

Requesting Organization :	United Nations Operation Services				
Allocation Type :	Reserve 2016				
Primary Cluster	Sub Cluster	Percentage			
Enabling Programmes	Other	100.00			
		100			
Project Title :	Risk Management Unit (RMU)				
Allocation Type Category :					
OPS Details					
Project Code :		Fund Project Code :	SOM-16/3485/R/EP/UN/2588		
Cluster :		Project Budget in US\$:	119,658.28		
Planned project duration :	12 months	Priority:			
Planned Start Date :	01/09/2016	Planned End Date :	31/08/2017		
Actual Start Date:	01/09/2016	Actual End Date:	31/08/2017		
Project Summary :	To support the safe and effective delivery of humanitarian aid across Somalia through the provision of tailored risk management services to humanitarian actors (UN agencies, NGOs, donors), including training, risk assessments, and technical advice on risk management approaches				
Direct beneficiaries :					
	Men	Women	Boys	Girls	Total
	500	500	0	0	1,000
Other Beneficiaries :					
Beneficiary name	Men	Women	Boys	Girls	Total
Indirect Beneficiaries :					
Humanitarian actors (NGOs, UN agencies, donors)					
Catchment Population:					
Link with allocation strategy :					
The project supports all allocations and potential all SHF partners					
Sub-Grants to Implementing Partners :					
	Partner Name	Partner Type	Budget in US\$		
Other funding secured for the same project (to date) :					
	Other Funding Source	Other Funding Amount			
Organization focal point :					
Name	Title	Email	Phone		
Marc Jacquand	Head - RMU	marc.jacquand@one.un.org	254 719 229 312		
BACKGROUND					
1. Humanitarian context analysis					

Despite modest improvements since the 2011 famine (which triggered the establishment of the RMU), humanitarian needs in Somalia remain acute. About 4.9 million people are in need of life-saving and livelihoods support and 1.1 million are internally displaced. As such, Somalia constitutes one of the largest humanitarian crises in the world, and half of UN expenditures (outside of UNSOS support to AMISOM) are spent on humanitarian assistance.

The RMU was established in October 2011 to support humanitarian activities with focused and high quality risk management services, to enable better informed decisions about the financial, programmatic and reputational risks that the UN (and other actors) face in Somalia's highly complex operating environment. In 2016 and 2017, in a highly charged and fluid political context (pre and post elections), recurring natural disasters (floods and droughts) and with military operations continuing unabated, it is expected that humanitarian actors will face increasing pressures and operating risks that require sustained attention.

The project is designed to support the entire range of humanitarian needs across Somalia, RMU services are provided to all humanitarian actors, to allow them to deliver on their respective mandates more effectively, and utilize funds (including SHF resources) with a higher degree of fiduciary standards. Services include partner risk analysis, tailored risk management advice, trainings (in class and online), and monitoring (see below).

2. Needs assessment

The context in Somalia requires continued support from RMU to offer services and respond to emerging needs.

Member state and donor scrutiny on how funds are used (in a global context marked by competition for limited resources) has increased the imperative to maintain robust risk management practices to ensure that aid is delivered in a transparent and efficient manner to beneficiaries. Such imperative, which was first articulated in the Paris Declaration (2005), the Accra Agenda for Action (2008) and the Fourth High Level Forum on Aid Effectiveness (2011), received renewed impetus at the World Humanitarian Summit (2016).

While the humanitarian community in Somalia has made great strides since 2011 in strengthening its risk management practices to increase transparency and manage fraud, the misappropriation of assistance remains a serious challenge. An upcoming report from Transparency International indicates that corruption and aid diversion continue to plague humanitarian delivery and much more needs to be done across the spectrum of humanitarian actors (donors, UN, NGOs) to improve practices.

The RMU continues to be uniquely placed to support humanitarian actors in Somalia in meeting this challenge, with a dedicated and expert capacity to support all actors through a range of services, in collaboration with agency risk focal points and with the UN leadership.

Furthermore, on-going initiatives such as stabilization efforts in newly recovered areas and upcoming national milestones such as the elections will result in increased examination of how international assistance is provided and in the need for collective approaches to risk management, which in turn call for greater coordination and increased dialogue among partners.

