Addressing Priority Humanitarian Needs and Supporting Sustainable Response in Eastern Ukraine
Ukraine Humanitarian Fund Standard Allocation – September 2020 (US$ 6 million)

A. Allocation Overview

US$ 6 million is available for this allocation of the Ukraine Humanitarian Fund (UHF). This document outlines the strategic objectives and funding priorities for the allocation to address priority humanitarian needs in non-Government-controlled areas (NGCA), and to support the increased sustainability of response in Government-controlled areas (GCA) of the eastern Ukraine. This strategy paper is issued by the Humanitarian Coordinator (HC) and the UHF Advisory Board (AB).

The HC, in discussion with the AB, has set two envelopes for this allocation, one to support priority humanitarian response needs in NGCA, and one to support governmental institutions to take greater responsibility for sustainably addressing humanitarian response in GCA:

1. **Addressing priority humanitarian needs:** An envelope of $3.5 million will be allocated for activities that address the most urgent unmet humanitarian needs in NGCA during the winter months. Priority will be given to projects that support the most vulnerable groups of people directly or through support to social institutions. Projects should be presented by humanitarian actors with demonstrated response capacity in the proposed sector and area of intervention.
2. **Supporting sustainability of response:** An envelope of $2.5 million will be allocated for humanitarian projects implemented in close collaboration with local authorities and development actors, following an area-based approach in prioritized GCA locations (Volnovaha and Stanytsia-Luhanska raions). Priority will be given to proposals following a multi-sector approach that demonstrate strong collaboration with, and planned transfer of responsibility to, local authorities and development actors. Humanitarian organisations are encouraged to apply in consortiums and/or partnerships.

Through these two envelopes, the allocation aims to provide humanitarian assistance to the most vulnerable people while serving as a catalyst for sustainable solutions to strengthen the capacity of national stakeholders to provide essential services.

This is a standard allocation. Projects should be developed in coordination with clusters and project proposals will be submitted through the Grant Management System (GMS).[1]

[1] Following this consultation, OCHA will open the GMS and then invite the partner to prepare the proposal.

This allocation does not target those living outside of the active conflict area or that do not meet these prioritized criteria.

B. Background and Rationale

The conflict in eastern Ukraine continues to significantly impact the lives of more than five million people living in the region, 3.4 million of whom require protection or humanitarian assistance to survive. The COVID-19 pandemic and the measures implemented to contain its spread have further exacerbated vulnerabilities, especially among those seeking to cross the 'contact line' to access pensions and other services. In June 2020, the Humanitarian Country Team (HCT) endorsed a revision of the 2020 Humanitarian Response Plan to respond to the increased humanitarian needs caused by the COVID-19 pandemic, increasing the funding requirements for 2020 from $157 million to $205 million. As of 9 September 2020, the HRP has received $60.2 million in contributions, representing 29 per cent of the funding required according to information shared by donors with the Financial Tracking Service (FTS). The recorded funding received per cluster is between 3 per cent and 23 per cent of funding required. The most underfunded clusters are WASH at 8 per cent, Protection at 5 per cent, and FSL at 3 per cent (acknowledging that over half of funding received against the HRP is multi-cluster or has not had the cluster specified).

The restrictions that continue to limit the access of humanitarian operations in NGCA contribute to the dramatically lower humanitarian response in NGCA than in GCA. In 2019, humanitarian actors assisted 1.1 million people in GCA compared to 150,000 in NGCA[2], despite the higher number of people in need in NGCA. The imbalance of humanitarian action between GCA and NGCA is likely to be higher in 2020 due to the extended closure of the 'contact line', and the 50 per cent reduction in humanitarian cargo delivered to NGCA in the first six months of 2020 compared to the same period in 2019. **This first envelope of this allocation is intended to address urgent priority gaps in the humanitarian response during the winter period in NGCA.**

In Government-controlled areas of eastern Ukraine, where national, regional and local institutions have access to provide support to people in need, efforts are required to encourage them to take greater responsibility for the humanitarian response in areas under Government control. To support this, it is important that humanitarian actors collaborate with Government and development actors to help strengthen the capacity of national stakeholders to provide essential services. This will allow the humanitarian community to gradually shift from the provision of assistance and services that substitute for Government actions, and to focus on support to priority gaps in humanitarian assistance delivery.

The second envelope of this allocation is intended to support collaboration projects that address immediate humanitarian needs while progressively transitioning responsibility to Government authorities. To maximize impact, the allocation concentrates on two raions in GCA: Volnovaha raion in Donetska oblast and Stanytsia Luhanska raion in Luhanska oblast. By following a localised, area-based

[2] 2019 Ukraine HRP End-of-Year Report, available at: https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/2019_hrp-end_of_year_20200625.pdf

approach this allocation can help the humanitarian community to build momentum – and concrete examples – in strengthening government ownership.

The two raions have been identified as priority areas based on the following criteria: (i) a high disruption of service networks, (ii) large decrease in satisfaction of residents with available services, (iii) the importance of locations as hubs of service provision for NGCA residents, and (iv) and the ability of the local government to take on activities.

1. **Volnovaha raion** has had high disruption of service networks and has experienced a deterioration of satisfaction with services. The raion is also provides services to residents of NGCA residents who cross to GCA through the Novotroitske EECP. The raion is also a priority location for the UN Recovery and Peacebuilding Programme (RPP) which supports local government, and the local hromada (community level administrative unit) is organized.
2. **Stanytsia Luhanska raion** has had high disruption of service networks, and experienced a decrease in satisfaction with service provision. Stanytsia Luhanska also hosts the only EECP in Luhanska oblast, and thus is the main service provision hub for NGCA residents. The raion is also a priority location of the RPP and also has a local hromada.

C. Allocation Envelopes / Windows

(i) Addressing priority humanitarian needs

The UHF will provide up to $3.5 million for activities that address priority humanitarian needs in NGCA during the winter season.

As the allocation is targeting priority humanitarian needs during the winter period, project duration is limited to six months maximum, with a budget up to $500,000. Activities of all humanitarian sectors present in Ukraine are eligible for funding under this allocation. Priority will be given to projects that support the most vulnerable groups of people directly or through support to social institutions, including health-related institutions, wherever they are located in NGCA. Projects should be presented by humanitarian actors with demonstrated response capacity in the proposed sector and area of intervention.

(ii) Supporting sustainability of response

The UHF will provide up to $2.5 million to collaboration project in the two specific raions in GCA. This envelope supports the sustainability and expansion of priority humanitarian services through the establishment of projects that address immediate humanitarian needs, which include specific planning to transfer responsibility for implementation to the Government built into them. These activities/services will be expected to be provided in future by local authorities and/or other development actors. Only projects that ensure government ownership of humanitarian response in coordination with development actors and strengthen national/local response capacity in GCA are eligible for funding under this envelope. Activities of all humanitarian sectors present in Ukraine are eligible for funding under this allocation.

Priority will be given to cohesive multi-sectoral projects that are designed and planned to be implemented in partnership with the local authorities and other development actors. Organizations are encouraged to apply for the funding in partnerships and/or consortiums.

Project duration is up to 12 months, with no set budget limitations. Project activities should focus on either **Volnovaha raion or Stanytsia-Luhanska raion.**

The humanitarian organisation can submit only one proposal per envelope.

D. Linkages with the Humanitarian Response Plan (HRP) 2020

In line with **Strategic Objective 1** of the 2020 HRP, the "Addressing priority humanitarian needs" envelope of this allocation provides emergency and time-critical assistance and ensures access to basic essential services to conflict-affected people with humanitarian needs.

The second envelope, "Supporting sustainability of response", corresponds with **Strategic Objective 3** of the 2020 HRP, and aims to enable the Government of Ukraine, particularly regional and local authorities, to better provide services in GCA for their citizens, with a view to delivering future humanitarian response through basic services.

