



Myanmar Humanitarian Fund

Project Proposal Design Training

Agenda

1. MHF Overview
2. Eligibility
3. Grant Management System
4. MHF Programme Cycle
5. MHF Feedback & Complaints Mechanism
6. MHF Visibility

What is the MHF?

MHF is an OCHA-managed **country-based pooled fund** led by the Humanitarian Coordinator to provide emergency response to urgent needs of people affected by natural disasters or conflict.

Projects must be aligned with sector priorities outlined in the **Humanitarian Response Plan**.

MHF **complements** allocations at the global level through the Central Emergency Response Fund (CERF)

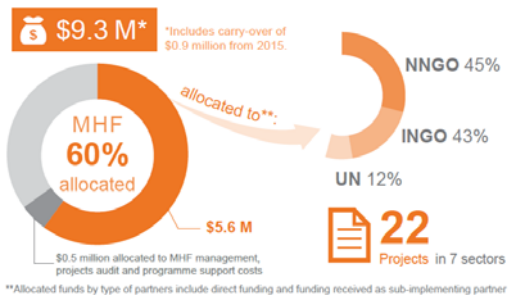
MHF is open to UN and NGO partners, but prioritizes support to **national NGOs** there where access and operational capacity are demonstrated.

MHF Governance and Management

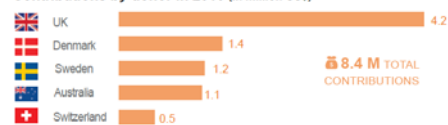


MHF: 2016 Overview

TOTAL FUNDING (US\$)



Contributions by donor in 2016 (in million US\$)

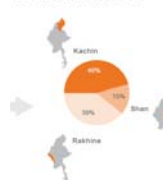


OF PEOPLE TARGETED

185,300



Funding by geographic area

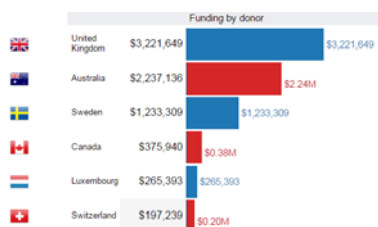


MHF: 2017 Overview



\$7.5 million received + **\$3.3** million 2016 carry over

\$4.72M Paid amount
\$2.61M Pledged amount



MHF: 2017 Overview



First Reserve Allocation March 2017

\$2.7 million allocated



First Standard Allocation June-July 2017

\$6 million (expected to be allocated)

Who is eligible for MHF support?

UN Agencies

National NGOs (after capacity assessment)

International NGOS (after capacity assessment)

To be eligible, NGOs must additionally fulfill due diligence requirements, demonstrate operational capacity, and have experience managing donor-funded projects of similar size.

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.

How can partner be eligible to the Fund

Through Grant Management System

<http://cbpf.unocha.org>

- On-line management tool for MHF programme cycle:
 - ✓ Registration
 - ✓ Application for eligibility: *due diligence and capacity assessment*
 - ✓ Application for funding: *proposal submission → review → agreement → reporting → final audit*

Due Diligence Application

- Part of Risk / Capacity Assessment
- Information in GMS needed to create Grant Agreements
- USD Banking details for disbursements
- Contact details
- Basic organisation information (*MOU, Organogram, donors summary*)
- Organisation experience in country
- Signed Standard Declarations
- Key documents

Capacity Assessment

- Mission and Vision statement;
- Myanmar Annual reports (2014 to 2016);
- Myanmar Annual financial statements (3 years);
- Myanmar work plan/budgets (2015 and/or 2016);
- External audit reports (2014 to 2016);
- Example of project narrative report;
- Name of implementing partners (if applicable);
- Capacity Assessments of Implementing Partners (if applicable);
- Reference contacts and/or letters from donors or sub-implementing partners involved with your organization;
- Reports from Internal and/or External Evaluators (2015 and/or 2016); and
- Policies and Manual, including Procurement policy, Human Resource policy, Finance/Administration policy and Security/Safety policy and Code of Conduct.

Operational Modalities

1. Type of implementing partner (UN agency, NGO).
2. Partner risk level (in the case of NGOs).
3. Value of the project.
4. Duration of the project.