Finally, these developments, which will be subjected to unforeseen twists and turns, are taking place in a context of constrained financial resources and increased emphasis on value for money. Hence the need for common, practical approaches amongst the UN, donors and NGOs, which necessitate new tools and shared data platforms (as offered by RMU)

3. Description Of Beneficiaries

The project provides services to all humanitarian actors, for the potential benefit of all beneficiaries of humanitarian assistance.

4. Grant Request Justification

Since 2011, the RMU has expanded its range of services and its client base, to ensure support to all humanitarian actors (and beyond). It now offers eight service lines, all designed to support the safe and accountable delivery of aid:

1. Risk assessment / analysis of partners, sectors or projects (with tailored treatment measure recommendations across a range of potential risks: fiduciary, integrity, partner management, etc.) - these assessments are based on the ISO 31000 international standard
2. Technical advice to partner on its/their own risk management procedures
3. Information sharing and treatment (through the CIMS database to enhance and facilitate due diligence efforts - the database currently holds information on \$4.1 billion of UN contracts)
4. Trainings (in class and online) for all staff
5. Risk management of the UN MultiPartner Trust Fund
6. Development of collaborative approaches/tools/guidance (e.g. common minimum diligence standards, fraud management, due process, etc.)
7. Best practice dissemination
8. Monitoring of projects and ad hoc support to UN investigation units

Through these services, RMU has played a critical part in the UN system and the international community's ability to deliver assistance in Somalia since 2011. It has been generously supported by a range of donors: DFID, Denmark, USAID and CHF in its first three years, and Denmark, Sweden, Norway since then through their contributions to the MPTF

The budget from September 2016 through August 2017 marks a transition. RMU has undergone a restructuring process, reduced its operational budget by 15% and reduced its reliance on donor funding by 50% (from 2014 levels), with the objective of being fully internally funded (UNCT cost share, HQ support) by September 2017. SHF funding is needed to support RMU during this transition year (10% of its budget, with 40% coming from donors, and 50% from HQ and UNCT support)

5. Complementarity

LOGICAL FRAMEWORK

Overall project objective

The RMU is a service provider of the UN Somalia that helps UN agencies and international partners better understand and manage the risks of operating in Somalia.

Through the development of risk management tools and services, including risk management advice and assessments, in-class training, monitoring support, and the development of the Contractor Information Management System (CIMS), the RMU's work has resulted in greater awareness of the risks and a more open dialogue regarding risk management. Initial efforts have led to a greater level of assurance in the selection of partners, and in improved programme planning and implementation. The ability to collect and share information to identify reputable and dependable partners has reduced the scope for diversion and misappropriation. The RMU has contributed to strengthened agency due diligence processes; identified fraud and inflation of costs, uncovered undeclared links between partner entities, and led the development of approaches to collective risk identification and risk mitigation.

Through this project, the RMU's strategic objective is to simultaneously consolidate gains made, and continue to develop new and innovative service lines, through increased engagement with partners and in response to the evolving operating environment in Somalia.

Enabling Programmes

Cluster objectives	Strategic Response Plan (SRP) objectives	Percentage of activities
Strengthen coordination to support delivery of humanitarian aid to ensure equal access for women, girls, boys and men	Somalia HRP 2016	100

Contribution to Cluster/Sector Objectives : The project is designed to support potentially all objectives and interventions.

Outcome 1

Coordinated, transparent and safe delivery of international assistance throughout Somalia

Output 1.1

Description

Increased information sharing, both within the UN and between the UN, government donors, and NGOs

Assumptions & Risks

Partner willingness to engage and share information
Need for secure and robust information sharing protocols
Risk of misuse of information, deteriorating trust

Activities

Activity 1.1.1

Standard Activity : Not Selected

- Convene Risk Management Focal Points within the UN, and with donors/NGOs, to share information and design common responses to risk management/corruption/aid diversion challenges

Indicators

Code	Cluster	Indicator	End cycle beneficiaries				End cycle
			Men	Women	Boys	Girls	Target
Indicator 1.1.1	Enabling Programmes	Number of NGO, donor, or gov requests for Risk Management support (information, technical assistance, etc.) to RMU					20

Means of Verification : RMU quarterly report

Indicator 1.1.2	Enabling Programmes	None					0
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Means of Verification : N/A

Output 1.2

Description

Enhanced collective risk management approaches

Assumptions & Risks

Partner willingness to engage in collective management tools
Cost of collective management approaches

