

**NILE BASIN INITIATIVE  
SHARED VISION PROGRAM**

**CONFIDENCE BUILDING AND STAKEHOLDER  
INVOLVEMENT PROJECT**

**PROJECT IMPLEMENTATION MANUAL**

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## ABBREVIATIONS AND ACRONYMS

AFS	(UNOPS) Administrative/Finance Specialist
ALD	Activities of limited duration
AO	Approving officer
APO	Administrative and Procurement Officer
CBSI	Confidence Building and Stakeholder Involvement
CO	Certifying officer
CPO	Chief Procurement Officer
CQ	Consultants qualification selection
CRV	Cash receipts voucher
CSO	Civil society organization
DHRM	Division for Human Resources Management (UNOPS headquarters)
DMS	Documents Management System
DO	Designated Official
DoA	Delegation of authority
DRC	Democratic Republic of Congo
DSA	Daily subsistence allowance
DV	Disbursement voucher
ED	Executive Director
ENTRO	Eastern Nile Technical Regional Office
ERP	Enterprise Resource Planning
FMR	Quarterly Financial Management Report
FPO	(SVP CP) Finance and Procurement Officer
FSCO	Field Security Coordination Officer
FTP	File Transfer Protocol
GJP	Generic job profile
GPN	General procurement notice
HQ	UNOPS headquarters in New York
IAS	Imprest Account System
IBRD	International Bank for Reconstruction and Development
ICB	International competitive bidding
ICR	Implementation Completion Report
IDA	International Development Association
IGO	Intergovernmental organization
IMS	Information Management Specialist
ISO	International Standards Organization
IT	Information technology
ITB	Invitation to bid
KM	Knowledge Management
LAN	Local Area Network
LCC	UNOPS local contracts committee
LPO	Local purchase order

## ABBREVIATIONS AND ACRONYMS (cont'd)

M&E	Monitoring and evaluation
MSA	Management services agreement
NBI	Nile Basin Initiative
NBIU	Nile Basin Initiative Unit
NBTF	Nile Basin Trust Fund
NEL-CU	Nile Equatorial Lakes Coordination Unit
Nile-COM	Council of Ministers of Water Affairs of the Nile Basin States
Nile-SEC	Nile Basin Initiative Secretariat
Nile-TAC	Nile Technical Advisory Committee
NGO	Non-governmental organization
NPC	National project coordinator
OA	Office Assistant / Secretary
OIC	Officer In Charge
PAC	Personal Authorization Code
PAD	Project appraisal document
PAR	Performance appraisal review
PC	Personal computer
PIM	Project implementation manual
PIP	Project implementation plan
PIR	Project implementation review
PIS	Public Information Specialist
PMU	Project management unit
PO	Purchase order
PRAC	Procurement review and advisory committee
PSA	Project Services Agency
PSC	Project Steering Committee
PTS	Procurement tracking database system
QCBS	Quality and cost based selection
RFP	Request for proposal
RFQ	Request for quotation
RIR	Receiving and inspection report
RPA	Request for personnel action
RPM	Regional project manager
RR	Resident Representative (UNDP)
SAP	Subsidiary Action Programs
SBAA	Standard Basic Assistance Agreement
SC	Service contract
SCBS	Stakeholder/Confidence Building Specialist
SMT	Security Management Team
SPN	Specific procurement notice
SSA	Special service agreement
SVP	Shared Vision Program
SVP CP	Shared Vision Program coordination project
TA	Travel authorization form
TC	Travel claim form

## ABBREVIATIONS AND ACRONYMS (cont'd)

TOR	Terms of reference
UN	United Nations
UNCCS	United Nations Common Coding System
UNCSD	United Nations Common Suppliers Database
UNDP	United Nations Development Program
UNOPS	United Nations Office for Project Services
UNOPS NY	UNOPS headquarters in New York
UPS	Uninterruptible power supply
UNSECOORD	United Nations Security Coordination Office
VA	Vacancy announcement
WB	World Bank



## **DEFINITIONS**

(in alphabetical order)

### Alternate staff member

A member of the project team designated by the RPM to replace or serve as back-up for a colleague on leave.

### Approving Officer

A project staff member designated by the UNOPS ED to approve payments on financial transactions for the project.

### Asset (capital)

Physical structure or item with a value of US\$500 or more and a life expectancy of at least one year. Office furniture and equipment, and small 'attractive' items of lesser value are also classified as capital assets.

### Atlas

The integrated, web-based Enterprise Resource Planning software system (developed by PeopleSoft) used by UNOPS for project management, budgeting, accounting, human resources and procurement activities.

### Certifying Officer

A project staff member designated by the UNOPS ED to certify financial transactions for the project (i.e. existence of obligation in accordance with financial regulations and rules, consistency of the transaction with the purpose of the obligation, and availability of funds).

### Delegation of authority

Authorization given by the UNOPS ED to a project staff member, allowing him/her to make commitments and/or payments for the project.

### Fiscal year

The project's fiscal year starts on 1 January and ends on 31 December, in accordance with UNOPS financial year.

### Imprest account

Bank account opened in the field in order to allow the project to make payments directly. The opening of an imprest account is subject to the approval of UNOPS HQ and to a monthly limit.

### International UNOPS staff

Staff members recruited outside the country where the project is based, for posts that are advertised internationally. They are normally recruited under ALD contracts.

### Management services agreement (MSA)

Agreement between UNOPS and the NBI for the provision by UNOPS of project support services to the Confidence Building and Stakeholder Involvement Project, including capacity building to enable the NBI to execute and oversee project activities. These project services are in the general administration, personnel, financial management and procurement.

## **DEFINITIONS (cont'd)**

(In alphabetical order)

### National staff

Project personnel who are recruited locally in the PMU country. They are normally recruited under service contracts.

### Obligation

Financial commitment for future expenditures. Obligations (which are identified in the UNOPS financial system by a unique number), allow for funds to be set aside for the expected expenditure(s).

### Officer in charge

A staff member designated by the RPM to act in his/her place in case of an absence of more than one working day.

### Procurement Review and Advisory Committee (PRAC)

The contracts committee established to examine and provide advice to the UNOPS CPO with regard to procurement actions valued at US\$100,000 or more. Award of contract in cases recommended for award by PRAC is made by the UNOPS Chief Procurement Officer.

### Project Management Unit

Entity established by UNOPS in Entebbe, Uganda, responsible for the implementation of project activities at the regional level.

### Project services agency (PSA)

Entity responsible for the provision of a number of project management services, and for building the capacity of the NBI in project execution. UNOPS was designated by the NBI as PSA for the CBSI project, in accordance with the MSA signed between the two organizations.

### Shared Vision Program (SVP)

Basin-wide activities and projects designed by the NBI to promote the shared vision of the Nile riparian countries with the main goal of "creation of an enabling environment for investments and action on the ground, within an agreed basin-wide framework".

### Subsidiary Action Programs

Sub-regional programs initiated by groups of riparian countries that cooperatively identify and implement investment projects that confer mutual benefits. These programs are aimed at translating the Shared Vision Program into action, realizing trans-boundary development opportunities within the agreed basin-wide framework. Projects under the SAP are implemented by the ENTRO for the Eastern Nile SAP and the NEL-CU for the Nile Equatorial Lakes SAP.

### UNOPS Nile Basin Initiative Unit (NBIU)

A unit set up by UNOPS within the Nile-SEC in Entebbe in order to assist in the implementation of SVP project activities (particularly in the areas of project administration, financial management, personnel, and procurement), and to build the capacity of the NBI in the area of project execution and management. The NBIU is staffed with one senior advisor, one administrative/finance specialist and two support staff. The three local staff based in the countries where there will be no PMU (Burundi, D. R. Congo, and Rwanda) also work under the supervision of the NBIU.

## **PIM MODIFICATIONS AND ADDENDA**

Changes made to the PIM between Revisions 0 and 1 are listed below.

<b>Amendment n°</b>	<b>Date</b>	<b>Approved by</b>	<b>Page amended</b>
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## INTRODUCTION

### Presentation of the project

The Nile Basin Initiative (NBI) is a regional partnership established by the Nile riparian countries<sup>1</sup> at the 22 February 1999 Extraordinary Meeting of the Council of Ministers of Water Affairs of the Nile Basin States (Nile-COM). The purpose of this transitional institutional mechanism is to promote economic development, regional peace and security, and to fight poverty in the Nile basin area through equitable utilization of, and benefit from, the common water resources.

In order to achieve this goal, a multi-country, multi-sectoral Shared Vision Program (SVP) including seven regional thematic projects based in different countries is being implemented by the NBI through its executive arm, the NBI Secretariat (Nile-SEC), using a decentralized approach. An eighth project, the SVP Coordination Project ('coordination project' or SVP CP), was developed to strengthen the capacity of the NBI in the areas of program execution and coordination.

The Confidence Building and Stakeholder Involvement Project (the CBSI project or the project) cuts across all SVP thematic projects, focusing on public awareness and the participation of all interested parties in the NBI and its projects. It is expected to expand public understanding about the NBI as well as confidence in regional cooperation, while at the same time fostering basin-wide ownership of the Nile Basin Initiative and its programs.

The project is designed in two phases. The first three-year phase is the US\$ 4.74 million "initial project" financed by the multi-donor Nile Basin Trust Fund (NBTF), with in-kind contributions of US\$ 0.2 million from the recipient countries. The second six-year phase is the US\$ 15.21 million "full project" for which funds are expected to be raised in the first year. In order to ensure optimal project management and smooth operations the NBI, as executing agency, has entered into a management services agreement (MSA) with UNOPS for the provision of project services for the CBSI project. The MSA provides for support services through a project management unit (PMU), as well as for the management of project funds.

The CBSI project objectives are:

- To ensure full stakeholder involvement in the NBI and its projects, thus enhancing the positive impact of the SVP and the Subsidiary Action Programs (SAP), and
- To increase basin-wide trust and confidence in regional cooperation, thus contributing to the success of the NBI itself.

These objectives are to be achieved through four major project components:

1. Regional/Sub-regional/National implementation and facilitation (to set up a management and coordination structure to conduct project activities at all 3 levels, including public opinion research and media monitoring);
2. Public information (to increase public awareness, understanding and support for the NBI and regional cooperation by providing accurate, understandable information about the NBI and its programs to people across the basin);
3. Stakeholder involvement (to facilitate broad-based participation in the NBI and its projects through workshops, training, and establishment of formal participation mechanisms with relevant government ministries);
4. Confidence building (between basin countries and in the development objectives of the NBI, through activities and exchanges across borders).

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<sup>1</sup> The Nile riparian countries include Burundi, Democratic Republic of Congo, Egypt, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, and Uganda. Eritrea currently participates as an observer.

## **Presentation of the project implementation manual**

The underlying objective of the MSA is for UNOPS, as project services agency, to achieve the progressive transfer of project management responsibilities to the Nile-SEC in key administration, financial management, human resources and procurement functions. This capacity building objective is to be achieved, among other means, through the project implementation manual (PIM) where project-specific administration, financial management, procurement and personnel procedures are detailed.

This PIM contains the approved rules and procedures for the administration of the project. The procedures described are a combination of NBI, World Bank, UNOPS and generally accepted rules and principles to be used in all project implementation activities. It is intended to be a readily operational and practical guide.

The purpose of the PIM is to provide a uniform set of rules and procedures to promote efficiency, consistency and accountability in the project's operations. It shall serve as a reference document and institutional memory for the CBSI project personnel as well as external parties such as donor agencies, NBI partners, consultants and auditors. Any deviations from the set rules and procedures contained in the PIM or in referenced documents must be submitted to the Nile-SEC Executive Director for prior approval, after consultation with UNOPS Headquarters (HQ).

The Regional Project Manager (RPM) located at the Project Management Unit in Entebbe shall maintain the master copy of the PIM. The master PIM shall prevail to the extent of any inconsistency between it and other versions of the manual. The provisions of the master PIM and all other copies of the manual may be completed or amended following suggestions made at the working level. Such amendments may only be effected by the RPM. Any substantial amendment shall be submitted to the approval of the Nile-SEC, UNOPS and the WB as appropriate.

Amendments shall be made to the master PIM by modifying the electronic version of the manual while keeping an electronic file of the previous version. The cumulative record of amendments must be immediately updated (see PIM modifications and addenda section) and each revised version of the manual must be assigned a sequential number.

The RPM is responsible for ensuring that the updated version of the manual is distributed to all concerned parties. S/he must also keep an updated record of the recipients of the manual, their location, and the total number of manuals issued.

The entire manual shall be revised and updated at least once every two years.

## Chapter 1. ORGANIZATIONAL BASICS

### 1.1 Project structure and implementation arrangements

1.1.1 The initial phase of the Confidence Building and Stakeholder Involvement project is financed by the multi-donor NBTF administered by the WB and in-kind contributions from the recipient countries. Financial pledges for the 'full' project are expected during the first year of operations. An overview of funding by project component for both initial and full project is shown in Annex 1.1.

The project is executed by the NBI whose secretariat has entered into a management services agreement (MSA) with UNOPS for the provision of project services aimed at supporting the NBI in the effective execution and coordination of the project (particularly in the areas of general administration, financial management and procurement). Refer to Annexes 1.2 and 1.3 for the list of main CBSI project partners & contacts and the Project basic data.

1.1.2 The project operates through a regional project management unit (PMU) established by the NBI in collaboration with UNOPS at the NBI Secretariat in Entebbe, Uganda, and national CBSI offices (or consultants) in each of the participating countries.

The PMU is responsible for managing and implementing the project at the regional and sub-regional levels. It is staffed with both international and national personnel who work within the UNOPS management structure. The national CBSI offices report to the PMU and are responsible for coordinating the project activities at the country level and acting as liaison between the countries and the regional PMU. The organization and structure of the PMU and national offices are detailed in section 2.2.

UNOPS, as the project services agency, is responsible for the efficient and effective functioning of the PMU. In order to meet the multi-country and multi-sectoral objectives of the Shared Vision Program, the PMU works within the overall framework of the NBI and reports to the following bodies:

- the Project Steering Committee (PSC), for the sectoral and thematic activities of the project related to the achievement of the project's objectives;
- the Nile-SEC through the SVP Coordination project for the coordination and integration of the project within the SVP and the overall NBI framework;
- UNOPS (the project services agency) for the general management of the PMU, including administrative and financial activities of the project.

#### Project structure

1.1.3 The NBI operates throughout the Basin, with its Secretariat based in Entebbe, Uganda where it has the status of an international organization. Its core operations are funded with the Nile riparian countries' annual contributions.

As shown in Annex 1.4, the NBI operates through three organs:

- the Nile-COM (Council of Ministers of Water Affairs) is the decision-making body of the NBI, responsible for defining overall strategy and policies;
- the Nile-TAC (Technical Advisory Committee) reviews the project portfolio and provides technical advice/guidance to the Nile-COM and is composed of two senior officials from each country;
- the Nile-SEC is the executive body of the NBI, responsible for program implementation, coordination and monitoring/evaluation. It is headed by an Executive Director (ED).

1.1.4 A project steering committee (PSC) is established for each of the SVP projects. The project operates under the **overall strategic, technical and operational guidance** of the PSC, which is responsible for approving the project's annual workplans and budgets, as well as reviewing annual substantive and financial reports on project activities.

The CBSI project steering committee is composed of:

- A focal point from each of the participating countries (with experience in either communications/public relations or stakeholder/confidence building initiatives),
- One of Uganda's Nile-TAC members (to ensure linkage between Nile-TAC and the PMU), and
- a representative of the Nile-SEC.

The PSC member from the PMU host country (Uganda) serves as Chair of the PSC. The national project coordinators, donors representatives, WB representatives, and UNOPS (as project services agency), may attend the PSC annual meetings as observers/invited guests. The regional project manager acts as the Secretary of the PSC.

1.1.5 The Nile-SEC, with funding from the NBTF, is responsible for the **direct supervision and monitoring** of all SVP projects. It also ensures adequate coordination of project implementation activities, and the integration of each project within the SVP and overall NBI framework.

As part of these responsibilities, the Nile-SEC reviews the various projects' financial information and consolidates financial and procurement plans, data and reports.

The Senior Program Officer/SVP Coordinator at the Nile-SEC heads the team charged with implementing basin-wide programs and reports to the Nile-SEC Executive Director.

1.1.6 UNOPS is a self-financing United Nations entity with its headquarters based in New York, USA, that offers a broad range of services, from overall project management to the provision of single inputs. UNOPS is involved as the project services agency (PSA) for the CBSI project executed by the NBI. A management services agreement has been signed between the NBI and UNOPS in relation to this partnership.

As PSA, UNOPS provides support services to the Nile-SEC with two objectives:

- a) to ensure efficient and effective implementation of the project, and
- b) to build the capacity of the Nile-SEC and other NBI institutions to manage and implement this and other projects in the future.

UNOPS core staff in Entebbe (the UNOPS NBIU) includes a senior advisor and an administrative/finance specialist, both working as a team with the Nile-SEC staff. The responsibilities of the NBIU include: (i) capacity building through training and progressive transfer of responsibilities to the NBI, and (ii) support in general project administration and implementation, financial management, procurement and project monitoring and evaluation (including the design and preparation of financial and programmatic reports). In countries where there is no SVP PMU, UNOPS will post a national professional staff to facilitate procurement and financial management of the SVP projects. As part of its mandate, UNOPS, through its NBIU, **supervises the PMU staff from an administrative point of view**, as they hold UNOPS contracts, report to and are accountable to UNOPS.

## Project implementation arrangements

1.1.7 The project design and implementation arrangements are laid out in the following four basic documents:

1. The CBSI project appraisal document (PAD) which describes the project context, objectives and strategy, project components, risks and constraints, institutional arrangements, conditions for implementation and overall budget; it also serves to evaluate the project's readiness for implementation as well as compliance with WB policies.
2. The Nile Basin Trust Fund agreement (Grant number 053177 NB) signed on 17 March 2004 between the World Bank and the NBI (as the executing organization). This agreement sets forth the execution arrangements and the obligations of each party.
3. The project implementation plan (PIP), which describes in detail the planned activities, execution modalities, terms of reference for the various parties involved, project costs and financing, reporting requirements and monitoring & evaluation modalities. The PIP is a working document that supports project management and it will be updated by the PMU (under SVP CP guidance) throughout the life of the project.

1.1.8 The objective of the project is to increase public awareness of the NBI and its programs, build confidence in regional cooperation and enhance active participation from the 3 categories of stakeholders (decision-makers, opinion leaders and local riparian users). This shall be achieved, inter alia, by developing a comprehensive public information program, formalizing participation mechanisms, and supporting countries' exchanges via the Confidence Building Fund<sup>2</sup>.

The project activities, which include developing information and promotional material, organizing media events, conducting public opinion research and media monitoring, managing a draw-down facility, providing training and advisory services to ministries/SVP/SAP staff, etc., are coordinated by the PMU at the regional/sub-regional levels and by the NPCs at the country level.

These activities are conducted through studies, research, consultations, workshops, seminars, etc., for which the project may seek assistance from national and regional consulting firms, individual consultants, research institutions, NGOs, and other public or private organizations from the Nile basin region.

1.1.9 The contracting, administration and payment of organizations or individuals involved in the delivery of project activities are generally undertaken:

- by the PMU in Entebbe,
- by another SVP project PMU based in another country (through an authorization process as described in sections 6.8 and 6.9), or
- by a UNOPS national professional staff (in countries where there is no SVP PMU).

International procurement and recruitment is handled by UNOPS through its extensive network of offices. See Chapters 4 and 7 respectively.

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<sup>2</sup> As detailed in the PIP, "the Confidence Building Fund managed by the PMU will provide financial support for confidence building activities that build trust across national borders in the sub-regions and in the region. This draw-down fund is designed to respond quickly to national, sub-regional and regional proposals that are fast start-ups and meet established criteria".



## **Progress reporting**

- 1.1.10 The PMU is required to produce the following reports<sup>3</sup> in order to provide up-to-date information on the financial and physical progress of the project to the various parties involved in the financing or implementation of the project.

Annual workplan and budget, described in detail in section 6.6 (Finance Chapter). The workplan details the activities to be undertaken during the year in order to meet objectives under each project component. It also includes a procurement plan, the preparation of which is described in section 4.3 (Procurement Chapter). It is sent to the project steering committee, the Nile-SEC and the WB. As indicated in the PAD, the workplan must be approved by the PSC in order to become effective.

### ***A. Periodic project reports:***

E-mailed monthly narrative report (maximum 2 pages). Outlining the work accomplished in the preceding month, a summary of the work expected to be completed during the coming month, and if appropriate, comments and/or recommendations relating to any unforeseen conditions which may affect the progress or the quality of the work. The responsibility for reporting is with the Project Manager.

*Distribution:* Nile-SEC, national project coordinators, World Bank and PSA.  
For internal use only.

Semi-Annual project implementation progress reports: Covering the intervals between the annual reports, the e-mailed monthly narrative reports will be expanded to include a narrative summary of activities undertaken during the past six months. This should include:

- a) the status of implementation progress (covering each component and subcomponent), problems encountered and corrective actions needed. Information on the use of funds from the Confidence Building drawdown facility (number and size of grants; recipients; purpose of grants) will be included once the mechanisms for implementation of the facility are designed (in Year 1);
- b) the current budgets and expenditures of the project components and subcomponents and estimated costs for completion; and
- c) the degree of achievement of project objectives, as measured by the status of project indicators. The most recent FMR also will be attached (see section 6.10.6).

*Timing:* Mid-year of each fiscal year of project effectiveness.

*Distribution:* NBI Secretariat and all Steering Committee Members, national project coordinators, World Bank, and PSA.

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<sup>3</sup> Source: CBSI Project Implementation Plan.

Annual Substantive project progress report: The CBSI regional project manager will complete an annual substantive project progress report, which will clearly describe and assess project progress against the established work plan, procurement plan, project documents, and the overall objectives of the project. The report will include an overall summary of the financial status of the project as well as revised work and procurement plans for the coming year. When multiple donors/agencies are supporting the project, every effort will be made to simplify and unify reporting arrangements. The RPM will therefore review the annual reporting requirements of the World Bank and other relevant agencies and donors, and design a unified reporting format acceptable to all that meets most of the reporting requirements of the donors and agencies in one single report.

*Timing:* Annual reports will be submitted no later than two months after the close of each fiscal year.

*Distribution:* Nile-SEC, national project coordinators, all Steering Committee members including observers, NBTF Committee, World Bank and PSA.

Substantive Work Plan: Will be attached to the Annual Substantive project progress report and will include an updated procurement plan.

Mid-term evaluation: Resources have been set aside in accordance with standard procedure to ensure that a mid-term evaluation can be carried out. The terms of reference and timing of this evaluation will be determined through the annual review process or by correspondence. The evaluation will normally be independent and thus carried out by consultants not previously associated with the project.

*Timing:* Mid-way through project implementation.

*Distribution:* Nile-SEC, all PSC members, WB, NBTF Committee, and PSA. This report may be shared with other parties upon request in accordance with established policy.

Implementation Completion Report (ICR): The NBI and WB Nile Team will prepare an ICR for the CBSI project after project close.

*Distribution:* Nile-COM, Nile-TAC, NBTF Committee and PSC members.

***B. Additional substantive project outputs:***

Ad hoc reporting and substantive reports: The project will be producing a large number of ad hoc substantive reports within the thematic areas in which it is operating. These reports will be produced at either the national, sub-regional or regional levels for a variety of purposes.

*Distribution:* As per intention of report.

*Additional distribution:* All PSC members including observers, and PSA.

***C. Financial reports (see also Chapter 6, Finance):***

Financial Monitoring Reports: The NBI will be responsible for submitting quarterly FMRs as well as annual budgets, project monitoring reports, and consolidated financial statements to the World Bank. The Nile-SEC will request UNOPS to prepare this financial documentation for NBI review and submission to the WB.

Quarterly FMR (see details in section 6.10.6): Procurement and disbursement information for the preceding quarter and projections for the following six months will be consolidated in the quarterly FMR. The FMRs will also include a summary of the physical progress in project implementation, with an explanation of variances from implementation targets.

*Timing:* quarterly for each fiscal year of project effectiveness (at the latest 45 days after the end of the quarter).

*Distribution:* Nile-SEC, World Bank and PSA.

Audits (see details in section 6.11): Because UNOPS will be acting as the NBI's agent, an annual audit of the grant will be conducted by the UNDP Office of Audit and Performance Review and/or by auditors or audit firms contracted by it for this purpose in accordance with established practice in similar arrangements involving U.N. agencies acting as project service providers under WB-financed projects. Audit reports must be provided to the WB no later than 6 months after the end of each fiscal year.

***D. SVP reports:***

Annual SVP summary report: The Nile-SEC ED will complete an annual SVP summary report, based on information provided by the individual project managers. The report describes and assesses the progress of each SVP project against overall objectives, and includes a summary of the financial situation of the SVP and each of the SVP projects.

*Timing:* no later than two months after the end of each fiscal year.

*Distribution:* Nile-COM, Nile-TAC, NBTF Committee, National NBI offices and other development partners.

## Project supervision and evaluation

- 1.1.11 A standard monitoring and evaluation plan and monitoring matrix will be developed for the SVP as a whole.

For the CBSI project, a specific M&E plan will be elaborated by the RPM, along with detailed performance indicators in conformity with the logical framework set out in the PAD and PIP. In order to facilitate monitoring, the M&E plan will contain component-specific baseline situations (developed on the basis of public opinion research, media monitoring, stakeholder analyses and social assessments, sampling surveys, etc.).

The M&E strategy, elaborated with the defined baseline situations, will outline benchmarks and timelines for achieving the various outcomes. A simple project-specific monitoring matrix will also be developed to monitor the performance of the CBSI project. This monitoring matrix, which will be updated at least every 2 months, will serve as input for the preparation of the semi-annual and annual progress reports described in paragraph 1.1.10.

- 1.1.12 The achievement of project objectives will be evaluated in accordance with the M&E plan developed specifically for the CBSI. Project progress will be measured at different levels on a periodic basis against the objectives using the following key performance indicators set out in the PIP (see summary in Annex 1.5).

- 1.1.13 The following activities will support the project supervision process:

Annual implementation review missions will be fielded to review SVP and CBSI progress at least once a year. These supervision missions will be joint undertakings by the WB, the donors, and the Nile-SEC.

Annual steering committee meetings: in conjunction with the annual implementation review mission, an annual PSC meeting of the CBSI project will be held at the PMU and attended by the PSC members, the supervision mission members, and other invited observers. The PSC will have received and reviewed the annual progress report before the meeting.

An independent evaluation review<sup>4</sup> will be carried out at mid-term by consultants not previously associated with the project.

A mid-term review will be conducted by the WB immediately after the independent mid-term evaluation<sup>4</sup>. It will include an analytical assessment of the relative success and/or failure of initiatives to date in order to identify those activities most suited for expansion in the second half of the project.

Implementation Completion Report (ICR): The NBI and WB Nile Team will prepare an ICR for the CBSI project after project close.

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<sup>4</sup> As indicated in the PIP, the terms of reference and timing of these reviews will be determined through the annual review process or by correspondence, and will take into account whether financing has been raised for the "initial" or "full" project

1.1.14 In order to establish project impact, and obtain guidance with regard to future priorities (for the “full project”), the following measurement activities will be undertaken:

Baseline data from the participating countries (describing key attitudes, views and behaviors of stakeholders, as well as in-depth stakeholder analyses) to be used for longer-term impact assessment.

Media monitoring from the participating countries, to allow for short-term assessment of project actions and NBI acceptance.

Impact and participatory monitoring of selected situations.

## 1.2 Regulations, rules and procedures

- 1.2.1 The project will be carried out in accordance with the NBI, World Bank and UNOPS systems of regulations, rules and procedures. The various regulatory instruments generally include:
- regulations
  - rules
  - directives
  - instructions
  - guidelines
- 1.2.2 For the most part, the regulations and rules applicable to the CBSI project and described in this manual originate from the UNOPS and were adopted by NBI. Within this framework, the NBI has established its own procedures and guidelines. NBI procedures are established through different means including directives and instructions issued from various sources such as the Financial Controller or Senior Program Officer when covering an area for which they are responsible, and approved by the NBI Executive Director.
- 1.2.3 WB guidelines applicable to the project include those for the procurement of goods, works and services as per the PAD, namely the:
- Guidelines for Procurement under IBRD Loans and IDA Credits dated January 1995, and revised January and August 1996, September 1997 and January 1999
  - Guidelines for Selection and Employment of Consultants by World Bank Borrowers dated January 1997, revised September 1997, January 1999 and May 2002, and
  - World Bank's latest editions of standard bidding documents and requests for proposal.
- It is important that project staff in charge of procurement consult the WB website (referenced in Annex 1.6) on a regular basis to ensure that the latest version of procurement guidelines and related forms are in use at the PMU.
- 1.2.4 Applicable UNOPS rules and regulations include United Nations staff regulations and UNOPS financial regulations and rules. These rules and regulations implement the general principles adopted by the organization, and may only be derogated from if the UNOPS Executive Director is vested with some discretionary authority under those rules. Even where such discretion exists, it typically is not delegated by the Executive Director and is exercised in his/her sole authority.

### **1.3 Field representation**

- 1.3.1 Representation generally means formal relations with a host country government, often the Ministry of Foreign Affairs, in matters of status. It does not mean operational relations with government counter-parts in project execution or relations through a UNOPS client in furtherance of that client's interests.
- 1.3.2 The UNDP Resident Representative generally handles host country relations for UNOPS (1997 UNDP-UNOPS Agreement), while project activities for clients other than UNDP may also benefit from the accredited representatives of the client. Of course, relations with project counter-parts are not representational and are within the execution responsibilities of UNOPS.
- 1.3.3 The NBI has obtained legal and diplomatic status with full privileges and immunities in Uganda where its Secretariat is based. Furthermore, it is in the process of acquiring legal status in the remaining eight riparian countries currently participating in the Initiative. The NBI will therefore soon be in a position to assume a direct representational role in the entire region.
- 1.3.4 UNOPS personnel in the project management unit may have responsibility for liaison with partners and beneficiaries on operational matters. This should be done in consultation with the UNOPS HQ Division Chief and the Nile-SEC Executive Director.

## 1.4 Privileges and immunities

- 1.4.1 As part of the United Nations common system, UNOPS is entitled to certain functional privileges and immunities under the 1946 Convention on the Privileges and Immunities of the United Nations (see links in Annex 1.6). Privileges and immunities are accorded to the organization, and although staff benefit from them, these privileges and immunities are granted for the sole purpose of ensuring that they can perform their official functions.
- 1.4.2 The project management unit office is a part of UNOPS and has the status of a regional project office. As such, it enjoys the privileges and immunities granted to UNOPS offices in the field, and it must respect the same principles governing UNOPS and the international civil service.
- 1.4.3 These benefits should not be confused with diplomatic status. However, some countries will include United Nations staff on the diplomatic list. Generally, the benefits do not extend to UNOPS non-staff personnel, except for experts on mission employed on an international special services agreement (see Chapter 7).
- 1.4.4 The basic privileges and immunities enjoyed by UNOPS are indicated in table 1.1 below. For details, refer to the 1946 Convention (see links in Annex 1.6).

**Table 1.1 Basic privileges and immunities**

Organization	Officials
Immunity from legal process	Immunity from legal process for official acts/statements
Inviolability of premises	Exemption from income tax
Inviolability of archives	Immunity from immigration restrictions, including spouses and dependents
Unrestricted financial transactions	
Exempt from direct taxes	
Remission of indirect taxes	Repatriation facilities in times of crises, including spouses and dependents
Unrestricted communications	Duty free import of personal effects

- 1.4.5 It should be noted that such immunities, privileges and facilities shall not exempt staff members from fulfilling their private obligations or from observing the host country laws. Under special circumstances, UNOPS may decide whether immunity should be waived or invoked in the interest of the project or a partner government/organization.
- 1.4.6 International staff members shall be entitled to a UN laissez-passer which is delivered and renewed in accordance with the applicable UNOPS rules. Local staff shall be delivered a UN identity card issued by the UN Resident Coordinator's office and valid for the term of their employment contract.



- 1.4.7 In addition to the 1946 Convention, the UNDP Standard Basic Assistance Agreement (SBAA) applies to UNOPS activities. Such an agreement has been signed between UNDP and Uganda on 29 April 1977. The SBAA reinforces the 1946 Convention and is now supplemented by a host country agreement between the government of Uganda and the NBI (see Annex 1.7).  
The project management unit keeps on file a copy of the relevant documents authorizing its presence in Uganda.
- 1.4.8 Any incidents affecting the status of either the PMU or UNOPS staff, including police action, interference by state authorities or any other government activity, should be immediately reported to the UNOPS legal division at HQ and the NBIU in Entebbe.

## Chapter 2. ADMINISTRATION

The CBSI project administration encompasses the establishment of the project management unit, office organization and management, and official travel.

### 2.1 Establishment of the project management unit office

2.1.1 As indicated in the World Bank SVP master PAD, the Nile-COM has set three eligibility criteria for countries interested in hosting a SVP project management unit :

- up-to-date payments of NBI annual contributions;
- commitment to funding a national NBI office to coordinate the various regional and national NBI activities;
- demonstrated commitment to the project by providing office space, water and power services, operation and maintenance of premises, and other support as required for the PMU.

Following consultations among the Nile-COM members, the decision was taken to establish the CBSI PMU office at the Nile-SEC in Entebbe, Uganda. This decision was formally adopted by the NBI Secretariat (as confirmed by the letter of commitment from the Nile-SEC Executive Director, dated 19 January 2003). The funding organizations had no objection to this decision.

2.1.2 The CBSI PMU office facilities are within the Nile-SEC grounds (provided free of charge by the government of Uganda), and do meet basic standards in terms of size, location and features.

The Nile-SEC has set aside for the CBSI project sufficient office space to accommodate 4 management staff, 1 administrative and procurement officer and 1 assistant. The project will share other required facilities (conference room, library, copy/storage room, staff room, ladies/men's bathrooms, and cafeteria) with the Nile-SEC.

The government of Uganda has already provided the following to the Nile-SEC:

- telephone and electrical cabling taking into account Nile-SEC and PMU IT requirements
- water and electricity subscriptions
- dust proofing
- upgrading of plumbing and electrical wiring
- upgrading of the office building (repairs, painting, etc.) so that it is in a fit and habitable condition.

The CBSI project will fund a telecommunication package including computers, email software, and fax for PMU, sub-regional and national project offices (including the consultants recruited to serve in the national offices in DRC and Burundi). The package will include payment for all ongoing communications and maintenance costs.

In case electrical power cuts are frequent, power may also be provided through an on-site generator purchased from project funds – see 2.1.4 below.

The Nile-SEC grounds have also been considered for purposes of parking and security, including outside lights, perimeter walls and access gates.

- 2.1.3 The Nile-SEC facilities are located in a secure area accessible by public roads. Natural and man-made hazards have been considered. In the case of the CBSI project, proximity to UNDP offices was not feasible, since UNDP is located in Kampala.
- 2.1.4 All CBSI offices are to be fitted out with the standard office suite that includes personal computers, printers, UPS units, facsimile machines, telephones and photocopiers. These must be procured, whether internationally, regionally, locally or a combination, according to standard procurement procedures within the approved budget allocations.  
In addition, other equipment required to the improvement of the office may be necessary. This includes generator sets, additional lighting, partitions, office furniture, security devices/fencing and miscellaneous equipment.
- 2.1.5 Services necessary to the upkeep, maintenance and security of the building should be procured locally from project funds. These include cleaning, gardening if applicable, general maintenance and small repairs.
- 2.1.6 The CBSI PMU staff includes 2 stakeholder/confidence building specialists who will work specifically on the SAP in order to carry out project activities at the sub-regional level. These 2 staff will be housed at the Subsidiary Action Programs offices in Addis-Ababa, Ethiopia (ENTRO) and in Entebbe, Uganda (NEL-CU). The NEL-CU offices will be later transferred to Kigali, Rwanda.
- 2.1.7 The CBSI project will set up national project offices in seven of the participating riparian countries (Egypt, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, and Uganda). These national project offices will be located within the NBI offices of the national Ministries of Water Affairs in each of the countries. They will be staffed with full-time national project coordinators (in the initial phase of the project) supplemented with mid-level professionals with complementary skills in the full phase of the project. In Burundi and the Democratic Republic of Congo, consultants will carry out national project activities.

## 2.2 Structure of the PMU

2.2.1 As shown in Annex 1.4 (Overall project structure), the SVP is coordinated by the Nile-SEC under the guidance of the Nile-TAC. The Nile-SEC Senior Program Officer/SVP Coordinator has direct responsibility for day to day coordination of the SVP and the Nile-SEC Executive Director provides overall monitoring and supervision. The Nile-SEC is assisted in its task by the UNOPS NBIU responsible for overseeing the various projects' PMUs, providing capacity building to the Nile-SEC and NBI institutions in program execution, and liaising with UNOPS HQ.

2.2.2 The PMU is responsible for:

- preparing and implementing annual workplans, budgets and monitoring/evaluation plans,
- coordinating and monitoring the project activities in the field in order to ensure proper implementation,
- executing the procurement and personnel annual workplans for the local/regional portions, and
- preparing periodic financial and technical reports.

2.2.3 The various responsibilities of the PMU are carried out by the following core personnel (see Annex 2.1 – project organization chart):

- a regional project manager (RPM)
- two public information specialists (PIS)
- three stakeholder/confidence building specialists (SCBS), two of them being decentralized to the sub-regional SAP offices of ENTRO and NEL-CU;
- a administrative and procurement officer (APO)
- two support staff (an office assistant (OA) and a driver).

2.2.4 The two PIS are based at the PMU but divide their time equally between regional PMU work and sub-regional work to support the communications needs of the SAP ENTRO and NEL-CU.

One of the SCBS is located at the PMU while the other two are based in the SAP offices (one at ENTRO and the other at NEL-CU). In principle, these 2 decentralized staff spend half their time supporting stakeholder involvement in SAP projects, and the other half supporting PMU regional stakeholder involvement and confidence building activities. The decentralized staff will agree on a work program at the beginning of the year which will determine the allocation of time between stakeholder involvement in SAP projects and support for PMU regional stakeholder involvement and confidence building activities.

Due to the limited number of administrative and financial staff in the project and for cost-efficiency purposes, the finance functions of the CBSI project are carried out by the SVP Coordination Project finance and procurement officer, under the supervision and guidance of the UNOPS administrative/finance specialist.

In addition, the CBSI PMU will contract small portions of support (including maintenance of the website) from the information management specialist also located at the SVP Coordination Project.

2.2.5 The PMU works under the day-to-day supervision of the Nile-SEC (through the SVP CP) and UNOPS (through its NBIU based at the Nile-SEC in Entebbe) on both implementation and financial/administrative matters.

Overall guidance on technical and operational matters is provided by the project steering committee, the ultimate project supervision body.

2.2.6 At the national levels, the national project coordinators are responsible for supervising and coordinating the implementation of project activities at country level. They act as liaison between the specialists based at the PMU and SAP offices, and the national specialists, government ministries and organizations involved in the implementation of the various project components in each of the participating countries.

With regard to the sub-regional offices, they are expected to:

- > Provide communications advice, support and training to the SAP projects
- > Liaise with SAP projects at the operational level to ensure smooth implementation of field activities.

The NPCs are competitively hired, full-time professionals whose positions are funded by the project; they work under the supervision of the regional project manager who reviews and approves their workplans. It is expected that, if the project receives additional financing to implement the Full Project, they will be supplemented by mid-level national professionals with complementary skills in public information or stakeholder involvement.

## **2.3 Organization of the administrative function**

2.3.1 Administrative and finance related tasks are undertaken within the PMU in accordance with UNOPS guidelines.

At the regional level, PMU administrative tasks, which include office management and travel, are carried out by the local support staff under the direct supervision of the administrative and procurement officer and the overall supervision of the regional project manager.

At the sub-regional level, the decentralized staff operates within the ENTRO and NEL-CU office rules and procedures. However, for Communication and for Records Management and Archiving, they are required to follow the CBSI PMU rules and procedures. In addition, official travel for the decentralized staff is handled exclusively by the PMU from Entebbe.

At the national level, the administrative rules and procedures implemented by the PMU are applicable in principle. UNOPS, as PSA, is responsible for designing workflows within the national offices in order to ensure that their work is performed efficiently and in a timely manner, and that all travel and administrative tasks are conducted in accordance with UNOPS and World Bank guidelines.

2.3.2 Administrative rules and procedures adopted for the CBSI project are derived from NBI policies, practices and work methods. They are in conformity with the UNOPS, WB and generally accepted guidelines in the areas of administration and financial management.

Reference manuals applicable to the project are listed in Annex 1.6.

## **2.4 Office rules and administrative systems**

2.4.1 The rules and systems described below apply primarily to the PMU, but also to the decentralized staff at the sub-regional SAP offices, and to national project offices whenever feasible.

Administrative systems include the processes for managing:

- documents
- personnel
- office equipment

2.4.2 The systems for managing personnel (Chapter 7) and office equipment (Chapter 5) should follow the requirements defined in the relevant sections of the manual. However, the related documents should also follow the guidelines established below.

### **General office rules**

#### **2.4.3 Office hours and holidays**

The working week shall be forty hours.

Office hours for the PMU are from 8:00 am to 1:00 pm and 2:00 pm to 5:00 pm from Monday to Friday, in accordance with Nile-SEC office hours.

Professional PMU staff are expected to respond to project needs and adjust their work schedules accordingly.

All public holidays applicable to the Nile-SEC shall be observed by the PMU.

#### **2.4.4 Office organization**

The PMU has two general service staff locally recruited by UNOPS to provide administrative support services to the project:

- 1 office assistant / bilingual secretary in English and French (OA)
- 1 driver

The responsibilities of each of these staff are described in Annex 2.2. As shown on the project organization chart, both support staff work under the supervision of the administrative and procurement officer (APO). Reception services for the PMU are provided by the Nile-SEC receptionist.

Cleaning and security services are provided by local suppliers chosen on the basis of competitive selection.

#### 2.4.5 Continuity of service

Due to the regional scope of the project, and the required daily interaction with the SAP offices in Entebbe and Addis-Ababa, the national project offices and the various UNOPS offices, it is important that continuity of service be ensured at all times. The following procedures must therefore be strictly followed:

- a staff schedule (which also serves as an annual travel plan<sup>5</sup>) is prepared by the office assistant at the beginning of each year, after the annual workplan is finalized; it is updated at the end of each quarter and sent to the Nile-SEC. This schedule shows the anticipated dates on which each staff member will be absent (on leave or mission).
- an alternate staff member is systematically designated to handle urgent matters on behalf of staff who are away on mission or on leave.
- the RPM, in case of an absence of one full day or more, must designate an officer-in-charge among the professional staff.
- For the support staff, temporary staff may be recruited as replacement, if necessary, whenever the absence is scheduled to exceed one week.

Outside working hours, or in the case of temporary absence of the office assistant, telephone calls shall automatically be transferred to the individual lines. All staff members are then requested to answer the telephone, handle queries directly or direct them to the appropriate person.

#### 2.4.6 Access to offices

For security reasons, only staff members have direct access to the offices.

Visitors are directed to the secretary and requested to leave an identity card in order to be delivered a temporary visitor's pass.

Consultants and representatives of partner organizations on mission for a day or more are delivered building passes by the office assistant. Any loss of such passes should be immediately reported to the office assistant.

#### 2.4.7 Other policies and rules

Except as otherwise stated, UNOPS administrative rules (as set out in the UNOPS Handbook), policies and practices shall be applicable to the PMU.

Specific instructions issued to the entire UN system shall automatically apply; such instructions are usually related to security measures.

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<sup>5</sup> The travel plan portion of the staff schedule should show for each business trip, the traveler's name, title, destination, purpose of travel, estimated cost, and travel dates and duration.



## **Communication**

The NBI is a bilingual institution, with English and French as the two working languages. Due to budgetary constraints, documents shall be systematically prepared in English. As required, the RPM shall liaise with the Nile-SEC in order to determine which project documents need to be translated in French.

### **2.4.8 Correspondence**

All incoming correspondence (mail, courier, pouch or hand delivery) is centralized by the office assistant for recording with a time and date stamp and initial sorting. The drivers are responsible for the distribution of incoming correspondence including faxes.

All outgoing correspondence (i.e. mail, fax, courier, pouch or hand delivery) is handled by the OA on a daily basis. Outgoing correspondence to be sent by pouch must reach the office reception desk by 10:00am every Thursday for transmission to the UNDP Kampala Office. Pouch service charges are billed by UNDP based on actual costs incurred.

Documents sent by courier are picked up by the selected courier company upon request. Hand delivery is handled by the project driver.

Faxes are received and sent directly by the OA. A log book is maintained for outgoing faxes, indicating for each message sent: date, sequential fax number, name of sender, name and organization of recipient, destination, number of pages and subject.

### **2.4.9 Project directory**

A directory containing the addresses, telephone/fax numbers, contact names, e-mail and web sites of all CBSI project partners (NBI, funding organizations, partner governments, IGOs, NGOs, etc.), local UN agencies, and local/regional suppliers shall be prepared and kept up-to-date by the OA.

### **2.4.10 Website and Intranet (see also Chapter 9 on IT/Communications)**

The CBSI website is designed to share information with the NBI and project partners with regard to on-going activities in different parts of the region covered. Papers drafted by experts, training modules developed, results of studies and research activities, project evaluation reports, workshop reports, etc. may all be displayed on the site. The site is also linked directly with the NBI website maintained by the Nile-SEC as well as other SVP and relevant sites.

