

1.3 PCM & RACI



Name of facilitator
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LOCATION - DATE

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SETTING THE SCENE:

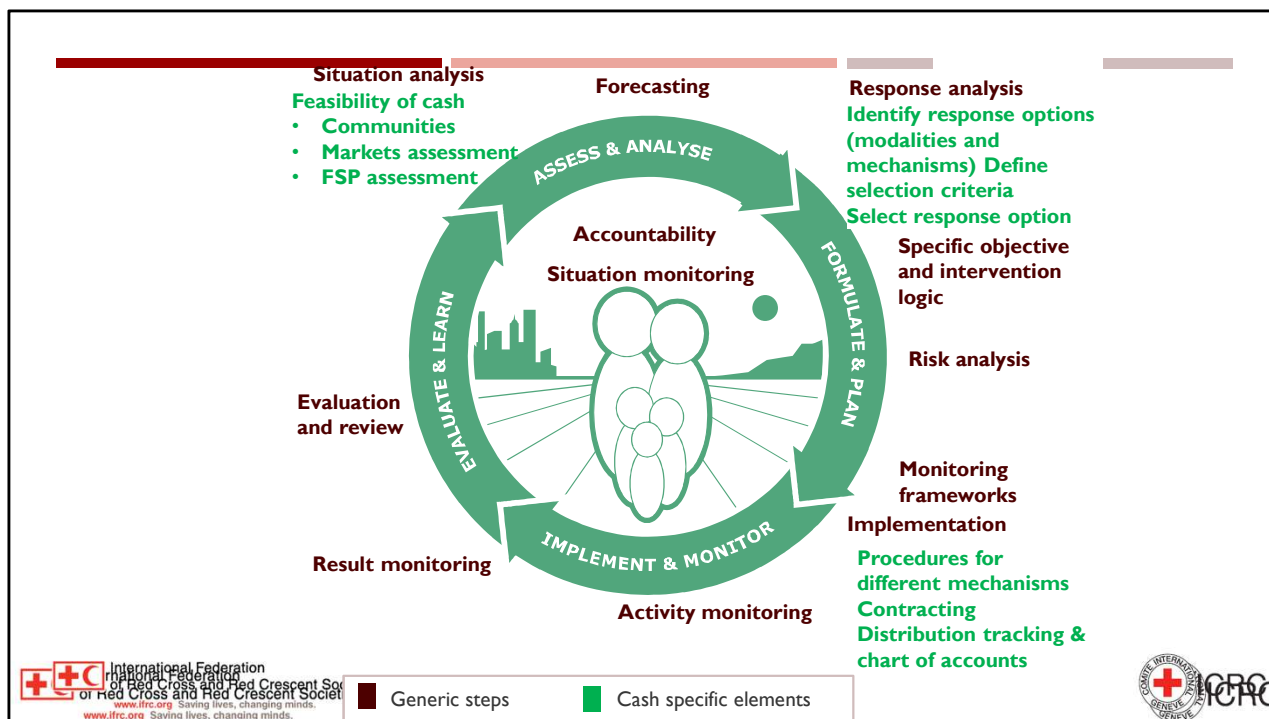
The PCM is all about programs (the clue is in the name ;-). Many support services might already be very familiar with the PCM and this then just acts as a recap but it might be new to some people and so we want to ensure that everyone is on the same page when it comes to what the PCM is, the objectives within each phase; the activities of that objective and what that could mean for support services. This links with the new roles and responsibilities discussed in the previous sub module and sets the scene before we get into more detail in the RACI.

For now the RACI is not signed off in ICRC or IFRC so we cannot give a definitive answer to the “ideal” approach or the “right answer”. We will share this when they are signed off in the future. For now we can open the discussion on who should do what, it what needs to be done when the RACI is contextualised for the country/delegation.

