Project Management

*Refresher workshop for partners*

11-12 March 2020
Yangon, Myanmar
## Agenda (morning)

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
<th>Organizer</th>
</tr>
</thead>
<tbody>
<tr>
<td>08:00 – 08:30</td>
<td>Registration</td>
<td></td>
</tr>
<tr>
<td>08:30 – 08:45</td>
<td>Introduction</td>
<td>MHF</td>
</tr>
<tr>
<td>08:45 – 10:15</td>
<td>Social Cohesion</td>
<td>Paung Sie Facility</td>
</tr>
<tr>
<td>10:15 – 10:30</td>
<td>Key messages</td>
<td>Paung Sie Facility / MHF</td>
</tr>
<tr>
<td>10:30 – 11:00</td>
<td>Tea / Coffee Break</td>
<td></td>
</tr>
<tr>
<td>11:00 – 12:00</td>
<td>Prevention &amp; Reporting on Sexual Exploitation and Abuse</td>
<td>PSEA Advisor</td>
</tr>
<tr>
<td>12:00 – 12:15</td>
<td>Key messages</td>
<td>PSEA Advisor / MHF</td>
</tr>
<tr>
<td>12:15 – 12:45</td>
<td>MHF Overview</td>
<td>MHF</td>
</tr>
<tr>
<td>12:45 – 13:30</td>
<td>Lunch</td>
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<tr>
<td>Time</td>
<td>Activity</td>
<td>Person</td>
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</tr>
<tr>
<td>13:30 – 14:00</td>
<td>Reporting, Monitoring and Project Revision (<strong>Group Work</strong>)</td>
<td>MHF</td>
</tr>
<tr>
<td>14:00 – 14:30</td>
<td>Reporting, Monitoring and Project Revision (<strong>Group Presentation and Plenary Discussion</strong>)</td>
<td>MHF</td>
</tr>
<tr>
<td>14:30 – 14:45</td>
<td>Key messages</td>
<td>MHF</td>
</tr>
<tr>
<td><strong>14:45 – 15:00</strong></td>
<td><strong>Tea / Coffee Break</strong></td>
<td></td>
</tr>
<tr>
<td>15:00 – 15:30</td>
<td>Financial Spot Check, Audit and Fraud Prevention &amp; Reporting (<strong>Group Work</strong>)</td>
<td>MHF</td>
</tr>
<tr>
<td>15:30 – 16:00</td>
<td>Financial Spot Check, Audit and Fraud Prevention &amp; Reporting (<strong>Group Presentation and Plenary Discussion</strong>)</td>
<td>MHF</td>
</tr>
<tr>
<td>16:00 – 16:15</td>
<td>Key messages</td>
<td>MHF</td>
</tr>
<tr>
<td>16:15 – 16:45</td>
<td>Other questions: Partner Performance Index; Age, Gender and Diversity; Environment; MHF Visibility</td>
<td>MHF</td>
</tr>
<tr>
<td><strong>16:45 – 17:00</strong></td>
<td><strong>Satisfaction Survey</strong></td>
<td></td>
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</tbody>
</table>
Prevention of Sexual Exploitation and Abuse

Key Messages

• Zero tolerance, extended to partners, sub-partners, contractors, consultants, vendors, etc.

• Appropriate policies and mechanisms in place to prevent and report any allegation or incident of SEA (review of due diligence)

• Immediate reporting on any alleged PSEA case.

• Mandatory Training on PSEA for all the partner staff and involved personnel in managing MHF funding.
## Prevention of Sexual Exploitation and Abuse

<table>
<thead>
<tr>
<th>Assessment Criteria</th>
<th>MHF Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the partner plans to sub-contract activities to another entity, the partner has the necessary reporting and monitoring mechanisms in place to prevent and respond to allegations and incidents of sexual exploitation and abuse (SEA).</td>
<td>Request the partner to describe reporting and monitoring mechanisms in place.</td>
</tr>
<tr>
<td>The partner has properly screened staff for involvement or alleged involvement in SEA or violations of human rights.</td>
<td>Confirm that reference and background checks for partner personnel have been completed.</td>
</tr>
<tr>
<td>The partner has reporting procedures in place for SEA allegations for employees, contractors/sub-implementing partners and beneficiaries.</td>
<td>Request and review partner's reporting procedure.</td>
</tr>
<tr>
<td>The partner is informed of the UN zero tolerance policy on SEA, and related UN agency, funds and programme policies on SEA.</td>
<td>Confirm in writing that the partner is informed of the UN zero tolerance policy on SEA, and related UN agency, funds and programmes policies on SEA.</td>
</tr>
<tr>
<td>The partner's staff who are working on MHF funded projects have completed SEA training, or equivalent.</td>
<td>Confirm that the partner has completed a SEA training, or equivalent.</td>
</tr>
<tr>
<td>The partner has dealt appropriately with any past SEA allegations.</td>
<td>Request the partner to describe any past allegations and outcomes.</td>
</tr>
</tbody>
</table>
MHF Overview
TOTAL FUNDING (US$)