E. Allocation Parameters

This allocation supports the most critical elements of the humanitarian operation envisaged by the 2020 HRP and responds to the life-saving humanitarian needs. **The HC has allocated US$ 6 million to support projects commencing November 2020.** Following this strategic orientation, OCHA has consulted with the Humanitarian Country Team, the Inter-Cluster Coordination Group (ICCG), and field hubs and partners in preparing this allocation paper.

This allocation will follow the procedures for a standard allocation. **National and international NGOs, UN Agencies, Funds and Programmes, and members of the Red Cross movement are eligible for funding**. The humanitarian organisation can submit only one proposal per envelope. As this allocation has two separate envelopes, an organisation can submit two proposals in total (one per envelope).

F. Prioritization / Selection of Project Proposal

Project proposals will be reviewed and prioritized for funding in accordance with criteria for assessing projects and project proposal review process. All submitted project proposals will be strategically, technically and financially assessed by the UHF Review Committee using a general score card, cluster-specific criteria and the UHF guidelines.

The UHF Review Committee (RC) is composed of Cluster Coordinators and one additional member from each Cluster (nominated by the active members of the Cluster) so that there is an equitable representation of UN agencies and NGOs in the Committee. There will be one committee that will do both the strategic review and the technical review.

The prioritization of project proposals is made in accordance with the priorities outlined in this allocation paper and on the basis of the following criteria:

- ✓ **Strategic relevance:** alignment of the proposal to the allocation strategy, and in line with the HRP, target population, including vulnerable groups and identified geographical areas:
  - Life-saving activities should be prioritized: top priority should be given to activities that aim to address immediate and most critical gaps in the immediate response that, if not addressed, could lead or increase threats to life or mental and psychological well-being of the most vulnerable groups of people.
  - Time-critical activities should be prioritized: top priority should be given to help address immediate needs and prevent a deterioration of existing conditions, taking into consideration seasonality factors.
  - Projects that target particularly vulnerable groups must be prioritized: top priority should be given to the most vulnerable groups of the population pre-defined by the respective clusters. Priority should be given to those with compounding/overlapping vulnerabilities.
- ✓ **Access:** demonstrated operational capacity and physical access to the affected population of the application organization, and the location of the project is clearly identified.
- ✓ **Feasibility:** proposal meets technical requirements to implement the planned activities and demonstrates the ability of the organization to implement the project successfully;
- ✓ **Evidence-based approach:** the identification of needs including disaggregation of data by age, gender and diversity; and beneficiaries are clearly described. The articulation of the logical framework, the protection analysis, and the cash-based programming approach, if any.
- ✓ **Appropriateness:** the activities are adequate to respond to the allocation parameters
- ✓ **Cost-effectiveness:** the budget is fair, proportionate in relation to the context. Proposals must demonstrate cost effectiveness, where: a) the cost per beneficiary ratio is reasonable; b) the level of support costs is reasonable and in line with accepted levels for a given type of activity; c) the proposed period of implementation is adequate and represents best use of resources at that time.
- ✓ **Risk management:** assumptions and risks are comprehensively and clearly spelled out, along with risk management strategies
- ✓ **Monitoring:** a realistic monitoring and reporting strategy is developed in the proposal, relating to clearly specified indicators.
- ✓ **Engagement with coordination.** Applicant organization engages in coordination mechanisms, including exchanges with clusters during the preparation of the project proposal.

The full process will be captured and managed on the Grant Management System (GMS).

G. Instructions for Project Proposal Preparation and Submission

Proposal Preparation

Preparation of project proposals for this UHF Standard Allocation will be **via the online UHF Grant Management System** (GMS) at https://cbpf.unocha.org. GMS will be available from 22 September for project proposal preparation. Applications must be prepared in English due to auditing requirements.

The two envelopes of this allocation have different submission deadlines:

1. Project proposals that respond to the first envelope, "Addressing priority humanitarian needs", must be submitted **by Sunday, 11 October 2019, 23:59 Kyiv local time, through GMS**.
2. Project proposals that respond to the second envelope, "Supporting sustainability of response", must be submitted **by Monday, 2 November 2019, 23:59 Kyiv local time, through GMS**.

All Organizations submitting project proposals are required to consult with relevant cluster coordinators during proposal preparation and prior to submission to ensure project strategic relevance and coordination with other activities.

Each proposal must be supported by a clear logical framework with outcomes, outputs, SMART[3] indicators and detailed activities. Please refer to Annex 8 of the Global Guidelines for a sample Project Proposal Template.[4] All partners must complete the Gender with Age Marker assessment tool prior to the submission of the project and must submit the reference number for the project during the submission of the project.[5]

Budget Preparation and Guidance

All project proposals must have a detailed budget outlining all the project related expenditures under relevant budget lines. Refer to CBPF guidelines, Annex 13 Project Budget Template for further details.

Budget proposals must reflect the correct and fair budget breakdown of the planned costs and clearly outline units, quantities and percentages. When budget lines contain costs of multiple items greater than US$10,000, a budget breakdown should be included in the GMS Bill of Quantities (BOQ) tool, listing item, unit, quantity, cost (per unit and total cost). A budget narrative (as an essential component of the budget) that clearly explains the object and the rationale of any budget line is required. For example, shared costs, large/expensive assets, and costs/equipment required to support the regular operation of the implementing partner, are clear cases where the provision of details will be necessary in the budget narrative.

Project proposals that do not meet the above requirements or with missing financial and budgeting information will not make it to the strategic review stage and those project proposals will be eliminated.

For further guidance on budgeting (eligible and ineligible costs, direct or indirect costs) please also refer to the Revised Operational Handbook for CBPFs pages 39-44.

[3] SMART stands for: Specific, Measurable, Achievable, Relevant and Time-bound
[4] https://www.unocha.org/our-work/humanitarian-financing/country-based-pooled-funds-cbpf/cbpf-guidelines
[5] https://iascgenderwithagemarker.com/en/home/ and also see Annex 2. This is a self-assessment tool that focused on supporting partners in ensuring gender and age responsive programming.

H. Timeline for UHF Standard Allocation

Timeline for Envelope 1: Addressing priority humanitarian needs

Phase	Step	What	Who	Key Date
Preparation of Allocation Strategy	Development of the Draft Allocation Paper	OCHA with input from ICCG, coordination fora and partners	UHF	
	HC/Advisory Board Strategy Endorsement (meeting)	Review and endorse Allocation Paper	HC, AB	16 September
	Launch of Allocation Paper	**Allocation Paper**	**UHF**	**22 September**
Proposal Development and Review	Proposal Development	Proposal Preparation (19 days)	IP	22 September - 9 October
	Score Cards developed	Workshop to develop score cards for Strategic Review	RC, UHF	28 September – 1 October
	Proposal Submission	**Proposal Submission**	**IP**	**11 October**
	OCHA circulates proposals to RC	Compilation and distribution of the project proposals	UHF	12 October
	RC preparation	Project Proposals	RC	12-14 October
	Strategic Review	**Workshop for Strategic Review of Projects**	**UHF, RC**	**15-16 October**
	HC endorses results of strategic review	Presentation results of strategic review to HC	HC,	16 October
	Implementation of Advisory Board and HC recommendations	**Feedback on funding decisions and comments from strategic reviews.**	**UHF, RC**	**20 October**
	Technical and Financial Review	Technical review of endorsed projects; IP feedback	CC, UHF	19-23 October
	Proposal Revision and Adjustments	IPs address feedback and revise proposals/budgets if needed.	IP, UHF, CC	26-30 October
Approval	Final approval clearance	UHF reviews comments and seeks clearance of projects	UHF, HQ OCHA	2-6 November
	Grant Agreement Preparation	UHF prepares GA and decides final start date of projects in consultation with partners.	UHF, IP	9-13 November
	HC and IP Grant Agreement signature	GA signed	HC, IP	9-13 November
Disbursement	Grant Agreement final clearance	GA cleared and signed	UHF, HQ OCHA	13 November onwards
	Disbursement	GA signed and first disbursement	OCHA	13 November onwards

