Water Supply & Sanitation Collaborative Council (WSSCC)


Best Practices & Simple Tools
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Introduction: a) Background & Purpose

Brief Background:
The Water Supply & Sanitation Collaborative Council (WSSCC) and the Global Sanitation Fund (GSF) as its special funding mechanism are legally established as Trust Fund administered by UNOPS. In its role as the legal host agency, UNOPS recognizes that the WSSCC is governed by its Steering Committee, with a clear mandate and independent programmatic purpose.¹

The established WSSCC Governance structure is set to ensure clear distinction of responsibilities, roles and segregation of duties with systematic oversight functions and full transparency and accountability. Within this structure the designated WSSCC Secretariat personnel represent the thematic competence, impartiality and highest ethical integrity to be tasked to take decisions on all relevant selections and internal approvals.

UNOPS has very clear management structures and systems that comply with highest fiduciary standards of fund management practices. UNOPS is the first UN entity to be certified by ISO 9001 for the quality of its management systems and practices.

Purpose:

¹ As per UN General Assembly resolution in 1990 (A/RES/45/181)
The main purpose and intention of this manual is to standardize, simplify and streamline the basic UNOPS operational procedures for the ‘Water Supply & Sanitation Collaborative Council’ (WSSCC). The herewith constituted ‘Standard Operating Procedures’ (SOP) for the WSSCC are based on the following understanding:

1) UNOPS recognizes the thematic mandate of the WSSCC Secretariat as delegated by the Steering Committee of the WSSCC being the highest governing body institutionalized to act on behalf of the Donors, i.e. the Funding Source.

2) The outlined procedures and practices are in line with respective UNOPS Administrative Instructions and Organizational Directives (LINK). The herein formulated policies and practices aim to ensure cost-effective Trust Fund management and are in line with UNOPS Financial Regulations and Rules (FRR), specifically regulation 11.02 and rule 111.01.

3) This SOP manual constitutes the modus operandi with immediate effect and until otherwise decided by UNOPS and the WSSCC senior personnel.

4) With increasing overall demands, high attention on transparency and fiduciary principles, donors are requesting fund management services to include efficient ‘high quality’ administration and service systems plus transparent yet flexible practices. By introducing this comprehensive manual, UNOPS is consolidating services tailored for the specific WSSCC needs in line with the Hosting Terms for WSSCC.

Overall, this Manual …

- … shall be used as reference handbook for all WSSCC and respective UNOPS practitioners in order to clarify and update existing procedures and best practices;
- … constitutes a ‘user-friendly’ guide including comprehensive instructions, simple illustrative workflow charts and template hyper-links for direct “hands-on” usage and follow-up;
- … assists in ensuring solid planning, implementation and monitoring of activities and proper accountability towards donors and beneficiaries.

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2 To the extent that any provision of this document conflicts with the rules, regulations and administrative practices of UNOPS such rules, regulations and administrative practices shall prevail.
Main Objective: Better understanding, clear coordination and efficient management of daily operations.

b) Optimized Procedures & Workflows:

In the interest of optimizing workflows and reducing lead times a systematic coordination and harmonization is hereby introduced. This means:

Each WSSCC unit (DIR, GSF, PAO, ERCCC) should designate a focal person for crucial operational area (i.e. Finance, Procurement).

The UNOPS Geneva Office\(^3\) (GVA) - WASH team applies focal specialization to better service the incoming requests in a more efficient fashion. Presently, these are the designated focal points:

- **Procurement:** LillianF@unops.org
- **Finance:** ValtonD@unops.org
- **Payments:** BegumK@unops.org
- **Travel:** wsscc.travel@wsscc.org
- **Office Logistics:** TerryEtherington@wsscc.org
- **Grants:** RachelM@unops.org
- **HR:** HibretA@unops.org

(overall coordination by PhilippVW@unops.org – please always copy)

1. HR & Recruitment

1.1 Basics

WSSCC personnel are UNOPS appointed project staff administrated in line with HR practices and regulations established by the UNOPS People and Change Group (PCG - Main Site). The applicable personnel contract modalities are:

- Fixed-Term; or
- Individual Contractor Agreement (ICA). This includes short-term personnel

\(^3\) Hereinafter, the UNOPS Geneva Office will be referred to as `GVA`, formerly known as SWOC.
1.2 Recruitment Process – GPRS

Global Personnel Recruitment System - Recruitment - Home

This user-friendly roster platform systematically establishes, organizes, coordinates and sorts/filters online vacancies, profiles and applications. It includes the following useful direct links:

- Recruitment Outreach
- Post a vacancy in GPRS
- Job board
- Past vacancies
- Talent-Batches
- Guidance on Recruitment
- About GPRS:
- Terms of Reference / Job Description

Practical Tip: Meet with your HR focal person early on to gain a better understanding of the HR process and realistic timeline. For better planning, share the staff plan and key deliverables that require hiring of external individuals.

As direct training tool, simple guidance and How-To instructions the following LINK should be consulted for each step.

Step 1: Getting started - Basic Guidance & Templates

For ICA Terms of References (TOR), please keep in mind:
- Definition of needs in terms of the services required, tasks to be performed etc.
- The TOR is the principal guideline for identifying qualified candidates, determining fees, evaluating performance, and ultimately certifying that
services or activities have been performed satisfactorily so fees/salaries can be paid.

- Use the TOR template to reflect:
  - **Basic data** – Functional title; ICA level; Duty station(s); Duration of the assignment; Name of supervisor
  - **General Context and Background** – Brief description of project and operating environment
  - **Purpose and Scope of Work** – Concise and detailed description of services/tasks to be performed. Indicate expected travel, if applicable;
  - **Monitoring and Progress Controls** – Clear description of measurable outputs, e.g. reporting requirements, milestones, periodicity format, deadline, final deliverable, etc.
  - **Qualifications and Experience** – Minimum academic qualification; Expertise including specialized knowledge; Language requirements; Competencies; Skills; Performance

➢ Please copy the main TOR text into the Vacancy Announcement (VA).

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**Step 2 & 3: Screening & Recruitment process:** [System Guidance - From Screening to Closure](#)

**Step 4 & 5:** Internal Approval and Issuance process. HR administration (see below 1.3)

**For applicants:**
- [How to apply to a roster profile](#)
- [How to apply to a vacancy](#)

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**Standard Recruitment Cycle**

**Step 1:** WSSCC to…
- draft VA / TOR;
- determine fee / salary level;
- set realistic timeframe. GVA HR to post the VA on

**Step 4:** GVA HR to obtain ASP/ASB approval and issue offer/appointment.

**Step 5:** - GSSC to launch salary & entitlements.
- WSSCC to supervise performance, monitor leave and attendance. GVA HR to provide LP and induction.

**Step 2:** WSSCC to review GPRS Long List, select Short-list. GVA HR to coordinate and organize interviews.

**Step 3:** GVA HR to conduct interviews and prepare minutes. WSSCC to chair the panel.
1.3 HR Administration:
For direct inquiries on the below items please contact designated HR focal person (email HibretA@unops.org) or GVA HR Manager (email: GregoryL@unops.org):
➢ Contractual inquiries;
➢ Carte de Legitimation (CDL) applications/renewals;
➢ UN blue badge applications/renewals;
➢ UN Laissez Passer applications/renewals;
➢ Insurance options.

1.3.1 Payroll, Fees, Salaries, Allowances – Main Link - Personnel Administration

This includes simple Compensation Tools (consult Staff or ICA pro-forma costing tool) and Benefits & Entitlements.

All salary and entitlement processes are managed by the UNOPS Global Shared Service Center (GSSC) in Bangkok. Any direct queries on salary, entitlement and/or allowance details can be directly submitted to your focal person or as per following:

<table>
<thead>
<tr>
<th>HR related queries for ICAs</th>
<th>Payroll related queries for ICAs</th>
<th>Staff Administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNOPS ICAs <a href="mailto:gssc.ica.unops.admin@unops.org">gssc.ica.unops.admin@unops.org</a></td>
<td>UNOPS ICAs <a href="mailto:gssc.ica.unops.payroll@unops.org">gssc.ica.unops.payroll@unops.org</a></td>
<td>Administration <a href="mailto:gssc.staff.admin@unops.org">gssc.staff.admin@unops.org</a></td>
</tr>
<tr>
<td>Partner ICAs <a href="mailto:gssc.ica.partner.admin@unops.org">gssc.ica.partner.admin@unops.org</a></td>
<td>Partner ICAs <a href="mailto:gssc.ica.partner.payroll@unops.org">gssc.ica.partner.payroll@unops.org</a></td>
<td>Payroll <a href="mailto:gssc.staff.payroll@unops.org">gssc.staff.payroll@unops.org</a></td>
</tr>
</tbody>
</table>
Insurance coverage overview:

<table>
<thead>
<tr>
<th>INSURANCE</th>
<th>FTA</th>
<th>INT’L ICA</th>
<th>LOCAL ICA</th>
<th>Meeting Participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health</td>
<td>Yes</td>
<td>No</td>
<td>Yes*</td>
<td>Yes*</td>
</tr>
<tr>
<td>Appendix D</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Injury/Illness/Death</td>
<td>No</td>
<td>Yes</td>
<td>Yes*</td>
<td>Yes*</td>
</tr>
<tr>
<td>Malicious Acts</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Travel</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

* Combined insurance

1.3.2 Leave Monitoring

The OneUNOPS absence request tool is accessible to each WSSCC member (both FTA and ICA holders) and allows for simple approval of leave requests and official missions by the direct supervisor.

The systematic maintaining of accurate absence records online is key. Core working hours should be followed. Any longer term deviations (in line with Work Life Balance) should be documented and approved in advance (through the Flexible working request system). Ad-hoc absence should be communicated to the respective focal person or direct supervisor (ideally by email, but at least through phone call) and later recorded in OneUNOPS absence.
1.4 Start-up Basics (for new Personnel)

Practical Tip: Apart from this SOP manual, in order to better understand the UNOPS work processes and platforms, the following handbook should be consulted by newcomers to gain basic overview:

- New to UNOPS

Other user-friendly learning tools and quick guides for new staff on specific topics related to project management can be found here: PM - Training and Support

All staff should complete the following core learning (mandatory) courses:
Welcome to UNOPS Induction, Basic Security in the field, Advanced Security in the Field, Prevention of Harassment, Sexual Harassment and Abuse of Authority in the Workplace; I know Gender.