MODULE 1. INTRODUCTION



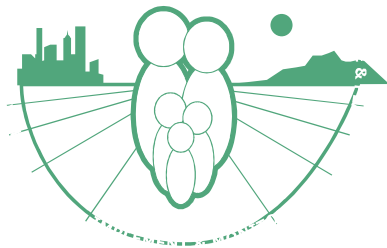
- In this module:
 - 1.1 Introduction to the course
 - 1.2 Cash and Support Services
 - A. Recap on CTP/CBI
 - B. Scope of Support Services
 - **1.3 PCM & RACI**
 - **A. Project Cycle Management (PCM)**
 - **B. RACI**
 - **C. Data Protection**



Preparedness comes before the response –is preparedness more relevant for cash than in-kind? We are probably more prepared for in-kind with prepositioned stocks, deployable log teams (ERU and RDU) but to respond quickly for any modality we need preparedness

GREEN TEXT refers to cash specific activities

TASK 1: THE PROJECT CYCLE



Each of you has been given an activity that belongs in the project cycle. Place it in the section of the cycle where you think it belongs (10mins for discussions and 10 mins for feedback)

Split the room in half so you have at least one activity per person and to compare the difference between people interpretations. The discussion leads to some interesting points being raised and facilitators should help to get the discussion going if it doesn't happen naturally.

The purpose of this is to engage participant in understanding where there knowledge is of the project cycle.

Later there is a breakdown of the steps which can be compared to what they have done to start with.

Slide 4

CD1

You can change the infographic to the one from the previous slide

Claire DURHAM; 21.03.2019

PREPAREDNESS

Objective: Be ready to respond quickly and efficiently to emergencies as they arise



As the question - What is preparedness in this context? – if nothing is coming forward.

Split the question: What does it mean to be prepared for anything? – when some answers start coming out – follow up – now what does this mean for our context?

PREPAREDNESS

ACTIVITIES



Baseline Assessments



Contingency Planning



Ready-to-Go Solutions

IMPLICATIONS TO SUPPORT

- Conduct baseline assessments
- Identify risks and mitigating measures
- Establish Framework Agreements
- Establish SOPs



Question one: what are the core activities in preparedness? Before revealing them

Question two: what does this mean for support services? Before revealing them

Engage in discussion about some of these things could look like practically – who would you contract? What type of baselines would you do?

A baseline or “normal time” is a point from which to measure changes post-shock. There may not be a suitable “normal time” for prolonged conflict situations. It should be relevant to the point you want to measure post-shock e.g. a similar period in the seasonal calendar

Baselines are done in normal time situation e.g. ahead of cyclone season

Ready to go solutions – could be a registration or delivery mechanism. We try to set up as much in advance, so contracts with FSPs, who are made aware of what we do, our mandate etc. This takes a lot of time and can be hard to do in an emergency. We have worked with many goods suppliers who are familiar with us but it’s not the same with new FSPs.

For Framework Agreements try to think of the broad context and situations that you plan to respond to, maybe with additional clauses

Establish SOPs can also mean contextual to the country/delegation or establish FSP specific SOPs – we will talk more in the SOP sub-mobile

Risks – how long post disaster would the FSP be working again (In Nepal remittance open in capital 6 hours post earthquake; Are there reputational risks of using particular FSPs

PHASE I: ASSESSMENT & ANALYSIS

Objective: Assess and analyze needs, target population, markets, risks, infrastructure, operational context, and feasible implementation options.

-Information and recommendation needed to decide on best modality (Plan of Action)

What does it mean to Assess and Analyse? Ask the question.

- To open our eyes
- To make an informed decision that is evidence based
- Design Plan of Action
- Understand what other actors are doing – gaps and duplication
- Two parts; needs assessment and feasibility

Operational context; situation, risks, infrastructure, what others are doing (gaps, duplication, agreed standards e.g. MEB and transfer value agreed by in country cash working group, opportunities to coordinate or collaborate.

PHASE I: ASSESSMENT & ANALYSIS

ACTIVITIES



Feasibility Check



Assessments



Analysis

IMPLICATIONS TO SUPPORT

- Consult on the high-level check on cash feasibility prior to assessments
- Conduct relevant assessments: Financial, ICT, Retail Market, and Security
- Analyze assessment options and operational design options, recommendation for management

Question one: what are the core activities in Phase 1? Before revealing them

Question two: what does this mean for support services? Before revealing them

Engage in discussion about some of these things could look like practically – What would support analysis? What type of assessments would you do (push to get the same as a baseline – checking against the baseline)

This phase aims to get to modality selection.