Posting to the website is subject to the RPM's prior approval.

The SVP Intranet is an internal tool to:

- Allow rapid communication among all personnel of SVP projects;
- Serve as a library for the storage of relevant data and information (including not only technical material but also administrative material such as manuals, blank forms, etc.);
- Provide a forum for discussions and debates among the NBI participants.

The Intranet shall be maintained from a technical point of view by the SVP CP Information Management specialist.

Electronic mail is considered an official means of communication by the NBI; it shall therefore be utilized as such by the CBSI project. Staff members shall also have direct, high speed access to internet for external communication purposes and as a research/information gathering tool.

## **Records management and archives**

- 2.4.11 The project generates operations, finance, personnel and general administration records. These records are maintained and archived in accordance with NBI policies depending on their classification as permanent records (to be retained indefinitely), temporary records (to be retained for up to 5 years after project completion) or non-records (to be deleted from the files after completion of the action). See Annex 2.3 for records classification.
- 2.4.12 In order to save storage space, permanent and temporary records shall be stored electronically (after being scanned where necessary), using an appropriate back-up device. Refer to Chapter 9 – IT/Communications. Essential files shall be retained in both electronic and printed form. Project records should be kept in separately identified, secure and easily accessible areas.
- 2.4.13 Blank forms  
Blank forms needed for personnel matters, travel, procurement, etc. are made available to all staff electronically. Sample forms are shown as annexes to this manual. The administrative and procurement officer, is responsible for the issuance of new or revised forms and the deletion of obsolete forms in the electronic library.
- 2.4.14 Filing system  
Correspondence and documents are identified and filed using the SVP filing system (see Annex 2.4).
- 2.4.15 Operations files  
The OA is responsible for the creation and maintenance of operations files, under the supervision of the RPM and the specialists. The operations files contain both permanent files (such as the PAD, MSA, grant agreement, PIP, host country documents, etc.) and annual files (annual workplan, technical reports, progress reports, financial statements, etc.).
- 2.4.16 Finance and Procurement files  
These files are created and maintained by the administrative and procurement officer, under the supervision of the finance and procurement officer of the SVP Coordination Project. However, files related to consolidated financial or accounting information, and international procurement are kept at the Nile-SEC and UNOPS HQ respectively. See Chapters 6 and 4 for more details.
- 2.4.17 Personnel files  
The administrative and procurement officer creates and maintains both:
- a general personnel file (containing circulars, instructions or general information applicable to each category of staff, staff selection records for the various posts, etc.), and
  - an individual file for each staff member or consultant (refer to Chapter 7).
- 2.4.18 Administration files are maintained by the office assistant and contain general office correspondence, travel and vehicle related matters. They are created based on the SVP filing system.

## 2.5 Official Travel

This section deals with travel policies and rules, and administrative procedures related to travel funded by the project. It is applicable to the PMU staff, including the decentralized staff in sub-regional offices, and the national offices staff. Refer to Chapter 6 for finance/payment procedures related to travel.

### Types of travel

*All travel is normally authorized by the RPM, or by the Nile-SEC Senior Program Officer when the RPM is the traveler, as s/he cannot authorize his/her own travel. When the RPM is absent, the UNOPS senior advisor, or the stakeholder/confidence building specialist designated by the RPM as officer-in-charge (OIC) authorizes all travel, except his/her own.*

#### 2.5.1 Entitlement travel

Entitlement travel concerns only international staff and/or their family members and includes:

- medical evacuation
- travel in other special circumstances such as security evacuation or death.

Entitlement travel is always authorized at UNOPS HQ.

#### 2.5.2 Official business travel

Official business travel is defined as any trip undertaken by a staff member for a business purpose, i.e. meetings, workshops, training, consultations, etc. Business trips are normally included in the annual workplan and staff schedule and must be approved by the RPM.

#### 2.5.3 Travel for non-staff members

The PMU may at times organize trips for consultants, government officials, or meeting/workshop participants. Such travel is normally planned as part of the approved annual workplan and is subject to approval by the RPM. The same basic travel rules apply as for staff members.

### Organization of travel

- 2.5.4 The office assistant is in charge of the preparation of the annual travel plan which details all individual trips and is updated each quarter. All staff travel is initiated by the standard travel authorization form (Annex 2.5).

The first part of the travel authorization (TA) is filled out by the office assistant and indicates the name of the traveler, the dates and purpose of travel, the budget line to be charged, the itinerary/mode of transport, the preferred accommodation and any special instruction (e.g. excess luggage).

The TA is signed by the RPM for authorization of the trip and the office assistant makes flight bookings (or car arrangements in the case of road travel), and hotel reservations if requested. The original of the TA must then be submitted to the SVP CP finance and procurement officer for review/approval (at least one week prior to travel date) and necessary payments. A copy of the TA is also forwarded to the travel agency to serve as purchase order. See Chapter 6 for related financial procedures.

- 2.5.5 For project personnel, visa applications and airport drop-off/pick-up are all organized by the office assistant. Visa charges are reimbursed by the project. The office assistant will provide assistance with visa applications and airport transportation for certain non-staff travelers such as government officials, NBI officials and PSC members.. Travelers are responsible for ensuring that all necessary travel documents, visas and vaccinations required have been obtained prior to traveling.

### **Transportation and accommodation**

- 2.5.6 The standard approved route for travel of staff members and non-staff travelers (e.g. consultants, government officials, workshop participants, etc.) is the most direct and economical route. The approved mode of transportation is by air. However, depending on the distance and availability of flights, official travel may also be effected by road. Any additional costs will be borne by travelers wishing to use more expensive routes or modes of transportation or to take vacation time during the trip.
- 2.5.7 Flight bookings are made using the NBI rule, i.e. economy class for flight duration under 9 hours, and business class for flights over 9 hours (including airport stops for refueling, change of aircraft, etc.). The only exception is entitlement travel which is always in economy class, regardless of flight duration (refer to paragraph 2.5.1).

Bookings can only be made by the office assistant using the CBSI project travel agency (chosen through a competitive selection process). The agency must always be requested to submit a pro-forma invoice for the cost of the air ticket.

- 2.5.8 Road travel is allowed when there are no flights to the destination, when heavy material which cannot be conveniently transported by air needs to be taken to the destination, and/or when using a vehicle is more economical than flying. The TA form specifies the travel mode and the estimated distance to travel. In addition to the TA, a mission order indicating the destination, and purpose of travel is delivered by the RPM.

When using an official vehicle, the vehicle must undergo full service and fuel coupons are provided. Travelers are required to be accompanied by a project driver who must fill out a separate TA. If no driver is available, authorization must be obtained from the administrative and procurement officer for the traveler to drive the official vehicle.

Travelers are allowed to use their private vehicle when no official vehicle is available. In that case they are provided with an 80% fuel advance based on the estimated distance to travel, and are reimbursed for mileage (using a travel claim form) according to the rules set out in the UNOPS handbook.

2.5.9 Hotel reservations are made by the office assistant (on the basis of the traveler's instructions) and indicated on the TA.

All travelers are entitled to daily subsistence allowance (DSA) during the entire duration of the trip (except for entitlement travel – see specific rules in the Handbook). DSA is calculated using the UNOPS rules (as per the Handbook) and based on the monthly DSA report by country published by UNDP and posted on its website at the beginning of each month (see Annex 1.6).

An advance amounting to 80% of total DSA is given to the traveler by check before departure, and reported in the second part of the TA.

Reduced DSA rates are applied in cases where lodging and/or meals are provided free of charge (for example to workshops/seminars participants - see Annex 2.6), in accordance with UNDP rules as adopted by the NBI.

Once the arrangements are completed, the traveler receives the original of the TA, the air ticket, the airport pick-up and hotel details, and the DSA advance.

### **Travel claim**

2.5.10 Within the three working days following their return, travelers must fill out a travel expense claim form (see Annex 2.7) detailing their itinerary and any additional business expenses incurred during the trip. The ticket stub, boarding passes and supporting documents for any other expense claimed (as per list of authorized expenses set out in Annex 2.7) must be attached to the claim.

In cases where part or all of the traveler's expenses were provided free of charge at the destination, s/he must indicate so on the claim and the reimbursement is adjusted accordingly, as indicated in paragraph 2.5.9.

The travel claim is reviewed and signed by the RPM before being forwarded to the SVP CP finance and procurement officer for processing/reimbursement in accordance with the provisions of the Handbook.

### **Handover procedures**

2.5.11 In the case of a planned absence of more than three days (on leave or mission), staff members are required to prepare a comprehensive and concise handover note. This note should indicate :

- essential and urgent tasks which will have to be handled during the staff member's absence
- a telephone or fax number and/or e-mail address at which the staff member can be reached.

The RPM designates the staff member who shall be responsible for carrying out the tasks listed in the handover note.

### **Mission reports**

2.5.12 Upon return from mission, staff members are required to prepare a mission (or back-to-office) report and submit it to the RPM. The report is filed in the appropriate file by the office assistant.

## Chapter 3. AUTHORITY

### 3.1 Definitions and types of authority

- 3.1.1 Two types of authority may be delegated to project managers and/or other project staff recruited by UNOPS in the field: financial authority and ‘contracting’ authority. Authority may be delegated from the UNOPS Executive Director to certain project personnel in the field in order to improve efficiency in project execution and delivery. In cases where there is a UNDP Country Office, the project manager may be granted authority that relies upon the Resident Representative’s. Delegations are requested from the Director of Operations at UNOPS HQ. The request must include details about the contractual status of the person, relevant professional experience of the person to be delegated authority and indicate the level and type of authority.
- 3.1.2 Financial authority is the authority to make payments and includes both certifying and approving authority. Most financial and administrative functions are to be exercised through an express delegation that may include one or both types of this authority, which normally relates to actions that would result in the commitment of project resources. Financial authority is required to operate a local imprest account (see Chapter 6).
- 3.1.3 Contracting authority covers procurement and personnel and allows project managers to make commitments on behalf of the project (by awarding contracts or purchase orders, recruiting local personnel or consultants, etc.) within limits set in the delegation of authority (DoA).

## 3.2 Delegation of authority

### Payments

- 3.2.1 Financial authority is granted to certain PMU staff in order to allow them to make payments to local contractors and local staff hired under SSA and/or service contracts. It is applicable to all CBSI financial transactions, whether they originate from the PMU, the decentralized staff at sub-regional offices, or the national offices staff. All payments made must comply with the imprest account requirements for reporting and financial management (see details in Chapter 6). This financial authority is delegated as follows (see Annex 3.1):
- The RPM is designated as imprest account holder and certifying officer for the imprest account; s/he also acts as alternate approving officer. However s/he cannot perform both functions for any given transaction.
  - The UNOPS administrative/finance specialist is designated as approving officer.
  - The PMU stakeholder/confidence building specialist, who holds the role of deputy to the RPM, is designated as alternate certifying officer.
- 3.2.2 *Certifying authority* means the responsibility for confirming that a proposed obligation/expenditure is consistent with existing financial regulations, rules and instructions, is reasonable, in accordance with the purpose for which the relevant budget allotment or allocation was made, and can be met from the available balance of the allotment or allocation with due regard to foreseeable future obligations.
- 3.2.3 *Approving authority* means the responsibility to approve a payment when it has been determined that payment had not previously been made, that it is supported by documents indicating that the goods or services have been received or rendered in accordance with the terms of the contract, that the related obligation is still valid and that no other information is available which would bar the payment.
- 3.2.4 The above staff are also all designated as disbursing officers, i.e. bank signatories.

### Procurement

- 3.2.5 The authority to award contracts for the procurement of goods, services and works is vested with the UNOPS Executive Director, as Chief Procurement Officer of UNOPS. This authority may be delegated by the UNOPS Executive Director to UNOPS personnel. Delegations are personal to the individual and cannot be further delegated, except as indicated hereafter.
- 3.2.6 The UNOPS Executive Director may award a delegation of authority to the RPM to approve short-lists, sign requests for proposals and invitations to bid and award / sign purchase orders and contracts within determined thresholds (see Tables 3.1 and 3.2 below).

**Table 3.1 Authority to award contracts**

Value	Authority	Conditions
Less than US\$ 30,000	RPM	Competitive quotations
US\$ 30,000 or more	Other UNOPS officer (as delegated by the UNOPS ED)	Competitive bids or proposals

**Table 3.2 Authority to amend contracts**

Total Value (Contract + Amendment)	Authority	Conditions
Less than US\$ 30,000	RPM	Competitive quotations
US\$ 30,000 and more	Other UNOPS officer (as delegated by the UNOPS ED)	Competitive bids or proposals

World Bank guidelines and procedures (e.g. requirements for no-objections) apply no matter who the authority to award/amend contracts has been delegated to.

### Personnel

- 3.2.7 The delegation for personnel normally includes the recruitment of local project personnel under SSA or SC for periods normally not exceeding 12 months depending on budgetary availability/financial authority, in accordance with the guidelines spelled out in Chapter 7.

### General DoA rules

- 3.2.8 The actions taken under the DoA must, as a rule, be based upon the approved annual project workplan, and in particular the annual personnel and procurement plans. The terms and conditions under which the DoA is to be exercised are spelled out in the delegation (see summary of main terms and conditions in Annex 3.2), and by signing the delegation, the RPM expresses his/her acceptance thereto.
- 3.2.9 The UNOPS senior advisor based at the Nile-SEC in Entebbe is awarded the same general DoA, so as to :
- ensure project activities at the national level are conducted in an efficient manner in countries where there is no PMU;
  - perform certain functions when the RPM is absent or unable to exercise the authority granted to him/her.
- 3.2.10 In addition to the general DoA, delegations can be issued to the RPM with a view to conduct very specific tasks, linked to a specific activity under the project.
- 3.2.11 A quarterly report must be submitted to the UNOPS HQ Division Chief (through the senior advisor in Entebbe), listing all contracts/POs awarded by the RPM or senior advisor, and all personnel recruited under the delegation of authority. See model in Annex 3.3.



### **3.3 Accountability**

- 3.3.1 All delegations are express and personal. Authority may not be assumed or implicit, neither may it be delegated further by anyone receiving an express delegation.
- 3.3.2 Personnel who are delegated with some authority are responsible for any action taken under that delegation or for exceeding such authority. Such personnel may be held personally responsible and financially liable for his/her respective acts or omissions (UNOPS Financial Rule 103.2).
- 3.3.3 Failure to meet reporting guidelines established by any delegation of authority may result in action for unsatisfactory performance. Intentional or reckless disregard for appropriate safeguards in the exercise of any delegated authority may be considered misconduct with appropriate disciplinary action taken.

## Chapter 4. PROCUREMENT

### 4.1 General

4.1.1 The procurement policies and procedures used by the NBI are a combination of existing World Bank guidelines with an overlay of UNOPS regulations and rules. While not inconsistent with each other, the two procurement regimes require different approaches in some areas.

For example, “procurement” in the Bank context includes the requisition of goods (including equipment) and works. However the UNOPS definition of “procurement” is broader in that it includes the requisition of goods (including equipment), works and services to be obtained from firms, institutions or entities but not from individuals.

Second, “consultant services” in Bank terminology encompasses obtaining services from organizations and individuals. However, under UNOPS’ procurement regime, consultant services are limited to acquiring services from organizations but not from individuals. In the Shared Vision Program suite of projects, individuals are to be engaged in accordance with the Bank Consultant Guidelines and UNOPS personnel policies, guidelines and procedures (set out in Chapter 7 of this manual). The UNOPS personnel policies, guidelines and procedures prevail to the extent of any inconsistency between the two. UNOPS standard contracts will be used for engaging the services of individuals.

4.1.2 The World Bank procurement and consultant procedures are to be applied in the circumstances set out in Annex 4.1. UNOPS financial thresholds and internal procedures for awarding contracts will also be applied on top of the World Bank procedures. Accordingly, before a contract can legally be awarded, UNOPS’ internal procedures for awarding contracts must be completed. Award of a contract can only be made by a person who has a current written delegation of authority from the UNOPS Executive Director to award that type of contract.

Project operational costs such as utilities, fuel, office supplies, and maintenance services are procured using UNOPS procurement rules and procedures.

4.1.3 The source document for the procurement regime under the CBSI project is the CBSI Project Grant Agreement between the NBI and the World Bank, but more specifically, Schedule 3. Schedule 3 is copied *verbatim* into Annex I.B of the management services agreement (MSA) between the NBI and UNOPS for this Project. Schedule 3 is set out in Annex 4.1 of this manual.

In addition to the Grant Agreement and MSA, Annex 6 of the World Bank CBSI PAD builds on the following procurement provisions in more detail. Where Annex 6 of the PAD is inconsistent with the Grant Agreement and MSA, the provisions of the Grant Agreement and MSA prevail. Where it is not clear how to deal with an apparent inconsistency, the UNOPS senior advisor in Entebbe should be consulted. The senior advisor will either clarify the point or seek further advice from UNOPS headquarters as required.

- 4.1.4 Goods procured for the project include vehicles, IT and communications equipment, public information materials, training material, office furniture and equipment, and other goods and supplies.  
Services contracted are mostly in the areas of media events and assistance, studies, research, training, seminars and workshops, translation, and other services, mostly from communication/public relations firms, media production companies, and specialized consulting firms or individuals.
- 4.1.5 Procurement will be undertaken at the local, regional or international level. Local procurement is carried out at the NBIU or PMU level within the limits of the senior advisor or Regional Project Manager's written delegation of authority, respectively. Regional and international procurement actions are handled at UNOPS headquarters in consultation with the UNOPS NBIU in Entebbe.  
Annex II-Appendix of the Management Services Agreement between the NBI and UNOPS contains matrices establishing the division of labor between the Nile-SEC and UNOPS. "UNOPS" is further split into UNOPS headquarters and the PMU for this Project. The above Annex II-Appendix is replicated in Annex 4.2 of this PIM and is updated if any change is made to the Annex II-Appendix of the Management Services Agreement.
- 4.1.6 As for all chapters in this manual, the procurement chapter is a living section that will evolve over time. The present chapter is drafted as a combination of two procurement regimes so that the best aspects of each can be adopted and merged over time to become the unique procurement regime of the Nile-SEC. Consistent with paragraph 2.12 of the WB Procurement Guidelines, UNOPS bidding documents and contracts shall be used where no relevant Bank standard bidding document has been issued. In the same way, the WB Consultant Guidelines (paragraph 2.11) permits use of UNOPS standard contracts where an appropriate WB contract does not exist.

## 4.2 Procurement cycle

4.2.1 “Procurement” includes the planning, purchasing, delivery and final hand-over, disposal or commissioning of goods and services.

4.2.2 A simple procurement tracking database system (PTS) developed on Access software is used at project level to monitor procurement actions and status on a continuous basis for each individual procurement case.

The PTS records the following relevant information:

- Requisition date (sequential number generated automatically to identify each procurement case)
- Component code and budget lines
- Component title and activity
- Name of requesting officer (normally the public information specialists, the stakeholder/confidence building specialists, the administrative and procurement officer, the RPM, the SVP CP Information management specialist or the UNOPS administrative and finance specialist)
- Full description of goods or services and expected delivery date
- Estimated cost
- Office in charge of procuring (PMU, Nile-SEC, UNOPS HQ, other UNOPS office)
- Shortlists (names and country of suppliers)
- Date of issuance of competition documents (ITB, RFP, RFQ, etc.)
- Date of evaluation
- Name of selected supplier
- Obligation number and amount
- PO or contract amount, date and number (and subsequent amendments, if any)
- Date of delivery
- Receiving and Inspection Report date and number
- Invoice amount, number and receipt date
- Payment date

Any relevant comments may also be included in a special column.

Procurement personnel are required to input each procurement action into the procurement tracking database on a real time basis. The information inserted into the database enables UNOPS and the Nile-SEC to generate mandatory reports (as part of the Financial Monitoring Reports) to the World Bank on a quarterly basis.

This system also allows for procurement data to be sorted by project component, by contract number or date, by country of origin of the selected suppliers, by year, etc. Reports and statistics can then be issued according to any of those criteria.

For international procurement, UNOPS HQ uses the Atlas procurement module, which generates project requisitions, purchase orders and contracts. This module is part of the Atlas ERP (Enterprise Resource Planning) system used by UNOPS for budgeting, accounting, project management, human resources and procurement. This system thus integrates the obligation, approval and payment processes.

The procurement officer at HQ is responsible for ensuring all fields in the procurement tracking database are completed for each international procurement action.

4.2.3 The procurement cycle includes:

1. Procurement planning (see Appendix 1 to the World Bank's Procurement Guidelines and Consultant Guidelines with regard to planning for Prior and Post Review; and UNOPS planning section below)
2. Requisitioning
3. Identification of suppliers by advertising (or short-listing according to UNOPS procedures, where applicable)
4. Ensuring funds availability and authorization
5. Seeking Prior Review, if applicable, for specific procurement under World Bank Guidelines
6. Competition process (or waiver of competition in exceptional circumstances)
7. Selection of supplier
8. Seeking Post Review, if applicable, for specific procurement under World Bank Guidelines
9. Award of contract
10. Delivery of the goods or services and contract administration, including payment and reporting
11. Handover or commissioning as applicable.

4.2.4 This cycle is described in detail in the following sections.

During the entire procurement cycle, it is the responsibility of the regional project manager to ensure that World Bank and UNOPS procedures are fully complied with.

### 4.3 Procurement planning

- 4.3.1 Procurement planning is the first stage of the procurement process. The procurement plan is a detailed list of anticipated purchases for a set period. A subsidiary procurement plan is submitted by the national project coordinators for procurement activities to be undertaken at national level. Input is also provided by the specialists both at the PMU (for regional activities) and at the SAP offices (for sub-regional activities). The detailed procurement plan is then prepared by the administrative and procurement officer under the supervision of the RPM.
- 4.3.2 The first procurement plan for the CBSI project is completed to cover the period from project launch to 31 December 2004. Thereafter, the RPM shall ensure that the procurement plan is completed by 31 October of each year based on the information contained in the draft annual workplan and budget. The RPM must ascertain that the description/quantity/timing of the items listed in the plan comply with the annual workplan and budget drafts, that the cost estimates appear reasonable, and that the allocation between local, regional and international procurement is correct.
- 4.3.3 The plan, based on the model in Annex 4.3, contains two parts:
- I. Goods and services that will be procured in the country or in the region
  - II. Goods and services that will be procured internationally.

For each of these parts, the following information is indicated by component code (see list in Annex 6.1):

- Component title and activity
- Description and quantity of the goods/services
- Estimated delivery date required
- Anticipated method of procurement
- Estimated date of issuance of PO or contract
- Estimated cost, including freight and insurance if applicable
- Budget line

The plan should also include special procurement conditions, if any, that are anticipated for a particular procurement action.

- 4.3.4 The RPM will ensure that the procurement plan is submitted to UNOPS headquarters, the Nile-SEC and the UNOPS Senior Advisor in Entebbe for review and comments. After corrections, the plan is sent by the RPM to the World Bank for review and is finalized by the end of November. The plan may be modified during the month of December or January if the project steering committee requests changes to the annual workplan that affect procurement actions. Any changes are to be communicated to UNOPS headquarters, the Nile-SEC, UNOPS Senior Advisor in Entebbe and the World Bank for final review and clearance.
- 4.3.5 The procurement plan is updated at the PMU on a quarterly basis as part of the quarterly Financial Monitoring Report (FMR) to reflect proposed changes in project activities or requirements and re-submitted for review by the Nile-SEC, UNOPS headquarters and the World Bank.

## 4.4 Requisition

### Preparation and approval of the form

4.4.1 The requisition is the document that initiates the procurement action. The administrative and procurement officer creates an individual procurement file when the requisition is prepared. The file is identified by the requisition number. All documents related to a particular procurement case are kept in the same file. The requisition form is prepared by the officer requesting the procurement to be undertaken (normally the PIS, SCBS, IM specialist, administrative and procurement officer, or the RPM) or his/her assistant.

The model requisition form is found at Annex 4.4. It contains the following information:

- project component code and activity name
- Budget line
- Cost estimate
- Complete technical specifications (refer to section 4.4.5 below)
- Final destination for shipment of equipment (name, address, phone, fax)
- Target arrival date and mode of shipment (air/sea/road)
- Packing and shipping requirements, if any
- Special insurance risks, if any
- Justification for waiver of competitive bidding (under UNOPS financial regulations and rules), if it is intended to request one.

The person requesting the purchase signs the requisition form as Requesting Officer, and the RPM signs the form as Certifying Officer, if s/he has an appropriate written delegation of authority from UNOPS.

- 4.4.2 Prior to approving the requisition, the RPM ensures that the:
- proposed items for international and local or regional purchases are in accordance with the approved procurement plan. If not, the Requesting Officer must provide a full justification and the RPM shall decide whether to authorize or reject the requisition. If the purchase is authorized, the APO will amend the procurement plan as part of the next quarterly update;
  - estimated costs of equipment and supplies to be purchased are within the budget for the current year. These estimated costs should include freight, insurance and other incidental costs;
  - proposed equipment is technically appropriate and the estimated costs are realistic;
  - potential bidders are identified for each procurement action and included in the list on the plan;
  - funds are available for the purchase (and if not, postpone the purchase until the funds become available), and
  - information on the form complies with procurement rules, guidelines and policies adopted for the project.
- 4.4.3 Once the requisition is approved by the RPM, it is forwarded to the administrative and procurement officer for input into the procurement tracking database and launch of the acquisition process.

## Specifications or terms of reference

- 4.4.4 The requisition includes detailed specifications for goods and terms of reference for services. These are normally prepared by the Requesting Officer (the PIS, SCBS, IM specialist, administrative and procurement officer or the RPM). However, assistance from outside technical experts may be needed to develop complex specifications (including specific packaging/shipping requirements).

Specifications are based on relevant technical characteristics and / or performance requirements. The specifications must clearly and fully describe the goods required, as accurately as possible and in generic terms, avoiding the use of brand names, catalogue numbers or similar classifications that could favor a particular supplier. Refer to paragraph 2.20 of the Bank's Procurement Guidelines on how to deal with the use of brand names.

The specifications shall be drafted so as to allow the evaluation of offers for goods which have similar characteristics and which provide performance at least substantially equivalent to those specified.

- 4.4.5 There are three types of specifications (which may also be combined):

Functional specifications define the function or duty to be performed and focus on what the product is to do. Less emphasis is given to materials or dimensions.

Performance specifications define the performance required of the goods. In order to assure quality of the goods, relevant product standards (international or national) and environmental standards (energy star ratings, recyclable materials, etc) should be included. Where certain standard specifications are referred to, a statement should follow that other international or national standards which promise to confer equal or better quality will also be acceptable.

Design requirements specifications: the exact dimensions, materials or characteristics must be provided. It should be noted that this type of approach may exclude certain suppliers (and hence, lessen competition) because of differences in engineering practices. Dimensions should always be quoted using the metric system.

- 4.4.6 Standards and technical specifications quoted in bidding documents should promote the broadest possible competition, while assuring the critical performance or other requirements for the goods and / or works under procurement.

As much as possible, the Requesting Officer should try to specify internationally-accepted standards such as those issued by the International Standards Organization (ISO) with which the equipment or materials or workmanship shall comply. Where such international standards are unavailable or are inappropriate, national standards may be specified.

In all cases, the bidding or proposal documents shall state that equipment, material or workmanship meeting other standards, which promise at least substantial equivalence, will also be accepted.



4.4.7 Terms of reference (TOR) are normally used for services contracts. They determine the objective, scope and nature of the assignment, and form an integral part of the resulting contract. Terms of reference include:

- the background of the project, including objectives and main components / activities;
- a description of the required services in such detail as to describe the activities to be performed or services to be rendered. For example, modalities of a survey (defining area, data needed, means to be employed); organization of a training course (defining target group, curriculum outline, training materials, course duration); nature of the workplan and/or specifications to be provided;
- a comprehensive list of the tasks the contractor is required to perform;
- coordination arrangements;
- a list of the reports and/or data to be submitted to the PMU for approval;
- an appropriate timeframe, i.e. duration of activities / services from inception to completion, indicating any factors influencing that timeframe, such as seasonal considerations; a schedule for initial submission and the review / approval time required;
- a description of all the standards the contractor must fulfill;
- if applicable, a detailed list of the documents and / or services to be provided by the PMU or the end user to the contractor for use in performing the contract;
- monitoring / progress control (normally by the PMU or personnel at Nile-SEC);
- definition of expected outputs / results and the final product (e.g. survey completed, maps drawn, research undertaken, data collected/elaborated, workshop conducted), and
- reporting requirements – for example, specification of contents for interim and final reports, format, periodicity and deadlines, number of copies, recipients.

## 4.5 Identification of suppliers and short-listing

### Identification of suppliers

- 4.5.1 The procedure used for identifying suppliers may be different depending on which guidelines are applicable.

#### Under Bank Procurement Guidelines and Consultant Guidelines

Where World Bank procurement or consultant procedures are used, identification of suppliers is undertaken in accordance with the Bank Procurement Guidelines or Consultant Guidelines, as the case may be. The procurement officer should also refer to Annex 6 of the Bank CBSI Project Appraisal Document to the extent that Annex 6 is not inconsistent with the Bank Procurement and Consultant Guidelines.

#### Under UNOPS procurement procedures

When using UNOPS procurement rules and procedures – and unless advertising is required by the Management Services Agreement - UNOPS' is permitted to establish a shortlist through various means of identification other than advertisement. An effort should be made to identify contractors internationally whenever possible. International sourcing is undertaken in order to permit prospective proposers and bidders from around the world to have a fair and equal opportunity to provide goods and services to the SVP projects. Due consideration is to be given to the use of consultants from the Nile riparian countries.

- 4.5.2 UNOPS obtains its shortlists through processes which include the following:

- pre-qualification searches
- UNOPS rosters, other UNOPS offices or networking
- other UN agencies
- Nile riparian countries governments
- embassies
- the United Nations Global Marketplace
- the KOMPASS database<sup>6</sup>, if applicable
- other procurement related websites or search engines
- professional organizations
- business seminars, visitors, trade representations
- trade publications, professional journals, catalogues, or
- local telephone directories.

A background check should be conducted on all entities that have never worked for UNOPS previously. The administrative and procurement officer is responsible for identifying a good mix of qualified candidates with the appropriate expertise from the above sources, and preparing an official shortlist.

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<sup>6</sup> Available subject to paying a subscription fee.

## Short-listing

4.5.3 A shortlist must be prepared for all contracts of US\$30,000 or more, unless a negotiated contract / waiver situation applies. For contracts less than US\$30,000, no formal shortlist is required; however, the administrative and procurement officer must be able to demonstrate on file that s/he has compared quotations or proposals from at least three qualified firms for competitiveness.

A shortlist of at least three to six qualified firms should be established for contracts estimated to cost from US\$30,000 up to but not including US\$100,000. A shortlist of at least seven to twelve qualified firms should be established for contracts estimated to cost US\$100,000 or more.

4.5.4 The shortlist is prepared on the basis of the following criteria:

- technical and financial capability of the supplier;
- capacity to supply the required goods or furnish the required services in the required timeframe;
- performance of the supplier in countries with conditions similar to the recipient country;
- representation of the supplier in the recipient country or a nearby country (for after-sale service and continuing supply of spare parts, and
- ability to provide training and manuals in the appropriate language, if necessary.

4.5.5 The shortlist is prepared by the administrative and procurement officer for local and regional procurement and by UNOPS headquarters for international procurement. In both cases, the UNOPS forms shown in Annex 4.5 (for goods) and Annex 4.6 (for services) are used.

In accordance with World Bank requirements as specified in the CBSI PAD, priority should be given to the identification of national consulting firms from the Nile riparian countries for the procurement of services costing up to \$200,000, provided that at least three qualified entities are available, with no more than two firms on the short-list from any one riparian country. Foreign firms that have expressed their interest should not be excluded from consideration.

Caution should be exercised not to propose contractors based in countries subject to embargoes decided by the United Nations General Assembly or Security Council of the United Nations.

After approval by the RPM, the shortlist is forwarded to the Nile-SEC (through the UNOPS senior advisor in Entebbe) for clearance. Shortlists are finally approved by UNOPS headquarters. The APO then enters the name and country of nationality/incorporation of the short-listed entities into the PTS, as well as the date of issuance of the solicitation documents (request for quotations, invitation to bid or request for proposal).

### **Bidder enquiries**

- 4.5.6 In order to maintain the integrity and transparency of the process, potential bidders may only clarify or seek additional information related to the relevant bidding or proposal documents in writing and not by telephone or in person. In the same way, if an invited firm seeks clarification, the procurement officer shall only provide clarification in writing and to all invitees (unless the clarification is clearly only applicable to the invitee who asked the question). The clarification shall be sent in writing, in such a way so as to maintain the anonymity of bidders and without mentioning the name of the firm that asked the question(s).
- 4.5.7 Requests for extension of the bid deadline shall be referred immediately to the UNOPS Senior Adviser in Entebbe for a decision. If the extension is granted, the extension shall be notified to all invitees at the same time and in writing. Notification of the extension must be copied to the procurement file.

### **Bank Bidding and Proposal Documents**

- 4.5.8 The applicable World Bank Standard Bidding and Proposal Documents should be used when undertaking Procurement and obtaining Consultant Services in accordance with the Procurement Guidelines or Consultant Guidelines, respectively. In each case, the World Bank Standard Bidding and Proposal Documents need to be amended by tailoring them for use by UNOPS due to its status as a United Nations entity. The changes shall be cleared by the UNOPS legal services division before being used and should be placed on a centralized intranet for ease of use by project personnel. Where doubt exists as to which World Bank Standard Bidding and Proposal Documents to use and/or how the Documents are to be amended, personnel should contact the Senior Adviser in Entebbe in the first instance who will either clarify the issue or seek further advice from UNOPS headquarters.
- 4.5.9 According to the MSA paragraph 6.(e)(i), World Bank standard bidding or proposal documents will normally be used. However, UNOPS standard documents (including bidding or proposal documents, bid or proposal evaluation sheets and standard contracts) will be used in all cases where World Bank documents do not exist, subject to the World Bank's and NBI's prior agreement. UNOPS procedures and documentation is found in the latest version of the UNOPS Handbook and UNOPS Documents Library at UNOPS headquarters.
- 4.5.10 Procurement activities not covered by the Bank Guidelines above, such as project operational costs including utilities, fuel, office supplies and maintenance services are to be procured using UNOPS' procurement guidelines, procedures and standard procurement documentation including contracts, where applicable. UNOPS regulations, rules, guidelines and procedures can be found in the UNOPS Handbook.

## 4.6 Selection of suppliers

### Submission and receipt of offers

4.6.1 The offerors are responsible for ensuring that the offers are properly signed by authorized signatories, and submitted to the PMU or HQ by the due submission date and time. If offers are delivered by hand, the PMU or HQ may provide a receipt recording the date and time of delivery.  
Bids/proposals received after the deadline will not be opened and will not be considered.

4.6.2 Offers are to be received by a person not involved in the bidding process at the PMU for local and regional procurement (e.g. the office assistant) and UNOPS headquarters for international procurement.  
Offers are to be time and date stamped by upon receipt and placed in a locked cabinet until the bid opening time and date. Access to the cabinet shall be confined to authorized personnel only. "Authorized personnel" does not include any person involved in the bidding process.

Where offers are submitted to a secure facsimile machine, the dedicated fax machine is to be afforded the same degree of control as postal replies. The dedicated facsimile machine shall be placed in a locked room and access confined to authorized personnel only. All offers submitted by facsimile should be sealed by the authorized person (a person who is not involved in the bidding process) before the bid opening date and before handing the sealed offers to the procurement officer in charge of the bid opening.

Offers inadvertently opened before the due date are to be brought to the attention of the RPM or UNOPS HQ for advice and further action.

4.6.3 Unsolicited offers shall be rejected for procurement actions under World Bank Procurement Guidelines or Consultant Guidelines. When undertaking procurement in accordance with UNOPS procedures, the applicable procedures stated in the UNOPS Handbook are to be followed. Any questions on this matter should be referred to the UNOPS legal services division through the UNOPS senior advisor in Entebbe.

4.6.4 Bid or proposal openings shall be performed in accordance with the relevant Bank Procurement or Consultant Guidelines.  
Attendance at "public bid openings" is restricted to those suppliers who actually submitted an offer. The supplier may authorize the local agent or the concerned embassy to represent them at the opening.

## **Evaluation committees**

- 4.6.5 For local purchases of goods and services estimated to cost between US\$2,500 and up to US\$100,000, the evaluation of offers received from bidders is conducted by the PMU local evaluation committee (LEC). The committee is comprised of the RPM, the APO and the Requesting Officer (the latter being one of the other international staff members at the PMU).

For procurement estimated to cost US\$100,000 or more, the evaluation team is comprised of the RPM, the APO, one other UNOPS international staff member and/or an expert on UNOPS contract, for technical submissions where outside expertise is required. In some instances, for example where cases are high value or complex, the PMU may request the participation of the UNOPS senior advisor or UNOPS portfolio manager from headquarters.

- 4.6.6 Once the summary evaluation sheets are completed, the designated member of the evaluation committee (usually the procurement officer) prepares a bid / proposal analysis report describing the evaluation process and justifying the selection of the supplier. The evaluation summary sheet is attached to the bid / proposal analysis report.

The corresponding financial obligation is then processed as described in section 6.8.

The evaluation date, name of selected supplier and obligation number are entered in the procurement tracking database by the APO.

## 4.7 Award and signature of contracts

### Guidelines for award of contracts

- 4.7.1 Before each award of contract, the procurement officer needs to ensure that the World Bank Procurement or Consultant Guidelines and UNOPS procurement procedures are met.  
Annex I.B of the Management Services Agreement establishes the requirements for award under Bank Procurement and Consultant Guidelines.  
Once the relevant Bank guidelines have been met, the procurement officer needs to ensure the UNOPS requirements for award and signature of contracts are met (see paragraphs 4.7.5 et al. below).

### Procurement review committees

- 4.7.2 Purchases of less than US\$30,000 do not require review by a procurement committee, although it is good practice to do so. The RPM may require, before award of contract, an internal PMU committee to review the procurement action, as deemed necessary. The administrative and procurement officer shall provide the RPM with the following in order to assist the RPM in making a decision:
- recommendation prepared by the administrative and procurement officer;
  - bid / proposal analysis report demonstrating that the appropriate procurement process was followed;
  - bid / proposal summary sheet prepared by the evaluation committee.
- 4.7.3 Purchases valued between US\$30,000 and up to but not including US\$100,000. The award of contracts in relation to procurement actions under competitive bidding ranging from US\$30,000 up to but not including US\$100,000 is subject to the UNOPS local contracts committee (LCC) review. The PMU should establish a local contracts committee comprised of UNOPS personnel (see Annex 4.7 for the rules and procedures of the UNOPS local contracts committee). This committee reviews the procurement process for contracts up to but not including US\$100,000 when competitive procurement is undertaken. Submissions to the LCC are prepared by the senior advisor. The contract and the LCC's recommendation are submitted to the UNOPS headquarters Chief to enable the Chief to review the procurement process and make an informed decision on award of the contract.
- 4.7.4 Contracts valued at US\$100,000 or more are awarded by the UNOPS Executive Director as Chief Procurement Officer (CPO), following the recommendations of the Procurement Review and Advisory Committee (PRAC) at headquarters. PRAC sits at UNOPS headquarters in New York and reviews the procurement process for the following types of procurement cases:
- purchases of US\$100,000 or more
  - multiple purchases totaling US\$100,000 or more with the same supplier and under the same project or relating to the same specific purpose in any one calendar year, and
  - amendments or series of amendments having an aggregate value of US\$100,000 or more or which would increase the amount of a previously PRAC-approved contract by US\$100,000, or more than 20%, whichever is the lesser amount.

PRAC meets once a week at 10am (New York time) on Wednesdays. The deadline for submissions is the Friday (5 pm New York time) before the next scheduled PRAC meeting. Submissions are prepared by the RPM and reviewed and signed by the appropriate UNOPS Chief. The RPM should be prepared to respond to any questions the PRAC may raise during the meeting.

#### **Authority to award contracts and purchase orders under UNOPS procedures**

- 4.7.5 Once the bids / proposals have been evaluated, the procurement officer prepares a recommendation for award of contract. The recommendation is based on the bid / proposal analysis report and is submitted to the UNOPS authorized person for approval.

Where the World Bank's prior review is required, the recommendation for award is submitted to the UNOPS authorized person together with the World Bank's "no objection" documentation or simultaneous to seeking the World Bank's "no objection" with a note saying that UNOPS award is subject to receipt of the World Bank's written "no objection".

#### *Under competitive bidding*

- 4.7.6 For contracts amounting to less than US\$100,000 under a competitive bidding process, the request for award of contract must be presented to the UNOPS headquarters Chief. In this case, the Bank's "no objection" and a completed Annex 4.8 should be submitted to the Chief, together with all required supporting documentation including the bid analysis or evaluation sheet.

For contracts amounting to US\$100,000 and over, the request for award of contract under competitive bidding must be presented to the Procurement Review and Advisory Committee (PRAC) for its recommendation and then to the Executive Director, as Chief Procurement Officer (CPO) of UNOPS, for approval of award of contract. The model request to be used by the RPM is in Annex 4.9.

#### *Under direct contracting / waiver of competitive bidding*

- 4.7.7 Commitments of less than US\$30,000. In cases where it is not possible or practical to undertake an assessment of competitive quotations involving commitments of less than US\$30,000, a request for approval of waiver using the model in Annex 4.10 must be prepared and submitted to the UNOPS Chief through the RPM in order to obtain the UNOPS approval to award the contract.

Commitments between US\$30,000 and up to but not including US\$100,000. In these cases, the request for waiver of competitive bidding is submitted to the UNOPS Deputy Executive Director and Director of Operations. The submission is prepared by the RPM and submitted to the Deputy Executive Director and Director of Operations, through the UNOPS Chief. The model submission is found in Annex 4.11.

For contracts amounting to US\$100,000 and over, the request for waiver must be presented to the Procurement Review and Advisory Committee (PRAC) for its recommendation and then to the Executive Director, as Chief Procurement Officer (CPO) of UNOPS, for approval of award of contract. The model request to be used by the RPM is in Annex 4.12.



- 4.7.8 The request should include an explanation of why and on what basis the supplier's proposal and costs are considered to be reasonable, a breakdown of the costs, how the costs relate to previous contracts (if any), indicating UNOPS or the project's past experience with the supplier and how the supplier performed.
- 4.7.9 The authority to award a contract is derived from the written delegation of authority issued by the UNOPS Executive Director. Table 4.1 below sets out the financial limits of contracts and the officials authorized to award contracts within those limits, subject to that person holding a valid written delegation of authority.

**Table 4.1 Authority to award contracts**

<b>Financial limit</b>	<b>Basis of award</b>	<b>Authorized official</b>
Up to but not including US\$30,000	Competitive	RPM
Up to but not including US\$30,000	Waiver of competitive quotations (UNOPS FRR 114.20)	Appropriate UNOPS headquarters Chief
US\$30,000 up to but not including US\$100,000	Competitive	Appropriate UNOPS headquarters Chief
US\$30,000 up to but not including US\$100,000	Waiver of competitive bidding (UNOPS FRR 114.20)	UNOPS Director of Operations and Deputy Executive Director
US\$100,000 and above	Competitive	UNOPS CPO (after PRAC review)
US\$100,000 and above	Waiver of competitive bidding (UNOPS FRR 114.23 b)	UNOPS CPO (after PRAC review)

**Types of contracts**

- 4.7.10 In all cases, whether Bank bidding or proposal documents or UNOPS standard contracts are used, UNOPS procedures require the Atlas ERP system to generate a purchase order (PO) which shall form part of the contract but shall not contain the terms and conditions of contract. The PO should, in all cases, make appropriate reference to the relevant contract terms and conditions to ensure that it is consistent with the relevant contractual documentation. The UNOPS legal services division is to review the standard language in both cases before it is used. In addition, the Bank standard bidding or proposal documents must make reference to the UNOPS purchase order so that the two documents are read together and consistent with each other.

When using Bank procurement guidelines and Bank standard bidding or proposal documents

- 4.7.11 Where the Bank standard bidding or proposal documents are used for a procurement action, the terms and conditions contained within those documents form the basis of the contract with the supplier.

When using UNOPS procurement rules and procedures and UNOPS bidding or proposal documents

- 4.7.12 UNOPS contracts are available on the UNOPS intranet and should not be substantially changed without the prior review of the UNOPS legal services division.

The following procedures apply where Bank standard bidding or proposal documents do not exist and UNOPS procurement procedures and procurement documents are used instead. In such cases, UNOPS contracts are signed with suppliers.

In the case of goods of any value, UNOPS' purchase order is to be used. Local purchase orders are issued by the PMU for purchases up to US\$30,000. For purchases of goods amounting to US\$30,000 and above, the purchase order is issued by UNOPS headquarters.

Where services need to be procured valued at US\$30,000 or more, the model contract for professional services is to be used. However, for simple contracts amounting to less than US\$30,000, the small services contract may be used.

For services valued up to a maximum of US\$150,000 with local NGOs or community based organizations, the UNOPS memorandum of agreement for services is to be used (drafted at UNOPS HQ). If a local NGO is awarded a contract under a competitive process, then it may be more appropriate to use one of the professional services contracts mentioned above.

- 4.7.13 Contract amendments are only to be signed by the authorized officer after following the appropriate procurement procedure and UNOPS contract award procedure.

The contract amendment is concluded by a cover letter from the authorized person with delegation to award and sign the relevant contract, offering the amendment. The amendment should clearly state the relevant changes made to the existing contract.