Here is the link: Mandatory & Recommended
1.5 Separation Basics (for departing Personnel)-

All departing personnel are required to complete the Clearance Form, Exit Survey but should also provide Handover / Knowledge Transfer notes prior to the approval of releasing final payment to them.

2. Procurement

Main link: UNOPS Procurement Manual

In addition, all other information including templates, UNOPS LTAs, etc. can be found on the UNOPS Procurement Group (PG) intranet page following this: LINK

2.1 Definition

Procurement is a process, which is defined as the acquisition of property, plant and/or equipment, goods, works or services through purchase, hire, lease, rental or exchange from any source other than UN system organizations.

Procurement is about ensuring the goods or services get to the customer at the right time, price, quality, quantity, and place. The scope of procurement is limited to commercial activities, and does not include inter-agency agreements, grants and public private sector partnerships, which are subject to other financial regulations and rules.

2.2 Principles

Public procurement is based on the concept of stewardship, i.e. the careful and responsible management of entrusted funds. UNOPS is the steward of the WSSCC funds which have been provided in trust by Donors to fulfil specific purposes.

A significant proportion of these funds are spent through procurement processes, for which there are many stakeholders, whether as taxpayers, suppliers or beneficiaries. These stakeholders need to be assured that the funds are being utilized correctly and for the benefit of targeted interest groups. Thus, there is a special demand in terms of achieving value for money, ethics, efficiency as well as transparency and accountability. It is these expectations that form the basis of public procurement principles.

In its management of public funds, UNOPS and WSSCC are expected to comply
with all public procurement principles and its services must be delivered with a high level of professionalism adding value to the Donors and beneficiaries. As for all procurement undertaken on behalf of UNOPS/WSSCC, the individual involved remains personally responsible for his/her actions and financially liable for any mismanagement or undue action taken.

‘Best value for money’. This represents the trade-off between price and performance that provides the greatest overall benefit, i.e. the selection of the offer which presents the optimum combination of factors such as appropriate quality, service, life-cycle costs and other parameters to best meet the defined needs.

This is not necessarily the same as selecting the lowest initial price option, but rather represents the best return on the investments, taking into consideration the evaluation criteria specified in the solicitation documents. It requires an integrated assessment of technical, commercial, organizational, and pricing factors in light of their relative importance. Social, environmental, and strategic objectives as defined in the WSSCC documents must be taken into account. This principle is applied throughout the procurement process in order to attract the offer that most effectively meets the stated requirements of the end user.

In order to obtain best value for money, one should:
1) maximize competition;
2) simplify the tender process while minimizing financial risk factors;
3) carefully establish the evaluation criteria (in order to select the offer with the highest expectation to meet needs, in accordance with the evaluation parameters set in the tender documents);
4) consider all costs (including those other than the direct ones; e.g. life cycle costs, maintenance costs, sustainable procurement considerations);
5) ensure impartial and comprehensive evaluation of offers in a timely manner, and
6) ensure selection of the contractor whose offer has the highest degree of realism and whose performance is expected to best meet the specified requirements at the lowest overall expense to the organization.

Other critical principles include:

Fairness, Integrity and Transparency - i.e. “free from favouritism,
self-interest, or preference in judgment” defined as ‘just, equitable, impartial, unprejudiced, unbiased, objective, and dispassionate.’

Effective competition - At least three independent contractors acting on their own (not in collusion) effectively compete for the same business opportunity and submit a responsive bid.

In the interest of UNOPS and WSSCC – Concept to maintain the highest image and reputation of the organization, not giving the impression of impropriety, and promoting good public procurement values.

2.3 Procurement Authority / Delegation of Authority (DOA)
The UNOPS ‘Executive Chief Procurement Officer’ (ECPO) delegates the ‘Procurement Authority’ (PA) to local individuals to perform authorized actions within specified monetary values, i.e. ‘Delegation of Authority (DOA)’ - [LINK].

The PA is delegated by the ECPO to individuals and not to functions. Therefore, the individuals in acting capacity (e.g. Officer-in-Charge – OIC) must be granted proper delegation of authority in order to be able to exercise this authority until the official incumbent resumes his/her function.

For the WSSCC procurement activities the following main DOA levels and individuals are currently established:

<table>
<thead>
<tr>
<th>Name</th>
<th>DOA Level</th>
<th>Threshold Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chris Williams</td>
<td>Level 2</td>
<td>US$ 250,000*</td>
</tr>
<tr>
<td>Moin Karim, UNOPS Regional Director</td>
<td>Level 3</td>
<td>US$ 500,000*</td>
</tr>
<tr>
<td>David Shimkus</td>
<td>Level 1</td>
<td>US$ 50,000</td>
</tr>
<tr>
<td>Philipp Von Waechter</td>
<td>Level 1</td>
<td>US$ 50,000</td>
</tr>
</tbody>
</table>

*For competitive cases only. For exceptions/waivers, Level 2 DOA holders may only approve up to $50,000.

2.4 Review Bodies: HQCPC, LCPC
Some cases above the DOA threshold of the individuals specified in the table above, review and approval will take place at the Regional Office level (Local Contracts and Property Review Committee – LCPC) or at the Headquarters level (HQ Contracts and Property Review Committee – HQCPC):
2.5 Procurement Planning:
Planning helps define:
- what will be purchased
- how it will be purchased
- when it will be purchased
- what approvals are needed
- risks involved
- legal and institutional frameworks

**Effective procurement planning** is based on clearly identified needs, includes scheduled timelines/deadlines and streamlines the Terms of Reference which shall include basic requirements to be met by the suppliers. It sets clear evaluation criteria at the time of TOR drafting. **Resulting Benefits** are:
- Identification of adequate procurement strategies;
- better requirement definition thereby increasing the probability of receiving strong offers;
- improved sourcing, ensuring an adequate number of suppliers which hold appropriate qualifications;
- less waste of resources on last minute actions;
- less repetitive, labour intensive procurement activities, due to the early assessment and use of LTAs;
- reduction of delays and lead times due to the ability to perform in advance
- reduced transaction costs through consolidation of procurement actions
Procurement Planning will be initiated by UNOPS whereby input will be requested from the respective WSSCC teams/departments at the beginning of each fiscal year and updates requested mid-year. *It is important to communicate to your Procurement focal point the requirements for the year via the template sent for procurement to be planned properly and prioritised throughout the year.*

- **Annual procurement plan**: Mandatory for all services/goods/works above US$ 50,000.
- **Updates**: every 6 months.
- **Submit to**: Focal Person at GVA (> CPH)
- **Recommended**: Share quarterly updates for all procurement activities > US$ 5,000

### 2.6 Procurement Process:

**Simple steps to follow:**

1. Develop requirements in consultation with procurement focal point – requirements can be expressed in the form of technical specifications (goods), Terms of Reference (services) and Statement of Works (materials + labour work).
2. If necessary do market research to confirm completeness of requirements as well as potential suppliers – check internal and external sources as available. Some methods of market research include consulting internal sources (intranet, former contracts, established *rosters*, talking to colleagues, etc.) as well as external sources (searching the internet, product catalogues, UNGM, fairs/exhibitions, etc.).
3. Follow suitable procurement method based on the needs, value and situation. See below categories. Sometimes your requirement may already be covered by an existing Long Term Agreement (LTA) or UNOG System Contract (Volume Purchase Orders – VPO).

<table>
<thead>
<tr>
<th>Assessing internal resources please check:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Existing UNOPS or other UN Agencies Long Term Agreements (LTAs)</td>
</tr>
<tr>
<td>- Follow related instructions</td>
</tr>
<tr>
<td>- Award of Call of Order by relevant PA.</td>
</tr>
<tr>
<td>- Existing UNOG’s Volume Purchase Orders (VPO)</td>
</tr>
</tbody>
</table>

4. Create **Requisition in OneUNOPS** (through designated focal person in your unit). In consultation with GVA procurement focal person, launch the solicitation (tender) document, and collect offers according to the
procurement method selected. The solicitation documents shall include the
criteria for selection of suppliers based on specifications, as well as indicate
details such as the requirements, delivery/price schedule and UNOPS
terms and conditions.

5. Conduct evaluation and recommend for selection with GVA procurement
focal person. Follow award procedure based on applicable DOA thresholds.

6. WSSCC to confirm with selected supplier about the purchase of
goods/services and transmit such confirmation.

7. Purchase order(s) or contract to be issued by GVA unit and get it signed by
both parties.

Solicitation Methods Overview

<table>
<thead>
<tr>
<th>REQUIREMENT</th>
<th>PROCUREMENT METHOD -</th>
<th>WHO CAN DO WHAT?</th>
</tr>
</thead>
<tbody>
<tr>
<td>SERVICES Above US$ 50,000</td>
<td>RFP – REQUEST FOR PROPOSALS</td>
<td></td>
</tr>
<tr>
<td>GOODS, WORKS US$ 5,000 - 50,000</td>
<td>ITB – INVITATION TO BID</td>
<td></td>
</tr>
<tr>
<td>ALL TYPES Below US$ 5,000</td>
<td>RFQ – REQUEST FOR QUOTATIONS</td>
<td></td>
</tr>
<tr>
<td>ALL TYPES</td>
<td>SHOPPING</td>
<td></td>
</tr>
</tbody>
</table>

2.6.1 Standard Purchases below $ 5,000: Local Shopping
## SHOPPING

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Solicitation Process</th>
<th>Evaluation</th>
<th>Approval</th>
</tr>
</thead>
</table>
| < US$ 5,000       | Obtain price quotations,  
                    | Compare the quotations and select the supplier on lowest price basis.  
                    | Written justification required if the lowest priced option is not selected. | WSSCC | WSSCC/GVA | GVA |

In order to obtain approval for shopping cases (against invoice, no contract), please provide basic information as follows (in **Shopping Explanatory Note** to GVA):

- a) **Basic Background** – Simple definition and justification.
- b) **Name of potential suppliers and brief mention of method used to search and identify them** (over phone/ by email etc.).
- c) **List of prices** offered by the suppliers.
- d) **Recommended supplier and brief justification**.
- e) **Documentation or quotes justifying the selection of supplier** should be attached to the submission.

