE 11 Party B shall use the donation in accordance with the agreed purposes of this Agreement. Party A shall obtain the written consent of Party A if it is necessary to change the use and Party B shall not change its use if Party A does not agree.

ARTICLE 12 Special provisions

Party A should know and confirms that: According to the document signed by CPWF and WHO, any person, enterprise, charity, project partner etc. who contributes to the “COVID-19 Solidarity Response Fund for the World Health Organization-Action of China” will not allowed to use the name, logo or emblem of WHO in any advertisement, marketing material or other promotional, marketing or promotional activity, third parties to carry out such activities is not allowed as well. The name of WHO, including any abbreviation thereof, or the logo, emblem shall not be used for commercial purposes in any condition.

“Direct funding to WHO” shall not be asserted in press releases or other promotional materials issued by donors or partners. The specification is expressed as follows: Supported (or donated) the COVID-19 Solidarity Response Fund For the World Health Organization-Action of China which is sponsored by the CPWF, to help global anti-epidemic work.

ARTICLE 13 This Agreement shall enter into force on the date of signature by legal representative or authorized representative by both parties.

ARTICLE 14 Disputes arising in the course of the performance of this Agreement shall be settled by mutual agreement between parties. If mutual agreement is not working, bring a suit to the people’s court with jurisdiction in Party B’s domicile and settle it through litigation.
ARTICLE 15 During the execution of this Agreement, any dispute arising out of or in connection with the Agreement shall be discussed separately by both parties. The agreed contents shall be annexed to this Agreement by means of supplementary Agreement, minutes, attachments, negotiation, etc., signed and sealed by both parties. The appendix shall have the same legal effect as the Agreement.

ARTICLE 16 This Agreement shall enter into force from the date when it is signed and sealed by both parties or authorized representatives. This Agreement is in duplicate, each party holds one copy and has the same legal effect.

PARTY A

LEGAL REPRESENTATIVE / AUTHORIZED REPRESENTATIVE

(SIGNATURE) __________________________________________________________________________ ADDRESS __________________________________________________________________________

CONTACT NUMBER __________________________________________________________________________ DATE SIGNED __________________________________________________________________________

PARTY B: China Population Welfare Foundation

LEGAL REPRESENTATIVE / AUTHORIZED REPRESENTATIVE (SIGNATURE) ________________________________________________________________________

ADDRESS: 12 DaHuiSi Road, HaiDian District, Beijing, China

CONTACT NUMBER __________________________________________________________________________ DATE SIGNED __________________________________________________________________________
The purpose of this policy is to outline UNF’s approach to data privacy and protection and the expected employee behavior when dealing with internal data. This policy provides a classification of the types of data UNF interacts with, UNF’s commitment to data protection and privacy, and the consequences of improper data usage. The responsibility to safeguard data extends to all employees and the following policy applies to any employee, contractor, or individual with access to UNF data.

Definitions

DATA refers to any information, historic or current, housed in UNF’s databases, including but not limited to Financial Edge, Raiser’s Edge, Salesforce, and EveryAction and pertaining to UNF’s external stakeholders, including but not limited to constituents, consultants, donors, vendors, and grantees. Types of data include, though are not limited to, email, phone, address, bank account, donation, and compensation information.

Data Management

UNF ensures that data is gathered, stored, and handled fairly, and with respect toward confidentiality. UNF expects its employees to treat data with respect, care, and discretion and to avoid any data misuse or misrepresentation. UNF expects its employees to protect organizational data and to ensure it is kept private, as data is not to be shared with external audiences or unauthorized staff members. Employees should be aware of data they are using which may be sensitive or restricted in nature and take appropriate action to safeguard this data from unauthorized users.

Data is expected to be used exclusively for the purposes needed to execute authorized business functions and to fulfill day-to-day job responsibilities. Employees are prohibited from using UNF data for non-UNF business or for personal purposes. Employees are expected to edit data only directly related to their respective team and should coordinate with the appropriate UNF team prior to utilizing any other data. Before reaching out to external stakeholders with whom another team has an established relationship, staff are expected to seek permission from that team and/or the established relationship manager(s).

Confidentiality

This policy does not restrict disclosure of data as permitted by law, but only if disclosure is made in confidence to a government official or attorney, either directly or indirectly, solely for the purpose of reporting or investigating a suspected violation of law or in a complaint or other document filed in a lawsuit or other proceeding, if such filing is made under seal. This policy also does not restrict making disclosures that are protected under applicable whistleblower law or regulation.

Policy Violations

Any violation of the stated policy will initiate an investigation into the violation. Any staff member who commits, observes, or becomes aware of unauthorized or inappropriate use or disclosure of data is responsible for promptly reporting any violations to the Managing Director of Strategic Planning & Implementation. Violations of this policy may be subject to disciplinary action, up to and including termination of employment. Employment with UNF requires an obligation to maintain data protection even after leaving the organization.
GIFT RECEIPTS – STANDARD ACKNOWLEDGMENT SAMPLE

UNITED NATIONS FOUNDATION

NAME
ADDRESS LINE 1
CITY, STATE ZIP

Dear FIRST NAME,

On behalf of our Chairman, Ted Turner, and our Board of Directors, I would like to thank COMPANY for its generous contribution of $XXX to the COVID-19 Solidarity Response Fund for the World Health Organization (WHO) through the United Nations Foundation.

In compliance with United States Internal Revenue Service (IRS) requirements regarding charitable donations, we affirm that the United Nations Foundation has provided no goods or services to you in consideration for your contribution. Your donation is fully tax-deductible in the United States to the extent permitted by law. Please retain this letter for your records.