Under UNOPS procurement regime, an amendment which:

- a. causes the total contract value to amount to US\$100,000 or more in aggregate, or
- b. amounts to US\$100,000 or more, or is 20% of the last PRAC-approved amount, whichever is the lesser

must be submitted to PRAC for recommendation of award prior to award by the UNOPS CPO and signature by the authorized person.

Contract amendments can only be signed by the person formally authorized by written delegation of authority to do so.

## **Preparation of contracts and purchase orders**

4.7.14 Every contract must be assigned a contract number. The UNOPS senior advisor at the Nile-SEC is given a block of contract numbers by UNOPS HQ for use on all SVP projects. The contracts for commitments under \$30,000 are prepared at the PMU by the APO. The first step in the contract preparation is the request for contract number (see Annex 4.13) which is filled out by the APO, signed by the Requesting Officer, scanned and sent electronically to the senior advisor. Once the required information is entered into the contract log shown in Annex 4.14, the senior advisor returns the request with the contract number to the APO.

The APO prepares the contract using the appropriate model. Care must be taken when drafting the contract to give due consideration to the certain issues, e.g. advance payments (see 4.7.16 below), payment terms and insurance.

Once drafted, the contract is submitted to the RPM for review and approval. The required information is entered into the PTS, and an individual contract monitoring schedule is created (see section 4.8).

4.7.15 The local purchase orders (for goods valued at less than \$30,000) are prepared using the format shown in Annex 4.15. LPO numbers are generated automatically by the PTS. LPOs must specify in detail:

- The nature, quantity and unit prices of goods being purchased
- The technical specifications if necessary
- The conditions to be fulfilled and the period covered
- The terms of delivery and payment.

In addition, the shipping instructions (according to INCOTERMS), packing instructions and invoicing instructions must be indicated.

Finally, the consignee, the contact name and PMU address for the shipment of the goods are clearly specified.

4.7.16 No advance payment shall be made under a contract for goods. In the case of goods, payment should be linked to the delivery terms (INCOTERMS 2000) used for procurement.

Except where normal commercial practice or the interests of the project so requires, no contract for services shall be made which requires an advance payment. Wherever an advance payment is agreed to, the reasons therefore shall be recorded. Suppliers shall be asked to provide a bank guarantee in a form acceptable to UNOPS, if the contract calls for an advance payment of US\$50,000 or more. The bank guarantee shall be valid for the duration of the contract or until the advance has been fully recovered.

Under Bank Consultant Guidelines (that is, relevant to contracts for services under Bank procurement), the Bank requires that if an advance payment is granted that is greater than 10% of the contract price, the procurement officer must ensure that a guarantee is in place (see paragraph 4.8 of the Consultant Guidelines).

4.7.17 Freight, or the cost of transportation services, is a substantial element in the delivered price of most imported goods and this incidence is particularly high for land-locked countries. During transportation and storage, cargo may be exposed to various risks, such as damage, pilferage and theft, breakage, non-receipt of part or entire consignments. Cargo insurance provides protection against financial losses resulting from these risks. To protect the interests of the project, the project should ensure that the goods are covered for all risks, including war, strikes, riots and civil commotions. Should damage or loss occur, the procurement officer should ensure that the underwriter is contacted within one week for further advice, as delay in providing notice of an incident will weaken the case.

#### **Post-facto and retroactive cases**

4.7.18 Services are not to commence until a contractual obligation between UNOPS and the supplier has been established either by written "offer" and "acceptance" or by signature of both parties to the contract. Every effort must be made to avoid a situation whereby services commence prior to the establishment of a contract.

UNOPS Financial Rule 114.3 "Reservation of funds to meet expenditures" states: "Apart from the employment of staff under an authorized staffing table, and consequential commitments under the Staff Regulations and Rules, no contract, agreement or undertaking of any nature for an amount to be specified from time to time (currently \$2,500) shall be entered into until funds have been reserved in the accounts, by means of an obligating document...."

4.7.19 There are two broad categories of potential problems that can occur if Financial Rule 114.3 is not followed:

- a. the procurement activity under review has been adequately provided for in the budget, but due process for reserving the funds and establishing the appropriate obligation(s) has not been adhered to. In this case the procedures set forth below must be followed.
- b. expenditures related to the procurement activity under review exceed the amount provided for in the approved budget. In this case, consultations with the funding source and the position of same on the funding issue are to be recorded prior to any proceedings / decision on the matter.

A post-facto situation occurs when no contract or purchase order was issued, but the services have already been rendered or the goods purchased and received. A retroactive case occurs when no contract or purchase order was issued, but the supplier has already started rendering services or the goods have been ordered but not yet delivered.

4.7.20 All staff members involved in procurement actions for the CBSI project are expected to make every effort to avoid post-facto or retroactive cases. When they nevertheless do occur, special approval of the UNOPS ED (as Chief Procurement Officer) is required before related payments are made or, if already made, for such expenditures to be accepted by UNOPS as legitimate charges against the appropriate budget lines(s). It must also be understood that the approval of the UNOPS ED, if indeed it is given, does not constitute, and must not be taken as, the establishment of a precedent or justification for not taking the timely and appropriate action(s). The policy for dealing with post-facto and retroactive cases is set out in Annex 4.16.

## **4.8 Contract administration**

- 4.8.1 The Requesting Officer must remain informed of ongoing activities relating to the contract as s/he is responsible for the overall monitoring of the contract and evaluation of the supplier's performance. S/he must inform the administrative and procurement officer of any modifications in the execution of the contract, or any issues relating to the supplier's performance, so as to allow for timely action, such as the preparation of contract amendments or handling of potential claims or disputes.  
The APO is required to prepare quarterly progress reports for all contracts of a duration of 6 months or more, so as to keep the RPM informed of contract progress. The information from these reports is also used as input for the semi-annual and annual project implementation progress reports.  
Contract amendments, claims or disputes are entered into the PTS database by the administrative and procurement officer.
- 4.8.2 For each contract signed for the CBSI project, an individual monitoring schedule is created in Excel by the APO (see Annex 4.17). The schedule contains the basic information on the contract (name of supplier, number, date and amount of contract, component code and budget line, project component / activity, obligation number) and details the payment schedule, including the milestones for each payment. Every time a payment is made, the related information is entered into the schedule. The schedule is also updated whenever there is an amendment to the contract.
- 4.8.3 Disputes and claims (or events that may lead to claims) that come to the attention of the RPM must be promptly forwarded to the UNOPS legal services division at UNOPS headquarters through the UNOPS senior advisor in Entebbe. The RPM is responsible to ensure sufficient information is provided to enable the UNOPS legal adviser to understand the nature of the dispute or claim, or the concerns why a dispute or claim may arise. The information and documentation will be reviewed and advice provided by the UNOPS legal services division. It is important not to make any representations on behalf of UNOPS nor agree to any claims made by a third party before receiving advice from the UNOPS legal services division.

## **4.9 Delivery of goods and services**

- 4.9.1 Goods are normally delivered to the PMU office or the national project coordinator's office (via the UNDP country office if they are being imported into the country; UNDP is normally named the consignee in order to qualify for tax free status). For goods delivered to the PMU, the office assistant is responsible for receiving the goods. In the case of goods received from abroad, UNDP clears shipments through customs upon arrival at the port / airport. PMU personnel are responsible for closely managing the process of seeking customs clearance by giving timely notice to UNDP and indicating when the shipment is arriving.  
All shipping documents are sent by the supplier to UNDP with a copy to the PMU (and UNOPS HQ for international procurement) for customs clearance formalities. All external abnormalities to the shipment (for example, dents, holes, cracks) or missing boxes / crates must be noted by the clearing agent in the clearance receipt or bill of lading / airway bill, for reporting to the supplier and to the insurance broker.  
For goods delivered to the national project coordinators, assistance is provided by the local PMU's administrative assistant, or if not available, by the local UNDP office.
- 4.9.2 When the goods are received, the office assistant inspects all goods before acceptance. S/he then immediately completes a receiving and inspection report (RIR – see Annex 4.18) indicating the purchase order number and whether all goods ordered were received and in what condition. After signature, the office assistant keeps a copy of the RIR and sends the original to the administrative and procurement assistant for input in the PTS database and filing of another copy in the corresponding procurement file.  
In the case of international procurement, the signed RIR is scanned and sent electronically to UNOPS HQ, with a copy to the Nile-SEC and senior advisor in Entebbe.
- 4.9.3 The office assistant must note on the RIR any damaged, pilferaged or short-supplied goods. In the case of national procurement, the administrative and procurement officer must immediately notify the carriers in writing, holding them liable for the damages. In addition, a written provisional claim must be filed against all carriers. Assistance from the UNOPS senior advisor in Entebbe is sought if necessary. In the case of international procurement, the PMU personnel should contact the portfolio manager at UNOPS HQ so that the portfolio manager can contact UNOPS' broker and assist the PMU personnel to handle the claim.
- 4.9.4 When the PMU receives the invoice, the APO attaches the original bill of lading / packing list, RIR and purchase order (or copy of the contract) and transmits the file to the Requesting Officer for certification of goods received or services rendered in accordance with the terms and conditions of the PO / contract. This certification is materialized by a stamp "certified for payment / date" and the signature of the Requesting Officer. It serves as acceptance of the invoice by the project.  
For national procurement, the invoice is then returned to the APO for processing.  
For international procurement, the original invoice is sent directly to UNOPS headquarters. The invoice is scanned and sent electronically to the PMU for certification by the Requesting Officer. The e-mail message must also indicate the purchase order or contract number, as well as the obligation number. After certification, the invoice is returned, electronically, to UNOPS headquarters.  
In both cases, the invoice date and number are input in the PTS by the APO.

## **4.10 Payment and reporting**

4.10.1 Invoices are normally paid within 30 days of receipt and acceptance of the original invoice.

In the case of local payment by the PMU, the finance and procurement assistant makes the necessary verifications (refer to section 6.9) and prepares the payment voucher and check or bank transfer. The RPM and the finance and procurement officer (or their respective alternates) make all verifications required of them as certifying or approving officers, in accordance with their respective written delegation of authority. The RPM and finance and procurement officer then sign the voucher and payment document.

Invoices for goods / services received by the national project coordinators are either paid by the PMU office (of another SVP project) based in the same country, by the national finance officer (for countries where there is no PMU) or by the local UNDP office. The payment officer must ensure that the appropriate authorization containing an obligation number has been sent by the Nile-SEC and that the invoice has been certified by the national project coordinator and approved by the RPM, prior to making the payment.

In the case of international procurement, payment is processed by the appropriate person at UNOPS headquarters upon receipt of the certified invoice from the PMU.

4.10.2 Once the payment is made, the APO updates the procurement tracking database and the contract monitoring schedule, if applicable.

When payments are processed by UNOPS headquarters, the PMU must be notified when payment has been made so that these systems can be updated.

4.10.3 UNOPS does not make third-party payments. If a question on third party payments arises, the UNOPS legal services and finance divisions at UNOPS headquarters should be contacted through the portfolio manager at UNOPS headquarters.

4.10.4 Reporting on procurement actions is done through the following documents:

- the quarterly financial monitoring reports (FMR), that include a section on procurement in order to show the progress on the implementation of the procurement plan. This section also highlights deviations from the World Bank guidelines, if any. It is prepared by the APO based on information contained in the PTS.
- the semi-annual and annual project implementation progress reports. These reports contain a section on the status of procurement actions against the annual plan. The reports are prepared by the RPM with input from the APO for procurement items.
- the delegation of authority reporting to UNOPS headquarters, which includes the details of all contracts and purchase orders signed at the PMU level under the relevant written delegation of authority. The DoA report is prepared by the RPM and must be consistent with the procurement tracking database.

## Chapter 5. ASSET MANAGEMENT

### 5.1 Definition of assets

5.1.1 Project assets are divided into three groups:

- a) Capital assets are defined as any item with an original acquisition value of US \$500 or more and a predicted useful lifespan of one year or more, owned by the project regardless of its funding source or user. Exceptions are office furniture, office equipment and “attractive” items (such as cameras, projectors, small IT devices or software) which are classified as capital assets even if their value is less than \$500. Capital assets also include physical structures.
- b) Liquid assets are defined as cash, coins, checks and all forms of negotiable documents.
- c) Advances and receivables are defined as all amounts due to the project by third parties.

5.1.2 The procedures used for the purchase of capital assets are described in Chapter 4 (Procurement), while the management of liquid assets and issues related to possible advances are described in Chapter 6 (Finance). The project normally does not have or maintain receivables.

The procedures described in this section are applicable both to the PMU and to the national office staff (national project coordinators and mid-level professionals) to the extent possible.



## 5.2 Inventory

5.2.1 A simple asset management system developed on Excel is used to keep track of capital assets<sup>7</sup>. The assets register worksheet (Annex 5.1) is the main feature of this system. In order to ensure proper segregation of duties, the procurement of capital assets is done by the administrative and procurement officer (APO), while their monitoring is carried out by the Office Assistant (OA).

For items identified in the procurement stage as capital assets, the following information is noted on the supplier's invoice once the item has been inspected and accepted:

- asset location or user name (based on the PO)
- tag number.

The tag number is obtained by adding the UNCCS code to the prefix NBI-CBSI-XXXX which identifies the asset as belonging to the NBI Confidence Building and Stakeholder Involvement project and assigned to staff or location XXXX (where XXXX corresponds to the abbreviation of the PMU functions and locations, see list in Annex 5.2). The UNCCS codification system assigns a unique number to all goods based on a common UN classification (refer to Annex 5.3). As an example, a laser printer assigned to the administrative and procurement officer would be tagged as NBI-CBSI-APO-454250.

5.2.2 The asset is then immediately tagged before being delivered to the user. The receiving & inspection report and the invoice are then used to enter the following information into the asset register worksheet:

- Item category
- Description
- Serial number - if applicable
- Date of purchase
- Purchase value
- Asset location/user name
- Tag (inventory) number

5.2.3 For equipment to be used in the office, the OA updates the individual “list of equipment by location”, has it signed by the user of the asset and posts a signed copy on the user's office door (see Annex 5.4). The administrative and procurement officer signs the list for equipment used in common areas (cafeteria, photocopy room, etc.). For equipment purchased for the exclusive use of a staff member (e.g. radio equipment, mobile phone, calculator, laptop computer), the OA fills out an “equipment loan” form and has it signed by the recipient (see Annex 5.5).

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<sup>7</sup> The same system may also be used by the office administrator to keep track of expendable items, such as office supplies and other miscellaneous supplies.

5.2.4 The individual users of the assets must notify the OA whenever an asset is relocated, damaged, lost or has become idle. The information is entered in the asset management system accordingly.

For damaged or idle items, the OA investigate repair possibilities and advise the administrative and procurement officer. For lost or stolen items, a note explaining the circumstances is written by the OA and signed by the asset user.

The note is then submitted to the APO who makes a recommendation to send it for repair or to write it off from the inventory (see section 5.4 below).

5.2.5 Each year, on the 15<sup>th</sup> of December, a physical inventory count is conducted by the APO in order to ascertain that the assets are physically in the office they were assigned to, and in good working condition.

NPCs are required to send a detailed list of the project equipment in their office.

The physical inventory exercise must be completed by 31 December.

At the end of the exercise, an inventory list (see Annex 5.6) showing all assets physically present in the office is completed and printed.

5.2.6 A list of discrepancies between the inventory list and the asset register is established by the APO and communicated to the RPM. Discrepancies are of two kinds:

- Items found in the office but not on the asset register are investigated to establish their origin. If they belong to the project, the invoice is located and the item is entered into the asset management system. If they do not belong to the project, they are returned to the owner.
- Items that are included in the asset register but are missing from the office are investigated and the OA and APO must attempt to locate them.

Missing assets are highlighted on the list of discrepancies and the RPM is informed. The APO then prepares a detailed report to the Nile-SEC, including a description of the asset(s), purchase date and value, asset location, current value and explanation of discrepancy. The Nile-SEC in consultation with the RPM decides what action should be taken. Disposal procedures are detailed in section 5.4 below.

## **5.3 Maintenance and security of assets**

### **Maintenance & repairs**

- 5.3.1 Project personnel are required to exercise great care in the use and operation of project assets. The administrative and procurement officer must take all necessary steps to ensure that assets are maintained in good working and safe conditions. The RPM is ultimately responsible for all project assets.  
Misuse, which includes unauthorized personal use and intentional or willful loss or destruction, of assets by any personnel could result in personal responsibility for loss or damage and action for misconduct.
- 5.3.2 For all project equipment requiring preventive maintenance (i.e. fax, photocopier, telephones, air conditioners), annual maintenance contracts should be signed with an adequate supplier selecting on a competitive basis (see procurement procedures, Chapter 4).  
The maintenance for computer equipment, software and accessories shall be carried out by the SVP CP Information Management Specialist (see paragraph 9.3.2). If necessary, s/he shall refer to a specialized firm on a case-by-case basis after obtaining approval from the administrative and procurement officer.
- 5.3.3 Assets damaged before expiration of the minimum retention period (see Annex 5.7) should be repaired if economically feasible. The cost of repair should be established through competitive quotations and comply with procurement procedures established for the project, taking into account levels of authority for incurring any expenditure (see Chapter 4).

### **Security**

- 5.3.4 As indicated in Section 8, adequate security measures are in place at the CBSI PMU office (24 hour security guards, restricted access to the office building, etc.). These measures take into consideration both personnel and assets.  
All office doors must be locked outside office hours; an additional set of keys is kept in the OA's office to allow access for the cleaning team. High value items such as mobile phones and laptop computers shall be secured by the APO in a locked cabinet when not in use.
- 5.3.5 The removal of any piece of equipment from the premises is subject to prior written approval by the RPM or APO after filling out a temporary removal of asset form (see Annex 5.8). This procedure does not apply to laptop computers assigned to the staff. However, upon termination of contract, project personnel are required to return all project property in their possession in proper working condition (failure to do so would result in the withholding of separations payments due to them).
- 5.3.6 All project equipment is covered against loss, fire, damage and theft under a separate insurance policy. The APO is responsible for following the proper filing procedures with the insurance company in case of a claim.
- 5.3.7 For maintenance and security of project vehicles, see section 5.5 below.

## 5.4 Disposal of assets

- 5.4.1 The RPM may, with the approval of the Nile-SEC, decide to dispose of a capital asset which is in surplus, damaged, obsolete, missing or lost.  
The RPM is authorized to dispose of items valued at less than US \$1,500. A disposal form (Annex 5.9) is used to explain the reason for the disposal, make a proposal for further use of the asset (if possible) and propose the mode of disposal. It also contains all the details pertaining to the asset (see paragraph 5.2.2 above); it is prepared by the administrative and procurement officer and signed by the RPM.  
For items over \$1,500, the disposal form must be submitted to the Nile-SEC ED who shall consult with the funding source, as required, prior to approval. Once approved, the asset is disposed of using one of the three modes listed below (i.e. write-off, donation/redeployment or sale). The administrative and procurement officer alone has the authority to remove an asset from the asset register.
- 5.4.2 Assets are written-off when it is established that they are missing, lost or damaged beyond repair. Obsolete or surplus assets may also be written-off when their current value is nil and/or it is established that they cannot be sold or donated.  
Discarding assets as waste shall be done according to local practice and take into account any environmental considerations, for example possible ozone depleting agents in old refrigeration units.
- 5.4.3 Project capital assets may be donated to a participating country or a NGO with the agreement of the Nile-SEC.  
Assets may also be redeployed to another project within the NBI Shared Vision Program or as may otherwise be decided by the NBI. Any shipment, handling or related costs are borne by the receiving project.
- 5.4.4 When the sale is the retained option, the asset generally is disposed of through sale by public auction. Notice of the auction shall be posted in a conspicuous public location or advertised in the local press. The notice must list all assets being sold together with a deadline and location for receiving sealed bids on those assets. The auction should be without reserve. Bids must be a fixed price for each asset (no percentage bids) and received by the deadline. Assets must be available to all at an identified time for inspection before for the auction.
- 5.4.5 All sales are final and assets are sold “as is”, without any warranty as to title or fitness. Payment for the assets must be cash or bank transfer on delivery. Assets must not be turned over to any buyer prior to payment in full. Where assets are imported duty free, there may be taxes payable upon the sale. Any taxes should be determined in advance of the auction and communicated to the buyer. Staff responsible for the auction, including the Nile-SEC staff, may not submit bids, either directly or indirectly. Other staff, however, are free to participate.
- 5.4.6 All CBSI project equipment and supplies become the ownership of the NBI as soon as they are received and accepted by the project or by the NBI.  
Upon project completion, the NBI decides in which manner the project’s assets shall be disposed of, as well as to which recipients, if applicable.

## **5.5 Official vehicles**

### **Maintenance and security**

- 5.5.1 The safety and maintenance of project vehicles is the responsibility of the driver and the Office Assistant (for the PMU vehicle) and the NPCs (for national offices vehicles in the “Full Project” configuration). For the PMU, the driver is required to monitor the vehicle maintenance program and to notify the OA on a timely basis so that the vehicle is serviced as needed. The vehicles must always be taken to the selected garage for repairs and maintenance. Official vehicles must be parked in a safe, protected parking garage when not in use or after working hours.
- 5.5.2 Vehicles normally are required to be insured locally against all risks, including damage, theft or fire for the vehicles, as well as injury and property damage to third parties (including passengers).
- 5.5.3 Accidents must be immediately notified to the Nile-SEC and the RPM who shall take the required actions in accordance with NBI rules and procedures, in particular with regards to the insurance claim. However, the driver of the vehicle at the time of the accident is responsible for completing police reports and other required local administrative formalities. The project shall not be liable for any fine, charge or offence committed by a staff member while driving an official vehicle.

### **Use and control of official vehicles**

- 5.5.4 The estimated requirement for the CBSI project is one vehicle for the PMU office under the “Initial Project” configuration, plus seven vehicles for each of the NPCs under the “Full Project” configuration, to be used for official errands, airport pick-up/drop-offs, transportation of staff and visitors on official business, etc. The OA shall be responsible for establishing and monitoring the driver’s schedule.
- 5.5.5 Special authorization is required for any personal use of project vehicles. The individual signing out the vehicle shall be fully responsible for all risks and take on comprehensive insurance as appropriate. S/he shall be charged for the use of the vehicle in accordance with applicable rates (see request form in Annex 5.10).  
For staff members other than the project driver or NPCs, the insurance is only valid when the staff member is driving the vehicle for official business with the written authorization of the RPM or APO.
- 5.5.6 The PMU driver must record all official trips in a vehicle log (see Annex 5.11). This log provides control over the use of the vehicle as well as fuel consumption. Fuel is purchased duty free and on the basis of a 300 liters monthly provision. Fuel coupons are kept in the office safe by the APO, and delivered to the driver as needed. The OA notes fuel coupon references in the vehicle log along with the car mileage; receipts obtained from the gas stations and returned to the APO when the coupons are used.
- 5.5.7 A vehicle history record must be maintained by the OA for each official vehicle (see Annex 5.12). This document records the dates and relevant information related to repairs and maintenance, mandatory technical checks, insurance coverage, accidents, etc.

## Chapter 6. FINANCE

### 6.1 General

6.1.1 This section provides users with a description of the approved rules, procedures and workflows applicable to the project's financial activities.

Financial activities are defined as all operations involving the receipt, expenditure, management and reporting of project funds.

6.1.2 The purpose of the finance section of the PIM is to provide sound financial, accounting and budgetary policies and procedures that:

- ensure proper control, accountability and reliability over funds and financial information, and
- are compatible with NBI, UNOPS and WB requirements.

## **6.2 Financial cycle**

6.2.1 From a financial point of view, the project operates autonomously under the supervision of UNOPS.

Based on the project implementation plan, the PMU prepares an annual workplan and budget which are reviewed by UNOPS and the Nile-SEC, and submitted to the project steering committee for approval.

Once approved, these documents serve as a reference and are officially communicated by the Nile-SEC to the WB.

6.2.2 The procedures related to donor contributions are described in detail in section 6.7 below.

Funds are made available to the project for disbursement in one of three ways:

- locally via an imprest account mechanism managed by UNOPS,
- through the network of UNDP country offices, or
- via direct payments made by UNOPS.

6.2.3 The project has its own imprest accounting system (IAS) for recording financial transactions which are reported to UNOPS on a monthly basis. UNOPS in turn monitors project budget and expenditures via its own Atlas (ERP) system, which is also used to record commitments and disbursements.

6.2.4 Financial reports are issued by UNOPS to the NBI on a quarterly and annual basis, in particular the Financial Monitoring Reports (FMRs) and the annual project financial statements, as per WB financial reporting requirements.

Where the annual expenditure is in excess of US\$100,000, then the financial statements are audited in accordance with UNOPS financial regulations and rules (see details in section 6.11).

### **6.3 Organization of the finance function**

6.3.1 Finance related tasks include budgeting, funds management, procurement, payroll, payments, accounting and financial reporting.

The chart shown in Annex 6.1 summarizes the finance workflow and the corresponding relationships for the three levels of project operation (regional, sub-regional and national levels).

6.3.2 The budgeting process is the responsibility of the RPM. The RPM is also responsible for authorizing expenditures within the limits of the approved budget. The remaining finance related tasks are carried out mainly by the SVP CP finance and procurement officer (FPO) and the CBSI administrative and procurement officer (APO), under the supervision and guidance of the UNOPS administrative/finance specialist (AFS). The UNOPS AFS is the Approving Officer for the CBSI project.

6.3.3 The United States dollar is the project's reporting currency.  
The project financial year starts on 1 January and ends on 31 December of each year.



## **6.4 Financial information and accounting systems**

- 6.4.1 The project budgets and expenditure, which include both the project management unit, the decentralized sub-regional and the national project office activities, are monitored locally via the imprest accounting system (IAS) and at UNOPS level via the Atlas system. The transactions in the imprest accounting system are reviewed and examined before the data is uploaded into the UNOPS Atlas system.  
Payments for local or regional expenditures (including local payroll) are made for the most part by check, bank transfer or petty cash, using the imprest account established at the PMU office. Certain expenses (such as international procurement and international payroll) are initiated and paid by UNOPS HQ.
- 6.4.2 In both UNOPS (Atlas) and CBSI project (IAS) financial systems, four separate codes are created to represent each of the four components under the Grant Agreement. This allows for better monitoring of budgets and expenditure, and more accurate reporting under each project component. The component codes are as follows:
- For Component 1: 'Regional, Sub-regional and National implementation and facilitation', the component code is 0003xxxx
  - For Component 2: 'Public information', the component code is 0003xxxx
  - For Component 3: 'Stakeholder involvement', the component code is 0003xxxx
  - For Component 4: 'Confidence Building', the component code is 0003xxxx.
- Both the Atlas and the IAS systems allow for the consolidation of the 4 components into one main consolidated project entity.

### **Local accounting system - IAS**

- 6.4.3 All financial transactions are recorded locally on a 'real time' basis using the IAS; financial information is thus available on a timely basis.  
The IAS has the facility for combining an accounting system (used for local payments and receipts) with a project budget and expenditures monitoring system. The system therefore has a dual set of functions.
- 6.4.4 As the cashbook accounting system, the IAS :
- generates disbursement vouchers, cash receipt vouchers and journal vouchers, and
  - records payments made from (and replenishments of) the imprest bank account, whether by check, bank transfer or petty cash.
- The payment transactions recorded in the cashbook are automatically posted to the budget/expenditures monitoring module of IAS.  
The cashbook system generates a monthly cash journal, petty cash journal, and the imprest account reconciliation.
- 6.4.5 The project budget and expenditures monitoring module (if utilized) serves mainly to:
- enter the annual budget for each project component, quarterly budget estimates and budget revisions on a line by line basis.
  - record obligations raised by UNOPS and payments from the cashbook and from other offices (UNOPS or UNDP).
- The system generates expenditure and budget reports on a monthly, quarterly and annual basis.  
It may not be necessary to activate the features referred to above, since live data should be available via the UNOPS Atlas system.

## **UNOPS accounting system - Atlas**

6.4.6 The Atlas system is the UNOPS corporate system where all project budget and financial transactions are recorded. Atlas is a web-based integrated ERP system used by UNOPS for project management, budgeting, accounting, human resources and procurement.

The expenditures, payments and recording processes are described in detail in sections 6.8 and 6.9 below.

Financial obligations are raised and entered into Atlas by UNOPS for the project.

Imprest and petty cash transactions are reported monthly to UNOPS via the imprest returns generated from the IAS.

Payments made through other UNOPS offices and through UNDP country offices are recorded directly into Atlas.

6.4.7 General ledger reports produced by UNOPS and detailing all transactions recorded in the Atlas system are accessible directly by the PMU through the web-based system.

This allows the PMU to:

1) have complete and accurate data related to payment transactions made by other UNOPS and UNDP offices on its behalf

2) reconcile the project accounting data with UNOPS financial information.

## **6.5 Accounting policies and financial regulations and rules**

- 6.5.1 The accounting basis adopted for the CBSI project is the accrual basis of accounting. The financial statements will therefore reflect not only amounts disbursed, but also outstanding commitments, which is in accordance with the requirements of the WB financial monitoring reports.

Fixed assets are expensed as they are purchased; however, a capital assets register is maintained for control purposes (see Chapter 5 – Asset Management).

The list of component codes and corresponding Atlas project reference numbers individual “accounts” of the Chart of Accounts applicable to the CBSI project is attached as Annex 6.2.

- 6.5.2 The UNOPS financial regulations and rules govern the financial management of UNOPS and its offices in the field. Other manuals applicable to UNOPS financial management are available on the UNOPS Intranet.

- 6.5.3 WB financial reporting requirements applicable to the CBSI project are described in detail in section 6.10 below.  
Applicable WB procurement guidelines are referenced in this manual as part of Chapter 4 on Procurement.

## **6.6 Budgeting<sup>8</sup>**

- 6.6.1 The CBSI budget includes five cost categories: personnel, subcontracts, training, procurement and miscellaneous costs, as described in Schedule 1 of the Grant Agreement.

The purpose of the budget is to detail forecasted utilization of project funds for both operational activities (at regional, sub-regional and national levels) and the running of the PMU office. The preparation of the budget is preceded by the preparation of the annual workplan.

### **Preparation of the workplan**

- 6.6.2 The annual workplan contains the detail of all operational activities to be carried out by the project during the year, given the level of funding committed by the donors under the Grant.

The PIP summarizes the objectives of the project and the various project components to be implemented.

Based on this, the RPM prepares a draft workplan, taking into account the PIP information, and reflecting in detail the various activities to be conducted in the coming year, both at regional, sub-regional and national levels.

Subsidiary workplans outlining activities planned and the timeframe for their implementation is obtained from the public information specialists, the stakeholder/confidence building specialist at the PMU and at the SAP offices, and the national project coordinators. The SVP CP FPO (with assistance from the CBSI administrative and procurement officer) also provides input for the PMU operating costs.

- 6.6.3 The workplan shows the link between the planned activities and the project objectives, describes each activity in detail, and details the material/human resources needed, the timeframe for completion, the expected constraints, as well as the indicators and measures of success. A global cost estimate is included for each activity, with an indication of the related component.

- 6.6.4 Except for the first year of the project, annual workplans should cover the period January to December, in line with the project financial year.

The draft workplan is transmitted to the Nile-SEC before the end of October for a first review and comments by the Nile-SEC senior program officer/SVP Coordinator and the UNOPS senior advisor.

After corrections, it is transmitted to the Nile-SEC ED for a final review.

The RPM is requested to make the necessary changes, and the finalized version of the workplan is submitted to the project steering committee by 30 November for approval.

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<sup>8</sup> The workplan and budget preparation and monitoring for the Confidence Building draw-down facility will be described in the PIM once the mechanisms for implementation of the Facility are designed (in Year 1).

## **Preparation of the budget**

- 6.6.5 During the first half of November, the RPM prepares a detailed budget for each activity in the approved workplan. Care must be taken in this budgeting process, to separate activities and the related cost estimates by component.

These individual activity budgets must include all costs anticipated for the completion of the various tasks listed for that activity, i.e. mission costs, consultants, workshops, training costs, subcontracts, procurement, report editing/printing, and other miscellaneous expenses.

The finance and procurement officers in the various project management units in the region are consulted (by the NPCs or decentralized specialists) whenever necessary to obtain cost estimates for activities to be conducted at the sub-regional or national level.

- 6.6.6 During the same period, the SVP CP FPO is requested to prepare estimated costs for administrative expenditures needed to support operations. This is done under the guidance of the UNOPS AFS.

Administrative costs include essentially:

- project personnel (both international and national), including recruitment costs, if any;
- training;
- procurement (office furniture & equipment, computer equipment, etc.);
- office running costs (rent, maintenance, utilities, communication costs, supplies, vehicle costs, etc.);
- other expenditure (including the audit fee and the project services agency fee).

For each item, the basis used to estimate the budget must be indicated on the budget itself; budget estimates must be supported by separate schedules if necessary.

- 6.6.7 Once completed, the amounts in the activity budgets and the administrative costs estimates are reflected at the individual budget line level in accordance with the chart shown in Annex 6.2 (Grant component codes and budget accounts) for each of the four component budgets.

The operational and administrative elements are then consolidated by the FPO and presented in the format shown in Annex 6.3 for the Components 1 through 4.

The four budgets are submitted to the Nile-SEC by 15 November for review and comments by the Nile-SEC senior program officer/SVP Coordinator and the UNOPS senior advisor.

After corrections, the budgets are transmitted to the Nile-SEC ED for the final review.

The RPM is requested to make any necessary changes, and the four budgets are consolidated into a single CBSI project budget for the purpose of presentation to the project steering committee.

The consolidated budget is submitted to the PSC by 30 November, along with the workplan and the three budgets by source of fund, for final approval.

## **Budget monitoring and revisions**

- 6.6.8 Following approval by the project steering committee, the administrative and procurement officer (APO) creates four budget worksheets in IAS (see format in Annex 6.4), and inputs the corresponding annual budgets into the system on a line by line basis.  
The approved budgets are also sent to UNOPS HQ by the senior advisor for input in Atlas.
- 6.6.9 The APO is responsible for monitoring the budget at the project level under the direction of the FPO.  
All amounts obligated under each budget line (in accordance with the obligation process described in section 6.8) are entered into the corresponding budget worksheets.
- 6.6.10 Project expenditures are initiated by a request document (e.g. requisition for goods, request for personnel action, etc.) which is approved by the RPM. The component and the budget account are systematically indicated on the expenditure requests.  
Actual disbursements are automatically posted to the appropriate budget worksheet from the IAS cashbook.
- 6.6.11 The budget worksheets show for each expense item, the corresponding budgeted amount, the obligated amount, actual disbursements, total expenditures to date (i.e. sum of obligations and disbursements), and available balance.  
At the end of each month, the FPO reviews with the RPM the budget worksheets along with the “Expenditure Detailed Report” available via Atlas, to determine whether funds are being utilized as originally planned.
- 6.6.12 Unusual items and large variances between budget and actual costs are then investigated and the FPO is required to prepare a monthly budget report explaining all significant variances between budgets and actual expenditures/commitments for each component.  
The need for a budget revision, if applicable, is justified in this report.  
The monthly budget report is forwarded to the Nile-SEC for review. The Nile-SEC senior program officer/SVP Coordinator, in consultation with the UNOPS NBIU and the RPM, decides whether a budget revision is necessary.  
If approved, a budget revision proposal is prepared by the FPO with guidance from the UNOPS AFS and under the supervision of the RPM.
- 6.6.13 It is important to note that if the budget revision involves the reallocation of funds among the ‘grant categories’ referred to in Schedule 1 of the Grant Agreement, then it is the responsibility of the NBI to obtain the non-objection of the World Bank before such revision is approved. Revisions resulting in reallocation of funds among the ‘components’ of the Grant should also receive the WB’s non-objection.

6.6.14 Even though a specific need may not have been identified, a budget revision exercise must be conducted at half year to reflect the actual expenditures incurred and balances available, and to indicate the need for re-allocation of resources, if any. Budget revisions are submitted to the Nile-SEC for review/comments by 15<sup>th</sup> July. A corrected version is then submitted to the Nile-SEC ED and the UNOPS HQ Division Chief for approval by 31<sup>st</sup> July.

The approved budget revision is then entered into IAS and Atlas using the same procedure as described above.

## **6.7 Contributions from the Grant**

6.7.1 Contributions from the Grant are handled differently depending on the source of funds.

The initial project is funded with two different types of contributions.

- NBTF contributions managed by the WB;
- In-kind contributions from the participating Nile riparian countries.

### **WB managed contributions**

6.7.2 NBTF contributions managed by the WB are made in cash into a US dollar bank account maintained by UNOPS.

At the start of the project, the initial WB deposit is based on a budget estimate prepared by the Nile-SEC for the first six months of project operations.

6.7.3 As described in section 6.10, UNOPS is required to submit to the World Bank with a copy to the NBI, a quarterly financial statement and the quarterly financial monitoring report (FMR). The financial reports of the FMR shows actual expenditures incurred against funds received, and a forecast of expenditures for the following six months. The FMR also includes the physical progress report and the procurement report. The FMR serves as the request for a new transfer of funds as required.

6.7.4 The funds thus deposited into the UNOPS bank account are made available for project payments via the imprest account and via other sources available to UNOPS.

### **Nile riparian countries contributions**

6.7.5 The contributions from the governments of the participating Nile riparian countries are in-kind contributions essentially in the form of office space and facilities, utilities, furniture, support for organization of workshop/seminars, etc.

### **Utilization of contributions from the Grant**

6.7.6 Contributions from the Grant are to be used solely for the CBSI project expenditures. Neither the NBI nor UNOPS are allowed to engage expenditures or authorize disbursements in excess of available funds, nor in excess of the amounts identified against the 'categories' and 'components'.

Requests for additional financing, if necessary, are made by the NBI after consultation with the project steering committee.

Any unused funds and interest earned are maintained in the project account and carried forward to the following year's budget.



## 6.8 Expenditure

### Annual expenditure plans

- 6.8.1 There are two categories of expenditure for the project: administrative expenditure and operational (i.e. program) expenditure. Administrative expenditure is normally initiated by the SVP CP FPO or by the CBSI administrative and procurement officer, while operational expenditure is initiated by the RPM or one of the specialists. The SVP CP information management specialist may also initiate expenditure for any of the four project components.
- 6.8.2 For each category of expenditure, there are three main types of expenses for which an annual plan is prepared under the supervision of the FPO.

The approved workplan and budget serve as the basis for the preparation of:

- the procurement plan, which is prepared by the APO with input from the various specialists, the NPCs, the IM specialist and the RPM where needed. It indicates the description, quantity, estimated cost and timing of anticipated purchases of goods and services (see description of preparation process in section 4.3);
- the personnel plan, which is prepared by the APO and indicates the title, post level, contract duration, and estimated remuneration for anticipated staff and consultant engagements;
- the travel plan, which is prepared by the office assistant and indicates the traveler's title, the destination, the purpose, the estimated cost and timing for anticipated trips during the year.

These plans must specify the component code for each expense, as well as the appropriate budget / expense accounts to be used.

Once approved by the RPM and the Nile-SEC, a copy of each plan is given to the FPO to allow for proper planning of resources and related actions throughout the year.

### Expenditure requests and authorizations

- 6.8.3 Operational expenditures are normally initiated by the public information specialists, the stakeholder/confidence building specialists, the national project coordinators or the IM specialist. Administrative expenditures may be initiated by the FPO, the APO or the IM specialist for IT and communications equipment.
- 6.8.4 The initiator of the expenditure (or his/her assistant) prepares an expenditure request indicating the nature of the expenditure and other relevant information, the estimated cost, the component code (Atlas project reference) and account to be charged, in accordance with the "complete chart of account" (refer to Annex 6.2A). Expenditure requests can be in the form of a Requisition (for procurement), a Request for Personnel Action or Personnel Action Form (for the engagement of consultants or staff) or a Travel Authorization (for staff or non-staff travel).

- 6.8.5 The request is sent for approval to the RPM, who must ensure that:
- the nature of the expenditure is in conformity with the project workplan and activities, and
  - the amount is within the budget and funds are available to carry out the expenditure.

All expenditure requests are authorized by the RPM in accordance with his/her delegation of authority from the UNOPS Executive Director to engage project funds (within set limits) and to act as certifying officer for the project.

Once approved, the RPM forwards the request to the SVP CP FPO for the obligation process.

### **Obligation process**

- 6.8.6 The obligation process is a crucial part of the expenditure cycle, when funds are set aside in the UNOPS accounting/financial systems in order to fulfill a particular financial commitment in the future.

Obligations are required for all CBSI project financial commitments of \$2,500 or more.

- 6.8.7 There are two kinds of obligations:

- open obligations, which must identify a payee name, are meant to cover expenditure (other than payroll) under one or more budget / expense accounts for a given duration (e.g. the quarter or the year). They are used for recurring administrative expenditures for which individual requests are not issued, e.g. utilities, telephone, maintenance contract, custodial/cleaning services, etc.
- specific obligations, which are used when the commitment is for a specific purpose and the vendor is identified. They are raised on the basis of issued commitments or contracts.

In the case of an expenditure initiated by one of the decentralized specialists or the national project coordinators, the obligation request is processed as described in paragraph 6.8.8 below. The RPM or UNOPS senior advisor sends an authorization to the PMU in the country where the decentralized staff or NPC is based.

6.8.8 Obligations are generated from the Atlas system at UNOPS and UNDP country offices.

The request for obligation numbers is an ongoing process:

1. At the end of each day, the FPO collects all expenditure requests from the PMU and enters the relevant information<sup>9</sup> into the daily obligation log (see Annex 6.5) which serves as the request for obligation numbers. This log is available on the SVP intranet.  
In the case of open obligations, the daily log is filled out only once at the beginning of each quarter.
2. The UNOPS senior advisor or administrative/finance specialist downloads the obligation log (which contains obligation requests from all the project management units of the SVP), and reviews it for completeness.
3. The UNOPS senior advisor or administrative/finance specialist transmits the log each day to UNOPS HQ.
4. UNOPS HQ enters the data into the Atlas system and raises the obligations.
5. The FPO, through direct on-line access to the Atlas system, retrieves the obligation data.
6. The obligation numbers and amounts from Atlas are entered into the budget worksheets in the IAS system on a daily basis by the APO.

6.8.9 Once recorded in the Atlas (and IAS) systems, the obligations are considered as expenditures and must be liquidated when the actual payments are made.

In the case of payments made locally through the imprest account, the IAS automatically reverses the obligated amount when the actual payment is recorded.

In the case of payments made through other UNOPS or UNDP offices, however, the obligations remain in the IAS system and are reversed manually upon retrieval/processing of disbursement data from the Atlas system.

6.8.10 The review of obligations is an ongoing exercise. However, no later than at the end of each year, the list of unliquidated obligations is reviewed by the FPO in order to determine which obligations should be maintained for the following year and which should be cancelled.

This information is transmitted to the UNOPS senior advisor in Entebbe for communication to UNOPS HQ.

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<sup>9</sup> The following information must be indicated on the obligation log:

- Requestor's initials
- activity for which the expenditures will be incurred
- name and type of recipient of the payment (for specific obligations)
- description of the payment
- component code
- account according to complete Atlas chart of account
- amount under each expense account

## **6.9 Payments and recording of transactions**

This section describes in detail the actual disbursement process for procurement of goods and services, engagement of personnel and travel.

- 6.9.1 In accordance with UNOPS financial regulations and rules, all payments must be authorized by the RPM (as certifying officer - CO) and the UNOPS AFS (as approving officer - AO). The PMU stakeholder/confidence building specialist and the RPM are designated as alternate CO and AO respectively, and shall authorize payments in the absence of the RPM and/or the UNOPS AFS.
- 6.9.2 Payments for expenditures incurred by the project are made either via an imprest account, petty cash or through other UNOPS or UNDP offices. Instructions relating to the establishment and operation of an imprest account are described in detail in the UNOPS Guidelines for imprest accounts (see Annex 6.6).

### **Establishment of the imprest account**

- 6.9.3 The purpose of the imprest bank account is to allow the project to disburse funds directly in order to meet operational requirements in the most efficient manner. The criteria for the establishment of an imprest account by UNOPS are listed in the guidelines. UNOPS HQ is responsible for all formalities related to the opening of imprest accounts for the SVP projects.
- 6.9.4 On the basis of the expected volume of transactions for the CBSI project, an imprest account was established at the PMU in both US dollars and local currency held under two separate bank accounts. The RPM is designated as Imprest Holder for the operation of the accounts.  
The two bank accounts are operated on the basis of the joint signature of disbursing officers (i.e. bank signatories) among the following: the RPM, the UNOPS administrative/finance specialist, the SCBS, the UNDP Resident Representative and the Deputy Resident Representative.  
The UNDP Country Office in Kampala receives a permanent instruction from UNOPS HQ to replenish the account on a monthly basis for as long as the imprest accounts are valid.

### **Disbursements**

- 6.9.5 Local payments for the project's operations are made through the imprest accounts in US dollars or local currency (depending on the payee location) by check, bank transfer or petty cash. The CBSI project imprest account is also used to effect payments for expenditures incurred by the Uganda national project coordinators of other SVP projects.  
A cashbook is maintained in the IAS in order to record all financial transactions.
- 6.9.6 Upon receipt of a signed payment request document (invoice, certificate of payment, travel authorization or claim, etc.), the APO checks it for mathematical accuracy, then verifies in the IAS (Vendor disbursements file) that the amount is obligated and that the payment was not made previously. All supporting documents must be attached to the payment request (e.g. purchase order, receiving report, copy of contract, etc.).

