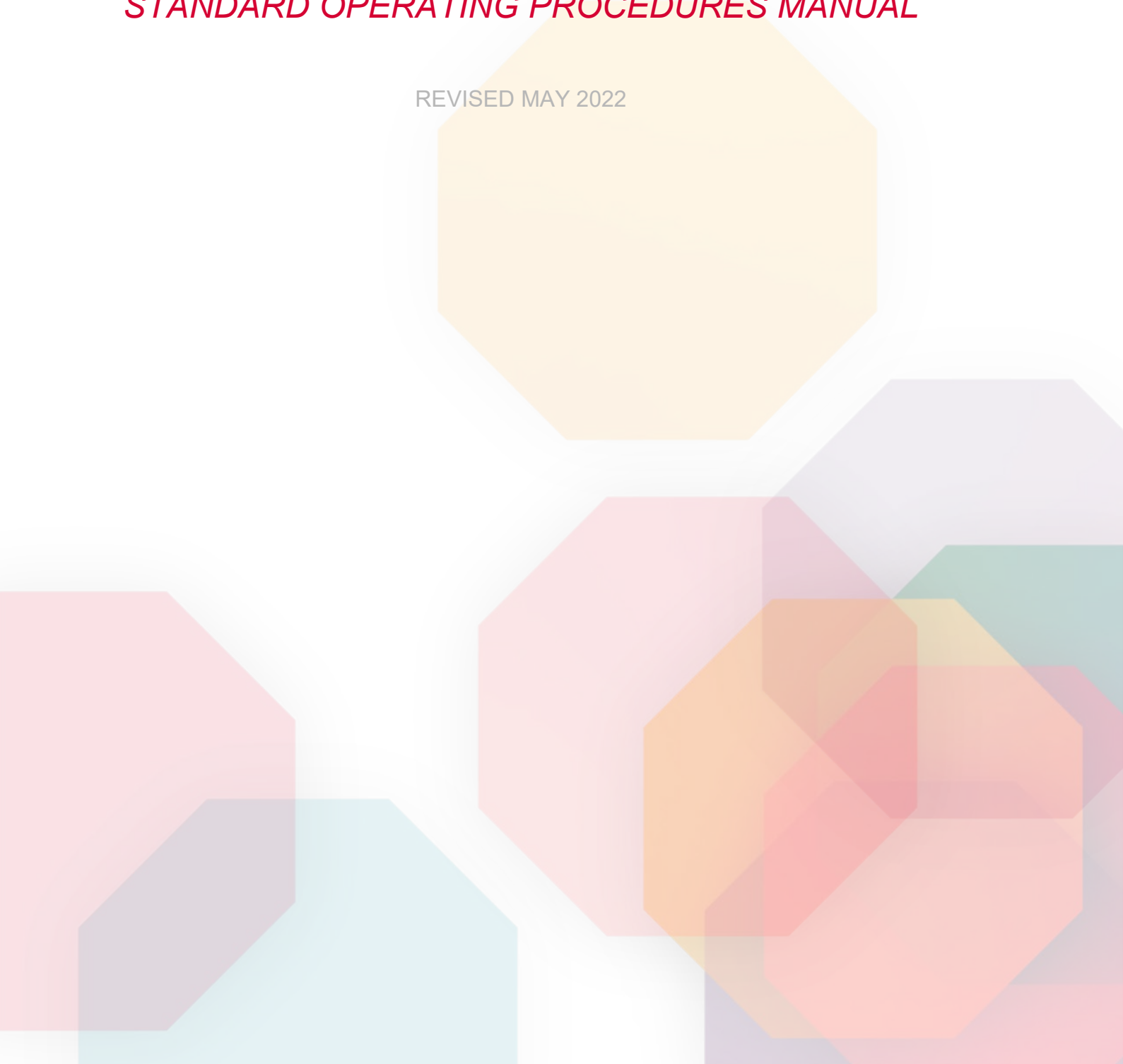


STOP TB PARTNERSHIP

STANDARD OPERATING PROCEDURES MANUAL

REVISED MAY 2022



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Introduction

The Stop TB Partnership is a global multi-stakeholder partnership established in 2000 with the recognized mandate as a unique international body having the power to align actors all over the world in the fight against tuberculosis (TB).

Since 1 January 2015, the United Nations Office for Project Services (UNOPS) hosts the Stop TB Partnership Secretariat, which is based in Geneva, Switzerland.

The Stop TB Partnership derives its legal status from UNOPS and thus shares the same obligations, benefits, and status as UNOPS. Accordingly, when the Stop TB Partnership wishes to enter into agreements with third parties, it is UNOPS that enters into the relevant agreements and makes commitments in support of the Stop TB Partnership. In view of this, the activities of the Stop TB Partnership as well as its personnel are subject to UNOPS Organizational Directives and Administrative Instructions.

The Standard Operating Procedures Manual (SOP) is a guide that establishes the procedures to be followed in carrying out a given operation or in a given situation for the Secretariat. It outlines the Secretariat's processes within the overall framework of UNOPS' organizational directives and administrative instructions.

The SOPs may be updated at any time by the Stop TB Partnership in consultation with UNOPS to reflect developments in the Secretariat's operations, changes resulting from Board decisions and/or changes in UNOPS' organizational directives and administrative instructions. Substantive changes will be brought to the attention of the Executive Committee for approval.

The Global Drug Facility (GDF) is an ISO 9001 certified anti-TB medicines and diagnostic tools and equipment procurement arm of the Stop TB Partnership with its quality management manual and operational standard procedures that are put in place and regularly revised and updated. The regular ISO surveillance audits permit regular evolution and improvement of its operational systems.

Governance Structure

The latest version of Stop TB Partnership's Board Governance Manual from July 2018 as revised and approved by the Board details the governance arrangements of the Stop TB Partnership.

The Board has a responsibility towards:

- a) the global TB community to build awareness, facilitate consensus on strategy, and identify key strategic issues affecting TB and;
- b) the Secretariat to set strategic direction, provide oversight and guidance, support financing and fundraising for the Stop TB Partnership Secretariat and approve budgets.

The Board will generally meet every nine months but may adjust the frequency of meetings as necessary.

The Board consists of up to 30 members and is composed of a mix of fixed and rotating seats.

The Executive Committee (EC) is a standing committee of the Board that provides regular oversight of the Secretariat, prepares Board meetings, and makes decisions when specifically delegated the authority to do so by the Board.

The Finance Committee (FC) is a standing committee of the Board that is responsible for oversight and accountability of the financial health of the Secretariat. The FC is an advisory body that does not have decision-making authority on its own, unless the Board delegates such authority to the committee on specific topics.

Human Resources and Recruitment

Stop TB Partnership secretariat organogram

The Executive Director of the Stop TB Partnership has delegation of authority to make changes to the Secretariat's organogram to align the needs of the Secretariat as per the Board's approved Operational Strategy and annual budget.

Stop TB Partnership Executive Director

The recruitment, retention and termination of the Executive Director are included in the Board Governance Manual.

In accordance with UNOPS' administrative instruction on hosting services, the Stop TB Partnership Executive Director has a dual reporting line. He/she operates under the substantive direction of the Board while being under the substantive and operational direction of UNOPS management for the Stop TB Secretariat's activities. UNOPS management will obtain substantive inputs from the Chair of the Board before finalizing the performance appraisal of the Stop TB Partnership Executive Director.

Programme and Operations (Ops) Team

In order to provide the diverse range of support services required for the hosting arrangement between Stop TB Partnership and UNOPS, UNOPS set up a dedicated Programme and Operations Team (Ops), which will be co-located with the Stop TB Partnership at the Global Health Campus (GHC) and directly back-stopped by the UNOPS Geneva Office (GVA).

It is the normal *modus operandi* for UNOPS, based on its experience and expertise in project and portfolio management, to establish a team of skilled experts with knowledge of UNOPS processes and procedures when taking on a large and complex operation. It is essential to have a dedicated team to manage the portfolio, not least with regard to financial rules and regulations. The Ops Team is the catalyst for all Stop TB Partnership requirements and ensures effective and efficient support services.

The main objective of the Ops team is to act as a dedicated back-office of the Stop TB Partnership, providing a broad range of programme, administrative and support services on a daily basis. In doing so, a key function is to work along-side the Stop TB Partnership technical personnel and ensure UNOPS processes and procedures are followed.

The Ops team is a multi-skilled team able to address all relevant administrative issues related to HR, Finance, Procurement, Grants, Travel, and other administrative issues. The team will be scaled up and down, as required, and approved by the Board on an annual basis.

The Ops team operates within the Stop TB Partnership Secretariat and UNOPS overall [Accountability Framework](#) and the [Strategic Risk Management Planning Framework](#).

The Stop TB Partnership operates with staff contracts as well as consultancy contracts under the form of Individual Contractor Agreements (ICA). These ICA contracts could be international ICAs (IICA) or locally recruited ICAs (LICA) depending on the nature of the work required.