$16.6 M

$0.7 million allocated to MHF management, project audits and programme support costs

MHF 97% allocated

$15.5 M

UN 2%

INGO 47%

NNGO 51%

40 Projects

allocated to:

to 25 direct partners
and 34 sub-partners

21 projects are multisectoral

* Allocated funds by type of partners include direct funding and indirect funding received as sub-implementing partner
2019 Allocations (target)
$32.16 million
15 per cent of the HRP requirements for 2019 ($214.2 million)

$16.6M
CONTRIBUTIONS
52% of expected target

Timeline of MHF allocations in 2019 (US$)

2019

$1.5 M**
1st Reserve allocation to respond to new displacement in Rakhine State
May

$7.9 M
1st Standard allocation against the 2019 Humanitarian Response Plan (HRP) in Chin, Rakhine, Kachin, Shan and south-east
July

$6.1 M
2nd Standard allocation against the 2019 Humanitarian Response Plan
November

**Under a larger Integrated Allocation Strategy, jointly with the Central Emergency Response Fund (CERF)
Integrated Allocation Strategy

United Nations CERF | Central Emergency Response Fund
MHF | Myanmar Humanitarian Fund

Integrated life-saving support to 35,000 displaced people and host communities members in Rakhine State

5 million

United Nations CERF
$3.5 million

MHF
$1.5 million
# OF PEOPLE TARGETED

629,000

- Female: 334,000
  - Women: 191,000
  - Girls: 143,000

- Male: 295,000
  - Men: 162,000
  - Boys: 133,000

Geographic coverage of funding

- Kachin: 45%
- Rakhine: 36%
- Shan: 12%
- South-east: 5%
- Chin: 2%
<table>
<thead>
<tr>
<th>Sector/Cluster</th>
<th>Funds (in million US$)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CCCM/Shelter/NFIs</td>
<td>3</td>
</tr>
<tr>
<td>Health</td>
<td>2.8</td>
</tr>
<tr>
<td>Protection</td>
<td>2.8</td>
</tr>
<tr>
<td>Education</td>
<td>2</td>
</tr>
<tr>
<td>Food Security</td>
<td>2</td>
</tr>
<tr>
<td>WASH</td>
<td>1.9</td>
</tr>
<tr>
<td>Nutrition</td>
<td>1</td>
</tr>
</tbody>
</table>
Funds allocated
$15.5 million

- 2 standard allocation: $14 million
  Chin, Kachin, Kayin, Rakhine, Shan
- 1 reserve allocation: $1.5 million
  New displacement in Rakhine

OCHA-managed pooled funds
$19 million

1 rapid response grant: $3.5 million
New displacement in Rakhine

2019 HRP funding
10.2%
Contributions by donor in 2019 (in million US$)

- USA: 4.5
- Australia: 3.5
- UK: 3.2
- Germany: 1.7
- New Zealand: 1.0
- Switzerland: 0.8
- Sweden: 0.7
- Canada: 0.7
- Luxembourg: 0.4

Total contributions: $16.6 M
ABOUT THE FUND: STRATEGIC ADDED VALUE

- Enhanced coordination and participation
- Expanded donor base (9 donors in 2019)
- Evidence-based approach
- Client-oriented
- Localization: funding to local actors, inclusiveness, capacity building
- Age, gender and diversity approach, including disability
- Complementarity with global pooled funds (CERF) and multi- and bilateral donors in country
- Risk management, including anti-fraud and prevention of sexual exploitation and abuse
• **Integrated allocation strategies** (CERF-MHF), including joint monitoring and after-action review exercises

• Supporting **mapping of emergency sources of funding** in case of new emergencies, in collaboration with HARP Facility (UK/DFID), ECHO and USAID

• Establishment of an **Efficiency Task Force** to reduce paperwork (regarding budget preparation and revision requests) and simplify processes, when and where possible.

• Direct engagement with **local networks and local actors** to ensure inclusiveness and information sharing.