### 2.6.2 Standard Purchases ($5,000- $50,000): RFQ

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Procurement Method - RFQ</th>
<th>Who Can Do What?</th>
</tr>
</thead>
</table>
| > US$ 5,000 but below US$ 50,000 | RFQ document must be launched out. Identified potential bidders shall be invited to submit their quotations in response to the RFQ.  
                                 | Solicitation period: min 5 | WSSCC/GVA | WSSCC/GVA | GVA |
days.
• Minimum 3 valid quotations should be obtained.
• The basis of selection is “lowest priced, most technically acceptable”
• Compile the Request for Award Template

Simple steps:
1. Please complete RFQ Form with TOR definition.
2. Please complete Request for Contract Award (below $50k) as much as possible, and consult GVA procurement focal person for finalization.

2.6.3 Standard Purchases/Contracts above US$ 50,000 – RFP / ITB

<table>
<thead>
<tr>
<th>REQUIREMENT</th>
<th>PROCUREMENT METHOD – RFP/ITB</th>
<th>WHO CAN DO WHAT?</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; US$ 50,000</td>
<td>• Technical specifications/Statement of Work forms the basis of bidding documents.</td>
<td>WSSCC/ GVA</td>
</tr>
<tr>
<td></td>
<td>• Advertisement timing/Solicitation Period:</td>
<td>WSSCC/ GVA</td>
</tr>
<tr>
<td></td>
<td>ITB: minimum 15 days</td>
<td>GVA/ (LCPC or HQCPC, if needed)</td>
</tr>
<tr>
<td></td>
<td>RFP: minimum 21 days</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Solicitation documents are drafted by WSSCC/ GVA</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Evaluation is carried out by WSSCC/GVA</td>
<td></td>
</tr>
</tbody>
</table>

Simple steps:
1. Please complete RFP Form as much as possible. Similar for standard goods/works: ITB Form before consulting GVA procurement person to finalize.
2. Advertise on WSSCC and UNOPS website and other relevant media.
3. GVA to conduct bid opening.

5. Please complete Request for Contract Award ($ 50k - $ 250k) as much as possible, and consult GPSO Geneva for finalization.

Please keep in mind the following main procurement practice points:
1. Procurement planning is important! It will help avoid ad-hoc and last minute requests.
2. Clear definition of needs and criteria for selection.
3. Use of internal resources first (LTAs, VPO) and use of procedures/templates to source suppliers from the market.

Segregation of Duties:
Nine procurement functions
1. Formulation of procurement requirement/request, incl. certification of funds
2. Processing of the request
3. Solicitation of offers from suppliers
4. Receipt of offers
5. Opening of offers
6. Evaluation of offers and identification of the winning offer
7. Review and recommendation for award
8. Award of contract
9. Disbursement of funds (payment)

NOTE:
- At least three (3) people should be involved in the procurement process.
- Receipt should be completely separated from the other functions.
- One person can have several functions, but the functions of buyer and payer must always be separated.

2.6.4 Sustainable Procurement
Recent procurement practice in UNOPS has emphasized the importance of integrating sustainability in the procurement process. This means that we are increasingly looking to include specifications and criteria that are compatible and

4 Please make sure to include both OneUNOPS project ID (12272) and WSSCC programme number (identified as ‘work package’) to which contract payments should be charged.
in favor of protection of the environment, social progress and support of economic development. There is also growing emphasis on the need to seek efficient use of resources and improve the quality of products and services to ultimately optimize costs.

Starting from the requirement definition, use of sustainable product elements, environmental/social labels, etc. should be considered for the solicitation process. For more information on how to develop more sustainable requirements and criteria, you may read more on the topic here.

2.6.5 Relevant Issues: Inventory, Assets
For standard physical inventory and acquisition, maintaining and disposal of assets, the following main link should be consulted: Asset Management. Link

For any assets with acquisition value $2,500, transactions including acquisition, transfers and disposals must be documented officially. Upon acquisition these assets also must be entered into the OneUNOPS module as they are considered for financial accounting purposes. For detailed questions on asset management process please check this link or contact your procurement focal point.

3. Finance
3.1 Basics:
As the Fund Agent of the WSSCC Trust Fund UNOPS has the fiduciary and financial responsibility to the Donors and Steering Committee for proper accounting and financial transactions.
The new UNOPS ERP system (OneUNOPS) can process and report financial transactions in line with the established WSSCC budget structure (Project ID + WSSCC Programme as Work Package):

**Project ID 12272**

**Menu**

<table>
<thead>
<tr>
<th>Engagements</th>
<th>Projects</th>
<th>Procurement</th>
</tr>
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Project Dashboard (LINK): This user-friendly dashboard platform systematically uploads all financial data from OneUNOPS and provides overview status, both cash-basis, obligations and actual disbursements against WSSCC structured budgets.
3.2 Finance Process

Step 1: Certification: WSSCC should always certify before a) funds are committed and b) amounts are released on behalf of WSSCC.

a) This includes to ensure that the planned commitment and allocated amounts to be used are correctly reflected in OneUNOPS, properly accounted for and earmarked for future budget availability (to avoid overspending).

b) By formally authorizing the release of a payment, the designated WSSCC person is certifying that the activities/services/deliverables are completed (or are “on track”) in line with the given provisions in the contract/GSA. Please use this TEMPLATE.

As per UNOPS Financial Rules & Regulations 119.03 a verifying officer shall approve a voucher for payment when:

(i) It has been determined that it is due and had not previously been made;
(ii) It is supported by documents which indicate that the goods or services for which payment is claimed have been received or rendered in accordance with the terms of the contract and the related commitment;
- Certifications:
(iii) The payment is made against a recorded commitment entered into by an appropriate committing officer;
(iv) No other information is available which would bar said payment.
Step 2: Commitment in OneUNOPS: Each financial commitment (as per legally binding document) is obligated as Purchase Order (PO) amount in OneUNOPS. Also, the OneUNOPS supplier/vendor form (TEMPLATE) need to be completed, including banking information, and submitted to GVA, for vendor approval by GSSC Bangkok if the vendor/supplier does not exist in oneUNOPS already. All new vendors need to be created and approved in OneUNOPS before any transaction (commitment through a PO or standard non-PO payment for less than USD 2,500) can be processed.

**ATTENTION:** It is critical to insert and provide the correct and valid bank details of the recipient organization/individual in the vendor form and actual OneUNOPS profile, as this will avoid any future delays in the actual bank transfer process.

Step 3: Transaction/Payment: Each financial transaction can only be processed against a previously committed amount (PO).

**Example:** A new Grant Support Agreement is signed with partner organization XYZ for a total of US$ 50,000 (to be split into 2 equal payments over 2 years). The PO will be established for entire commitment and period, bearing in mind that the cash status of the budget would need to have sufficient funds for the total amount of US$ 50,000.

3.3 Tracking Systems: Payment & Contract/Grants Status
OneUNOPS provides a comprehensive tracking system of all transactions – POs and actual payments, and there is a plan to establish contract management and grant management tool as part of the ERP at a later stage. The purpose of this future contract/grant management tool will be to maintain clear overview and be able to notify respective WSSCC units on a) upcoming expiration dates, and b) upcoming due payments. In meantime, GVA team maintains trackers for due payments and durations/expiration dates in shared folder, and notifies responsible units, accordingly.

3.4 Expenditure Monitoring and Reporting
Once commitments are approved and payments processed, they are posted in OneUNOPS General Ledger (GL). The GL maintains data from all sources (Accounts Payable, Accounts Receivable, payroll, GLJE etc.). Monthly review of expenditures in the reporting platform and checking of balances in the project dashboard in OneUNOPS on frequent basis will ensure appropriate monitoring.
As per established GVA Finance practice, the following update reports are provided:

- Bi-Monthly financial status; cash status & funds v commitments; budget v expenditures.
- Annual financial report to the Steering Committee (based on Interim Financial Statement) – provided in March/April each year;
- Annual Certified Financial Statement issued once books are closed and annual audit by UNBOA is concluded; resulting in mid-year financial report to the Steering Committee – provided in September/October each year.

3.5 Audits

WSSCC through its legal body UNOPS is covered by the United Nations Board of Auditors (UNBOA) as the main body responsible for UN audits. The published reports for UNOPS funds and programmes can be reviewed [here](#).

In addition, UNOPS - Internal Audit and Investigation Group (IAIG) is responsible for internal audits and compliments the work of the UNBOA. IAIG provides the following services:
- Internal Audit (both financial and performance audits).
- Support to management for project audits - WSSCC
- Advisory
- Investigation. This includes a direct [reporting tool for misconduct](#).

If so desired by the WSSCC Donors, special project audits can be carried out in line with respective clauses in the Contribution Agreements.

The management of the WSSCC Donor Relations (as lead by the WSSCC Directorate) is based on the following principles:

- WSSCC leads the donor relationship process.
- UNOPS GVA approves and signs all contribution agreements on behalf of WSSCC.
- WSSCC allocates the income received from donors as per Steering Committee decision and Secretariat priorities.
- UNOPS/GVA provides formal financial reporting to donors.

3.6 IPSAS

The `International Public Sector Accounting Standard` (IPSAS) is the new accounting standard for use by public sector entities in the preparation of financial statements. The key elements for WSSCC are:
• Receipting of goods and services is the key. It translates to expenditure.
• Goods and services are recorded only upon certification that goods and services have been rendered and outputs delivered.
• Leave - monthly accrual. Accurate record balances are critical.
• Pre-payments - Advance payments prior to delivery of goods and services. Justification and approval is required before a prepayment can be processed.
• Assets - additional control, verification and reporting.

Please keep in mind the following **main finance practice points**:
- Timely confirmation and certification for services rendered and outputs delivered to create receipts.
- Close coordination and cooperation between the operations, administrative and finance teams is critical to achieve efficient financial management.

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4. Travel & Logistics

**Overall Objective:** Better planning. The direct synchronization of the `Quarterly Travel Plan` with related Travel Authorization (TA), and direct flight reservations at cheaper rates (at latest 2 weeks prior to departure). Discipline by all staff to provide timely inputs is essential to ensure cost-effective, less stressful travel process for all involved.