All human resources services will be provided in accordance with the relevant UNOPS organisational directives and administrative instructions. This will include the preparation of terms of reference for specific positions, publishing of the vacancy in electronic and print media, and selecting and engaging selected candidates, as well as the on-going management of their contracts with respect to the payment of salaries/fees and corresponding entitlements. Please see the following link for an introduction to human resources (HR) in UNOPS.

- Develop and administer employee table
- Conduct workforce planning
- Design, classify and establish a position
- Extend an established position

Procedures and process for recruitment of personnel (including planning and clearance processes):

There are several contractual modalities in UNOPS:

1. Fixed term appointments (FTA) for a period of one to two years, and temporary appointments (TA) for less than one year, contracts under the United Nations Staff Rules which provide the status of a staff member, including an United Nations (UN) Laissez-Passer and coverage under the Convention on the Privileges and Immunities of the United Nations of 1947.
2. Individual contractor agreements (ICA) introduced by UNOPS to engage individuals for provision of services through a flexible and all-encompassing contracting tool, and to replace a previous complicated system of different contracts. ICA agreement categories include:
 - “Retainer” for shorter periods of time when it unknown when and for how long a consultant is needed over a longer period of time;
 - “Lump sum” for a specific product or deliverable (e.g. a report when a single price is for a product or deliverable, but when we don’t care that much if the consultant takes 1 or 2 weeks to do it); with the possibility of paying in installments and
 - “Time-based” for when a consultant is needed for instance for 15 days per month for half a year or full time for 3 months.

Stop TB Partnership personnel holding an ICA will be considered internal UNOPS personnel and therefore enjoy benefits such as learning and development in training activities and are eligible to apply to the UNOPS Educational Assistance Programme.

Individual contractor agreements other than retainer and lump sum contracts shall be referred to as “regular” contracts. Regular ICAs shall be issued when services are required on a continuous basis throughout the contract period and payments shall be made at the end of each calendar month.

Before posting a VA, hiring managers should consider pros/cons when they plan new recruitments and think where the position should be – Geneva based or home based, which can be a significant difference in efficiency, cost, risks, and liabilities to the organization. Separate guidelines to be developed and shared.

Desk Reviews:

Purpose: Recruitment of short-term consultants to facilitate swift recruitment for project based hiring.

Process:

Terms of Reference are drafted and cleared through the established clearance process (see page 10).

- Minimum two (2) CVs acquired of candidates that meet the minimum requirements stipulated in the TOR and evaluated through a desk review. Minutes with a proposed candidate are run through the clearance process. This is then cleared by the designated HR practitioner. The minutes will include:
 - Use standard text for the CV sources. A simple sentence such as “the CVs were sourced from our professional networks” is fine.
 - Classified TORs.

Amount for the desk reviews should not exceed either USD 50, 000 overall contract value or 100 working days in a 12 months period. Under exceptional circumstances such contracts may be extended beyond 50,000 USD or 100 working days and up to a maximum of USD100,000 overall contract value and 200 working days in a 24 months period. Example of exceptions may include:

- No-cost extension of a contract.
- Late receipt of donor funding to implement agreed upon activities within a set time frame.
- Recruitment for and during emergencies.
- Request for specialized competence, knowledge and experience that is not routinely available, such as for example for GDF Strategic Rotating Stockpile.
- Unforeseen operational demand.

Contracts based on a desk-review can be issued either as a regular monthly contract (full-time or part- time), a daily/hourly fee retainer, or a lump sum.

Desk review hire should not prevent an individual from being hired for another position that is advertised through UNOPS GPRS (ICA or FTA) at the Stop TB Partnership.

Exception to recruit ICA as IICA and not LICA specialist

The purpose is to facilitate the contracting of non-regular ICAs as IICA and not LICA even when the task does not require 1/3 of travel nor involves multi-country responsibilities, which are currently the only parameters in the policy allowing an IICA contract offer to a national of a country when there is a NO local scale in this country and/or if a UNOPS SLT member approves it exceptionally. An ICA can be engaged as an IICA (homebased) and not LICA if the recruitment has been done through competitive process or if the person is known to have worked on international contracts before or if the person is being recommended for one of STBP rosters. This needs to be justified and would be reviewed on a case-by-case basis by IPAS-HR.

Pre-Cleared Roster of other organizations

UNOPS policies allow the selection of candidates from pre-cleared existing rosters of other organizations (e.g. WHO, UNDP, etc.) conditional to the approval of PCG Director.

Candidates need to have been competitively selected/recruited by these organizations, otherwise the Stop TB Partnership can opt to conduct a desk review instead.

Process:

- STBP sends an e-mail to UNOPS GVA HR with the necessary text noting that the candidate is from a pre-cleared existing roster of another organization and that he/she has been selected/recruited through a competitive recruitment process. The email should include the contact person inside the other organization who can provide more details;
- UNOPS GVA HR sends the e-mail to IPAS HR so they can get the external roster endorsed by PCG Director;
- UNOPS on behalf of STBP can also have a MOU with certain organizations (i.e., similar to our current arrangement with MSH/SIAPS) for exchanges, loans, etc. of personnel.

Flexibility to go over and below agreed fees:

UNOPS policies allow for the flexibility to go over and below agreed fees, subject to a waiver. The process steps are:

- STBP sends an e-mail to UNOPS GVA HR with justification to support the request;
- UNOPS GVA HR sends the e-mail to IPAS HR; and IPAS HR will make the necessary recommendation for the PCG Director's approval;
- This flexibility will be given on a case-by-case basis.

Internal to Stop TB Partnership Secretariat

The initiation for fixed-term/ temporary appointments can only start when the position has been formally established, classified and funded as per UNOPS proforma tool. Recruitment requests are to be first discussed and approved by the Executive Director and the funding source identified. Once approved by the STBP ED, all recruitments are streamlined through the Administration Officer (AO) to block the funding source ensuring enough funds are available and to identify the project ID. In collaboration with the concerned hiring manager and the AO, the hiring manager will draft the terms of reference (TORs), UNOPS GVA HR will review and classify the position and seek further approvals from UNOPS GVA Director and UNOPS CFO. Once approved, HR will establish the Vacancy Notice and publishing of VA. Before posting vacancies for FTAs, UNOPS GVA HR will have to obtain UNOPS CFO approval for creation of any FTA post as per UNOPS established procedures and in accordance with Stop TB Partnership's approved work plan and budget. Funding source, Project ID to be communicated by AO to UNOPS for entering into OneUNOPS.

Other considerations for the hiring manager:

- The hiring manager should inform the Team Leader or Head of Business Unit of a) the status of a recruitment/selection of a candidate before proceeding with any offers; and b) of salary level negotiations for ICA positions to make sure it is done with guidance from HR and aligned with other similar salaries within STBP.
- Any new ICA is clearly informed about taxes, benefits and entitlements, and that it does not necessarily lead to a FTA over time.

Retainer – Budget – Timeline payments – Required documentation

The Stop TB Partnership hiring manager is responsible to submit the required Certification of Payment along with the supporting document for STBP Finance to process and disburse retainer and lumpsum based contract payments.

Process

Required Documents for Submission:

1. Certificate of Payment	Signed by the consultant and supervisor clearly listing total fee and days worked.
2. Workpackage (CoA/GLA/WP)	Stop TB finance to provide a budget line to charge payment.
3. OneUNOPS Supplier ID Form	Completed and signed by the contractor.
4. Final report/delivery	To serve as supporting document for satisfactory work/delivery.

Timeline of processing COPs for retainer/lumpsum contract holders:

COB Friday	<u>all required documents to be submitted to shared folder</u>
COB Monday	Ops team or STBP finance to submit the verified and certified COPs in OneUNOPS for approval.
COB Tuesday	BSSC admin team will submit the list of payments to the Payroll team.
Every Thursday	Payroll for ICA retainers/ Lump sums run.
<i>Within the next 7-10 working days - Payment will be deposited to ICAs' bank account.</i>	

Recruitment Process – Global Personnel Recruitment System (GPRS)

Within the Support Services Team in the UNOPS GVA Office, there is a Human Resources Officer who is the focal point for all personnel matters for STBP, including new recruitments and questions related to benefits and entitlements (for staff this is delegated to UNOPS' BSSC Bangkok team). For new recruitments, it is essential for the hiring manager to engage with the UNOPS GVA HR officer as early as possible in the recruitment process in order to determine the requirements and identify the most effective and efficient way to engage in the process.

The GPRS ([GPRS - Home](#)) should be utilized to establish, organize, coordinate and sort/filter online vacancies, profiles and applications.

Please see the Matrix of Responsibilities which can be found in Annex III for a detailed breakdown of the different steps involved. For direct training tool, simple guidance and how-to-instructions, the below links should be consulted for each step.