Risk level	Project duration (months)	Project value (thousand USD)	Maximum amount per project (thousand USD)	Disbursements (in % of total)	Financial reporting		Narrative reporting		Monitoring		Audit
					For disbursements 31 January	Final	Progress	Final	Field visit*	Financial spot check	
H	Less than 7	≤ 250	500	60-40	Yes	Yes	1 (mod)	Yes	1	1	Yes
		> 250			Yes	Yes	1 (mod)	Yes	1	1	
	Between 7-12	≤ 250	750	40-30-30	Yes	Yes	1 (mod)	Yes	1	1	
		> 250			Yes	Yes	2	Yes	2	1	
M	Less than 7	≤ 250	750	100	Yes	Yes	1 (mod)	Yes	1	1	
		> 250			Yes	Yes	1 (mod)	Yes	1	1	
	Between 7-12	≤ 250	1,500	60-40	Yes	Yes	1 (mod)	Yes	1	1	
		> 250			Yes	Yes	1 (mod)	Yes	1	1	
L	Less than 7	≤ 400	100	100	Yes	Yes	No	Yes	-	-	
		> 400			Yes	Yes	No	Yes	-	-	
	Between 7-12	≤ 400	100	80-20	Yes	Yes	1 (mod)	Yes	1	1 / IP	
		> 400			Yes	Yes	1 (mod)	Yes	1	1 / IP	

When can apply

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 Programme Cycle

Key steps

1. Allocation



- Submission of project proposal
- Strategic review
- Technical review

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



2. Implementation

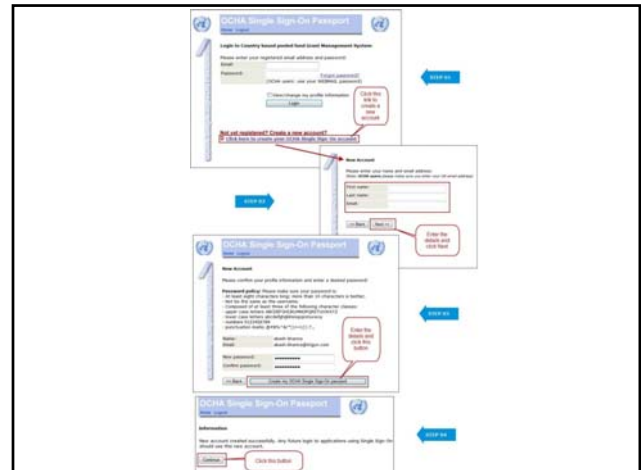
- Interim Reporting
- Modification request
- Field monitoring visit, including financial spot check

3. Project Closure



- Final financial and narrative report
- Audit
- After action review

Grant Management System cbpf.unocha.org

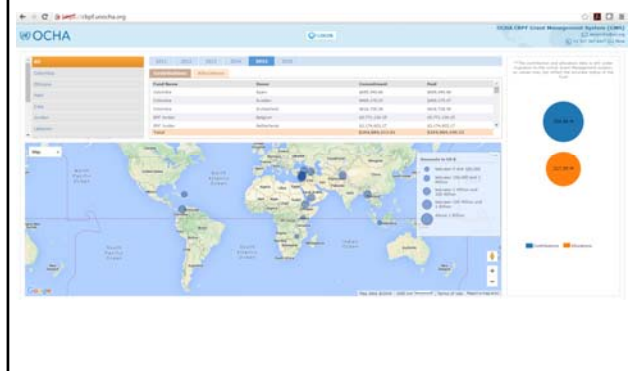


Due Diligence Application

- Go to <http://cbpf.unocha.org/>
- Log in to GMS
- Land on Home page for Myanmar Humanitarian Fund (MHF)

GMS Project Submission (1)

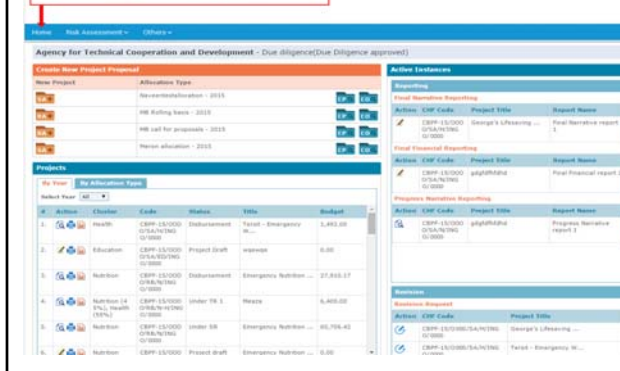
(cbpf.unocha.org)



GMS Project Submission (2)

Click on SA button to create a new Standard Allocation Project Proposal

* Please note to create a new Reserve Allocation Project Proposal, click on the RA button.



GMS Project Submission (3)

How do I fill out a Project Proposal?