Thank you again for your vote of confidence in the work of the UN Foundation. We are honored to work with you to foster a more peaceful, prosperous and just world.

Sincerely,

Lia Fordjour
Chief Financial Officer

The United Nations Foundation’s campaigns and initiatives include:

Connecting you to the UN, collaborating for impact.

THE UNITED NATIONS FOUNDATION IS AN INDEPENDENTLY ORGANIZED NOT-FOR-PROFIT CORPORATION
EveryAction Acknowledgement

Dear FIRST NAME,

Thank you for your contribution of $XX to the COVID-19 Solidarity Response Fund for the World Health Organization (WHO) through the United Nations Foundation. Your donation will help WHO in its efforts to track and understand the spread of the virus; to ensure patients get the care they need and frontline workers get essential supplies and information; and to accelerate efforts to develop vaccines, tests, and treatments.

Share your support on Twitter.

The UN Foundation is a nonprofit 501(c)(3) organization (EIN/tax ID number: 58-2368165). Your donations are tax-deductible to the fullest extent allowable by law in the United States. This confirmation email serves as your donation receipt and confirms that no goods or services were received.

If you have any questions about your donation, please contact COVID19Fund@unfoundation.org.

Learn more about WHO’s response to COVID-19.

Thank you.

COVID-19 Solidarity Response Fund

Please print out this contribution confirmation page for your records.

Contribution Summary:
Contribution Confirmation ID: XXX
Contribution Date: MONTH/DAY/YEAR TIME
Contribution Amount: $XX

Contact Information:
NAME
ADDRESS

Account Type: CREDIT CARD
Account Number Ending: ****
UNITED NATIONS FOUNDATION

[Click here and type Date]

[Click here and type Hon. Title & Full Name (Honorable/Dr./Mr.)]
[Click here and type Position]
[Click here and type Organization]
[Click here and type Address]
[Click here and type City, State and Zip]

Dear [Click here and type the Salutation],

On behalf of the United Nations Foundation, thank you for your generous contribution to the COVID-19 Solidarity Response Fund. It goes without saying that we’re facing an unprecedented global crisis requiring a coordinated response that involves and includes everyone. Through your support of the Fund, you’re allowing the World Health Organization to do just that.

Since March 13, this historic Fund has been supporting the lifesaving work of WHO and partners, including UNICEF and the Coalition for Epidemic Preparedness Innovations (CEPI), to help all countries prevent, detect, and respond to COVID-19, especially where needs are greatest. Gifts like yours have enabled WHO and its partners to provide vital supplies, including PPE and test kits, to over 133 countries, establish a UN Supply Chain Task Force to ensure the efficient production and shipment of commodities; fund infection prevention and water, sanitation, and hygiene (WASH) initiatives for especially vulnerable communities; coordinate and sustain early vaccine research and development programs; and support “Solidarity Flights” delivering supplies to all countries in need.

We find ourselves in extraordinary times, and our solidarity as a global community is needed now more than ever. Thank you for stepping up and for being part of this historic effort to protect our shared health security.

Please don’t hesitate to reach out with any questions, and again, I thank you for your support. Together, we will overcome COVID-19, and I am optimistic that we are not only preparing ourselves for future threats but also building a stronger and more cohesive global community.

Sincerely,

Elizabeth Cousens
President & Chief Executive Officer


The United Nations Foundation is an Independently Organized Not-for-Profit Corporation

Connecting you to the UN, collaborating for impact.
Subject: Thank you for supporting the COVID-19 Solidarity Response Fund

Dear Friend,

On behalf of our global community, thank you for your generous gift to the COVID-19 Solidarity Response Fund. Your contribution is helping the World Health Organization and its partners deliver much needed equipment and supplies to countries all over the world, ensure communities are equipped with the right facts and information to protect themselves and their loved ones, and further global research and development (R&D) efforts so that a viable vaccine or treatment can be developed and shared globally.

I’m proud to share that since the launch of the Fund on March 13, WHO has been able to provide vital supplies, including PPE and test kits, to over 133 countries, establish a UN Supply Chain Task Force to ensure the efficient production and shipment of commodities; fund infection prevention Water, Sanitation, and Hygiene (WASH) initiatives for especially vulnerable communities; coordinate and sustain early vaccine R&D programs; and support “Solidarity Flights” delivering supplies to countries in need.

While there is still a long road ahead and so much more we have to learn about the virus, I’m optimistic that together we will overcome this global challenge because supporters like you continue to step up each and every day. As one of our partners in the fight to combat COVID-19, I encourage you to share your commitment to supporting WHO’s work through the COVID-19 Solidarity Fund with your own networks who may want to help. A toolkit with key messages, sample language, and digital and social collateral can be found here.

As WHO Director-General Dr. Tedros Adhanom Ghebreyesus said, “We are all in this together. We all have a role to play. Facts not fear. Reason not rumors. Solidarity not stigma.”

With gratitude,

Elizabeth Cousens
President and CEO
United Nations Foundation
TRIBUTE GIFT THANK YOU NOTE SAMPLE

UNITED NATIONS FOUNDATION

DATE

NAME
ADDRESS LINE 1
CITY, STATE ZIP

Dear FIRST NAME,

On behalf of our Chairman, Ted Turner, and our Board of Directors, I would like to thank you for your generous contribution of $XXX in honor of/memory of TRIBUTE NAME on DATE to the COVID-19 Solidarity Response Fund for the World Health Organization (WHO) through the United Nations Foundation.

In compliance with United States Internal Revenue Service (IRS) requirements regarding charitable donations, we affirm that the United Nations Foundation has provided no goods or services to you in consideration for your contribution. Your donation is fully tax-deductible in the United States to the extent permitted by law. Please retain this letter for your records.