Getting started

- [How to create a profile on GPRS](#)
- [Creating a vacancy announcement](#)

STBP defines the needs and prepares the draft TORs or Job Description (JD) (either for an FTA or ICA, in accordance with the relevant [standard templates](#)). In doing so, please keep in mind:

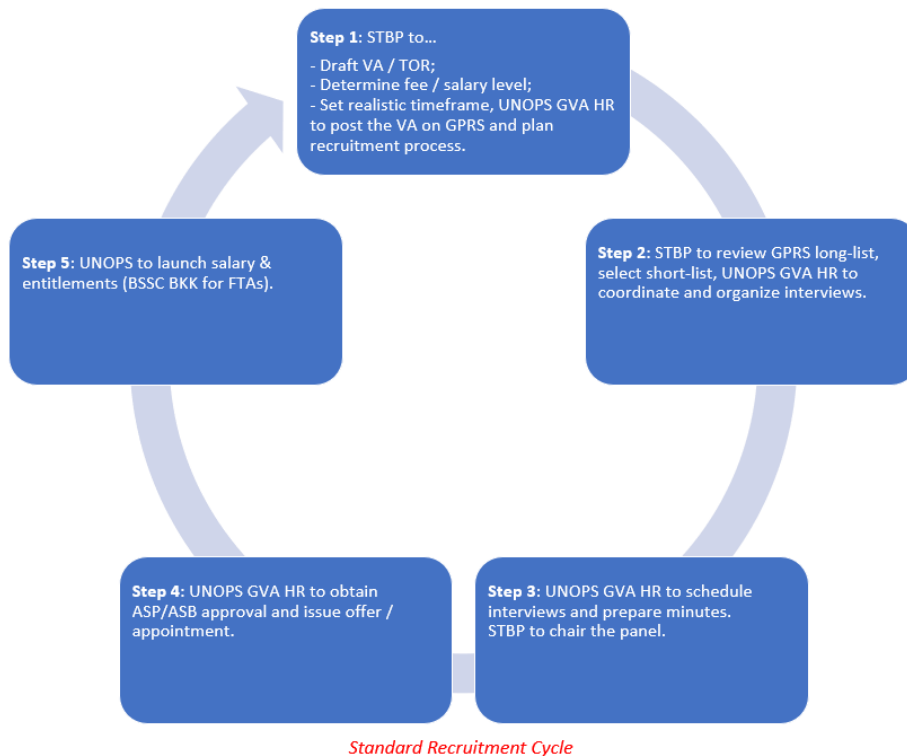
- Definition of needs in terms of the services required, tasks to be performed etc.
- The TORs/JDs is the principal guideline for identifying qualified candidates, determining fees, evaluating performance, and ultimately certifying that services or activities have been performed satisfactorily so fees can be paid.
- Please copy the main TORs/JDs text into the vacancy announcement (VA).

Once the TORs/JDs have been finalized, the position needs to be classified by UNOPS GVA HR (up until ICS10 level can be classified locally in GVA by a UNOPS classifier, anything above ICS10 needs to be classified by IPAS HR). Once classified, the UNOPS GVA HR will launch the VA. When the VA closes, the Stop TB Partnership hiring manager reviews the candidates and prepares the long and shortlists (within maximum 4 weeks from the closing date of the VA). Any position from IICA3/P4 or higher should be reviewed and cleared by the UNOPS GVA HR before the written test is conducted. Shortlists for P5s and above need to be endorsed by IPAS HR and PCG before proceeding with written assessment. In doing so, it will be important to consult the HR focal point in order to ensure compliance with relevant policies. For instance, it is essential that all the candidates on the shortlist meet all minimum criteria of the VA to be considered a competitive process, as well as ensuring that both genders are represented on the long- and short-list, with more specific requirements for shortlist at ICS11 and above. Also it is important to note that 2 candidates need to be shortlisted minimum per each position the unit is recruiting for.

All candidates on the shortlist with a minimum of two candidates should be invited for the written assessment. STBP will chair the interview panel, which will also include a technical specialist and the UNOPS GVA HR or endorsed delegate for HR representation. The panel will consist of at least three voting members: a Convener (who either is or represents the hiring manager); a technical expert (who has in-depth knowledge of the skills and expertise required for the vacant job function and preferably e.g. from outside the hiring unit or a staff member from another UN agency); and a third, a Human Resources (HR) Representative (who will advise on UNOPS hiring and assessment standards, practices and policies, and serve as a resource person on all related HR regulations and rules, as required at all times, UNOPS should have at least a majority vote on the panel. All panel members should have at least 1 year of UN experience and the convener hiring manager should be at a level higher than the position advertised, while the technical representative should at least be at the same level as the position advertised. The convener and the HR representative must be Competency Based Interviewing Certified by UNOPS.

Once the panel agrees on the preferred candidate, the UNOPS GVA HR will prepare the minutes and recommendation for approval of the panel, and subsequently, based on the experience certification provided by the candidate, the UNOPS GVA HR will use UNOPS tools to calculate the fee range for IICAs or sublevel for LICAs, in order to issue an offer to the recommended candidate. Before an offer is sent to the candidate, the recruitment and selection should also be cleared by STBP ED. Once the offer is approved and accepted by the candidate, then the UNOPS GVA HR will submit the case for approval of the relevant review entities, for recommendation for approval to the relevant

Procurement Authority depending on the annualized contract value.



The procedures and process for recruitment of IICAs/LICAs (including planning and clearance processes), interns, volunteers, etc. include:

The initiation for ICA contracts can only start when the position has been formally established, classified and funded.

Once approved by STBP ED, all recruitments are streamlined through the AO to block funding source ensuring enough funds available and identify project ID.

In collaboration with concerned hiring manager work out TORs, level proposed, contract period, etc. and establish the draft JD to be sent to the UNOPS GVA HR for classifying of JD and establishing Vacancy Notice and publishing of VA. Funding source, Project ID to be communicated to UNOPS GVA HR for entering into OneUNOPS.

Recruitment of interns is the same as for ICAs. Interns that are not receiving funding through an external internship programme will receive a monthly stipend at UNOPS (approximately USD 1242/month in Geneva, moreover, if the intern has to relocate, they will be eligible for one of the 3 amounts that UNOPS offer after one month completion of their internship and depending where have the intern traveled/relocated from - amounts are 300, 500 or 800 USD paid as a one-time lump sum).

UNOPS has concluded a Collaboration Agreement between the Office of Temporary Subsidized Assignments (ETSL) of the Lausanne City Council / SYNI Lausanne Programme and (host institutions). Syni volunteer placements are issued a UNOPS Volunteer agreement.

UNOPS / STBP also has an agreement with Harvard University in order to select interns from this university as long as the university proposes at least three profiles per internship (these interns receive funding from the Harvard University, therefore, they will not be eligible for a UNOPS stipend).

Procedures and process for performance management evaluation

All regular personnel with a regular contract of 6 months or longer within a calendar year must develop their Performance Appraisals for the calendar year using the online performance appraisal tool as per the listed instructions on the [intranet portal](#).

Personnel members are to complete their Performance and Results Assessment (PRA) and ICA contract holders are to complete their Performance Evaluation Report (PER), following the directives and deadlines provided by UNOPS and guidelines for inclusive performance review. The performance appraisal tool is designed to record individual performance against objectives and the display of UNOPS' competencies, including strengths and weaknesses. It also captures professional development goals and aspirations through learning and development plans, so appropriate actions can be taken.

Performance discussions between supervisors and supervisees should take place on a regular basis for all. While in the system there are two deadlines, one for the mid-year review conversation, which should take place before the end of August. And the end of the year conversation which should take place before the end of February of the year after the performance calendar year and which should conclude with a final rating according to UNOPS scale from 1 to 5.

Delegation of authority levels:

Internal to Stop TB Partnership Secretariat

The delegation of authority for all recruitments of the Partnership lies with the Executive Director, in line with the Board approved structure and Operational Strategy. The following steps of the recruitment process must pass through due clearance process of all line-managers as per clearance route (initiator, Team Leader/Manager, Finance and Executive Director) with accompanying desk reviews/minutes:

- Terms of References
- Vacancy notice
- Shortlist and selected candidates

Once clearance is given by the Executive Director, recruitments can move forward under the authority of the hiring managers of the Secretariat teams.

The Executive Director and relevant senior personnel of STBP are the responsible hiring managers for the selection of all Secretariat personnel, through the administrative support of UNOPS and within the budgets approved through the STBP governance mechanisms.

In accordance with the approved budgets, the STBP ED may request that UNOPS reclassify certain positions. Upon receiving any such recommendation, UNOPS may then proceed with reclassifying these positions as per the conditions set in the [Talent Management Framework](#).

Start-up Basics (onboarding for new Personnel)

Apart from this SOP manual, in order to better understand the UNOPS work processes and platforms, the [recently updated on-boarding manual](#) is recommended for reading.

All personnel should complete the following core learning [mandatory courses](#).

Other user-friendly learning tools and quick guides for new personnel on specific topics can be found here: [PM – Training and Support](#).

Onboarding is managed by the AO.