1. Once an Implementing Partner has click on 'Create a New Project' on the Home Page, they will be led to the following 'Creation of Project Proposal' window. Fill out the Project Details as entitled and note that fields with an asterisk (*) are required fields.

CREATION OF PROJECT PROPOSAL

OCHA

Form Name: Turkey HRP
Rule: Humanitarian Financing Unit (HPU)

Home Allocations Standalone Project Contributions Risk Assessment System Setup Reports Others

Create Project

Requesting Organisation*
Allocation Type*
Project Title*
Cluster*
Is multi-cluster project?
Project duration*
Planned start date*
Planned end date*

Primary Cluster
Sub cluster
Select
All
Select
Planned start date
Planned end date

Create project

GMS Project Submission (4)

2. Next, depending on whether it is a project proposal you are submitting or a concept note, the following module should appear. In step number 3, a chart has been provided to show what information is needed for project proposals within each of these tabs, versus what is required for concept notes.

[Project draft]

Save & Stop Save & Edit Project

Current Stage: Background Logical Framework Work Plan M & E Details Other Info Budget Locations Resources Project Tracking

This section cannot be edited. For any changes, please contact administrator - CBPF FCB (cbpf@unocha.org) (Maysa Haffez)

Requesting Organisation: ATD (Agency for Technical Cooperation and Development)
Allocation Type: Humanitarian

Project Title: [Blank]
GPE Code: [Blank]
Planned project duration: 2 months
Planned start date: 11/01/2018
Planned end date: 10/01/2018

Primary Cluster: [Blank]
Sub Cluster: [Blank]
Allocation Type Category: [Blank]
Project Budget in US\$: [Blank]
Internal (Operational autonomy): CBPF-15/0000/SA/00/0000/0000
Planned start date: 11/01/2018
Planned end date: 10/01/2018

Project Beneficiaries:

Direct beneficiaries	Men	Women	Boys	Girls	Total
Enter					

Total beneficiaries include the following:

Enter

GMS Project Submission (5)

Background

SECTION IV: BACKGROUND - Field Description

[Implementation & Reporting]

Save & Stop Save & Confirm

Project Overview

Reporting Organization	UNEP	Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region
Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region	Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS
Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS	Project Status	On Hold
Project Start Date	01/01/2014	Project End Date	31/12/2014

Project Created By: test@unep.org on 22/06/2014 11:00:00 AM

Project Description

1. Identification context analysis

2. Needs assessment

3. Description of Beneficiaries

4. Grant Request Justification

5. Complementarity

GMS Project Submission (6)

Logical Framework

SECTION IV: LOGICAL FRAMEWORK - Field Description

[Implementation & Reporting]

Save & Stop Save & Confirm

Project Overview

Reporting Organization	UNEP	Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region
Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region	Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS
Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS	Project Status	On Hold
Project Start Date	01/01/2014	Project End Date	31/12/2014

Project Created By: test@unep.org on 22/06/2014 11:00:00 AM

Project Description

1. Identification context analysis

2. Needs assessment

3. Description of Beneficiaries

4. Grant Request Justification

5. Complementarity

GMS Project Submission (7)

Work Plan

SECTION IV: WORK PLAN

[Implementation & Reporting]

Save & Stop Save & Confirm

Project Overview

Reporting Organization	UNEP	Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region
Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region	Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS
Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS	Project Status	On Hold
Project Start Date	01/01/2014	Project End Date	31/12/2014

Project Created By: test@unep.org on 22/06/2014 11:00:00 AM

Project Description

1. Identification context analysis

2. Needs assessment

3. Description of Beneficiaries

4. Grant Request Justification

5. Complementarity

GMS Project Submission (8)

Monitoring and Reporting

SECTION IV: MONITORING AND REPORTING

[Implementation & Reporting]

Save & Stop Save & Confirm

Project Overview

Reporting Organization	UNEP	Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region
Project Title	Emergency Response for natural disaster affected population in Pacific provinces, Pacific Region	Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS
Project Code	EMERGENCY-SHELTER AND NON-FOOD ITEMS	Project Status	On Hold
Project Start Date	01/01/2014	Project End Date	31/12/2014

Project Created By: test@unep.org on 22/06/2014 11:00:00 AM

Project Description

1. Identification context analysis

2. Needs assessment

3. Description of Beneficiaries

4. Grant Request Justification

5. Complementarity

GMS Project Submission (9)

Protection Mainstreaming

Four (4) elements

1. Prioritize safety & dignity, and avoid causing harm
2. Meaningful access
3. Accountability
4. Participation & Empowerment

Shared responsibility
Avoid and minimize risk
Maximize impact

<http://www.globalprotectioncluster.org/en/areas-of-responsibility/protection-mainstreaming.html>