Timeline for Envelope 2: Addressing priority humanitarian needs

Phase	Step	What	Who	Key Date
Preparation of Allocation Strategy	Development of the Draft Allocation Paper	OCHA with input from ICCG, coordination fora and partners	UHF	
	HC/Advisory Board Strategy Endorsement (meeting)	Review and endorse Allocation Paper	HC, AB	16 September
	Launch of Allocation Paper	**Allocation Paper**	**UHF**	**22 September**
Proposal Development and Review	Proposal Development	Proposal Preparation (19 days)	IP	22 September - 9 October
	Score Cards developed	Workshop to develop score cards for Strategic Review	RC, UHF	28 September – 1 October
	Proposal Submission	**Proposal Submission**	**IP**	**2 November**
	OCHA circulates proposals to RC	Compilation and distribution of the project proposals	UHF	3 November
	RC preparation	Project Proposals	RC	3-5 November
	Strategic Review	**Workshop for Strategic Review of Projects**	**UHF, RC**	**9-10 November**
	HC endorses results of strategic review	Presentation results of strategic review to HC	HC,	11 November
	Implementation of Advisory Board and HC recommendations	**Feedback on funding decisions and comments from strategic reviews.**	**UHF, RC**	**16 November**
	Technical and Financial Review	Technical review of endorsed projects; IP feedback	CC, UHF	16-20 November
	Proposal Revision and Adjustments	IPs address feedback and revise proposals/budgets if needed.	IP, UHF, CC	23-27 November
Approval	Final approval clearance	UHF reviews comments and seeks clearance of projects	UHF, HQ OCHA	30 November – 4 December
	Grant Agreement Preparation	UHF prepares GA and decides final start date of projects in consultation with partners.	UHF, IP	7-11 December
	HC and IP Grant Agreement signature	GA signed	HC, IP	7-11 December
Disbursement	Grant Agreement final clearance	GA cleared and signed	UHF, HQ OCHA	11 December onwards
	Disbursement	GA signed and first disbursement	OCHA	11 December onwards

I. UHF Information and Complaints Mechanism

All correspondence regarding the UHF should be sent to ocha-uhf@un.org. Complaints from stakeholders regarding the UHF allocation process should be sent to feedback-UHF@un.org. The OCHA Head of Office will receive, address and refer any critical issues to the HC for decision-making.

J. Cluster Coordinators Contact Details

Cluster	Names	Email	Phone Number
Education Cluster	Denis Puzhalin	denis.puzhalin@savethechildren.org	+380 66 606 2435
Shelter/ NFI Cluster IMO	Sviatoslav Savchuk Kostyantyn Dmytrenko	savchuk@unhcr.org arnautov@unhcr.org	+380 50 385 0190 +380 63 625 7265
Food Security & Livelihood Cluster	Charles Hopkins Angelina Virchenko (IMO)	Charles.Hopkins@fao.org info.ukraine@fscluster.org	+38 050 833 4256
Health & Nutrition Cluster IMO	Aron Aregay (Interim and IMO)	aregaya@who.int	+38 050 412 58 89
Protection Cluster CC: IMO	Anna Rich Oleksandra Makovska Flora d'Hermies-Camain	rich@unhcr.org makovska@unhcr.org camain@unhcr.org	+380 95 271 0879 +380 50 445 8763 +380 50 382 5014
Child Protection Sub-Cluster	Kateryna Martynenko (interim and IMO)	kmartynenko@unicef.org	+380 50 449 69 50
Gender-Based Violence Sub-Cluster	Olena Kochemyrovska	kochemyrovska@unfpa.org	+380 95 292 76 21
Mine Action sub-Cluster	Martin Oubrecht	martin.oubrecht@undp.org	+380 50 911 60 83
Water, Sanitation and Hygiene (WASH) Cluster IMO	Mark Buttle Stas Dymkovskyy	mbuttle@unicef.org washcluster.ukraine@gmail.com sdymkovskyy@unicef.org	+380 50 449 69 56 +380 50 355 06 62

https://www.humanitarianresponse.info/en/operations/ukraine/document/ukraine-cluster-contact-information-2020

OCHA Ukraine, Gender with Age Marker Focal Point: Yuliya Pyrig at pyrig@un.org

List of Annexes:

1. Acronyms Used
2. Operational Modalities
3. IASC Gender with Age Marker Information Sheet
4. Budget Guidance UHF
5. Protocol on the delivery of humanitarian assistance within COVID-19 response.
6. CBPF Flexibility Guidance for COVID

Annex 1: List of acronyms used in the document

AB	Advisory Board
CBPF	Country Based Pooled Fund
GA	Grant Agreement
GCA	Government Controlled Areas
GMS	Grant Management System
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HFU	Humanitarian Financing Unit
HQ	Headquarters
HRP	Humanitarian Response Plan
ICCG	Inter-Cluster Coordination Group
IP	Implementing Partner
M&E	Monitoring and Evaluation
M&R	Monitoring and Reporting
MOU	Memorandum of Understanding
NCE	No-Cost Extension
NGCA	Non-Government Controlled Areas
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
PP	Project Proposal
RC	Review Committee
TOR	Terms of Reference
UHF	Ukraine Humanitarian Fund
UN	United Nations

Annex 2

Operational Modalities

Risk level	Project duration *(months)*	Project value *(thousand USD)*	Max amount per project *(thousand USD)*	Disburse-ments *(in % of total)*	Financial reporting			Narrative reporting		Monitoring		Audit
					For disbursements	31-Jan	Final	Progress	Final	Project monitoring	Financial spot-check	
NGOs												
High	< 7	< 250	-	60-40	Yes	Yes	Yes	1 mid	Yes	1	1	As per plan
		> 250	500	50-50	Yes	Yes	Yes	1 mid	Yes	1	1	
	7 - 12	< 250	-	40-40-20	Yes	Yes	Yes	2	Yes	1	1	
		> 250	800	40-30-30	Yes	Yes	Yes	2 - 3*	Yes	1-2**	1	
Med	< 7	< 250	-	100	-	Yes	Yes	1 mid	Yes	-	-	
		> 250	700	80-20	Yes	Yes	Yes	1 mid	Yes	1	-	
	7 - 12	< 250	-	80-20	Yes	Yes	Yes	1 mid	Yes	0-1**	-	
		> 250	1,200	60-40	Yes	Yes	Yes	1 mid	Yes	1	0 -1	
Low	< 7	< 400	-	100	-	Yes	Yes	-	Yes	-	-	
		> 400	-	80-20	Yes	Yes	Yes	-	Yes	-	-	
	7 - 12	< 400	-	100	-	Yes	Yes	1 mid	Yes	-	-	
		> 400	-	80-20	Yes	Yes	Yes	1 mid	Yes	1	1 / partner	
UN Agencies												
N/A	< 7	-	-	100	-	Yes	Yes	-	Yes	Op. Manual***	-	No
	7 - 12	-	-	100	-	Yes	Yes	1 mid	Yes	Op. Manual***	-	

* Three progress reports are only required for projects of 10 months or more.