Thank you again for your vote of confidence in the work of the UN Foundation. We are honored to work with you to foster a more peaceful, prosperous and just world.

Sincerely,

Lia Fordjour
Chief Financial Officer

The United Nations Foundation’s campaigns and initiatives include:
APPENDIX X ACKNOWLEDGEMENT SAMPLES

SOCIAL MEDIA RECOGNITION SAMPLE

"THANK YOU" GRAPHIC EXAMPLE FOR DONOR RECOGNITION

THANK YOU GIFS FOR DONOR RECOGNITION ON SOCIAL MEDIA

EXISTING “THANK YOU" GRAPHICS
## CPWF Proposal for Recognition of Donations by Individuals / Enterprises / Charities

<table>
<thead>
<tr>
<th>Donation Amount</th>
<th>What China Population Welfare Foundation (CPWF) Provides</th>
</tr>
</thead>
</table>
| **Up to 100k RMB**  (up to approx. $14k) | 1. Uniform invoice of public welfare donation  
2. Certificate of honor from CPWF  
3. For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website |
| **100k – 500k RMB**  (approx. $14k – $70k) | 1. Uniform invoice of public welfare donation  
2. Certificate of honor from CPWF  
3. For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website  
4. Timely announcement of thanks on CPWF official microblog  
5. Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained (only for donations of more than 300,000 RMB, or approx. $42k) |
| **500k – 1m RMB**  (approx. $70k – $142k) | 1. Uniform invoice of public welfare donation  
2. Certificate of honor from CPWF  
3. For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website  
4. Timely announcement of thanks on CPWF official microblog  
5. Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained  
6. Donor logo shared with UNF to be included on the UNF-hosted COVID-19 Solidarity Response Fund for the WHO (only for donations over the RMB equivalent of $100k) |

Continued on next page
## CPWF Proposal for Recognition of Donations by Individuals / Enterprises / Charities

<table>
<thead>
<tr>
<th>Donation Amount</th>
<th>What China Population Welfare Foundation (CPWF) Provides</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1m – 5m RMB</strong></td>
<td>- Uniform invoice of public welfare donation</td>
</tr>
<tr>
<td>(approx. $142k – $714k)</td>
<td>- Certificate of honor from CPWF</td>
</tr>
<tr>
<td></td>
<td>- For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website</td>
</tr>
<tr>
<td></td>
<td>- Timely announcement of thanks on CPWF official microblog</td>
</tr>
<tr>
<td></td>
<td>- Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained</td>
</tr>
<tr>
<td></td>
<td>- Donor logo shared with UNF to be included on the UNF-hosted COVID-19 Solidarity Response Fund for the WHO (only for donations over the RMB equivalent of $100k); UNF tweets donor ‘thank yous’ (only for donations over the RMB equivalent of $500k)</td>
</tr>
<tr>
<td></td>
<td>- Logo display in various publicity materials (does not include WHO logo)</td>
</tr>
<tr>
<td></td>
<td>- Custom made honor trophy/medal/certificate from CPWF</td>
</tr>
<tr>
<td></td>
<td>- Invitation to CPWF annual appreciation activity</td>
</tr>
<tr>
<td></td>
<td>- Exclusive donation ceremony hosted by CPWF</td>
</tr>
</tbody>
</table>

| **5m – 10m RMB** | - Uniform invoice of public welfare donation |
| (approx. $714k – $1.4m) | - Certificate of honor from CPWF |
|                 | - For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website |
|                 | - Timely announcement of thanks on CPWF official microblog |
|                 | - Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained |
|                 | - Donor logo shared with UNF to be included on the UNF-hosted COVID-19 Solidarity Response Fund for the WHO; UNF tweets donor ‘thank yous’ (only for donations over the RMB equivalent of $500k) |
|                 | - Logo display in various publicity materials (does not include WHO logo) |
|                 | - Custom made honor trophy/medal/certificate from CPWF |
|                 | - Inviting the donor to CPWF annual appreciation activity hosted by CPWF |
|                 | - Holding a periodic press conference jointly with the WHO representative office in China (not more than quarterly, in which multiple donations would be recognized), and inviting the media for publicity |
|                 | - Inviting the donor to participate in various major activities of CPWF and the project |
|                 | - For donations above the RMB equivalent of $1m: included in a group of up to 4 companies recognized by Dr Tedros’ Twitter account |

Continued on next page
### CPWF Proposal for Recognition of Donations by Individuals / Enterprises / Charities

<table>
<thead>
<tr>
<th>Donation Amount</th>
<th>What China Population Welfare Foundation (CPWF) Provides</th>
</tr>
</thead>
</table>
| **10m – 20m RMB** (approx. $1.4m – 2.8m) | 1. Uniform invoice of public welfare donation  
2. Certificate of honor from CPWF  
3. For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website  
4. Timely announcement of thanks on CPWF official microblog  
5. Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained  
6. Donor logo shared with UNF to be included on the UNF-hosted COVID-19 Solidarity Response Fund for the WHO; UNF tweets donor ‘thank yous’  
7. Logo display in various publicity materials (does not include WHO logo)  
8. Custom made honor trophy/medal/certificate from CPWF  
9. Inviting the donor to CPWF annual appreciation activity hosted by CPWF  
10. Holding a periodic press conference jointly with the WHO representative office in China (not more than quarterly, in which multiple donations would be recognized), and inviting the media for publicity  
11. Inviting the donor to participate in various major activities of CPWF and the project  
12. For donations above the RMB equivalent of $1m: included in a group of up to 4 companies recognized by Dr Tedros' Twitter account |
| **Over 20m** (approx. $2.8m) | 1. Uniform invoice of public welfare donation  
2. Certificate of honor from CPWF  
3. For donations made by bank transfer or on the CPWF website (not including donations via internet payment platforms): a timely announcement of the charity donation list on the CPWF website and a corporate donation tweet on the CPWF website  
4. Timely announcement of thanks on CPWF official microblog  
5. Logo display on the “COVID-19 Solidarity Response Fund for the WHO through Action of China” thanks page, and permanently retained  
6. Donor logo shared with UNF to be included on the UNF-hosted COVID-19 Solidarity Response Fund for the WHO; UNF tweets donor ‘thank yous’  
7. Logo display in various publicity materials (does not include WHO logo)  
8. Custom made honor trophy/medal/certificate from CPWF  
9. Inviting the donor to CPWF annual appreciation activity hosted by CPWF  
10. Holding a periodic press conference jointly with the WHO representative office in China (not more than quarterly, in which multiple donations would be recognized), and inviting the media for publicity  
11. Inviting the donor to participate in various major activities of CPWF and the project  
12. For donations above the RMB equivalent of $1m: included in a group of up to 4 companies recognized by Dr Tedros’ Twitter account |