[Note: In the case of a payment on behalf of another SVP project, the APO must ensure that an authorization was received from the RPM of that project or from the UNOPS senior advisor before processing the payment.]

After these verifications, the APO prepares a disbursement voucher (DV – see Annex 6.7) in the cashbook, for which the following data is already available in the IAS:

- voucher number<sup>10</sup> and date
- UN operational rate of exchange for the US dollar for the current month
- check number (from pre-entered number of the checkbook currently in use)

The APO needs to enter the:

- payee name and address
- description of payment (item, invoice or contract number, period covered, etc.)
- component (project) code and account per Atlas chart of accounts (for CBSI project expenditure)
- project (grant) code and account per Atlas chart of accounts (for other SVP project expenditure)
- obligation number
- local currency or dollar amount (depending on which bank account is used).

The preparation of the DV automatically generates an entry in the cashbook under the component code and account indicated.

The DV is printed, signed by the APO and the corresponding check is prepared in the name of the payee.

The DV and check (along with the invoice, purchase order and any other relevant supporting document) are reviewed by the FPO before being submitted to the RPM for certification and signature of the check. The same documents are then approved by the UNOPS AFS who also signs the check. Annex 6.8 details the verification procedures to be carried out by the certifying and approving officers.

The invoices are then stamped “PAID” and the checks are given to the office assistant for distribution to recipients. The persons who retrieve the checks are requested to sign the DVs for proof of receipt. They are also requested to provide an authorization from the payee and the copy of their ID card in case they are collecting the check on behalf of the payee.

## Receipts

6.9.7 Imprest account replenishments are normally the only cash receipts in the account. The APO prepares a cash receipt voucher (CRV – Annex 6.9) in the cashbook. Like the DVs, this automatically generates an entry in the cashbook. The bank credit advice is attached to the CRV along with the supporting document and the CRV is signed by the APO as preparer, by the RPM and by the UNOPS AFS.

Project personnel may reimburse their personal expenses (for the use of office telephone, fax or courier service) by cash or check. Upon receipt of the cash or check, the amount is verified against the supporting document, a bank deposit slip is filled out, and the amount is deposited at the bank no later than the following business day. These reimbursements are recorded as “negative” DVs against the expense account in which the original expenditure was recorded.

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<sup>10</sup> The DVs are automatically numbered in sequence by the IAS using the following format: DV/CBSI/yy/mm-xx where CBSI are the initials of the project, yy are the last 2 digits of the current year, mm represents the month and xx is a sequential number.

## **Imprest accounts reconciliation and replenishment**

- 6.9.8 The IAS generates a monthly detailed transaction (“cash”) journal listing all the DVs and CRVs produced during the month for each component as well as for payments made on behalf of other SVP projects, if applicable. This monthly transaction journal is verified against the actual vouchers by the FPO to ensure accuracy and completeness. It is reviewed by the UNOPS AFS, and signed by the RPM as imprest holder.

Upon receipt of the monthly bank statements, each bank account is reconciled by the APO in accordance with the guidelines for imprest accounts. The reconciliations are reviewed by the FPO, and approved by the RPM.

The imprest accounts are replenished on a monthly basis (both for the US dollar and the local currency bank accounts) by UNOPS HQ upon receipt of a request memo signed by the RPM. The imprest account reconciliations serve as the basis for the replenishments. In the case of exceptional payments, a request for special replenishment may be sent by the senior advisor through the Portfolio Manager to the Chief of Finance and Budget section at UNOPS HQ for special approval and authorization.

As detailed in section 6.10, the imprest returns (including petty cash transactions) are sent to UNOPS each month, thus allowing project payments made locally to be entered into the Atlas system.

## **Petty cash**

- 6.9.9 The project has a US\$500 petty cash account operated by the administrative and procurement officer as Petty Cash custodian. The purpose of the petty cash is to allow the project to make small payments (for items such as minor repairs, small supplies, newspapers, parking fees, taxi fares, and other sundry expenses) in a quick and efficient manner. Payments through petty cash are only allowed for amounts up to US\$100 (or local currency equivalent). The cash is placed in a locked box which is kept in the project safe.

- 6.9.10 Petty cash disbursements may be made in advance or after the payment (for purchases made directly to the supplier or as reimbursement to a staff member). In both cases, the staff member fills out a petty cash request form (Annex 6.10). The payee name, the description of the goods or services, the estimated cost and the relevant component code and expense account are indicated on the form, which is forwarded to the FPO for approval and to the administrative and procurement officer for processing.

The APO delivers petty cash advances on the basis of the approved request. After the transaction is completed, the requestor must return the invoice/receipt along with the change, if any, to the APO for recording.

For payments of goods or services already purchased, the invoice or receipt is given to the APO who reimburses the PMU staff member or directly pays the supplier.

- 6.9.11 The petty cash transactions are recorded by manual input of the petty cash request forms in the petty cash journal, which is part of the IAS system. A petty cash voucher is automatically generated at the end of each month and lists all payments made during the month with the corresponding component codes and expense accounts.
- 6.9.12 A 'surprise' cash count is conducted bi-monthly by the FPO. It is followed by a reconciliation of the petty cash balance per the cashbook with the actual cash held in the petty cash box. The petty cash is replenished on a monthly basis (or more if necessary) on the basis of the reconciliation via a check drawn from the local currency imprest bank account to the order of the APO (as petty cash custodian). The amount of the replenishment is equivalent to the total disbursements made since the previous replenishment, so that the petty cash balance is maintained at US\$500. No funds can be deposited into the petty cash, other than the replenishments from the imprest account.

#### **Payments through other offices**

- 6.9.13 Payments made by other UNOPS offices and by UNDP country offices are recorded directly in the Atlas system and accessed by the PMU directly through the web-based system. Payments are made through the following offices in specific cases:
- UNOPS HQ for international payroll, international procurement and consultants
  - Other UNOPS locations as advised by HQ
  - UNDP country offices for payments in local currency and where the NBI has not established a project management unit.
- 6.9.14 In the case of payments by UNDP, the APO prepares a requisition directly in Atlas, based on the payment request document. After review by the FPO and approval by the RPM, this requisition will serve as an authorization for the UNDP CO to proceed with the payment. The invoice or payment request document is stamped "PAID" and kept on record. These transactions are entered manually into the IAS system based on the financial data accessible on-line from the Atlas system.
- 6.9.15 Payroll is processed directly by UNOPS HQ (for international staff under 200 and 300 series contracts) and the PMU office (for local staff under SSA or service contract) based on the employment contracts. The corresponding payments data are obtained directly from the Atlas on-line system. These payments are all recorded in IAS by manual input.

### **Recording in IAS budget/expenditures monitoring module**

- 6.9.16 For local payments: Imprest and petty cash transactions are automatically posted into the budget/expenditures module on a daily basis. This is done through an automatic link between the cashbook and this module.
- 6.9.17 For outside payments: Payments effected from UNOPS or UNDP offices (accessed directly into Atlas) are entered manually into the budget/expenditures module on a daily basis.



## **6.10 Financial reporting**

6.10.1 'Financial reporting' is a set of reports and statements which serve to provide the CBSI project management (as well as the Nile-SEC, UNOPS and funding organizations) with up-to-date financial information that will allow them to monitor, control, take corrective action and make necessary decisions with regard to the project funding, budgeting and expenditure process.

There are two levels of financial reporting for the project:

- project financial reporting consists of reports produced by the PMU using the IAS financial system. This allows for timely and up-to-date financial information. These reports are all issued on a monthly basis and include the imprest account returns, the project expenditures reports and the budget-to-actual statements.
- UNOPS financial reporting consists of 'official' financial statements issued by UNOPS HQ from the Atlas system and certified by the UNOPS Division for Finance and Budget at headquarters.

### **Imprest returns**

6.10.2 The project is required to submit to UNOPS the monthly accounts related to the imprest, in accordance with the UNOPS guidelines for imprest accounts referenced in Annex 6.6.

The monthly imprest accounting returns include the cashbook, disbursements and receipts vouchers with related supporting documents, bank reconciliation and imprest reconciliation. These schedules are for the most part produced automatically by the IAS system. The FPO and the UNOPS AFS are responsible for making all necessary verifications before the imprest returns are submitted to the RPM for review and signature.

The returns are forwarded by the 8<sup>th</sup> of each month to the UNOPS senior advisor for review and transmission to UNOPS for processing/input into the Atlas system.

### **Expenditure reports**

6.10.3 Monthly expenditure reports by component/activity are produced automatically by the IAS system. These monthly reports show for each expense account :

- actual disbursements made locally (through the imprest and petty cash accounts and for payroll related costs),
- actual disbursements made by decentralized staff or national project coordinators through other PMU offices,
- actual disbursements made through other UNOPS or UNDP offices (information obtained from Atlas) or
- obligations issued (for expenditure made through another UNOPS or UNDP office and for which the financial data are not yet available).

These reports are initially reviewed by the FPO who is responsible for consolidating the data into a summary of CBSI project expenditures. They are also checked by the UNOPS AFS.

The reports are then sent to the RPM for review along with the budget-to-actual statements before the 10<sup>th</sup> of the month following the month under review.

### **Budget-to-actual statement**

6.10.4 A budget-to-actual statement is produced for each component (project) code, and shows for each budget / expense account, the approved budget, the actual expenditures (for the current month and year-to-date), and the balance of funds available. It is generated from the IAS system on a monthly basis from the budget monitoring worksheets.

It is submitted to the RPM for review, and is accompanied with a report (prepared by the FPO) explaining the reasons for over/under expenditures.

6.10.5 In the case of significant variances, the FPO attaches the monthly activity progress reports prepared by the specialists and NPCs in order to show the relation between the cumulative actual expenditures/commitments and the stage of completion of the activity.

After the RPM review, the budget-to-actual statements and related narrative reports are forwarded to the Nile-SEC and UNOPS NBIU for review.

### **UNOPS interim financial reporting**

6.10.6 UNOPS issues quarterly financial monitoring reports (FMR) as interim financial reports. The purpose of the FMRs is to provide both the NBI and the WB with an effective tool that allows them to monitor funds disbursement in relation with project objectives and budgets, as well as progress on project implementation.

As detailed in the FMR guidelines and model format shown in Annex 6.11, the FMR must include the following information for each quarter:

- a financial report showing funds received, expenditures and balance available at quarter-end; forecasted expenditures for the following 6 months are also included.
- a physical progress report that links project implementation activities with financial information.
- a procurement report comparing actual performance against the procurement plan and compliance with WB guidelines.

The financial information section of the FMR is generated at UNOPS HQ based on expenditure data from the Atlas financial system. Once it is validated, it can be accessed directly on-line by the UNOPS NBIU in Entebbe.

The physical progress and procurement reports are prepared by the RPM in consultation with the UNOPS senior advisor for the international procurement information.

The FMR is submitted within a month of each quarter-end to the Nile-SEC for review and comments. Not later than 45 days after the end of each quarter, UNOPS submits the completed FMRs along with the quarterly financial statements to the World Bank, with a copy to the NBI.

## **Year-end closing**

6.10.7 A timetable is issued by the FPO by 1<sup>st</sup> December of each year with instructions to all staff with regards to the various steps to be undertaken for the year-end closing. This timetable includes:

- deadlines for conducting certain operations (requests and processing of obligations and payments, processing of travel claims and advances, etc.)
- list of steps to follow in order to close the books of the project for the year
- list of documents to obtain and to prepare for year-end closing
- list of documents to prepare for the annual audit
- deadlines for producing reports or information
- UNOPS HQ year-end closing instructions.

6.10.8 The year-end closing exercise consists of all the procedures necessary for the annual financial close of the project books and records.

The following main operations shall be carried out as of the 31 December closing date:

- cashbook review and reconciliation
- petty cash count, reconciliation and year-end closing
- review of unliquidated obligations
- IAS reports review and completion (with Atlas financial data)
- reconciliation of project accounts with UNOPS financial data
- physical inventory and reconciliation with assets register.

6.10.9 Subsequent to year-end closing, the following internal financial reports are prepared by the FPO in accordance with the above guidelines, reviewed by the UNOPS AFS and presented to the RPM and the Nile-SEC:

- annual budget-to-actual statement for each component
- year-end statement of non-expendable assets.

In addition, UNOPS HQ produces the required annual financial statements that are forwarded to the WB with a copy to the NBI. In addition to the annual financial statements, an audited financial statement is submitted to the NBI as described in section 6.11 below.

## 6.11 Audit

6.11.1 The financial operations of the CBSI project must be audited on an annual basis, if the annual expenditure exceeds US\$100,000. The UNDP Office of Audit and Performance Review is responsible for performing the audit and may, for this purpose, engage an outside firm to provide assistance.

The purpose of the audit is to provide reasonable assurance that:

- donor's contributions and project expenditures are properly accounted for;
- project expenditures were incurred in accordance with the provisions of UNOPS services under the MSA, and are supported by adequate documentation;
- the related financial statements prepared by UNOPS for the year under review present a fair view of the operations.

6.11.2 The audit covers the period 1 January to 31 December each year, and shall be completed by the end of June. The PMU and Nile-SEC are responsible for preparing the audit (i.e., financial information and other documents needed by the auditors), and assisting the auditors during their mission.

6.11.3 The audit report states the auditors' opinion on the financial status of the project activities, and describes any material discrepancies or deficiencies in the system of internal control.

Recommendations for remedial action or improvement of the project financial systems are also included in the report.

The draft audit report is submitted to the PMU, the Nile-SEC and the UNOPS HQ for review and comments.

UNOPS HQ is responsible for preparing the response to the auditors' observations and their comments are included in the second part of the audit report. The final report is submitted to the Nile-SEC and WB for review no later than 30 June.

The PMU shall be responsible for implementing the auditors' recommendations under the supervision of the Nile-SEC and UNOPS through its NBIU.

## Chapter 7 - PERSONNEL

### 7.1 Types of contract

- 7.1.1 The Special Service Agreement (SSA), the Service Contract and the Appointment of Limited Duration (ALD) are the contractual modalities utilized by the CBSI project to secure the services of personnel.
- 7.1.2 The main features of these contractual modalities used both for international and national personnel are indicated in table 7.1 below. More detailed policies and procedures can be obtained from UNOPS' Division for Human Resources Management.

**Table 7.1. Types of Contract**

International	National
<p><b>SSA</b> <b>Special Service Agreement</b></p> <p>For contracts shorter than 11 months. After 11 months, 1 month break in service is mandatory. Maximal duration of employment is 33 months in 36 months.</p> <p>Compensation in form of daily or monthly fee according to international standards.</p>	<p><b>SSA</b> <b>Special Service Agreement</b></p> <p>For contracts shorter than 11 months. After 11 months, 1 month break in service is mandatory. Maximal duration of employment is 33 months in 36 months.</p> <p>Compensation in form of daily or monthly fee according to local practice.</p>
<p><b>ALD</b> <b>Appointment of Limited Duration</b></p> <p>For contract duration from 6 months (minimum) to 3 years (maximum; exceptionally extendable to 4 years maximum).</p> <p>Status as international UN staff member, with respective salaries, entitlements and status.</p>	<p><b>SC</b> <b>Service Contract</b></p> <p>For contract duration envisaged for 11 months to 5 years (maximum, duration of a single project).</p> <p>Compensation in form of salary, social security provisions, as well as non-pay conditions.</p>

### Definitions

- 7.1.3 International SSA: An international SSA holder ("international consultant") is a person who is a recognized specialist or authority in a specific field, who is retained for a defined period of time not to exceed eleven (11) months generally outside her/his country or place of temporary or permanent residence. He or she is an independent contractor serving in his/her individual capacity and shall not be considered as a representative of a government, organization or any other authority. The recruitment, administration and termination of international SSAs are handled by the Portfolio Manager of UNOPS.

- 7.1.4 Appointments of Limited Duration (ALDs): ALD is a contract under the 300 series of the UN Staff Rules, which is used to hire international project staff for a limited duration, up to a period of three (3) years, with the possibility of exceptional final one (1) year extension up to a total of four years. The recruitment, administration and separation of ALDs contract holders are handled by the UNOPS Division for Human Resource Management (DHRM).
- 7.1.5 Local SSA: A local SSA holder (“local consultant”) is a recognized specialist or authority in a specific field, or an individual on temporary assistance (“Temporary assistant”), who performs support functions such as secretarial, administrative, project or program related tasks, who are both retained for a defined period of time to undertake a specific assignment in his/her country or place of temporary or permanent residence. The Regional Project Manager may be provided delegated authority from UNOPS Executive Director to engage, administer and separate personnel on local SSA contracts.
- 7.1.6 Service Contracts: A Service Contract (SC) is a contract for hiring the services of national professional and national support personnel. The rights and obligations of SC holders are defined by the terms and conditions of the Service Contract. The Regional Project Manager may be provided the delegated authority to engage, administer and separate personnel on Service Contracts.

## **7.2. Identification and selection of candidates for recruitment**

- 7.2.1 The selection process for local SSAs and Service Contracts shall be carried out by the Regional Project Manager. In the case of international recruitment (international SSAs and ALDs), the UNOPS portfolio manager is responsible for the selection and engagement on SSA. In the latter instance, the portfolio manager may wish to delegate certain limited aspects of the process, e.g. drafting the TOR and /or advertisement of the vacancy, to the CBSI project personnel.
- 7.2.2 The identification and selection of candidates is to be carried out in an objective and transparent manner, using a competitive process so as to identify and select the candidate best qualified to fulfill the function.
- 7.2.3 To the extent that certain CBSI project staff have been given the delegated authority to handle all or part of the recruitment process, the CBSI project will make sure that records are well-documented and make them available for review by UNOPS when requested.

### **Terms of reference, job description**

- 7.2.4 Terms of reference (TOR) or generic job profiles (GJP) are required prior to advertising any vacancy for the CBSI project. TOR/GJP are used for the purpose of describing the work which will be performed by the individual hired and provide the basis for supervising and evaluating the performance of his/her work. It also provides the basis for the identification of potential candidates and the necessary information for determining the level of the functions and the appropriate remuneration.
- 7.2.5 TOR/GJP include the
- functional title of the position;
  - reporting lines;
  - duty station(s);
  - classified level;
  - a clear statement of the tasks/functions/work to be accomplished;
  - a summary of expected results;
  - a summary of success factors against which individuals will be measured in the performance of their duties (e.g. qualities, values, competencies normally expected from the incumbent of the position); and
  - a brief description of the technical qualifications, skills and experience required from the incumbent.
- 7.2.6 The TOR/GJP shall preferably be prepared in the format outlined in Annex 7.1. To the extent possible, TOR/GJP should be generic for a given functional group and written in a language which can be fully understood by the contracted individual.

### **Determination of remuneration**

- 7.2.7 The level of a function is determined on the basis of an evaluation of the complexity and the degree of expertise required to perform a particular job.
- 7.2.8 The level of remuneration of the incumbent is determined on the basis of the level of the function and the relevant experience and qualification of the individual.

### **Vacancy announcement**

- 7.2.9 From the terms of reference, a vacancy announcement (VA) shall be prepared and published on the NBI website, local areas including the UN system and, time permitting, in the local press. Where applicable, the VA shall be based on GJPs.
- 7.2.10 The vacancy announcement shall include:
- the reference number of the vacancy announcement;
  - the closing date for applications;
  - the title, duty station, expected type and duration of contract;
  - the level of the function (if it is not possible to confirm the level at the time of posting the VA, the VA shall refer to the fact that the confirmation of the exact level of the function is pending);
  - a short description of the project background, including information on the Nile Secretariat, the World Bank and UNOPS;
  - the duties and responsibilities of the function;
  - the minimum experience and qualification, both academic and professional (a clear distinction shall be made between “minimum requirements”, the absence of which would lead to automatic disqualification of the applicant, and “additional assets”);
  - a contact person and address for the submission of applications.

A sample vacancy announcement is attached in Annex 7.2.

- 7.2.11 In general, the VA shall normally remain open for a minimum of fourteen days but can be shorter in exceptional circumstances. The absolute minimum shall be seven days. Applications received after the stipulated closing date for a specific VA shall not be considered

### **Selection process, interview panel**

- 7.2.12 After the closing date of the vacancy announcement, a shortlist of candidates, no fewer than three and no more than seven, shall be prepared on the basis of a review undertaken by the selection/interview panel comprised of at least one representative of the CBSI project. Upon completion of the short-listing process, successful applicants shall be informed accordingly and interview dates and times shall be set with reasonable advance notice.



- 7.2.13 The selection/interview panel shall ensure that the selection process is conducted with maximum transparency and fairness through an objective and competitive process and that the selected candidate meets all the minimum requirements of the job.
- 7.2.14 The panel shall discuss and agree on the evaluation criteria and the evaluation grid, including the respective weights to be assigned to each criterion. A sample evaluation grid, which may be adjusted to mirror the respective TOR, is attached in Annex 7.3.
- 7.2.15 In order to ensure fairness, candidates shall be exposed to a comparable set of questions during the interview. At the beginning of its session, prior to the actual interviews, the panel shall agree on such questions.
- 7.2.16 Panel members shall be guided in their deliberations and decision-making by the best interests of the CBSI project and shall recommend the candidate who best meets the requirements of the position as reflected in the vacancy announcement. Normally, the best candidate shall be the one who has scored the highest on the evaluation grid.
- 7.2.17 The recommendations of the panel are submitted, for final review and approval to the RPM and the Nile-SEC.
- 7.2.18 The successful candidate shall be informed in writing of the final decision. Similarly, unsuccessful candidates who were invited for an interview shall be informed in writing of the fact that their candidature was not successful. Sample letters of such notifications are attached.

### **7.3 Administration I: International SSAs**

7.3.1 International SSAs are administered by the UNOPS portfolio manager.

#### **Prerequisites for hiring**

7.3.2 The following are prerequisites for hiring:

- funds for the services or activities are available in the appropriate budget(s)/account(s) for the anticipated period of contracting;
- the TOR clearly specify the services or activities to be undertaken and the degree of expertise required, as well as the name/title of immediate supervisor;
- the candidate has provided an up-to-date curriculum vitae containing all information required including personal bio-data (family name, first/given name, nationality, and date of birth);
- the candidate has submitted a Medical Certificate of Good Health.

7.3.3 Any changes in the terms/conditions of the contract, including any extension of services, must be forwarded to the UNOPS Portfolio Manager at least three working days prior to the expiration of the SSA.

#### **Fee setting**

7.3.4 Several factors are to be considered in the determination of appropriate fees.

- (i) The principal consideration is the nature of the assignment, as set forth in the TOR/GJP, i.e. its complexity and the degree of expertise required to accomplish it.
- (ii) Also to be considered are the candidate's relevant academic qualifications and his or her professional experience.
- (iii) In order to attract high caliber consultants, the prevailing market rates for recognized specialists in the respective field of expertise are also to be considered.

7.3.5 The Portfolio Manager at UNOPS, in consultation with UNOPS DHRM, is responsible for reviewing the TOR/GJP and all pertinent elements of an assignment and for negotiating and proposing fees in line with the International Consultant Fee Ranges. The final approval is the prerogative of the UNOPS HQ Division Chief. No other party has the authority to negotiate or re-negotiate fees for international SSAs.

7.3.6 SSA personnel on assignments of longer than one month shall generally not be requested to work on any weekend of the locality where the services are provided and will not be paid during these days.

## **Evaluation Report**

- 7.3.7 The RPM is responsible to monitor the SSA personnel on an ongoing basis throughout the assignment and ensure that the requirements and outputs set forth in the TOR are being met. The RPM or the direct supervisor must prepare an evaluation of services or activities performed as compared with the requirements and specification of the TOR/GJP and, in this connection, may solicit input from any of the hierarchical supervisors of the SSA personnel. An evaluation report shall be prepared at the:
- commencement of any mandatory break;
  - end of the assignment.
- 7.3.8 Each evaluation report shall be discussed between the RPM or the direct supervisor and the SSA personnel as soon as is feasible for the former, and a copy shall be provided to the latter.

## **Travel Arrangements**

- 7.3.9 When SSA personnel is required to travel from her/his place of residence, beyond commuting distance, the cost of travel, via the most direct and economic route, daily subsistence allowance (DSA) and terminal/incidental expenses will be paid in accordance with established UN rules and practice.
- 7.3.10 DSA will be paid for periods involving nights in travel status. This allowance serves to compensate for such charges as meals, lodging and other payments made for personal services rendered. Rates are subject to reduction, which can be time-related, or in cases where room and board is provided, as per current established rules and practice.

## **Duration of contract**

- 7.3.11 SSA assignments are intended to be of limited term in nature. The maximum duration of continuous service under SSA is 11 working months. Successive assignments may be undertaken up to a maximum of 33 months in a 36 month period. However, a minimum of 30 calendar days break in service must be observed after each period of 11 working months.

## **Termination of contract**

- 7.3.12 Either party (UNOPS or the SSA holder) may terminate the SSA at any time by giving the other party notice in writing, subject to the following notice periods:
- one day for SSAs of a period of up to 14 days;
  - three days for SSAs of a period of 15 to 29 days;
  - five days for SSAs of a period of 30 days to 3 months;
  - fourteen days for SSAs of a period longer than 3 months.

7.3.13 UNOPS may immediately terminate any SSA for cause (as determined by UNOPS) which may include:

- any breach of the terms and conditions of the SSA; or
- any violation of the conduct required of SSA personnel (see below).

7.3.14 In the event that an SSA is terminated before its expiration date, as per the provisions of the preceding paragraph, the SSA personnel will be compensated on a pro-rata basis for no more than either the actual number of days worked or the percentage of output provided to the satisfaction of UNOPS. It is within UNOPS' discretion to determine upon which of the foregoing bases the pro-rata payment will be made. For the purpose of calculating pro-rata payments on the basis of the number of days worked, 21.75 working days constitute a month at those localities where a 5-day working week is observed. For localities at which the working week is comprised of other than 5 days, this standardized figure shall be adjusted accordingly. DHRM should be consulted, as and when required.

## **7.4 Administration II: Appointments of Limited Duration (ALD)**

7.4.1 International ALDs are recruited, administered and separated by UNOPS DHRM.

### **Prerequisites for hiring**

7.4.2 The following are prerequisites for hiring:

- funds for the services or activities are available in the appropriate budget(s)/account(s);
- the TOR clearly specify the services or activities to be undertaken and the degree of expertise required, as well as the name/title of immediate supervisor;
- the candidate has provided an up-to-date curriculum vitae containing all information required including personal bio-data (family name, first/given name, nationality, and date of birth);
- the ALD candidate must undergo full entry medical examination, the results of which are forwarded to the UN Medical Director for clearance (medical clearance must be obtained before the ALD candidate is able to take up the assignment);

7.4.3 The ALD staff member is responsible for obtaining any appropriate visa or working papers prior to commencing their duties. As and when necessary, the CBSI project personnel will assist the staff member.

7.4.4 The entire recruitment process for an ALD staff member usually does not take more than four weeks. During this time, the negotiation process is to be finalized and medical clearance obtained.

### **Benefits/entitlements**

7.4.5 Salary package: ALD staff members are recruited internationally at Band A3 to A5 of the ALD salary scale. Each band is divided into five quartiles from one to five. Quartile five of each band is to be used only in exceptional cases. The salary of an ALD holder is comprised of the Quartile Net Base Salary plus cost-of-living multiplier and hardship, if applicable. In addition, a discretionary amount up to 40 per cent for family composition, job complexity and qualifications and experience may be added.

7.4.6 Lump sum mobilization: A lump sum mobilization (50% prior to travel to duty station and 50% upon the staff member's separation) is paid in order to assist in meeting relocation expenses related to appointment and separation, which include shipment, insurance of personal effects, installation expenses and miscellaneous expenses such as medical examination fees, terminal expenses, passport and visa fees. The total lump sum mobilization amounts for ALD contract holders of one year and more are as follows:

- US\$12,000 (for the staff member)
- US\$15,000 (for staff member and with one recognized dependent)
- US\$18,000 (staff with two or more recognized dependents).

The additional lump sum (US\$3,000 for one recognized dependent or US\$6,000 for two or more recognized dependents) is payable only after receipt of proof of family composition.

- 7.4.7 Leave: ALD holders are entitled to annual leave of 2.5 working days per month worked (i.e., a total of 30 working days a year), sick leave up to 2 working days per month worked (i.e., a total of 24 working days per year), maternity leave (16 weeks), paternity leave (8 weeks) and adoption leave (8 weeks). Annual leave should be taken during the period of the contract. Accrued annual leave at the end of the appointment cannot be commuted to cash.
- 7.4.8 Health insurance: Starting from the date of initial appointment, ALD staff are provided with medical, hospital and dental insurance through the Van Breda medical, hospital and dental plans.
- 7.4.9 Other entitlements: Other entitlements for ALD staff assigned to non-family or hazardous duty stations may apply.

#### **Performance evaluation**

- 7.4.10 The performance of ALD staff shall be assessed by the direct supervisor on a yearly basis, or about one month before the end of the contract period. The condensed performance appraisal review (PAR) form attached in Annex 7.4 to this manual is to be utilized. The supervisor's evaluation is to be forwarded to the UNOPS portfolio manager for his / her comments.
- 7.4.11 On the basis of the outcome of the PAR, the ALD staff member may receive merit increases of up to seven per cent per year.

#### **Personnel files**

- 7.4.12 A duplicate file containing a copy of the basic documentation including leave records, performance evaluation, as well as in-country payments is maintained in the office for each staff.

#### **Contract extensions**

- 7.4.13 Extension of an ALD contract shall be forwarded to UNOPS DHRM before the end of the first week of each month, since the payroll is prepared by the 15<sup>th</sup> day of each month. This is to ensure that the staff member is maintained on the payroll, and to avoid the withholding of his/her last month's salary. With the request for extension, the staff member's PAR should be submitted.

## Separations

7.4.14 Separation takes place under the following circumstances:

- (i) Expiration of appointment. An ALD appointment expires automatically and without prior notice on the expiration date specified in the Letter of Appointment. ALD appointments do not carry any expectancy of renewal or conversion to any other type of appointment. Separation from service upon expiration of ALD appointments is not regarded as termination within the meaning of the Staff Regulations and Staff Rules.
- (ii) Resignation. A resignation within the meaning of the Staff Rules is a separation initiated by the staff member (Staff Rule 309.1). Unless otherwise specified in their Letter of Appointment, staff members recruited under the ALD contract shall give a minimum of thirty (30) days written notice of resignation.
- (iii) Abandonment of post. Abandonment of post is a separation action initiated by the staff member by way of a unilateral repudiation of the contract of employment. Neither a termination indemnity nor the remaining component of the lump sum mobilization is payable to a staff member who abandons his or her post. As there is a procedural requirement to be followed in such cases, supervisors should report unauthorized absences from duty to the Portfolio Manager and UNOPS DHRM no later than the end of the fourth day of such absence.
- (iv) Termination of appointment. Termination is the sole prerogative of the UNOPS Executive Director. If the proposal for termination of appointment is approved by the Executive Director, UNOPS DHRM will issue a notice of termination to the staff member, which will indicate the effective date of separation. A staff member whose ALD appointment is to be terminated shall be given not less than thirty days' written notice of such termination, or salary payment in lieu of such notice period (except in the instance of summary dismissal, when neither notice period nor salary payment will be granted).
- (v) Death. Upon the death of an ALD staff member, the DHRM is to be informed. DHRM is responsible for taking the necessary actions with regard to informing the concerned family members and for processing all applicable entitlements and payments.

7.4.15 A notification to separate an ALD staff member must be forwarded to UNOPS DHRM at least one month before the effective date of separation.

7.4.16 The procedures for an ALD staff member are simple and straightforward. The staff member is separated from the Pension Fund, and the coverage under Van Breda ceases on the date of separation.

## **7.5 Administration III: Local SSAs**

- 7.5.1 Local SSA contracts are administered by the CBSI project.
- 7.5.2 The provisions of section 7.3 with the exception of sub-sections 7.3.4 and 7.3.5 (fee setting) are also applicable to local SSAs and shall not be repeated.

### **Fees**

- 7.5.3 For national project personnel, remuneration will be determined according to the prevailing local market rates and may be established using, as a reference, the Nile local salary scales. Fees may be expressed on either a daily or monthly basis. For administrative simplicity, in instances where services exceed one continuous month, fees should be expressed on a monthly basis.

### **Leave**

- 7.5.4 SSA personnel are not entitled to annual or sick leave. In the event that an SSA contract holder is not able to work due to illness or otherwise, s/he should not be remunerated for that period. Prevailing local conditions may have a bearing on the application of this policy.

### **Overtime**

- 7.5.5 An individual on temporary assistance may receive compensation or be granted time off for hours worked in excess of 40 hours per week (up to a maximum of thirty hours per month), if such excess hours were worked pursuant to prior written approval by her/his supervisor indicating the number of hours to be worked. Any such overtime will be computed at a normal work rate (100 per cent).
- 7.5.6 For the purpose of computing the hourly rate, the following multipliers shall be used:
- 21.75 working days constitutes a month at those localities where a 5-day working week is observed, 24 working days at those localities where a 5.5 day working week is observed and 26 working days at those localities where a 6-day working week is observed;
  - eight (8) working hours constitutes a working day

### **Performance evaluation**

- 7.5.7 The performance of an SSA contract holder shall be assessed by the direct supervisor on a yearly basis, or about one month before the end of the contract period. The Performance Evaluation form attached in Annex 7.5 to this manual is to be utilized.



## 7.6 Administration IV: Service Contracts (SC)

7.6.1 Local SC contracts are administered by the CBSI project.

### Salary Scales

7.6.2 The salary scales established for UN staff serve as a reference point for the CBSI project SC scales. The CBSI project SC scales for each country provide for a more flexible pay range for different levels of responsibility typically found in the CBSI project.

7.6.3 Individuals on service contracts will be responsible for paying any income tax due on the basis of income earned from the CBSI project, so rates of pay in the CBSI project SC scales are established in *gross* terms. UNOPS and the CBSI project shall not be responsible for the payment or any reimbursement of income taxes or any other deductions of the gross pay other than stipulated in this manual.

7.6.4 CBSI project SC pay scales are subject to review, and shall be updated on a yearly basis by UNOPS DHRM.

7.6.5 The approach to pay SC holders is that of a lump-sum payment. The process of arriving at the amount is governed by the following principles that are to be considered at the negotiation stage:

- The CBSI PMU will review the function and its complexity so as to select or confirm the appropriate level (e.g. SC2, SC3, SC5 etc.);
- The PMU selects the appropriate gross level of pay (e.g. min., mid. or max.). Family considerations may be taken into account at this stage. Furthermore, other relevant factors such as experience may be considered at this stage.
- A final consideration is the importance of consistency of treatment across the different regions and countries of the CBSI project.

### Conditions of service

7.6.6 Social security provisions (medical, death, disability and old age benefits as well as general working conditions must be accounted for in all service contracts in line with local labor legislation and practice. *Standards will vary from country to country.*

7.6.7 The CBSI project subscribes to the country standard provisions with an exception, i.e. medical, death and disability insurance coverage are provided by UNOPS through Van Breda International.

### **Medical / death and disability insurance coverage**

- 7.6.8 All CBSI project SC holders are automatically covered through the UNOPS Van Breda International insurance at no cost to the individual with a maximum allowable reimbursement of US\$10,000 for medical per insured person, a maximum payment of US\$25,000 in case of death and US\$40,000 in case of permanent disability. UNOPS DHRM needs to be informed of the SC recruitment (starting/ending date of assignment) in order to be able to process payment of insurance premiums will be processed.
- 7.6.9 All Service Contract holders must, prior to the date of entering the scheme, obtain from a licensed medical doctor a Medical Certificate of Good Health and a chest x-ray that shows the individual to be free from signs of tuberculosis or similar chronic, debilitating diseases. At the date of commencing a service contract, the Medical Certificate of Good Health may not be older than six months. Service contract holders shall keep the Medical Certificate of Good Health and x-ray results with their personal files, and forward them to Van Breda only on the latter's request. In the event that Van Breda requests said documentation and finds it to be missing, incomplete or unsatisfactory, participation in the scheme and/or the reimbursement of medical expenses may be cancelled.
- 7.6.10 In the case of a claim, a claim form (attached in Annex 7.6) is completed by the service contract holder and submitted directly by the SC holder to Van Breda International, together with support documents (receipts, prescriptions, laboratory exams, etc).

### **Leave**

- 7.6.11 Leave records shall be maintained and kept at the PMU. Monthly attendance sheets showing the project personnel's schedule on a daily basis are completed by each individual during the first week of the following month and signed by the respective authority (sample leave record form is attached in Annex 7.7).
- 7.6.12 In addition, annual leave records serve to monitor accrued annual, sick and maternity leave, and the available balance at any time.

### **Travel (in-country or regional)**

- 7.6.13 If applicable, air tickets, daily subsistence allowance (in accordance with local practice) are provided for the SC holder.

### **Performance Evaluation**

- 7.6.14 The performance of SC holders shall be assessed by the direct supervisor on a yearly basis, or about one month before the end of the contract period. The Performance Evaluation form attached in Annex 7.8 to this manual is to be utilized.
- 7.6.15 On the basis of the outcome of the PAR, the SC holder may receive merit increases of up to two (2) per cent per year.

### **Contract extensions**

- 7.6.16 A SC may be extended, subject to the maximum contract period of five years, in any single project, provided the performance of the SC holder has been evaluated as satisfactory and any necessary changes to the terms of reference have been approved by the RPM; and provided that the services of the individual are still needed, and sufficient funds are available in the project budget.
- 7.6.17 Once the above conditions are satisfied, the PMU, in consultation with the individual's direct supervisor, may review the salary terms on the basis of performance and market conditions, and establishes the salary for the new period of service. The portfolio manager and UNOPS DHRM are to be informed of any actions taken, through a quarterly report, for appropriate recording and other statistical purposes.

### **Personnel files**

- 7.6.18 A personnel file must be created and maintained by the PMU for each new hire. The file contains all documents and information pertaining to the contract, personal information including date of birth, current address and family composition, leave records and performance evaluation.

## **7.7 Conduct**

### **Standards of conduct**

- 7.7.1 All personnel, no matter under which contractual modality employed, must adhere to the UNOPS AI/2001/1 ('Conduct in the workplace') policy shown in Annex 7.9.
- 7.7.2 During the period of their service for UNOPS, personnel must refrain from any conduct that reflects adversely on UNOPS and must not engage in any activity that is incompatible with the aims and objectives of UNOPS and the United Nations in general. All personnel must exercise the utmost discretion in all matters related to the performance of their functions.
- 7.7.3 In particular, UNOPS personnel shall:
- at all times demonstrate unbiased willingness to work together, acting in a manner which respects the dignity and worth of all colleagues regardless of race, gender, religion, color, national or ethnic origin, marital status, sexual orientation, age, physical disability or political conviction;
  - refrain from using physical or verbal expressions, in public or in private, which are or could be perceived as being biased, intolerant, intimidating or offensive;
  - not demonstrate any act of harassment, physical or verbal, in any shape or form, or any behavior that constitutes or could reasonably be interpreted as constituting harassment;
  - neither seek nor accept instructions regarding the services or activities they perform from any government or other authority external to UNOPS, unless otherwise agreed upon in writing by the Nile-SEC and specifically stated in the TOR.

### **Confidentiality**

- 7.7.4 Due to the nature and scope of the work undertaken by the CBSI project, project personnel shall not communicate at any time to the media or to any institution, person, government or other external authority, information not yet made public and which they know by reason of association with UNOPS, unless prior written authorization is obtained from UNOPS.

### **Representation**

- 7.7.5 Service Contract and SSA personnel shall not advertise or publicize their association with UNOPS nor use the name, emblem or official seal of UNOPS for business or professional purposes or otherwise without the prior written approval of UNOPS.
- 7.7.6 Service Contract and SSA personnel report to and accept instructions from the person(s) so specified in the TOR or other officials designated by UNOPS, and are not authorized to unilaterally make any commitments on behalf of UNOPS.

### **Outside interests**

- 7.7.7 Personnel should not engage in any activity that is incompatible with their duties in the project. They are required to disclose to the RPM any activity (whether conducted by them or their immediate family) which could have a negative impact, reflect adversely or be in real or apparent conflict with their duties in the project. The RPM shall consult with Nile-SEC and UNOPS prior to making a decision as to the pursuit or interruption of such activity.
- 7.7.8 Although they may vote and belong to political parties, personnel shall refrain from partisan political activity and shall not be allowed to become candidates for or accept appointments in public office.

### **Use of project facilities**

- 7.7.9 Great care shall be exercised to maintain project property and equipment in good condition and working order.
- 7.7.10 The use of project facilities or equipment for personal purposes shall be subject to approval by the RPM and/or the administrative and procurement officer.
- 7.7.11 Costs incurred in connection with such approved private use shall be reimbursed by the individual as per applicable NBI rules and practices. This concerns mainly telephone, fax and courier facilities, as well as the use of official vehicles for private purposes.

### **Disciplinary measures**

- 7.7.12 Disciplinary measures shall be carried out according to the UN Staff Regulations and Rules and established UNOPS policies and practice. In the case of ALD contract holders, particular reference is made to UN Staff Rule 310.1.
- 7.7.13 If an allegation of misconduct is made against a CBSI project personnel and UNOPS DHRM and the CBSI project so decide, the individual may be suspended from duty, without prejudice to his or her rights. Such suspension shall be with pay unless, in exceptional circumstances, suspension without pay is appropriate. The individual suspended under this paragraph shall be given a written statement of the reason for the suspension.
- 7.7.14 No disciplinary proceedings may be instituted unless the staff member has been formally notified of the allegations against him or her and of the right to seek the assistance of counsel in his or her defense and has been given a reasonable opportunity to respond to the allegations.

7.7.15 Disciplinary measures may take one or more of the following forms:

- written censure;
- suspension without pay;
- fine;
- separation from service, with or without notice or compensation in lieu of notice;
- summary dismissal.

7.7.16 CBSI project personnel have the right to appeal against any disciplinary action.

## Chapter 8. SECURITY

### 8.1 General

- 8.1.1 The primary responsibility for the security and protection of project personnel rests with the government of Uganda as host country. United Nations staff are covered within the United Nations security management system, as detailed in the Field Security Handbook, and in the information booklet entitled “Security in the Field”, both published by the Office of the United Nations Security Coordinator (UNSECOORD) - see Annex 1.6.
- 8.1.2 The UNDP Resident Representative and Resident Coordinator of the UN in Uganda is also the Designated Official (DO) for security matters. The DO is responsible for the design and implementation of a country-specific security plan, with the assistance of a Security Management Team (SMT) constituted by him/her. This plan describes the various security measures to be taken and the arrangements to be followed in the event of serious criminality or emergency situations such as hostilities, internal disorder or natural disaster. In Uganda, the DO is also assisted in this task by a Field Security Coordination Officer (FSCO).
- 8.1.3 The RPM designates one of the project staff members as the emergency coordinator for the CBSI project. Project personnel must notify the emergency coordinator of any emergency incident or changes that may need to be made to the procedures in place. The emergency coordinator acts as liaison between the project and the UN security team for all matters related to security. S/he must also inform the Nile-SEC of any incidents or significant events related to security matters. In the case of absence of the emergency coordinator, his/her designated alternate or the most senior personnel present in the office shall act as emergency coordinator.
- 8.1.4 Actions and procedures to be taken within the official security guidelines have been developed according to the following emergency phases:

Preparedness – this phase includes all activities, procedures, and systems that exist prior to an emergency incident and are used to support and enhance responses to an emergency incident. Planning and training are among the activities that are conducted under this phase.

Response – these are the actions and procedures designed to address the immediate and short-term effects at the onset of an emergency incident. Response operations are designed to reduce adverse effects on personnel, to reduce physical damage and to speed recovery. Response activities include directions and control, evacuation warnings and other similar operations.

Recovery – this phase involves restoring systems to normal status. Short-term recovery actions are undertaken to assess damages and return vital systems to minimum operating standards, and then eventually to restore facilities and systems to full capacity.

## 8.2 Precautionary measures

8.2.1 In order to be better prepared in the case of an emergency, the emergency coordinator must ensure that:

- up-to-date information and instructions on security matters are available at all times and systematically communicated to the project personnel and consultants. This includes a security briefing of international personnel by the FSCO upon arrival in the country. All personnel should have the latest versions of the Field Security Handbook, information booklet, as well as ad-hoc security instructions;
- specific procedures are developed for potential hazards that would affect only the PMU office (e.g. fire, threats, burglary, etc.), including backup of computerized files. This requires the assistance of outside specialized organizations as well as local authorities (e.g. fire and police departments);
- emergency numbers, including contacts for the FSCO and local emergency numbers, are communicated to personnel and consultants (see list in Annex 8.1);
- a list of project personnel and their eligible dependants, along with their address and phone numbers is updated at least every quarter;
- communication channels are functioning at all times. For this purpose, the RPM and the emergency coordinators may be equipped with mobile telephones as well as portable high frequency radios.

8.2.2 In addition, project personnel are required to take the following precautions:

- ensure that passports, identity cards, birth/health certificates, laissez-passer, and all other important documents are valid and available at all times;
- obtain a security clearance from the FSCO at the country of destination prior to any official travel (as per applicable UN security procedures);
- carry a small amount of cash at all times;
- make available to their home/office circle (and to the FSCO as applicable), relevant information with regards to any serious health condition (including details of attending physician, name of medication, blood group, allergies, etc.);
- prepare and keep an up-to-date inventory of personal effects;
- have emergency numbers available at all times;
- be familiar with / keep a copy of the “Security in the Field” information booklet.