** Additional field visits are only required for projects of 10 months or more.

*** Monitoring of UN agency projects is based on a sampling methodology considering country-specific factors as required and will be part of the monitoring plan developed within 2 months of project selection

GENDER WITH AGE MARKER

IMPROVING HUMANITARIAN EFFECTIVENESS

OVERVIEW

The **IASC Gender with Age Marker (GAM)** looks at the extent to which essential programming actions address gender- and age-related differences in humanitarian response. It was developed in response to requests to strengthen the original IASC Gender Marker by including age and, most significantly, by adding a monitoring component. In addition to measuring programme effectiveness, it is a valuable teaching and self-monitoring tool, allowing organizations to learn by doing in developing programs that respond to all aspects of diversity.

With the 2019 Humanitarian Planning Cycle (HPC), the GAM replaces the previous IASC Gender Marker applied to appeal projects since 2009. Its use will be similarly required in the Financial Tracking System (FTS), and Member States asked to commit to only funding partners who report to the FTS using the IASC Gender with Age Marker, and subsequently update the marker based on monitoring data.

INTER-AGENCY GenCap Gender Standby Capacity Project

The IASC GenCap Project uses the GAM as one of the gender equality programming tools that GenCap Advisors apply in their deployments.

WHAT DOES THE GAM LOOK FOR?

The GAM assesses projects for 12 essential programme elements known as **Gender Equality Measures** or **GEMs**.

Four KEY GEMs are considered in the project *design phase*.

Each of the four key GEMs have **two supporting GEMs** that are considered during project *monitoring*. This enables reflection of what is working well in the project and what can be improved.

The GAM tracks whether basic programme actions are in place. **Good programming requires that affected people participate in and influence all stages of a project**. Programmes should logically flow from the gendered needs analysis, to tailoring or adapting activities in response to analysis, through to who benefits from the intervention. GAM coding reflects the presence and consistency of these actions, as well as the integration of gender and age within them.

Design Phase	*Monitoring Phase*	
A Gender Analysis The needs, roles and dynamics of women, girls, boys and men in different age groups are understood	**B** Collect and Analyze SADD Different people are counted	**C** Good Targeting The right people get resources
D Tailored Activities Women, girls, boys and men in different age groups get the right resources	**E** Protection from GBV People are safer	**F** Coordination with others With other sector members and other sectors
G Influence on Project Women, girls, boys and men in appropriate age groups influence decisions throughout the project	**H** Feedback & Complaints People can complain and be heard	**I** Transparency People get the information they need
J Benefits Women, girls, boys and men in different age groups get different benefits	**K** Satisfaction Different people are satisfied	**L** Project Problems Problems are known and addressed

Key GEM — Supporting GEM

HOW DOES IT WORK? AUTOMATIC CODING

The GAM codes projects on a **0 to 4 scale**, and suggests simple actions to improve project responsiveness and consistency. Codes are generated automatically based on answers to multiple-choice questions.

Each GEM code is based on evidence of the required programme action or step, plus gender and age. **If all three are present, the GEM automatically codes 4**; if none are included, it codes 0.

If 3 or 4 key GEMs have the same code, the project GAM code is automatically the same as this common GEM code. If two or more GEMs are 0, the GAM is 0.

The overall project GAM code is derived from the individual GEM codes, and represents the predominant type of programming found throughout the GEMS.

CONTENT	CODE	PROGRAMME FOCUS		
		(M) **Gender Mainstreaming** Targets everyone	(T) **Targeted Action** Targets a defined group	⊘ **Not Applicable**
Gender + Age + Action*	4	Likely to contribute to gender equality, including across age groups	Main programme purpose is increasing gender equality, including across age groups	Does not engage with or affect persons in need
Gender + Action	3	Likely to contribute to gender equality, but without attention to age groups	Principally focused on promoting gender equality, without attention to age groups	Does not engage with or affect persons in need
Age + Action	2	Unlikely to contribute to gender equality	Aims to address inequalities, but without the necessary gender equality measures	Does not engage with or affect persons in need
Action	1	Unlikely to contribute to gender equality	Aims to address inequalities, but without the necessary gender equality measures	Does not engage with or affect persons in need
No Action	0	Does not systematically link programming actions		

GAM Scale Score ○ Program Approach

*Programming action, element or step

GAM APPLICATION

The GAM can also be applied to higher level documents such as:

HNO
Humanitarian Needs Overview

HRP
Humanitarian Response Plan

PMR
Periodic Monitoring Report

NEW! ACCESS THE GAM TOOL ON THE WEB

The latest version of the GAM is a web-based application that is supported by OCHA. It is also available in an off-line format for use in remote areas. The shift to an online tool will take place mid-2018.

2015 - 2018
Excel tool

→

2018 ONWARDS
Web-based application

The advantages:
- Greater objectivity
- Analysis at country, agency, cluster levels
- Analysis of actual assistance (who benefits, who participates, plus protection & accountability)

Creation date: 23 May 2018 Sources: IASC GenCap; Original GAM concept and design by Merrin Waterhouse
Contact: IASC-gam@un.org

UHF First Standard Allocation 2019 - BUDGET GUIDELINES

This document has been developed to clarify the financial requirements for the preparation of UHF project budgets and to enhance the understanding of the main budget related issues. Partners must use the **online Grant Management System (GMS) for the submission of the budget along with project proposals**, which can be found at: https://cbpf.unocha.org . Note: the budget guidelines are also available in the CBPF Operational Handbook at: https://www.unocha.org/our-work/humanitarian-financing/country-based-pooled-funds-cbpf

Role of UHF partner:

A. Provide a **correct and fair budget breakdown** of the planned costs that are necessary to implement the activities and achieve the objectives of the project.

B. **Use and comply with the budget template of the online GMS**, and any budget templates and guidance provided by OCHA for the classification and itemization of planned costs.

C. Provide an accurate **budget narrative** (as an essential component of the budget) that clearly explains the **object and the rationale of each budget line**. For example, shared costs, large/expensive assets, and costs/equipment required to support the regular operation of the partners are clear cases where the provision of details will be necessary in the budget narrative

Eligibility of costs:

i. Must be **necessary** and **reasonable** for the delivery of the objectives of the project.
ii. Must **comply with the principles** of sound financial management, in particular the principles of **economy, efficiency, effectiveness, transparency and accountability.**
iii. Must be **identifiable** in the accounting records and **backed** by original supporting

They may include:

i. All staff costs (including salaries, social security contributions, medical insurance, hazard pay (when applicable) and any other cost included as part of the salary benefits package of the organization. Salaries and costs may not exceed the costs normally borne by the partner in other projects.	vii. Purchase costs for goods and services delivered to the beneficiaries of the project, including quality control, transport, storage and distribution costs.
ii. Costs for consultancies involved in the implementation of the project.	viii. Costs related to non-expendable items (assets) such as equipment, information and technology equipment for registration and similar field activities, medical equipment, water pumps and generators.
iii. Support staff costs at country-level directly related to the project.	ix. Expenditure incurred by the partner related to awarding contracts required for the implementation of the project, such as expenses for the tendering process.
iv. Travel and subsistence costs directly linked to the project implementation for project staff, consultants, and other personnel that may also be eligible, provided the costs do not exceed those normally borne by the partner.	x. Costs incurred by sub-implementing partners, directly attributable to the implementation of the project.
v. A contribution to the partner's Country Office costs, as shared costs charged on the basis of a well explained calculation and reasonable allocation system. Shared costs must be itemized.	xi. Other costs derived directly from the requirements of the grant agreement such as monitoring, reporting, evaluation, dissemination of information, translation and insurance, including financial service costs (in particular bank fees for transfers).
vi. The financial support to beneficiaries, including cash and voucher-based distribution.	