Final interpretation of this proposal is owned by CPWF. Welcome to contact us for further information at 62174218 or guojibu@cpwf.org.cn.
COVID-19 Solidarity Response Fund
Brand Guidelines

This is a guide for using key brand elements for the COVID-19 Solidarity Response Fund campaign.

3 About the Fund
4 Logo lockups
8 Typography and Color
9 Photography
10 Social Media
11 How To Give To The COVID-19 Solidarity Response Fund For WHO
13 Resources
About the COVID-19 Solidarity Response Fund

The COVID-19 Solidarity Response Fund for the World Health Organization (WHO) enables individuals, corporations, foundations, and other organizations around the world to directly support WHO’s global work to help countries prevent, detect, and respond to the COVID-19 pandemic in accordance with the WHO Strategic Preparedness and Response Plan. The Fund was created at the request of WHO by the United Nations Foundation in partnership with the Swiss Philanthropy Foundation.

Logo Lockup

Corporate partners may use logo lockups in their creative to highlight their support of the fund. Logos featured in lockups should always be center-aligned, equally spaced, and visually the same size. Use the diagram below as a guide.

The World Health Organization logo may not be used along with other brand/company logos in any circumstance.

View and download logo lockups here
Horizontal Logo Lockup

Maintain a minimum clear space around the logo lockup to preserve its integrity. The logo should only be in its original colors or white.

Vertical Logo Lockup

Similar to the horizontal version, maintain a minimum clear space around the logo lockup to preserve its integrity. The logo should only be in its original colors or white.
**Fund Logo Lockup**

The COVID-19 Solidarity Response Fund text treatment should always be center aligned with the website and logo lock up. Maintain a minimum clear space.

**Typography**

- Brandon Grotesque Font Family
  
  Aa Bb Cc Dd Ee Ff Gg
  1 2 3 4 5 6 7 8 9 0
  
  Download fonts here

**Color**

- RGB: 0, 138, 199
  HEX #: 008ac7
- RGB: 255, 255, 255
  HEX #: ffffff
- RGB: 214, 99, 33
  HEX #: d66321
- RGB: 0, 58, 152
  HEX #: 003b99
Photography

These guidelines share primary considerations that should be made when choosing photos for social media graphics.

» Showcase real people. Only use stock photography when completely necessary.
» Before scaling, make sure the image has a high enough resolution to avoid pixelation.
» Make sure image does not conflict with text or the logo overlayed on top.
» Do not use images that depict adult content, violence, or target any racial/ethnic group in the context of the COVID-19 pandemic in a way that can be misconstrued as discrimination.

Social Media

The link below contains photos, GIFs, graphics or videos being shared for the Fund. The graphics are sized for various social media platforms.

View and download graphics here

UN Foundation Social media channels

Facebook: facebook.com/unitednationsfoundation
Twitter: twitter.com/unfoundation
Instagram: www.instagram.com/unfoundation
YouTube: youtube.com/user/unfoundation
Vimeo: vimeo.com/unfoundation
Linkedin: linkedin.com/company/united-nations-foundation/

Hashtags

#COVID19Fund  #StopTheSpread  #COVID19
How To Give To The COVID-19 Solidarity Response Fund For WHO

The COVID-19 Solidarity Response Fund is a historic opportunity for everyone, everywhere to help support the World Health Organization’s lifesaving work to prevent, detect, and respond to the COVID-19 pandemic. To allow everyone an opportunity to give, we have created multiple fundraising platforms for the fund. Feel free to share these options with your users.

**Give Directly Online:** Anyone can give directly with a credit card through the online donation website for the COVID-19 Solidarity Response Fund.

**Facebook Fundraiser:** Facebook users can give directly within the Facebook platform and Facebook will match up to $10 million. 100% of the donations made through the platform will go to the COVID-19 Solidarity Response Fund through the United Nations Foundation.

**Google Fundraiser:** Donors can give through Google's donation platform. Google will give $2 for every $1 donated, up to $5 million. 100% of the donations made through the platform will go to the COVID-19 Solidarity Response Fund through the United Nations Foundation.

**Text to Give:** Customers of U.S. mobile carriers can give by text message.
- To give $25, text WHO25 to 501501.
- To give $50, text WHO50 to 501501.
  - Messaging rates may apply.

Donate by check or wire to the United Nations Foundation: Donors can give by sending a physical check or wire transfer to the United Nations Foundation.

To give via check, please mail donations to:
United Nations Foundation/COVID19 Fund
P.O. Box 96619
Washington DC, 20090-6619

To learn more about wire transfers, contact COVID19fund@unfoundation.org.