UNOPS Internal Grievances and Channels:

Personnel are expected to be respectful to their colleagues and contribute to maintaining a harmonious environment. In the unfortunate event that personnel suffer or witness any form of prohibited conduct, personnel are encouraged to use informal resolution mechanisms, by approaching their local HR team, PCG or the [Office of the Ombudsman for UN Funds and Programmes](#) to request guidance and/or support. In case a formal complaint may be warranted, personnel are encouraged to address such a complaint to the email internalgrievances@unops.org or report it through UNOPS Speak Up [here](#).

Managers and supervisors are expected to act as role models and not to engage in any type of prohibited conduct. They also have the responsibility of ensuring that personnel who supervise others do not engage in prohibited conduct and create a healthy working environment for their direct reports.

HR practitioners provide assistance and support when solicited by an aggrieved individual and liaise with PCG, if so, requested by the aggrieved individual. Support is also available to managers and supervisors.

Stop TB Diversity and Inclusion Adviser works with the hosting agency to ensure that ample support mechanisms are available and accessible to personnel and aligned with the STBP strategy. The D&I adviser can act as a first contact point to confidentially share information and seek advice on grievances (discrimination, harassment, abuse of authority) and/or resolve internal misunderstandings through mediation.

Types of Grievances

- **Discrimination** is an unfair treatment or arbitrary distinction based on a person's gender, religion, nationality, ethnic origin, sexual orientation, disability, age, language, social origin, or another status.
- **Harassment** is any improper and unwelcome conduct that a reasonable person might expect or perceive to cause offense or humiliation to another person. Harassment may take the form of words, gestures or actions which tend to annoy, alarm, abuse, demean, intimidate, belittle, humiliate, or embarrass another or which create an intimidating, hostile or offensive work environment. It includes harassment based on any grounds, such as race, religion, colour, creed, ethnic origin, physical attributes, gender, or sexual orientation. It can include a one-time incident or a series of incidents. Harassment may be deliberate, unsolicited, and coercive.
- **Abuse of authority** is the improper use of a position of influence, power, or authority against another person.

A new way to speak up - if something is not right

Misconduct hinders our ability to achieve our mission. We count on you to speak up when you see or experience something which is not right. This is part of your job. Do you know where to report workplace harassment? Suspected fraud? Or retaliation after reporting misconduct? To make the reporting process simpler we have introduced a new single reporting platform, "UNOPS Speak Up", for any and all suspected misconduct.

The platform is confidential and will carefully guide you through your complaint to ensure we have all the correct information upfront. Please click on the [link](#) to learn more. The platform will soon be available in French and Spanish as well.

For questions or comments: internalgrievances@unops.org

Learn more about the management of:

- [Workplace Environment](#)
- [Informal Resolution](#) of Internal Grievances
- [Formal Reporting](#) of Internal Grievances
- [Preliminary Assessment by Network of Peers](#)
- [Protection of Victims of sexual exploitation & abuse and of sexual harassment](#)

Resources: [OD.PCG.2017.01](#) (HR Ethics culture) and [OI.PCG.2017.01](#) (Personnel Management Framework).

HR Administration

For direct inquiries on the below items please contact the following:

- Contractual inquiries
Contact the dedicated UNOPS GVA HR officer
- Benefits & entitlements inquiries ([link](#));
 - For FTA/TA: BSSC Staff Administration BSSC.staff.admin@unops.org
 - For ICAs: BSSC ICA UNOPS Administration bssc.ica.unops.admin@unops.org
- Carte de Legitimation (CDL) applications/renewals
hradmin.geneva@unops.org
- UN blue badge applications/renewals (contact the Geneva HR Admin Team
hradmin.geneva@unops.org)
- UN Laissez Passer applications/renewals (contact the Geneva HR Admin Team
hradmin.geneva@unops.org)
- Payroll queries:
 - For FTA/TA: BSSC Staff Administration BSSC.staff.admin@unops.org
 - For ICAs: BSSC ICA UNOPS Payroll bssc.ica.unops.payroll@unops.org
- Insurance options
hradmin.geneva@unops.org

Payroll, Fees, Salaries, Allowances – [Main Links](#). This includes a simple [Salary Estimation Tool](#), [ICA Fee Scales](#) and [Standard Allowances and Benefits](#).

Process for applying for entitlements (education grant, rental subsidy, annual leave, etc):

- Application for entitlements such as education grant, rental subsidy is made through BSSC.staff.admin@unops.org who will take appropriate action.
- Application for annual, sick, maternal/paternal, compensatory leave are all done through the ONE UNOPS ABSENCE module, by login in to the UNOPS Intranet. All leave requests are to be discussed and agreed with supervisors (or head of business unit if applicable e.g. remote work for over 15 days in a calendar year), prior to entering them into the system.

Links to related sections of the UNOPS HR Manual and relevant forms.

- [Education grant](#)
- [Rental subsidy](#)

Insurance coverage overview

INSURANCE	FTA	INT'L ICA	LOCAL ICA	Meeting Participants
Health	Yes	No ¹	Yes	Yes
Appendix D	Yes	No	No	No
Injury/Illness/Death	No	Yes	Yes	Yes
Malicious Acts	Yes	Yes	Yes	No
Travel	Yes	Yes	Yes	Yes (Only if they hold a UNOPS contract)

* UNOPS offer a LAMAL reimbursement grant of 595 USD, depending on the ICA contracts and deductible in their LAMAL insurance policies.

Medical Plans

- [CIGNA](#)
- [Medical Insurance Plan \(MIP\)](#)
- [LICA Medical Plan Enrolment](#)
- [Assura Swiss LaMal compliant insurance](#)

Attendance and Leave Monitoring

In OneUNOPS [Absence Dashboard](#), which is accessible to each Stop TB Partnership member (both FTA/TA and ICA holders) and allows for simple approval of leave requests and official missions by the direct supervisor.

The systematic and coordinated monitoring by the designated person is key. Core working hours should be followed. Any longer-term deviations in line with [Flexible Work Arrangements \(FWA\)](#) and [Future of Work \(FoW\)](#) framework should be documented and approved in advance and entered in the Absence Dashboard. Ad-hoc absence should be communicated to the respective focal person (by email) and recorded in the UNOPS Absence Dashboard.

All absence of personnel two weeks before and during the Board meetings will only be permitted on an exceptional basis upon agreement with Team Leader and Executive Director.

Absence a week ahead of and during World TB day will be discussed with the Team Leader and Executive Director.

Ahead of leaving for annual leave for more than 3 days, a handover note and identifying who will cover the duties of the person must be submitted and approved by the Team Leader. This handover note shall contain clear indication of who is to follow up on the main tasks during the

¹ International ICAs are now offered the possibility to subscribe to Cigna through the corporate programme, however, the ICA will bear the cost, not UNOPS, but the premiums will be based on the UNOPS corporate deal.

absence.

Links to related sections of the UNOPS HR Manual and relevant forms.

- Annual Leave for Staff and ICA and Interns
- Maternity leave for staff and ICA
- Paternity leave for staff and ICA

Procedures and process for performance management evaluation

The [PER and PRA tools](#) are explained here.

Performance appraisal tool: for PRA (FTA/TA) and PER (for ICAs) administration.

Process for exiting Stop TB Partnership

Personnel finishing their contract, and not renewed/extended by the Stop TB Partnership, are to be provided a minimum notice period as per relevant UNOPS ODs and AIs.

For FTA/TA

FTA personnel resigning from their positions prior to the end of their contract are to provide the Stop TB Partnership a minimum notice period of 30 days.

For TA personnel a minimum notice period of 15 days should be provided.

The notice period commences on the date of receipt of the written notification; which informs the Supervisor of the staff member's decision to resign, or from any subsequent (future) date mentioned in the written notification.

Handover sessions are to be conducted between supervisor and supervisee (and wherever possible relevant team members) and provide handover notes, relevant documents and files, contacts.

Performance Appraisals are to be finalized and signed off.

Clearance Form to be completed by personnel and handed over to Administration Officer.

For ICA and LICA

Either party may terminate the ICA at any time for convenience by notifying the other party in writing of its intention to do so. The minimum notice period is:

- Two (2) calendar days for ICAs of a duration of less than one (1) month;
- Seven (7) calendar days for ICAs of a duration ranging from one (1) month to less than six (6) months;
- Fourteen (14) calendar days for ICAs of a duration ranging from six (6) months to less than one year, and
- Thirty (30) calendar days for ICAs of a duration of one (1) year or longer.

All departing personnel are required to complete the [UNOPS Exit Survey](#), part of the clearance form but should also provide handover / knowledge transfer notes prior to the approval of releasing final payment to them.

Any planned AL before exiting the organization should be recorded and approved in OneUNOPS [ABSENCE DASHBOARD](#) to allow calculation of any AL balances to be paid out.

Exit formalities are managed by the AO.

Exit interviews are systematically conducted, including with the D&I Advisor, so lessons can be captured for future staff retention and planning. Exit interviews will be conducted by the D&I adviser or AO.