Ineligible costs:

i. Costs not included in the approved budget (taking into consideration duly approved budget revisions).	ix. Government staff salaries.
ii. Costs incurred outside the approved implementation period of the project (taking into consideration duly approved no-cost extensions).	x. Hospitality expenses, provision of food/refreshments for project staff (not including water and hospitality for trainings, events and meeting directly related to project implementation).
iii. Debts and provisions for possible future losses or debts.	
iv. Interest owed by the implementing partner to any third party.	xi. Incentives, mark-ups, gifts to staff.
v. Items already financed from other sources.	xii. Fines and penalties.
vi. Purchases of land or buildings.	xiii. Duties, charges, taxes (including VAT) recoverable by the implementing partner.
vii. Currency exchange losses.	xiv. Global evaluation of programmes.
viii. Cessions and rebates by the implementing partner, contractors or staff of the implementing partner of part of declared costs for the project.	xv. Audit fees/system audit fees – these costs are paid directly by the fund

There are two categories of eligible expenditures: direct costs and indirect costs

Direct costs:

Direct costs have to be clearly linked to the project activities described in the project proposal and the logical framework. Direct costs are sub-divided in to **Direct and Support cost:**

a. **Direct costs** are defined as **actual costs directly related** to the implementation of the project to cover the costs of goods and services delivered to beneficiaries	b. **Support costs** are related to the **support activities** (even partial, such as a security guard or a logistician partially working for the project), required for the delivery of services and the achievement of the project objectives.

Direct costs include:

i. Staff and related personnel costs, including consultants and other personnel.	v. Travel costs, including transportation, fuel, and daily subsistence allowances for staff, consultants and other personnel linked to the project.
ii. Supplies, commodities, materials.	vi. Transfers and grants to counterparts.
iii. Equipment.	vii. General operating and other direct costs including security expenses, office stationary, and utilities such as telecommunications, internet, office rental and other direct costs, including expenses for monitoring, evaluation and reporting, related to the implementation of the project.
iv. Contractual services.	

Indirect Costs

Indirect costs are referred to as **Programme Support Costs (PSC)**. PSC are all costs that are **incurred by the implementing partner regardless of the scope and level of its activities and which cannot be traced unequivocally to specific activities, projects or programmes**. These costs typically include corporate costs (i.e. headquarters and statutory bodies, legal services, general procurement and recruitment etc.) not related to service provision to a particular project. **PSC is charged as a maximum 7 per cent of the approved direct expenditures incurred by the implementing partner**.

Shared Costs:

Sharing costs between different donors and projects under a country programme of an implementing partner is an acceptable practice for CBPFs. The implementing partner may share certain Country Office costs to different uses and projects, for example staff, office rent, utilities and rented vehicles.

The following guidance applies to shared costs in the project budget:

i. All shared costs must be directly linked to project implementation.	iv. If a position is cost-shared, the percentage of the monthly cost corresponding to the time that the person will
ii. All shared costs must be itemized in the budget, following standard accounting practice and based on a well-justified, reasonable and fair allocation system, to be clearly explained in the budget narrative of the project and assessed and approved by the HFU.	v. Non-staff shared costs must be shared on the basis of an equitable cost allocation system33. Accordingly, the percentages in the budget are to be assessed and approved by the HFU.
iii. The partner should always be able to demonstrate how costs were derived and explain in the project proposal/logical framework how the calculation was made (e.g. pro-rata, averages).	vi. Shared-costs, including staff-related costs, should be charged for the entire duration of the project. If this is not possible, the rationale of the apportionment must be explained in the budget narrative

Guidance on itemization of budget lines

i. Itemize each national and international staff, consultant and other personnel by function, and provide unit quantity and unit cost (monthly or daily rates) for each staff position.	xiii. In the case of construction works exceeding $10,000, only labour costs and known essential materials may be budgeted and itemized, providing unit/quantity and unit cost. The budget narrative should explain how construction costs have been estimated on the basis of a standard prototype of building (e.g. latrine, health post or shelter), type of materials (e.g. wood, prefabricated or brick/cement/concrete) and the formula or rationale used to estimate construction cost (e.g. per square foot or meter or previous experiences).
ii. Any budget line whose total value exceeds $10,000 (as cumulative value) requires a clear explanation of the calculation in the budget narrative.	
iii. When budget lines contain costs of multiple items (exceeding $10,000) a budget breakdown should be included in excel listing item, unit, quantity, value or cost (per unit and total cost. Documentation must be uploaded in the GMS.	
iv. Provide unit or quantity (e.g. 10 kits, 1,000 metric tons) and unit cost for commodities, supplies and materials to be purchased. The budget narrative should properly reference unit measures (length, volume, weight, area, etc.).	xiv. The partner is responsible and accountable to ensure the budget(s) of the sub-implementing partner(s) adheres to the principles of economy, efficiency, effectiveness and transparency. The partner must ensure the sub-implementing partner(s) budget(s) are commensurate with the planned activities and outputs, and is reasonable in the specific country context. The sub-implementing partner budget should be provided as a single line under the budget category Transfers and Grants to Counterparts. The breakdown details are not required to be provided in GMS. However, at the request of OCHA and/or the auditors, the partner is responsible and accountable to provide the necessary detailed documentation to support the budget and expenditure incurred by the sub-implementing partner. The sub implementing partner's budget and expenditure details must be available, if requested, at the same level of detail and format applicable to the main implementing partner. These documents must remain available for at least a period of 5 years after the project termination.
v. Provide technical specifications for items whose unit cost is greater than $10,000.	
vi. Provide technical specifications for items whose unit costs can greatly vary based specifications (e.g. for generators, a reference to the possible range of power would be sufficient to properly evaluate the accuracy of the estimated cost).	
vii. Provide details in the budget narrative so that the objective of the budget line can be clearly identified.	
viii. Itemize general operating costs (e.g. office rent, telecommunications, internet, utilities) for project implementation providing quantity and unit cost. A lump sum for operating costs is not acceptable.	
ix. Travel costs can be estimated as long as the calculation modality is accurately described in the budget narrative (e.g. providing estimates on the number of trips and average duration in days, daily subsistence allowance rates, etc.).	
x. Travel (In-country and International) or International travel: estimate number of trips and cost per trip.	
xii. Provide the list of items for globally standardized kits such as Post-exposure Prophylaxis kits and Interagency Emergency Health Kit. This does not include standard kits agreed upon in each country.	

Project title:	
Project code:	
Implementing partner:	
Country:	
Project period:	

Country-based Pooled Fund (CBPF) Project Budget Template

Wherever possible and relevant please provide a detailed breakdown of items (unit type, quantity, unity cost) and costs for each budget line of the project. The % charged to the CBPF will be 100% with the exception of shared costs, for which please indicate the total cost and the % being charged to the Fund. Where breakdown of unit, quantity and unit cost is unavailable or unnecessary, please enter total amount of the item along with sufficient description of cost content. Please add additional rows, as needed.

All unit costs and total costs should be rounded to a maximum of 2 decimal places (e.g. 0.00).Please provide a narrative description focusing on two aspects: a) how the planned costs contribute to the implementation of the project; and b) how unit numbers, unit costs and total costs have been estimated. In particular please ensure that the required information is provided for the following categories, in order to facilitate the evaluation of your proposal:

- ***Shared costs*** - please explain how the cost contributes to the implementation of the project, how the allocation to the project was derived (e.g. pro-rata, averages), and how it will be verified throughout implementation.
- ***Eligible costs*** - if any costs. Note on other types of expenditures of the budget guidance document are included in the Budget, please justify how they are necessary for the implementation of the project.
- ***Duties, charges and taxes (including VAT)*** - please indicate whenever costs are inclusive of duties, charges and taxes, and explain why these could not be recovered.

For further guidance on the budget preparation process, please refer to the Operational Handbook for CBPFs.