Donate by wire through the Swiss Philanthropy Foundation or any other Transnational Giving Europe network partner.

Donors in Europe may also be able to give via wire transfer through the Swiss Philanthropy Foundation or a partner in the Transnational Giving Europe network. For more information, please visit the Swiss Philanthropy Foundation COVID-19 Solidarity Response Fund website.

Resources

- Logo lockups
- Web banners for partners
- Public banners
- Share graphic templates
- Share graphics
- GIFs
- Videos
- Partner toolkit

Thank you

Questions? Email:
Sueann Tannis | stannis@unfoundation.org
Senior Communications Director, Digital Media

Daniel Laender | dlaender@unfoundation.org
Director of Design

Powered by United Nations Foundation in support of the WORLD HEALTH ORGANIZATION
## DECISIONS ON COVID-19 SOLIDARITY RESPONSE FUND ALLOCATIONS

<table>
<thead>
<tr>
<th>PURPOSE / ENTITY</th>
<th>AMOUNT IN US$</th>
<th>RATIONAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

Background, project themes SPRP linkages: Why payment is needed now:

Concrete outcomes: Reason for choice of implementing partner / unit:

Co-funding opportunities: Budget:

Continued on next page
Check towards attribution criteria:

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>FULFILLMENT</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full alignment of priorities with the SPRP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prioritization of most urgent public health needs and underfunded priorities</td>
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<tr>
<td>Compelling high-level Impact Statement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity of partner beneficiary or WHO unit to rapidly implement activities and report on implementation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Creating rapidly the narrative of needed preparedness, country level response, R&amp;D and essential commodities, which demonstrate to initial and future contributors the value proposition of the Fund</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chief Scientist priority validation (if research project)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attribution of funding over time to all regions and all elements of the SPRP in need of additional support.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complementarity of Fund contributions to other streams of funding from traditional contributors towards a full funding of the SPRP.</td>
<td></td>
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</tr>
<tr>
<td>Visibility plan (plan for regular illustrative narrative and communication on the use of funds in addition to the</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reinforcing alignment of implementing partners with the SPRP and contribution to the fundraising of the Fund.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monthly reporting on use of funding, with illustrative stories (in addition to the full implementation financial and technical reports after implementation).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## BENEFICIARY REPORTING REQUIREMENTS

<table>
<thead>
<tr>
<th>BENEFICIARY</th>
<th>REPORTING REQUIREMENTS AS NOTED IN FIDUCIARY LETTER/GRANT AGREEMENT ANNEX A</th>
<th>REPORTING REQUIREMENTS AS NOTED IN GRANT AGREEMENT ANNEX B</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEPI</td>
<td>We share a mutual understanding with CEPI that reporting on funds received by the UN Foundation and spent by CEPI will be provided by CEPI in the form of general progress and financial reporting against CEPI’s strategy for COVID-19 on an annual basis, aligned with the CEPI fiscal year. We also share a mutual understanding that CEPI will complement official reporting with a narrative of progress on at least a monthly basis, and ideally more frequently, to aid in further resource mobilization efforts of the Fund.</td>
<td>A final narrative and financial report are required no later than 60 days from the end of the grant term. The Grantee will also provide progress updates by email on a monthly basis. Please refer to the “Reporting Requirements” attached hereto as Exhibit B for reporting guidelines. In addition to the reports set forth in the Reporting Requirements, Grantee must submit intermittent updates of grant activities, providing a sense of what the organization is accomplishing with UNF’s grant.</td>
</tr>
<tr>
<td></td>
<td>Final Fund narrative and financial report due: 24 May 2021</td>
<td>EXHIBIT B REPORTING REQUIREMENTS UNF requires for our records an annual or final report within sixty (60) days from the end of the grant term, and interim reports as may be specified in a Grant Agreement. Each report must: i) describe in narrative fashion what was achieved with the grant funds; and ii) provide a full financial accounting of the grant funds.</td>
</tr>
</tbody>
</table>

### I. Narrative Report
- Each narrative report must, in five (5) pages or less, summarize how the grant funds were used and the results that were achieved. The report will be used by UNF staff to evaluate and provide an overview of your work to our Board of Directors. Please address the following topics in your report:
  - a. Please describe any notable accomplishments (updates on major meetings, achieved benchmarks, major gifts, etc.). For each accomplishment, please describe any activities that contributed substantially to these successes.
  - b. Address all challenges or obstacles that were experienced with respect to performance of the project during the reporting period. Were these challenges outlined in the original grant proposal? Describe how these challenges were addressed and if it is possible to prevent them from reoccurring.
  - c. Please describe the tangible results of the project. What did the project produce (e.g., print publications, scholarship)? If your grant was for operating support, please include how the accomplishments in (a) were supported with operating funds (e.g., staff salary, meeting expenses, supplies, conference costs, etc.). We would like to know the productive activities that are produced by supporting your operational infrastructure.
  - d. Please submit copies of significant reports, books, or media productions that stem from your efforts in connection with this grant.