Office and Administration

Travel and Logistics

Process to request and approve travel

Mandatory Travel Procedures

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

Quarterly Travel Plan (15th of the month preceding the quarter) prepared by Stop TB Partnership – must include all personnel in office, consultants as well as meeting participants, and needs to be put together by the respective teams and consolidated by the Executive Director’s office.

TADA Module

Travel Authorization and DSA Automation (TADA) tool and process to provide colleagues going on official duty travel (ODT) with the ability to:

- digitally submit and receive approval for their upcoming mission (Travel Authorization - TA)
- automatically calculate their DSA (Daily Subsistence Allowance) amount according to the latest rates published on ICSC
- streamline the travel related payment process

An update on TADA travel workflow and SOP will be provided soon, and will be accessible here when available.

Current resource list

Travel focal point training:

- Slides for travel focal points in [English](#) and [French](#)
- Recordings of travel focal point trainings - [group1](#) and [group2](#)

User training:

- Slides for users in [English](#) - a list of acronyms is found on the last slide
- [Recording](#) of users training

Additional Resources:

- [TADA FAQ](#) with link to TADA: How do I? Guide
- [Travel focal point list](#)
- To contact [System Support Team](#), [DSA Team](#), or IPAS Admin Team for [Policy Advice](#), [TADA](#) and [Exceptional upgrades](#)

DSA and CTOs

- Personnel is requested as much as possible to limit duty travel over weekends, which could result in claiming Compensatory Time Off (CTO) as per UNOPS travel policy.
- CTO must be authorized by Stop TB Partnership ED and approved by the supervisor prior to the travel and included in the TA 2 weeks prior to the planned travel. Please record CTO leave in ONE UNOPS ABSENCE DASHBOARD system.
- Subject to the Stop TB Partnership ED approval, the Compensatory Time Off (CTO) may be used immediately after the mission or within four months of return to the duty station.
- The number of travelers qualifying for a CTOs should be limited to the number of days allowed by UNOPS rules and regulations. Exceptions must be validated by the supervisor. Weekends while on travel, if not traveling on that day, do not qualify to claim CTO. Only 1 day going and 1 day coming can be recovered if you traveled on a Saturday or Sunday
- Personnel need to register travel (DT) dates and upload approved travel itinerary and Boarding passes in OneUNOPS Absence Dashboard.
- Upon completion of official travel, a report is suggested to be submitted to your line manager.

Travel related details, including daily subsidy allowance (DSA) is described in the UNOPS [Travel Policy](#). Any deviation from the standard DSA rates for Stop TB Partnership personnel, as well as meeting participants, need to be approved in writing by the Executive Director and authorized by UNOPS Senior Portfolio Manager or UNOPS GVA office Director, and in accordance with the calculations spelled out in the [Duty Travel Instruction](#).

- DSAs can only be paid when the official DSA rate of the month of mission is determined.
- If any change in the itinerary or dates of the mission occurs after the TA has been approved, related extra costs should be processed through Travel Expense Claim (TEC), submitted upon return, attaching relevant receipts, for adjustment of the DSA and Terminals.

Entitlement and flight booking classes

(In line with UNOPS travel policy). Travel entitlement is based on the most direct and most economical option available at time of booking according to the following rules:

Meeting participants, invitees, journalists and photographers: - Economy class

- ICAs : Economy class regardless of time of travel
- FT Personnel members: - Economy class if less than 9 hours; - Business class if more than 9 hours; Encouraged as much as possible to travel in Premium Economy class and in economy class if the long-haul flight is a day flight.
- If a more costly fare has been approved by a supervisor, the fare difference between the flexible fare and the cheapest fare available must be shown on the Travel Authorization.
- For all travelers, private deviations are authorized if the preferred itinerary is not more expensive than the official entitlement.

Administration

Car parking

The Stop TB Partnership has a number of car parking spaces available for personnel for a monthly fee, payable in cash in advance. A waiting list will be created in the event there is greater demand than spaces available. The AO is responsible for collecting the monthly fees.

Mailing

- The Facilities team at the GHC will be responsible for sending mails only. Please consult with designated STBP mailing focal point for more details.
- All mails arriving for STBP will be collected by the STBP from the GHC mailing room, and will be kept in box next to printer to be collected by staff.
- For all events needing to send materials (UNION, Board meeting, etc.) please mention the title and date of the event, name of the individual sending the documents/package, description of materials and amount. The GF will further inform us how to proceed and the timeline.

Office supplies

- For any standard request (pen, post it, folder, etc.) check the stationary room accessible during opening hours (behind the GHC reception) or ask support from the Administrative Assistants of the teams.
- An approval is required from the Executive Director and GF Logistic Director for all special requests that have financial implications.

Business cards

The supply of business cards is arranged through the Ops team. Please contact the AO for your business cards.

Office rent and sublease

This is managed by the AO in consultation with GHC Partners.

Office space and office furniture

This is managed by the AO, with an approach to flexi-desk/desk-share in the event staff count increases with insufficient desks to cater to demand of STBP at the GHC.

GHC Emergency Situations

These are managed by the AO in consultation with the GHC Partner committee. GHC fire drills and fire wardens are coordinated through the GHC security team in consultation with the AO for STBP.

Information Technology

How to request computer equipment / phones:

A request should be made by email to the IT Officer for the desired equipment as soon as the need for equipment has been identified. For recruitment of new staff the request for equipment should come as soon as the recruitment process is initiated.

If the purchase request is for non-standard equipment approval must be obtained from the IT officer to ensure that the equipment will function as desired within the existing IT infrastructure of the Stop TB Partnership and that no additional costs will be incurred.

For the purchase of any IT equipment staff should follow the process below:

1. If the purchase is for something which is currently covered by a BPA/LTA, and subject to the necessary approval (see below monetary thresholds), then staff can request to place an order directly with the Ops team.
2. If the purchase is for something that is not currently covered by a BPA/LTA, then staff should discuss with the IT Officer on how best to proceed:
 - If the purchase is for standard equipment which all staff are entitled to (i.e., phone, laptop, etc) then the IT Officer will advise the staff on what is needed and the Ops team will guide the procurement process.
 - If the purchase is for non-standard equipment or additional equipment (for some reason the staff may request additional phones or laptops) then additional discussion with the IT Officer may be needed to

clarify the budget lines to be used. Once this is determined the Ops team will guide the procurement process.

When purchasing phones for less than USD600 no additional approval is required if the purchase is based on an existing contract catalogue (pre-established / fixed prices) and once the staff's Supervisor has been informed and the IT Officer greenlights the asset replacement and use of the IT budget line. Ultimately the order will be formally approved through the PO commitment in the system based on the relevant procurement DOA. If no BPA/LTA is in place or if the amount exceeds CHF 600 then staff will need to obtain approval from their supervisor and the Executive Director and the purchase will be done following standard procurement procedures.

When purchasing laptops for less than USD1,200 no additional approval is required if the purchase is based on an existing contract catalogue (pre-established / fixed prices) and once the staff's Supervisor has been informed and the IT Officer greenlights the asset replacement and use of the IT budget line. Ultimately the order will be formally approved through the PO commitment in the system based on the relevant DOA. If no BPA/LTA is in place or if the amount exceeds USD1200 then staff will need to obtain approval from their supervisor and the Executive Director and the purchase will be done following standard procurement procedures.

When purchasing any other standard ICT equipment, for less than USD250 no additional STBP approval is required if the IT Officer (for ICT) and the Ops team are consulted to advise on the necessary approvals:

For expenditures < USD250 no formal award (shopping note) is required if the payment is processed through the corporate credit card (with Finance unit's confirmation)

If the payment is processed through the ERP system, then a shopping note or Call off Order against an LTA award are necessary which can be directly approved by the relevant procurement DOA level.

When purchasing any non-standard ICT equipment, as well as other ICT goods and services, the full approval chain (Supervisor, Executive Director/OIC before formal DOA) should always be sought for amounts exceeding USD250, following consultation with the IT Officer(for ICT) and the Ops team.

How to request new software:

- A request should be made by email to the IT Officer for the desired software at least 1 month in advance of when it is needed.
- Before a decision is made to purchase new software a discussion should be held with the IT Officer and UNOPS IT to determine if the software will function correctly within the existing STBP existing and UNOPS IT environment of the Stop TB Partnership as well as whether or not the particular brand of the software proposed is the best fit among those available.
- The IT Officer will discuss with The IT Guys and come back with a proposal.
- All new software requests require the approval of the requesting person's team leader.
- All new software requests require the additional approval of the Executive Director and UNOPS IT.
- All purchases are subject to UNOPS rules and regulations that may impose additional requirements depending on the amounts involved.

All purchases are subject to UNOPS procurement rules and regulations that may impose additional requirements depending on the amounts involved and subject to organisational policy change.