Tips for proposal preparation

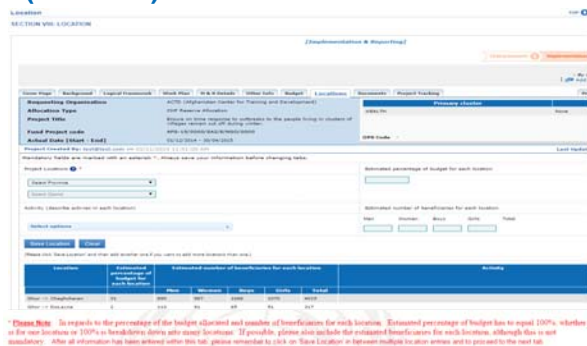
- Ensure **alignment** with the call-for-proposals;
- **Coherence** and **consistency** within the proposal and between proposal and budget are crucial;
- **Gender mainstreaming/equality** is mandatory requirement and GM identification must be well justified;
- Indicators should be **SMART**. Every output should have **one standard indicator**, NOT for the sake of system requirement;
- Ensure describing **meaningful activities** rather than dumping every action as activities;
- Consideration/integration of **cross-cutting issues** like protection in the proposed intervention;
- **Monitoring mechanism** is well elaborated;
- Cash programming is encouraged but required to demonstrate **evidence based analysis of feasibility**;

GMS Project Submission (10)

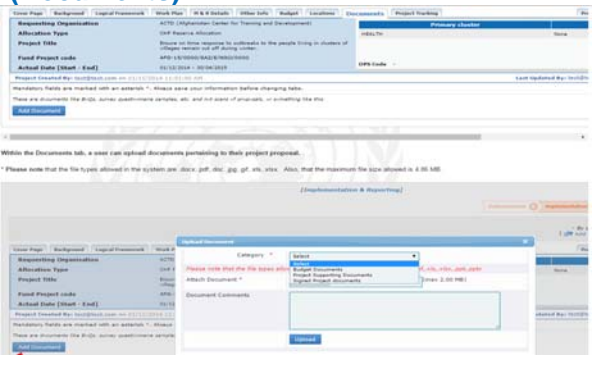
Quick tips for budget preparation

- **Digest** - eligible and ineligible costs, direct and support costs, shared costs, itemization of budget lines;
- Provide:
 - **correct and fair** budget breakdown
 - **clearly explained** budget narrative
 - **correct categorizing** of budget lines
 - **well justified** shared costs
 - **harmonized** cost within sector/region
- Avoid:
 - Budgeting ineligible costs
 - Double charging PSC cost in partner and sub-partner's budget (max. 7%)

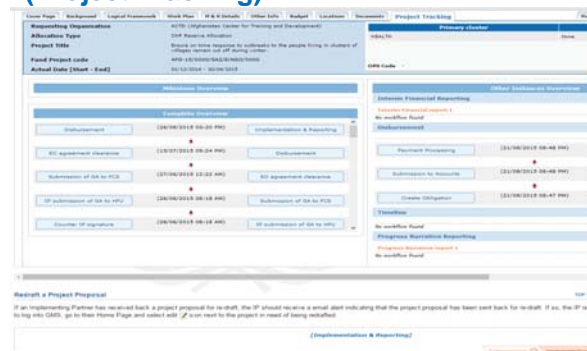
GMS Project Submission (11) (Location)



GMS Project Submission (12) (Documents)



GMS Project Submission (13) (Project Tracking)



GMS Project Submission (14)

Virtual Reality

When you are done filling out your Project Proposal, press Submit

Save & Stop Save & Exit Project

Project Created By: [Name] Date: [Date]

Control Panel: Background Logical Framework Stock Plan W & M Details Other Info Budget Location Documents Project Tracking

This section cannot be edited. For any changes, please contact the Regional Director.

Responsible Organization: ACP (United Nations for the Caribbean)

Allocation Type: [Dropdown]

Project Title: [Text]

Planned project duration: [Text]

Project start date: [Text]

Project end date: [Text]

Project Summary: [Text]

Project Beneficiaries: [Text]

Are you sure to "Submit Project Proposal"? [Yes/No]

Comments for project in "Project Draft": [Text]

Status Changed From: [Text]

For feedback, contact: [Text]

View Previous Comments: [Text]

Direct beneficiaries: [Text]

Total beneficiaries include the following: [Text]

Grant Management System (gms.unocha.org)



Grant Management System Support (gms.unocha.org/support)

OCHA GRANT MANAGEMENT SYSTEM (GMS)

GMS Help Portal

The GMS Help Portal has been designed to assist users with any questions or issues they may have with the GMS system.