8.2.3 The PMU office premises are guarded 24 hours a day by a private security company. Guards are equipped with radios and have a telephone at their disposal to allow them to notify the police or fire departments as well as the emergency coordinator in case of a problem. Access to the PMU office premises is restricted to project personnel only. In accordance with existing rules, at no time should project personnel allow persons without a visitor’s pass onto office premises.  
Project personnel should carry with them their UN identification at all times.

8.2.4 The PMU office is equipped with fire extinguishers. In addition, evacuation procedures in case of a fire are posted in the office.  
The security and safety of project personnel and property may also be threatened by hazardous or dangerous substances, as well as dangerous items, such as bombs, which can be placed and delivered through the internal mail. Annex 8.2 sets out guidelines that personnel should follow for the safe handling of mail, particularly identifying and dealing with suspicious mail and packages.



## **8.3 Emergency situations**

8.3.1 Emergency situations are classified in accordance with the nature of the situation and level of response that is required.

The actual classification will be made by the FSCO after consultation with the DO, as information becomes available on an incident. The level of response may change as more information becomes available or conditions change.

### **Levels of Emergency**

8.3.2 There are three levels of emergency.

Category I emergency incidents are any emergency incidents, potential or actual, which do not seriously affect the overall project operation and only require the organizational response mechanisms and services immediately available. The security guidelines would not normally be in effect for Category I emergencies.

Category II emergency incidents are any emergency incidents, potential or actual, which can affect the entire building, and/or the personnel-at-large, and require the trigger of organizational response mechanisms and services in addition to those immediately available in normal circumstances. The security guidelines must be followed for Category II emergencies.

Disasters are emergency incidents which have seriously impaired or halted project operations and/or involve damage to persons or severe damage to property, and may require organizational services from outside.

### **Types of emergency situations**

8.3.3 It is recognized that it would be impossible to anticipate all emergency incidents. Not only would these vary in nature, but also, in some cases, potential emergency incidents are directly related to circumstances, such as location, specific to office building premises, etc. Thus, the emergency incidents described below do not attempt to be exhaustive in nature but to cover threats that might potentially affect the PMU location. All notifications of an emergency incident will be made both to the emergency coordinator (or, if not reachable, directly to the FSCO) and to the relevant local authorities.

8.3.4 “PMU” emergencies are incidents that are limited to the project management unit office or project personnel. They are handled by the emergency coordinator, with the assistance of local authorities as needed, such as the Police Department and the Fire Department. The emergency coordinator should immediately inform the FSCO and DO at the onset of an emergency situation.

S/he is empowered to direct the activities of project personnel and commit project equipment and facilities for the duration of the emergency, if necessary. S/he is also responsible for providing corrective and protective actions during and after the incident.

If the incident occurs in the workplace, personnel are asked to remain calm and carefully follow the instructions from the emergency coordinator or his/her designee as to the steps to be taken, which may extend to, as appropriate, the evacuation of premises.

8.3.5 “PMU” emergencies include the following, which may potentially lead to adverse effects on project personnel and/or property damage:

- fire
- threats or attacks on persons or property
- hazardous materials
- transportation accidents or emergencies
- serious health incidents or emergencies.

Fires and certain threats (e.g. bomb threats, biological agent threats) may lead to the declaration of a Category II emergency or disaster, depending on the gravity of the situation. Annex 8.3 contains detailed guidelines for actions that should be taken by personnel in the event of a fire, bomb threat, or biological agent threat, as well as detailed staff safety and security measures for handling such incidents.

The majority of threats are called in to an office. Annex 8.4 contains detailed guidelines for actions that should be taken by personnel in the event of a phone threat, with particular reference to actions to be taken in the event of a telephone bomb threat.

8.3.6 “General” emergencies are situations that affect the entire country, area or city. They are exclusively handled by the DO and FSCO, with the assistance of the emergency coordinator for the CBSI PMU.

General emergencies include the following, which may potentially lead to adverse effects on project personnel and/or property damage:

- severe weather
- natural disasters (earthquakes, floods, etc.)
- hostilities
- internal disorders such as civil unrest.

- 8.3.7 In the case of general emergencies, and depending on the gravity of the situation, a UN security phase may have to be declared. There are five specific security phases:
- Phase One (precautionary) and Phase Two (restricted movement) may be declared by the DO at his/her own discretion, following consultation with the SMT; UNSECOORD must be notified accordingly;
  - Phase Three (relocation) and Phase Four (program suspension) may only be declared by the DO with the authorization of UNSECOORD;
  - Phase Five (evacuation) will only be declared by the DO when the authorization from the UN Secretary-General has been obtained through UNSECOORD.

Instructions to follow under each phase for both internationally and locally recruited personnel are described in detail in the Field Security Handbook.

- 8.3.8 There may be instances in which a “general” emergency will affect travel (outgoing and incoming missions), particularly during security phases. Personnel may need to suspend missions or extend their stay until transport facilities are returned to normal status. In such cases, personnel should discuss with the RPM whether or not missions are essential. Non-essential missions should be temporarily suspended or postponed. Only essential travel will be authorized, and a security clearance will be obtained from the DO prior to returning to the country.

- 8.3.9 Personal security issues for UN staff members (e.g. kidnapping, airline hijacking, assault & robbery, rape, etc.) are dealt with in detail in the Field Security information booklet.

## Chapter 9. INFORMATION TECHNOLOGY / COMMUNICATIONS

### 9.1 Information Technology equipment

#### NBI standards and policy for IT equipment

9.1.1 In accordance with necessities of service, CBSI project personnel are provided with IT equipment in order to support project activities in an efficient manner.

This equipment includes:

- Computer hardware: desktop computers, laptop computers, laser printers, scanners, CD writers, UPS units, back-up devices and video projectors.
- Computer software: standard Microsoft® office suite (including Word, Excel, Access and PowerPoint), data compression, anti-virus and imaging software (such as Acrobat Reader®). In addition, specialized software/database applications may be provided as required to support specific functions including finance/accounting, procurement, archiving, capital assets management, database management and knowledge management (KM) as needed.

The specifications for the computer hardware and software are detailed in Annex 9.1 and are reviewed regularly so as to ensure the use of up-to-date equipment as well as consistency in the equipment specifications used within the project.

9.1.2 All project personnel (except for the driver), including decentralized staff in sub-regional offices, national project coordinators and national office mid-level professionals, are assigned a desktop computer and UPS unit. The computers are set-up in a local area network so as to facilitate the sharing of data and common equipment such as laser printers and back-up devices. Access to all PCs is protected by passwords which must be changed by the individual users on a regular basis so as to protect the confidentiality of their passwords.

Those staff members who are required to travel frequently as part of their work (i.e. the RPM, the public information specialists and the stakeholder/confidence building specialists) may each be assigned a laptop (or have a laptop sharing arrangement) in addition to their desktop computer.

9.1.3 The use of project IT equipment by the project personnel constitutes agreement to the policies and standards contained in the NBI Information Management policy (see Annex 9.2).

The CBSI project permits limited personal use of project IT equipment insofar as such use does not interfere with the performance of official duties, violate the terms of the Information Management policy or generate costs to the project.

9.1.4 Non-project personnel (for example, consultants, partners, etc.) may only be given access to project IT equipment with appropriate supervision. Non-project personnel must only use those tools for the purpose of supporting project activities and in accordance with the Information Management policy.

9.1.5 If project personnel use, or allow non-project personnel to use IT tools in contravention of the Information Management policy, and that use results in a financial loss to the project or its partners, then the project personnel responsible for that loss may be held personally liable for such consequences.

## **Backup of project files**

- 9.1.6 The project IT network backup system is set up so that the essential data stored on the hard disks of all desktop computers (e.g. finance/accounting, procurement, archiving, capital assets management, database management and KM) are automatically backed up to the server every evening.  
This allows for daily on-site saving of all working files.
- 9.1.7 Project personnel are required to make a copy of their most important files onto a shared drive every Thursday by noon. A copy of the various database systems is also made to the shared drive by the SVP CP Information Management Specialist (IMS). These files are then transferred on backup tapes that are kept at the UNDP office, which serves as the off-site backup location for the project. The IMS is responsible for delivering the new backup tapes to the UNDP office each Thursday before close of business, and retrieving the preceding week's tapes.  
This allows for quick recovery of project files and systems in the case of a "PMU" emergency or disaster situation.
- 9.1.8 Decentralized staff and national project coordinators are required to make their own daily back-up on an external backup device such as a Jaz® drive or flash drive. In addition, they are required to send important files to the IMS each Thursday using FTP (File Transfer Protocol) or the Intranet. This enables integration with the PMU files for purposes of the weekly off-site backup.

## **Storage of archives**

- 9.1.9 In order to facilitate the storage of records and archives, a simple documents management system (DMS) is installed at the PMU with a dedicated server and storage unit. This system allows the electronic filing and management of project records/archives by subject as well as chronological order. It contains an electronic library for each file category (i.e. operations, finance, procurement, personnel, administration, and IT).  
Documents containing a signature are scanned and saved under Acrobat reader®, while other files are saved in their original form (e.g. Word or Excel). The documents and files to be archived are imported into the system and then the following required information is entered:
- subject and date of the file or document;
  - name of the issuer (person and/or organization);
  - record classification (permanent, temporary) and retention period if applicable.
- 9.1.10 The office assistant is responsible for the input of archive items into the DMS library for which s/he has authorized access, under the supervision of the public information and stakeholder/confidence building specialists (for operations files), the administrative and procurement officer (for finance, procurement, personnel, administration and IT files) and the RPM (for all files). Project personnel may retrieve files from certain DMS libraries, based on the level of authorization granted to them.  
The files and the data contained in the DMS are saved daily onto the server and monthly on backup tapes. The tapes are forwarded to the Nile-SEC at the end of each month for storage. This allows for business continuity in the case of a "general" emergency or disaster situation.

## 9.2 Communications equipment

- 9.2.1 The project is equipped with communications tools designed to support project activities and facilitate communication and exchange within the project, the SVP and other partners. Project communications equipment is made available to all staff, including at the sub-regional and national levels, and may include:
- Telecommunication systems: telephone system, mobile telephones, fax, high-frequency radios, video conference system, satellite connection if necessary.
  - Electronic communication systems: intranet system, email accounts and internet access facilities.

The specifications for the communications hardware and software are detailed in Annex 9.1.

- 9.2.2 All project personnel (except for the driver) have an office telephone with local access. In addition, they each have e-mail accounts and internet access through the individual desktop and laptop computers. Remote access to these facilities is set up for the national project coordinators and mid-level professionals. The project website and SVP intranet are described briefly in Chapter 2 of this manual (paragraph 2.4.10). Due to the nature of their work, the driver and the RPM may be equipped with mobile telephones.

For security reasons, the RPM and the designated emergency coordinator may each have a portable high-frequency radio.

- 9.2.3 The RPM, where s/he considers it necessary, allocates project personnel with a personnel authorization code (PAC) so they may have long distance telephone access. At the end of each month, personnel are required to identify personal and official calls on the individualized telephone bills. Personnel are required to protect the confidentiality of their PAC, as they are accountable for all calls made through use of that code.

Project personnel are required to reimburse the project for personal calls in accordance with the policy on the use of telephones attached in Annex 9.3.

- 9.2.4 The use of project communications equipment by the project personnel constitutes agreement to the policies and standards contained in the NBI Information Management policy (see Annex 9.2). The CBSI project permits limited personal use of project communications equipment insofar as such use does not interfere with the performance of official duties, violate the terms of the Information Management policy or generate costs to the project.

## **9.3 Training and maintenance**

### **Training on IT/Communications**

- 9.3.1 The SVP CP Information Management Specialist is responsible for training project personnel on the use of IT and communications equipment. Training sessions on standard office software such as Word, Excel and PowerPoint are organized by the IMS as part of the annual personnel training plan. These sessions are intended to help the personnel acquire a better command of these frequently used applications, and as a result, reduce their need for assistance from the IMS.

In the case of specialized applications, training is provided by the vendor. The IMS should attend such training so as to be able to provide the user support once the applications are running.

The IMS is in charge of training project personnel on internet access facilities and the use of the intranet and e-mail.

Decentralized staff, national project coordinators and mid-level professionals are required to participate in these training sessions to the extent possible.

### **Maintenance of equipment**

- 9.3.2 The routine maintenance of the project's IT and communications equipment is conducted by the IMS, who is also responsible for:
- the administration of the network
  - troubleshooting on hardware and software.

Whenever IT or communications equipment needs repair, or if an application is not functioning properly, the IMS should be called for initial troubleshooting. If the equipment cannot be repaired in-house, s/he refers the matter to the administrative and procurement officer who makes the decision on whether to have the equipment repaired. The services of an external IT supplier/service provider are sought through a competitive selection process as specified in Chapter 4. If needed, the IMS must complete a temporary removal of asset form, have it approved by the administrative and procurement officer, and transmit it to the Office Assistant for inventory tracking purposes.

The IMS is responsible for the follow-up on equipment repairs.

**NILE BASIN INITIATIVE  
SHARED VISION PROGRAM**

**CONFIDENCE BUILDING AND STAKEHOLDER  
INVOLVEMENT PROJECT**

**ANNEXES TO THE PROJECT IMPLEMENTATION  
MANUAL**



## ANNEX 1.1 PROJECT FUNDING OVERVIEW<sup>11</sup>

(Figures in thousands of US dollars)

Project component	Initial project (NBTF)	Full project
1. Regional / sub-regional / national implementation and facilitation	2,281.6	7,702.6
2. Public information	519.7	1,414.0
3. Stakeholder involvement	408.2	1,188.5
4. Confidence building*	683.2	1,913.5
<b>Subtotal components</b>	<b>3,892.7</b>	<b>12,218.6</b>
PSA service fee	311.4	966.2
Physical contingencies	162.2	535.5
Price contingencies	186.5	1,038.3
<b>Total NBTF project costs</b>	<b>4,552.8</b>	<b>14,758.6</b>
Government contributions (in-kind)	191.8	455.3
<b>TOTAL PROJECT COSTS</b>	<b>4,744.6</b>	<b>15,213.9</b>

\* Including PSA service fee.

**NBTF:** Nile Basin Trust Fund (World Bank managed funds)

**Nile countries:** in-kind contributions from recipient governments

**PSA:** Project Services Agency

<sup>11</sup> Source : World Bank project appraisal document (PAD)

## ANNEX 1.2 PROJECT PARTNERS AND CONTACTS

*To be completed*

ORGANIZATION	CONTACT
<b>Nile Basin Initiative (NBI)</b>	
NBI Secretariat	Mr. Meraji Msuya, Executive Director
PO Box 192, Entebbe, Uganda	
Tel. +256-41 32 13 29 Fax +256-41 32 09 71	Email: <a href="mailto:nbisec@nilesec.org">nbisec@nilesec.org</a>
<a href="http://www.nilesec.org">www.nilesec.org</a>	
<b>Shared Vision Program Coordination Project</b>	Ms. Hamere Wondimu, Sr Program Officer
Same address, telephone and fax as above	Email: <a href="mailto:hwondimu@nilesec.org">hwondimu@nilesec.org</a>
<b>Funding organizations</b>	
The World Bank	Ms. Sarah Keener, Task team leader
1818 H Street, NW, Washington, DC 20433, USA	Mr. J.B. Collier, Operations Officer
Tel. +1-202-473 2451 Fax +1-202-473 8301	Email: <a href="mailto:skeener@worldbank.org">skeener@worldbank.org</a>
<a href="http://www.worldbank.org">www.worldbank.org</a>	Email: <a href="mailto:jcollier@worldbank.org">jcollier@worldbank.org</a>
<b>Project Services Agency</b>	
<b>UNOPS HQ</b>	Ms. or Mr. xxxx, Division Chief
The Chrysler Building, 405 Lexington Avenue	Environmental Programs division
New York, NY 10174, USA	Email: <a href="mailto:divisionchief@unops.org">divisionchief@unops.org</a>
Tel. +1-212-457 1880 Fax +1-212-457 4044	Ms. Katherin Topar-Michon, Portfolio Manager
<a href="http://www.unops.org">www.unops.org</a>	Email: <a href="mailto:KatherinTM@unops.org">KatherinTM@unops.org</a>
<b>UNOPS NBIU (Entebbe)</b>	Ms. Merlin Udho, Senior advisor
	Email: <a href="mailto:merlinu@nilesec.org">merlinu@nilesec.org</a>
<b>Project Steering Committee</b>	
Senior sector representatives	
Nile-TAC member from Uganda	
Nile-SEC representative (NBI Office)	
<b>Host Country</b>	
Ministry of Water, Lands and Environment	Ms./Mr. Xxxx
	Minister
Kampala, Uganda	
Tel. +256- Fax +256-	Email:
<b>UNDP Kampala</b>	M. Daouda Touré
UN House – 15B Clement Hill Road	Resident Representative and UN R.C.
Kampala, Uganda – PO Box 7184	
Tel. +256-41 23 34 40 to 2 Fax +256-41 34 48 01	Email: <a href="mailto:daouda.toure@undp.org">daouda.toure@undp.org</a>
<a href="http://undp.or.ug">http://undp.or.ug</a>	

**ANNEX 1.2 (cont'd)**  
**PROJECT PARTNERS AND CONTACTS**  
*To be completed*

ORGANIZATION	CONTACT
<b>National Project Coordinators</b>	
Burundi	
Democratic Republic of Congo	
Egypt	
Ethiopia	
Kenya	
Rwanda	
Sudan	
Tanzania	
Uganda	
<b>NGOs</b>	
<b>Communications and media consulting firms</b>	
Public opinion research	
Media monitoring services	
<b>Suppliers</b>	
Auditors	
Bank	
Travel agency	
Courier service	
Insurance companies	
Medical insurance: J. Van Breda & Co. International	
Plantin & Moretuslei 295, B-2200 Antwerp, Belgium	
Car insurance	
Vehicle maintenance and fuel	
Equipment maintenance	

<b>ANNEX 1.2 (cont'd)</b> <b>PROJECT PARTNERS AND CONTACTS</b> <i>To be completed</i>	
<b>ORGANIZATION</b>	<b>CONTACT</b>
<b>Suppliers</b>	
Building maintenance/cleaning	
Security	

## ANNEX 1.3 PROJECT BASIC DATA

*To be completed*

**Project title:** Confidence Building and Stakeholder Involvement project  
**Implementation period:** Initial project: 3 years – Full project: 6 years  
**Participating countries:** Burundi, DR Congo, Egypt, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, Uganda

**World Bank project ID:** PO75948 (Watershed Management and Poverty Reduction sector)  
**UNOPS award number:** 0003xxxx (project /component # 0003-xxxx, xxxx, xxxx and xxxx)

**Project address:** c/o NBI Secretariat  
PO Box 192  
Entebbe, Uganda

**Telephone number:** +256 – 41  
**Fax number:** +256 – 41

**Website:** to be developed  
**Email:** to be developed

**Contacts:**

Project management Unit XXX  
Regional project manager  
Email:

XXX  
Administrative & procurement officer  
Email:

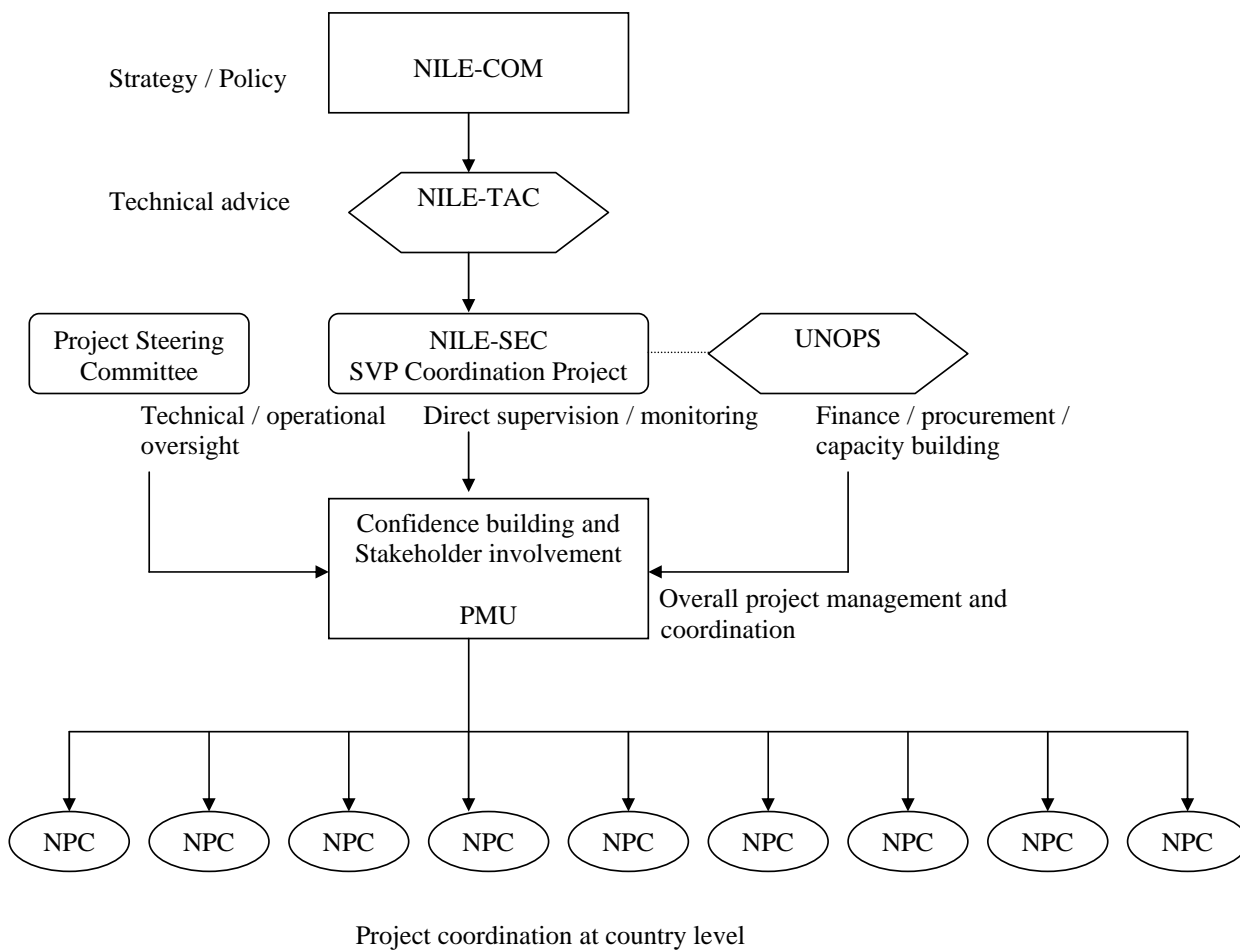
SVP Coordination Project Ms. Hamere Wondimu  
Senior Program Officer/ SVP Coordinator  
Email: [hwondimu@nilesec.org](mailto:hwondimu@nilesec.org)

UNOPS Ms. or Mr. xxxx  
Chief, Environmental Programs Division  
Email: [divisionchief@unops.org](mailto:divisionchief@unops.org)

Ms. Katherin Topar-Michon  
Portfolio Manager  
Email: [KatherinTM@unops.org](mailto:KatherinTM@unops.org)

Ms. Merlin Udho  
UNOPS senior advisor  
Email: [merlinu@nilesec.org](mailto:merlinu@nilesec.org)

**ANNEX 1.4**  
**OVERALL PROJECT STRUCTURE**



**ANNEX 1.5**  
**KEY PERFORMANCE INDICATORS**

*From CBSI PIP(Annex A)*

PROJECT COMPONENT	PERFORMANCE INDICATORS
NBI level	<ul style="list-style-type: none"> <li>• Increasing levels of regional cooperation and coordination through the SVP thematic projects</li> </ul>
Overall project level	<ul style="list-style-type: none"> <li>• Increased awareness and understanding of the NBI</li> <li>• Strengthened partnerships within riparian countries</li> <li>• Increased trust across the region and support for regional cooperation under the NBI</li> </ul>
<p><b>Component 1: Implementation &amp; facilitation</b></p> <p>1.1 Project set-up</p> <p>1.2 Regional coordination within PMU</p> <p>1.3 Regional management within PMU</p> <p>1.4 Country level contributions</p>	<ul style="list-style-type: none"> <li>• PSC, PMU and national offices set-up and functioning</li> <li>• Effective communication between PMU, SAP and national office staff through NBI network and internet</li> <li>• Project across the NBI use information from CBSI databases</li> <li>• Guidance/coordination from PSC and national coordinator meetings</li> <li>• Increased project efficiency and effectiveness through M&amp;E</li> <li>• Effective information sharing and coordination with other SVP and SAP projects</li> <li>• Increased capacity and effectiveness of strategic planning</li> <li>• Understanding of project goals/objectives by project staff</li> <li>• Effective program implementation by decentralized staff</li> <li>• Program improvement through reporting and analysis</li> <li>• Effective running of draw-down facility</li> <li>• Effective country coordination with SVP/SAP projects</li> <li>• National offices contribution to M&amp;E</li> <li>• Increased capacity and effectiveness of strategic planning and project implementation at national level</li> <li>• Program improvement through reporting and analysis</li> </ul>
<p><b>Component 2: Public information</b></p> <p>2.1 Regional PMU role in public information</p>	<ul style="list-style-type: none"> <li>• Implementation of effective sub-regional communications strategies</li> <li>• Baseline research, media monitoring and up-to-date project materials available on NBI website for SVP/SAP projects use</li> <li>• Production of information kits in 5 basin languages</li> <li>• Publication of NBI newsletter for key stakeholder groups</li> <li>• Production of theater, radio, TV shows on NBI related issues</li> <li>• Generation of positive media coverage through various events</li> <li>• Training on communication to build capacity of project, government and NGO staff</li> <li>• Effective communication of SAP messages to key audiences</li> </ul>

**ANNEX 1.5 (cont'd)**  
**KEY PERFORMANCE INDICATORS**

PROJECT COMPONENT	PERFORMANCE INDICATORS
<p><b>Component 2: Public information</b>            2.2 Public awareness at country level</p> <p>2.3 Public information support at country level</p> <p>2.4 Public information training and advisory services on demand</p>	<ul style="list-style-type: none"> <li>• Implementation of effective national communications strategies</li> <li>• Stakeholder groups are better informed and more supportive of NBI initiatives</li> <li>• Increased effectiveness of national M&amp;E with media monitoring</li> <li>• Public information materials support stakeholder involvement and confidence building project components</li> <li>• Positive media coverage resulting from national office assistance to SVP and SAP projects</li> <li>• Increased capacity in communications due to training and advice to NBI, ministries and SVP/SAP projects</li> </ul>
<p><b>Component 3: Stakeholder Involvement</b>            3.1 Regional PMU contributions to stakeholder involvement</p> <p>3.2 Situation analysis of country participation activity</p> <p>3.3 Strengthen participation policy and practice</p> <p>3.4 Support development of formal stakeholder engagement</p> <p>3.5 Establish networks of stakeholder forums</p>	<ul style="list-style-type: none"> <li>• Increased complementarity of regional and national programs</li> <li>• Innovative methods to expand stakeholder involvement</li> <li>• Increased awareness of participation as a policy issue</li> <li>• Increased awareness within NBI of ongoing participation programs</li> <li>• Increased awareness within CBSI and NBI of critical gaps in country participation action</li> <li>• Identified gaps that diminish participation are addressed</li> <li>• Increase quantity and quality of participation practice among NBI related ministries</li> <li>• SAP programs adopt substantive approaches to participation</li> <li>• Increased interest from NGOs and civil society to work as partners (not just as beneficiaries) with governments</li> <li>• Workshops held to discuss differences of impact between ad-hoc and systemized stakeholder engagement</li> <li>• Establishment of formal mechanisms for participation between national governments and civil societies</li> <li>• Increased interest in standardization of formal mechanisms for participation across the region</li> <li>• Establishment of stakeholder forums and viable networks</li> <li>• Increased use of four-point participation approach for effective problem solving by NBI, ministries, SVP and SAP</li> <li>• Collaboratively defined contributions to more equitable development and poverty reduction</li> <li>• Increased consideration and use of forum solutions</li> </ul>



**ANNEX 1.5 (cont'd)**  
**KEY PERFORMANCE INDICATORS**

<p><b>Component 4: Confidence Building</b></p>	
<p>4.1 Regional PMU contributions to confidence building</p>	<ul style="list-style-type: none"> <li>• Procedures for selection/funding of draw-down proposals facilitating quick, efficient action</li> <li>• Support to bi-annual Nile Conference increases external funding and expansion of event</li> <li>• Workshops that identify success/achievements lead to further initiatives on more difficult issues</li> </ul>
<p>4.2 Sub-regional and national planning for confidence building</p>	<ul style="list-style-type: none"> <li>• Sub-regional and national planning process established for CBSI staff</li> <li>• Funding for confidence building increased by funding partners</li> </ul>
<p>4.3 Sub-regional and national efforts to build confidence and trust among the parties</p>	<ul style="list-style-type: none"> <li>• Exchanges, field trips and tours change ideas and build personal relations among groups from neighboring countries</li> <li>• Increased societal support to NBI through linking of confidence building activity with societal values</li> <li>• Increased media coverage on societal support and compacts needed to expand NBI success</li> <li>• Sub-regional and national confidence building festivals enhance belief on rationality of cooperation</li> </ul>
<p>4.4 Building confidence in the task</p>	<ul style="list-style-type: none"> <li>• Easier technical initiatives are easily solved (success widely disseminated)</li> <li>• Increased willingness of government and NBI projects to take on the more difficult issues</li> <li>• Increased funding from outside partners as success expands</li> </ul>
<p>4.5 Confidence building training and advisory services</p>	<ul style="list-style-type: none"> <li>• Increasing number of training programs requested</li> <li>• More substantive confidence building approaches subsequently utilized in sub-regional initiatives</li> </ul>

## **ANNEX 1.6**

### **REFERENCE DOCUMENTS AND OTHER INFORMATION**

#### **DOCUMENTS**

##### **General documentation**

NBI Act 2002  
WB grant agreement  
NBTF donor grant agreements  
UNOPS management services agreement  
WB project appraisal document for CBSI project  
WB master project appraisal document for SVP  
NBI project implementation plan for CBSI project

##### **Administration and Personnel**

UNOPS Handbook  
UN Field Security Handbook  
Security in the Field (information booklet)  
UNOPS ALD guidelines (Activities of Limited Duration)  
UNOPS SC guidelines (Service Contract)  
UNOPS SSA guidelines (Special Service Agreement)  
UN Staff Rules (300 series)

##### **Finance**

UNOPS Financial Regulations and Rules  
UNOPS guidelines for imprest accounts and project petty cash  
Donor agencies' financing agreements  
WB Financial Monitoring Reporting guidelines  
WB guidelines for Procurement under IBRD loans and IDA credits  
WB guidelines for Selection and Employment of Consultants by World Bank Borrowers  
WB Standard Bidding Documents and Requests for Proposal  
UNOPS procurement guidelines

#### **WEBSITES**

UN exchange rates: [www.gopher.undp.org/00/uncurr/exchrates](http://www.gopher.undp.org/00/uncurr/exchrates)<sup>12</sup>  
Daily Subsistence Allowance (DSA) rates: [www.intra.undp.org/travel/anx9909.rtf](http://www.intra.undp.org/travel/anx9909.rtf)  
UN Development Business: [www.devbusiness.org](http://www.devbusiness.org)<sup>17</sup>  
UN Common Suppliers Database: [www.uncsd.org](http://www.uncsd.org)  
WB procurement guidelines: [www.worldbank.org/html/opr/procure/guidelin.html](http://www.worldbank.org/html/opr/procure/guidelin.html)  
UN Security Coordination office: [www.un.org](http://www.un.org)  
UNOPS intranet: [www.unops.org/intra.html](http://www.unops.org/intra.html)  
UNDP: [www.undp.org](http://www.undp.org)  
(For 1946 Convention on the Privileges and Immunities of the United Nations, and the Standard Basic Assistance Agreement for Uganda)  
NBI: [www.nilebasin.org](http://www.nilebasin.org)  
SVP intranet: to be developed

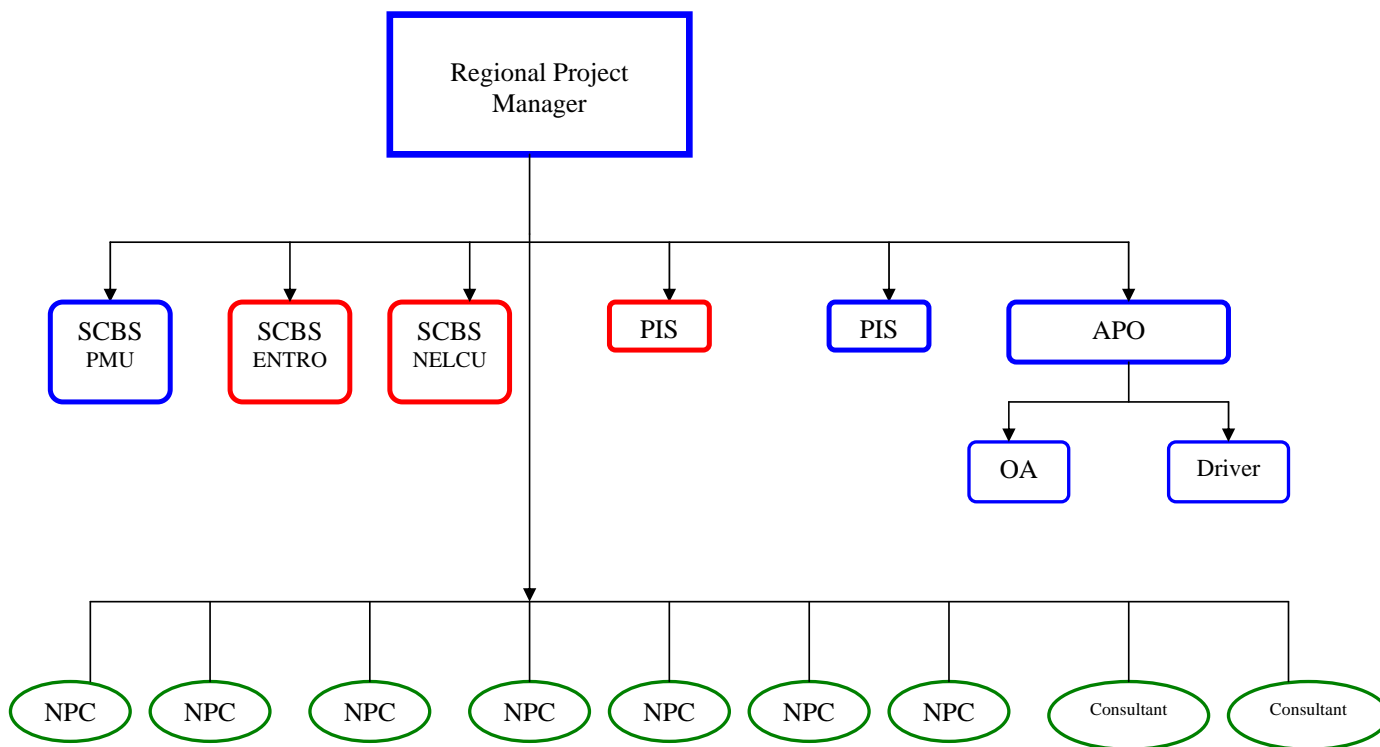
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<sup>12</sup> Login and password to be provided to the PMU by UNOPS HQ.

**ANNEX 1.7**  
**HOST COUNTRY AGREEMENT (UGANDA/NBI)**

*To be established*

**ANNEX 2.1  
PROJECT ORGANIZATIONAL CHART**



**Regional (PMU) level**

**Sub-regional (ENSAP/NELSAP) level**

**National level**

→ Reporting relationship

- PIS: Public information specialist
- SCBS: Stakeholder/confidence building specialist
- APO: Administrative and procurement officer
- OA: Office assistant
- NPC: National project coordinators (country level)

*Note: Both Public Information Specialists (PIS) are physically based at the PMU but devote 50% of their on regional activities and 50% on sub-regional activities.*

## **ANNEX 2.2**

### **RESPONSIBILITIES OF SUPPORT STAFF**

#### **Office assistant**

- organization of workshops and meetings
- RPM agenda, telephone calls and correspondence
- records and file management
- maintenance of directory for project contacts/partners
- handling of visitors and incoming/outgoing telephone calls and faxes
- recording and sorting of mail, faxes and other correspondence
- assistance in general office administration
- preparation of travel plan and travel administration for staff and consultants
- monitoring of non-expendable assets inventory system and maintenance
- assistance in preparation of personnel workplan
- assistance in the recruitment of local staff and consultants and personnel administration
- monitoring of official vehicles (fuel, maintenance, vehicle log, drivers' schedule)

#### **Drivers**

- driving official vehicle
- monitoring of official vehicle maintenance and technical visit programs
- running official errands
- distribution of faxes, mail and other correspondence or packages
- photocopies
- assistance in general office administration

## **ANNEX 2.3**

### **RECORDS CLASSIFICATION**

#### **A. Permanent records – to be retained indefinitely**

- Project appraisal document
- Management services agreement
- NBTF grant agreement
- Project implementation plan
- Host country agreements and documents
- Delegations of authority
- Regulations, rules, policies and guidelines
- Reference manuals
- Annual audited financial statements

#### **B. Temporary records – to be retained up to 5 years after project completion**

- Annual workplans
- Annual budgets
- Personnel plans
- General personnel file
- Individual personnel files (10 years after end of service)
- Procurement cases
- Fixed assets files
- Travel plans
- Travel authorizations
- Imprest returns
- Financial monitoring reports
- Bank statements
- Check stubs
- DSA rates
- Exchange rates
- Technical reports and studies
- Progress reports
- Vehicle logs and records
- Logs for faxes and other correspondence

#### **C. Non-records – to be deleted after completion of the related action**

- Routine correspondence
- Internal memos and emails (except when issued as policy or guideline)
- Temporary removal of asset forms

## ANNEX 2.4

### SVP FILING SYSTEM

Subject	File classification <sup>13</sup>
<b>General/Legal Documents</b>	<b>GEN</b>
Filing master list	GEN 100
Project appraisal document (WB)	GEN 110
Project document (UNDP)	GEN 120
NBTF agreement	GEN 130
Donor agencies financing agreements	GEN 140 et al.
UNOPS Management Services Agreement	GEN 150
Privileges and Immunities (host country agreement)	GEN 160
Project implementation plan	GEN 200
Delegations of authority	GEN 300
Certifying and approving officers	GEN 310
Reports on delegation of authority	GEN 320/yy/m
Project correspondence	GEN 400/yy/x
NBI documents and correspondence	GEN 410/yy/x
Donor agencies documents and correspondence	GEN 420/yy/x
Partner Governments documents and correspondence	GEN 430/yy/x
Partner NGOs documents and correspondence	GEN 440/yy/x
Media/research institutes documents and correspondence	GEN 450/yy/x
Other partners' documents and correspondence	GEN 460/yy/x
Meeting minutes	GEN 500/yy
CBSI publications (general information)	GEN 600
<b>Administration</b>	<b>ADM</b>
Administrative policies circulars/memos	ADM 100/yy/x
Contracts register	ADM 200
Suppliers' contracts	ADM 210/x
Insurance files	ADM 300
Annual travel plan	ADM 400/yy
Staff travel files	ADM 410/yy/x
List of UNCCS codes	ADM 500
Assets register	ADM 510/yy
Annual inventory	ADM 520/yy
Equipment list by location	ADM 530/x
Equipment on loan	ADM 540/x
Assets disposal forms	ADM 550/x
Vehicle logs	ADM 600/yy/x
Vehicle history records	ADM 650/yy/x

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<sup>13</sup> X represents a sequential number or name to identify documents in the same category  
 YY represents the last 2 digits of the year to which the document relates  
 M represents the month in the year and Q the quarter.

## **ANNEX 2.4 (cont'd)**

### **SVP FILING SYSTEM**

<b>Subject</b>	<b>File classification</b>
<b>Personnel</b>	<b>PER</b>
Personnel policies circulars/memos	PER 100/yy/x
Annual personnel plan	PER 200/yy
Staff selection files (by post)	PER 300/x
Individual personnel files	PER 400/x
Consultants files	PER 500/x
<b>Finance</b>	<b>FIN</b>
Financial policies circulars/memos	FIN 100/yy/x
Component codes and budget lines	FIN 110
Bank details (including signatories and signature specimen)	FIN 200
Annual budgets and revisions	FIN 300/yy/q
Monthly budget worksheets	FIN 310/yy/m/x
Monthly expenditure reports by component	FIN 320/yy/m/x
Monthly budget-to-actual statement	FIN330/yy/m
Annual procurement plan	FIN 400/yy
Procurement files	FIN 410/x
Imprest account returns (including petty cash)	FIN 500/yy/m
Obligation logs	FIN 510/yy/m/x
Payment authorizations to UNDP offices	FIN 520/yy/x
Payment authorizations to other UNOPS offices	FIN 530/yy/x
UNOPS ledger reports	FIN 600/yy/m
UNDP expenditure reports	FIN 610/yy/m
Financial Monitoring Reports (quarterly)	FIN 700/yy/q
Project delivery reports (quarterly)	FIN 800/yy/q
Annual financial statements	FIN 900/yy
Audit reports	FIN 950/yy
<b>Operations</b>	<b>OPS</b>
Annual workplan	OPS 100/yy
Individual activity files (description of activity, budget, financial and technical reports)	OPS 200/yy/x
Research/technical reports	OPS 300/yy/x
Workshop documentation	OPS 400/x
Training documentation	OPS 500/x
Supervision mission reports	OPS 600/yy/x
Monitoring & evaluation reports	OPS 700/yy/x
Other review reports	OPS 800/yy/x



**ANNEX 2.5**

**NBI**  
Nile Basin Initiative **LOGO** Initiative du Bassin du Nil

<b>1. PROJECT TITLE</b>	<b>TRAVEL AUTHORIZATION</b> <i>This is to authorize the traveler(s) to undertake the travel described below in accordance with the itinerary and authorized entitlements.</i>	<b>2. AUTHORIZATION NO.</b>	
Project code		YEAR	TYPE OF TRAVEL
Budget Line			Prepared by

<b>3. NAME &amp; INDEX</b>	<b>4. TITLE &amp; GRADE</b>	<b>5. NATIONALITY</b>	<b>6. OFFICIAL DUTY STATION</b>
----------------------------	-----------------------------	-----------------------	---------------------------------

**7. Traveler to be contacted at (for consultants or visitors):**

Address \_\_\_\_\_ Email \_\_\_\_\_

Phone number \_\_\_\_\_

<b>8. PURPOSE OF TRAVEL</b>	<b>9. AUTHORIZED BAGGAGE</b> Accompanied excess baggage By air.....Weight.....Kgs. Air Freight Shipment.....Kgs.  Surface Shipment.....Kgs.  (Or Volume _____ Cu. Ft.) Insurance coverage (Unaccompanied (baggage only) _____ US\$ _____
-----------------------------	--

<b>10. ITINERARY, MODE(S) OF TRAVEL (by Air Economy Class unless otherwise indicated) AND STANDARDS OF ACCOMMODATION:</b> a) Itinerary authorized: _____ Departure date _____ Return date _____  b) Road travel _____ Number of miles _____ Vehicle _____ Driver name _____  c) Preferred accommodation: _____	<b>UNACCOMPANIED HOUSEHOLD AND/OR PERSONAL SHIPMENT. N/A</b> NBI will provide insurance coverage up to the amount of traveler's entitlement indicated above. The traveler must submit an itemized value inventory for this purpose. Additional coverage may be requested by the traveler at his expense.
---	---

<b>11. SPECIAL INSTRUCTIONS:</b>	<b>13. Travel Advance authorized: 80%</b> Amount \$ _____
<b>12. TRAVEL AUTHORIZATIONS (name and signature):</b>  Authorizing officer _____ Approving officer _____	<b>15. Certifying Officer:</b> Signature: _____ Name: _____ Title: _____ Date: _____ Project code _____ Budget line _____

<b>14. HOTEL RESERVATIONS :</b>  Hotel name and address: _____  Telephone _____ Fax _____ Daily rate _____	<b>15. Certifying Officer:</b> Signature: _____ Name: _____ Title: _____ Date: _____ Project code _____ Budget line _____
--	--

**15. IMPORTANT NOTICE TO TRAVELLER:** Upon completion of the journey, all receipts for transportation and excess baggage and any used and unused transportation tickets & excess baggage coupons (MCO's) together with original copy of the Travel Authorization MUST be returned to the NBI, attached to the Travel Claim. Failure to comply may result in debiting any outstanding charges to the traveller's account. The cost of any deviations from the authorized itinerary and standard(s) of accommodation will be borne by the traveler. If the standard(s) of accommodation actually used is lower than the standard to which the traveler is entitled, calculation of the cost to the NBI shall be based on the lower standard.

**For use by FINANCE DEPT**

16. TRAVEL DETAILS							17. ESTIMATED COSTS TO THE NBI	
INVOICE PROFORMA NUMBER	STAGES OF JOURNEY		CARRIER	DATE	COST (local ccy)	PLACE OF ISSUE		
	FROM	TO						
							1. Excess Baggage	\$
							2. Household & P.E.	\$
							3. Terminal	\$
							4. Transit	\$
							5. Subsistence	\$
							6. Miscellaneous	\$
							7. Transportation	\$
							8. Transportation	\$
							9. Transportation	\$
							<b>ESTIMATED TOTAL</b>	<b>\$</b>

NOTE: Estimates are for internal purposes only and do not necessarily represent the amounts to which the traveler is entitled.