• Engagement with key partners to support **thematic areas**.
MARCH 2019
Disability Inclusion
Project Management
110 participants
English/Myanmar language
Yangon

MARCH-APRIL 2019
Awareness Sessions
50 participants
Myanmar language
Lashio, Myitkyina, Sittwe

MAY & NOVEMBER 2019
Project Design
144 participants
English/Myanmar language
Yangon
APRIL & NOVEMBER 2019
Coordination Meetings
14 projects + 9 projects
16 organizations + 9 organizations
Sittwe

APRIL-MAY 2019
Integrated Allocation Strategy
for new displacement in
Rakhine (CERF-MHF)
9 projects, 9 organizations

SEPTEMBER 2019
Interim Report / Coordination Meeting

JUNE & NOVEMBER 2019
Standards Allocations
7 clusters and sectors
37 projects
25 organizations
MHF: FIELD VISITS / MONITORING

FEBRUARY & NOVEMBER 2019
Joint Monitoring Visit (CERF-MHF)
OCHA, Clusters, MRCS, Donors
Kayin, Mon (2018 Floods)
Rakhine (2019 New Displacement)

FEBRUARY 2019
Donor Field Visit
Sweden/SIDA
Kachin

JANUARY-DECEMBER 2019
Monitoring Missions
14 monitoring missions
(3 including donors)
31 projects monitored (field visit and financial spot check)
9 remote call monitoring
Rakhine, Kachin, Shan, Kayin, Mon
2020 MHF Strategy: Key Elements

Operating principles

Age, gender and diversity

Localization

Crisis-affected people

Efficiency

Strategic priorities

‘New way of working’
Severity of needs
Principled action
Existing capacity
Informed strategy
Do no harm
Conflict-sensitivity

Cash-based
Localization
Consortia
Multi-sector
Accountability
Flexibility
Nexus
MHF: 2020 Allocations Timeline
(subject to the timely receipt of donor contributions)

2020 Allocations (target)
$27.8 million
15 per cent of the actual HRP funding for 2019 ($185.6 million)

• First Standard Allocation: May-June 2020
  50% of expected contributions

• Second Standard Allocation: September-October 2020
  30% of expected contributions

• Reserve Allocations: any time during the year
  20% of expected contributions

MHF Project Cycle
Eligible NGO Partners

• Only active NGOs which have completed the *due diligence* process through the online Grant Management System (GMS), have undergone the *capacity assessment* process

• Active *participation* in the humanitarian coordination system at sub-national level, including the sectoral coordination.

• A *consortium* approach with several partners working in cooperation is encouraged

• Organizations that have not yet completed MHF eligibility process can be *sub-implementing partners* to an eligible organization.
As per call-for-proposal

Based on actual analysis of funding status (contributions and gaps), sector priority needs and real-time context

- **Standard Allocation**
  - Underfunded HRP needs

- **Reserve Allocation**
  - New emergency situations
MHF Project Cycle

Key steps

**Allocation**
- Prioritization
- Launch of Allocation Strategy Paper
- Submission of project proposal
- Strategic review
- Technical and financial review

**Project Closure**
- Final financial and narrative report
- Refund process
- Audit report
- After action review

**Implementation**
- Progress Narrative Report
- Interim Financial Report
- Project revision request
- Field monitoring visit
- Financial spot check
- Fraud & Incident Reporting

Involving cluster / sector members and coordinators at sub-national level
Reporting

Monitoring

Project Revision
Group Work

20 minutes following guiding questions

Presentation

5 minutes per group
(Challenges, lessons learned and move forward)

Plenary discussion

15 minutes including key messages
The reporting performance will feed into the Performance Index which in turn will impact the partner’s risk level.

**Reporting**

**Key Messages**

- Respect timelines as per the Grant Agreement (Annex B): one month for interim, two month for final reports.
- Report on GMS only
- Update assets and equipment list, including handover certificate and handover request to OCHA for not used / not distributed items.
- Read explanatory notes before complete narrative reports (next to each title)
- Include explanation of budget variance in ‘comment boxes’ next to each concerned budget line.
- Signature of financial reports (both cover page and financial report).
- For additional disbursement, click “include disbursement request”
The monitoring performance will feed into the Performance Index which in turn will impact the partner’s risk level.

**Monitoring**

**Key Messages**

- Project management oversight, including compliance by sub-implementing partners
- Regular monitoring of project work plan, budget
- Timely communication of any challenges
- Effective feedback and complaints mechanisms
- Coordination with other humanitarian actors
- Community mobilization and participation
Project Revision

• **Formal request** through GMS but **without** amendment of Grant Agreement:
  - Location, unless the entire project area has been changed.
  - Beneficiaries, unless this changes the nature of the project.
  - Activities, unless this changes the project objective and key result.

