

## APPENDIX 7.7 for the ECW Operational Manual

### ECW Programme Risk Procedures

Confirmed September 2020

#### First Emergency Response

##### Programme Proposal & Approval

- Programme and grantees prioritized at country level by relevant coordinating body (e.g. Education Cluster, Education Sector/EiE Working Group, LEG etc).
- Risk Analysis completed by grantees & QA'd by Risk Manager, ECW Secretariat.
- Full programme QA'd by ECW Secretariat experts on education, gender, M&E and budgeting.
- Approval by ECW Director (and ExCom if >\$3m or UNICEF is grantee).

##### NGO Grantee Requirements

- Evidence must be provided by any NGO grantees of being micro-assessed as low or moderate risk. Local or national NGOs will not be funded directly by ECW except in exceptional circumstances, approved by ECW Director. Due to FER time considerations, the ECW Secretariat will not commission new micro-assessments in support of an application.
- Evidence of safeguarding policies must be provided by any NGO grantees before approval.

##### Grant Confirmation & Disbursement

- Grant Confirmation Letter signed by grantees – details their fiduciary, programmatic and safeguarding responsibilities.
- NGOs receive a first tranche of funding equivalent to 75% of grant funds upon signing the Grant Confirmation Letter. A second instalment with the remaining 25% is disbursed upon the review and approval by the ECW secretariat of satisfactory mid-term reports.

##### Programme Reporting, Monitoring & Audit

- Grantees submit 6-month financial and narrative reports, analysed by ECW Secretariat.
- Fiduciary risk spot checks on all NGO grantees, conducted by UNICEF's independent Financial Management Advisor (FMA) and spot check results analysed by Grants and Recipient Support Specialist and Finance Specialist, ECW Secretariat.
- If concerns from spot check, ECW Secretariat may commission a Special Audit.
- ECW Secretariat will conduct field visits to selected FER programmes, notably large investments or countries which are also eligible for MYRPs.
- Third-party programmatic monitoring for all NGO grantees will be established in 2019.
- NGO projects over \$500,000 will have to provide an audit report from a recognized accounting

## **ECW Programme Risk Procedures**

### **Multi-Year Resilience Programme**

#### **Programme Proposal & Approval**

- ECW Secretariat mission at start of development process for MYRP.
- Programme and grantees developed at country level involving all key partners (govt, humanitarian and development coordination bodies, UN agencies, civil society, donors etc).
- Risk Analysis (including extended safeguarding section) completed in proposal and QA'd by Risk Manager, ECW Secretariat.
- Full programme Quality Assured by Secretariat experts on education, gender, M&E and budgeting.
- Proposal must include monitoring framework.
- Budget must include lines for mid-term review and final evaluation.
- Assessment by technical review panel and approval by ECW Director and by Executive Committee.

#### **NGO Grantee Requirements**

- Any NGO grantees must be micro-assessed. As with FER projects, no local or national NGOs can be direct grantees of ECW, but can receive funds as a sub-grantee of a UN agency or in a consortium with a international NGO.
- Evidence of safeguarding policies must be provided by any NGO grantees before approval.

#### **Approval & Disbursement**

- Grant Confirmation Letter signed by grantees – details their fiduciary, programmatic and safeguarding responsibilities.
- Disbursements to grantees made in annual tranches, depending on satisfactory programme progress.

## **Programme Reporting, Monitoring & Audit**

- Monitoring and risk management procedures as set out in the programme proposal (will vary by MYRP).
- Programme Management Unit (PMU) oversees implementation, reporting and monitoring of the MYRP under the supervision of the Programme Steering Group.
- ECW Secretariat monitoring framework supports Secretariat's oversight (to be developed).
- ECW Secretariat country focal point in regular contact with grantee and undertakes monitoring mission at least once per year.
- Risk framework updated once per year.
- Mid-term review and final evaluation conducted.