Test Type: [Text]

Search: [Text]

Support Desk

Reference	First Name	Contact Info
AC CBPF GMS	John Karamba De Camille	john.karamba@unocha.org +1 917 367 8317

CBPF Grant Management System Administration

MHF Project Selection Workflow



Strategic Review and Preliminary Approval

	Activity	Responsible	Timeline
1	General check by OCHA HFU (eligibility of partner, compliance with template, duplication of proposal, etc.)	OCHA HFU	1 day
2	Review Committee convenes strategic review (scorecards + joint meeting) <i>Note: Main cluster/sector will compile comments from other related cluster/sectors/WG and will submit on GMS and OCHA HFU</i>	MHF Review Committee	3 days
3	Project shortlisted are submitted to the AB for consultation and endorsement and HC for preliminary approval	Advisory Board HC (delegation to the Deputy HC)	1 days

Strategic Review - Scorecard (1)

Category / Question	Options	Project Score	Weight	Final score
A Strategic Relevance				
1 Project proposal targets priority locations as per allocation strategy (Yes: 30; Partially: 15; No: 0)	Option:	0	30	0
2 Project proposal is aligned with the priority activities as per allocation strategy, addressing new needs (northern Rakhine, Kachin and Shan) or critical education funding gaps (central Rakhine) (Fully: 30; No: 0)	Option:	0	30	0
3 Project proposal is submitted by an organization with existing operational capacity in the targeted geographical areas (Yes: 20; No: 0)	Option:	0	20	0
4 Project proposal addresses multi-sector needs (multi-sector proposal) (Yes: 20; No: 0)	Option:	0	20	0
Total Score (A)		0	35	0
B Programmatic Relevance				
5 Humanitarian needs presented in project proposal are clearly defined, including needs identification process, i.e. assessments, surveys, etc. (Yes: 20; Partially: 10; No: 0)	Option:	0	20	0
6 Project Logical Framework clearly links objectives with activities, outputs and outcomes (Fully: 30; Partially: 15; No: 0)	Option:	0	30	0
7 Project proposal outlines targeted beneficiaries disaggregating sex and age (not using fixed % apportionment) (Yes/10; Partially: 5; No: 0)	Option:	0	10	0
8 Project proposal includes specific activities to address differentiated needs of women, girls, boys and men, boys or other identified vulnerable group (Yes: 20; Partially: 10; No: 0)	Option:	0	20	0
9 Project proposal includes cash-based activities as per signed guidelines by the Cash Working Group, including post-distribution assessments (Yes: 20; No: 0)	Option:	0	20	0
Total Score (B)		0	25	0
C Cost Effectiveness				
10 Project proposal budget is reasonable and in line with MHF budget guidelines and cluster/sector standards (Yes: 30; Partially: 15; No: 0)	Option:	0	30	0
11 Proportion of direct costs versus support costs (>75%: 30; between 75% and 60%: 15; between 60% and 50%: 10; <50%: 0)	Option:	0	30	0
12 Proportion of staff and other personnel costs versus total budget costs (<20%: 30; between 20% and 30%: 15; >30%: 0)	Option:	0	30	0
13 Project requires limited start-up costs and/or builds on existing capacities already on the ground (Yes: 10; No: 0)	Option:	0	10	0
Total Score (C)		0	15	0

Strategic Review - Scorecard (1)

D Management and Monitoring				
14 Project logical framework is SMART: specific, measurable, achievable, realistic, time-bound (Fully: 30; Partially: 15; No: 0)	Option:	0	30	0
15 Project proposal uses HRP standard sector indicators to measure results (Yes: 10; Partially: 5; No: 0)	Option:	0	10	0
16 Partner has current physical access throughout the geographic area of activities and the location of the project. (Yes: 30; Partially: 15; No: 0)	Option:	0	30	0
17 Project include provision of accessible and functioning feedback and/or complaint mechanisms for beneficiaries (Yes: 20; No: 0)	Option:	0	20	0
Total Score (D)		0	15	0
E Engagement with Coordination				
18 Partner actively participates in national and/or sub-national cluster/sector coordination, providing regular updates. (Yes: 30; Partially: 15; No: 0)	Option:	0	30	0
19 Project proposal has been sufficiently coordinated with other stakeholders on the ground, mainly other sector partners and cluster/sector coordinators. (Yes: 30; Partially: 15; No: 0)	Option:	0	30	0
20 Priority given to projects implemented directly by national NGOs (Yes: 40; Partially: 20; No: 0)	Option:	0	40	0
Total Score (E)		0	10	0
FINAL SCORE		0		

Note: In case that answer to any of the following questions (1, 2, or 3) is "No", please do not assess further, so the proposal is not eligible. In case total score is less than 60 points, it cannot be initially recommended for funding, and further technical and financial review.