Budget Lines (specify unit type if applicable)	Remarks	Direct or support	Unit quantity	Unit Cost	Duration (Months, Days or Lump sum details to be included in the Remarks)	% Charged to CBPF	Total (US$)
A. Staff and Other Personnel Costs (please itemize costs of staff, consultants and other personnel to be recruited directly by the implementing partner for project implementation). *Please indicate for each position what role it plays in the implementation of the project and its grade/level. Also explain how the unit number has been estimated, and what costs are included in the monthly or daily rate unit cost (e.g. salary, social security, medical and life insurance, hazard pay, etc.).*							
1.1.Example: Program Officer		D	1	$2,000.00	12	100%	$ 24,000
1.2. Example: Security guards		S	12	$1,000.00	12	10%	$ 14,400
1.3.Example: xxxxxxxxxx			5	$3,000.00	12	100%	$ 180,000
1.4. Example: xxxxxxxxxx			1	$2,450.00	8	50%	$ 9,800
Sub-Total A:			——	——		——	**$ 228,200**
B. Supplies, Commodities, Materials (Programme Inputs) (please itemize direct and indirect costs of consumables to be purchased under the project, including associated transportation, freight, storage and distribution costs) *For all Supplies, Commodities and Materials please explain how the unit number and unit cost have been estimated. For standard and low value kits describe the composition of the kits, how the composition was agreed and how the cost of the individual items has been estimated. For non-itemized construction materials please describe how construction costs have been estimated on the basis of a standard prototype of building (latrine, health post, shelter), type of materials (wood, prefabricated, brick/cement/concrete) and formula or rationale used to estimate construction costs (e.g. per square foot or meter, previous experiences, etc.).*							
1.1: xxxxxx			1	$250.00	12	100%	$ 3,000
2.2:xxxxxxxx			5	$374.00	12	100%	$ 22,440
							$ -
							$ -
Sub-Total B:			——	——		——	**$ 25,440**
C. Equipment (please itemize costs of non-consumables to be purchased under the project). *Please explain how the unit number and unit cost have been estimated. For large and/or expensive equipment items, including vehicles, please describe how the item(s) is (are) necessary to the implementation of the CBPF project.*							
1.1: xxxxxx			12	$1,250.00	1	100%	$ 15,000
2.2:xxxxxxxx			1	$4,500.00	1	50%	$ 2,250
							$ -
							$ -
Sub-Total C:			——	——		——	**$ 17,250**
D. Contractual Services (please list works and services to be contracted under the project) *Please explain how the unit number and unit cost for each contract have been estimated, and describe the location and type of services provided.*							
1.1: xxxxxx			2	$12,500.00	1	100%	$ 25,000

2.2:xxxxxxxx			5	$150.00	12	100%	$ 9,000
							$ -
							$ -
Sub-Total D:			——	——		——	**$ 34,000**
E. Travel (please itemize travel costs of staff, consultants and other personnel for project implementation) *For domestic and international travel please explain how the number of trips and the cost of each trip have been estimated. For international travel costs non directly linked to the delivery of project objectives, please justify how the costs are necessary for, and support the implementation of the project.*							
1.1: xxxxxx			12	$450.00	1	100%	$ 5,400
2.2:xxxxxxxx			2	$6,700.00	3	100%	$ 40,200
							$ -
							$ -
Sub-Total E:			——	——		——	**$ 45,600**
F. Transfers and Grants to Counterparts (please list transfers and sub-grants to project implementing partners). *For each transfer and/or sub-grant please explain the purpose and objectives. Whilst breakdown of sub-partners costs is not required by OCHA, to the extent possible counterpart budgets and financial reports should be structured around the categories in this budget template.* *Include only direct costs: indirect costs of implementing partners should be covered by the overall maximum 7 per cent PSC for the project.*							
1.1: xxxxxx			1	$25,000.00	1	100%	$ 25,000
2.2:xxxxxxxx							$ -
							$ -
							$ -
Sub-Total F:			——	——		——	**$ 25,000**
G. General Operating and Other Direct Costs (please include general operating expenses and other direct costs for project implementation) *Please explain how the unit number and unit cost have been estimated. For shared costs refer to guidance above and in Section 5.1 "Basic Definitions and Guidance on the Project Budget Preparation Process" Operational Handbook for CBPFs.*							
1.1: xxxxxx			2	$275.00	12	100%	$ 6,600
2.2:xxxxxxxx			5	$600.00	12	100%	$ 36,000
							$ -
							$ -
Sub-Total G:			——	——		——	**$ 42,600**
Subtotal Direct Project Costs							**$418,090.0**
Indirect Programme Support Costs (PSC) rate (insert percentage, not to exceed 7 per cent)							**7%**
PSC Amount							**$29,266.3**
Total CBPF Project Cost							**$447,356.3**

COVID-19 UKRAINE ASSISTANCE DELIVERY PROTOCOL

As of 7 April 2020

1) PURPOSE

As humanitarian aid workers provide assistance to people in need in many communities, their work may put them and the people they aim to assist at risk of COVID-19 transmission. **In support of the COVID-19 response, the humanitarian community has developed this common protocol for mitigating the risk of COVID-19 transmission in the delivery of humanitarian assistance** to ensure the safety of humanitarian staff and those they serve in the conflict-affected areas of Luhansk and Donetsk oblasts.

This protocol seeks to provide practical and non-technical guidance to humanitarian organizations for adaptation in designing their project implementation and delivery to ensure the health and safety for both aid workers and beneficiaries – in alignment with the 'do no harm' principle.

The protocol is applicable on both sides of the 'contact line', while recognising additional access constraints on humanitarian delivery in the non-government-controlled area (NGCA). The provisions are provided as general practical recommendations and the adoption/adaptation of the protocol is subject to the discretion of each individual organisation.

The protocol should be applied in conjunction with other key global guidelines already in place[1] as relevant. The protocol is a living document which will be updated on an as-needed basis to reflect changes in operational context and/or measures and recommendations by relevant authorities.

2) ALIGNMENT WITH GLOBAL GUIDELINES AND NATIONAL REQUIREMENTS

With regards to personal protective equipment (PPE) and observing personal distance, the protocol is fully aligned with the national legislative framework of Ukraine and the WHO's COVID-19 global guidelines stipulating that:

- **Face mask is a mandatory PPE**, while other items such as disposable rubber gloves and hand sanitizers are also recommended, subject to availability.
- **Maintain at least 1.5 metre (5 feet) distance between yourself and others.** Avoid creating crowded places.

[1] These include (not an exhaustive list) (i) IASC Interim Recommendations for Adjusting Food Distribution Standard Operation Procedures in the context of the COVID-19 Outbreak; (ii) IASC Interim Briefing Note Addressing Mental Health & Psychosocial Aspects of COVID-19 Outbreak; (iii) Interim Guidance Scaling-Up Covid-19 Outbreak Readiness and Response Operations in Humanitarian Situations, Including Camps and Camp-Like Settings; (iv) WHO Disability Considerations during the COVID-19 outbreak; (v) COVID-19: How to Include Marginalized and Vulnerable People in Risk Communication and Community Engagement'; (vi) IASC Interim Technical Note, "Protection from sexual exploitation and abuse (PSEA) during COVID-19 response"; (vii) Guidelines for Mobile and Remote Gender-Based Violence (GBV) Service Delivery; (viii) GBV Case Management and the COVID-19 Pandemic; (ix) the Alliance for Child Protection during Humanitarian Action, 'Technical Note on Child Protection during the Covid-19 Outbreak'. All are available online at https://interagencystandingcommittee.org/covid-19-outbreak-readiness-and-response

3) MINIMUM REQUIREMENTS/CONSIDERATIONS TO DELIVER AID SAFELY

This section is structured around two key stages of the project management cycle – assessment and delivery, as these two components typically envisage extensive physical/face-to-face interaction with people at the community level.

