

**DRC JOINT HUMANITARIAN FINANCING UNIT  
OCHA/UNDP  
2015 Project Document**

## **I. PROJECT BACKGROUND**

In 2005, the DRC Joint Humanitarian Financing Unit (Joint Pooled Fund Unit) was established to ensure the integrated management of the DRC Common Humanitarian Fund (Pooled Fund) under the overall responsibility of the UN Humanitarian Coordinator (HC). The Pooled Fund is the principle source of funding for the implementation of priority humanitarian programmes in the Humanitarian Response Plan (HRP). The Pooled Fund helps to ensure the prompt, needs-based allocation of humanitarian resources in close consultation with donors, UN agencies and NGOs, under the overall coordination of the HC. The Pooled Fund mechanism allocates resources based on the priority needs identified in the HRP and reduces multiple, potentially competing, channels through which humanitarian projects are funded.

The Pooled Fund continues to be a key source of humanitarian funding in DR Congo. In 2014, it represented approximately 10% of the total HRP contributions.

The Pooled Fund serves as a mechanism through which donors make un-earmarked contributions to the priorities identified in the HRP. The Pooled Fund Advisory Board is responsible for recommending fund allocations to the Humanitarian Coordinator on the basis of the priority projects/activities identified by national and provincial cluster and inter-cluster working groups. The Board is chaired by the HC and is a consultative forum for key humanitarian donors, both contributors and non-contributors to the Pooled Fund. UN agencies also participate in the Board in their capacity as cluster representatives and 3 NGOs as implementing partners representatives

The Board is assisted by OCHA and UNDP through the Joint Humanitarian Financing Unit. The collaborative work of OCHA and UNDP has progressively refined the allocation process, and has improved the overall management of the fund.

The Joint Humanitarian Financing Unit, headed by OCHA, ensures essential functions throughout the entire project cycle: definition and dissemination of allocation procedures and criteria set out by the HC and the Board; support to the coordination mechanism during the allocation process; facilitation of project pre-selection coordination of the technical revision with national cluster leads; collection of financial and narrative reports and the establishment of a project management and monitoring mechanism. In collaboration with the clusters the Unit also ensures the development and implementation of a reporting mechanism for all projects financed by the Fund.

## **II. THE JOINT HUMANITARIAN FINANCING UNIT: ROLE AND RESPONSIBILITIES**

Under the overall guidance of the Humanitarian Coordinator, and under the direct supervision of the OCHA Head of Office and UNDP Country Director, the Joint Humanitarian Financing Unit aims to manage the Pooled Fund in DRC in an efficient and effective manner. The Unit's specific functions are to:

- Support the Pooled Fund project cycle from the launch of the allocation process to project closure, through advisory services, oversight, technical reviews, disbursement of funds, etc.;
- Provide technical advice on the allocation process, project management and monitoring to the Board;
- Facilitate timely and efficient management, monitoring and reporting of Pooled Fund-financed projects;
- Ensure enhanced coordination among donors contributing to DRC humanitarian programmes outside of the Pooled Fund mechanism in order to promote strategic and operational adjustments to the Fund, where necessary, and to inform resource allocation decisions;
- Provide advice and support to Participating UN Organizations and implementing partners to improve HRP (Humanitarian Response Plan) monitoring and evaluation activities;
- Provide a broad communication on Pooled Fund-related issues and to ensure information sharing with stakeholders at all levels;
- Develop, implement and maintain a web-based Pooled Fund database;

- Establish an online Pooled Fund project management to using SharePoint technology.

OCHA and UNDP will continue to fulfil their respective roles and responsibilities as stated in the Memorandum of Understanding and Pooled Fund Terms of References. Under the coordination of the Humanitarian Coordinator, the roles within the Joint Unit are distributed as follows:

## II.A ROLE OF OCHA

OCHA is responsible for the overall supervision and coordination of the Joint Unit on behalf of the Humanitarian Coordinator.

OCHA ensures that Pooled Fund projects are funded according to the objectives of the HRP.

OCHA works closely with the Humanitarian Country Team and technical cluster working groups at the national and provincial levels.