Activities

Activity 1.2.1

Standard Activity : Not Selected

Develop common risk management/risk assessment tools, further develop common Risk Management Database to include new features (GIS features, partner performance multi-ratings, partner profile section)

Indicators

Code	Cluster	Indicator	End cycle beneficiaries				End cycle
			Men	Women	Boys	Girls	Target
Indicator 1.2.1	Enabling Programmes	Number of collective risk management tools agreed and used by the UNCT as developed by the Risk Working Group, such as information sharing protocol re: investigations; civil servant payment tracking system; GIS mapping of high risk partner; harmonized hi					3
Means of Verification : UNCT minutes (bi-monthly)							
Indicator 1.2.2	Enabling Programmes	Number of collective risk management tools agreed and used between UN, donors, and NGOs in Somalia as defined jointly by the UN and NGOs. Examples include: fraud management tool, Due Diligence Protocol, Risk Management framework for NGOs					2
Means of Verification : Minutes of the Multi-Party Forum, RMU records							
Indicator 1.2.3	Enabling Programmes	None					0
Means of Verification :							
Output 1.3							
Description							
Organizational risk management capabilities strengthened							
Assumptions & Risks							
Partner willingness to receive and incorporate RMU technical assistance							
Activities							
Activity 1.3.1							
Standard Activity : Not Selected							
Provide on demand trainings to Clusters; provide tailored technical assistance on risk management to individual humanitarian actors							
Indicators							
Code	Cluster	Indicator	End cycle beneficiaries				End cycle
			Men	Women	Boys	Girls	Target
Indicator 1.3.1	Enabling Programmes	Number of training services provided to UN agencies, NGOs, and/or government counterparts on risk management approaches: ISO 31000 methodology, risk management cycle, fraud management, information security, risk assessment, etc.					4
Means of Verification : Training evaluations; On-line training records (daily)							
Indicator 1.3.2	Enabling Programmes	None					0
Means of Verification :							
Additional Targets :							
M & R							
Monitoring & Reporting plan							

The Monitoring and Reporting Plan for RMU is embedded in the Joint Programme on Enablers (RCO, RMU, UNSS).

Monitoring

The result framework (see previous tab) includes indicators and means of verification, including sources and frequency. It will be used as the Projectmonitoring framework, and will inform the content of the quarterly and annual reports (see below)

Reporting

The Resident Coordinator’s Office will assume responsibility for coordinating overall programmatic reporting of this Project. In consultation with the RCO, UNDP, UN Women, and UNOPS will assume responsibility for financial reporting of their respective activities

The RMU Programme Board (as part of Programme Board for the Joint Programme on Enablers) will receive the following reports and the below stated frequency,:

- Quarterly Report (Activity Report and Financial Status), within one month of the end of each quarter
- Annual Report (Activity Report and Financial Status)
- End of Project Report (Activity Report and Financial Report)
- Any other report as may be deemed necessary by the ProgrammeBoard.

Evaluation

Evaluation of RMU will be embedded in the evaluation plan for the Joint Programme. This Joint Programme will conduct an end-of-project evaluation will be undertaken following the termination of this one-year Joint Programme. This evaluation will be undertaken under the leadership of the Programme Board and will also review proposals for continued sustainable financing of the Enablers. of which RMU is a part.

Workplan													
Activitydescription	Year	1	2	3	4	5	6	7	8	9	10	11	12
Activity 1.1.1: - Convene Risk Management Focal Points within the UN, and with donors/NGOs, to share information and design common responses to risk management/corruption/aid diversion challenges	2016									X	X	X	X
	2017	X	X	X	X	X	X	X	X				
Activity 1.2.1: Develop common risk management/risk assessment tools, further develop common Risk Management Database to include new features (GIS features, partner performance multi-ratings, partner profile section)	2016									X	X	X	X
	2017	X	X	X	X	X	X	X	X				
Activity 1.3.1: Provide on demand trainings to Clusters; provide tailored technical assistance on risk management to individual humanitarian actors	2016									X	X	X	X
	2017	X	X	X	X	X	X	X	X				

OTHER INFO

Accountability to Affected Populations

The overall objective, vision, and indicator of good risk management is increased accountability to beneficiaries and increased impact (including by ensuring 'Do no Harm' and reducing aid diversion).

The RMU supports the development and implementation of risk management approaches and tools designed, inter alia, to increase accountability to affected populations. Examples include call centers and third party monitoring to ensure that funds and services are provided as envisioned.