ORIGINAL - TO TRAVELER, COPY - TO ADMIN/PERS. ASSISTANT

**ANNEX 2.5****TRAVEL AUTHORIZATION (Page 2)**

<b>RECORD OF TRAVEL ADVANCES</b>	<b>NBI OFFICE</b>	<b>CURRENCY</b>	<b>AMOUNT</b>	<b>EXCHANGE RATE TO U.S. \$</b>	<b>ADVANCE IN U.S.\$</b>	<b>VOUCHER NO.</b>	<b>SIGNATURE OF PAYING OFFICER</b>
DATE							

USE THE FOLLOWING SPACE FOR ANY ADDITIONAL OR EXPLANATORY INFORMATION, INCLUDING FULL INFORMATION AS TO UNUSED TICKETS, REFUNDS, ETC..


## **ANNEX 2.6**

### **REDUCED DAILY SUBSISTENCE ALLOWANCE RATES**

In cases where lodging and/or meals are provided free of charge to meeting participants as part of the arrangement made by the organizing institution (e.g. a government, a related institute, the NBI or one of its institutions), the following rule shall apply:

The applicable UNDP DSA rate will be reduced as follows:

<b>Circumstance</b>	<b>Reduction rate</b>	<b>Applicable reduced DSA</b> (As a % of the full DSA rate)
Lodging only provided free	50%	50%
Meals only provided free:		
Breakfast only	6%	94%
Lunch <u>or</u> dinner only	12%	88%
Breakfast <u>and</u> lunch or dinner	18%	82%
Lunch and dinner only	24%	76%
All meals provided	30%	70%
Both lodging and meals provided free:		
Lodging and breakfast	56%	44%
Lodging and lunch or dinner	62%	38%
Lodging and breakfast + lunch	68%	32%
Lodging and breakfast + dinner	68%	32%
Lodging, lunch and dinner	74%	26%
Lodging and all meals	80%	20%

**ANNEX 2.7**  
**TRAVEL EXPENSE CLAIM (next two pages)**

**Page 1:       Recap of travel expenses**

**Page 2:       Detailed itinerary**

**IMPORTANT NOTICE:**

Claims for expenditures exceeding US \$25 (or local currency equivalent) must be supported with appropriate receipts. Claims for cable, fax and telephone expenses must include the name and number of person(s) called, the nature and purpose of calls, and receipted bills.

Claims for expenditures exceeding US \$50 (or local currency equivalent) must be certified by the authorizing unit (PMU or UNOPS NBIU).

Miscellaneous expenses which may be reimbursed include:

- Airport fees
- Passport and visa fees
- Required vaccinations
- Hire of room for official use
- Secretarial or clerical services
- Taxi fare between one place of business and another
- Rental of equipment or purchase of supplies needed for report preparation.

NAME OF TRAVELER:	1. Check to be:
INDEX N°:      CATEGORY:      DUTY STATION:	a. Picked up (in Finance dept):
PROJECT TITLE:	b. Mailed to:
TRAVEL ITINERARY / AUTHORIZATION N°:	2. Bank Transfer to:
PROJECT CODE AND BUDGET LINE:	Bank Name: _____
	Address: _____
	Account N° _____

<b>CLAIM FOR EXPENDITURES US\$25.00 AND ABOVE MUST BE SUPPORTED BY A RECEIPT</b>	<b>FOR FINANCE USE ONLY</b>
--	-----------------------------

Date	Attachment N°	DESCRIPTION	Currency & Amount	UN rate of Exchange	Approved US\$ Amount
		Ticket (if paid by traveler) indicate itinerary			
		Telephone (Provide name/tel. Number of person called/purpose)			
		Fax/Telex (Provide addressee & purpose of message)			
		Taxi (Excluding transport between airport & hotel, or between hotel and places of business)			
		Accompanied excess baggage (only if approved on travel authorization)			
		Passport Fee (                    ); Visa fee (                    )			
		Certificate of Health (Consultants only)			
		Vaccination fees			
		Airport tax			
		Others			
		<b>SUBTOTAL</b>			

REMARKS:	Daily Subsistence Allowance (please see reverse side)	
	Terminal Allowance (Airport <-> Hotel)	
	Total	
	Less: Advances: Paid at PMU (                    )	<input type="text"/>
	Paid elsewhere (                    )	
	Balance due (If any)	
	<b>Net Payment</b>	

FOR FINANCE USE ONLY:	Signature of Claimant: _____ Date: _____
DV# _____	<b>AUTHORIZING OFFICER:</b> I have verified that travel has taken place as authorized and as described in the travel claim except as otherwise noted by me.
Examiner _____	
<b>APPROVING OFFICER</b>	
Name: _____	Signature _____ Date: _____
Signature: _____	Name (print please) _____

TO BE COMPLETED BY TRAVELER						TO BE COMPLETED BY FINANCE				COMMENTS REGARDING STOP-OVER, DELAYS, FREE ACCOMODATION PROVIDED BY GOVT..., AIRLINE, NBI OR OTHER ORGANIZATIONS		
CITY AND COUNTRY OF DEPARTURE AND ARRIVAL	MODE OF TRAVEL	DATE			HOUR	INDICATE WHETHER OFFICIAL VEHICLE WAS MADE AVAILABLE AT DEP. AND/OR ARR YES NO	TERMINAL ALLOW	NO OF DAYS	DSA			
		D A Y	M O N T H	Y E A R					RATE PER DAY		AMOUNT IN US\$	
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
Departure						<input type="checkbox"/>	<input type="checkbox"/>					
Arrival						<input type="checkbox"/>	<input type="checkbox"/>					
Stop Over: Official		Personal:										
NOTICE TO TRAVELER: Hour should indicate time of departure from or arrival at Airports, piers or railroads						Total Terminal Allowance						
						Total DSA (Daily Subsistence Allowance)						

**Remarks: Transportation expenses between airport and hotel are covered by terminal allowance, and between hotel and places of business, by daily subsistence allowance.**

**ANNEX 3.1**  
**DESIGNATION OF CERTIFYING AND APPROVING OFFICERS**

*To be completed*

<b>DESIGNATION</b>	<b>EFFECTIVE DATE</b>	<b>NAME</b>	<b>TITLE</b>
Certifying Officer			Regional project manager
Alternate CO			PMU Stakeholder/Confidence Building Specialist (OIC)
Approving Officer			UNOPS Administrative/Finance Specialist
Alternate AO			Regional project manager
Imprest Holder			Regional project manager
Petty Cash custodian			Administrative and Procurement Officer

CO: Certifying Officer  
 AO: Approving Officer  
 OIC: Officer In Charge

## **ANNEX 3.2**

### **DELEGATION OF AUTHORITY TO THE REGIONAL PROJECT MANAGER (summary of main terms and conditions)**

#### **Scope of delegation**

1. Award, signature and payment with respect to local purchase orders (procurement of goods in the region) and contracts for services and works of less than US\$30,000;
2. Engagement of local personnel under SSA or Service Contract for maximum periods of 12 months.

#### **Terms and conditions**

##### **General terms**

3. Personal delegation (not transferable) granted to the Regional Project Manager (RPM) and to the Officer-in-Charge for the project;
4. Acceptance of the delegation implies assumption of personal responsibility and financial liability as per UNOPS Financial Rule n° 103.2.

##### **Procurement**

5. Local competitive bidding should be used as the standard procurement mechanism;
6. RPM should ensure that the procurement activities to be undertaken are included in the workplan and budget, that an obligation is issued, and that all related policies and procedures are followed;
7. No authority to approve waivers of competitive bidding is delegated.

##### **Personnel**

8. RPM should ensure that recruitment activities to be undertaken are included in the workplan and budget, that an obligation is issued, and that all related policies and procedures are followed;
9. Remunerations proposed must be within local salary scales;
10. Authorization should be obtained from UNOPS for the recruitment of non-resident service contract holders.



### ANNEX 3.3

#### MODEL DELEGATION OF AUTHORITY QUARTERLY REPORTING

(Contracts/purchase orders awarded and personnel recruited under the delegation of authority)

QUARTER ENDING: \_\_\_\_\_ COMPONENT CODE: \_\_\_\_\_

#### Procurement cases

Description	Supplier	Amount	PO/contract n°	Date of issuance

#### Personnel

Title	Name	Remuneration	Type/contract n°	Dates/duration

1. Transmission of contracts and purchase orders

I certify that copies of all contracts and purchase orders awarded during the quarter have been sent to the UNOPS Environment Division Chief.

2. Exceptions

The following deviations from the terms and conditions of the delegation of authority are hereby reported:

Description of issue: \_\_\_\_\_

Reason for deviation: \_\_\_\_\_

Financial impact: \_\_\_\_\_

Prepared by: \_\_\_\_\_  
Regional Project Manager

Reviewed by: \_\_\_\_\_  
UNOPS Senior advisor

## **ANNEX 4.1 (page 1/3)**

### **PROCUREMENT AND CONSULTANTS' SERVICES PROVISIONS**

*Annex 4.1 was extracted from the CBSI grant agreement and management services agreement.*

#### **PROCUREMENT PROVISIONS<sup>14</sup>**

##### **Section I. Procurement of Goods**

###### **Part A: General**

Goods shall be procured in accordance with the provisions of Section I of the "Guidelines for Procurement under IBRD Loans and IDA Credits" published by the Bank in January 1995 and revised in January and August 1996, September 1997 and January 1999 (the Guidelines) and the following provisions of Section I of this Schedule.

###### **Part B: International Competitive Bidding**

Except as otherwise provided in Part C of this Section, goods shall be procured under contracts awarded in accordance with the provisions of Section II of the Guidelines and paragraph 5 of Appendix 1 thereto.

###### **Part C: Other Procurement Procedures**

###### **International or National Shopping**

Goods estimated to cost less than \$ 80,000 equivalent per contract may be procured under contracts awarded on the basis of international or national shopping procedures in accordance with the provisions of paragraphs 3.5 and 3.6 of the Guidelines.

###### **Part D: Review by the Bank of Procurement Decisions**

###### **1. Procurement Planning**

Prior to the issuance of any invitations to pre-qualify for bidding or to bid for contracts, the proposed procurement plan for the Project shall be furnished to the Bank for its review and approval, in accordance with the provisions of paragraph 1 of Appendix 1 to the Guidelines. Procurement of all goods and works shall be undertaken in accordance with such procurement plan as shall have been approved by the Bank, and with the provisions of said paragraph 1.

###### **2. Prior Review**

With respect to each contract estimated to cost the equivalent of \$ 200,000 or more, the procedures set forth in paragraphs 2 and 3 of Appendix 1 to the Guidelines shall apply.

###### **3. Post Review**

With respect to each contract not governed by paragraph 2 of this Part, the procedures set forth in paragraph 4 of Appendix 1 to the Guidelines shall apply.

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<sup>14</sup> Extracted from Schedule 3 of the Grant agreement, and Annex 1.B of the MSA.

## **ANNEX 4.1 (page 2/3)**

### **PROCUREMENT AND CONSULTANTS' SERVICES PROVISIONS**

#### **CONSULTANTS' SERVICES PROVISIONS<sup>13</sup>**

##### **Section II. Employment of Consultants**

###### **Part A: General**

Consultants' services shall be procured in accordance with the provisions of Sections I and IV of the "Guidelines: Selection and Employment of Consultants by World Bank Borrowers" published by the Bank in January 1997 and revised in September 1997, January 1999 and May 2002 (the Consultant Guidelines), paragraph 1 of Appendix 1 thereto, Appendix 2 thereto, and the following provisions of this Section.

###### **Part B: Quality- and Cost-based Selection**

1. Except as otherwise provided in Part C of this Section, consultants' services shall be procured under contracts awarded in accordance with the provisions of Section II of the Consultant Guidelines, and the provisions of paragraphs 3.13 through 3.18 thereof applicable to quality- and cost-based selection of consultants.
2. The following provision shall apply to consultants' services to be procured under contracts awarded in accordance with the provisions of the preceding paragraph: the short list of consultants estimated to cost less than \$200,000 equivalent per contract, may comprise entirely national consultants from the NBI Countries in accordance with the provisions of paragraph 2.7 and footnote 8 of the Consultant Guidelines.

###### **Part C: Other Procedures for the Selection of Consultants**

###### **1. Selection Based on Consultants' Qualifications**

Services under contracts: (a) estimated to cost less than \$50,000 equivalent per contract; and (b) for training estimated to cost less than \$100,000 equivalent per contract, may be procured under contracts awarded in accordance with the provisions of paragraphs 3.1 and 3.7 of the Consultant Guidelines.

###### **2. Single Source Selection**

Financial management and procurement services for the Project, may, with the Bank's prior agreement, be procured under contracts with UN agencies in accordance with the provisions of paragraphs 3.8 through 3.11 of the Consultant Guidelines.

###### **3. Individual Consultants**

Services of individual consultants for tasks that meet the requirements set forth in paragraph 5.1 of the Consultant Guidelines shall be procured under contracts awarded in accordance with the provisions of paragraphs 5.1 through 5.3 of the Consultant Guidelines.

###### **4. Training and Workshops**

Training and workshops shall be carry out on the basis of programs, which shall have been approved by the Bank, and which shall, inter alia, identify: (a) the training or workshop envisaged; (b) the personnel to attend the training or the workshop; (c) the selection method of institutions conducting such training or the workshop; (d) the duration of the proposed training or workshop; and (e) an estimate of the cost.

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<sup>13</sup> Extracted from Schedule 3 of the Grant agreement, and Annex 1.B of the MSA.

## **ANNEX 4.1 (page 3/3)**

### **PROCUREMENT AND CONSULTANTS' SERVICES PROVISIONS**

#### Part D: Review by the Bank of the Selection of Consultants

##### 1. Selection Planning

A plan for the selection of consultants, which shall include contract cost estimates, contract packaging, and applicable selection criteria and procedures, shall be furnished to the Bank, for its review and approval, prior to the issuance to consultants of any requests for proposals. Such plan shall be updated every 12 months during the execution of the Project, and each such updating shall be furnished to the Bank for its review and approval. Selection of all consultants' services shall be undertaken in accordance with such selection plan (as updated from time to time) as shall have been approved by the Bank.

##### 2. Prior Review

(a) With respect to each contract for the employment of consulting firms estimated to cost the equivalent of \$ 200,000 or more, the procedures set forth in paragraphs 2, 3 and 5 of Appendix 1 to the Consultant Guidelines shall apply.

(b) With respect to each contract for the employment of individual consultants estimated to cost the equivalent of \$50,000 or more, the report on the comparison of the qualifications and experience of candidates, the qualifications, experience and the terms of reference and terms of employment of the consultants shall be furnished to the Bank for its prior review and approval. The contract shall be awarded only after the said approval shall have been given. The provisions of paragraph 3 of Appendix 1 to the Consultant Guidelines shall also apply to such contracts.

##### 3. Post Review

With respect to each contract not governed by paragraph 2 of this Part, the procedures set forth in paragraph 4 of Appendix 1 to the Consultant Guidelines shall apply.

## **ANNEX 4.2 (page 1/8)**

### **MATRICES OF RESPONSIBILITIES FOR PROCUREMENT ACTIVITIES**

The following matrices are found in <Annex II – Appendix> of the Management Services Agreement for the CBSI Project and signed by the NBI and UNOPS. Any changes in those matrices over time need to be reflected here.

Note that the matrices for individual consultants will be placed here, however, they are not part of the “procurement” regime of UNOPS. As discussed in Chapter 4, recruitment of individuals is undertaken by reference to the Bank’s Consultant Guidelines and in compliance with UNOPS’ personnel guidelines which are articulated in Chapter 7 of this manual.

The following matrices indicate the division of labor between the NBI and UNOPS, which includes the UNOPS PMU established in the Nile-SEC to provide services locally.

For the purpose of the following matrices, the following definitions apply:

UNOPS HQ	=	UNOPS New York and UNOPS Geneva offices
UNOPS PMU	=	the UNOPS support unit located in Cairo
NBI	=	the Nile-SEC

**ANNEX 4.2 (page 2/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

A1. Individual Consultants (International)

The responsibilities of NBI and UNOPS with respect to engaging individual consultants shall be as follows:

NBI (Nile- SEC)	UNOPS		Activity
	HQ	PMU	
C		R	Preparation of Terms of Reference (TOR)
C	R		Review/revision of TOR (if required)
R			Secure Bank "no objection" to TOR
C		R	Preparation of proposed shortlist (if required)
	R		Approval of shortlist (if required)
		R	Prepare documents required to seek "no objection" to shortlist (if required)
R			Endorse (in writing) "no objection" to shortlist for sending to Bank
C	C	R	Selection of consultants
		R	Prepare documents required to seek "no objection" to selected consultant and conditions of employment
R			Endorse (in writing) "no objection" to selected consultant and conditions of employment for sending to Bank
	R	C	Negotiation and signature of contracts
	R	C	Contract administration, including travel authorization/arrangements
C		R	Technical supervision of consultants
C		R	Evaluation of work-progress
C	C	R	Review/approval of final report
	R	C	Payment

Key: R = party responsible for the action  
 C = in consultation with

**ANNEX 4.2 (page 3/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

A2. Individual Consultants (National)

The responsibilities of NBI and UNOPS with respect to engaging individual consultants shall be as follows:

NBI (Nile- SEC)	UNOPS		Activity
	HQ	PMU	
C		R	Preparation of Terms of Reference (TOR)
C	R		Review/revision of TOR (if required)
		R	Prepare documents required to seek “no objection” to TOR
R			Endorse (in writing) “no objection” to TOR for sending to Bank
C		R	Preparation of proposed shortlist (if required)
	R		Approval of shortlist (if required)
		R	Prepare documents required to seek “no objection” to shortlist (if required)
R			Endorse (in writing) "no objection" to shortlist (if required) for sending to Bank
C	C	R	Selection of consultants
		R	Prepare documents required to seek “no objection” to consultant and conditions of employment
R			Endorse (in writing) "no objection" to selected consultant and conditions of employment for sending to Bank
	C	R	Negotiation and signature of contracts
	C	R	Contract administration, including travel authorization/arrangements
C		R	Technical supervision of consultants
C		R	Evaluation of work-progress
C	C	R	Review/approval of final report
	C	R	Payment

Key: R = party responsible for the action  
C = in consultation with

**ANNEX 4.2 (page 4/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

**B. Consulting Firms**

The responsibilities of NBI and UNOPS with respect to engaging consulting firms shall be as follows:

NBI (Nile-SEC)	UNOPS		Activity
	HQ	PMU	
C		R	Preparation of TOR
C	R		Review/revision of TOR
		R	Prepare documents required to seek "no objection" to TOR and cost estimate
R			Endorse (in writing) "no objection" to TOR and cost estimate for sending to Bank
C		R	Preparation of proposed shortlist
	R		Approval of short-list
		R	Prepare documents required to seek "no objection" to shortlist
R			Endorse (in writing) "no objection" to shortlist for sending to Bank
	C	R	Preparation of Request For Proposals - RFP (including letter of invitation, information to consultants, standard forms for technical and financial proposals, TOR and draft contract)
		R	Prepare documents required to seek "no objection" to RFP
R			Endorse (in writing) "no objection" to RFP for sending to Bank
	R	C	Evaluation of proposals
	R	C	Recommendation for award
R			Concurrence with recommendation, if required
		R	Prepare documents required to seek "no objection" to recommended award
R			Endorse (in writing) "no objection" to recommended award, subject to satisfactory negotiations, if needed*
	R	C	Negotiations of contract (if needed)
		R	Prepare documents required to seek "no objection" to results of negotiation and final version of contract
R			Endorse (in writing) "no-objection" to results of negotiation and final version of contract (if needed)
	R		Award and signature of contract
	R	C	Contract administration
C		R	Technical monitoring and evaluation
	R	C	Payment to consultants

\* For this "no-objection" the Bank must be provided with a copy of the winning proposal, the evaluation report, and the final version of the contract, if requested.

Key: R = party responsible for the action  
C = in consultation with



**ANNEX 4.2 (page 5/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

**C.1 Procurement of Equipment and Supplies through ICB, NCB and LIB**

The responsibilities of NBI and UNOPS with respect to procuring equipment shall be as follows:

NBI (Nile-SEC)	UNOPS		Activity
	HQ	PMU	
C	C	R	Preparation of equipment list
	C	R	Preparation of detailed specifications
	R	C	Finalization of specifications
		R	Prepare documents required to seek “no objection” to ITB package (invitation to bid, instructions to bidders, general and special conditions of contract, technical specifications, draft contract and forms for bid and securities)
R			Endorse (in writing) "no objection" to ITB package for sending to Bank
	R	C	Issuing invitation to bid
	R	C	Evaluation of bids
		R	Provide bid evaluation report to NBI with recommendation for award
R			Concurrence with recommendation for award, if required
		R	Prepare documents required to seek “no objection” to selected supplier
R			Endorse (in writing) "no objection" to selected supplier <sup>16</sup> for sending to Bank
	R		Award and signature of contract/purchase order
	R		Shipment
C	R	C	Customs clearance
	R	C	Delivery to final user
	R	C	Payment to supplier
	C	R	Receipt and acceptance of equipment

Key: R = party responsible for the action  
C = in consultation with

<sup>16</sup> For this "no-objection" the Bank must be provided with a copy of the winning bid, the evaluation report and the final version of the contract/purchase order, if requested.

## ANNEX 4.2 (page 6/8)

### MATRICES OF RESPONSIBILITIES FOR PROCUREMENT ACTIVITIES

#### C.2 Procurement of Equipment and Supplies through Shopping and Direct Contracting

The responsibilities of NBI and UNOPS with respect to procuring equipment and supplies shall be as follows:

NBI (Nile- SEC)	UNOPS		Activity
	HQ	PMU	
	C	R	Preparation of equipment list
	C	R	Preparation of detailed specifications
	C	R	Preparation of ITB package
		R	Prepare documents required to seek "no objection" to ITB package (letter of invitation, instructions to bidders, General and Special Conditions of Contract, technical specifications, draft contract and forms for bid and securities)
R			Endorse (in writing) the "no objection" to ITB package for sending to Bank
C	C	R	Preparation of proposed list of potential suppliers (LIB) or shortlist (Shopping)
	R		Approval of list of potential suppliers/shortlist
		R	Prepare documents required to seek "no objection" to list of potential suppliers / shortlist
R			Endorse (in writing) the "no objection" to list of potential suppliers/shortlist for sending to Bank
	C	R	Issuing Invitation to Bid
	C	R	Evaluation of bids
	R		Provide bid evaluation report to NBI with recommendation for award
R			Concurrence with recommendation, if required
		R	Prepare documents required to seek "no objection" to selected supplier
R			Endorse (in writing) the "no objection" to selected supplier <sup>17</sup> for sending to Bank
	C	R	Award and signature of contract/purchase order
C	R	C	Customs clearance
		R	Delivery to final user
	R	C	Payment to supplier
C		R	Receipt and acceptance of equipment

Key: R = party responsible for the action  
C = in consultation with

<sup>17</sup> For this "no-objection" the Bank must be provided with a copy of the winning bid, the evaluation report and the final version of the contract/purchase order if requested.

**ANNEX 4.2 (page 7/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

D. Training Activities

The responsibilities of NBI and UNOPS with respect to conducting training activities shall be as follows:

NBI (Nile- SEC)	UNOPS		Activity
	HQ	PMU	
C		R	Preparation of training plan
		R	Prepare documents required to seek "no objection" to plan
R			Endorse (in writing) the "no objection" to plan for sending to bank
C		R	Designing requirements for specific training
C		R	Selection of candidates
C		R	Confirming language abilities of candidates (if required)
C		R	Identification of appropriate programs
C	R	C	International placement
C	C	R	Local placement
	C	R	Travel arrangements
	R	C	Financial arrangements for trainees and institutions
C		R	Monitoring of performance
	R	C	Logistical support and insurance

Key: R = party responsible for the action  
 C = in consultation with

With reference to paragraph 6(d) above, "administer" means fulfilling the above obligations identified as UNOPS responsibility.

**ANNEX 4.2 (page 8/8)**  
**MATRICES OF RESPONSIBILITIES FOR PROCUREMENT**  
**ACTIVITIES**

E. General and Financial Administration

The responsibilities of NBI and UNOPS with respect to accounting and financial administration of the Project shall be as follows:

NBI (Nile-SEC)	UNOPS		Activity
	HQ	PMU	
R	C		Submission of Blanket Application for Withdrawal to Bank, with copy of MSA attached
C	C	R	Preparation of annual workplan
		R	Prepare documents required to seek "no objection" to annual workplan
R			Endorse (in writing) "no objection" to annual workplan for sending to Bank
	R		Maintenance of separate ledger account for project funds
	R	C	Interest calculation and payment
	C	R	Management of imprest account
	R	C	Provision of financial statements to NBI in appropriate format
R			Quarterly/annual statements to the Bank
	R		Quarterly withdrawal requests with semestral expenditure forecast to the Bank
C	C	R	Review of progress against workplan and agreement on necessary budget revisions
	R	C	Provide audited statements to NBI
	R	C	Closure of accounts and return of unspent balance
	R	C	Provide final financial statement to NBI

Key: R = party responsible for the action  
C = in consultation with

**ANNEX 4.3  
MODEL PROCUREMENT PLAN**

**YEAR** \_\_\_\_\_

**UPDATE AS AT** \_\_\_\_\_

Atlas award number: \_\_\_\_\_

Atlas project number: \_\_\_\_\_

Subproject number	Component and activity	Description of goods and services	Quantity	Procurement method	Procurement office	Supplier type (firm or individual)	Estimated amount	Budget line	Estimated order or contract date	Target delivery date	Observations
<b>GOODS</b>											
<b>Subtotal goods</b>							XXX				
<b>SERVICES</b>											
<b>Subtotal services</b>							XXX				
<b>GRAND TOTAL</b>							XXXXX				

**ANNEX 4.4  
PURCHASE REQUISITION FORM**

Component code	Requisition date	Requisition number: REQ YY/xxx
Project component / activity		
Budget line	Estimated total cost	
Final destination of shipment (name, address, phone and fax number)		
Mode of shipment	Target delivery date	
Packing/shipping requirements		

Item	Quantity	Technical specifications

Special insurance risks (if applicable): \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Justification for waiver of competitive bidding (if applicable):  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Requesting Officer (name and signature) \_\_\_\_\_

Certifying Officer (Regional Project Manager) \_\_\_\_\_

# ANNEX 4.5 UNOPS SHORTLIST FOR GOODS

**SHORTLISTING** FOR PROCUREMENT OF **GOODS** ESTIMATED VALUED AT **US\$ 30,000** OR MORE  
THIS SHORTLISTING MUST BE APPROVED PRIOR TO ISSUANCE OF ANY REQUEST FOR PROPOSAL

SUBMITTING OFFICER:		DATE:		
PROJECT NUMBER:	CASE NUMBER:			
PROJECT TITLE:				
AMOUNT AVAILABLE FROM LATEST FULLY APPROVED BUDGET:			US\$	
EXPECTED VALUE OF CONTRACT TO BE AWARDED:			US\$	
BRIEF SUMMARY OF CONTRACT:				
<b>FIRMS RECOMMENDED</b>				
NOTE: For procurement actions estimated valued at US\$ 30,000 or more and less than US\$ 100,000 a minimum of 3 to 5 firms should be short-listed. For procurement actions estimated valued at US\$ 100,000 or 6 to 12 firms should be short-listed. However, more than these minimum numbers of firms should be used where achieving appropriate competitiveness may so require. For both financial limits, the shortlist should include firms from each of the groups A, B and C below. If for any reason such representation is not achieved, the Submitting Officer must provide justification under COMMENTS.				
NAME For firms not previously short-listed, please mark name with *	COUNTRY OF HOME OFFICE	REGISTERED WITH OPS		COMMENT (including explanation of reasons for not having representation from each group or for less than minimum number of firms overall):
		YES <input type="checkbox"/>	NO <input type="checkbox"/>	
A. FROM DEVELOPING COUNTRIES, INCLUDING THE RECIPIENT COUNTRY:				
B. FROM UNDER-UTILIZED MAJOR DONOR COUNTRIES:				
C. FROM OTHER COUNTRIES:				
REVIEW:	Regional Project Manager			
CLEARANCE:	SVP Coordination project			
APPROVAL:	_____	_____	_____	
	AUTHORIZING OFFICER (UNOPS HQ)		date	

**ANNEX 4.6  
UNOPS SHORTLIST FOR SERVICES**

**SHORTLISTING** FOR PROCUREMENT OF **SERVICES** ESTIMATED VALUED AT **US\$ 30,000** OR MORE  
THIS SHORTLISTING MUST BE APPROVED PRIOR TO ISSUANCE OF ANY REQUEST FOR PROPOSAL

SUBMITTING OFFICER:	DATE:
PROJECT NUMBER:	
PROJECT TITLE:	
AMOUNT AVAILABLE FROM LATEST FULLY APPROVED BUDGET:	US\$
EXPECTED VALUE OF CONTRACT TO BE AWARDED:	US\$
BRIEF SUMMARY OF CONTRACT:	

**FIRMS RECOMMENDED**

NOTE: For procurement actions estimated valued at US\$ 30,000 or more and less than US\$ 100,000 a minimum of 3 to 5 firms should be short-listed. For procurement actions estimated valued at US\$ 100,000 or more 5 to 7 firms should be short-listed. However, more than these minimum numbers of firms should be used where achieving appropriate competitiveness may so require. For both financial limits, the shortlist should include firms from each of the groups A, B and C below. If for any reason such representation is not achieved, the Submitting Officer must provide justification under COMMENTS.

NAME For firms not previously short-listed, please mark name with *	COUNTRY OF HOME OFFICE	REGISTERED WITH OPS		COMMENT (including explanation of reasons for not having representation from each group or for less than minimum number of firms overall):
		YES <input type="checkbox"/>	NO <input type="checkbox"/>	
A. FROM DEVELOPING COUNTRIES, INCLUDING THE RECIPIENT COUNTRY:				
B. FROM UNDER-UTILIZED MAJOR DONOR COUNTRIES:				
C. FROM OTHER COUNTRIES:				
REVIEW:	Regional Project Manager			
CLEARANCE:	SVP Coordination project			
APPROVAL:	_____ AUTHORIZING OFFICER (UNOPS HQ)	_____ date		

\* NOT SHORTLISTED BEFORE



**ANNEX 4.7 (Page 1/4)**  
**RULES AND PROCEDURES OF THE UNOPS**  
**LOCAL CONTRACTS COMMITTEE**

***1. General Provisions***

The UNOPS Local Contracts Committee (LCC) is established in accordance with the Financial Regulations and Rules applicable to UNOPS.

The LCC functions under the auspices of the UNOPS Procurement Review and Advisory Committee (PRAC) and its Chairperson.

The LCC shall evaluate the procurement process of proposed contracts within its scope of review for purposes of advising the Approving Officer on compliance with relevant Financial Regulations and Rules and UNOPS procurement procedures.

***2. Scope of Review***

*Financial Thresholds*

The LCC's scope of review is limited to a financial threshold of less than US\$100,000 and includes reviewing the procurement process leading up to award of proposed:

- (a) contracts valued at USD30,000 or more
- (b) contracts valued at less than USD30,000 where the aggregate value of contracts awarded to the same contractor/supplier is USD30,000 or more within the same calendar year, and
- (c) contract amendments that increase the value of any contract or the aggregate value of contracts awarded to the same contractor/supplier to USD30,000 or more

*Subject Matter*

The subject matter of the LCC's scope of review generally will cover the procurement process of a proposed contract arising from either:

- (a) an invitations to bid
- (b) a request for proposal, or
- (c) sole sourcing – including pre-selection, proprietary supply and emergency cases.

*Purpose*

The LCC's review shall be for the purpose of giving the UNOPS Approving Officer assurances that proper procurement procedures were used and justify contract award.

**ANNEX 4.7 (Page 2/4)**  
**RULES AND PROCEDURES OF THE UNOPS**  
**LOCAL CONTRACTS COMMITTEE**

***3. Membership of the Committee***

The PRAC Chairperson shall appoint and remove the LCC members and alternate members, including the LCC chairperson.

All serving PRAC members shall be *ex officio* members of the LCC and may participate while in the duty station or through video or teleconference.

Where a case under consideration by the LCC raises a conflict of interests for a member, that person shall disqualify himself / herself from participation in the review of the procurement action where the conflict arises. In no case may a member review their own procurement action or submission to the LCC.

The LCC chairperson shall appoint a secretary whose duties are described in Annex I.

***4. Submissions to the committee***

All cases within the LCC's scope of review, as provided for in Section 2, must be submitted by a certifying officer, in the prescribed format (sample attached as annex II), to the LCC secretary, who will acknowledge receipt and distribute as required.

***5. Meetings of the committee***

The LCC will meet only as required. The chairperson shall declare the opening and closing of each meeting, direct discussions and ensure observance of rules. A quorum requires the presence of the chairperson and one other member.

The LCC meetings may be conducted according to the requirements of its members but maintain all deliberations as confidential and restricted to its members or others as provided for in this section.

Officials from the Office for Audit and Performance Review may attend committee meetings in an advisory capacity. The committee may invite other persons to meetings for consultative or observation purposes. Any non-UN observers must execute a confidentiality agreement. In no case should representatives of potential contractors or suppliers attend.

Written minutes of the meetings shall be taken by the secretary and contain a brief explanation of the committee's recommendation and any dissenting opinions (model attached as Annex III). The minutes shall be approved by the chairperson and all participating members, after which they shall be submitted to the Approving Officer for his/her final decision.

**ANNEX 4.7 (Page 3/4)**  
**RULES AND PROCEDURES OF THE UNOPS**  
**LOCAL CONTRACTS COMMITTEE**

***6. Recommendations of the committee***

The LCC shall make recommendations to the Approving Officer or any other person delegated authority to act for the Approving Officer.

If the procurement process used complies with relevant regulations, rules and procedures, the LCC may recommend award of the contract. Where the process does not comply or when there is insufficient basis to make a conclusion, the LCC may either suspend recommendation pending clarification or make a recommendation not to award the contract.

Recommendations generally shall be adopted by consensus. Should consensus not be reached, the chairperson's position shall prevail with all dissenting views noted in the minutes.

***7. Miscellaneous***

The LCC shall report to the PRAC, in writing, on a quarterly basis, providing all submission and minutes with a statement from the LCC chairperson including statistical information on types of submissions and recommendations, commodities and values.

These rules and procedures governing the LCC may be amended by the UNOPS Executive Director.

**ANNEX 4.7 (Page 4/4)**  
**RULES AND PROCEDURES OF THE UNOPS**  
**LOCAL CONTRACTS COMMITTEE**

**Annex I**

**SECRETARY OF THE LOCAL CONTRACTS COMMITTEE**

Under the guidance of the LCC chairperson, the secretary is responsible for, *inter alia*, the following functions:

- (a) calling meetings and advising members and alternates of the date, time and venue
- (b) preparing and distributing the agenda with submissions and supporting documentation and draft recommendations
- (c) taking notes at the LCC meeting and preparing the minutes with the recommendations for the signature of the chairperson and one other participating member
- (d) submitting the signed minutes, with the recommendations, to the Approving Officer
- (e) conveying copies of the decisions and the recommendations to relevant submitting officers
- (f) following up on the decisions based on the recommendations made by the LCC and monitoring the status of cases
- (g) maintaining original LCC case file with all relevant correspondence in a chronological order
- (h) producing statistical reports as required, and
- (i) such other tasks as may be decided by the LCC from time to time.

**REQUEST FOR APPROVAL OF CONTRACT AWARD  
FOR PROCUREMENT OF EQUIPMENT, SERVICES OR WORKS  
IN AN AMOUNT OF \$30,000 UP TO BUT NOT INCLUDING \$100,000  
UNDER COMPETITIVE ITB OR RFP\***

(To be completed in triplicate together with any supporting material, if appropriate. If this award is being resubmitted, please attach original proposed award.)

Date: \_\_\_\_\_

Proposed by:

- PMO: \_\_\_\_\_ Ext.: \_\_\_\_\_
- Purchasing Officer : \_\_\_\_\_ Ext.: \_\_\_\_\_
- Purchasing Assistant: \_\_\_\_\_ Ext.: \_\_\_\_\_

This proposed award results from:

If approved, would result in:

- Purchase Order
- Contract
- Agreement
- Amendment
- Other \_\_\_\_\_

- Invitation to Bid (ITB)
- Request for Proposals (RFP)

Full Project Number and Title: \_\_\_\_\_

Case Number, if any: \_\_\_\_\_

Name of Proposed Contractor and Country of Proposed Contractor: \_\_\_\_\_

Amount of Proposed Contract and Source of Funds: \_\_\_\_\_

Available Funds under Project Budget/BL: \_\_\_\_\_

\*This request should be submitted, under current UNOPS instructions, to the UNOPS designated officer (normally the Division or Section Chief) by the PMO or Purchasing Officer concerned. A copy of the award should be kept in the Project File.

## ANNEX 4.8 (Page 2/2)

The following information is to be provided to the extent available for this request:

### 1. **Project Background**

(Give brief and concise information on the background of the project such as project objectives, organization/institutional setting, financial arrangements, etc.)

### 2. **Amendments**

(Provide information regarding original contract, such as contract number, contract amount, date(s) of approval, number of previous amendments, etc.)

### 3. **Purpose of Proposed Contract/Amendment and Description of Goods/Services Requested**

### 4. **Competitive Bidding/Proposal Process**

(Give full information on competitive bidding, including advertisement process, if any, date of ITB/RFP, names of entities/persons shortlisted and country of origin, date of bid opening.)

### 5. **Evaluation of Bids/Proposals**

Provide concise summary evaluation of each bid/proposal received (in chart form, if possible), including evaluation criteria, ratings of entities/persons, Terms of Reference for services, and names of any third parties (e.g. consultants) and their qualifications involved in evaluation of bids/proposals. Also discuss, as appropriate, proposed contract's relation to and impact on the sustainability of project activities, including availability of spare parts and local maintenance services and capacity, etc.

If applicable, discuss any special procedural aspects arising under MSAs with development banks, such as opening the financial proposal only for the firm submitting the best technical proposal for services and negotiating that proposal; then, if not conclusive, opening second-best proposal's financial offer and negotiating with that firm, etc.

For services, provide cost breakdown showing number of personnel, total person/months, and an estimate of travel costs.

For equipment, indicate description, price, delivery terms, and freight/insurance charges. If local purchase is recommended, state reasons and provide price and delivery date comparison between local and international procurement. Indicate clearly if bids/proposals include provisions for price increases or open-ended agreements.)

### 6. **Other Comments Concerning this Request**

### 7. **Recommendation**

### 8. **ACTION TAKEN BY UNOPS Designated Officer**

Approved       Deferred       Rejected

\_\_\_\_\_

\_\_\_\_\_  
UNOPS Designated Officer:

\_\_\_\_\_  
Date:

ANNEX 4.9 (Page 1/2)

UNOPS Submission, Form 3 (paras 1-7)  
Rev 5./ 29 October 1999

**SUBMISSION TO UNOPS PRAC CONTRACTS FOR PROCUREMENT OF EQUIPMENT, SERVICES OR WORKS IN THE AMOUNT OF \$100,000 OR MORE UNDER COMPETITIVE ITB OR RFP\***

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(To be completed by UNOPS PRAC):

Meeting No.: \_\_\_\_\_ Date of Meeting: \_\_\_\_\_ Item No: \_\_\_\_\_  
Case No.: \_\_\_\_\_

(To be completed by Submitting Officer):

**From: - UNOPS Division or Section Chief:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

- **PMO:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_  
- **Purchasing Officer :** \_\_\_\_\_ **Ext.:** \_\_\_\_\_  
- **Purchasing Assistant:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

(Attach previous submission and Prac Minutes, if appropriate)

This proposed submission,            This proposed submission results            **Resubmission:**  
if approved, would result in:            **from:**           

**Purchase Order**  **Invitation to Bid (ITB)**  **Yes**   
**Contract**  **Request for Proposals (RFP)**  **No**

**Agreement**  
 **Amendment**  
 **Other** \_\_\_\_\_

Deleted: From: - UNOPS Division or Section Chief: \_\_\_\_\_  
¶  
- PMO/Purchasing Officer/Assistant (and ext.): \_\_\_\_\_  
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 Contract  Request for Proposals (RFP)¶

Full Project Number and Title: \_\_\_\_\_

Case Number, if any: \_\_\_\_\_

Name of Proposed Contractor and Country of Proposed Contractor:  
\_\_\_\_\_

Amount of Proposed Contract and Source of Funds: \_\_\_\_\_  
(If the request is for amendment, please indicate both the amount of the amendment and the total contract value).

Available Funds under Project Budget/BL: \_\_\_\_\_

By this submission the **Division/Section Chief and PMO and Purchasing Officer or Purchasing Assistant** confirm that a background check and/or other relevant information on the firm or entity has been performed in accordance with the UNOPS Handbook (e.g., sections 8.375 and 9.478 on conducting background checks on contractors and suppliers) and retained in the files. (If appropriate please indicate any relevant comments in paragraph 6).

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## ANNEX 4.9 (Page 2/2)

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This request should normally be submitted in ten (10) copies, to the UNOPS PRAC directly by the Division or Section Chief concerned. If a question of policy exists or the amount is beyond currently established internal UNOPS limits, the Division or Section Chief should consult with the Directorate for prior approval, if necessary, or Policy & Contracts, as appropriate. One copy of the request should be kept in the Project File. The following information is to be provided to the extent available for this request (any attachments in a language other than English should include a brief summary of the document(s) in English):

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### **1. Project Background**

(Give brief and concise information on the background of the project such as project objectives, organization/institutional setting, financial arrangements, etc.)

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### **2. Amendments**

(Provide information regarding original contract, such as contract number, contract amount, date of approval, number of previous amendments, and whether award was based on competitive bidding, waiver or as preselected contractors, etc. Also, attach previous CPO Approval and/or PRAC Minutes where appropriate)

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### **3. Purpose of Proposed Contract/Amendment and Description of Goods/Services Requested**

### **4. Competitive Bidding/Proposal Process**

(Give full information on competitive bidding, including advertisement process, if any, date of ITB/RFP, names of entities/persons shortlisted and country of origin, date of bid opening.)

### **5. Evaluation of Bids/Proposals**

Provide concise summary evaluation of each bid/proposal received (in chart form, if possible), including evaluation criteria, ratings of entities/persons, Terms of Reference for services, and names of any third parties (e.g. consultants) and their qualifications involved in evaluation of bids/proposals. Also discuss, as appropriate, proposed contract's relation to and impact on the sustainability of project activities, including availability of spare parts and local maintenance services and capacity, etc.

If applicable, discuss any special procedural aspects arising under MSAs with development banks, such as opening the financial proposal only for the firm submitting the best technical proposal for services and negotiating that proposal; then, if not conclusive, opening second-best proposal's financial offer and negotiating with that firm, etc.

For services, provide cost breakdown showing number of personnel, total person/months, and an estimate of travel costs.

For equipment, indicate description, price, delivery terms, and freight/insurance charges. If local purchase is recommended, state reasons and provide price and delivery date comparison between local and international procurement. Indicate clearly if bids/proposals include provisions for price increases or open-ended agreements.)

### **6. Previous Contracts and/or Waivers, if any, with the Proposed Contractor within the past 24 Months, including Information, as available, on such Contracts and Waivers, e.g. type, amount, date and past performance.**

(If such information is not readily available, this section may be left blank pending the development of an UNOPS data base.)

### **7. Other Comments Concerning this Request**

### **8. Recommendation**



**ANNEX 4.10 (page 1/3)**  
**MODEL SUBMISSION TO DIVISION CHIEF FOR WAIVER OF**  
**COMPETITIVE BIDDING UP TO US\$30,000**

**REQUEST TO CHIEF, UNOPS ENVIRONMENT DIVISION, FOR APPROVAL OF**  
**NEGOTIATED CONTRACT/WAIVER OF COMPETITIVE QUOTATIONS**  
**FOR PROCUREMENT OF EQUIPMENT, SERVICES OR WORKS**  
**IN THE AMOUNT OF UP TO \$30,000**

(To be completed in duplicate together with any supporting material, if appropriate)

**Date:** \_\_\_\_\_

**This proposed waiver, if approved, would result in:**

- Purchase Order**
- Contract**
- Agreement (e.g., with an NGO)**
- Amendment**
- Other** \_\_\_\_\_

- **PMO:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_
- **Purchasing Assistant:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

**Full Project Number and Title:** \_\_\_\_\_

**Case Number, if any:** \_\_\_\_\_

**Name of Proposed Contractor and Country of Proposed Contractor:**  
\_\_\_\_\_

**Amount of Proposed Contract and Source of Funds:** \_\_\_\_\_

**Amount of Available Funds under Project Budget/BL:** \_\_\_\_\_

## ANNEX 4.10 (page 2/3)

The following information is to be provided to the extent available for this request:

### 1. Project Background

(Give brief and concise information on the background of the project such as project objectives, organization/institutional setting, financial arrangements, etc.)

### 2. Amendments

(Provide information regarding original contract, such as contract number, contract amount, date(s) of approval, number of previous amendments, etc.)

### 3. Purpose of Proposed Contract/Amendment and Description of Goods/Services Requested

### 4. UNDP Financial Rule Provision(s) under which the Negotiated Contract/Waiver is Requested

#### A. Rule 114.23(b)

As per procurement actions involving commitments of US\$30,000 or more which states that waivers can only be granted in accordance with provisions (i)-(vi) of UNDP Financial Rule 114.23(b), please identify the provision(s) set out below under which this waiver is requested.