The section proposes some minimum standards that every organisation is strongly encouraged to adopt regardless of the type of delivery modality employed.

3.1 ASSESSMENT

- **Consider using secondary information** (as appropriate) to avoid physical visits to communities.
- **Consider conducting interviews and surveys over the phone**, especially with communities where contacts have been established previously.
- **When household-level interviews in one-to-one format are absolutely necessary**, aid workers should wear a face mask, maintain the least physical contact feasible, maintain at least 1.5 metre distance between yourself and interviewee, conducting interviews outside when possible, avoid touching surfaces, etc - *please refer to section 3 for more information on PPE and other minimum social distancing requirement.*
- **On the day of assessment, put appropriate labels/signs/notices to avoid formation of crowds and to ensure sufficient social distancing.** Instruct beneficiaries, and clearly mark out spaces to maintain at least 1.5 metre distance from each other. Ensure that there is no physical contact between beneficiaries, chairs and sufficient numbers of protective masks (if feasible) are available.

3.2 DELIVERY MODALITIES

CASH ASSISTANCE[2]

- **Consider deliver aid using the cash modality to avoid physical contact upon two conditions** – (i) sufficient evidence to confirm that markets are functioning and accessible; and (ii) if cash is identified as a preferred modality by your targeted beneficiaries.
- **In case your programme utilises a financial service provider (FSP, e.g. post office, bank, etc) in delivering cash, give extra thought to whether or not your FSP** (as a minimum – not an exhaustive list for consideration):
    - **Has business continuity capabilities** in an environment where services may be at risk of discontinuation - in addition to solid presence and reach, ability to operate partly remotely, etc.
    - **Has the ability to provide a service that requires less contact** between the provider and the beneficiary e.g. electronic or mobile transfer options, contactless payments, etc.
    - **Has the ability to provide guarantees for distribution or retrieval of cash transfers** e.g. more retrieval points, ability to sequence payments on longer periods, etc, to prevent large crowds; ensuring availability of hand sanitizing at ATMs, etc.
    - **Has sufficient capacities to handle increased caseloads** and potential adjustments to transfer dates/amounts.

[2] Cash and Voucher Assistance (CVA) in COVID-19 Contexts: Guidance from the CaLP Network, available at https://reliefweb.int/sites/reliefweb.int/files/resources/COVID-CVA-guidance-summary-24-03-20.pdf

HOME DELIEVERY (IN-KIND ASSISTANCE)

- **Avoid entering the house, apartment, entrance hallway** if feasible, propose beneficiaries to meet outside.
- **If recommended social distancing is not possible, consider alternative methods to deliver the assistance**, such as drop-off at front door, street or household level distributions (seek engagement with community/ street leaders).
- **When handing over any items, put down the item, wipe it with an antiviral wipe, then stand back and ask the beneficiary to pick it up.** If such wipes are not available, clean the item with soap and water and wipe dry with a disposable paper towel before handing it over with clean hands or gloves.

DISTRIBUTION POINT (IN-KIND ASSISTANCE)

- **Visit potential distribution site/premises ahead of time** to ensure the venue is safe/fit (spacious enough) for use.
- **Communicate field visits as well as eligibility to receive aid criteria in advance by phone** – directly to the household or to the community leaders (village, settlement councils) to avoid the congregation of people and any misperceptions or confusion.
- **All staff are mandatorily required** to wear face mask, avoid touching their face, perform hand sanitation regularly and follow general hygiene practices.
- **Establish a clear route of distribution – from a reception point, verification point, collection point and exit to channel traffic.**
- **Set up hand washing point with adequate supply of hand wash solution.** Alcohol-based hand sanitizer may be most practical.
- **Allocate adequate areas** for the elderly, pregnant and breastfeeding women, people with disabilities and individuals with pre-existing/chronic underlying conditions.
- **Upon arrival at the distribution site, direct beneficiaries to the supervised hand washing area and then to the health screening area** to have their body temperature assessed using a non-invasive (handheld / no-touch) thermometer.
- **If a beneficiary is detected to have a fever or shows flu-like symptoms**, direct him/her for a follow up by a state healthcare official/worker, in line with national health response protocols. Inform/assure beneficiaries who do not get cleared at the health screening / temperature check areas that they will receive rations irrespective of the results of the screening.
- **On completion of distribution, ensure that the distribution point (room/ area/ tarpaulin) is swept clean and sprayed with disinfectant.**

DELIVERY OF SERVICE ASSISTANCE

- **Consider utilising technology to facilitate remote service provision** as much as possible and as feasible such as consultation by phone.
- **If physical visit to communities is absolutely necessary, ensure the venue is safe/fit (spacious enough) for use and establish a clear route of traffic** to avoid congestion, e.g. screening of body temperature, establish a queue where people are separated by at least 1.5 metre distance while waiting, putting in place a referral pathway in case a beneficiary presents with flu-like symptoms or fever.
- **Set up hand washing area with adequate supply of hand wash solution.** Alcohol-based hand sanitizer may be most practical.
- **All staff are mandatorily required** to wear face mask, avoid touching their face, perform hand sanitation regularly and follow general hygiene practices.

4.3 COMMON REQUIREMENTS FOR ALL TYPES OF ACTIVITIES AND DELIVERY MODALITIES

- **All staff are mandatorily required** to wear face masks, avoid touching their faces, perform hand sanitation regularly and follow general hygiene practices.
- **All activities should be accompanied by COVID-19 related awareness-raising information** (in Ukrainian or Russian) and, subject to available of material, distribution of information, education and communication (IEC) materials that are in line with the national recommendations.[3]
- **Ensure community engagement, clear communication and feedback mechanisms** (preferably phone, emails) are in place.
- **Limit administrative documentation requirements** that require physical contact such as signing of receipt forms etc.
- **When/if possible, optimise interaction with communities to support referral of additional needs**.
- **Consider using technology to facilitate post-distribution monitoring** such as phone calls.

5) DISCLAIMERS

- **The protocol acknowledges that new additional restrictions may be imposed** by concerned authorities/entities. Therefore, the document may require regular review and updates in case additional restriction measures are put in place.
- **Donors are requested to demonstrate flexibility in normal documentation requirements** where the production of this documentation requires close physical interaction with people receiving humanitarian assistance in order to reduce possible transmission of COVID-19.

[3] A compilation of COVID-19 key message and IEC material (compiled by Health and WASH Clusters) are available online at: https://unicef - my.sharepoint.com/:x:/g/personal/sdymkovskyy_unicef_org/EaQbf0KbI9dDsl5kQUuWfYoBBVjTGFA_Ru0lKlgPwJEQag?e=InYfUF

1. Background

The COVID-19 pandemic is impacting Country-Based Pooled Funds (CBPFs) operations in different ways. The Humanitarian Financing Units (HFUs) in the field are swiftly adapting to this new working environment and remain very dedicated to support humanitarian partners despite the challenges faced. This situation created by the novel COVID-19 pandemic requires CBPFs to respond with greater flexibility, through simplifications in the current funding arrangements, yet keeping accountability over the use of funds. After an analysis of the evolving situation and related challenges which the Funds are beginning to face, and following requests from implementing partners, OCHA has agreed to put in place some extraordinary measures that will allow all key stakeholders to continue providing life-saving assistance to those in need.

To ensure that CBPFs can have the greatest possible impact on the global efforts against this unprecedented crisis, CBPFs allocations should be in alignment with the Global HRP COVID-19[1], provided they are not at the expense of other life-saving activities that the CBPFs undertake. CBPFs should promote complementarity with other funding sources, including with the Central Emergency Response Fund (CERF).

The flexibility measures described below are also applicable to the funds that involve the Multi-Partner Trust Fund Office (MPTFO) and the United Nations Development Programme (UNDP) in the management and administration of funds.