### II. Financial Report
- Each financial report must be as detailed as possible and include the following: a. A line-item comparison of budgeted versus actual expenses as they relate specifically to this grant. b. A statement certifying that all grant funds were expended for the purposes of the grant. If the entire grant funds have not been expended, please explain the proposed usage of the unexpended amount. c. An explanation of any variance from the project budget submitted with your organization’s proposal.
### BENEFICIARY REPORTING REQUIREMENTS

<table>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>UNHCR</strong></td>
<td>We share a mutual understanding with the UNHCR that in accordance with the grant agreement between the UNHCR and UNF, reporting on funds received by UNF and spent by the UNHCR will be provided by the UNHCR in the form of general progress against the UNHCR’s strategy for COVID-19 and financial reporting based on UNHCR’s standard financial reporting practices, on an annual basis, aligned with the UNHCR’s fiscal year. We also share a mutual understanding that the UNHCR will complement official reporting with human interest stories and related communications content on the UNHCR’s COVID-19 response efforts on a monthly basis to aid in further resource mobilization efforts of the Fund. Full reporting (including full narrative and financial report) will be required annually as set forth in the Exhibit B of the grant agreement between the UNHCR and UNF.</td>
<td>A final narrative report covering the whole grant period and an interim financial report covering the expenses incurred up to 31 December 2020 are required no later than 30 June 2021. The Grantee will provide the final financial report certified by the Grantee’s authorized financial official by 31 March 2022. Please refer to the “Reporting Requirements” as outlined as Exhibit B for reporting guidelines.</td>
</tr>
<tr>
<td><strong>Grant agreement period:</strong></td>
<td>27 May 2020 – 23 Mar 2021</td>
<td>In addition to the reports set forth in the Reporting Requirements, Grantee must submit human interest stories and related communications content on the UNHCR’s COVID-19 response efforts by email on a monthly basis, providing a sense of what the organization is accomplishing with UNF’s grant. The content of these monthly updates will be agreed between UNF and the UNHCR jointly.</td>
</tr>
<tr>
<td><strong>Final narrative and interim financial report due:</strong></td>
<td>30 Jun 2021</td>
<td><strong>EXHIBIT B REPORTING REQUIREMENTS</strong></td>
</tr>
<tr>
<td><strong>Final financial report due:</strong></td>
<td>31 Mar 2022</td>
<td>I. Narrative Report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. Please describe any notable accomplishments (updates on major meetings, achieved benchmarks, major gifts, etc.). For each accomplishment, please describe any activities that contributed substantially to these successes.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Address all challenges or obstacles that were experienced with respect to performance of the project during the reporting period. Were these challenges outlined in the original grant proposal? Describe how these challenges were addressed and if it is possible to prevent them from reoccurring.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>c. Please describe the tangible results of the project. What did the project produce (e.g., print publications, scholarship)? If your grant was for operating support, please include how the accomplishments in (a) were supported with operating funds (e.g., staff salary, meeting expenses, supplies, conference costs, etc.). We would like to know the productive activities that are produced by supporting your operational infrastructure.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>d. Please submit copies of significant reports, books, or media productions that stem from your efforts in connection with this grant.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>II. Financial Report</td>
</tr>
<tr>
<td></td>
<td></td>
<td>a. First interim report certified by the authorized financial official as of 31 December 2020 on the receipt and expenditures incurred during the year 2020 of the grant funds. Such statements will be provided by 30 June 2021.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>b. Second and final report covering cumulative expenses for the entire period of agreement being 27 May 2020 to 23 March 2021 certified by the authorized financial official. This report will be provided by 31 March 2022.</td>
</tr>
<tr>
<td>BENEFICIARY</td>
<td>REPORTING REQUIREMENTS AS NOTED IN FIDUCIARY LETTER/GRANT AGREEMENT ANNEX A</td>
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</tr>
<tr>
<td>-------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>UNICEF</td>
<td>We share a mutual understanding with UNICEF that in accordance with the grant agreement between UNICEF and UNF, reporting on funds received by UNF and spent by UNICEF will be provided by UNICEF in the form of general progress and financial reporting against UNICEF’s strategy for COVID-19 on an annual basis, aligned with UNICEF fiscal year. We also share a mutual understanding that UNICEF will complement official reporting with human interest stories and related communications content on UNICEF’s COVID-19 response efforts by email on a monthly basis, providing a sense of what the organization is accomplishing with UNF’s grant. The content of these monthly updates will be agreed between UNF and UNICEF jointly.</td>
<td>A final narrative and interim (uncertified) financial report are required no later than 60 days from the end of the grant term. The Grantee will provide the final financial report certified by the Grantee’s Comptroller within 18 months after the end of the grant term. Please refer to the “Reporting Requirements” attached hereto as Exhibit B for reporting guidelines.</td>
</tr>
</tbody>
</table>

**UNICEF**  
Grant agreement period:  
14 Apr 2020 – 23 Mar 2021  
Final narrative and interim (uncertified) financial report due:  
24 May 2021  
Final certified financial report due:  
24 Oct 2022  

**EXHIBIT B REPORTING REQUIREMENTS**  
Each report must: i) describe in narrative fashion what was achieved with the grant funds; and ii) provide a full financial accounting of the grant funds.  

I. Narrative Report  
Each annual narrative report will be submitted within 60 days after the end of each year and must, in five (5) pages or less, summarize how the grant funds were used and the results that were achieved. The report will be used by UNF staff to evaluate and provide an overview of your work to our Board of Directors. Please address the following topics in your report:  

a. Please describe any notable accomplishments (updates on major meetings, achieved benchmarks, major gifts, etc.). For each accomplishment, please describe any activities that contributed substantially to these successes.  

b. Address all challenges or obstacles that were experienced with respect to performance of the project during the reporting period. Were these challenges outlined in the original grant proposal? Describe how these challenges were addressed and if it is possible to prevent them from reoccurring.  

c. Please describe the tangible results of the project. What did the project produce (e.g., print publications, scholarship)? If your grant was for operating support, please include how the accomplishments in (a) were supported with operating funds (e.g., staff salary, meeting expenses, supplies, conference costs, etc.). We would like to know the productive activities that are produced by supporting your operational infrastructure.  

d. Please submit copies of significant reports, books, or media productions that stem from your efforts in connection with this grant.  