Feasibility – initial step to get the BIG PICTURE – key criteria like Government acceptance or beneficiary preference

Assessment – secondary step, more discussion and drill down into the details

Feasibility check – the big picture, secondary data, previous operations, and initial check. There is a cash feasibility checklist in the Cash in Emergencies toolkit; can the needs be met; does the donor funding allow it; does the Government allow it; is the market functioning; is their organizational capacity; is it the beneficiary preference; are the infrastructure and services in place; can the risks be mitigated, can it be

implemented in a timely manner.

Analysis – Response Options Analysis + Costs + Security + Complexity – to get a long list of options, with a scoring system, to propose preferred option or a combination

PHASE II: FORMULATE AND PLAN

Objective: Contract partners and suppliers.
Establish operational processes and support mechanisms for distribution.

What does it mean to Formulate and Plan? Ask the question.

IFRC – DREF + EA

ICRC PFR but if the event goes beyond what is planned for you can go for a budget extension (Allocation of Expenses AoE)

It might be possible to preposition cash – being discussed at HQ. Issues from donors/finance to have pots of money just “sitting around” but for IFRC we have seen money transferred ahead of a possible event e.g. a cyclone “just in case” and recoded to other expenditure if the event was not as bad as predicted.

Forecast based Financing (FbF)

PHASE II: FORMULATE AND PLAN

ACTIVITIES



Action Plan



Contract Suppliers and MoUs with Partners



Program Level SOPs



Implementation Set-Up

IMPLICATIONS TO OPS

- Contribute to a high-level plan for the program.
- Manage contracting processes for all partners and suppliers
- Build instructions for distribution based on SOPs and policies
- Support the establishment of appropriate distribution support mechanisms

Question one: what are the core activities in Phase 2? Before revealing them

Question two: what does this mean for support services? Before revealing them

Engage in discussion about some of these things could look like practically –What planning would support do with programmes? What if you preparedness contracted supplier weren't appropriate for this type of emergency?

HOW ARE YOU GOING TO DELIVER THE PLAN!!!

Partners aren't contracted but we have an MoU even between IFRC and NS and IFRC and ICRC and we have seen it with other agencies e.g. WFP or in a collaboration/consortium of agencies like in Greece. It outlines roles, responsibilities etc.

Specifically for IFRC Budget planning - Cash grant/transfer value (e.g. based on an MEB) gives you the overall amount and the approximate amount per week/month. Plan the transfer, so if you have CHF1million over 3 months you might need to increase the allowed transfer threshold. In Bangladesh the threshold was CHF100k

but need to be raised to CHF300k for the CBI. It was a mistake not involving support services from the beginning which lead to delays as a new agreement was agreed and signed. For ICRC it's in the PFR (planning for results - annual planning that happens Sep/Oct for the following year)

People something thing contracting is at the implementation phase, but this is program implementation when they are distributing (implementing) the intervention/program and so the agreement of the mechanism and selecting and contracting of the FSP needs to happen before distribution/implementation.

PHASE III: IMPLEMENT & MONITOR

Objective: Enable smooth distribution cycles, monitoring markets and accounting for payments.