Implementation Plan

In addition to the provision of direct support to partners (on demand: training, technical guidance, information sharing, risk assessments), the RMU's strategic objective of greater engagement and active coordination of risk management practices will be implemented through the following means:

Coordination

1. The UN Risk Working Group: this internal mechanism has been operationalized since July 2014 and is designed to develop concrete solutions for a selected list of UN risk management approaches as well as to harmonize UN messages and inputs into broader consultation forums.

2. The Multi-party Risk Forum: this mechanism, convened by the RMU on a bi-monthly basis on average, was established in November 2014. It brings together representatives from the donor community, NGOs, the World Bank and the UN to create greater awareness of respective risk management approaches, needs and constraints, and reach consensus on practical solutions on issues such as access to information and collaborative monitoring. Existing coordination and information sharing structures (DPF, HCT, etc.) provide the platform for reporting on progress made.

Partnerships

The value proposition for a partnership with the RMU resides in the provision impartial, client tailored, advisory services designed to accelerate the delivery of effective and accountable assistance in Somalia.

The principles of partnership include:

- Reciprocity: what the RMU is able to provide to any partner is directly correlated with what the partner contributes.
- Clarity: the RMU will continuously communicate to its partners what it does (e.g. risk related advice) and what it does not do (e.g. investigations).
- Confidentiality: the RMU engages with partners on the basis of well-established standard operating procedures regarding the protection of sources and the use of information being provided.

Beyond the support provided to the aforementioned coordination structures and in addition to regular bilateral relationships, the RMU will intensify its engagement with a range of internal and external actors and structures.

Within the UN, the RMU will systematically engage with the system's various coordination mechanisms, such as UNDSS security structures and the M&E working group, to ensure complementarity of approaches, facilitate the sharing of information and identify opportunities for mutual support.

The RMU will in particular develop specific partnerships with UNSOM's analytical units (such as the Integrated Assessment Team - IAT) to develop an integrated risk analysis product, and with the New Deal/Stabilization team to advise on risk related dimensions of stabilization initiatives. Collaboration with the SEMG will also be strengthened.

The RMU will also participate, through its new strategic risk analyst function, in the Joint Planning Unit (JPU) programming forum, which is being established to accelerate the translation of programmatic ideas into delivery on the ground, with a focus on initiatives that bring together both mission sections and UN agencies.

The RMU will continue to engage with agency audit and investigations units, in a support and advisory capacity, as well as with the pooled fund mechanisms, such as the SHF and the UN MPTF.

With donors and NGOs, the UN commits to increasing its outreach and communication through briefings and participation in risk management related discussions.

The RMU will continue, and enhance, the provision of tailored support to both NGOs and donors, from risk assessments to trainings and technical advice on institutional risk management practices and policies.

With the World Bank, the RMU will increase its engagement notably on the design and implementation of the SDRF trust fund risk management frameworks as well as on discussions with Somali authorities.

With government, the RMU will explore engagement opportunities in the areas of tr

Coordination with other Organizations in project area

Name of the organization	Areas/activities of collaboration and rationale
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Environment Marker Of The Project