II. Financial Report  
Each financial report will be prepared by UNICEF in accordance with its reporting standard and format and include the following: Annual interim certified statements as of 31 December on the receipt and expenditures on a cumulative basis of the grant funds. Such statements will be provided by 30 June of the following year.
<table>
<thead>
<tr>
<th>BENEFICIARY</th>
<th>REPORTING REQUIREMENTS AS NOTED IN FIDUCIARY LETTER/GRANT AGREEMENT ANNEX A</th>
<th>REPORTING REQUIREMENTS AS NOTED IN GRANT AGREEMENT ANNEX B</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNRWA</td>
<td>We share a mutual understanding with the UNRWA that in accordance with the grant agreement between the UNRWA and UNF, reporting on funds received by UNF and spent by the UNRWA will be provided by the UNRWA in the form of general progress against the UNRWA’s strategy for COVID-19 and financial reporting based on UNRWA’s standard financial reporting practices. This reporting will be on an annual basis as set forth in the grant agreement between the UNRWA and UNF, aligned with the UNRWA’s fiscal year. We also share a mutual understanding that the UNRWA will complement official reporting with human interest stories and related communications content on the UNRWA’s COVID-19 response efforts on a monthly basis to aid in further resource mobilization efforts of the Fund. Full reporting (including full narrative and financial report) will be required annually as set forth in the grant agreement between the UNRWA and UNF.</td>
<td>Annex B</td>
</tr>
</tbody>
</table>

I. Narrative Report

The annual narrative report will be submitted within 90 days after the end of the project year and must, in five (5) pages or less, summarize how the grant funds were used and the results that were achieved.

The report will be used by UNF staff to evaluate and provide an overview of the Grantee’s work to UNF’s Board of Directors. The Grantee is to address the following topics in the report:

a. Please describe any notable accomplishments (updates on major meetings, achieved benchmarks, major gifts, etc.). For each accomplishment, please describe any activities that contributed substantially to these successes.

b. Address all challenges or obstacles that were experienced with respect to performance of the project during the reporting period. Were these challenges outlined in the original grant proposal? Describe how these challenges were addressed and if it is possible to prevent them from reoccurring.

c. Please describe the tangible results of the project. What did the project produce (e.g., print publications, scholarship)? If your grant was for operating support, please include how the accomplishments in (a) were supported with operating funds (e.g., staff salary, meeting expenses, supplies, conference costs, etc.). We would like to know the productive activities that are produced by supporting your operational infrastructure.

d. Please submit copies of significant reports, books, or media productions that stem from your efforts in connection with this grant.

II. Financial Report

Each financial report will be prepared by the Grantee in accordance with its reporting standard and format and include the following:

First interim report certified by the authorized financial official as of 31 December 2020 on the receipt and expenditures incurred during the year 2020 of the grant funds. Such statements will be provided by 30 June 2021;

Second and final report covering cumulative expenses for the entire period of agreement being 9 July 2020 to 23 March 2021 certified by the authorized financial official. This report will be provided by 31 March 2022.
## BENEFICIARY REPORTING REQUIREMENTS

<table>
<thead>
<tr>
<th>BENEFICIARY</th>
<th>REPORTING REQUIREMENTS AS NOTED IN FIDUCIARY LETTER/GRANT AGREEMENT ANNEX A</th>
<th>REPORTING REQUIREMENTS AS NOTED IN GRANT AGREEMENT ANNEX B</th>
</tr>
</thead>
<tbody>
<tr>
<td>WFP</td>
<td>We share a mutual understanding with the WFP that in accordance with the grant agreement between the WFP and UNF reporting on funds received by UNF and spent by the WFP will be provided by the WFP in the form of general progress and financial reporting against the WFP’s strategy for COVID-19 on an annual basis, aligned with the WFP’s fiscal year. We also share a mutual understanding that the WFP will complement official reporting with human interest stories and related communications content on the WFP’s COVID-19 response efforts on a monthly basis to aid in further resource mobilization efforts of the Fund. Full reporting (including full narrative and financial report) will be required annually as set forth in the grant agreement between the WFP and UNF.</td>
<td>A final narrative and interim (uncertified) financial report are required no later than 60 days from the end of the grant term. The Grantee will provide the final financial report certified by the authorized official from Corporate Finance Division within 18 months after the end of the grant term. Please refer to the “Reporting Requirements” attached hereto as Exhibit B for reporting guidelines. In addition to the reports set forth in the Reporting Requirements, Grantee must submit human interest stories and related communications content on the WFP’s COVID-19 response efforts by email on a monthly basis, providing a sense of what the organization is accomplishing with UNF’s grant. The Parties endeavor to agree on the content of these monthly updates jointly.</td>
</tr>
</tbody>
</table>

### EXHIBIT B REPORTING REQUIREMENTS

#### I. Narrative Report

Each annual narrative report will be submitted within 60 days after the end of each year and must, in five (5) pages or less, summarize how the grant funds were used and the results that were achieved. The report will be used by UNF staff to evaluate and provide an overview of your work to our Board of Directors. Please address the following topics in your report:

- a. Please describe any notable accomplishments (updates on major meetings, achieved benchmarks, major gifts, etc.). For each accomplishment, please describe any activities that contributed substantially to these successes.

- b. Address all challenges or obstacles that were experienced with respect to performance of the project during the reporting period. Were these challenges outlined in the original grant proposal? Describe how these challenges were addressed and if it is possible to prevent them from reoccurring.

- c. Please describe the tangible results of the project. What did the project produce (e.g., print publications, scholarship)? If your grant was for operating support, please include how the accomplishments in (a) were supported with operating funds (e.g., staff salary, meeting expenses, supplies, conference costs, etc.). We would like to know the productive activities that are produced by supporting your operational infrastructure.

