Strengthening OH Education in SEA Grant Management Guidance

Dee Bourbon
Senior Social Investment Advisor

Virtual meeting 23 March 2021

Project compliance and assurance meeting

Session Objectives

1. Introduce the project teams and understand everyone's roles and responsibilities in managing the Charitable Contribution Agreement (grant).
2. Deliver information to assist your team to understand the grant obligations.
3. Clarify Chevron's expectations for business conduct, ethics and human rights.
4. Explain the key conditions and compliance obligations of your grant so that relevant staff are aware of their responsibilities.

Agenda

1. OE moment – data privacy. (Dee)
2. Team introductions. (All)
3. Project compliance and assurance. (Dee)
4. Questions.
5. Next steps.

Desired Outcomes

- Common understanding of grant management responsibilities and expectations.
- Grantee understanding of communications protocols.
- Understanding of how your Chevron grant manager can support implementation.
- Alignment on assurance approach.
- Clarity on Chevron's expectations for its social investment partners on human rights, business conduct and ethics.

Privacy, it's personal

Protect all personal data as if it were your own – at work and at home

Personal data

Anything that can identify an individual, directly or indirectly

Sensitive personal data

**A *subset* of personal data
that needs extra protection –
exposure could cause data
theft or damage, and may require
data breach reporting**

Collect personal data

Collect only what you need

Use it only for that purpose

Keep it only as long as needed

What causes data privacy incidents?

Poor access controls

Misdirected email

Unsecured electronic data

Unsecured hard copies

Malware links

Report every data privacy incident immediately to any of these:

Your organization's data privacy coordinator

SEAOHUN grant manager – vipat@seaohun.org

**Your Chevron grant manager
dbourbon@chevron.com**

**Chevron corporate data privacy coordinator
privacy@chevron.com**

SEAOHUN Project Management Team

Dr. Vipat Kuruchittham

Grant/Project Manager
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SEAMEO TROPMED / STEM-ED Project team

Dr. Pratap Singhasivanon

Project Leader

Dr. Sandra Tempongko

Project Co-Leader

Dr. Kessara Amornvuthivorn

Project advisor

Dr. Panamas Maneekan

Field Coordinator

Mr. Irwin Chavez

Statistician

Ms. Pornpimol Chaivittayangkul

Administrative Officer

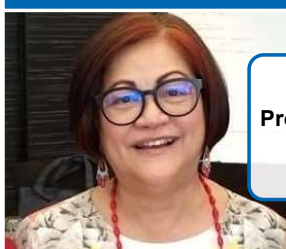**Mrs. Parinda Chomming**

Finance Officer

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Administrative Officer

Mrs. Parinda Chomming

Finance Officer

Chevron key team members – grant management, media and communications

Dee Bourbon

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senior social investment advisor

dbourbon@chevron.com

Gowri Pathu

grant comms advisor
Asia-Pacific senior communications advisor

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Cam Van Ast
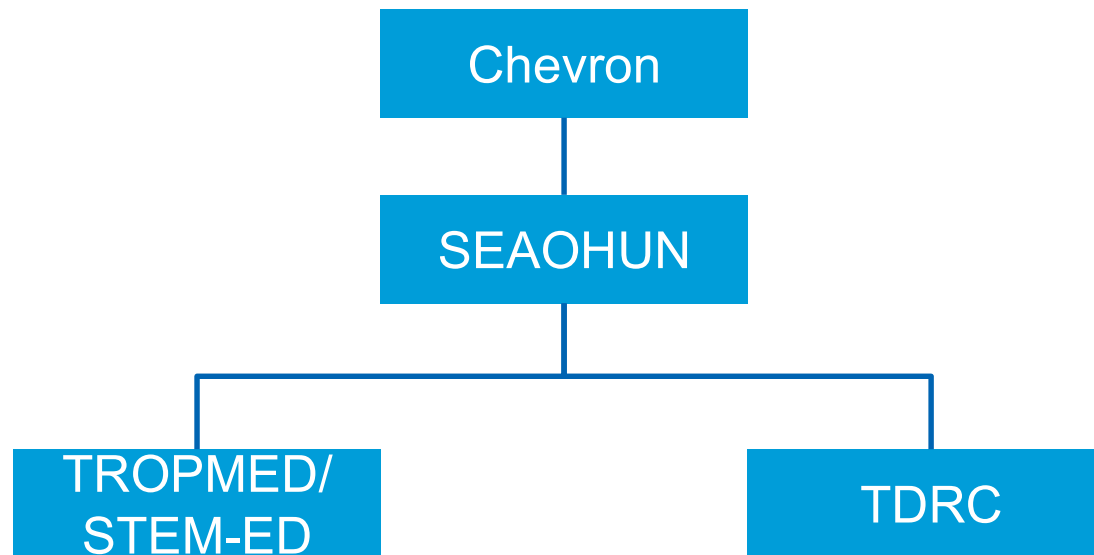
grant media advisor
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Renuka Malevaat

grant comms & media
ASBU comms assist. manager

RenukaM@chevron.com

Communication and Reporting

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          │   Chevron   │
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                 │
          ┌──────┴──────┐
          │   SEAOHUN   │
          └──────┬──────┘
          ┌──────┴──────────────┐
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    │  TROPMED/  │        │    TDRC     │
    │  STEM-ED   │        └─────────────┘
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- SEAOHUN coordinates all program and financial reports
- SEAOHUN coordinates all quarterly meetings (one per project) and end-of-year showcase
- Minor grant implementation queries can be sent directly to Dee with a CC to Dr Vipat
- Communications queries can be sent directly to Gowri with a CC to Dee and Fai
- Once Chevron staff have nominated their project of choice, project teams can coordinate directly with them. The quarterly meetings and program reports should summarise Chevron involvement