Technical and Financial Reviews

	Activity	Responsible	Timeline
4	Review Committee convenes technical and budget review of short-listed Projects <i>Note: Main cluster/sector will compile technical comments from other related cluster/sectors/WG and will submit on GMS and OCHA HFU</i>	MHF Review Committee	3 day
5	Consolidation of technical and financial comments and submission to partner	OCHA HFU	1 day
6	Revision of proposal to improve proposal. Successful proposals are upload to GMS by IPs .	Requesting agency	3-5 day

Allocation process

Issues

Approval and Grant Agreement Preparation

- Confirmation on start date
- Bank account information
- Signatory

Disbursement

- Timeliness: different for each process
- Lack of information

Project Implementation

- IP signs a grant agreement which specifies the terms and conditions applicable to the approved project.
- Project start date and eligibility of expenditure is determined by the date of IP's signature of the grant agreement and later date that was agreed upon.
- IP commits to comply with all the requirements defined in the grant agreement as well as stipulated in the guidelines.
- Grant agreements may be modified to accommodate necessary changes in projects with a revision request (modification request, budget revision, no-cost extension request)

Project Implementation

Project modification

- Inform OCHA HFU Fund Manager of all significant deviations from the original project objectives with clear and strong justification through email and attached complete project revision request form (at least 30 days before expiration of the project)
 - ☐ Changes in the geographic location
 - ☐ The target population/the scope of project activities
 - ☐ Changes in the each approved budget lines
 - ☐ Period extension (or) No-Cost Extension (NCE) requests
- OCHA HFU will review each request and determine the requirement of HC approval and an Amendment Grant Agreement
- No-Cost Extension (NCE) request will be considered depending on the justification and it is needed an amendment to the original agreement.

Project Implementation

Budget Revision

Under no circumstances should budget revisions increase the budget originally approved

Budget revisions not exceeding 15 %

- Does not require formal authorization by the HFU/FCS but inform HFU in writing.
- Cost redeployments to budget categories not exceeding 15% of the originally approved budget category are acceptable for all categories except the "Staff and other Personnel Costs" category.
- Redeployment must be done against existing budget lines.
- Budget line variations within the same budget category, not affecting the total value of the category, are acceptable without previous consent as long as the activities retain the same scope and nature of the original grant.

Project Implementation

Budget Revision

Budget Revisions exceeding 15 % or affecting "Staff and other Personnel cost"

- Cost redeployments to budget categories **exceeding 15%** of the amount originally approved require the HFU/FCS authorization.
- IP to make the request to the HFU, after prior consultation with HFU and cluster/sector coordinator
- Submit a revised logical framework if the budget modifications imply programmatic changes.
- The approval of such modification will be formalized through an amendment to the original grant agreement (inclusive of all necessary supporting documents, project proposal, project budget, etc.).

Project Implementation


No-cost Extension

- Case-by-case basis, depending on the reasons justifying the request and evidence of progress collected through narrative and financial reports (i.e. progress/interim), or through field monitoring visits and financial spot checks.
- Submitted in writing **at least 30 days prior** to the end of the project. **Later submissions will not be considered.**
- The NCE can modify the agreement to extend the duration of the project, with or without any changes to the project's budget or activities.
- To extend the duration, an amendment to the original agreement must be signed by both parties. This amendment becomes an integral part of the agreement and must be cleared by OCHA.

Project Implementation

Project Revision Request Form

Annex 32
CBPF Project Revision Request Form



Instructions:
Any major changes made to the original allocation as stipulated in the approved project documents must have the endorsement of the cluster coordinator, the CBPF Fund Manager with final approval made by the Humanitarian Coordinator. No-cost extension requests should be well justified and submitted at least 30 days before expiration of approved project duration.