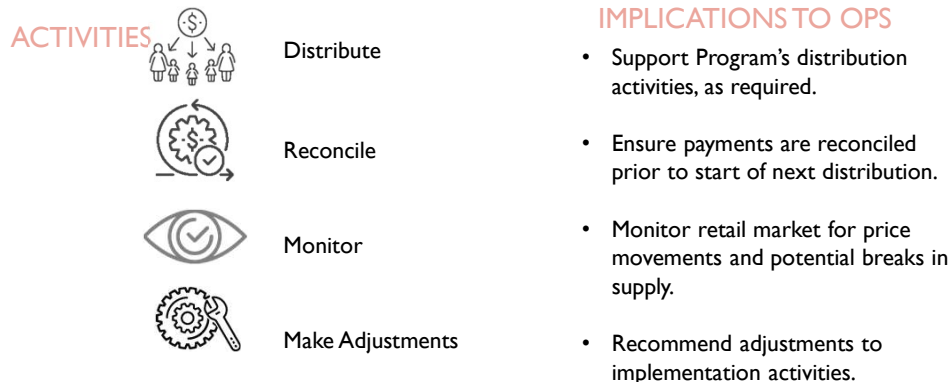
In phase one and two we worked out what we are going to do and how we are going to do it, now its time to get on and do it.

DO IT!!!

This is the program implementing e.g. distributing cash to beneficiaries (remember it's the program cycle). Support services may have started their implementation before this e.g procurement for money transfer to enable the program to implement.

It is the last mile even if we don't physically distribute so people don't queue up to receive the money but it is "distributed" by moving the money into the account of the beneficiary (bank, mobile, card etc.)

PHASE III: IMPLEMENT & MONITOR



Question one: what are the core activities in Phase 3? Before revealing them

Question two: what does this mean for support services? Before revealing them

Engage in discussion about some of these things could look like practically –What does reconciliation look like in a cash programme? What types of monitoring would you do?

Make adjustments – refers to program making changes to the program design based on the information from the monitoring. So increasing the cash grant to include a cost for transport because beneficiaries have to travel further than planned to withdraw their money. Or moving to goods because the market isn't functioning anymore. It has implications for support services of course. This is not adjustments in terms of financial accounting.

This is the DOING – you defined the HOW in the previous phase

PHASE IV: EVALUATION & REVIEW

Objective: Contribute lessons learned to long-term knowledge and support programme evaluation. Ensure programmes stay fit for purpose.

Drive home the point of capturing learning, how to be learn, as a sector we are notoriously bad at doing this, handover's are terrible, learning is badly documented.

Ask what can you do during phase 1 2 & 3 to contribute to phase 4: decision logs, risk registers, SOP development and REVISION, mid-term review – and post phase 3 look at AAR, VFM studies, Comparative Studies, Impact evaluations,

PHASE IV: EVALUATE & REVIEW

ACTIVITIES



Reporting and Documentations



Lessons Learned

IMPLICATIONS TO OPS

- Keeping decision logs as part of supplier monitoring
- Contribute to After Action Reviews and other evaluations.
- SOP revisions
- Maintain and update risk registers with accompanying mitigating measures

Question one: what are the core activities in Phase 4? Before revealing them

Question two: what does this mean for support services? Before revealing them

Engage in discussion about some of these things could look like practically –What does reconciliation look like in a cash programme? What types of monitoring would you do?

Country and regional lessons learnt should be shared at the global level to feed into SOPs, tools templates etc. e.g requirements checklists or the CBA/ST for procurement.

IKD risks + requirements + standards are typically not as stringent for as for cash, there are often more controls. Evidence of risk mitigation can help to balance the concerns of perceived and real risks.

PROJECT CYCLE CHART: SUMMARY VIEW

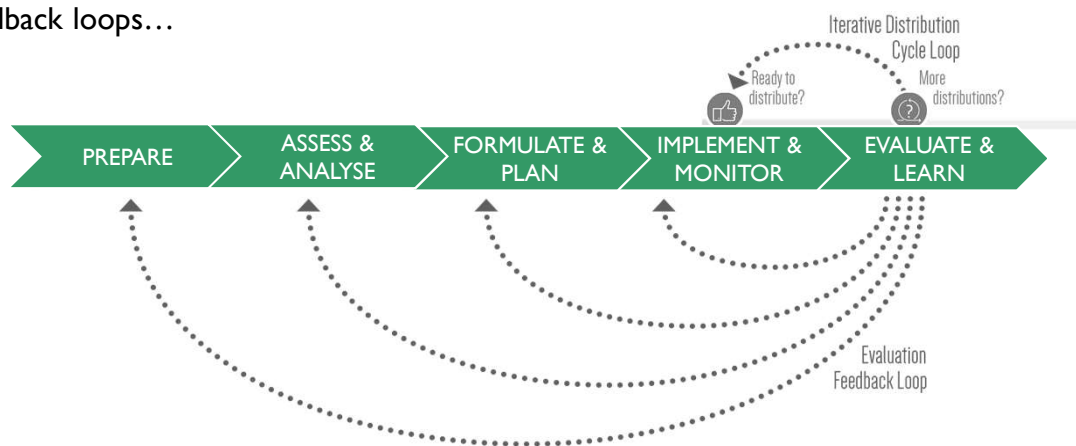
Phase details...