Project assurance

Assurance methods

- The quarterly update meetings and their associated minutes will be held on file for compliance purposes.

- Quarterly meetings are used to understand the project's progress; flag any issues of concern and discuss their management; identify any actual, perceived or potential compliance matters; discuss human rights and vulnerable groups; and seek Chevron's guidance on upcoming activities.

- An annual assurance site visit to the projects (combined with Chevron management visit) will be conducted if feasible. This should be planned a minimum of three months in advance of the visit where practicable. If a site visit is not possible, the team can propose alternative assurance methods.

Reporting schedule and format

- Quarterly program update meetings with Chevron take place in **March, June, October and December** each year. Each team will present for 30 minutes.
- Meetings can be virtual, in person, or a combination of both to avoid unnecessary travel costs being incurred by either party. Pre-reads (usually the presentation deck) should be provided one week before the meeting and minutes must be provided for review within ten business days.

Guidance for quarterly updates agenda and PPT

1. Key achievements
2. Challenges and mitigation measures
3. Opportunities
4. Stakeholder engagement and communications
5. (optional) Compliance, human rights or ethics matters for discussion
6. Plan for next quarter

Company records and internal controls

- Appropriate financial controls and project governance must be in place at all times.

- Travel expenses must be documented and summarised.

- All financial records related to the grant must be retained for 24 months from the end of the calendar year in which the Agreement expired. Chevron may inspect the records at any time.

- No payments are to be made to non-US officials or any sanctioned party. This must be confirmed in writing in the annual progress report provided to Chevron.

- In cases where stakeholder events include government officials, please allow at least six weeks for Chevron compliance approvals.

- If there is a change expected in who will receive benefits under the grant (e.g. change of implementing partner, change in target population) please immediately notify Chevron. There will need to be consultation with Chevron legal counsel PRIOR to any changes being agreed. Additional external due diligence may also be required. Do not implement changes without prior written consent from Chevron.

- Internal controls for business code of conduct and ethics are expected to be in place at all times.

Compliance conditions, obligations and expectations

Anti-Bribery

- At Chevron, we comply fully with laws and regulations in all countries we do business in. We expect our social investment partners to conduct their business in compliance with these requirements as well.

- Bribery of any government official in any country is strictly against Chevron company policy, even if the refusal to make such a payment would result in the loss of a business opportunity. Chevron complies with the U.S. Foreign Corrupt Practices Act (FCPA) and other applicable international anti-corruption laws. We expect our social investment partners to do the same.

- See Section 4.2 and 4.3 of your Charitable Contribution Agreement for further details.

Compliance conditions, obligations and expectations

Conflict of interest

- We expect our employees and social investment partners to avoid conflicts of interest in all business decisions. All business decisions should be impartial and based on sound business reasoning.

- To avoid a conflict of interest, our employees and directors are prohibited from giving or receiving gifts or entertainment of anything more than nominal value, or cash in any amount.

- Accordingly, we require our social investment partners to refrain from giving to or receiving from any Chevron employee or director any gift, entertainment or other favor of more than nominal value, including any commission, fee or rebate. Our social investment partners are also prohibited from entering into any business relationship with any employee, director of Chevron, or their companies, without prior written consent from Chevron.

- See Section 4.1 and 4.3 of your Charitable Contribution Agreement for further details.

Compliance conditions, obligations and expectations

Data privacy

- Personal data is information that can directly or indirectly identify an individual.
- Sensitive personal data is a subset of personal data that needs extra protection – exposure could cause data theft or damage, and may require data breach reporting.
- Personal data and sensitive personal data must be protected in accordance with all applicable laws and regulations for your country.
- If there has been a data privacy incident, you must immediately notify Chevron of any improper use, disclosure, or exposure of the personal information, and cooperate with Chevron's reasonable requests to investigate and remediate such incidents.
- See Section 4.6 of your Charitable Contribution Agreement for further details.

Testimonials and stories

- Consent forms for photos, testimonials and stories are required.
- See Section 4.7 of your Charitable Contribution Agreement for further details.