**TEC Payment (ONLY IF NECESSARY)**:
Following finalized travel, only for specific reasons, the Travel Expense Claim (TEC) - Link: TEMPLATE - can be submitted. The TEC needs to be checked at WSSCC by team assistants before going to GVA office. Some practical tips when completing the TEC:

**ATTENTION:**
1. Page 1 of TEC needs to mention amount paid to traveller in advance (if applicable).
2. Page 2 of TEC must specify travel dates. No matter if payment of DSA was already made or not.
3. The TEC must attach TA, itinerary, flight stubs, DSA rate page, exchange rates, numbered and stamped receipts with proof of payments (mentioned on page 1).
Some highlighted Improvements & Reminders as per latest Travel Process policy.

➢ **Better planning and trip confirmation deadline**
  • The additional cost for each ticket issued less than 2 weeks before departure is between **CHF 500 - 1,000**. This means a saving of at least **USD 250,000 per year**.
  • All travels **MUST BE** confirmed at least **15 days in advance** (if not, travel will not be processed unless exceptionally approved by submission of a Memo signed by WSSCC Executive Director and accepted by UNOPS GVA)
  • Plan field trips with EAs, CPMs and NCs as early as possible to avoid late reservations. If possible, plan the next visit/meetings while in the country.
  • Quarterly travel plans must be **as accurate as possible** and approved both by the team manager and WSSCC Executive Director at least **15 days** before the beginning of each quarter.
  • **Avoid any ticket change (only in case of real emergency)**

➢ **Visa applications are the responsibility of each person traveling.** All necessary documents must be given at time of mission confirmation, or at
least 2 weeks before departure. Especially when there are multiple applications at the same time or when there is limited time between missions.

➢ **DSA and CTOs**
- DSAs can only be payed when the official DSA rate of the month of mission is determined.
- If any change in the itinerary or dates of the mission occurs after the TA has been approved, related extra costs should be processed through Travel Expense Claim (TEC), submitted upon return, attaching relevant receipts, for adjustment of the DSA and Terminals.
- Subject to the supervisor’s approval, the Compensatory Time Off (CTO) may be used immediately after the working on “non-working day” or within four months of return to the duty station.
- As per basic ruling, the number of CTOs should be limited to **2 per person and per quarter**.

➢ **Entitlement and flight booking classes:**
Travel entitlement is based on the most direct and most economical option available at time of booking according to the following rules:
- Meeting participants, invitees, journalists and photographers: - Economy class
- ICAs: - Economy class regardless of time of travel
- FT Staff members: - Economy class if less than 9 hours; - Business class if more than 9 hours; - Exceptions can be made for flexible tickets if needed and with approval from the supervisor if the fare difference does not exceed USD 500. The fare difference between the flexible fare and the cheapest fare available must be shown on the Travel Authorization. – Staff are encouraged to travel in Premium Economy class and in economy class if the longhaul flight is a day flight. For all travellers, private deviations are authorized if the preferred itinerary is not more expensive than the official entitlement. If more expensive, a tolerance of 10% (in the limit USD 350) is accepted, otherwise the difference needs to be paid from the individual traveller’s own pocket.

➢ **TECs and expenses during missions**
There is no acceptance for local transportation reimbursement claims in Geneva unless exceptionally approved. While on mission, DSA and terminals are to be used for local transportation. Additional reimbursement claims are only eligible for exceptional extra transport/taxi costs between 2 meeting locations, not between hotel and venues.
In order to limit the high volume and transaction-heavy processing of small values, TECs should only be used for receipts for an amount greater than US$ 20 (per item). Smaller amounts spent during the missions should be usually covered by the DSA and Terminals. Due to the high amount of TECs submitted, staff are encouraged to make every effort to collect (eligible) receipts and submit them when a total amount of at least CHF 500 is reached.

### 4.1 Workshop Preparation Checklist

**ATTENTION:**

- Longer term planning on annual basis of the major events/workshops of the year is crucial and non-negotiable to ensure minimum disruption and more optimal and timely preparation.
- Assigning and designating an experienced focal person for all event planning is essential to avoid “reinventing”, duplicating or not learning from lessons.
- Advance notice to the team members to make sure that all preparation phases are addressed timely and last minute issues are reduced to real emergencies, at minimum. When meetings or workshops are held outside of Geneva - especially in developing countries with limited infrastructure - more time (minimum of 4 weeks depending on volume of participants) is usually required.

The following process steps are required to avoid often experienced late planning and to reduce unnecessary high costs (in particular related to late flight bookings).

#### 4.1.1 Participants & Travel

- Prepare **list of participants**, including the following details:
  1. Name and Surname;
  2. Nationality;
  3. Country of residence;
  4. Basic contact details (email address, phone nr.);
  5. DSA & terminals payment modality (direct bank transfer, EasyCash Card) - **ONLY IF DIRECT ARRANGEMENTS OF NON-WSSCC STAFF ARE REQUIRED THROUGH GENEVA OFFICE:**

- Send **letters of invitation** to the participants for visa applications well in
advance to allow time for processing. If necessary, please prepare standard **Note Verbale**

| • Request **travel itineraries** to Travel Implant (CWT) – as early as possible, to minimize higher travel/ticket costs. **ONLY IF DIRECT ARRANGEMENTS OF NON-WSSCC STAFF ARE REQUIRED THROUGH GENEVA OFFICE.** |
| • Issuance and approval of **Travel Authorization (TA)** — should be done as soon as itinerary is received. Please note that TAs should be signed by the traveller, the relevant WSSCC unit and GVA. **DSA:**  
  1. Calculate the DSA following the official Country list - [LINK]  
  2. Should there be accommodation or meals provided by WSSCC, ensure to apply the related **deduction rate on DSA.** |
| • Where applicable (only for UN staff; ICA holders), please remind the participants to process their travel **security clearance** on the **TRIP system** (UN DSS) - [LINK]  
• If not yet registered, request the participants to complete OneUNOPS **vendor form** ([TEMPLATE]) for payments through bank accounts required for DSA and/or Travel Expense Claims (TECs); |

4.1.2 Venue & Local Logistics

**Preferred option:** Establish Grant Support Agreement (GSA) with existing local partner organization to make local arrangements for: a) event venue; b) accommodation; c) translation services, if needed; d) (field visit) transportation, if applicable; e) satellite phones, if needed etc.

If above **local partner grant** is not possible:  
• For cost efficiencies it is recommended to contract **Hotel/venue** as **package**, including minimum:  
  a) Meeting facilities,  
  b) Accommodation and  
  c) All meals.

6 Please consult with GVA (Begum Kirci) for correct letter template.
Please ensure the procurement process is undertaken well in advance to allow for timely reservation and processing of possible partial payments before the event takes place. It is optional to provide 20% DSA for meeting participants if all meals are provided by the Hotel/venue.

If the preferred option of Hotel package is not possible, the participants will receive full DSA to arrange for accommodation/meals while only the meeting facilities need to be contracted.

- When selecting a hotel it is recommended to use the UNICEF Hotel list with discounted UN special rates (LINK).

**BASIC PROCUREMENT** applicable to any local purchase/services related to workshop/meeting, i.e.
- Conference/meeting facilities;
- Accommodation,
- Meals (if possible, all 3 items as package);
- special extra equipment (recording/audio devices etc.);
- translation services;

- **In case of costs up to US$ 5,000** (timeline: few days) against Invoice
  Request different local suppliers for quotation or simple price offer (this can also be done over phone). Obtain at least three valid quotes/price offers, in line with procurement process (shopping method) as per procurement section 2.5.1.

- **In case of costs between US$ 5,000 - US$ 50,000** (timeline: 10 days):
  Request different local suppliers for formal quotation (RFQ Form) and obtain at least three valid and formal quotes/price offers. Compile and complete Request for Contract Award (below $ 50k) where procurement process is explained and quotes are duly compared (and attached), in line with procurement process (RFQ method) as per procurement section 2.5.2.

- **In case of costs above US$ 50,000** (timeline: 3 weeks to 1 month):
  Contact Procurement focal person to duly plan preparation of more complex procurement process (RFP/ITB).

- **In exceptional cases** the WSSCC Executive Director has the authority to directly select service providers (incl. Hotels) for up to US$ 100,000 if deemed necessary under specific circumstances.
4.2 Security during Travel

All personnel travelling on official travel must obtain security clearance for any official duty travel in the UNDSS Travel Request Information Process TRIP system which is mandatory prior to departure regardless of destination.

In addition, travellers who do not receive clearance may not be eligible for Malicious Acts Insurance (MAIP). In order to emphasize the matter any approval of the Travel Authorization (TA) by the competent authority is given subject to the TRIP clearance being obtained. All travellers are personally responsible for obtaining the clearance (as per box in the TA which is indicating that clearance will be obtained prior to departure). WSSCC may consider to condition the DSA payment dependant on actual security clearance being received for traveller, in particular for missions to Africa/Asia.

For most destinations, the clearance from TRIP will be provided instantly via e-mail, but depending on the security situation at the destination, it could take several hours and in rare cases several days to obtain security clearance.

Should any personnel have difficulty in obtaining security clearance please contact the UNOPS Chief of Security Arve Skog (e-mail ArveS@unops.org) for assistance.

Negligence and breaches to the most basic safety rules while on mission may put personnel and others at risk. They can have very serious health and financial implications and result in major liability for WSSCC and UNOPS.

Especially in current global climate this is even more important. In this regard, a series of measures need to be observed:

- The TRIP Security Clearance is mandatory (especially for trips to field)!
- FAMPI registration for all meeting participants and invitees is mandatory;
- Every person traveling must have a valid Basic Security in the Field II (BSITF-II) certificate before 29 January 2016 (valid 3 years)
- 8 satellite phones bought in 2015 should be used for remote field trips.
- Every person traveling is strongly encouraged to login well in advance to the UNDSS portal before the mission and:
  - Take careful notice of the latest security report concerning the country;
  - Have the contact details of the local UNDSS office and, if needed, organize a briefing.
with a security advisor on arrival. (Recommended) - Strictly follow every advice given.

For any questions or other information related to travel, please refer to: Working at UNOPS – Travel and Visas (LINK)

5. Grant Management

5.1 Basic Definition – Grant Support

Grant support is the transfer of funds to assist, support and stimulate a selected Grantee to implement agreed activities (in line with a primary project agreement). It is distinctively outside the framework of procurement which constitutes the acquisition of standard goods/works/services (with set deliverables).