- d. Please submit copies of significant reports, books, or media productions that stem from your efforts in connection with this grant.

#### II. Financial Report

Each financial report will be prepared by the WFP in accordance with its reporting standard and format and include the following:

Annual interim report certified by authorized official from Corporate Finance Division as of 31 December on the receipt and expenditures on a cumulative basis of the grant funds. Such statements will be provided by June 30 of the following year.
## BENEFICIARY REPORTING REQUIREMENTS

<table>
<thead>
<tr>
<th>BENEFICIARY</th>
<th>REPORTING REQUIREMENTS AS NOTED IN FIDUCIARY LETTER/GRANT AGREEMENT ANNEX A</th>
<th>REPORTING REQUIREMENTS AS NOTED IN GRANT AGREEMENT ANNEX B</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHO</td>
<td>Reporting on funds spent will be provided by WHO in the form of general progress and financial reporting against the Strategic Preparedness and Response Plan for COVID-19 available at the following link.</td>
<td>The income and expenditure of the Fund shall be included in the WHO Financial Reports submitted to the World Health Assembly on an annual basis. Further reporting on the Fund will be provided on a yearly basis and posted on the WHO website.</td>
</tr>
</tbody>
</table>

Grant agreement period:
13 Mar 2020 – 13 Mar 2021
## Funding Authorization and Certification of Expenditure (FACE) and Technical Report of Outcomes

Date: __________________________  Country: __________________________

WHO Ref. __________________________  PO Number(s) __________________________

Responsible Officer: __________________________  Partner: __________________________

Currency: __________________________

<table>
<thead>
<tr>
<th>BUDGET LINE (CATEGORY OF EXPENDITURE)</th>
<th>TO BE FILLED IN BY PARTNER</th>
<th>TO BE FILLED IN BY WHO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized amount as per budget A</td>
<td>Actual Project Expenditure B</td>
<td>Diff. between authorized and actual C = A−B</td>
</tr>
<tr>
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<tr>
<td>TOTAL</td>
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</table>

Justification for variations to budget if any: ______________________________________

Continued on next page
FUNDING AUTHORIZATION AND CERTIFICATION OF EXPENDITURE (FACE) AND TECHNICAL REPORT OF OUTCOMES, CONTD.

TO BE FILLED IN BY WHO:

<table>
<thead>
<tr>
<th>1. TOTAL FUNDS RECEIVED FROM WHO (TO BE FILLED IN MANUALLY)</th>
<th>PARTNER TO REFUND TO WHO</th>
<th>BALANCE TO BE PAID TO IP BY WHO (MAX TOTAL IN COLUMN A ABOVE)</th>
</tr>
</thead>
</table>

2. TOTAL EXPENSES (COLUMN D ABOVE)

BALANCE REMAINING (1–2)

TECHNICAL REPORT SUMMARY TO BE FILLED IN BY PARTNER:

Summary of technical report including the description, duration and outcomes (i.e. results) from DFC activities. The summary should confirm that the outcomes as described in the approved project proposal have been achieved and should include reasons for under implementation if applicable.

__________________________________________________________

__________________________________________________________

__________________________________________________________

CERTIFICATION BY PARTNER:

The undersigned Programme Manager hereby certifies that:

- The actual expenditures reported above for the period stated herein have been disbursed in accordance with the approved project proposal and detailed budget for this DFC agreement. The supporting documents for these expenditures will be made available for examination, when required, for a period of five years from the date of the completion of the activity above. Any balance remaining from an activity will be refunded to WHO within three months of completion of the activity.

- The technical report and its summary above represent an accurate description of the activities undertaken, the results achieved and the duration of the DFC project, and that these activities are in conformity with the approved project proposal for this DFC.

DATE SUBMITTED __________________________________________

SIGNATURE _______________________________________________

NAME ___________________________________________________

TITLE ____________________________________________________

For WHO certification, please see overleaf
FOR WHO USE ONLY

CERTIFICATION BY WHO RESPONSIBLE TECHNICAL OFFICER:

I hereby certify that:

I have reviewed the final DFC technical report and have verified that the report is adequate to evidence that the activities were implemented according to the agreement and the approved budget, and that the agreed outputs were achieved.

☐ I or another responsible WHO staff member have conducted the assurance activities as described in the Justification Memorandum and did not identify any shortcoming in the implementation of the DFC funded activities (supporting documents are available for review).

☐ It was not possible to conduct assurances activities as described in the Justification Memorandum: Alternative checks were implemented, they include (please provide detail)

________________________________________________________________________________

________________________________________________________________________________

I did not identify any shortcoming In the implementation of the DFC funded activities (supporting documents are available for review).

I have reviewed the FACE report and confirm that it has been correctly filled out and duly certified by the Partner.

(Only if relevant) I have the following comments to add:

________________________________________________________________________________

________________________________________________________________________________

________________________________________________________________________________

CERTIFICATION BY WHO REPRESENTATIVE/HEAD OF OFFICE:

I hereby certify that I have reviewed the DFC technical report and the FACE report, and confirm that the activities were carried out, and the planned outputs achieved according to the agreement with the Partner and the DFC approved budget.

(Only if relevant) I have the following comments to add:

________________________________________________________________________________

________________________________________________________________________________

WHO REPRESENTATIVE / HEAD OF WHO OFFICE:

NAME ________________________________

SIGNATURE __________________________

DATE ________________________________

RESPONSIBLE TECHNICAL OFFICER:

NAME ________________________________

SIGNATURE __________________________

DATE ________________________________
COVID-19 SOLIDARITY RESPONSE FUND

www.covid19responsefund.org