- (i) prices or rates are fixed pursuant to national legislation or by regulatory bodies;
- (ii) standardization of supplies, equipment or spare parts renders competition impracticable, e.g. items of the same brand must be purchased to replenish or add to existing stock of equipment, or because in the local area services/spare parts are available only for such equipment;
- (iii) exigencies of service do not permit the delay attendant upon the issuance of invitations to bid or requests for proposals, e.g. **true** emergency exists, such as natural disaster or catastrophic accident, or other circumstances beyond the control of project authorities and UNOPS; (Note: urgent need for equipment which is due to delay of responsible officers/units or failure to plan does **not** qualify for waiver;
- (iv) proposed contract relates to procurement from a sole source or to the procurement of perishable supplies, e.g. spare parts and/or services can only be obtained from one supplier, or only one supplier makes the item needed, based on functional specifications or proprietary technology;
- (v) proposed contract relates to the obtaining of services of specific individuals, other than for staff services, e.g. medical personnel (Note: not normally applicable to UNDP);
- (vi) invitations to bid or requests for proposals would not give satisfactory results or be in the interest of UNDP, e.g. previous competitive bidding failed to produce responsive bids; commodities in scarce supply can be immediately procured at prices which are not likely to be maintained; when a contract has been awarded to the lowest bidder, it is more advantageous to award the contract to the same bidder for a new identical requirement at the same price; such procurement is justified under the terms of an already reviewed and approved Management Services Agreement.

#### B. Rule 114.17(e) For Negotiated Contracts under MSA situations, if applicable.

- The Assistant Administrator may, in appropriate cases, authorize cooperation with a United Nations agency or public international organization, such as a development bank, in respect of procurement activities, including those for a Government which is also a recipient of UNDP assistance. In these cases, UNDP may, in its actions, be guided by the procurement procedures of the organization or Government concerned.

**ANNEX 4.10 (page 3/3)**

**5. Justification for Negotiated Contract/Waiver which Further Explains the Basis for Applying the Financial Rule Provision(s) Identified above**

Indicate, if relevant, the following:

- Details and reasonableness of offer, e.g. delivery terms, quality of service, technical evaluation, comparative pricing factors, etc.;
- Availability of spare parts and local maintenance services/capacity, etc.;
- Reasons why alternative suppliers/contractors could not be recommended;
- Proposed contract's relation to and impact on the sustainability of project activities;
- In MSA situations, clarify that the relevant aspects of the procurement process have been under the control of UNOPS (e.g., bids/proposals issued and opened under control of UNOPS).

**6. Previous Contracts and/or Waivers, if any, with the Proposed Contractor within the Past 24 Months, including Information, as Available, on such Contracts and Waivers, e.g. type, amount, date and past performance**

(If such information is not readily available, this section may be left blank pending the development of a UNOPS data base.)

**7. Other Comments Concerning this Request**

**8. ACTION TAKEN BY CHIEF, UNOPS ENVIRONMENT DIVISION**

Approved       Deferred       Rejected

Reasons:

\_\_\_\_\_  
[insert name of UNOPS Chief]  
Chief, UNOPS Environment Division

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date

**ANNEX 4.11 (page 1/3)**  
**MODEL SUBMISSION TO DIRECTOR OF OPERATIONS FOR WAIVER**  
**OF COMPETITIVE BIDDING BETWEEN US\$30,000 AND US \$100,000**

**REQUEST TO UNOPS DEPUTY EXECUTIVE DIRECTOR AND**  
**DIRECTOR OF OPERATIONS FOR APPROVAL OF**  
**NEGOTIATED CONTRACT/WAIVER OF COMPETITIVE BIDDING**  
**FOR PROCUREMENT OF EQUIPMENT, SERVICES OR WORKS**  
**IN THE AMOUNT OF \$30,000 UP TO BUT NOT INCLUDING \$100,000**

(To be completed in duplicate together with any supporting material, if appropriate)

**Date:** \_\_\_\_\_

**This proposed waiver, if approved, would result in:**

- Purchase Order**
- Contract**
- Agreement (e.g., with an NGO)**
- Amendment**
- Other** \_\_\_\_\_

- **PMO:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_
- **Purchasing Officer :** \_\_\_\_\_ **Ext.:** \_\_\_\_\_
- **Purchasing Assistant:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

**Full Project Number and Title:** \_\_\_\_\_

**Case Number, if any:** \_\_\_\_\_

**Name of Proposed Contractor and Country of Proposed Contractor:**

\_\_\_\_\_

**Amount of Proposed Contract and Source of Funds:** \_\_\_\_\_

**Amount of Available Funds under Project Budget/BL:** \_\_\_\_\_

## ANNEX 4.11 (page 2/3)

The following information is to be provided to the extent available for this request:

### 1. Project Background

(Give brief and concise information on the background of the project such as project objectives, organization/institutional setting, financial arrangements, etc.)

### 2. Amendments

(Provide information regarding original contract, such as contract number, contract amount, date(s) of approval, number of previous amendments, etc.)

### 3. Purpose of Proposed Contract/Amendment and Description of Goods/Services Requested

### 4. UNDP Financial Rule Provision(s) under which the Negotiated Contract/Waiver is Requested

#### A. Rule 114.23(b)

Waivers can only be granted in accordance with provisions (i)-(vi) of UNDP Financial Rule 114.23(b). Please identify the provision(s) set out below under which this waiver is requested.

- (i) prices or rates are fixed pursuant to national legislation or by regulatory bodies;
- (ii) standardization of supplies, equipment or spare parts renders competition impracticable, e.g. items of the same brand must be purchased to replenish or add to existing stock of equipment, or because in the local area services/spare parts are available only for such equipment;
- (iii) exigencies of service do not permit the delay attendant upon the issuance of invitations to bid or requests for proposals, e.g. **true** emergency exists, such as natural disaster or catastrophic accident, or other circumstances beyond the control of project authorities and UNOPS; (Note: urgent need for equipment which is due to delay of responsible officers/units or failure to plan does **not** qualify for waiver;
- (iv) proposed contract relates to procurement from a sole source or to the procurement of perishable supplies, e.g. spare parts and/or services can only be obtained from one supplier, or only one supplier makes the item needed, based on functional specifications or proprietary technology;
- (v) proposed contract relates to the obtaining of services of specific individuals, other than for staff services, e.g. medical personnel (Note: not normally applicable to UNDP);
- (vi) invitations to bid or requests for proposals would not give satisfactory results or be in the interest of UNDP, e.g. previous competitive bidding failed to produce responsive bids; commodities in scarce supply can be immediately procured at prices which are not likely to be maintained; when a contract has been awarded to the lowest bidder, it is more advantageous to award the contract to the same bidder for a new identical requirement at the same price; such procurement is justified under the terms of an already reviewed and approved Management Services Agreement.

#### B. Rule 114.17(e) For Negotiated Contracts under MSA situations, if applicable.

- The Assistant Administrator may, in appropriate cases, authorize cooperation with a United Nations agency or public international organization, such as a development bank, in respect of procurement activities, including those for a Government which is also a recipient of UNDP assistance. In these cases, UNDP may, in its actions, be guided by the procurement procedures of the organization or Government concerned.

**ANNEX 4.11 (page 3/3)**

**5. Justification for Negotiated Contract/Waiver which Further Explains the Basis for Applying the Financial Rule Provision(s) Identified above**

Indicate, if relevant, the following:

- Details and reasonableness of offer, e.g. delivery terms, quality of service, technical evaluation, comparative pricing factors, etc.;
- Availability of spare parts and local maintenance services/capacity, etc.;
- Reasons why alternative suppliers/contractors could not be recommended;
- Proposed contract's relation to and impact on the sustainability of project activities;
- In MSA situations, clarify that the relevant aspects of the procurement process have been under the control of UNOPS (e.g., bids/proposals issued and opened under control of UNOPS).

**6. Previous Contracts and/or Waivers, if any, with the Proposed Contractor within the Past 24 Months, including Information, as Available, on such Contracts and Waivers, e.g. type, amount, date and past performance**

(If such information is not readily available, this section may be left blank pending the development of a UNOPS data base.)

**7. Other Comments Concerning this Request**

**8. RECOMMENDATION OF UNOPS DIVISION/SECTION CHIEF**

- Returned to Requesting Party       Recommendation to the Deputy Executive Director & Director of Operations

Reasons:

\_\_\_\_\_  
Name and Signature

\_\_\_\_\_  
Date

**9. ACTION TAKEN BY UNOPS DEPUTY EXECUTIVE DIRECTOR AND DIRECTOR OF OPERATIONS**

- Approved       Deferred       Rejected

Reasons:

\_\_\_\_\_  
Name and Signature  
Deputy Executive Director &  
Director of Operations

\_\_\_\_\_  
Date

**ANNEX 4.12 (page 1/3)**  
**MODEL SUBMISSION TO PRAC FOR WAIVER OF COMPETITIVE BIDDING FOR US \$100,000 AND ABOVE**

**SUBMISSION TO UNOPS PRAC FOR  
NEGOTIATED CONTRACT/WAIVER OF COMPETITIVE BIDDING  
FOR PROCUREMENT OF EQUIPMENT, SERVICES OR WORKS  
IN THE AMOUNT OF \$100,000 OR MORE\***

(To be completed by UNOPS PRAC):

**Meeting No.:** \_\_\_\_\_ **Date of Meeting:** \_\_\_\_\_ **Item No:** \_\_\_\_\_  
**Case No.:** \_\_\_\_\_

(To be completed by Submitting Officer):

**From: - UNOPS Division or Section Chief:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

- **PMO:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_
- **Purchasing Officer :** \_\_\_\_\_ **Ext.:** \_\_\_\_\_
- **Purchasing Assistant:** \_\_\_\_\_ **Ext.:** \_\_\_\_\_

(Attach previous submission and Prac Minutes if appropriate)

**This proposed waiver, if approved, would result in:**

**Resubmission:**

- |   |                                      |                              |
|---|--------------------------------------|------------------------------|
| <input type="checkbox"/> Purchase Order | <input type="checkbox"/> Agreement   | <input type="checkbox"/> Yes |
| <input type="checkbox"/> Contract       | <input type="checkbox"/> Amendment   | <input type="checkbox"/> No  |
|   | <input type="checkbox"/> Other _____ |                              |

**Full Project Number and Title:** \_\_\_\_\_

**Case Number, if any:** \_\_\_\_\_

**Name of Proposed Contractor and Country of Proposed Contractor:**

\_\_\_\_\_

**Amount of Proposed Contract and Source of Funds:** \_\_\_\_\_

(If the request is for amendment, please indicate both the amount of the amendment and the total contract value).

**Amount of Available Funds under Project Budget/BL:** \_\_\_\_\_

**By this submission the Division/Section Chief and PMO and Purchasing Officer or Purchasing Assistant confirm that a background check and/or other relevant information on the firm or entity has been performed in accordance with the UNOPS Handbook (e.g. sections 8.375 & 9.478 conducting background checks on contractors and suppliers) and retained in the files. (If appropriate please indicate any relevant comments in paragraph 7).**

\* This request should normally be submitted in ten (10) copies, to the UNOPS PRAC directly by the Division or Section Chief concerned. If a question of policy exists or the amount is beyond currently established internal UNOPS limits, the Division or Section Chief should consult with the Directorate for prior approval, if necessary, or the Policy and Contracts Division, as appropriate. One copy of the request should be kept in the Project File.

## ANNEX 4.12 (page 2/3)

The following information is to be provided to the extent available for this request (any attachments in a language other than English should include a brief summary of the document(s) in English):

### 1. Project Background

(Give brief and concise information on the background of the project such as project objectives, organization/institutional setting, financial arrangements, etc.)

### 2. Amendments

(Provide information regarding original contract, such as contract number, contract amount, date of approval, number of previous amendments, and whether award was based on competitive bidding, waiver or as preselected contractors, etc.. Also, attach previous CPO Approval and/or PRAC Minutes where appropriate.)

### 3. Purpose of Proposed Contract/Amendment and Description of Goods/Services Requested

### 4. UNDP Financial Rule Provision(s) under which Negotiated Contract/Waiver is Requested

#### A. Rule 114.23(b)

Waivers can only be granted in accordance with provisions (i)-(vi) of UNDP Financial Rule 114.23(b). Please identify the provision(s) set out below under which the waiver is requested.

- (i) prices or rates are fixed pursuant to national legislation or by regulatory bodies;
- (ii) standardization of supplies, equipment or spare parts renders competition impracticable, e.g. items of the same brand must be purchased to replenish or add to existing stock of equipment, or because in the local area services/spare parts are available only for such equipment;
- (iii) exigencies of service do not permit the delay attendant upon the issuance of invitations to bid or requests for proposals, e.g. **true** emergency exists, such as natural disaster or catastrophic accident, or other circumstances beyond the control of project authorities and OPS; (Note: urgent need for equipment which is due to delay of responsible officers/units or failure to plan does **not** qualify for waiver;
- (iv) proposed contract relates to procurement from a sole source or to the procurement of perishable supplies, e.g. spare parts and/or services can only be obtained from one supplier, or only one supplier makes the item needed, based on functional specifications or proprietary technology;
- (v) proposed contract relates to the obtaining of services of specific individuals, other than for staff services, e.g. medical personnel (Note: not normally applicable to UNOPS);
- (vi) invitations to bid or requests for proposals would not give satisfactory results or be in the interest of UNDP, e.g. previous competitive bidding failed to produce responsive bids; commodities in scarce supply can be immediately procured at prices which are not likely to be maintained; when a contract has been awarded to the lowest bidder, it is more advantageous to award the contract to the same bidder for a new identical requirement at the same price; such procurement is justified under the terms of an already reviewed and approved Management Services Agreement.

#### B. Rule 114.17(e) For Negotiated Contracts under MSA situations, if applicable.

- The Assistant Administrator may, in appropriate cases, authorize cooperation with a United Nations agency or public international organization, such as a development bank, in respect of procurement activities, including those for a Government which is also a recipient of UNDP assistance. In these cases, UNDP may, in its actions, be guided by the procurement procedures of the organization or Government concerned.



## **ANNEX 4.12 (page 3/3)**

### **5. Justification for Negotiated Contract/Waiver which further explains the basis for applying the Financial Rule Provision(s) Identified above**

Indicate, if relevant, the following:

- Details and reasonableness of offer, e.g. delivery terms, quality of service, technical evaluation, comparative pricing factors, etc.;
- Availability of spare parts and local maintenance services/ capacity, etc.;
- Reasons why alternative suppliers/contractors could not be recommended;
- Proposed contract's relation to and impact on the sustainability of project activities;
- In MSA situations, clarify all procedures which were guided by procurement rules other than UNDP Rules, pursuant to Rule 114.17 (e), and indicate receipt of an appropriate "no objection" letter, etc. In addition, indicated as relevant that UNDP/OPS maintained control over the integrity of the process.

### **6. Previous Contracts and/or Waivers, if any, with the Proposed Contractor within the past 24 Months, including Information, as available, on such Contracts and Waivers, e.g. type, amount, date and past performance.**

(If such information is not readily available, this section may be left blank pending the development of an OPS data base.)

### **7. Other Comments Concerning this Request**

**ANNEX 4.13  
REQUEST FOR CONTRACT NUMBER**

CBSI Project \_\_\_\_\_ REQUEST FOR CONTRACT NUMBER \_\_\_\_\_ Date: \_\_\_\_\_

NEW CONTRACT  AMENDMENT  NO.

FIRM/ORGANIZATION (FULL NAME) \_\_\_\_\_

---

SUPPLIER HQ COUNTRY: \_\_\_\_\_ Requesting Officer \_\_\_\_\_ Project Unit \_\_\_\_\_  
(i, ii, iii, iv, v, vi)

SUPPLIER TYPE  CO/CF  IGS  GPO  VO  NGO  IRI  WPO

(CO/CF = COMMERCIALY OPERATED/CONSULTING FIRM; IGS = INTERGOVERNMENTAL BODY; GPO = GOVT./  
PARASTATAL ORGANIZATION; VO = VOLUNTARY ORGANIZATION; NGO = NON-GOVERNMENTAL ORGANIZATION;  
IRI = INTERNATIONAL RESEARCH INSTITUTES; NPO = NON-PROFIT ORGANIZATION).

SUBPROJECT No. \_\_\_\_\_

COMPONENT/ACTIVITY \_\_\_\_\_

ACCOUNT CODE: \_\_\_\_\_

BUDGET LINE: \_\_\_\_\_

TOTAL CONTRACT VALUE IN US DOLLARS:  TOTAL CONTRACT VALUE IN LOCAL CURRENCY   
Currency \_\_\_\_\_

AMENDMENT AMOUNT IN US\$ DOLLARS

DATE OF CONTRACT: \_\_\_\_\_

WAIVER OF COMPETITIVE BIDDING: YES  NO

APPROVAL(S) : TYPE MEETING No. DATE

CONTRACT AWARD	_____	_____
PRAC	_____	_____
OPS CHIEF PROCUREMENT OFFICER	_____	_____
	_____	_____

NOT APPLICABLE (\$30,000 UNDER, GPO, IGE, UN BODY)

CONTRACT No.

NOTE: ON RECEIPT OF SIGNED CONTRACT, PLEASE SEND COPIES AS FOLLOWS: (1)ONE COPY TO FINANCE UNIT  
WITH THIS FORM AND RELEVANT PAYMENT SCHEDULES FOR OBLIGATION/PAYMENT PURPOSES, AND  
(2) RETAIN ONE COPY IN PROJECT FILE.

SIGNATURE OF ADMINISTRATIVE and PROCUREMENT OFFICER \_\_\_\_\_ SIGNATURE OF REQUESTING OFFICER \_\_\_\_\_

**ANNEX 4.14**  
**CONTRACT LOG FORMAT**

Contract number	Contract date	Requesting officer	Subproject number	Component	Obligation number	Supplier name	Supplier type	Amount of contract	PRAC/LCC date

## ANNEX 4.15 – LOCAL PURCHASE ORDER



## **ANNEX 4.16 (page 1/4)**

### **POLICY AND PROCEDURES ON POST-FACTO AND RETROACTIVE PROCUREMENT CASES (extract from UNOPS Handbook)**

#### **8.390 Retroactive / post-facto contracts**

Services or works are not to commence until a contractual obligation between UNOPS and the entity has been established either by written "offer" and "acceptance" or by signature of both parties to the contract. Every effort must be made to avoid a situation whereby services commence prior to the establishment of a contract.

UNDP Financial Rule 114.3 "Reservation of funds to meet expenditures" states:

"Apart from the employment of staff under an authorized staffing table, and consequential commitments under the Staff Regulations and Rules, no contract, agreement or undertaking of any nature for an amount to be specified from time to time (currently \$2,500) shall be entered into until funds have been reserved in the accounts, by means of an obligating document...."

The UNDP Financial Rules do not specify what to do in post-facto cases and in those involving retroactivity. However, being aware of the fact that there are indeed such cases, an instruction was issued by UNDP in 1992 requiring that the approval from the UNDP Chief Procurement Officer (CPO) was needed before UNOPS could deal with such cases, i.e. conclude contracts, pay invoices, settle claims and/or accept expenditures as the case may be.

There are two broad categories of potential problems which can occur if Financial Rule 114.3 is not followed:

a) The procurement activity under review has been adequately provided for in the budget, but due process for reserving the funds and establishing the appropriate obligation(s) has not been adhered to.

In this case the procedures set forth below must be followed.

b) Expenditures related to the procurement activity under review exceed the amount provided for in the approved budget. In this case, consultations with the Funding Source and the position of same on the funding issue are to be recorded prior to any proceedings/decision on the matter (subsection 8.392 refers).  
General Procedures.

All UNOPS staff members are expected to make every effort to avoid post-facto or retroactive cases. When they nevertheless do occur, special approval of the Executive Director, as Chief Procurement Officer (CPO) is required before related payments are made or, if already made, for such expenditures to be accepted by UNOPS as legitimate charges against the appropriate budget lines(s). It must also be understood that the approval of the Executive Director, if indeed it is given, does not constitute, and must not be taken as, the establishment of a precedent or justification for not taking the timely and appropriate action(s).

#### **8.391 Procedures for post-facto cases**

A post-facto situation occurs when no contract or purchase order was issued by UNOPS, but the services have already been rendered or the goods purchased and received.

The Portfolio Manager (or other responsible UNOPS personnel) shall request the individual responsible for such occurrence (e.g. the UNOPS HQ/Outpost Staff, CTA, UNDP Resident Representative) to prepare a request to the Executive Director, seeking his approval to either authorize the payment of the invoice or claim received from the contractor or supplier or, if payment has already been processed in the field, to accept such charges as valid expenditures.

## ANNEX 4.16 (page 2/4)

The request for approval shall:

- (i) fully detail the events leading to the case;
- (ii) justify, to the extent possible, the reasons for not having observed Financial Rule 114.3 quoted above;
- (iii) demonstrate the reasonableness of the activity, as well as its economy, efficiency and equity;
- (iv) demonstrate that no loss has been incurred by the Organization as a result of contravening the Financial Rule and that there are no contractual provisions which would still need to be applied (eg., warranties);
- (v) be accompanied by a written statement signed by the "vendor" (i.e. the individual, or the authorized person on behalf of the firm/supplier/entity making the claim) indicating that the vendor's claim or invoice is final, and payment thereof will constitute a final settlement for the case in question (subject to special conditions, if any, that ought to be applied in respect of the particular procurement action);
- (vi) be accompanied by the vendor's claim or invoice duly certified by the project authorities or other responsible UNOPS personnel, so as to indicate that the services have been rendered satisfactorily and/or the goods have been received in full and good order.

The request shall be addressed to the Executive Director by the originator through the Chief of Division/Section, who shall provide separate comments on the issue while transmitting the request to the Executive Director.

The issues listed below in subsection 8.397 are to be addressed in the request for approval and in the separate Chief's comments.

### **8.392 Procedures for post-facto when there are insufficient project funds**

In the case sufficient funds are not available in the project approved budget to cover the full amount of the claim/invoice, the following procedures shall be followed:

- (i) IPF and/or UNDP core funded national projects: the request shall be accompanied by a statement signed by the UNDP Resident Representative (or UNDP officer authorized to allocate project funds) indicating that additional funds shall be provided to absorb the balance.
- (ii) IPF and/or UNDP core funded non-national projects: the request shall be accompanied by a statement signed by the authorized person in the corresponding UNDP Bureau, Division, Unit indicating that additional funds shall be provided to absorb the balance.
- (iii) Projects funded by Trust Funds, other Funding Sources of the United Nations System or other projects implemented under Management Services Agreement: the request shall be accompanied by a statement signed by the authorized officer of the Funding Source indicating that additional funding is authorized/will be provided to cover the balance.

The PM shall ensure that a copy of each request submitted to the Executive Director for approval of post-facto cases be sent to the PRAC Secretary for record keeping.

No contract needs to be prepared nor will a purchase order be issued for post-facto cases.

The claim/invoice shall be settled/paid following approval by the Executive Director.

## **ANNEX 4.16 (page 3/4)**

### **8.393 Procedures for retroactive cases**

A retroactive case occurs when no contract or purchase order was issued, but either the Consultant/Contractor/Supplier has already started rendering services or the goods have been ordered but not yet delivered. In this case, an invoice/claim may not have yet been submitted, and the request for approval shall seek to establish a legally binding relationship between UNOPS and the consultant/contractor/supplier so that future payments of invoices/claims can be effected within the framework of established procedures. If an invoice/claim has already been submitted - for instance for partial services rendered, the request for approval shall additionally seek approval of payment of said invoice/claim, or acceptance of the corresponding charge(s).

A request such as the one outlined above for Post-facto Cases is required and must be submitted to the Executive Director for approval, through the Chief of Division who shall provide separate comments on the issue while transmitting the request to the Executive Director . In this case, the request for approval shall:

- (i) -(iv) as in subsection 8.391 above;
- (v) be accompanied by the vendor's invoice/claim, if any, certified by the project authorities, so as to indicate that the (partial) services have been rendered satisfactorily.

In this case, approval by the Executive Director shall constitute award of contract to the consultant/contractor/supplier pertaining to the case. Thereafter, contracts/purchase orders shall be prepared and issued expeditiously. In the case the value and nature of the contract would have required, under normal circumstances, review by PRAC, the Executive Director may seek the PRAC advise prior to making a final decision.

In the case sufficient funds are not available in the project approved budget to cover the full value of the contract/purchase order to be issued, the same procedures described in 8.392 above shall be followed.

### **8.394 Review by the procurement review and advisory committee (PRAC)**

The Executive Director shall treat each case on its own merits and may request PRAC to review the case and make a recommendation prior to taking a final decision.

### **8.395 Decisions Made by the Executive Director.**

The Executive Director shall render a decision in writing to the originator of the request, and a copy of this decision shall be sent to the PRAC Secretary for record keeping.

### **8.396 Personal responsibility**

According to UNDP Financial Rule 103.2 , UNOPS personnel may be held personally liable for not ensuring that proper rules and regulations are being followed.

### **8.397 Issues Which Must be Addressed in Requests for Approval of Post-Facto / Retroactive Cases**

#### **A. Explanation of circumstances resulting in post-facto / retroactive situation**

1. Explanation of the process: Identify what happened when, who was involved, what were the delays resulting in late submission. Identify any emergency and unusual circumstances. Identify in which way the appropriate processes, precautions and controls were followed and why it still resulted in failure.
2. Identify the person(s) or circumstances responsible for non-compliance with the standard procedures and why it happened;
3. Explain the mechanisms which have been put into place in order to ensure that such a situation does not occur again.

## **ANNEX 4.16 (page 4/4)**

### **B. Reasonableness and acceptability of activity**

4. Details of the Activity, including the nature of services/goods, duration and cost. The activity should be justified in light of the PRODOC, i.e. is it in conformity with project requirements. Finally, there must be evidence of agreement to the activity from, or action by the Government, Beneficiary and the Funding Source as appropriate.

5. Reasonableness of the activity/cost: Demonstrate its economy, efficiency and equity.

6. Successful completion of activity: including certification by designated Certifying Officer that the services have been satisfactorily performed, outputs have been produced (reports, documentation, etc.) and are acceptable to all parties. Evidence this by attaching TOR, reports, certifications, etc.

7. In the case of a contract for Works, a Certificate signed by the engineer should be submitted which states:

a) that the project has been designed and constructed according to the proper specifications; and

b) that no accidents or injuries have occurred during construction which would cause UNOPS to potentially be liable for any damages whatsoever.

### **C. Financial Considerations**

8. Confirm that no loss has occurred to UNOPS or the Funding Source as result of this circumstance.  
If there has been any financial loss, please explain.

**D. Other matters, as appropriate (e.g. special contractual provisions, if any, that ought to be applied in respect of the particular procurement actions such as warranties, etc.)**



**ANNEX 4.17**  
**CONTRACT MONITORING SCHEDULE**

Subproject number \_\_\_\_\_ Project component/activity \_\_\_\_\_  
 Requesting Officer \_\_\_\_\_ Budget Line \_\_\_\_\_  
 Supplier name \_\_\_\_\_ Bank details \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_

**Contract summary**

Document	Number	Amount (in US \$)	Dates (start-end)
Original contract			
Amendment # 1			
Amendment # 2			
Amendment # 3			
Amendment # 4			
<b>Total</b>			

Payment schedule		Obligation		Payments				Unliquidated obligation	Balance due on contract
Milestone	Amount	Number	Amount	Invoice #	Date	Amount	Authorization or check #		
<b>Total</b>									

## ANNEX 4.18

### RECEIVING AND INSPECTION REPORT (RIR)

(TO BE COMPLETED UPON RECEIPT OF CONSIGNMENT(S))

BY THE REGIONAL PROJECT MANAGER OR NATIONAL PROJECT COORDINATOR)

PURCHASE ORDER NO.: \_\_\_\_\_

SUBPROJECT NUMBER AND COMPONENT: \_\_\_\_\_

DATE RIR ISSUED: \_\_\_\_\_

\_\_\_\_\_ VESSEL / AIRLINE

\_\_\_\_\_ BILL OF LADING/AIRWAY BILL NO.

\_\_\_\_\_ DATE OF RECEIPT

\_\_\_\_\_ DATE OF CONTROL

\_\_\_\_\_ CONTROL DONE BY (full name and title)

ITEM	DESCRIPTION	QTY	UNIT PRICE	REMARKS
Packing List No. _____ attached				

#### **IMPORTANT :**

Always attach to this RIR a copy of the packing list signed by the controller. You only need to provide itemized details (item, description, quantity and remarks) in the event of a short-landing or the receipt of damaged goods. Otherwise, in the case of "clean" receipts, simply write of brief statement such as « spare parts as per attached Fiat packing list number ... dated .... ».

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

## **ANNEX 5.1**

### **ASSETS REGISTER WORKSHEET**

#### **Data input in Asset Management System for each capital item:**

- ◆ Tag number
- ◆ Asset location or name of assigned user
- ◆ Date of assignment (updated on the basis of changes)
- ◆ Description of asset
- ◆ Make/model
- ◆ Serial number (if applicable)
- ◆ Supplier name
- ◆ Purchase order number
- ◆ Delivery date
- ◆ Invoice number
- ◆ Invoice date
- ◆ Amount in US dollar and local currency
- ◆ Component code
- ◆ Budget line
- ◆ Reason and removal date (e.g. in the case of loan, repair, disposal)
- ◆ Return date (loan or repair)

#### **Assets Register Worksheet:**

- ◆ By tag number
- ◆ By budget line (i.e. type of equipment)
- ◆ By component code
- ◆ By asset location or user name
- ◆ By acquisition date

## **ANNEX 5.2**

### **LIST OF ABBREVIATIONS FOR PROJECT MANAGEMENT UNIT FUNCTIONS AND LOCATIONS**

#### **Functions**

##### *At PMU level*

RPM	Regional project manager
SCBS1	Stakeholder/Confidence Building Specialist – PMU
SCBS2	Stakeholder/Confidence Building Specialist – ENTRO
SCBS3	Stakeholder/Confidence Building Specialist – NELCU
PIS1	Public Information Specialist – PMU and ENTRO
PIS2	Public Information Specialist – PMU and NELCU
APO	Administrative and procurement officer
OA	Office assistant / Secretary
DRI	Driver

##### *At country level*

NPCXY	National Project Coordinator (XY represent the first 2 letters of the country)
MLPXY	Mid-level Professional (X represents the first 2 letters of the country)

#### **Locations**

STO	Storage room
CONF	Conference room
LIB	Library
KIT	Kitchen
BAT1	Ladies' room
BAT2	Men's room
GAR	Parking garage

## **ANNEX 5.3**

### **UN COMMON CODING SYSTEM (UNCCS) ASSET CODES**

The UNCCS is a common codification system for goods purchased by United Nations entities. The goods are classified by nature, in alphabetical order, and each type of good is assigned a six-digit code.

This coding system shall also be used for the CBSI project assets. The list of codes is available:

- in hard copies at the CBSI project management unit (Finance section) and at the SVP coordination project;
- on-line in the SVP intranet (to be developed).

**ANNEX 5.4**  
**LIST OF EQUIPMENT BY LOCATION**

**FUNCTION OR LOCATION:** \_\_\_\_\_

<b>Budget line</b>	<b>Tag number</b>	<b>Description</b>	<b>Make/model</b>	<b>Serial n°</b>	<b>Status of equipment</b>

Name of user: \_\_\_\_\_

Signature: \_\_\_\_\_  
(For acknowledgement)

Date: \_\_\_\_\_

**ANNEX 5.5  
EQUIPMENT LOAN FORM**

STAFF MEMBER: \_\_\_\_\_ Contract n° \_\_\_\_\_

CONSULTANT: \_\_\_\_\_ Contract n° \_\_\_\_\_

OTHER (Specify): \_\_\_\_\_

I hereby certify that the following CBSI project equipment has been loaned to me:

Date of receipt of equipment: \_\_\_\_\_

Description of equipment: \_\_\_\_\_

Make or Model: \_\_\_\_\_

Serial Number: \_\_\_\_\_

Tag number: \_\_\_\_\_

I acknowledge that this equipment belongs to the Confidence Building and Stakeholder Involvement project and I shall return it immediately upon request from authorized CBSI project personnel and at the latest at the time of separation from the project.

Recipient's signature:

Authorized by:

\_\_\_\_\_

\_\_\_\_\_

**ANNEX 5.6**  
**INVENTORY LIST**

<b>Purchase date</b>	<b>Budget line</b>	<b>Tag n°</b>	<b>Description</b>	<b>Make/model</b>	<b>Serial n°</b>	<b>Status of equipment</b>	<b>Purchase price</b>



**ANNEX 5.7**  
**MINIMUM RETENTION PERIOD FOR EQUIPMENT**

<b>Type of equipment</b>	<b>Minimum retention period</b>
Office furniture	5 years
Computer hardware	3 years
Computer software	3 years
Telecommunications equipment	5 years
Office equipment (photocopier, fax, a/c, ...)	7 years
Small equipment (camera, video projector, ...)	3 years
Vehicles	5 years

**ANNEX 5.8**  
**TEMPORARY REMOVAL OF ASSET FORM<sup>18</sup>**

Staff member name: \_\_\_\_\_

**Is hereby authorized to remove the following CBSI project asset from the premises:**

Description of asset: \_\_\_\_\_

Purpose<sup>19</sup>:  
\_\_\_\_\_

Duration: \_\_\_\_\_

**The staff member shall be held personally responsible for any damage or loss incurred in connection with the above asset.**

Staff member signature: \_\_\_\_\_

Authorized by: \_\_\_\_\_  
(Regional project manager or Administrative and procurement officer)

Date: \_\_\_\_\_

\_\_\_\_\_  
<sup>18</sup> This form is not to be used for the removal of laptop computers assigned to the staff.

<sup>19</sup> This form is not applicable to the removal of an asset for purposes of repair by an authorized supplier.

**ANNEX 5.9  
ASSET DISPOSAL FORM**

Asset description: \_\_\_\_\_

Serial number: \_\_\_\_\_

Tag number: \_\_\_\_\_ Assigned location: \_\_\_\_\_

Date of purchase: \_\_\_\_\_ Acquisition value: \_\_\_\_\_

Reason for disposal: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Possible further use: \_\_\_\_\_

Proposed disposal mode: \_\_\_\_\_

\_\_\_\_\_

---

**FOR ITEMS < \$ 1,500**

Requested by: \_\_\_\_\_  
(Administrative and procurement officer)

Approved by: \_\_\_\_\_  
(Regional project manager)

**FOR ITEMS > \$ 1,500**

Requested by: \_\_\_\_\_  
(Regional project manager)

Approved by: \_\_\_\_\_  
(Nile-SEC Executive director)

**ANNEX 5.10  
REQUEST FOR PERSONAL USE OF PROJECT VEHICLES**

**PART I – AUTHORIZATION FOR PERSONAL USE OF PROJECT VEHICLE**

I hereby request the use of an NBI SVP project vehicle for unofficial purposes as detailed below and accept the terms and conditions set out in the relevant project, NBI and UNOPS manuals and guidelines, and in particular Appendix D of Staff Regulations (for staff members contracted by UNOPS).

DATE	TIME FROM - TO	PURPOSE	VEHICLE DETAILS
Trip 1:			Make:
Trip 2:			Model:
Trip 3:			Plate number:

Requestor’s name and function: \_\_\_\_\_

Requestor’s signature: \_\_\_\_\_ Authorized by: \_\_\_\_\_  
(Regional Project Manager)

Vehicle released by: \_\_\_\_\_  
(Administrative and Procurement Officer)

=====

**PART II – REQUEST TO WAIVE REQUIREMENT OF PROJECT DRIVER**

I further request that the requirement of an NBI SVP project driver be waived and that I be permitted to drive the vehicle. I certify that I possess a valid driving license which is valid in the country(ies) in which I will be driving [ATTACH COPY OF DRIVING LICENSE].  
I undertake to complete the vehicle log. I also agree to reimburse the cost of the usage of this vehicle to the project as per the prevailing reimbursement rates of the office<sup>20</sup>.

Requestor’s signature: \_\_\_\_\_ Authorized by: \_\_\_\_\_  
(Administrative and Procurement Officer)

<sup>20</sup> Reimbursement rates, which are updated regularly, may be obtained from the UNOPS NBIU upon request.

**ANNEX 5.11  
VEHICLE LOG**

**Vehicle Plate Number:** \_\_\_\_\_

**Assigned Driver :**\_\_\_\_\_

DATE	TIME		MILEAGE		TRIP		FUEL PURCHASE		Driver
	Departing	Arrival	Departing	Arrival	Destination	Passenger/purpose	Mileage	Quantity	signature

**ANNEX 5.12  
VEHICLE HISTORY RECORD**

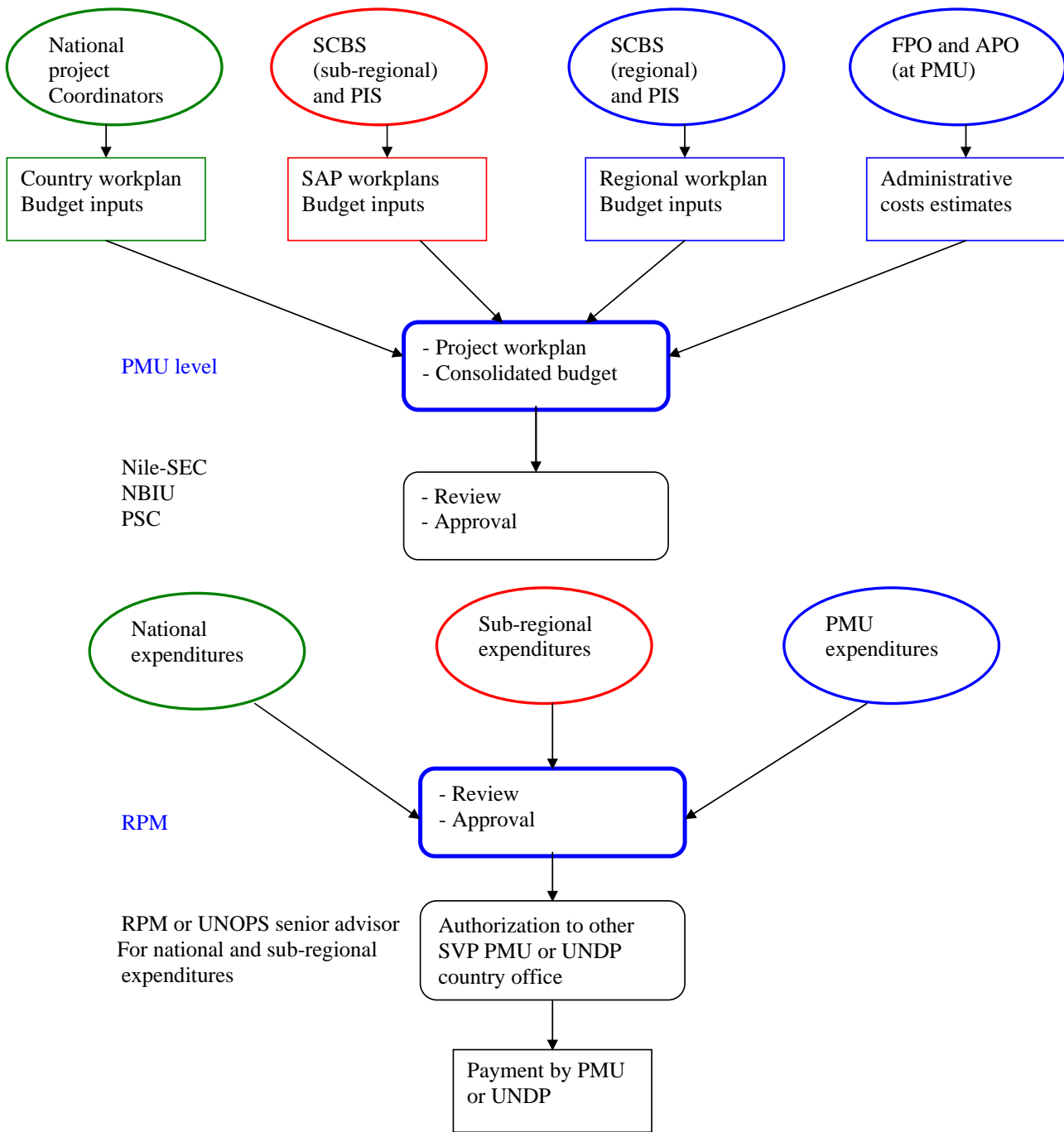
Vehicle Plate Number: \_\_\_\_\_

Date	REPAIRS			SERVICE & MAINTENANCE			INSURANCE			TECHNICAL CHECKS		
	Description of	Garage	Cost in	Description of	Garage	Cost in	Type	Period covered	Cost in	Date	Cost in	Checked by
	repair		US\$	service		US\$			US\$		US\$	

**Report accidents in the space below providing all relevant details for each occurrence, i.e.:**

- date
- place
- driver's name
- circumstances
- damage to cars
- injuries
- insurance settlement

**ANNEX 6.1  
FINANCE WORKFLOW**



## ANNEX 6.2

### ATLAS Grant COMPONENT CODES, PROJECT REFERENCES and ACCOUNTS

#### Atlas project references and grand component codes

Atlas project code	Component number	Component title
000xxxxx	1	Regional, Sub-regional and National Implementation and Facilitation
000xxxxx	2	Public Information
000xxxxx	3	Stakeholder Involvement
000xxxxx	4	Confidence Building

#### Budget accounts

Accounts	Description
Refer to Atlas chart of accounts shown in Annex 6.1A	
	International staff
	International consultants
	National support staff
	Official travel
	Mission cost – UNOPS
	Mission cost – Other
	National professional staff (National project coordinators)
	National consultants
	Subcontracts and grants
	Training, workshops and study tours
	Procurement
	Miscellaneous (translation, reports, communication, audit,...)