OCHA facilitates the project selection process for submission to the Humanitarian Coordinator and the Pooled Fund Board with the national cluster coordinators and provincial humanitarian coordination structures playing a crucial role in the process.

OCHA acts, together with UNDP, as secretariat of the Board ensuring regular communication between the Humanitarian Coordinator, Board members, UN agencies and NGOs on all matters concerning Pooled Fund management and allocations.

More specifically, the role of OCHA is to:

- Advise the HC and the Board on PF allocation strategies;
- Produce guidelines on procedures and criteria as defined by the HC and ensure dissemination and support on the spot in this regard;
- Ensure communication and support to CPIAs and cluster working groups at the national and provincial levels;
- Provide support to the HCT and cluster technical working groups to identify priority needs and develop strategies in line with the HAP Support the project selection process led by the national cluster leads in consultation with cluster co-facilitators, to ensure the exchange of information between the CPIAs and provincial cluster working groups;
- Facilitate the project selection process for emergency funding requests in accordance with HC decisions;
- Monitor UN Agency and NGO projects throughout the project cycle;
- Maintain regular communication with stakeholders particularly through the web site;
- Coordinate Pooled Fund financing with humanitarian projects supported by other donors to ensure complementarity;
- Support the outcome monitoring of projects funded by the Pooled Fund in coordination with cluster lead agencies at the national and/or provincial levels;
- Provide substantial input to the mid-year review of the HRP;
- Provide advice on needs assessments for new crises or emergency situations, as requested ;
- Compile the consolidated Pooled Fund annual report.

## II.B ROLE OF UNDP

UNDP plays two roles within the Pooled Fund mechanism: one as Administrative Agent (AA) of the Fund and second as a UN Participating Organization as the Managing Agent (MA). As AA, UNDP's primary responsibility is to disburse funds to recipient UN agencies, and the International Organisation of Migration (IOM). As UN Participating Organisation, UNDP manages the funds allocated to NGO partners.

**UNDP as Administrative Agent** is responsible for the:

- Receipt, administration and management of Donors contributions;
- Disbursement of such funds to the Participating UN Organisations in accordance with the decisions of the Humanitarian Coordinator;
- Collection and analysis of financial reports from Participating UN Agencies;
- Provision of financial reports for the PF Account to the Humanitarian Coordinator, each contributing donor to the PF, and the Pooled Fund Advisory Board, in compliance with the Pooled Fund MoU, SAA and ToR.

**UNDP, in its capacity as a Participating UN Organisation**, manages the NGO project portfolio in accordance with its own rules, regulations, directives and procedures,

As Managing Agent, UNDP provides access to the Pooled Fund to NGO partners. UNDP uses a modified NGO execution modality for this purpose and charges the corresponding direct and indirect costs to the PF in accordance with its financial rules and regulations. The Humanitarian Coordinator retains the responsibility for allocating funds to NGOs selected through the allocation process as defined in the ToR. NGO partners funded through the Pooled Fund must abide by UNDP rules and regulations.

As Managing Agent, UNDP manages the NGO project portfolio and is responsible to:

- Assess the capacity of NGO partners selected by clusters. The assessment is based on guidelines provided by UNDP;
- Assign a risk classification to NGO partners in line with the HACT (Harmonized Approach to Cash Transfers) system;
- Administer contracts (signature of project agreements and amendments, reviewing required supporting documents, etc.);
- Ensure financial management of projects, including disbursement of funds; and
- Provide support to partners' on Pooled Fund procedures and to follow up on audit and financial verification visit recommendations.

## **II.C JOINT ROLE UNDP-OCHA**

### **II.C.1 Support to strategic analysis and identification of priority needs**

The Joint Unit ensures the broad dissemination of information about the Pooled Fund allocations process. It also provides support to the Provincial Interagency Committees (CPIAs) and provincial cluster working groups by making regular visits to all provinces to work on the development of provincial strategies and priority project identification.