1 – Project Details

Organization Name:	Cluster
Project Code:	Contact Name:
Location:	Contact Email/Tel No.:
Actual project duration (start and end date as grant agreement):	Date of Allocation:
Project Title:	Amount Allocated:

Project Implementation

Project revision request form continued

2 – Revision Type/Reason for No-Cost Extension

Date of Request:	
Type of Revision: Indicate the type (s) of revision being requested	Details on NCE request: Indicate reason (s) for no-cost extension
<input type="checkbox"/> Significant change in activities <input type="checkbox"/> Change in outputs <input type="checkbox"/> Change in target beneficiaries <input type="checkbox"/> Change in project duration/NCE	<input type="checkbox"/> Change in location <input type="checkbox"/> Change in budget <input type="checkbox"/> Other Specify: _____ <input type="checkbox"/> Insecurity <input type="checkbox"/> Inaccessibility <input type="checkbox"/> Staffing/recruitment delays <input type="checkbox"/> Internal admin delays <input type="checkbox"/> Procurement delays <input type="checkbox"/> Programmatic delays <input type="checkbox"/> Delays in finalizing agreement <input type="checkbox"/> Delays in disbursement of funds <input type="checkbox"/> Delays in organization's internal transfer of funds <input type="checkbox"/> Delay in securing supplies from pipeline Other Specify: _____

3 – Level of Completion

Provide information what amount of grant and activities have been implemented. Exact amounts and percentages are not necessary approximate numbers are sufficient.

Amount of Funds Spent as of <i>8 type in current end-date</i> :	\$	%
Amount of Funds Unspent as of <i>8 type in current end-date</i> :	\$	%
Amount of Funds Committed But Not Spent by <i>8 type in current end-date</i> :	\$	%
Percentage of Activities Completed as of <i>8 type in current end-date</i> :	%	

Project Implementation

Project revision request form continued

4 – Revision Description and Justification

Description and justification of requested change Please describe the requested changes to the original allocation and provide detailed background and justification for the proposed revision. The revision requests have to be submitted to the Humanitarian Coordinator for any significant changes in the following allocation parameters: major activities, implementation targets, location, allocation amount, recipient organization and/or recipient project, and project duration.	
Review remarks by cluster coordinator: Explain the rationale to endorse or reject the request.	
Name of reviewer:	Date:
Review remarks by HFU:	
Name:	Date:
HC Approval: (or OCHA Head of Office if delegated by the HC)	Signature: Signature is not required if the process is handled through the GMS.
Name:	Date:

Annexes (to be submitted if revision request is not handled through the GMS):
 I. If revision requires budget change/s, budget tool for amendments (Annex 34 of the Operational Handbook for CBPFs)
 II. If revision requires programmatic change/s, revised project proposal with track changes

Project Implementation

Budget amendment template

Activity	Original Budget	Revised Budget	Change	Justification	Signature	Date
1. Project Management						
2. Project Management						
3. Project Management						
4. Project Management						
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Project Implementation

Issues

- Late submission - Since Project Revision Request for any major changes should be well justified and submitted to OCHA HFU at least 30 days prior to the end of the project.
- Lack of awareness - Incorrect and incomplete preparation of Project Revision Request Form.
- Weakness in financial management – No regular update on financial expenses and analysis of expenses.
- Variance of staff and other personnel costs - Any variation in "Staff and other Personnel Costs" should be approved in writing by OCHA HFU. Otherwise, it will be considered as ineligible expenditure.

Monitoring

- Monitoring (financial and programmatic) - systematic collection, analysis and use of information from a project to learn from the experience, account for the resources used and the results obtained, and to take decisions on the implementation of the MHF project.
- The MHF monitoring key objectives:
 - Ensure adequate verification of reported results at project level
 - Provide evidence on how the MHF has contributed to broader outcomes.
 - Ensure that resources are used efficiently
 - To support Partners during their implementation of MHF funded activities.

Monitoring

- Direct monitoring by OCHA HFU - conduct a field monitoring visit to each MHF project to review on-going or completed project activities **in the middle of the project implementing period** which includes:
 - Project implementation status,
 - Progress review on key project activities,
 - Monitoring and reporting mechanism of the IP
 - Financial management spot check
- Sectors/clusters and donors' participation – inviting sectors/clusters and donors to participate in field-monitoring visits with HFU.