• **Formal request** through GMS **with** amendment of Grant Agreement:
  - Project budget exceeding the 15% tolerance allowed for each budget category.
  - Budget revision of category 1 “Staff and other personnel costs”
  - Addition of a new budget line
  - Duration of the project, including no-cost extension
  - Banking information relevant to the project
  - Any other changes that have financial or legal implications and are part of the Grant Agreement
The partner performance during the revision process will feed into the Performance Index which in turn will impact the partner’s risk level.

**Project Revision**

**Key Messages**

- Read and understand specific guidelines
- Respect timing (not later than 30 days prior the end of the project)
- Contact by writing and request advice to OCHA (anytime)
- Request submitted through GMS with clear and strong justification.
- Endorsement by clusters / sectors are mandatory
- Revisions are approved case-by-case (not immediately granted)
Tea / Coffee Break

Only 15 minutes
Thank you 😊
Financial Spot Check
Audit
Fraud Prevention & Reporting
Group Work

20 minutes following guiding questions

Presentation

5 minutes per group
(Challenges, lessons learned and move forward)

Plenary discussion

15 minutes including key messages
Financial Spot Check

Key Messages

- Sufficient Standard Operating Procedures and financial manuals signed by all relevant authorities.
- Project financial documents and relevant supporting are well recorded, filed and saved in safe locations at the finance department.
- Backup strategy on all financial documents.
- Accurate, simple financial information system with segregated roles and approval levels.
- Segregated bank account for OCHA fund and relevant transactions (expenditures).
- Budget Vs. Actual (Burn rates & pipeline management)
- Proper coordination between Program and Finance departments.

The monitoring performance will feed into the Performance Index which in turn will impact the partner’s risk level.
Audit

Key Messages

• Oversight that any budget deviation follows MHF guidelines
• Respect the segregation of duties
• Report any case of fraud or misappropriation of cash
• Ensure appropriate account head in payment vouchers
• Verify the final financial report before final submission
• Record supporting documents for implemented activities and any evidence for handing over of work done, including documents related to expenditures, vehicle movement log sheets, allocation plans, receipts, invoices, delivery notes, etc.
• Record of distribution list to beneficiary / individual acknowledgement of receipt
• Respect implementation period
• Ensure source of funding is included in certificates / payment voucher

The audit performance will feed into the Performance Index which in turn will impact the partner’s risk level
Fraud Reporting

Key Messages

• The United Nations has a **zero tolerance** for fraud policy.

• Writing self-reporting is **mandatory, as soon as they occur**, whenever there is a credible indication.

• Regarding possible fraud, corruption, misuse of funds or other incidents related to MHF projects (theft by third parties, diversion of humanitarian aid by a third party, looting of offices or warehouses, or loss of documents.

• OCHA may trigger an investigation after a consultative process (HQ and Country Office) while keeping the HC informed. OCHA may apply conservative measures (e.g. suspension) to partners that are being investigated.

• Information sharing and communication should be handled on a **confidential** basis.

**Resource documents:**
USAID Fraud prevention and compliance handbook
MHF Incident Report Form
Partner Performance Index
# Partner Performance Index

<table>
<thead>
<tr>
<th>Performance Index Categories (1-6)</th>
<th>Category weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Quality of project document and timeliness of response: How do you assess the quality of the proposals and the timeliness of the response on comments made?</td>
<td>10%</td>
</tr>
<tr>
<td>2. Implementation status (Monitoring and Financial Spot-check findings): What is your overall assessment of the project implementation (quality and timeliness) against approved targets and timeframe? (In case of Financial Spot-check - what is your overall assessment of the soundness of the internal controls and the accuracy of the financial records?)</td>
<td>25%</td>
</tr>
<tr>
<td>4. Revision request/s: How do you assess the timeliness, frequency and justification of the project revision?</td>
<td>10%</td>
</tr>
<tr>
<td>6. Audit findings: How do you assess the audit findings?</td>
<td>20%</td>
</tr>
</tbody>
</table>

The scores assigned to each project on the above categories will be summarized in a Partner Performance Index (PPI) as follows:

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Risk Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 49.99</td>
<td>Very poor performance</td>
<td>Ineligible</td>
</tr>
<tr>
<td>50.00 - 59.99</td>
<td>Poor performance</td>
<td>High</td>
</tr>
<tr>
<td>60.00 - 69.99</td>
<td>Below average performance</td>
<td>High</td>
</tr>
<tr>
<td>70.00 - 79.99</td>
<td>Average performance</td>
<td>Medium</td>
</tr>
<tr>
<td>80 - 89.99</td>
<td>Above average performance</td>
<td>Medium</td>
</tr>
<tr>
<td>90 - 94.99</td>
<td>Good performance</td>
<td>Low</td>
</tr>
<tr>
<td>95 - 100.00</td>
<td>Outstanding performance</td>
<td>Low</td>
</tr>
</tbody>
</table>
# Partner Performance Index

### Weighting of Capacity Assessment (CA) and Performance Index (PI) to determine Performance Rating and Risk Level

The weighting of projects is adjusted as a partner completes more projects in order to give increasing weight to the performance on the most recent projects.