Finance

The objectives of Partnerships Financial Management System (FMS) is to provide a framework for:

- Guiding decisions that have explicit financial implications for the Partnership Secretariat.
- Establishing an Internal Control System in the Stop TB Partnership for accounting for the resources entrusted to it, and reporting thereon in a transparent manner.

Underlying the above objectives are needs for the partners and other contributors to the goals of the Partnership to have means to judge the manner in which the resources made available to it are used, and to demonstrate that the Partnership Secretariat has fulfilled its responsibility towards stewardship and accountability of financial resources entrusted to it.

The FMS is based on generally accepted financial and accounting principles taking into account the specific characteristics and needs of the Partnership Secretariat.

Going concern, consistency and accrual are the fundamental accounting assumptions, which are described below, as they will apply to the partnership. Where these fundamental accounting assumptions are followed in financial statements, disclosure of such assumptions will not be explicitly stated. If these are not followed, then that fact will be disclosed in the annual financial report together with reasons.

- **Going Concern:** The partnership will be viewed as a going concern, that is, as continuing in operation for the foreseeable future. It is assumed that the partners have neither the intention nor the necessity of liquidation or of curtailing significantly the scale of its operations.
- **Consistency:** It is assumed that the accounting policies are consistent from one financial period to another.
- **Accrual:** The accrual basis of accounting for revenue in each financial period means that income is recognized when it is due and not when it is received, and costs are recognized when obligations arise or liabilities are incurred and not when payments are made.

Prudence, substance over form, and materiality will govern the selection and application of financial management approach of the Partnership.

- **Prudence:** Due care will be taken in making financial decisions that will allow the partnership operations to continue with minimum uncertainty surrounding financial transactions the partnership will enter into.
- **Substance over form:** Transactions and other events should be accounted for and presented in accordance with their substance and financial reality and not merely their legal form.
- **Materiality:** Financial statements to disclose all items which are material enough to affect evaluations or decisions and all material information that is necessary to make the statements clear and understandable.

Recognition/Recording of Income

For accounting and financial reporting purposes in line with IPSAS, revenue will be recognized when a binding agreement is signed by a contributor and will be allocated to the period it relates to.

Recognition of Income for allocating to expenditure: Income will be recognized on the basis of receiving signed agreements only to the extent that cash has been received as UNOPS operates on a cash basis.

Advanced recognition of income for funding of expenses with respect to a signed agreement may be allowed if the signed donor agreement clearly indicates the receipt of funds within the financial period for its application. UNOPS may, if needed, provide advance funding for such cases.

Currency

Accounting Unit of the Partnership income and expenditure will be US\$. All non-Dollar income will be

recorded in US dollars at the applicable bank rate applied at the time of receipt of funds.

Interest

All funds transferred to UNOPS bank account generate interest. The interest is calculated on a monthly basis based on the amount of cash in the bank, in line with other UNOPS project funds.

All interest will be credited to the projects and subsequent interest treatment applied in accordance with the established donor agreements.

Recognition/Recording of Encumbrances and Expenditures

Commitment (encumbrances) is created in UNOPS ERP system through a Purchase Order (PO), when a contractual agreement is signed (exceptions to this include procurement requests of less than USD 2,500 when the PO does not act as a contract itself, certain types of HR costs etc.). Commitments are created against specific GL Analysis (GLA/budget line).

As per the international accounting standard applied by UNOPS (IPSAS), expenses will be recognized on the basis of the delivery principle; that is when goods are delivered and services rendered and not when cash or its equivalent is paid.

Authorizations to incur expenditures and commitments in relation to Stop TB Partnership shall be made by UNOPS- authorized officials in accordance with UNOPS organizational directives and administrative instructions on delegations of authority, and Work Plans and Budgets as approved by the Executive Committee and ratified by the Board.

With respect to retainers and roster candidates, a Tracking Tool with the status of all retainers and rosters candidates will be prepared and agreed with STBP Finance and kept updated whenever any change to this information happens, that might include but is not limited to: new retainer contracts are issued, rosters are updated, retainer contracts are amended, defined tasks are requested to retainers, payments are made to retainers. The Tracking Tool is meant to show at any point in time the financial liability under each retainer as well as the cumulative liability for all retainers contracted for the Partnership.

- Every time a retainer consultant is requested by a department to undertake defined tasks under the retainer agreement, the standard template for this shall be filled in and signed by the department team leader, with copy to the budget owner and sent to STBP Finance. This template shall contain the following information: Contractor name, contract number, contract dates, supervisor name, total number of days under the contract and total amount under the contract as well as the number of days agreed to complete the defined tasks and the corresponding amount.
- The signed documentation is sent to STBP Finance for verification and recording in the Retainers and Rosters Tracking Tool
- STBP Finance will send the cleared documentation to UNOPS GVA HR
- Based on this documentation, UNOPS GVA HR will encumber the funds in the system (create the PO)

Any reversal of expenditure needed (e.g. reversals are needed when a donor funded activity needs to be undertaken immediately for programmatic reason without having received the cash), will be identified by finance of the Ops team for action in the UNOPS ERP system.

A more detailed process on Purchase order and receipt can be found in a separate SOP.

Operating Costs

Are defined as the crosscutting costs covering minimum core functions of the Secretariat that ensure the delivery of projects and maintain the existence of the organization. For example, the Operating Costs cover crosscutting facility costs (e.g., office rent, electricity bills, IT related equipment and services, and other applicable administrative costs) and crosscutting human resources functions (e.g., senior management, governance, finance, human resources, IT, etc.).

STBP's Operating Costs need to be covered independently of the Secretariat's programmatic activities and UNOPS's management fees. Therefore, for the financing of the crosscutting facility and human resources costs, a contribution of up to 7% shall be allocated from all donor funding. To facilitate this allocation, Operating Costs shall be budgeted for in all donor proposal submissions.

Any "unearmarked" interest earned shall be allocated to the STBP's Operating Costs or, if this cost category is fully funded, to the general STBP's Flexible Operational Funds.

Internal Control

The basic concepts of internal control are embedded in the workflow arrangement set up in the Partnership and includes:

- **Segregation of duties:** which requires that different individuals be assigned responsibilities for different elements of the same activity. Thus those who initiate an obligation will not approve them. Likewise approvers or members in their teams, if reporting to the approver in a line management hierarchy, will not certify execution of payments. It is only the person certifying obligations and payments who will instruct UNOPS for establishing obligations in the ERP system and execute payments.
- **Record management and control:** The accounting and other supporting documents should capture and record financial transactions and commitment in a systematic and orderly fashion, this will comprise:
 - Maintaining computer files of all financial schedules in both pdf and excel formats in date order.
 - Keeping hard copies of all final schedules in date order and transaction type order records will be kept to ensure financial statements are based on verifiable data.
- **Financial transaction management and control:** All financial transactions or transactions that have financial implications will be properly authorized in line with established guidelines set out below.
- **Expenditure and encumbrances will be carefully monitored on a quarterly basis.**

Establishment of the Work Plan

Every year the Stop TB Partnership and its constituent functional units establish an annual/or biennial work plan this will set out clearly:

- Under each functional unit the activities that are planned for the year/or two years and the cost of undertaking them.
- A Human Resources Work Plan will allocate the personnel costs

Establishing the work plan will be coordinated by the STBP Finance section with inputs from the functional teams under the supervision of the respective team leaders and guidance of the Executive Director and it will be approved by the Board. The work plan will be established for each

of the Strategic Goals of the Stop TB Partnership.

Within the Stop TB Partnership internal control will be exercised by monitoring the implementation of the Board approved work plan and expenditure reported to Finance Committee, STBP management and operational staff.

1. Revenue Cycle.

- All donor proposals and subsequent agreements will be cleared with Finance section with respect to budgets set out there in, as well as with UNOPS in order to ensure that the budget is in line with the overall budget structure approved for the hosting arrangement.
- On receipt of funds, finance section will allocate the funds to the units by Project Numbers according to the signed donor agreement (Contribution Agreements - CA) and send this distribution request to UNOPS electronically. UNOPS will then record the funds in their financial management systems - OneUNOPS and confirm to STBP Finance.
- Signed donor agreements will be kept by UNOPS. Copies of these will also be kept by Stop TB Partnership Donor Relations and Finance sections.
- Any revision to donor agreements will be set out through amendment signed by the donors and UNOPS. In case it involves adjustment of the budget, UNOPS will be advised by the STBP Finance to undertake budget revision in OneUNOPS revision.

2. Payment Cycle

Creating obligations:

Creation of commitment documents (Obligating documents) for establishing financial liability will be initiated by the functional units. The commitment document should contain; Initiator Name; Work package description and amount in US\$. The Stop TB Finance section will confirm and clear the work package description: e.g.

Work package description	1AC-Sulo-HR-USAID2TBPAm17
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The Ops team finance will reflect the above in the GL in the UNOPS ERP, as shown below.