This isn't a black and white liner process – this needs to be emphasized

PROJECT CYCLE CHART: SUMMARY VIEW

Feedback loops...



SUPPORT SERVICES INVOLVEMENT IN THE PROJECT CYCLE



If Support Services is not involved early in the project implementation process, then there may be significant delays during design and implementation set-up!

This is about good programming regardless of modality.

RACI: RESPONSIBILITIES ASSIGNMENT MATRIX

R
Responsible

Those who do the work to achieve the task. There is at least one role with a participation type of responsible.

A
Accountable

The **one** ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible.

C
Consulted

Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.

I
Informed

Those who are kept up-to-date on progress, often only on completion of the task or deliverable.

What is it and how does it work – ask who understands the concept

Why do we use it? – so we know who does what and what is expected of the different stakeholders in an organization

What are some of the rules to RACI – **there is only ever 1 role that is accountable!**

You can be responsible and accountable, multiple people can be responsible, consulted or informed but never can more than one person be accountable

Why is this? What happens if more than one person is accountable

TASK 2: RACI

GROUP ASSIGNMENTS:

Look at group guidance and adjust accordingly – this is a practical exercise to be taken away post training and continued to develop.

Four Groups – Each on to feedback on 1 of the sections and give comments on whether they came to the same conclusions as the other groups for the remaining 3 sections.

TASK 2: RACI

GUIDANCE:

To complete the RACI table that is on the wall:

- You will need to discuss in your groups who you believe to be Accountable, Responsible, Consulted and Informed for each task related to a CBI that is not completed.
- You have 1 task from each section.
- Remember you can only ever have ONE accountable person
- You will feedback on the discussion you have had and why you have come to the decision you have.

TIME:

- Group Work: 20 min..
- Feedback: 10 min

Feedback – on how we look at RACI and what we do with it

Its a living document – and should be reviewed during AAR's and as part of your annual planning

BENEFICIARY DATA PROTECTION



ACTIVITIES

- Identify requirements for beneficiary data protection
- Manage data sharing with and use of data by service providers and implementing partners
- Dispose of data appropriately during program closure

PREPAREDNESS

- Ensure relevant protocols and approaches for effective beneficiary data protection are included in organization's policies and standard operating procedures

NOTE: NEEDS A GDPR UPDATE

Before moving onto assessments – we need to consider data protection – as this is a cross cutting issue that covers everything we do.

Can you think where its important to think about ben data protections for support? –

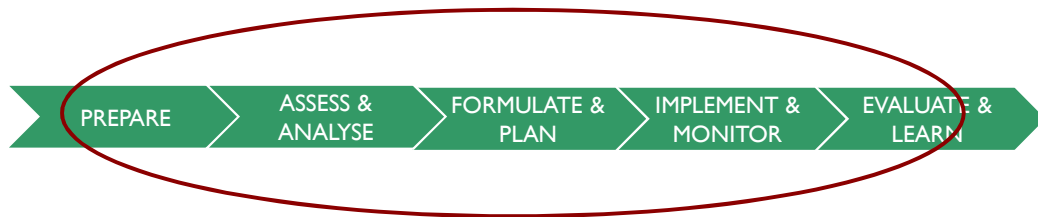
Looking for the following answers: Logistics: 3 parties supplier contracting – Fin: when dealing with loading cards and reconciling records plus working with 3rd party FSP's, ICT – data collection and storage.