<table>
<thead>
<tr>
<th>Number of Projects</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Weight</strong></td>
<td>P1</td>
<td>P2</td>
<td>P3</td>
<td>P4</td>
<td>P5</td>
<td>P6</td>
</tr>
<tr>
<td>CA</td>
<td>40%</td>
<td>40%</td>
<td>40%</td>
<td>35%</td>
<td>35%</td>
<td>35%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Notes**
- PI is the Performance Index score per project.
- The principle is that the most recent project is the greatest indicator of competency and so the most recent projects will have more weight for the combined score.
- PI 1 is the most recent performance score that is determined by the last and most recent project that is scored.
- If the overall score as calculated above passes the threshold below, HFU will be prompted to change of risk level the partner.
Other Questions
Protection Mainstreaming

Key Messages

• Four elements:
  • Prioritize safety & dignity, and avoid causing harm
  • Meaningful access
  • Accountability
  • Participation and empowerment

• Age, gender and diversity approach is imbedded in all the MHF project cycle (elaboration of the strategy, the selection of the project proposals, project revision, implementation, reporting, monitoring, etc.)
Gender in Humanitarian Action

Key Messages

• Age, gender and diversity approach is imbedded in all the MHF / HARP-F project cycle (elaboration of the strategy, the selection of the project proposals, project revision, implementation, reporting, monitoring, etc.)

• Using Gender with Age Marker will be required for MHF and partner projects applying for funds in 2019.
Disability Inclusion in Humanitarian Action

Key Messages

• Continuous awareness raising through a multi-stakeholder approach

• Increasing capacity building to enhance the effective inclusion and participation of persons with disabilities and their representative organizations across the MHF project cycle: elaboration of the strategy, the selection of the project proposals, project revision, implementation, reporting, monitoring, etc.

• Reinforcing disability-disaggregated data collection and analysis

• Using Washington Group Questionnaire to identify people with a disability is recommended for MHF and partner projects applying for funds in 2019.
Environment in Humanitarian Action

Key Messages

• “Do No Harm” to the environment and crisis affected people

• Develop an environmental mitigation and management plan

• Build back safer

• Be solution-oriented

• Emphasize the use of local knowledge, consult with communities

• Include follow-up of environmental activities in monitoring and reporting processes
• No mandatory, but important when possible (visual to be provided by HFU).

• Conflict sensitivity will be taken into consideration prior the use of MHF visibility.

• Success stories with visual supporting documents disseminated to MHF Advisory Board and social media with appropriate consent of the affected population, particularly to meet child protection requirements.
MHF Visibility – Success Stories

Text requirements
• Focus on one specific topic
• Explain how the community changed after project activities implementation
• Voices of affected people regarding their difficulties and struggles, etc.
• A quote from one of the beneficiaries or sub-implementing partner (CSOs) explaining the impact of the activities, constraints and challenges
• Approval from the people in the story

Photo requirements
• Original size with resolution not less than 1MB
• Caption for the photos
• Credit to photographer
• Approval from the concerned persons
• Approval from parents if the photos are of children
MHF Stakeholders with insufficiently addressed concerns or complaints regarding MHF processes or decisions can at any point in time send an email to MHFComplaints@un.org.

Complaints will be compiled, reviewed and raised to the HC, who will then take a decision on necessary action(s). The HC will share with the Advisory Board any such concerns or complaints and actions taken thereof.
About the MHF

The Myanmar Humanitarian Fund (MHF) is an OCHA-managed country-based pooled funding mechanism which enables the Humanitarian Coordinator (HC) to provide an emergency response and timely assistance to urgent or chronic humanitarian needs of people affected by natural disaster or conflict. Prior to 2015, the MHF was known as the Myanmar Emergency Response Fund (ERF). Up to 2013, the Fund was known as the Humanitarian Multi-Stakeholder Fund (HMSF).
The Myanmar Humanitarian Fund is a multi-donor country-based pooled fund that supports humanitarian response for people in need of life-saving assistance.
Satisfaction Survey

Only 5 minutes
Thank you 😊
Questions & Answers

Humanitarian Financing Unit
OCHA Myanmar

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