Grant support is defined as a project activity undertaken by way of grants, loans or credits through an implementing partner. It has 3 principal features:

- **Purpose**: To engage a specific implementing partner to pursue a formally agreed public objective/activity/program (in milestones, not deliverables). This should usually include a core capacity building element.
- **Autonomy**: The Grantee enjoys significant autonomy in pursuing the agreed objective. This means it usually develops own proposal/initiative and deploys own resources. UNOPS/WSSCC role is limited to reasonable monitoring of milestones, no substantial day-to-day involvement.
- **Not-for-Profit**: No direct financial profit for the Grantee. Grantees should usually be constituted as not-for-profit organizations. Grants should not have the purpose of producing a direct financial profit for the Grantee.

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7 This does not include a reasonable (usually below 10% of entire grant amount) overhead fee/compensation for the grantee’s organization, or the fact that grant recipients (community members etc.) may benefit from the results of the grant activities (i.e. impact on livelihoods or income generation).
The WSSCC Secretariat personnel represent the thematic competence, impartiality and highest ethical integrity to be tasked to undertake the basic grant management. This is institutionalized by the WSSCC Steering Committee’s decision on the delegate authority to the WSSCC Executive Director.

In order to ensure optimal oversight, the newly formed internal WSSCC Grantee Selection Panel (consisting of 3 individuals from different units as appointed by the WSSCC Executive Director, plus the designated UNOPS Portfolio Manager) will timely review each case above US$ 100,000 to ensure that any possible concerns are internally detected and addressed before they are submitted and processed. Below US$ 100,000 the WSSCC Executive Director may directly approve the selection of a grantee.

5.3 Grantee Selection – Thematic & Technical Criteria
The thematic and technical criteria established by the WSSCC are outlined as follows:

The collaborative grant activity must be:
- compliant with the Strategic Plan 2017-2020;
- specified or implied in the approved Annual Work Plan;
- affordable within the approved Annual Budget;
- aligned with sector harmonization, national plans and budgets and avoiding duplication in the sector.

In addition, any grantee must comply with these minimum eligibility criteria:
- proven capacity (track record and reputation) to undertake planned activities;
- proven capacity to deliver at the specified engagement level, that is, national,
regional and/or global;
• not-for-profit status;
• reasonable/realistic cost proposal or budget.

5.4 Grantee Review & Selection Structure

5.4.1 Competitive Method

**GOAL:** A transparent, fair and effective screening, evaluation and grantee selection process.

**RESPONSIBILITIES:**
- ✓ GVA: overall coordination and supervision of process steps (+ participation in internal Grantee Selection Panel);
- ✓ WSSCC Secretariat: basic screening, technical assessment and final selection (through internal Grantee Selection Panel);
- ✓ WSSCC Executive Director: Validation of panel’s selection process for grants between $100,000 and US$ 250,000.

**DESCRIPTION:**

- **Process A: Grants below $100,000 (within 12 months period):**
  Step 1 – Basic Screening: In line with the competitive solicitation principles and WSSCC technical criteria three (3) substantially compliant institutions should be considered. They should comply with the main grant support eligibility criteria (a.
proven capacity to undertake planned activities; b. non for profit status; c. reasonable/realistic cost proposal or budget).

**Step 2 – Technical Assessment:** Depending on the purpose of the planned grant activities, a technical evaluation should be conducted, with the main WSSCC technical criteria as overriding consideration. This includes specific justifications why a certain institution should be selected for their technical capacity, direct WSSCC partner status and its capacity building relevance, even if their cost proposal may be higher.

**Step 3 – Final Selection:** By summarizing relevant information from step 1 and 2, a final selection decision should be documented. It should emphasize the reasons for the selection but also include a simple due diligence confirmation of the existence of the institution and absence of any integrity (fraud, malpractice) concerns.

This selection summary note should be formally documented in the standard Request for Award – GRANTS (TEMPLATE) and directly submitted to the WSSCC Executive Director for decision to award a Grant Support Agreement to the selected grantee.

- **Process B: Grants above $100,000 (within 12 months period):**

**Step 1 – Basic Screening:** In line with the competitive solicitation principles and WSSCC technical criteria a more formal process should result in at least three (3) substantially compliant institutions\(^8\). They should strictly comply with the main grant support eligibility criteria (a. proven capacity to undertake planned activities; b. non for profit status; c. reasonable/realistic cost proposal or budget) and should be in line with the principle Call-For-Proposal (CFP) elements (TEMPLATE). The CFP process should indicate the basics (how, when and where to submit proposals) and be open and transparent allowing for suitable organizations to fully understand the eligibility criteria and evaluation method when submitting a proposal documenting the basics (sector; description of work / specific activities to be funded / budget). The CFP should be posted on both UNOPS and WSSCC websites.

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\(^8\) While the minimum acceptable limit is to review 2 potential grantees.
### CFP Structure Template

**Proposal submission**: How, when and where to submit?

**Eligibility Criteria**: Limitations, Minimum requirements/qualifications and other critical considerations. This could include focus on the expected capacity building element.

*Examples*: Only national NGOs under local ownership; expertise in natural resource management required; no sub-agreements allowed.

**Scope of Work**: What sector, what activities? *Examples*: Repair of urban sewage system; climate resilient adaptation of rain-dependent agriculture.

**Evaluation process**: How will proposals be reviewed? This should outline the overall assessment level to include the formal, technical and financial aspects as well as other considerations. It will always need to state that it is done in line with UNOPS evaluation principles of fairness, transparency and integrity, and based on the criteria outlined in the ‘Call for Proposals’ (CFP).

**Standard ‘Grant Support Agreement’**: A template should be attached (or made available) for review by potential grantees. This is critical as the Grant Support Agreement (and its General Conditions for Grants) constitutes an integral part of the Call for Proposals (CFP). It is usually mandatory to accept this agreement with its conditions before submitting a proposal.

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**Step 2 – Technical Assessment**: As basis for a solid selection decision the technical evaluation should be conducted with the main WSSCC technical criteria as overriding consideration. This includes specific justifications why a certain institution should be selected and should consider the following aspects:

- Organizational background / capacity to implement grant activities;
- Primary objectives and expected results;
- Implementation and monitoring plan;
- Grant budget breakdown;
- (potential) Risks.

**Step 3 – Final Selection**: An Evaluation Report (**TEMPLATE**) should be issued, indicating a) summary CFP and evaluation process; b) ranking and scoring of proposals and c) recommendation for grant award. It should emphasize the reasons for the selection but also include a simple due diligence confirmation of the existence of the institution and absence of any integrity (fraud, malpractice) concerns.

This Evaluation Report should be shared by email with the newly established WSSCC Grantee Selection Panel who should meet to discuss the case and
recommendation. If no meeting is possible, the designated Panel should validate such decision with a maximum 3-day turnaround 'no objection' side-step. The Grantee Selection Panel will recommend and seek approval of the WSSCC Executive Director to award the GSA to the selected grantee institution, as documented in Panel Minutes and Evaluation Sheet.

Step 4 – Approval by Executive Director: Upon completion of step 3, the Request for Grant Award (TEMPLATE) is finalized with the WSSCC Executive Director’s approval. The GSA will be issued by UNOPS GVA, accordingly.

5.4.2 Non-Competitive Method

GOAL: An effective, clearly justified process with defined responsibilities.

RESPONSIBILITIES:

✓ UNOPS: overall coordination and supervision of process steps;
✓ WSSCC Secretariat: direct selection decision and documentation of background
✓ WSSCC Executive Director: direct decision as delegated by, and on behalf of the WSSCC Steering Committee.

DESCRIPTION:
In line with its thematic mandate delegated by the Steering Committee the WSSCC Secretariat may decide to directly select a specific organization to receive grant funds.

These selection decisions may be taken for a variety of reasons including the need to provide co-financing to an organizing institution or to finance direct support for similar parallel programs implemented by a WSSCC / WASH coalition member.

In such cases, as endorsed by the WSSCC Steering Committee representing the Funding Source, the WSSCC Executive Director may select a grantee on behalf of the Steering Committee. This selection decision is taken in accordance with the given parameters and delegated mandate and in accordance with established UNOPS DOA thresholds.
5.5 Grant Process Workflow

Grant Cycle - Overview

Step 1: WSSCC to circulate CFP / solicit grant proposals (post on UNOPS website)

Step 2: WSSCC to evaluate proposals or directly select grantee, award approved by ED

Step 3: GVA to issue Grant Support Agreement (GSA)

Step 4: GVA to pay grantee in line with GSA

Step 5: WSSCC to report to Steering Committee achieved results/outcome

5.5.1 Grant disbursement process

GOAL: Effective, systematic workflow and standardized grant disbursement mechanism.

RESPONSIBILITIES: GVA, WSSCC

Step 1: WSSCC distributes Call for Proposals (CFP) and post it on UNOPS/WSSCC websites. See above chapter 5.4.1.

Step 2: WSSCC evaluates and selects or directly selects grantee(s). See above chapter 5.4.1.
**Step 3**: WSSCC submits a Request for Grant Award (RFA-Grants). Please use [TEMPLATE]. UNOPS Geneva verifies that sufficient budget is available for the entire grant amount (under the established OneUNOPS project) over the projected duration (especially when covering multiple years). GVA enters into a standard Grant Support Agreement (GSA) with the approved grantee. Please use [TEMPLATE]. Below total value of US$ 10,000 a more simplified Small Grant Agreement (SGA) should be used.

⚠️ **ATTENTION**: Grants should NOT be awarded retroactively or on a post-facto basis. Grants should only cover costs incurred after the date on which the Grant Support Agreement (GSA) is signed.

The entire grant amount planned to be disbursed needs to be established as OneUNOPS PO, however, separating PO line(s) for each milestone to ensure proper accounting. The PO needs to be approved by the UNOPS Portfolio Manager.

**Step 4**: Once the GSA/SGA is finalized and fully signed, GVA Finance usually processes the initial payment to the Grantee in order to start the grant activities. The specific PO line against the respective milestone needs to be associated with a PO voucher in order to run the pay-cycle for this payment.

⚠️ **ATTENTION**: The grant project activities are the deciding factor to determine if a GSA needs to be amended in its timeframe/payment schedule. Only actual delays of grant activities should be reflected in changes of the GSA payment schedule and grant workplan.