Monitoring

Financial Management Spot Check Check-list Pre-check list

Task / Sample	Status	Remarks
Was an interim financial report submitted by IP for this project?	YES/ NO	
Was the interim financial report reviewed?	YES/ NO	
Was there any concern/issues identified in report reviewed?	YES/ NO	
Partner has an approved financial manual	YES/ NO	
Partner has an approved administrative manual	YES/ NO	
Partner has an approved procurement manual	YES/ NO	

Monitoring

Topics	X/✓	Risk	Remarks
Reconcile the expenditure totals per activity.		High / Medium / Low	
Approved budget versus expenditure report analysis by Management			
Receipts were deposited into the Implementing Partner's bank account			
Account Code records in the expenditure voucher			
Bank signatories			
Bank reconciliation records			
List of authorized signatories in the organization and their levels			
Book keeping of financial documents			
Accounting system/software in use			
Level of training and experience of finance team			
The adequacy of supporting documentation			
There is adequate segregation of duties in processing the transactions.			
Payment vouchers are authorized and checks are signed by the designated officials.			
Correct mathematical computation of individual payments and total payments against the expenditures.			
The detailed expenditure against the approved budget. If there is any deviation from the budget, assess whether they were authorized.			
The dates of the supporting documents to ensure that the expenditure was incurred during the period under review, as per the approved project document/log frame/budget.			
Update the status of recommendations from the capacity assessment or previous audits.			
Review of internal controls update (any changes compared to the Capacity Assessment or previous audits.)			
Procurement Procedures and Practice			
Cash management			
Asset/Inventory Record and physical spot check			
HR recruitment system and filing			

Monitoring

Issues

- Inadequate project oversight by management
- Irregular monitoring of project work plan, budget
- Non-compliance of guidelines by sub implementing partners
- Delay/lack of informing implementation problem
- To improve coordination with other humanitarian actors
- Weak in community mobilization and participation
- Weak in Financial Management and internal control system
- Lack of/poor in transparency regarding cost sharing between MHF project and other projects
- Inappropriate budget preparation

Reporting

Types of Reports

- Narrative Reporting: Progress Narrative Report, Final Narrative Report
- Financial Reporting:
 - Interim Financial Statement and Disbursement Request,
 - Interim Financial Statement as at 31 December,
 - Final Financial Statement and Disbursement Request

Timelines of Reporting

- Depends on Risk Level through Capacity Assessment

Reporting Templates

- No offline templates – Only on GMS

Reporting Risk

Issues

- Financial and accountability: relating to effective and efficient management and use of financial resources and the reliability of financial reporting by IPs. Delay in submission of interim financial reports and disbursement requests affected the delay fund transfers
- Fraud/Corruption, and theft or diversion of goods: In insecure operational areas there is high risk of corruption, theft and diversion of goods when direct monitoring in some areas is not possible.
- Governance and management: Roles and responsibilities of governance bodies, effective and efficient management and systems to support operations and meet performance standards (e.g. procurement, logistics, IT, staff, skill-sets)
- Coordination and partnerships: effectiveness of the humanitarian coordination system
- Hazards: events fully or partially outside the Fund's control (e.g. natural disasters, political instability, armed conflict, terrorism laws and donor intentions):
- Good/Poor financial management and high/low absorption capacities by IP:
 - ☐ Proper financial systems
 - ☐ Ability to comply with international accounting standards
 - ☐ Limited/Full financial capacity
 - ☐ Implementing multiple projects and cost allocation system

Auditing

Issues

- Budget Deviation/Non-compliance with approved budget
- Lack of Segregation of Duties and Fraud or misappropriation of cash can occur
- Inappropriate account head in the payment voucher/Financial Report and expenses did not reflect real situation
- Expenses charged to inappropriate budget line
- No proper record of distribution list to beneficiary/individual acknowledgement of receipt due to lack of good practice/internal control
- No Completion reports for implemented activities and lack of evidence for handing over of work done
- Activities must be implemented during the agreed project period and name of donor must be included in certificates/payment voucher otherwise there are ineligible expenditure

The audit performance will feed into the Performance Index of an IP which in turn will impact the risk level of NGO partners

MHF : Feedback & Complaints Mechanism

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 and/or contact the OCHA Deputy Head of Office in Myanmar. 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.



Chris Hyslop, OCHA Deputy Head of Office in Myanmar
hyslop@un.org
MHFComplaints@un.org

MHF Visibility

- No mandatory, but important (logos to be provided by HFU)
- 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



For further information

GMS Business Intelligence

<https://gms.unocha.org/bi>

MHF Website

www.unocha.org/myanmar/humanitarian-financing/myanmar-humanitarian-fund-mhf

OCHA Myanmar Facebook

OCHAMyanmar

OCHA Myanmar Twitter

@OCHAMyanmar

Question & Answers

Humanitarian Financing Unit

OCHA Myanmar

MHF-Myanmar@un.org

Narciso Rosa-Berlanga: rosa-berlanga@un.org

Naw Gay Htoo: htoon@un.org

+95 1 230 5662 / 230 5663 / 230 5683 (ext. 204)



**Myanmar
Humanitarian
Fund**