For ICRC refer to the Data protection Office (DPO) guidelines that has clear and easy to remember information. Date protection = human right

BENEFICIARY DATA PROTECTION



Relevance throughout the project cycle...

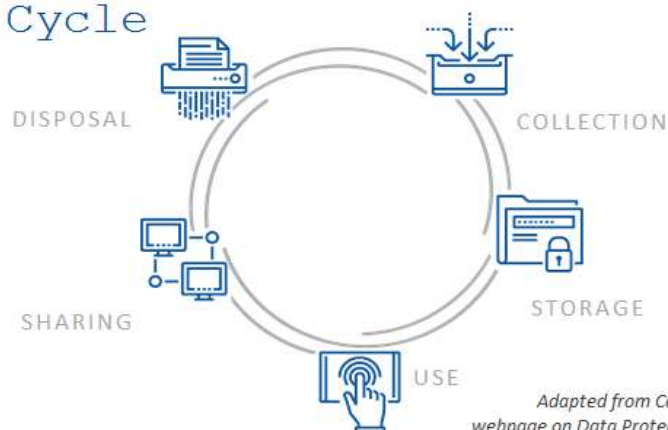


Ask before showing them the circle

BENEFICIARY DATA PROTECTION



Beneficiary Data Life Cycle



Just like a project data has a life cycle.

Key areas we generally fall short in are: Storage – Sharing – Disposal

This will be highlighted in the upcoming test

USE – who is collecting, who can access, what data, and for what purpose

We should consider this for all data; paper lists; excel files; systems e.g. RedRose.
Usually electronic data is more likely subject to data protection regulations.

Data sharing – not just for cash. A govt might request to see beneficiary list regardless of modality. Issues for our fundamental principles and mandate.

		Concern	Risks
	Collection	<ul style="list-style-type: none"> Who is collecting it? How is it being collected? Is the 'Know Your Customers' standard applied? 	<ul style="list-style-type: none"> Staff are unaware of data protection Use of insecure methods Unintentional support of unqualified beneficiaries
	Storage	<ul style="list-style-type: none"> How and where is it being stored? 	<ul style="list-style-type: none"> Stored insecurely Data breaches
	Use	<ul style="list-style-type: none"> Who has access to it? 	<ul style="list-style-type: none"> Unauthorized staff/parties can access it
	Disclosure and Sharing	<ul style="list-style-type: none"> How and what is being shared with partners/stakeholders? How are partners storing it? How is it communicated to beneficiaries? Is consent obtained? 	<ul style="list-style-type: none"> Data shared without proper security protocols More is shared than necessary Partners are unaware/unable to secure data Legal implications
	Disposal	<ul style="list-style-type: none"> How long will it be kept and what will happen when program closes? 	<ul style="list-style-type: none"> Stored longer than necessary Increased risk of data breach
	Systemic	<ul style="list-style-type: none"> Can the system cope with increases and maintain its integrity? 	<ul style="list-style-type: none"> Increased risk of data loss or breach

Just a few examples of the questions we need to be thinking about – bring it back to risk – another cross cutting issue that we need to constantly reflect on

Data sharing – iûnder KYC regulations FSPs might be required to share data with others such as the Government,

ACTIVITY 1: BENEFICIARY DATA PROTECTION

3 Questions for you

1: Who has a work laptop or phone with them?

2: Who has sensitive information available on their device? – including beneficiary lists, contracts, Bank details etc – either downloaded or as attachments in your email

3: Who's device is encrypted?

Start standing and get them to sit question by question if they answer yes

Q3 – remind them this is professional encryption – not a password – or that all their docs are stored on a secure online server.

You will have very few still standing at the end of the activity

KEY TAKEAWAYS

- The Project Cycle phases will have generic and cash-specific activities
- The RACI clarifies who does what for each activity within the PCM
- Global RACI is still being finalized and will need to be contextualized at country/delegation level
- Data protection needs to be considered throughout the project cycle