Upon verification of progress through the certification by the designated WSSCC personnel/unit (after reviewing milestone and financial status reports/updates), GVA Finance processes the subsequent payments to the Grantee.

**Step 5**: The achieved results reported by the grantee(s) through the milestone reports are collected, consolidated and reported as part of the annual progress summary to the WSSCC Steering Committee and the Donor Accountability Meeting. The financial status of the grant disbursements and obligations are reported by GVA in line with its established reporting structure.
ATTENTION:
1. Please always ensure that the established Grant Support Agreement (GSA) will not expire if the grant activities are not yet completed, and the period may need to be further extended. See below GSA amendments.

2. Emphasizing that it is responsibility of the Grantee to submit milestone reports on time before related grant payments can be processed it is strongly advised to maintain overview and remind grantees about upcoming milestone due dates.

For GSA Amendments: Please use RFA - Grant Amendment

In order to constitute similar agreements to provide grant funds to UN and Government entities please use these templates: RFA -Recipient Government
UN – Inter Agency Agreements RFA - UN IAA
# Appendix - Abbreviations & Definitions

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<th>Abbreviation</th>
<th>Definition</th>
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<tr>
<td>OneUNOPS</td>
<td>Means the ERP system used by UNOPS</td>
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<td>Consultant</td>
<td>Means an individual that is a legal person in the field of water supply and/or sanitation / hygiene.</td>
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<td>CPP</td>
<td>Country Programme Proposal (GSF term)</td>
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<td>CPM</td>
<td>Country Programme Monitor (GSF term)</td>
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<tr>
<td>DIR</td>
<td>Directorate (WSSCC department)</td>
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<td>Disbursement/Disbursed to</td>
<td>Means the transfer of Funds in accordance with a specific Agreement or Contract.</td>
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<td>Due Diligence</td>
<td>Means the process of obtaining sufficient and comprehensive information relating to a potential (funds receiving) Entity in order to carry out a check against the Basic Criteria as part of the review exercise.</td>
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<tr>
<td>ERP</td>
<td>‘Enterprise Resource Planning’ which is an integrated financial management system used by UNOPS</td>
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<td>E &amp; L</td>
<td>Evidence &amp; Learning (WSSCC department)</td>
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<td>ERCC</td>
<td>External Relations, Communication &amp; Country Coordination (WSSCC department)</td>
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<tr>
<td>Forecast of Disbursements</td>
<td>Means the forecast of expected Fund Disbursements for a specific period, based on planned milestones in line with formalized Agreements and/or Contracts.</td>
</tr>
<tr>
<td>GSF</td>
<td>Global Sanitation Fund</td>
</tr>
<tr>
<td>GVA</td>
<td>UNOPS Geneva Office (under ECR – Europe and Central Asia Region), formerly GVAC/SWOC</td>
</tr>
<tr>
<td>NoC</td>
<td>Nature of Cost (term from OneUNOPS) that allows direct identification of budget line (i.e. WSSCC programme number) and category of costs (personnel, grants, contracts etc.)</td>
</tr>
<tr>
<td>PAO</td>
<td>Policy, Advocacy &amp; Operationalization (WSSCC department)</td>
</tr>
<tr>
<td>PCM</td>
<td>Programme Country Mechanism (GSF term)</td>
</tr>
<tr>
<td>SOP</td>
<td>Standard Operating Procedures</td>
</tr>
<tr>
<td>SC</td>
<td>Steering Committee</td>
</tr>
<tr>
<td>Supporting Documentation</td>
<td>Means the documentation that an Entity is required to submit pursuant to the UNOPS Operational Procedures.</td>
</tr>
<tr>
<td>UNOPS</td>
<td>United Nations Office for Project Services</td>
</tr>
<tr>
<td>UNOPS Operational</td>
<td>Has the meaning given to it in the UNOPS</td>
</tr>
<tr>
<td>Procedures</td>
<td>Organizational Directives (ODs) and Administrative Instructions (AIs) outlining and prescribing all relevant operational processes, steps and measures.</td>
</tr>
<tr>
<td>------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>WSSCC</td>
<td>Water Supply and Sanitation Collaborative Council</td>
</tr>
</tbody>
</table>
Annex 2 – Payment Certification

Request for WSSCC related Payment -
Grant / Contract Number:

1. Transaction Type:

| Contract Payment | Grant Payment | Direct Invoice Payment (below $ 2,500) | Payment against Purchase Order | Other |

2. Name of Vendor / Recipient:

3. Total Amount (+ currency)

   Amount (if local currency, equivalent in US$)

4. Where to charge (in OneUNOPS)

   Project ID

   Work Package ID

   (Programme number)
5. **Signature / Date**

Name of WSSCC Person⁹  Signature

Date

**Payment Certification Template**

---

⁹ By formally authorizing the release of this payment, the designated WSSCC person is certifying that the activities/services/deliverables are completed (or are “on track”) in line with the given provisions in the contract/GSA.
WSSCC SOP Manual -
Annex 1:
Roles & Responsibility Matrix
### Content

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<th>Description</th>
<th>Page</th>
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<td><strong>2. PLANNING</strong></td>
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<td><strong>3. ADMINISTRATION &amp; OPERATIONAL TASKS</strong></td>
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<td>3.4</td>
<td>Grant Management &amp; Administration</td>
<td>15</td>
</tr>
<tr>
<td>3.5</td>
<td>Travel</td>
<td>17</td>
</tr>
</tbody>
</table>
Matrix of Roles & Responsibilities

Roles and Responsibilities between UNOPS (both at Geneva Office and HQ) and the Water Supply & Sanitation Collaborative Council (WSSCC). As per established segregated functions and accountability mapping the below matrix uses the following RACI terms to allocate how the respective roles will work together to complete the activities.

The terms are defined as follows:

- **Responsible** - leads the completion of the activity. Directs resources, plans, strategies and actions that achieve the result. Monitors progress and takes corrective actions to achieve result.
- **Accountable** - owns the result but not directly involved in driving the activity. Ensures that appropriate priority and resources are placed in order to achieve the result.
- **Contribute** - supports the process and achievement of the result. Provides resources and actions to support activity is completed.
- **Inform** - remains aware or consulted of the activity and result, without being directly involved in the process.

---

1 Hereinafter referred to as GVA. It includes designated WASH team and Geneva-based Support Service structure (HR, Finance, Procurement).
2 Hereinafter referred to as WSSCC. It includes all staff under specific units (GSF, EACC, PAO, EL, DIR).
## 1. REPORTING

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Consolidated Bi-Annual Report for Steering Committee</strong></td>
<td>Units prepares content for substantive report.</td>
<td>Combines reports, approves and submits to SC.</td>
<td></td>
</tr>
<tr>
<td><strong>Bi-Annual Financial Report for Steering Committee</strong></td>
<td>Reviews and comments</td>
<td>Reviews</td>
<td>Finance compiles financial data &amp; submits report</td>
</tr>
<tr>
<td><strong>Certified Financial Reporting</strong></td>
<td>Units review monthly financial reports, for adjustments/ clarifications</td>
<td>Reviews</td>
<td>Finance issues standard financial report</td>
</tr>
<tr>
<td><strong>Operational Closure</strong></td>
<td>Team advises GVA to proceed with operational closure of specific country allocation (WSSCC Programme)</td>
<td>Reviews and endorses.</td>
<td>Reports remaining fund commitment level and initiates closure process.</td>
</tr>
<tr>
<td><strong>Financial Closure</strong></td>
<td></td>
<td>Finance proceeds; Team monitors process</td>
<td>Approves and signs off financial closure</td>
</tr>
<tr>
<td><strong>Quarterly cashflow preparation</strong></td>
<td>Input from WSSS departments</td>
<td>Review and submit consolidated version to UNOPS HQ</td>
<td></td>
</tr>
<tr>
<td><strong>Financial status updates</strong></td>
<td>Reviews and comments</td>
<td>Preparers consolidated version</td>
<td></td>
</tr>
</tbody>
</table>
## 2. PLANNING

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Workplan &amp; Budget</td>
<td></td>
<td>Reviews and approves (incl. GVA inputs) and submits to SC/Donors.</td>
<td>Provides inputs on admin/finance matters and related costing</td>
<td>Notified.</td>
</tr>
<tr>
<td>Tracking Objectives &amp; Milestone Achievements against Annual Workplan &amp; Budget</td>
<td>Conducts and reports progress through M&amp;E system.</td>
<td>Reviews and decides on corrective actions, if necessary. Reports systematically to SC/Donors.</td>
<td>Provides financial inputs and guidance for actions, if requested.</td>
<td>Apprised of overall status and/or corrective actions, if necessary.</td>
</tr>
<tr>
<td>Annual Procurement Plan</td>
<td>Responsible for preparing plan in line with annual workplan and updates it every 6 months if required.</td>
<td>Reviews and endorses.</td>
<td>Provides template and gives feedback/guidance; monitors progress and budget implications.</td>
<td></td>
</tr>
<tr>
<td>Annual HR/Recruitment Plan</td>
<td>Prepares in line with annual workplan and updates on quarterly basis.</td>
<td>Reviews and endorses.</td>
<td>Provides comments/guidance and monitors progress and budget implications.</td>
<td></td>
</tr>
<tr>
<td>Quarterly Travel Plan</td>
<td>Prepares in line with annual workplan and ad-hoc needs.</td>
<td>Endorses and approves ad-hoc changes.</td>
<td>Provides comments/guidance and monitors progress and budget implications.</td>
<td></td>
</tr>
</tbody>
</table>
3. ADMINISTRATION & OPERATIONAL TASKS

3.1 Human Resources & Recruitment

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Consultant &amp; Roster (under ICA³; E-Recruitment &amp; Roster Guidance) (in UNOPS Global Personnel Recruitment System, GPRS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advertisement of standard TOR / vacancy announcement</td>
<td>Prepares in line with HR/recruitment plan and submits Template to GVA HR. Assists to circulate through additional means as necessary.</td>
<td>HR reviews, advises and posts.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of shortlist of candidates</td>
<td>Hiring Manager reviews candidates. Prepares &amp; submits to GVA HR.</td>
<td>HR reviews &amp; advises.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Concurrence with shortlist</td>
<td></td>
<td>HR concurs in GPRS.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interview process &amp; recommendation for selection (interview minutes)</td>
<td>Hiring Manager chairs interview panel.</td>
<td>HR organizes and participates in interview panel &amp; submits interview panel results.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final Selection / roster approval</td>
<td>Hiring Manager and panel approve selection and/or established roster of qualified candidates (for similar future recruitments).</td>
<td>HR prepares ICA award request.</td>
<td>Awards ICA.</td>
<td>LCPC/HQCPC* reviews and clears, if threshold exceeded.</td>
</tr>
</tbody>
</table>

³ ICA = Individual Contractor Agreement. It is UNOPS unique contract modality for specific personnel and/or consultants.