Gender Marker Of The Project

1- The project is designed to contribute in some limited way to gender equality

Justify Chosen Gender Marker Code

Protection Mainstreaming

Country Specific Information

Safety and Security							
Access							
BUDGET							
Code	Budget Line Description	D / S	Quantity	Unit cost	Duration Recurrence	% charged to CHF	Total Cost
Staff and Other Personnel Costs							
1.1	Risk Analyst (Nairobi)	D	1	120,000.00	1	17.20	20,640.00
	<i>International UNOPS Contractor</i>						
1.2	Risk Analyst (Mogadishu)	D	1	117,000.00	1	17.20	20,124.00
	<i>International UNOPS Contractor</i>						
1.3	Information Management Officer (Nairobi)	D	1	61,112.00	1	17.20	10,511.26
	<i>National UNOPS Contractor</i>						
1.4	Information Management Assistant (Nairobi)	D	1	24,720.00	1	17.20	4,251.84
	<i>National UNOPS Contractor</i>						
1.5	Database Manager (Nairobi)	D	1	30,000.00	1	17.20	5,160.00
	<i>National UNOPS Contractor</i>						
1.6	NGO Liaison Officer (Nairobi)	D	1	64,416.00	1	17.20	11,079.55
	<i>National UNOPS Contractor</i>						
1.7	Monitoring Assistants (Mogadishu)	D	2	33,534.00	1	17.20	11,535.70
	<i>National UNOPS Contractors (includes Dahabshiil related costs of 2% of salary)</i>						
	Section Total						83,302.35
Supplies, Commodities, Materials							
2.1	ICT expenses	D	1	5,520.00	1	17.00	938.40
	<i>Database server costs (RMU contract management database), hosted by UNDP Somalia - this includes hosting fee and basic maintenance - on annual basis (database already purchased_</i>						
	Section Total						938.40
Contractual Services							
4.1	Consultants	D	1	5,000.00	1	17.00	850.00
	<i>RMU employs consultants on ad hoc basis for various tasks: research, and very technical tasks related to the RMU database (e.g. upgrades, new features, etc.)</i>						
	Section Total						850.00
Travel							
5.1	Travel to Somalia	D	1	50,400.00	1	18.00	9,072.00
	<i>Based on 2014-2015 travel expenditures: covers travel to Mogadishu, Hargeisa and Garowe for support to UN agencies, risk management meetings with government; assistance to Programme Managers on use of RMU database. Covers travel budget for entire team. 72 trips a year (or 9 per staff member, noting that Head of RMU travels an average of 2.5/month). Average cost of each trip (2 days) is \$700: \$500 for travel (average between UNHAS and UNSOS); \$106 for danger pay; \$40 for terminal expenses in Nairobi, and DSA for 2 days (reduced rate).</i>						
	Section Total						9,072.00

General Operating and Other Direct Costs										
7.1	Petty cash	D	1	5,000.00	1	17.00	850.00			
<i>Used for: Travel across Mogadishu (national monitoring agent), RMU anonymous cell phone (for monitoring), small supplies (office supplies, GPS tracking device, reimbursement of internet bungsles when Somalia national staff work from home) - this is annual costs.</i>										
7.2	UNOPS direct costs for administrative support	S	1	29,926.00	1	17.00	5,087.42			
<i>UNOPS standard DPC, calculated by UNOPS corporate, to cover support in the area of contract management (recruitment, salary payments, etc.) and travel support (to Somalia: MOPs, etc.)</i>										
7.3	Training	D	4	10,000.00	1	17.00	6,800.00			
<i>RMU provided trainings to NGOs and UN agencies across Somalia: 4 a year: Garowe, Mogadishu (2x) and Dollow are planned for this year. Each training brings together 20-25 entities. This covers DSA and cost of facilities, security related costs (escorts) and DSA for partners</i>										
7.4	Contingency	D	1	5,000.00	1	17.00	850.00			
<i>Unforeseen expenditures, e.g. SSAFE training course if new staff is recruited, new CIMS upgrade required, replacement of equipment (e.g. PPE in Mogadishu),</i>										
7.5	Staff training / professional development	D	7	3,000.00	1	17.00	3,570.00			
<i>RMU staff training: one per year for 7 staff</i>										
7.6	RM workshop	D	1	3,000.00	1	17.00	510.00			
<i>Annual conference/workshop in Nairobi _ covers cost of venue</i>										
Section Total							17,667.42			
SubTotal			26.00				111,830.17			
Direct								106,742.75		
Support								5,087.42		
PSC Cost										
PSC Cost Percent								7.00		
PSC Amount								7,828.11		
Total Cost								119,658.28		
Grand Total CHF Cost								119,658.28		
Project Locations										
Location	Estimated percentage of budget for each location	Estimated number of beneficiaries for each location					Activity Name			
		Men	Women	Boys	Girls	Total				
Banadir -> Mogadishu -> Mogadishu	100	500	500			1,000	Activity 1.1.1 : - Convene Risk Management Focal Points within the UN, and with donors/NGOs, to share information and design common responses to risk management/corruption/aid diversion challenges Activity 1.2.1 : Develop common risk management/risk assessment tools, further develop common Risk Management Database to include new features (GIS features, partner performance multi-ratings, partner profile section) Activity 1.3.1 : Provide on demand trainings to Clusters; provide tailored technical assistance on risk management to individual humanitarian actors			

Documents

Category Name	Document Description
Signed Project documents	JP On Enablers Programme Document.pdf
Project Supporting Documents	RC Letter - UNOPS OCHA Grant - Support to RMU.pdf