Project	Work package	Donor	Resource No.	Nature of Cost	Activity	ACCOUNT
92948	92948-01	1121	11352	92948-01-001	Operational	71605

- The commitment document will be initiated by the personnel member responsible for the work, approved by the team leader and then sent electronically to STBP finance team to clear the work package details and amounts.
- If the amount is above \$10,000 it will be sent to the Executive Director for approval. On approval by the team leader and the Executive Director (if above \$10,000) the document will move electronically to Stop TB Finance which will confirm the transaction details and sufficiency of funds and record the relevant details in the transaction control register if relevant and approve it electronically for entry into the UNOPS ERP system.
- If the amount is below \$10,000 it will be sent electronically to Stop TB Finance which will confirm the transaction details and sufficiency of funds and record the relevant details in the transaction control register if relevant and send it to the relevant team leader or the (Executive Director in case of special programmatic reasons) who will approve it electronically after which it will return to Finance who will log the financial details and make entry into UNOPS ERP system for execution.

- On receiving the cleared instrument (commitment document), UNOPS will establish the corresponding Purchase Order (Obligation to pay) in the OneUNOPS and electronically notify STBP Finance section that this has been done.
- All signed copies of legal documents with a financial implication (e.g. service agreements, contracts, donor agreements, Purchase Orders, etc.) will routinely be shared with the Ops team finance.

Making Payments

- All payments will be based on invoices received from service/goods provider, based on scanned copies of original signed documents. Payment request will be initiated on the basis of invoices/received or contracts by the functional units concerned. The functional units will confirm that goods have been delivered and services rendered satisfactorily, and Finance will certify it for payment.
- Based on this, the payment instrument (invoice/contract) will be matched with the corresponding obligating document by STBP Finance, certified by it, and sent to UNOPS to execute the payment in OneUNOPS.
- A payment register will be maintained by STBP Finance to enter the details of transactions sent to UNOPS. A reconciliation will be made once every quarter and any reversal of expenditure will be submitted to UNOPS for action through journal entry in OneUNOPS.
- GDF invoices related to commodity procurement orders will be received by Stop TB Finance directly and verified using the OMS system.
- Establishment of obligations and payments for GDF: This will be done through the electronic GDF Order Management System (OMS). Every order in OMS is approved by the Ops team finance and GDF management. Once the Ops team finance approves the order, the corresponding PO must be created in the UNOPS ERP system by the Ops team finance.
- Final payments to agents will only be made after receipt of statements of final accounts for the full period and its reconciliation with STBP records.
- Any invoice not matching the details of the obligating documents will not be processed for payment and be sent back to the vendor.

3. Payroll Cycle

- Personnel plan will be determined annually by STB for the following year/or two years and entered into the budget of that year and sent to UNOPS who will then enter it into the year's Annual Budget. The HR work plan will be prepared by the STBP Admin/HR focal point in collaboration with the STBP Finance. It will be reconciled with the available resources by STBP Finance prior to entry into the UNOPS ERP
- Quarterly adjustment to the budget will be initiated by STBP Admin/HR focal point, cleared by Finance section, and sent to UNOPS for entry into One UNOPS financial reporting.

By Stop TB Partnership Finance function:

Stop TB Partnership Finance team will prepare a quarterly financial management report indicating:

- Budget versus Expenditure and Encumbrances, showing the variances and burn rates as well as variance analysis for items under or overspent, both with respect to the total work plan. This will be shared with all teams every quarter.
- Other regular reports
 - Travel expenditure incurred (monthly)
 - Cash received from donors (monthly)
 - List of budget orders outstanding (quarterly)

Stop TB Finance team will produce an annual financial management report for a given year based on IPSAS principles and international best accounting practice. This will be produced by end of August following the year to which it relates. In addition, Stop TB Partnership Finance will prepare financial reports as required by donor agreements.

By UNOPS

A. UNOPS will submit financial statements to Stop TB Partnership in accordance with the relevant provisions of the Contribution Agreements concluded with various donors.

UNOPS financial statements will have the following format.

- Cash received (Receipts)
- Interest Income
- Disbursements (expenditures)
- Open purchase orders (unliquidated obligations)
- Advances (petty cash, operation advances, pre-payments etc.)
- Cash balance

Reserves

Reserves comprise funds carried over from WHO, along with other funds accrued, as determined by the Coordination Board on recommendation of the Finance Committee. These funds will be put under a heading “statutory reserves” and may be added to or used by adding funds from other sources-generally from flexible funds.

Reserves will be maintained at a certain level agreed with the Board. Funds set aside as reserves will be used only for exceptional purposes with the recommendation of the Finance Committee and approval by the board.

Any increase or decrease will be authorized by the Board. Reserves will be kept at a minimum level so as not to tie up funds in non-productive assets. Reserves, and their use if any, will be accounted for and reported in the annual financial statement.

Flexible Operational Funds

A pool of flexible funds will be maintained for operational reasons as and when they arise and for smoothing out the flow of funds and emergency funding. These may be increased through using flexible donor funds to maintain these at a reasonable level and through investment income earned.

The detailed Operating Principles and Process map for using the FPF for both medicine and diagnostics procurement as well as the Procurement Risk Fund are detailed as provided in the separated documents as approved by STBP Board as Annexes.

Obligations

All obligations established in the ERP System will be reviewed every quarter by the Ops team finance with a view to keep them up-to-date. If a contract has been canceled or the activity relating to the contract has been truncated, the related obligation will be reviewed and reduced to zero or match the actual reduced liability.

Investment of Funds

The Board can decide on funds, which are not needed for the foreseeable future, to be invested in

financial instruments by UNOPS. The Finance Committee can recommend to the Board the amount of funds to be invested as well as the selection of which instruments to use. The Secretariat and UNOPS will provide input on these issues to the Finance Committee for consideration.

UNOPS will keep a separate investment account for these investments and follow UNOPS organizational directive for investments in managing these investments.

Petty Cash

Petty cash (PC) account for the Stop TB Partnership will be established with PC level of CHF 1,000. The PC will be managed by appointed PC custodian (PCC), Finance Analyst. Receipts for all expenditures will be maintained by PCC and submitted monthly along with a PC ledger to UNOPS for replenishment.

Procurement

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

Sustainable procurement is defined as those practices that integrate requirements, specifications and criteria that are compatible and in favor of the protection of the environment, of social progress and in support of economic development, namely by seeking resource efficiency, improving the quality of products and services and ultimately optimizing costs.

The scope of procurement is limited to commercial activities, and does not include selection and administration of ICA, inter-agency agreements, grants and public private sector partnerships, which are subject to other financial regulations and rules.

UNOPS Financial Regulation 18.02 requires that the following general principles must receive due consideration when undertaking all procurement activities:

- a) Best value for money
- b) Fairness, integrity and transparency
- c) Effective competition
- d) The best interest of UNOPS and its partners

By applying these principles in the procurement process, UNOPS ensures effective and purposeful implementation of its activities, including its commitment to the promotion of sustainable development, by avoiding wastage of resources, producing the most appropriate solutions at all times, and addressing the needs of the organization and its partners.

See [UNOPS Procurement Manual](#) point 1.4 for more information on the procurement principles.

Delegation of authority levels

The UNOPS 'Executive Chief Procurement Officer' (ECPO) delegates the 'Procurement Authority' (PA) to local individuals to perform authorized actions within specified monetary values, i.e. 'Delegation of Authority' (DOA.).

The UNOPS Senior Portfolio Manager has been granted DOA-level 1 and the Head of Support Services of the UNOPS GVA Office holds DOA-level 2, while the Regional Director ECR has DOA-level 3 which can be used on the basis of the use of formal methods of solicitation.

Lower thresholds apply for exceptions to the use of formal methods of solicitation – see below table.

The Stop TB Partnership Executive Director currently has DOA-level 1. This will be reviewed continuously and adjusted as appropriate, and in line with UNOPS rules and regulations.

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

See [UNOPS Procurement Manual](#) point 2.5.2 Delegation of authority (DOA) for more information on the DOA levels.

Table 1 | Levels of delegated authority

Activity ^{1 2}	Level 1	Level 2	Level 3	Level 4
	US\$	US\$	US\$	US\$
Approve short lists, RFIs, requests for EOI, pre-qualification and solicitation documents, including amendments thereof	Unlimited	Unlimited	Unlimited	Unlimited
Award ³ contracts further to the use of formal methods of solicitation	50,000	250,000	500,000	1,000,000
Award contracts further to pre-selection ⁴				
Award call-off orders against LTAs	50,000	250,000	500,000	1,000,000 ⁶
Award call-off order amendments against LTAs				
Award contracts through an exception to the use of formal methods of solicitation ⁵ , other than pre-selection				
Award contract amendments, not including call-off orders against LTAs nor the situations within a pre-awarded contingency indicated below	50,000	50,000	250,000	250,000
Approve variations and claims for works contracts or amendments for goods and services within pre-awarded contingency	50,000	500,000	Unlimited	Unlimited
Sign awarded contracts, awarded LTAs, awarded call-off orders, and awarded amendments	Unlimited	Unlimited	Unlimited	Unlimited
Sign contracts pursuant to no objection mechanism from international financial institutions (e.g. World Bank) and UN organizations	Unlimited	Unlimited	Unlimited	Unlimited
Approve retroactive or post-facto cases	None	None/50,000 ⁷	250,000	250,000

¹ All values displayed are up to, but not including, the amounts indicated for each level and exclusive of taxes and duties.