### **II.C.2 Project technical revision**

Projects are selected from the project concept notes submitted and approved by the '**validation committees**'. The Joint Unit advises the HC on the projects submitted. The HC approves a list of project concept papers for which the technical committee (UNDP/OCHA, NGOs, PF Donors and relevant cluster lead and/or cluster members) will conduct an in-depth technical review of a fully developed project proposal. The technical review process has been progressively strengthened by the development of common guidelines. OCHA and UNDP facilitate the technical review process in strict collaboration with cluster lead agencies and Pooled Fund Board members who have manifested their interest in participating in the review process.

Specific OCHA and UNDP joint tasks may be described as follows:

- Develop and distribute standard guidelines;
- Lead the technical review process for the finalisation of project proposals;
- Ensure NGO capacity and project assessments;
- Coordinate with relevant cluster leads, co-facilitator(s), partner organisations and other members of the review committee;
- Oversee the technical review process and provide regular feedback to partners, the HC and the Board;
- Provide technical support to NGOs and UN Agencies on the preparation and finalisation of project proposals, upon request. .

### **II.C.3 Monitoring and Reporting**

Monitoring and reporting remain key tasks for the Unit. The size of the fund and the number of projects managed by the Pooled Fund require a dedicated unit to accurately perform these roles.

The Monitoring and Reporting unit will provide a field presence that will allow for regular project visits.

OCHA and UNDP's and's joint role monitoring and reporting will include:

- Defining and refining the current reporting system for PF projects;
- Monitoring and reporting on project activities in accordance with the MoU, SAA and the ToR of the DRC Pooled Fund;

- Exploring the possibility to develop cluster-based monitoring activities in coordination with cluster lead agencies and cluster working groups;
- Maintaining regular information flow on Pooled Fund allocations to the HC, to the Board and to all members of the humanitarian community in DRC, including the Government, and donors not participating in the Pooled Fund;
- Maintaining and progressively developing monitoring and reporting tools on the SharePoint.

#### **II.C.4 Advisory services and communication**

The Joint Unit will provide the Pooled Fund Advisory Board, the HC, and donors with technical advice and support on all decisions related to Pooled Fund. This includes advising on sector and cross-sector reviews as needed, and, in consultation with CPIAs and cluster technical working groups, on external evaluations or reviews conducted by donors in relation to the Pooled Fund, etc.

The Unit will also further develop and sustain the communication strategy developed in 2008 focusing on the regular distribution of information, improving the user-friendly website and expanding web-based services and access to projects details and information.

#### **II.C.5 Secretariat of the Pooled Fund Board**

The Joint Unit serves as the Pooled Fund Advisory Board Secretariat.

### **III. JOINT HUMANITARIAN FINANCING UNIT STRUCTURE AND STAFFING**

The Joint Unit will be under the supervision of the Humanitarian Coordinator through the OCHA Head of Office and the UNDP Country Director.

While there is an ongoing review of the 'organizational chart' and job and task descriptions, the main functions currently performed by the Joint Unit are: PF Advisory Board Secretariat technical review of projects, project management, monitoring/evaluation and general reporting, and are carried out by the following team:

#### **OCHA Staff**

Supervision and management

- 1 HAO/ Head of the Joint Humanitarian Financing Unit (P5)

PF administration, project technical review, financial tracking, monitoring and reporting

- 1 HAO/M&E Officer (P4)
- 1 HAO/Pooled Fund Project Officer (P3)
- 1 National Officers (NOB)
- 1 National Officer (NOA)
- 1 Database Officer (GS 7)
- 1 Administrative Assistant (GS 6)
- 4 Evaluators (NOA)

#### **UNDP Staff**

Participating UN Organization as Management Agent

Supervision and management

- 1 Administrative and Finances Responsible (P4)

NGO project administration, technical review, financial monitoring and reporting

- 2 Program Analysts (SB3-CS7)
- 1 Expert Finance Analyst (SB4-CS8)
- 2 Finance Associate (SB3-CS6)
- 1 Expert Assurance and Quality (SB4-CS8)
- 1 Administrative Associate (SB3-CS6)
- 2 drivers (SB1-CS2)