**ANNEX 6.2A (next 6 pages)**  
**ATLAS CHART OF ACCOUNTS (Budget and Expenditure items)**

Account	Description	Budget Account	Expense Account
60000	Regular Staff Costs	Y	
61000	Salary Costs - Regular Staff	Y	
61100	Salary Costs - NP Staff	Y	
61105	Salaries - NP Staff		Y
61200	Salaries Costs - GS Staff	Y	
61205	Salaries - GS Staff		Y
61210	Dependency Allowances-NP Staff		Y
61215	Contrib. to Jt Pension Fund-NP Staff		Y
61220	Contrib. to Med, Soc Ins-NP Staff		Y
61300	Salary & Post Adj. Cost-IP Staff	Y	
61305	Salaries - IP Staff		Y
61310	Post Adjustment - IP Staff		Y
62000	Recur Payroll Costs- Reg. Staff	Y	
62100	Recur Payroll Costs - NP Staff		Y
62105	Dependency Allowance-NP Staff		Y
62110	Contrib. Joint Staff Pension-NP		Y
62115	Contrib. to Med., Soc. Ins-NP Staff		Y
62120	Hazard Duty Station Allow-NP		Y
62200	Recur Payroll Costs-GS Staff	Y	
62205	Dependency Allow - GS Staff		Y
62210	Contrib. to Joint Staff Pens Fund-GS		Y
62215	Contrib. to Medical, social In		Y
62220	Language Allowance - GS Staff		Y
62225	Hazard Duty Station Allow-GS		Y
62300	Recurrent Payroll Costs-IP Staff	Y	
62305	Dependency Allowances-IP Staff		Y
62310	Contrib. to Joint Staff Pens Fund-IP		Y
62315	Contrib. to medical, social in		Y
62320	Assign. hardship & mobility allow		Y
62325	Represent Allow (excl hsp. payment)		Y
62330	Rental Supplements - IP Staff		Y
62335	Hazard Duty Station Allow-IP		Y
63000	Non-Payroll Staff Cost-Regular	Y	
63100	Non-Recurrent Payroll - NP Staff	Y	
63105	Compensatory Payments-NP Staff		Y
63110	Ex-gratia Payments-NP Staff		Y
63115	Reimb. of Income Tax-NP Staff		Y
63120	Repat. Grant/ Comm. Annual Lv-NP		Y
63125	Termination indemnity-NP Staff		Y

<b>Account</b>	<b>Description</b>	<b>Budget Account</b>	<b>Expense Account</b>
63130	Contrib. Dispensary Cost-NP Staff		Y
63200	Non-Recurrent Payroll - GS Staff	Y	
63205	Compensatory Payments-GS Staff		Y
63210	Ex-gratia payments-GS Staff		Y
63215	Reimb. of Income Tax-GS Staff		Y
63220	Repat. Grant/ Comm Annual Lv-GS		Y
63225	Termination Indemnity-GS Staff		Y
63230	Contrib. Dispensary Cost-GS Staff		Y
63300	Non-Recurrent Payroll - IP Staff	Y	
63305	Installation Allowance-IP Staff		Y
63310	Repat. Grant/ Comm Annual Lv-IP		Y
63315	Compensatory payments-IP Staff		Y
63320	Medical evacuation - IP Staff		Y
63325	Security Evacuation - IP Staff		Y
63330	Ed Grant incl. Trvl & Allow-IP Staff		Y
63335	Home Leave Trvl & Allow-IP Staff		Y
63340	Proc trips/Rest & Recup. -IP Staff		Y
63345	Ex-gratia Payments-IP Staff		Y
63350	Reimb. of Income Tax-IP Staff		Y
63355	Termination Indemnity-IP Staff		Y
63360	Medical Exams(incl. Pre-employ.)		Y
63365	Special Operations Living Allow-IP		Y
63370	Assignment Allowance-IP Staff		Y
63400	Learning Costs	Y	
63405	Learning Costs		Y
63500	Insurance and Security Costs	Y	
63505	Hazard Insurance		Y
63510	War Insurance		Y
63515	Security-related Costs		Y
63520	Personal Security Measures		Y
63525	Competency Assessment		Y
64000	Staff Mgmt Costs - Regular Stf	Y	
64100	Staff Mgmt Costs-NP Staff	Y	
64105	Appointments - NP Staff		Y
64110	Separations - NP Staff		Y
64115	Competency Assessment - NP Stf		Y
64200	Staff Mgmt Costs - GS Staff	Y	
64205	Appointments - GS Staff		Y
64210	Separatations - GS Staff		Y
64215	Competency Assessment - GS Stf		Y
64300	Staff Mgmt Costs - IP Staff	Y	
64305	Appointments - IP Staff		Y
64310	Separations - IP Staff		Y

<b>Account</b>	<b>Description</b>	<b>Budget Account</b>	<b>Expense Account</b>
64315	Detail Assignments - IP Staff		Y
64320	Reassignments - IP Staff		Y
64325	Recruitments - IP Staff		Y
64330	Competency Assessment-IP Staff		Y
65000	Costs Related to Retired Staff	Y	
65100	After Service Insurance	Y	
65105	Contrb Med Ins Plan-Retiree-NP		Y
65110	MIP Claims		Y
65115	Contributions to ASHI Reserve		Y
66000	Overtime Costs	Y	
66100	Overtime & Night Differential	Y	
66105	Overtime & Night Differential		Y
70000	Operating Expenses	Y	
71000	Other Personnel Expenses	Y	
71100	ALD Employee Costs	Y	
71105	Salaries - ALD		Y
71110	Medical Insurance - ALD		Y
71115	Contr to Jt Staff Pens Fd-ALD		Y
71120	Reimb of Income Tax-ALD		Y
71125	Special Oper Living Allow-ALD		Y
71130	Mission Allowance - ALD		Y
71135	Appoint/Sep Cost Incl Trvl-ALD		Y
71140	Hazard Duty Station Allow-ALD		Y
71200	International Consultants	Y	
71205	Intl Consultants-Sht Term-Tech		Y
71210	Intl Consultants-Sht Term-Supp		Y
71300	Local Consultants	Y	
71305	Local Consult.-Sht Term-Tech		Y
71310	Local Consult.-Short Term-Supp		Y
71400	Contractual Services - Individ	Y	
71405	Service Contracts-Individuals		Y
71500	UN Volunteers	Y	
71505	UN Volunteers-Stipend & Allow		Y
71510	UNV Settling-In-Grant		Y
71515	UNV-Security Allowance		Y
71520	UNV-Language Allowance		Y
71525	UNV-Hazard Pay		Y
71530	UNV-Rest and Recuperation		Y
71535	UNV-Medical Insurance		Y
71540	UNV-Global Charges		Y
71545	UNV-Home Leave Travel & Allowa		Y
71550	UNV-Resettlement Allowance		Y
71610	Travel Tickets-Local		Y

<b>Account</b>	<b>Description</b>	<b>Budget Account</b>	<b>Expense Account</b>
71615	Daily Subsistence Allow-Intl		Y
71620	Daily Subsistence Allow-Local		Y
71625	Daily Subsist Allow-Mtg Partic		Y
71630	Shipment		Y
71635	Travel - Other		Y
72000	General Operating Expenses	Y	
72100	Contractual Services-Companies	Y	
72105	Svc Co-Construction & Engineer		Y
72110	Svc Co-Agricultural Management		Y
72115	Svc Co-Natural Resources & Env		Y
72120	Svc Co-Trade and Business Serv		Y
72125	Svc Co-Studies & Research Serv		Y
72130	Svc Co-Transportation Services		Y
72135	Svc Co-Communications Service		Y
72140	Svc Co-Information Technology		Y
72145	Svc Co-Training and Educ Serv		Y
72150	Svc Co-Manufacturing Services		Y
72155	Svc Co-Public Admin, Politics		Y
72160	Svc Co-Education & Health Serv		Y
72165	Svc Co-Social Svcs, Social Sci		Y
72170	Svc Co-Humanitarian Aid & Relf		Y
72175	Svc Co-Urban, Rural & Regional		Y
72200	Equipment and Furniture	Y	
72205	Office Machinery		Y
72210	Machinery		Y
72215	Transporation Equipment		Y
72220	Furniture		Y
72225	Sale of Equip & Furniture		Y
72300	Materials & Goods	Y	
72305	Agri & Forestry Products		Y
72310	Minerals, Mining & Metal Prdcts		Y
72315	Food & Textile Products		Y
72320	Wood & Paper Products		Y
72325	Chemical, Glass, NonMetallic Prd		Y
72330	Medical Products		Y
72335	Pharmaceutical Products		Y
72340	Contraceptive Pills		Y
72341	Contraceptive-IUDs		Y
72342	Contraceptives-Condoms		Y
72343	Contraceptives-Injectables		Y
72344	Contraceptives-Implants		Y
72345	Contraceptives-Spermicides		Y
72399	Other Materials and Goods		Y

<b>Account</b>	<b>Description</b>	<b>Budget Account</b>	<b>Expense Account</b>
72400	Communic & Audio Visual Equip	Y	
72405	Acquisition of Communic Equip		Y
72410	Acquisition of Audio Visual Eq		Y
72415	Courier Charges		Y
72420	Land Telephone Charges		Y
72425	Mobile Telephone Charges		Y
72430	Postage and Pouch		Y
72435	E-mail-Subscription		Y
72440	Connectivity Charges		Y
72445	Common Services-Communications		Y
72500	Supplies	Y	
72505	Stationery & other Office Supp		Y
72510	Publications		Y
72600	Grants	Y	
72605	Grants to Instit & other Benef		Y
72610	Micro Capital Grants-Credit		Y
72615	Micro Capital Grants-Other		Y
72700	Hospitality	Y	
72705	Hospitality-Special Events		Y
72710	Hospitality-Vouchered Expenses		Y
72800	Information Technology Equipmt	Y	
72805	Acquis of Computer Hardware		Y
72810	Acquis of Computer Software		Y
72815	Inform Technology Supplies		Y
73000	Overhead Expenses	Y	
73100	Rental & Maintenance-Premises	Y	
73105	Rent		Y
73110	Custodial & Cleaning Services		Y
73115	Moving Expenses		Y
73120	Utilities		Y
73125	Common Services-Premises		Y
73200	Premises Alternations	Y	
73205	Premises Alternations		Y
73300	Rental & Maint of Info Tech Eq	Y	
73305	Maint & Licensing of Hardware		Y
73310	Maint & Licencing of Software		Y
73315	Leasing of Hardware		Y
73400	Rental & Maint of Other Equip	Y	
73405	Rental & Maint-Other Office Eq		Y
73410	Maint, Oper of Transport Equip		Y
73500	Reimbursement Costs	Y	
73505	Reimb to UNDP for Supp Srvs		Y
73510	Reimb to UN for Supp Srvs		Y

<b>Account</b>	<b>Description</b>	<b>Budget Account</b>	<b>Expense Account</b>
73515	Reimb to UN for Ext Audit Srvs		Y
73520	Reimb UN Sys Entity Supp Srvs		Y
74000	Miscellaneous Operating Expens	Y	
74100	Professional Services	Y	
74105	Management and Reporting Srvs		Y
74110	Audit Fees		Y
74115	Legal Fees		Y
74120	Capacity Assessment		Y
74200	Audio Visual&Print Prod Costs	Y	
74205	Audio Visual Productions		Y
74210	Printing and Publications		Y
74215	Promotional Materials and Dist		Y
74220	Translation Costs		Y
74225	Other Media Costs		Y
74230	Audio & Visual Equipment		Y
74300	Contributions	Y	
74305	Contributions to CCAQ		Y
74310	Contributions to JIU		Y
74315	Contributions to ICSC		Y
74320	Contributions to CEB Activity		Y
74400	Provisions & Write-offs	Y	
74405	Charge for Doubtful Accounts		Y
74410	Charges on Fin Completed Projs		Y
74500	Miscellaneous Expenses	Y	
74505	Insurance		Y
74510	Bank Charges		Y
74515	Claims and Adjustments		Y
74520	Storage		Y
74525	Sundry		Y
74600	Prepaid Project Expenses	Y	
74605	Prepaid Project Expenses		Y
74610	Prepaid DSA		Y
75000	Facilities and Administration	Y	
75100	Facilities & Administration	Y	
75105	Facilities & Admin - Implement		Y
75110	Facilities & Admin - Services		Y
75115	Facilities & Admin - OH & Ind		Y

**ANNEX 6.3  
BUDGET FORMAT**

**CBSI PROJECT BUDGET – COMPONENT 000xxxxx – YEAR 20YY**

<b>Account</b>	<b>Description</b>	<b>Budget by activity</b>				<b>Total budget</b>
		<b>Administrative costs</b>	<b>Activity 1 / name</b>	<b>Activity 2 / name</b>	<b>Activity 3 / name</b>	<b>Total</b>
<b>Refer to Atlas Chart of accounts in Annex 6.1A</b>	International staff					
	International consultants					
	National support staff					
	Official travel					
	Mission cost – UNOPS					
	Mission cost – Others					
	National project coordinators					
	National consultants					
	Subcontracts and grants					
	Training, workshops and study tours					
	Procurement					
	Miscellaneous (translation, reports, communication, audit,...)					
	<b>TOTAL</b>					

**ANNEX 6.4**  
**BUDGET WORKSHEET**

**CBSI PROJECT – SUBPROJECT 000xxxxx**  
**MONTH/YEAR MM/20YY**

Account	Description	Approved budget	Year-to-date obligations	Year-to-date disbursements	Total expenditures	% spent	Available balance
<b>Refer to Atlas Chart of accounts in Annex 6.1A</b>	International staff						
	International consultants						
	National support staff						
	Official travel						
	Mission cost – UNOPS						
	Mission cost – Others						
	National project coordinators						
	National consultants						
	Subcontracts and grants						
	Training, workshops and study tours						
	Procurement						
	Miscellaneous (translation, reports, communication, audit,...)						
	<b>TOTAL</b>						



**ANNEX 6.5**  
**DAILY OBLIGATION LOG**

CBSI PROJECT – Date (DD/MM/YY)

Requestor's initials	Activity	Recipient name	Recipient type	Description of payment	Component code	Account	Amount requested	Obligation number <sup>21</sup>
<b>TOTAL</b>							<b>US\$ xxxx</b>	

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<sup>21</sup> Provided by UNOPS HQ after input in Atlas system.

## **ANNEX 6.6**

### **IMPREST ACCOUNT GUIDELINES**

The imprest account guidelines are available:

- in both hard and soft copies at the CBSI project management unit (Finance section);
- on-line in the SVP intranet (to be developed) and the UNOPS intranet ([www.unops.org/intra.html](http://www.unops.org/intra.html)).

**ANNEX 6.7  
DISBURSEMENT VOUCHER**

Voucher #	Date	Check #	Exchange rate	Payee name/address
Description	Component code and account	Obligation number	Amount in local currency	Amount in US \$
Prepared by	Certified by	Approved by		Payment received by
Administrative and Procurement Officer	Regional project manager	UNOPS Administrative/Finance Specialist		Name, signature and date

## **ANNEX 6.8**

### **FUNCTIONS OF CERTIFYING AND APPROVING OFFICERS**

#### **I. Certifying officers**

1. Ensure that the proposed commitment/expenditure is properly authorized and is in accordance with the obligations received from UNOPS, i.e.
  - ◆ the expenditure is in accord with the purpose for which the relevant obligation was made;
  - ◆ sufficient funds are available under the obligation.
2. Certify that the expenditure is correct and in accordance with financial regulations, rules, policies and planned activities.
3. Confirm that the goods/services were received as per the purchase order or contract and that the project was billed for the correct amount.
4. Ascertain that there are sufficient funds in the bank account to make the related payment(s).
5. Ensure that cash receipts and payments are recorded under the correct accounts (component codes, accounts).

#### **II. Approving officers**

1. Verify that payment has not previously been made, and that no other information is available that should prevent payment..
2. Ensure that the payment is supported by proper documentation and that it is in accordance with the terms of the contract.
3. Ensure that payment is made against a recorded commitment entered into by the designated certifying officer.
4. Maintain updated and accurate records on commitments and/or payment authorizations to determine funds availability.
5. Approve the disbursement on the basis of the duly certified supporting documents indicating that the goods or services have been received in accordance with the documents establishing the obligation.

***NOTE:*** *The signature of the certifying officer is antecedent to that of the approving officer. The responsibilities assigned to certifying and approving officers are personal and cannot be further delegated. These officers should sign in their own name, and no one should sign “for” a certifying or approving officer.*

**ANNEX 6.9**  
**CASH RECEIPTS VOUCHER**

Voucher #	Date	Paid by	Exchange rate	Payor name/address
Description	Component code and account	Obligation number	Amount in local currency	Amount in US \$
Prepared by	Certified by	Approved by		Deposited by
Administrative and Procurement Officer	Regional project manager	UNOPS Administrative/Finance Specialist		Name, signature and date

**ANNEX 6.10**  
**PETTY CASH REQUEST FORM**

Date: \_\_\_\_\_

Requested by : \_\_\_\_\_  
 Name

Mode of payment \_\_\_\_\_

\_\_\_\_\_  
 Signature

- Reimbursement**
- Advance**

Description of purchases (goods/services)	Unit price	Quantity	Total price	Explanation / Comments
<b>TOTAL AMOUNT*</b>				

\_\_\_\_\_  
**Approved by**  
 (FPO)

\_\_\_\_\_  
**Processed by**  
 (Administrative and Procurement Officer)

\_\_\_\_\_  
**Payment received**

\* The total amount must not exceed the equivalent in local currency of US\$100.

## ANNEX 6.11

### MODEL FINANCIAL MONITORING REPORTS

The quarterly financial monitoring report includes the following elements:

- Discussion of project progress (including procurement issues)
- Statement of receipts and disbursements
- Uses of funds by project activities
- Physical progress report
- Procurement monitoring report

A model statement of receipts and disbursements (showing sources and uses of project funds) is shown below:

<b>Confidence Building and Stakeholder Involvement Project</b> <b>Statement of receipts and disbursements</b> For quarter ended mm/dd/yy <i>in thousands of US dollars</i>			
	Quarter	Cumulative	Forecast: next 6 months
<b>Cash receipts</b>			
NBTF funds			
<b>Total financing</b>			
<b>Less: expenditures by component</b>			
Implementation and facilitation			
Public information			
Stakeholder involvement			
Confidence building			
Other			
<b>Total expenditures</b>			
<b>Excess of receipts over payments</b>			
Plus: foreign exchange difference			
<b>Net change in cash</b>			
Opening cash balance			
Add: net change in cash			
<b>Net cash available</b>			
<b>Closing cash balance</b>			

The complete guidelines for the World Bank financial monitoring reports (FMRs) are available:

- in hard copy at the CBSI project management unit (Finance section);
- on-line in the SVP intranet (to be developed) and the World Bank website ([www.worldbank.org](http://www.worldbank.org)).

## ANNEX 7.1

### TERMS OF REFERENCE / GENERIC JOB PROFILE (Sample)

**Job Profile Name:** Portfolio Manager  
**Grades Available:** ICS 10-12 (P-3, P-4, P-5)

**Location:** These positions are found in regional and thematic divisions at Headquarters and in Decentralized Offices. The Portfolio Manager reports to the Division Chief or the designate

**Accountabilities:** Within delegated authority, the Portfolio Manager will be responsible for the following duties: *(These duties are generic and thus, not all duties are carried out by all Portfolio Managers).*

- Analyze current and potential portfolio, identifying appropriate approaches and staffing structure for handling the portfolio and support required from other colleagues;
- Prepare, or arrange for preparation, a work plan for managing major projects in his/her portfolio in which UNOPS is the executing agency;
- Review and comment on operational aspects of proposed projects and analyze implementation approaches for soundness, feasibility and cost implications.
- Monitor all aspects of project progress and implementation and undertake start-up, supervision, review and other periodic missions, identify operational and financial problems and find workable solutions;
- Initiate and obtain approval to changes in project components to attain project objectives more effectively; negotiate allocation of additional funds as needed;
- Prepare project and budget revisions in consultation with the recipient government, UNDP Country office and the relevant Bureau and/or Funding Agency;
- Correspond with involved parties and analyze and evaluate reports;
- Organize and lead technical field missions with the possible participation of representatives from IFAD, co-financiers and the recipient Govt. and with or without participation of expert consultants; handle the loan administration of projects for IFAD and other International Funding Institutions (IFIs).
- Prepare Terms of Reference for subcontractors; propose lists of suitable firms or institutions; prepare tenders; evaluate proposals received; make recommendations for contract awards; negotiate with successful bidder;
- Prepare contract documents and letters of agreement with institutions and UN agencies; administer contracts and agreements and process amendments, when required;
- Develop and implement strategies and procedures for improving client relations and services; actively pursue business development opportunities;
- Maintain close and frequent contact with Governments, country offices, bureaus and IFIs in order to identify and pursue business opportunities within UNOPS' geographic and thematic scope, initiating the necessary associated arrangements;
- Represent UNOPS in negotiations, meetings and follow-ups with donors, governments, clients and others, including calculating and justifying the cost of UNOPS services;
- Guide and train CTAs, managers, and other staff in appropriate UNOPS policies and procedures;
- Organize training as necessary;
- Perform other related duties, as required.



**Results Expected:**

**At Level P-3:** Work prepared with some supervision from senior PM; non-routine actions are discussed with division chief before decisions are taken.

**At Level P-4:** Independently prepared work but discussed with supervisor from time to time and final results discussed with senior staff or division chief; provide guidance and support to more junior staff.

**At Level P-5:** Independently developed approach to be followed knowing when to seek advice from division chief; manage and provide advice to clusters or more junior staff.

**Critical Success Factors:**

**At Level P-3:** Good analytical skills; resourcefulness, initiative, maturity of judgement, tact, negotiating skills; ability to communicate clearly both orally and in writing; ability to work in a team, and establish effective working relations with persons of different national and cultural backgrounds.

**At Level P-4:** Demonstrated effectiveness in dealing with senior government officials and interest and capacity to interact with project beneficiaries and local organizations, including NGOs; strong interpersonal and communication skills; ability to draft technical reports

**At Level P-5:** Effective leadership in advocating the strategic focus of the projects and their relationship to the country's strategy; proven ability to handle a complex, multi-dimensional portfolio with demonstrated managerial skills.

**Qualifications:**

Education: Advanced university degree, preferably in one or more of the following disciplines: international affairs, business administration, social sciences, economics, agriculture, environmental studies, development studies or another field relevant to international development assistance.

Experience:

**At Level P-3:** At least five years post graduate, progressively responsible experience in development administration, or interagency experience.

**At Level P-4:** At least seven years, post graduate, progressively responsible experience in public sector management and development projects with experience in project design and management.

**At Level P-5:** At least 10 years, post graduate, progressively responsible experience, both in the field and Headquarters and in public sector management and development projects with significant international exposure to project design and management.

Language: Fluency in both written and oral English and working level proficiency in another UN language.

Other Desirable Skills:

Relevant experience in the private sector; knowledge of UNOPS/UNDP regulations, rules, policies, procedures and practices, including procurement procedures. Full proficiency in a second UN language.

## ANNEX 7.2 SAMPLE VACANCY ANNOUNCEMENT

[INSERT CLIENT'S LOGO AS APPROPRIATE]

The United Nations Office for Project Services (UNOPS), a major service provider of project management and implementation services to [INSERT NAME OF FUNDING AGENCY OR USE "the United Nations System and developing countries"], seeks qualified applicants for the following position:

<b>Vacancy No.:</b>	e.g. ENVP/...	[INSERT AS APPROPRIATE]
<b>Post Title:</b>	...	[INSERT AS APPROPRIATE]
<b>Post Level:</b>	ICS-.. (G-..; P-../L-..)	[INSERT AS APPROPRIATE]
<b>Duty Station:</b>	...	[INSERT AS APPROPRIATE]
<b>Duration:</b>	...	[INSERT AS APPROPRIATE]
<b>Closing Date:</b>	..., 200X	[INSERT AS APPROPRIATE]

### Project Background

[INSERT BRIEF DESCRIPTION OF THE BACKGROUND, ANTICIPATED OUTPUTS AND OUTCOMES, AND COOPERATION WITH CLIENTS AND OTHER PARTNERS; MAX 100 WORDS]

### Duties and Responsibilities

Directly reporting to [INSERT TITLE OF SUPERVISOR], the specific duties and responsibilities of the [INSERT POST TITLE] are as follows:

- ...

### Minimum Experience and Qualifications

- ...
- ...
- ... is an asset.

Qualified candidates may submit an application, including an updated United Nations Personal History Form (P.11) to [INSERT NAME, TITLE AND ADDRESS]. Additionally, a CV and/or an accompanying letter may be attached. Applications may be transmitted by post or by fax to [INSERT FAX NUMBER] or, preferably, by e-mail to [vacancies@unops.org](mailto:vacancies@unops.org). If transmitted by e-mail, kindly indicate the vacancy number and the post title in the subject line of the email..

### **Please note that:**

- Applications received after the closing date will not be considered.
- Only those candidates that are shortlisted for interviews will be notified.
- Qualified female candidates are strongly encouraged to apply. [IN CASE OF P-LEVEL POST]
- Qualifications being equal, preference will be given to UNOPS applicants and UNDP staff members assigned to UNOPS.
- UNOPS reserves the right to appoint a selected candidate at a level below the advertised level of the post.
- For further details on UNOPS, please refer to our website at [www.unops.org](http://www.unops.org)

# ANNEX 7.3 EVALUATION GRID

Evaluation Chart  
 [Functional title], [Division]  
 VA / .. / .. [vacancy number]

	Weight	Candidate 1	Candidate 2	Candidate 3	Candidate 4	Candidate 5
<b>A Core competencies</b>	40-45					
Interpersonal/leadership skills and team approach						
Communication skills, both verbally and in writing						
Organisational, analytical and negotiation skills						
Resourcefulness, initiative and maturity of judgement						
<b>B Technical knowledge/experience</b>	45-50					
Relevant work experience						
Experience in project design and management						
Demonstrated experience in dealing with a diversified client base						
Knowledge of UNOPS/UNDP/UN rules, regulations, policies, procedures and practices						
<b>C Academic qualifications and language skills</b>	10-20					
Academic qualifications						
Language skills						
<b>GRAND TOTAL</b>	<b>95-115</b>					

(weights are examples only)

## ANNEX 7.4 – PERFORMANCE APPRAISAL FORM (ALD)

<b>ALD Appointee's Name:</b>			<b>Title:</b>	
Last			<b>Index No.:</b>	
First		Middle Initial		
<b>Band:</b>		<b>Review Period:</b> (Day / Month / Year) <b>From</b> <b>to</b>		
<b>Project Number:</b>		<b>Duty Station:</b>		
<b>Country Office/Bureau/Division:</b>				
<b>Personnel Use Only: Agreed Band:</b>				
The purpose of this report is a balanced appraisal of the performance of ALD appointees during the review year in relation to the Individual Performance Plan (IPP) or detailed Terms of Reference (TOR). This report is to reflect discussions between the supervisor and the individual on performance during the year and summarize key elements of performance. Please attach copy of updated IPP or TOR.				

<b>Section 1: ALD Appointee's Summary Evaluation of Performance</b>
Please comment briefly on how well you believe you were able to meet your performance expectations over the year in terms of your IPP or TOR. This section is also to include comments on unforeseen events and how well you believe the IPP or TOR set reasonable expectations as regards the activities to be undertaken.

<b>Section 2: Supervisor's Written Appraisal of Performance</b>
Evaluate how well the individual met performance expectations during the review year, with reference to the IPP or TOR. This evaluation is to be a balanced brief assessment of the key elements of the work, supported by short description of significant achievements, if any, in performing the required activities. Comment also on unforeseen events or work demands that affected performance.
<p><b>(For appraisal of managerial and supervisory personnel:</b> For individuals with managerial or supervisory responsibilities, comments on their managerial or supervisory performance must be comprehensive. Comment on major elements of performance, including relevant performance dimensions applicable to managerial/supervisory positions. Estimate what portion of the manager/supervisor's time is spent on managerial or supervisory work.)</p>

## ANNEX 7.4 – PAR (ALD) page 2

Section 3: Supervisor's Rating					
Indicate the rating which best defines the individual's performance during the review period with special reference to the IPP or TOR:					
<input type="checkbox"/>	<b>Fully Satisfactory:</b> Fully met the expectations of the IPP or the TOR (3)				
<input type="checkbox"/>	<b>Unusual Contribution:</b> Exceeded by far the expectations of IPP or TOR (1)				
<input type="checkbox"/>	<b>Exceptional:</b> Frequently exceeded the expectations of the IPP or TOR (2)				
<input type="checkbox"/>	<b>Needs Improvement in Some Important Areas:</b> Met some (or most) of the expectations of the IPP or TOR (4)				
<input type="checkbox"/>	<b>Not Satisfactory:</b> Did not meet fundamental requirements of IPP or TOR (5)				
<b>Management Review of Rating:</b>	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>

Section 4: Individual's Final Comments

Section 5: Signatures
Signed: _____ Date: _____ <p style="text-align: center; margin-left: 50px;"><b>ALD Appointee's Signature</b></p>
Signed: _____ Date: _____ <p style="text-align: center; margin-left: 50px;"><b>Supervisor's Name, Title &amp; Signature</b></p>

Section 6 (i) Management Review Group Comments or Portfolio Manager's Comments (in the absence of MRG)		
(Indicate MRG Final Rating in Section 3):	Merit increase	
	Approved %	%

Section 6 (ii) Management Review Signature:	
Signed: _____ Date: _____	
<b>Chairperson's Signature</b>	
_____ Date: _____	
<b>Name and Title</b>	

Section 6 (iii) Management Review Comments seen by ALD appointee:	
Signed: _____ Date: _____	
<b>ALD Appointee's Signature</b>	

**Schedule of Merit increases**

Rating 3 = 2 to 3 %

Rating 2 = 4 to 5%

Rating 1 = 6 to 7%

## ANNEX 7.5 – PERFORMANCE EVALUATION (SSA)

<b>Name:</b>			
<b>Division/Section:</b>		<b>Date Of Assignment From:</b>	

*Overall rating:* A=Excellent; B=Very Good; C=Good; D=Poor; E=Unsatisfactory

1. Technical Skills Requested	A	B	C	D	E
Ability to apply specific skills required for the assignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Drafting/Writing/Presentation Skills (where applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language Skills (where applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Performance	A	B	C	D	E
Comprehension Skills (e.g. capable of transferring knowledge and skills to his/her duties, demonstrates high level of proficiency, keeps himself/herself informed of developments in a specific technical field)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Efficiency (e.g. ability to prioritize, focus-oriented approach to work planning)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiative/Resourcefulness (e.g. ability to follow through with a plan or task, demonstrate enterprise)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Thoroughness/Quality and Quantity of Work (e.g. expresses thoughts and arguments clearly, accurately and succinctly, communicates views in a coherent manner, demonstrates analytical and conceptual abilities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Punctuality (e.g. is the individual punctual in attending meetings, in producing outputs, in adhering to official working hours)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Personality	A	B	C	D	E
Adaptability/Flexibility (e.g. adaptable to changing work environment, susceptible to logic and reason, responsive to needs for change)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal Relations (e.g. clear understanding of client needs, ability to communicate and negotiate effectively)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teamwork (e.g. demonstrates participatory approach)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maturity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Extent to which outputs meet all requirements:

5. Would you request this individual to work under SSA Contract again?... Yes  No

6. Are there reasons for restricting access to the information in Parts 2,3 and 4? Yes  No

7. Additional comments on the performance of the individual (please attach additional sheet(s) if necessary):

Supervisor's Name:
--------------------

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**ANNEX 7.6 – Van Breda claim form (Service Contracts)**

**| Memorandum |**

Date: \_\_\_\_\_

To: j. Van Breda & Co.  
 Post Office Box 15  
 B-2018 - Antwerp 19  
 Belgium

For attention of MmeSarah Geerts

From: UNOPS Office in \_\_\_\_\_

Subject: Reimbursement of Medical Expenses

\_\_\_\_\_  
 Name of the Service Contract holder

\_\_\_\_\_  
 Project No. and Title for which Service Contract holder  
 is working

Enclosed please find:

Amount	Currency	Description

Mail cheque to:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

I certify that the above-mentioned Service Contract holder was employed by UNOPS at the time of the illness or treatment covered by this claim. Period covered is \_\_\_\_\_ through \_\_\_\_\_.

Administrative Office signature \_\_\_\_\_

Name:

\_\_\_\_\_

Date:

\_\_\_\_\_

**ANNEX 7.7**

**NPPP Monthly Attendance Record**

NPPP Name											Month/Year											Prepared by										
Contract Number						Duty Station											X = whole day    √ = half day															

Date	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	
Present at Work																																
Official Holiday																																
Annual Leave																																
Sick Leave (certified)																																
Sick Leave (uncertified)																																
Maternity Leave																																

\* Please see NPPP Section #13 – No entitlement to accrual/benefit of until after 7 months of continuous service

\*\* Please see NPPP Section #14

Signatures:

Supervisor											NPPP											CTA										
Date											Date											Date										



## ANNEX 7.8 – PERFORMANCE EVALUATION FORM (SC)



## **ANNEX 7.9**

### **CONDUCT IN THE WORKPLACE POLICY**

UNOPS takes pride in creating and maintaining a work environment that fosters cooperation, fairness, integrity and respect for diversity. In support of achieving these objectives, the following basic principles govern the behavior of personnel. They are clear, they are not subject to interpretation and they apply to all persons working for UNOPS, irrespective of location, function, seniority or contractual status:

1. UNOPS personnel shall at all times demonstrate unbiased willingness to work together, acting in a manner which respects the dignity and worth of all colleagues regardless of race, gender, religion, color, national or ethnic origin, marital status, sexual orientation, age, physical disability or political conviction.
2. UNOPS personnel shall refrain from using physical or verbal expressions, in public or in private, which are or could be perceived as being biased, intolerant, intimidating or offensive.
3. UNOPS personnel shall not demonstrate any act of harassment, physical or verbal, in any shape or form, or any behavior that constitutes or could reasonably be interpreted as constituting harassment.
4. The private life of UNOPS personnel is of their own concern, and shall not be intruded upon. However, personal conduct within and outside the workplace shall not be allowed to compromise the image and interests of the organization. Personal conduct within the workplace shall be such that it shall not offend any colleagues, or create an environment that facilitates offensive behavior.
5. UNOPS managers have the responsibility to act as role models, upholding only the highest standards of conduct. UNOPS managers shall:
  - 5.1 Create and maintain a harmonious workplace based on mutual respect;
  - 5.2 Demonstrate fairness; be impartial and free of intimidation or favoritism;
  - 5.3 Communicate effectively with their staff and share information with them. Staff have a reciprocal responsibility to provide all pertinent facts and information to their managers and to abide by and defend any decisions taken, even when these do not accord with their personal views.
6. Time is a valuable commodity and, as such, shall be respected by UNOPS personnel. Established work hours shall be fully complied with. Meetings shall be convened on time and conducted in an expeditious manner.
7. It is the duty of UNOPS personnel to report any breach of the above behavioral guidelines to a superior, whose duty it is to take or call for appropriate action. UNOPS personnel who make such a report in good faith have the right to be protected against reprisals or sanctions.

**ANNEX 8.1**  
**EMERGENCY NUMBERS**

*To be developed*

**ANNEX 8.2**  
**GUIDELINES FOR THE SAFE HANDLING OF MAIL**

*To be developed*

**ANNEX 8.3**  
**GUIDELINES IN RELATION TO BOMB THREATS AND BIOLOGICAL AGENT THREATS**

*To be developed*

**ANNEX 8.4**  
**GUIDELINES IN RELATION TO PHONE THREATS**

*To be developed*

**ANNEX 9.1**  
**NBI HARDWARE AND SOFTWARE SPECIFICATIONS**

**Hardware specifications**

No	Item	Minimum Specifications
1	Notebooks	Intel Pentium 4-m;2Ghz;512 RAM; 40 GB HD;15 inch, TFT active matrix, 64 bit graphics accelerator; DVD-CDRW; preferred with fixed 3.5" DD.
2	Personal computers	Intel Pentium 4, 2 Ghz, 512 MB DDR SDRAM, 40 GB, DVD-ROM, LCD color display (15"), Full multi media, 4 USB ports, 2 serial, 1 parallel 10/100 NEC, ps/2 keyboard, ps/2 mouse, 56 Kbps data fax modem, 220/240 power supply
3	Printers	32 MB Memory; 17 ppm; full-speed 600 print resolution; 500 sheet paper input; network capable ( preferred brand HP)
4	Server Machines	Duo processor Intel Xeon 3Ghz, 5GBECC SDRAM, Multi hot-pluggable drive bays,80GB Internal storage (Scsi or IDE), tower Chasis, with RAID capability. , 4 USB ports, 2 serial, 1 parallel 10/100 NIC, ps/2 keyboard, ps/2 mouse, data fax modem, 220/240 power supply
5	Routers	WAN, LAN access, 100 Mbps, Ethernet, Fast Ethernet, PPP,HTTP,SNMP, IEEE 802.3-LAN, IEEE 802.3U-LAN, Full-duplex, Half-duplex capability, Flow control, bandwidth mgt., IP-routing, voice/data integration, VPN access (preferred Brand Cisco)
6	Firewall appliances	Unrestricted s/w, VPN accelerator card, at least two 10/100 ports (preferred Brand Cisco)
7	LAN switches	24 switched 10BaseT ports, two switched 100BaseTX ports, console port, AUI port, Ethernet, SNMP (preferred Brand Cisco, 3com)
8	Scanners	Network Ready, color Scanning, Auto document feeder, email, OCR ; 15 ppm; 45 bit color; 2400 dpi.
9	Digital Cameras	Motorized Zoom Adjustment; Auto focus Adjustment; Built in Flash; USB Connectivity; TFT active matrix LCD display; JPEG,TIFF; 4,000,000 Pixels;2 Lithium Standard Battery; 16 MB with at least one expansion Slot
10	Projectors	VGA, SVGA, XGA, SXGA, Macintosh® data compatibility, 1024x768 resolution , 2000 Lumens, Zoom Lens, keystone correction, USB, RS-232 , elevator feet, Video capability, Audio with cables and connectors
11	PaBX	2 external lines; 30 extension lines; Automatic transfer; Auto call Logging facility
12	Line Conditioners /Inverters/UPS's	UPS: single phase In/Out, Input: 240 V - AC +-25 %,Output: 240 V- AC +-15% Frequency 50 Hz +- 5% , Power: 15/KVA/700 VA, 30 min backup. Inverter: 36V DC input; 240V AC output; battery charger, Fast load switching.

**ANNEX 9.1 (cont'd)**  
**NBI HARDWARE AND SOFTWARE SPECIFICATIONS**

**Software specifications**

No	Software	Remarks
1	Win 2000 Server with Latest Service Pack	Network operating system
2	Win XP Professional	Desktops/Laptops ( Licensed)
3	Ms Office XP	
4	Adobe Professional	
5	Project 2000	
6	Desk top anti-virus	
7	Enterprise Anti-Virus	
8	MS visual Studio.NET	
9	Visio 2000	
10	MS SQL Server	With at Least 25 licenses
11	Crystal report 9.0	
12	MS Front Page	
13	Macromedia Dreamweaver MX	
14	CorelDraw 10	
15	Adobe PhotoShop 7	
16	Helpdesk S/W	e.g. Remedy
17	Network Admin utilities	e.g. Norton utilities
18	OCR S/W	
19	Content/Document Mgt S/W	Client Server Applications with at least 25 licenses
20	Webmail Package	
21	Third Party Back up S/W	e.g. ARCserve

**LAN specifications**

Topology	Star
Accepted Data Rates	10/100 Mbps or greater
Cabling	Standard CAT 5 UTP
LAN/ WAN Interface	Use single gateway from LAN to WAN



## **ANNEX 9.2 (Page 1/6)**

### **NBI DRAFT INFORMATION MANAGEMENT POLICY<sup>22</sup>**

#### **Effective Date**

This policy will become effective following approval by the Nile-TAC.

#### **Preface**

Information is a valuable asset to be managed by the Nile Basin Initiative (NBI) Resource Center as a public trust on behalf of Nile riparian countries. Effective information management improves efficiency of the Nile Shared Vision Program (SVP) and services, supporting collaboration across countries and projects, transparency, and informed decision-making; and preserving historically valuable information.

The digital age has highlighted the importance of sound information management. The NBI Resource Center will use information technologies to serve the Nile riparian countries, which requires it to ensure that information collected or made available electronically must be accurate, complete, relevant, and clear, as well as accessible and usable over time and through technological change. The desire of the Nile riparian countries is to develop the best potential for the environment of Nile River, with program integration and collaboration between governments and with the private and not-for-profit sectors. This requires strong accountability frameworks for shared information. Furthermore, the NBI Resource Center must manage information to ensure that the Nile riparian countries receive consistent service and accurate information, whether in person, by telephone, through the mail, or via the Internet.

Taking into account this complex environment, this policy provides direction on how the NBI Resource Center should create, use, and preserve information to fulfill its mandate, support the SVP program and services, achieve strategic priorities, and meet accountability obligations.

This policy is based on the recognition that:

- Information management requirements must be built into program design and processes.
- Information management is most effective where information is valued and supportive governance and accountability structures are adopted.
- All employees are responsible for the management of information under their control and custody.

#### **Policy Objective**

The purpose of this policy is to ensure that information under the control of the NBI Resource Center is managed effectively and efficiently throughout its life cycle. The NBI Resource Center must manage information in a privacy protective manner that supports informed policy and decision-making and the delivery of high quality programs, services, and information through a variety of channels and in the official languages of English and French.

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<sup>22</sup> This information management policy was developed by the NBI through the NBI Resource Center.

## **ANNEX 9.2 (Page 2/6)**

### **Policy Statement**

It is the policy of the NBI Resource Center to:

- a.) Manage information to facilitate equality of access and promote public trust, optimize information sharing and re-use, and reduce duplication, in accordance with legal and policy obligations;
- b.) Ensure that information created, acquired, or maintained to meet program, policy, and accountability requirements is relevant, reliable, and complete;
- c.) Manage information in a manner that supports the provision of services and information in official languages of English and French;
- d.) Manage information, regardless of its medium or format, to ensure its authenticity, accuracy, integrity, clarity, and completeness, and other laws and policies;
- e.) Document decisions and decision-making processes throughout the evolution of policies, programs, and services;
- f.) Implement governance and accountability structures for the management of information, including during collaborative services arrangements or when information is shared with other governments or non-governmental organizations;
- g.) Use electronic systems as the preferred means of creating, using, and managing information;
- h.) Protect essential records to ensure the continuity of key SVP services and operations;
- i.) Preserve information of enduring value to the Nile riparian countries;
- j.) Dispose of information no longer required for operational purposes in a timely fashion;
- k.) Foster a supportive environment for information management and ensure that employees meet their responsibilities for managing information; and
- l.) Assess the effectiveness and efficiency of the management of information throughout its life cycle.

### **Policy requirements**

#### 1. Enhancing public trust

To deliver programs, services, and information cost-effectively and consistent with the needs of the Nile riparian countries, the NBI Resource Center will:

- a.) Ensure the quality, consistency, and availability of information across delivery channels;
- b.) Organize information to provide clarity, context, and convenient access to relevant, comprehensive, and timely information and services;
- c.) Re-use and share information to the greatest extent possible, in accordance with legal and policy;
- d.) Document decisions and decision-making processes;
- e.) Preserve the integrity of information, particularly when it is used in collaborative endeavors with other governments or non-governmental organizations;

## **ANNEX 9.2 (Page 3/6)**

f.) Ensure the appropriate security, protection, and disposition of information.

### 2. Managing Nile SVP information throughout its life cycle

To ensure the effective and efficient management of information, regardless of medium or format, throughout its life cycle, the NBI Resource Center will:

#### ***2.1 Include information management considerations in the planning cycle to ensure that:***

- a.) Information management requirements are incorporated at an early stage in the development of new or modified NBI Resource Center policies, programs, services, and technology-based systems;
- b.) Governance and accountability structures are in place for the management of information; and
- c.) Opportunities for common infrastructures are maximized to optimize the interoperability of information management systems.

#### ***2.2 Collect, create, receive, and capture information in ways that:***

- a.) Support services, informed policy and decision-making, and business, legal, and accountability requirements;
- b.) Ensure its relevance, reliability, and completeness;
- c.) Optimize its sharing and re-use, in accordance with policy and legal obligations; and
- d.) Document decisions and decision-making processes to account for SVP operations, reconstruct the evolution of policies and programs, support the continuity of the NBI Resource Center and its decision-making, and allow for audit and review.

#### ***2.3 Organize, use, and disseminate information by:***

- a.) Establishing a coordinated and comprehensive approach to describing the SVP information;
- b.) Maintaining a current and comprehensive classification structure or structures, including metadata; and
- c.) Providing users with timely and convenient access to information, in accordance with legal and policy obligations.

#### ***2.4 Maintain, protect, and preserve information to:***

- a.) Ensure its usability, including the usability of encrypted information, over time and through technological change;
- b.) Ensure that information of enduring value to the Nile SVP and to Nile riparian countries is available for current and future use;
- c.) Safeguard essential records;
- d.) Safeguard it from improper disclosure, use, disposition or destruction, in accordance with legal and policy obligations.

## **ANNEX 9.2 (Page 4/6)**

### ***2.5 Ensure disposition of information by:***

- a.) Adhering to World Bank standards for retention and disposition as well as other legal and policy obligations for any information no longer required by the NBI SVP;
- b.) Transferring to the Nile riparian countries' national archives information designated as having historical value;
- c.) Transferring to the Nile riparian countries' national libraries publications beneficial to public information and knowledge; and
- d.) Considering its transfer to non-governmental organizations, subject to legal and policy obligations.

### ***2.6 Assess the effectiveness and efficiency of the management of information throughout its life cycle by:***

- a.) Establishing accountability frameworks to ensure the appropriate management of information; and
- b.) Identifying, documenting, and reporting on specific risks, vulnerabilities, and other significant management issues and undertaking corrective action if required.

## **Accountability for the Policy**

### **1. NBI-SEC Executive Director**

Responsibilities of the Nile-SEC Executive Director include:

- Ensuring implementation of this policy and related standards and guidelines
- Promoting a culture that values information sharing and effective information management
- Allocating appropriate resources to support information management
- Designating a senior staff member to be accountable for implementing this policy and informing the NBI of the appointment

### **2. Senior staff member designated accountable for implementation of this policy**

Responsibilities of senior staff member accountable for implementing this policy include:

- Championing information management
- Coordinating the strategic planning, resourcing, and implementation of information management activities, including training and development for staff
- Ensuring that information management requirements are identified and addressed during program and system design
- Ensuring that the effectiveness of policy implementation is periodically assessed
- Ensuring that information management accountability frameworks and terms of reference are in place when information is shared with governmental institutions, or non-governmental organizations

## **ANNEX 9.2 (Page 5/6)**

### 3. NBI Resource Center employees

All NBI Resource Center employees are responsible for:

- Applying information management principles, standards, and practices in the performance of their duties;
- Documenting their activities and decisions;
- Identifying information requirements and issues to information management specialists and information technology personnel.

### 4. Information specialists

Information management specialists will support information management efforts by:

- Providing information management advice, tools, procedures, standards, and guidelines, consistent with direction provided by the Nile Secretariat;
- Identifying information requirements to information technology personnel to support the development and operation of information technology processes, systems, standards, and tools;
- Assessing information management resource and training requirements.

### 5. Nile Secretariat

The Nile Secretariat has specific roles and responsibilities related to the management of information, which include:

- Providing interpretive advice on this policy
- Helping governmental institutions integrate information management requirements into business and information technology strategies and plans;
- Developing and promoting, in collaboration with governmental institutions, a framework for the management of information, which includes standards, guidelines, tools, and best practices that support this policy;
- Representing and promoting functional communities for the management of information as required to develop and sustain information management specialist capacity and practices that support both this policy and services to the Nile riparian countries.

### **Monitoring**

The NBI Resource Center will actively monitor management practices and controls, take remedial action where significant deficiencies are encountered or improvements are needed, and inform the Nile Secretariat of significant management concerns in a timely manner. The Nile Secretariat is responsible for actively monitoring the overall situation to maintain an ongoing awareness of the state of management practices and controls, and for supporting governmental institutions in addressing specific risks, vulnerabilities, control deficiencies, and other significant management issues.

## **ANNEX 9.2 (Page 6/6)**

### **Appendix A: Definitions**

The definitions in this appendix pertain to terms used in the Information Management Policy that will facilitate understanding of its requirements.

**Information management:** A discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal and/or long-term preservation.

**Life cycle:** The life cycle of information management encompasses the following: planning; the collection, creation, receipt, and capture of information; the organization, use and dissemination of information; its maintenance, protection and preservation; its disposition; and evaluation.

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**Any questions regarding this policy may be directed to:  
Executive Director, NBI Secretariat**

## **ANNEX 9.3**

### **POLICY ON THE USE OF TELEPHONES**

Telephone lines are made available to all staff members. However, they are meant to be used primarily for official purposes. All local, regional and international personal telephone calls must be reimbursed to the project.

Monthly billing reports by telephone extension are distributed to staff on a monthly basis. Staff members are required to review them and to identify personal vs. official calls. The reviewed report is then approved by each staff's supervisor.

Reimbursements may be made by cash or check made out to the CBSI project account.