⁴ LCPC = Local Contracts & Procurement Committee. HQCPC = HQ Contracts & Procurement Committee. They represent UNOPS oversight bodies to review procurement cases for compliance with procedures and best practices before awarding them for contracts.
<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>WSSCC Core Personnel: Fixed Term (FT) + ICA</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advertisement of standard TOR / vacancy</td>
<td>Prepares in line with approved staffing table and HR/recruitment plan and submits to GVA HR. Assists to circulate through additional means as necessary.</td>
<td>Reviews and endorses to proceed.</td>
<td>HR reviews, advises and posts in GPRS.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of shortlist of candidates</td>
<td>Hiring Manager reviews candidates. Prepares &amp; submits final shortlist in GPRS.</td>
<td></td>
<td></td>
<td>HR reviews and advises.</td>
<td></td>
</tr>
<tr>
<td>Concurrence with shortlist</td>
<td></td>
<td></td>
<td></td>
<td>HR concurs in GPRS.</td>
<td></td>
</tr>
<tr>
<td>Interview process &amp; recommendation for selection (interview minutes): Panel of WSSCC, GVA HR</td>
<td>Hiring Manager chairs interview panel.</td>
<td>Chairs interview panel for senior positions. Delegated to WSSCC hiring unit.</td>
<td>HR organizes and participates in interview panel &amp; submits interview panel results.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final Selection / Approval of Candidate(s)</td>
<td>Hiring Manager/Unit and panel approve selection of qualified candidate(s).</td>
<td>Approves final selection for senior positions. Endorses all new recruitments in formal memo to GVA HR.</td>
<td>HR reviews final selection, and if cleared, prepares Letter of Appointment.</td>
<td></td>
<td>APB® clearance (for FT); LCPC/HQCPC if threshold reached (for ICA).</td>
</tr>
</tbody>
</table>

---

5 This process workflow applies to all new FT & ICA positions except WSSCC Executive Director, for which a special panel comprised of Steering Committee Chair, Donor representative and senior UNOPS representative is established. This panel will be involved in the vacancy drafting, shortlisting and interview. Apart from standard posting, UNOPS shall advertise this position in international media/press and may involve additional ‘head hunting’ methods, as appropriate.

6 APB = Appointment & Promotion Board. This represents UNOPS oversight body to review all Fixed-Term (FT) HR cases for compliance with procedures and best practices before awarding them for appointments/promotions.
<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HR Administration – Fixed Term (FT) &amp; ICAs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Negotiation and issuance of FT appointment &amp; ICA offer</td>
<td>Advises on sufficient budget available from specific programme.</td>
<td>Endorses final appointment and salary level through memo.</td>
<td>HR advises on applicable salary level and consults with WSSCC, if necessary. Negotiates and sends final offer.</td>
<td></td>
</tr>
<tr>
<td>Contract Administration, including standard salary &amp; entitlements processing</td>
<td>Individual responsibility to update Absence records (in OneUNOPS), between submitter &amp; direct supervisor.</td>
<td>For senior personnel. Submits own absences to GVA Director.</td>
<td>HR focal point advises on specific queries/requests, and can liaise with GSSC, if needed.</td>
<td>GSSC conducts payroll, processes entitlement requests.</td>
</tr>
<tr>
<td>Leave &amp; Attendance Monitoring (ONLINE SYSTEM)</td>
<td>Direct supervisors</td>
<td>For senior personnel. And overall supervision of unit performances.</td>
<td>HR advises, if needed.</td>
<td>Approves ED absences.</td>
</tr>
<tr>
<td>Technical supervision and monitoring of staff inputs</td>
<td>Direct supervisors</td>
<td>For senior personnel, and as secondary supervisor, if required. Review by SC.</td>
<td>HR supports in cases of supervisor changes and other advice when needed.</td>
<td></td>
</tr>
<tr>
<td>Performance Review Assessment (PRA) – Performance Evaluation Report (PER) - annual basis</td>
<td>Direct supervisors</td>
<td>For senior personnel, and as secondary supervisor, if required. Review by SC.</td>
<td>HR plays advisory role in the entire performance management process</td>
<td></td>
</tr>
</tbody>
</table>

---

7 GSSC = Global Shared Service Centre. Special UNOPS unit in Bangkok handling all HR administrative matters.

8 WSSCC Executive Director performance is reviewed annually by Steering Committee (Chair or designated person), and then entered in UNOPS PRA system.
### Induction

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responsible for overall job related and other relevant induction</td>
<td>HR shares the induction manual before joining and provides orientation on UNOPS relevant topics.</td>
<td></td>
</tr>
</tbody>
</table>

### 3.2 Procurement – Equipment & Services

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract / LTA(^9) for Services</td>
<td>Requesting unit responsible for preparing and finalising ToR.</td>
<td></td>
<td>Provides advice &amp; consultative guidance on cost estimations, timelines and recommendation of service structures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of TOR/Statement of Work</td>
<td>Requesting unit responsible for reviewing LTA providers and deciding process (secondary bidding, direct)</td>
<td></td>
<td>Provides advice to requesting unit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of TOR in case of using LTA provider</td>
<td>Requesting unit provides proposed shortlist.</td>
<td></td>
<td>Reviews, providing advice, and finalises for approval, if required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation of shortlist (if required)</td>
<td>Requesting unit provides proposed shortlist.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preparation and Issuance of</td>
<td>Requesting unit provides</td>
<td></td>
<td>Coordinates to develop</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

\(^9\) Long-Term Agreement (LTA).
<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP”” or ITB””</td>
<td>inputs, recommends clear evaluation criteria and score sheet for selection. Provides inputs for clarifications or amendments during the process, as required.</td>
<td>e-sourcing tender, obtains information from advising the requesting unit on evaluation criteria and other components. Responsible for managing all stages of e-sourcing including amendments and clarifications.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of Proposals</td>
<td>Provides technical expert and Chair of panel, if possible. Responsible for technical evaluation and finalisation of scoring after consultative assessment.</td>
<td>Ensures evaluation process in compliance with UNOPS procurement standards. Provides Procurement Official if required.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final decision on Contractor/Service Provider</td>
<td>Requesting unit/person requests GVA to award selected contractor. Drafting award documents in coordination with UNOPS GVA. Obtains internal approval from managers to proceed. Apprised of large cases and/or corrective actions, if necessary.</td>
<td>Reviews award documents; ensures correctness, submitting them to authorities for approval.</td>
<td></td>
<td>Awards contract, if contract value is within delegated threshold.</td>
<td></td>
</tr>
<tr>
<td>HQCPC/LCPC submission &amp; clearance (if required)</td>
<td>Requesting unit provides inputs, and clarifications if required by CPC. Apprised of cases and/or corrective actions, if necessary.</td>
<td>Responsible for compiling the submission from necessary parties and submits the case.</td>
<td></td>
<td>Awards submission, if required. LCPC/HQCPC reviews and clears/awards, if needed.</td>
<td></td>
</tr>
<tr>
<td>Notification of outcome</td>
<td>Informed/copied when</td>
<td>Formally contacts</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

10 Request for Proposals (RFP). Standard competitive procurement process for specialized (tailored) services above $ 50,000.
11 Invitation to Bid (ITB). Standard competitive procurement process for pre-set, standardized services above $ 50,000.
<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negotiation of contract (including consultant fee) and authorization to proceed</td>
<td>Requesting unit provides inputs ensuring correct programme level has sufficient funds</td>
<td>Approves to proceed with the contract.</td>
<td>Conducts negotiation and confirms start date and other details of the contract.</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Contract Administration (drafting, processing and signing)</td>
<td>Responsible unit/person provides/clears final TOR/SOW for contract.</td>
<td>Drafts and issues Contract for signatures.</td>
<td>UNOPS HQ</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Review/approval of all progress report and deliverables (monitoring)</td>
<td>Responsible unit/person monitors progress / deliverables and advises GVA of change to contract, if needed.</td>
<td>Apprised of special cases and corrective actions, if necessary.</td>
<td>Apprised of specific cases requiring corrective actions or amendments, if necessary.</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Process Payment in line with contract</td>
<td>Responsible unit/person certifies invoiced services/work for payment.</td>
<td>Reviews and processes payment in line with contract and certified invoice.</td>
<td>UNOPS HQ</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Contract Amendments</td>
<td>Responsible unit/person request GVA to amend contract after review of contract status and associated award, provides all supporting documents for process.</td>
<td>Approves amendments to proceed.</td>
<td>Reviews relevant documents; advises on process and communicates formally with contractor. Submits award for (internal) approval, and issues contract amendment for signatures.</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Standardization of processes for similar services (across departments or repeated services like GSF CPM)</td>
<td>Identifies repeated or similar procurement needs; responsible for coordinating between relevant units to formulate request.</td>
<td>Encourages cross-unit coordination and needs assessment at large scale.</td>
<td>Provides advice on improvements and standardization in procurement, coordinating with responsible units.</td>
<td>UNOPS HQ</td>
</tr>
<tr>
<td>Activity / Deliverable</td>
<td>WSSCC</td>
<td>WSSCC Directorate</td>
<td>UNOPS GVA</td>
<td>UNOPS GVA Director</td>
</tr>
<tr>
<td>------------------------</td>
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<td>-------------------</td>
<td>-----------</td>
<td>--------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Conducts related procurement action (for LTAs).</td>
<td></td>
</tr>
</tbody>
</table>