All CBPF partners are encouraged to implement flexibility measures also for their sub-implementing partners.

This guidance note will be reviewed periodically and revised as required.

2. Flexibility measures

2.1 Risk Management Framework

All CBPFs will review their Fund risk management frameworks to integrate new emerging risks resulting from the COVID-19 pandemic. CBPFs are encouraged to collaborate with in country established mechanisms to analyze risks related to the COVID-19 pandemic, such as health and safety conditions and security. The review of the risk management framework should be endorsed by the Fund's Advisory Board (AB) and approved by the Humanitarian Coordinator (HC).

2.2 Operational modalities

2.2.1 Partner and project ceilings

CBPFs are encouraged to increase partner/project ceilings when necessary. Such adjustments will have to be time-limited (COVID-19) and require AB endorsement and HC approval. This measure does not apply to projects whereby the implementing partners are involved in a compliance matter or subject to an inquiry.

On behalf of the HC, the Fund Manager should then communicate any proposed temporary deviations to the CBPF Section and request a process waiver from OCHA's Executive Officer.

2.2.2 Monitoring and financial spot-checks

Project monitoring and financial spot checks may be adapted e.g. by using remote methodologies, desk reviews of scanned copies, remote calls or videoconference. Implementing partners are required to keep original documents for five years as per the UN Secretariat Financial rules and regulations.

[1] https://www.unocha.org/sites/unocha/files/Global-Humanitarian-Response-Plan-COVID-19.pdf

2.2.3 Audits

CBPFs may put in place offsite and remote audits, i.e. desk reviews of scanned copies. Implementing partners are required to keep original documents for five years as per the Financial rules and regulations of the UN Secretariat.

Depending on the context at country level, CBPFs may consider postponing some of the audits, rather than conducting remote audits. This decision will be taken on a case by case basis in consultation with OCHA-HQ.

2.2.4 Electronic Signature

Phase 1 as of 15 April 2020: All CBPFs accept "fill and sign" feature in PDF in lieu of all signed documents for HCs, OCHA's Executive Officer (EO) and implementing partners.

Phase 2 (date to be confirmed): All CBPFs introduce an improved electronic signature to facilitate the remote work modalities.

Stamps are not required if documents are signed electronically.

2.3 Reprogramming of projects

Based on country specific analysis of the ongoing humanitarian response and COVID-19 related needs, CBPFs can facilitate the reprogramming of existing projects in order to shift resources to priority locations and to enable urgent activities for COVID-19 prevention and responses. Implementing partners are required to explain the rationale for re-programming requests along the following criteria:

- CBPF funding is no longer required for the humanitarian emergency (or trigger) for which it was initially allocated and/or
- CBPF planned activities cannot be implemented due to the context change and the nature of the activity and/or
- COVID-19 response and early action is now a more immediate priority for life-saving humanitarian action than the humanitarian emergency for which the funding was originally allocated and/or
- COVID-19 response is complementary to the original response and would help to protect gains made under that intervention.

In cases where the requesting UN agency received CERF funding from the two global CERF allocations, UN Agencies are requested to explain why additional funding is needed through CBPFs reprogramming, and how it will complement the global CERF funding.

The Grant Management System (GMS) has been adjusted to track COVID-19 related project revisions in indicators of sectors/clusters and strategic objectives. Implementing partners are now also able to select strategic objectives and standard indicators from those included in the Global COVID-19 HRP. All reprogramming decision will be made on a case-by-case basis.

2.4 Budget

2.4.1 Cost Extension

CBPFs can allow project cost extensions in order to scale-up critical activities needed for COVID-19 responses. Cost extensions must be requested one month before the project end date must be processed via the respective revision process of the CBPF prior to approval by the HC. Progress narrative and financial reports of the current project are required as part of the request. All cost extensions are subject to partner and project ceilings as outlined in 2.2.1 and funding availability.

2.4.2 Eligibility of costs

New allocations and projects

Project start and end date dates will be explicitly stated in the Grant Agreement (delinking cost eligibility from signature date). The new project start date can be as early as the approval date of the final budget by the CBPF Finance Unit at OCHA HQ.

Ongoing allocations and projects

CBPFs can approve cost eligibility of: i) planned activities where expenses already incurred, but due to COVID-19 could not take place (travel, etc); ii) not foreseen expenses (e.g. protective equipment for staff), required for COVID-19 responses; iii) staff costs that are required to sustain project operations if implementation is temporarily suspended due to Covid-19.

2.4.3 Staff category

CBPFs extend the 15 per cent budget flexibility on staff category without prior approval. Any variation exceeding 15 per cent requires prior approval by the HFU and an amendment to the grant agreement.

2.4.4 Budget lines

CBPFs allows the creation of new budget lines within the 15 percent parameter provided that they are directly related to COVID-19 responses. The approval process can be conducted process in GMS without amendment to the grant agreement. If the new budget line(s) exceed the 15 percent ruler, the revision requires an amendment to the grant agreement. This should be requested by partner to the respective CBPF in country with justification.

2.4.5 Contingency budget line

For new allocations Implementing Partners can include a contingency budget line of up to 4 percent of total project budget under the "General Operating and Other Direct Costs" category. This approach will ensure a speedy response as this budget can be easily re-programmed and used to address needs related to COVID-19, if the situation deteriorates quickly. Contingency budget lines must be designed to facilitate rapid responses to unforeseen urgent humanitarian needs that may be outside of the original geographic location/sector, and must not be used to compensate for overspending or expansion of other ongoing/planned activities. Activation of a contingency budget line requires formal preapproval by the respective CBPF Fund Manager. Approval will be in writing and within 24 hours of request. If not utilized within the project implementation timeframe, the amount budgeted for contingencies must be refunded to the CBPF following project closure. Partners are required to provide a detailed breakdown of the utilization of the contingency budget line also via financial reporting.

2.5 No-cost extension

CBPFs offer the possibility to all CBPFs to receive a blanket no-cost extension (NCE). This option should be analyzed and endorsed by the AB at country level.

In case an AB endorses the blanket NCE, projects that fall in different categories indicated in the table below will receive a blanket NCE. In addition, this measure will allow NCE of projects that have already reached their end date and are under reporting phase, to use the unspent balance in COVID-19 related humanitarian response (see table below). In cases where unspent amount is reprogramed, prior approval is not required if the category variance is below 15%. This measure will not impact the frequency of reporting and monitoring requirements which will remain as per the original modality in the latest signed agreement.

This applies for: i) projects that are under implementation and before reaching the end-date of the project; and ii) projects that are in the reporting phase before having submitted their final narrative or financial reports.

The NCE will modify the agreement and extend the project duration, without requiring any process in GMS or an amendment to the original agreement for the agreed extension. An approval letter from OCHA will be shared with the implementing partners.

The blanket NCE will not apply to projects whereby their implementing partners are involved in a compliance matter or subject to an inquiry.

	Category	NCE Impact
Cat 1	If the Project end date is in between- 15 May - 30 June 2020 (the range may change following AB's endorsement)	NCE until 31 August 2020
Cat 2	If the Project end date is in between 1 December 2019 – 14 May April 2020- but has not submitted the final narrative or financial report (the range may change following AB's endorsement)	NCE until 30 June 2020
Cat 3	Projects in both categories 1 and 2 above will be reviewed in May 2020 if further flexibility is required	
Note: In GMS, all projects under categories 1 and 2 will be revised and 'COVID-19 revision type' will be created for ease of reference. New operational modalities triggered as a result of the NCE will be waived based on COVID-19 justification. Existing due dates for FFR and FNR will be extended based on new end dates. The Performance Index question for the revision of the category will be set to "justified revision request".		