Stakeholder engagement and visibility

- Chevron can provide training and guidance to partner staff producing communication materials on how to use the Chevron brand, including photography and story writing.
- Any photos, testimonials or stories used externally by either party require written consent, which must be provided to Chevron. Chevron can provide model release forms.
- Chevron must review any media releases and public announcements and provide written consent. Please allow two weeks for approvals.
- The PIP should document agreed media and communications protocols, including escalation protocols.
- Any information that Chevron uses externally requires substantiation. This is usually from progress reports and metrics reports so please thoroughly review data before providing it to Chevron.
- Stakeholder engagement photos, media and announcements can form part of the assurance evidence.
- Any engagement with government officials where there will be a benefit requires Chevron compliance approval. Please allow a minimum of six weeks for this.
- If you would like Chevron senior management attendance at any events, please allow six weeks notice to coordinate their calendar.

Human rights, business conduct and ethics

Human rights

- Chevron's conduct is consistent with the spirit and intent of the *United Nations Universal Declaration of Human Rights*. This commitment is further detailed in our Human Rights Policy.

- Chevron encourages its social investment partners to treat their employees and to interact with communities in a manner consistent with our Human Rights Policy and the International Labour Organization's core labor principles, including the elimination of forced and compulsory labor and the abolition of child labor.

- Chevron encourages its social investment partners to consider human rights, particularly the rights of vulnerable groups, in the project design and implementation. How this has been considered should be documented in your PIP and reported in the six-monthly progress reports.

- Further information is available at https://www.chevron.com/corporate-responsibility/people/human-rights

Business conduct and ethics

Chevron conducts business in a socially responsible and ethical manner. Our social investment partners play a vital role in our success and we rely on you to deliver results 'the right way'.

All project team leaders will have training on Chevron's expectations for anti-bribery, conflict of interest and data privacy. Please speak with your project team leader for guidance.

Everyone has the right and responsibility to speak up.

If you suspect or know of any actual, perceived or potential business conduct or ethics concerns, please raise them *immediately* through your organization's appropriate channels. Chevron also has a hotline for reporting www.ChevronHotline.com or you can contact the Chevron grant manager directly.

Questions for grant managers

- Do you and relevant members of your team understand the project's compliance requirements and conditions?
- Do you and the team understand all the reporting requirements and are they included in your workplan?
- Have you allowed for a potential annual site visit in your workplan?
  - If an annual site visit may not be possible, what other assurance methods can you propose?
- Have you considered the lead time needed for engagement with government officials if it requires FCPA approvals?
- Have you considered the lead time needed for engagement with senior Chevron management?
- Is the team clear on how to liaise with Chevron during project implementation, including how to escalate issues to Chevron?
- Have you considered human rights and vulnerable groups in your planning, consultation and implementation and evaluation?
- Do you and relevant members of your team understand the communication protocols?

Your questions?

Other business

- Would team leads and/or members be willing to complete a short survey to help us better understand:
  - How you would like to engage with Chevron staff
  - What value you think having Chevron staff involved in the program will bring
  - What challenges, issues or opportunities you see from having Chevron staff involved in the program
  - Ideas for how we will collaborate
- Do teams want to involve outside stakeholders in the co-design workshops?

Co-Design Workshops

Overall goal: bring together project teams and Chevron employees to enable mutual learning, explore potential collaboration opportunities and amplify projects' impact

Format: Interactive online learning space

Approach: Individual-centered, participatory approach

Key components:
- Getting to know each other
- Understanding needs and motivations of both sides
- Engaging multiple perspectives on the current project design
- Exploring further engagement opportunities for Chevron employees

Preparation for workshops: brief calls with each project team to explore current needs and challenges of the project teams deeper

Facilitators

Zoya Lukyanova

is based in Berlin (Germany) and works as deputy department coordinator at MitOst e.V. In the past, she represented MitOst in Russia and neighbouring countries and was responsible for developing new partnerships and programmes in the fields of social innovation and social entrepreneurship. Her master thesis at Hertie School of Governance was on comparing ecosystems for social entrepreneurship in Russia, Georgia and Ukraine. Zoya has over 15 years of experience in the fields of international cooperation and impact-driven networks as Global Network Partner of BMW Foundation Herbert Quandt for Eastern Europe and as an advisor of several programmes of GIZ GmbH, one of the biggest German service providers in the field of international cooperation for sustainable development and international education work. In her capacity as facilitator, Zoya mostly focuses on accompanying cross-sector and multi-stakeholder collaborations. She is part of the global pool of facilitators by the School of System Change at Forum for the Future. Among others, Zoya works with such approaches as systemic practices and art of hosting.

Indira Shah

is based in Almaty (Kazakhstan, Central Asia) and is co-founder and CEO of Impact Hub Almaty - part of global Impact Hub Network. Having more than 10 years of experience working with social impact initiatives in Central Asia, she specializes in social and creative entrepreneurship and youth empowerment. She completed her MSc in Advanced Management Practice (University of Bath, UK) and is a certified fundraiser (Institute of Fundraising, UK). Indira has designed and facilitated learning experiences for adults and youth from different backgrounds, including NGOs, social and creative entrepreneurs and civil servants. She is part of Theodor Heuss Kolleg international facilitators pool and facilitated more than 500 hours of workshops and 100 hours of online learning spaces. Creating meaningful learning experiences using action learning and self-awareness is at the core of her facilitation practice. She is an author of handbooks on social entrepreneurship (USAID program in Central Asia).