### Equipment / Services (items below US$ 50,000)

<table>
<thead>
<tr>
<th></th>
<th>Requesting unit/person prepares and finalizes, also seeking list of suitable suppliers.</th>
<th>Reviews, advises and supports supplier shortlisting.</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation of standard specifications/TOR</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conduct competitive bidding - RFQ¹²</td>
<td>Requesting unit/person provides inputs, and establishes clear criteria for selection.</td>
<td>Advises and finalizes/issues RFQ document.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of Quotations, final decision on Small Contractor/ Service Provider/Supplier</td>
<td>Requesting unit/person requests GVA to approve award of selected contractor/supplier.</td>
<td>Ensures award documents are correct, and approves award.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Process Payment against Contract / Purchase Order (PO)</td>
<td>Responsible unit/person certifies invoiced services/work/equipment for payment.</td>
<td>Reviews and Finance processes payment in line with contract/PO and certified invoice.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

¹² Request For Quotations (RFQ). Standard procurement process for equipment/services below total value of US$ 50,000.
### 3.3 Financial Administration – Budgeting / Payment Process / Oversight

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Budgeting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Results-Based Costing &amp; Budgeting</strong></td>
<td>Applies RBB formulas and principles.</td>
<td></td>
<td>Applies RBB formulas and principles.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Preparation of Annual Work Plan (AWP)</strong></td>
<td>Creates AWP</td>
<td>Endorses AWP</td>
<td>Translates into OneUNOPS budgets.</td>
<td></td>
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</tr>
<tr>
<td><strong>Budget revisions</strong></td>
<td>When needed, units provide justification and inputs (after reviewing expenditure reports).</td>
<td>Endorses request for budget revision.</td>
<td>FINANCE reviews and finalizes requested budget revision in system.</td>
<td>Apprised of specific cases, if necessary.</td>
<td></td>
</tr>
<tr>
<td><strong>Annual budget revision</strong></td>
<td>Units review expenditure status, and provide inputs for revising budget allocations for realistic alignments.</td>
<td>Endorses budget revision.</td>
<td>FINANCE reviews and finalizes in system to reflect corrected budget allocations.</td>
<td>Apprised of specific cases, if necessary.</td>
<td></td>
</tr>
<tr>
<td><strong>Quarterly financial projections based on cash-flow, contractual commitments, workplan and planned disbursements</strong></td>
<td>Units review status and provide inputs for joint forecast for a) disbursements and b) new contractual commitments.</td>
<td>Apprised of overview and specific situations requiring corrective measures, if necessary.</td>
<td>FINANCE receives forecast and a) reports to HQ, for cash projections; and b) reviews and advises on cash balance vs. new contr. commitment plans.</td>
<td>Apprised of specific cases, if necessary.</td>
<td></td>
</tr>
<tr>
<td>Activity / Deliverable</td>
<td>WSSCC Directorate</td>
<td>UNOPS GVA Director</td>
<td>UNOPS GVA Director</td>
<td>UNOPS HQ</td>
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<tr>
<td><strong>Payment Process</strong></td>
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<tr>
<td>Issuance of Contracts, GSA&lt;sup&gt;13&lt;/sup&gt; via financial commitments</td>
<td>Consulted, provides inputs (budget breakdown).</td>
<td></td>
<td>Prepares and finalizes.</td>
<td></td>
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</tr>
<tr>
<td>Establishing of vendor in OneUNOPS</td>
<td>Provides inputs, when needed.</td>
<td></td>
<td>Reviews and finalizes/submits to GSSC, Bangkok</td>
<td></td>
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</tr>
<tr>
<td>Approval of PO in OneUNOPS</td>
<td>Consulted, provides inputs (what programme to charge).</td>
<td></td>
<td>Issues and approves POs in oneUNOPS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review of Milestone Reports, Deliverables etc. – Clearance</td>
<td>Responsible unit receives and conducts review of reports (narrative, financial)</td>
<td></td>
<td>Consulted, conducts double-checking (financial report), if necessary.</td>
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<tr>
<td>Verification/certification to proceed with payment</td>
<td>Responsible unit issues certification statement.</td>
<td></td>
<td>Receives certification, and reviews for clarifications, if needed.</td>
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<tr>
<td>Processing payment</td>
<td></td>
<td></td>
<td>Requests formal payment process conducted through FINANCE.</td>
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<tr>
<td><strong>Financial Oversight</strong></td>
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</tr>
<tr>
<td>Financial control &amp; oversight in line with Internal Control Framework (ICF)</td>
<td>Segregated roles with UNOPS GVA team (firewall). Responsible units/person apply oversight functions (as per job descriptions), in particular financial control for GSF finance related tasks.</td>
<td>Accountable for overall financial oversight of WSSCC.</td>
<td>GVA team applies (segregated) oversight role, FINANCE ensures compliance with applicable ICF standards.</td>
<td>Accountable for overall financial oversight of UNOPS GVA operations related to WSSCC.</td>
<td></td>
</tr>
</tbody>
</table>

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<sup>13</sup> Grant Support Agreement
### 3.4 Grant Management & Administration

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC Directorate</th>
<th>UNOPS GVA Director</th>
<th>UNOPS GVA Director</th>
<th>UNOPS HQ</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Grantee Review &amp; Selection:</strong></td>
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<tr>
<td>a) Competitive: transparent, fair and effective screening, evaluation and selection process.</td>
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<tr>
<td>b) Non – competitive: effective, clearly justified process with defined responsibilities</td>
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<tr>
<td>a) Preparation of TOR and templates for ‘Call for Proposals’ (CFP)</td>
<td>Requesting unit/person prepares and finalizes inputs.</td>
<td></td>
<td>Advises and supports.</td>
<td></td>
</tr>
<tr>
<td>a) Preparation of shortlist (if required)</td>
<td>Requesting unit/person provides inputs.</td>
<td></td>
<td>Advises and finalizes.</td>
<td></td>
</tr>
<tr>
<td>a) Evaluation of Grant Proposals/ Budgets</td>
<td>Grantee Selection Panel(^{15}) evaluates, providing technical assessment, and scoring.</td>
<td></td>
<td>Ensures evaluation process in compliance with UNOPS principles and standards.</td>
<td></td>
</tr>
<tr>
<td>a) Final decision &amp; awarding of Grantee/s</td>
<td>Grantee Selection Panel requests WSSCC ED to approve selected grantee(s). Requesting unit confirms that amount is available at programme to be charged (also for method b).</td>
<td>Reviews/approves selection and award of grant funds. (also for method b)</td>
<td>Ensures award documents are correct and approved (also for method b)</td>
<td>Awards grant(s), if grant amount is within delegated threshold (also for method b).</td>
</tr>
</tbody>
</table>

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\(^{14}\) Call for Proposals (CFP) is standard competitive process for grant activities above $50,000.

\(^{15}\) The formally institutionalized WSSCC Grantee Selection Panel is comprised of senior staff of each WSSCC unit, plus UNOPS Portfolio Manager.
<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC</th>
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</tr>
</thead>
<tbody>
<tr>
<td>a / b - Engagement Acceptance Committee (EAC) submission &amp; clearance (if required)</td>
<td>Requesting unit provides inputs, and clarifications if required by EAC.</td>
<td>Apprised of cases and/or corrective actions, if necessary.</td>
<td>Advises and finalizes.</td>
<td>Formally approves submission.</td>
<td>EAC reviews and clears awards, if needed.</td>
</tr>
<tr>
<td>a / b - Negotiation of Grant activity / budget or other elements (if required)</td>
<td>Requesting unit provides inputs, and direct liaison with Grantee, if required.</td>
<td>Apprised of difficult cases and/or corrective actions, if necessary.</td>
<td>Advises and communicates formally with Grantee.</td>
<td>Apprised of difficult cases and/or corrective actions, if necessary.</td>
<td>Legal Advisor involved, for clearance of deviations, if needed.</td>
</tr>
<tr>
<td>Awarding of Grantee/s</td>
<td>Requesting unit provides inputs for Award, including amount is available at programme to be charged</td>
<td>Reviews/approves award of grant funds</td>
<td>Ensures award documents are correct and approved.</td>
<td>Drafts and issues Grant Support Agreement (GSA) for signatures. Ensures fully signed for validity.</td>
<td>Signs (high value, political) Agreements, if requested.</td>
</tr>
<tr>
<td>a / b - Grant Support Agreement (GSA) Administration (drafting, processing and signing)</td>
<td>Responsible unit/person provides/clears final TOR/budget for Agreement.</td>
<td>Apprised of special cases and corrective actions, if necessary.</td>
<td>Apprised of specific cases requiring corrective actions, if necessary. Notifies WSSCC on upcoming expiring grants.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a / b – Overall Grantee Performance (monitoring)</td>
<td>Responsible unit/person monitors Grantee performance and advises GVA of change to GSA, if needed.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>a / b - Review/approval of milestone &amp; financial reports</td>
<td>Responsible unit/person reviews submitted reports and reverts to Grantee, if required.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>a / b - Process Payment in line with Grant Support Agreement</td>
<td>Responsible unit/person certifies submitted reports/activities are satisfactory, for payment.</td>
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<td>Ensures sufficient budget available. FINANCE processes payment in line with GSA and certified reports/claims.</td>
</tr>
</tbody>
</table>
## 3.5 Travel Process

<table>
<thead>
<tr>
<th>Activity / Deliverable</th>
<th>WSSCC</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Quarterly Travel Plans (QTP)</td>
<td>Units prepare QTPs in line with annual work plan and ad-hoc needs.</td>
<td>Endorses and approves ad-hoc changes.</td>
<td>Travel Unit provides comments/ guidance and monitors progress and budget implications.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel Requests (TR)</td>
<td>Requesting staff member sends complete Travel Request and mission TOR after receiving final supervisor's approval.</td>
<td>Reviews, approves and decides on corrective actions.</td>
<td>Travel Unit provides comments/ guidance and monitors progress and budget implications.</td>
<td>Approves travels of WSSCC Executive Director.</td>
<td></td>
</tr>
<tr>
<td>Travel Authorizations (TA)</td>
<td>Requesting staff member reviews, ensures correctness and signs TA</td>
<td>Reviews and approves</td>
<td>Travel Unit prepares TAs, submits them for approval and to Finance for payment.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trip Security Clearances</td>
<td>Staff members request trip security clearances to UNDSS</td>
<td></td>
<td>Travel Unit monitors that trips are cleared, provides comments/guidance.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Visa Applications</td>
<td>Staff members are responsible for submitting all necessary documents for their application on time</td>
<td></td>
<td>Travel Unit provides information about visa requirements, submits applications.</td>
<td></td>
<td></td>
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</tbody>
</table>