² Some of these activities require either pre-clearance by a procurement reviewer before the PA's decision (see [2.6 Procurement Reviewers](#) in the procurement manual), or else review by a CPC (see [9.4 Scope of review of CPC](#)).

9.4.1 Monetary thresholds for CPC review

Table 7 | Monetary thresholds for CPC review

Procurement activity	LCPC		HQPC	
	Regional Director with DOA Level 3	Regional Director with DOA Level 4	Region with LCPC	HQ Groups
Accumulated values of Contracts within 12 calendar months under the same project or for the same purpose further to the use of formal methods of solicitation, and contracts further to pre-selection	US\$250,000 or above up to US\$500,000	US\$250,000 or above up to US\$1,000,000	BU with DOA 3: US\$500,000 or above BU with DOA 4: US\$1,000,000 or above	US\$250,000 or above
Contracts further to exceptions to the use of formal methods of solicitation (other than pre-selection) within 12 calendar months under the same project or for the same purpose. Post facto, retroactive and amendment cases have no time limit	US\$50,000 or above up to US\$250,000	US\$50,000 or above up to US\$250,000	US\$250,000 or above	US\$50,000 or above

Note: All LTAs must be reviewed by HQPC regardless of estimated amount.

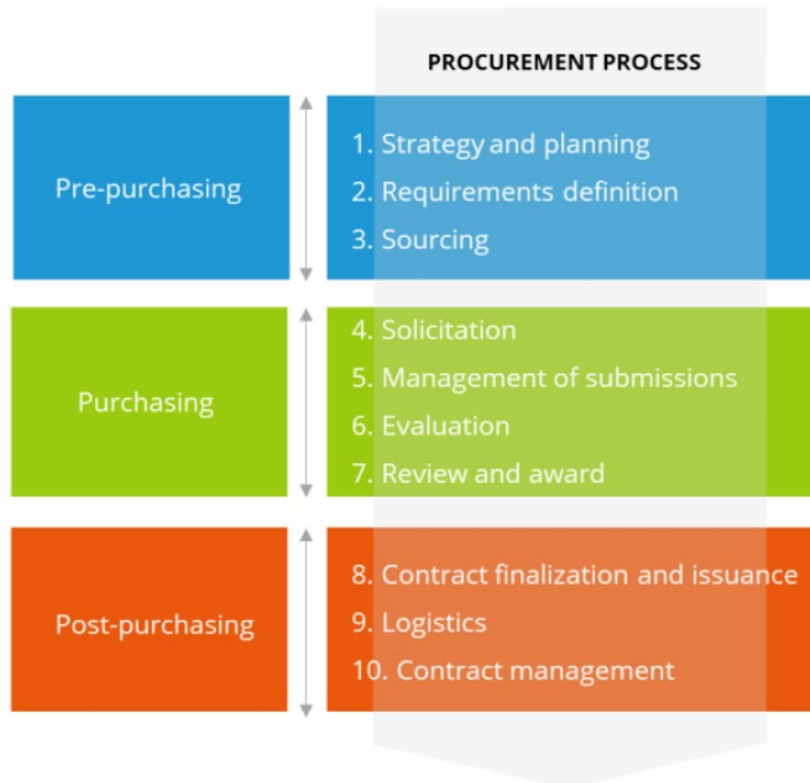
Effective procurement planning

This includes assessing needs, planning timelines for purchasing and delivery, and identifying requirements to be met by suppliers. Effective procurement planning leads to the development of solicitation documents which clearly communicate technical specifications and evaluation criteria for suppliers. Resulting benefits are:

- better requirement definition thereby increasing the probability of receiving strong offers;
- improved sourcing, ensuring an adequate number of suppliers which hold appropriate qualifications;
- less waste of resources on last minute actions;
- less repetitive, labour intensive procurement activities, due to the early assessment and use of LTAs;
- reduction of delays and lead times due to the ability to perform in advance
- reduced transaction costs through consolidation of procurement actions

Keep in mind the following main procurement practice points:

1. Procurement planning on a yearly basis and quarterly follow-up/revision.
2. Clear definition of needs and comprehensive technical specifications.
3. Use of internal resources first (LTAs, competitive procurement processes less than 12-months old, etc.).
4. Use of procedures/templates to source suppliers from the market.
5. Clear evaluation criteria for selection.
6. Confidentiality and integrity during the procurement process.



Simple steps of the procurement process which need to be followed:

1. Sourcing of suppliers jointly with UNOPS GVA personnel. This includes internal sourcing from existing Long Term Agreements (LTA) or external sourcing such as supplier catalogues, previous short lists, internet search etc.
2. Follow suitable procurement methods based on local needs and situation. See below solicitation methods for further detail.
3. Follow standard [UNOPS formats](#) designed to fit specific requirements, which contain UNOPS mandatory terms and conditions.
4. Set criteria for selection of suppliers based on specifications, conduct evaluation of suppliers further to these criteria, and recommend for selection.
5. Contracting and issuance of Purchase Order(s).




Sustainable procurement

Procurement is called sustainable when it integrates requirements, specifications and criteria that are compatible and in favour of the protection of the environment, of social progress and in support of economic development, namely by seeking resource efficiency, improving the quality of products and services and ultimately optimizing costs.

The choice of goods and services are based on:

- Economic considerations: best value for money, price, quality, availability, functionality
- Environmental aspects: i.e. green procurement: the impacts on the environment that the product and/or service has over its whole life-cycle, from cradle to grave;
- Social aspects: effects of purchasing decisions on issues such as poverty eradication, international equity in the distribution of resources, labour conditions, human rights

Consult with the UNOPS GVAC team on how you can make your procurement more sustainable. For further information see the [sustainability guidance](#) on the UNOPS intranet.

Solicitation method	Contract value	Requirements	Evaluation method	Envelope system
Shopping	< US\$5,000	Off-the-shelf goods, standard specification, simple services.	Lowest priced most technically acceptable	No requirement for sealed offers
RFQ	US\$5,000 < US\$50,000	Requirements for goods, services or works are clear and specific	Lowest priced most technically acceptable	No requirement for sealed offers
ITB	≥ US\$50,000	Requirements for goods, services or works are clearly and completely specified	Lowest priced substantially compliant	
RFP	≥ US\$50,000	Requirements for goods, services or works that cannot be expressed quantitatively and qualitatively or complex requirements that may be met in a variety of ways	Cumulative analysis	 

UNOPS solicitation methods

Following process steps apply when selecting one of the standard solicitation methods:

REQUIREMENT	SHOPPING
< US\$ 5,000	<ul style="list-style-type: none"> • Stop TB Partnership programme unit obtains at least 3 price quotations. • Stop TB Partnership programme unit together with the Operations Procurement Team compare quotations and select the supplier on “lowest priced, most technically acceptable” basis (written justification required if lowest priced option is not selected). • Stop TB Partnership to indicate budget line/GLA to be charged. • Stop TB Partnership programme unit together with the Operations Procurement Team prepares Explanatory Note for Shopping to be signed by Stop TB Partnership Executive Director and awarded by the appropriate Procurement Authority. • Operations Procurement Team to issue Purchase Order which serves as contract with the supplier and needs to be signed by both parties prior commencement.
REQUIREMENT	REQUEST FOR QUOTATION (RFQ)
> US\$ 5,000 but below US\$ 50,000	<ul style="list-style-type: none"> • Operations Procurement Team drafts the RFQ in eSourcing based on the Terms of Reference elaborated by the Programme unit and GLA to be charged. • Publishing on UNOPS website and other relevant media (min. 5 days); possible suppliers can be invited directly to quote. • Stop TB Partnership programme unit together with the Operations Procurement Team conduct technical/financial evaluation and select the supplier on the basis of “lowest priced, most technically acceptable”. • For exceptional cases (e.g. direct contracting) that are not tendered through eSourcing, the Operations Procurement Team prepares the Request for Award to be signed by Stop TB Partnership Executive Director and awarded by the appropriate Procurement Authority. • The Operations Procurement Team issues Purchase Order and Contract with supplier prior to commencement. In cases of straightforward goods procurement, the PO can serve as the contract, as it includes the GCCs and is signed by the vendor.
REQUIREMENT	REQUEST FOR PROPOSAL (RFP) / INVITATION TO BID (ITB)

<p>> US\$ 50,000</p>	<ul style="list-style-type: none"> • Operations Procurement Team drafts the RFP/ITB based on Terms of Reference elaborated by the Programme unit and GLA to be charged. • Publishing on UNOPS website and other relevant media (min. 15/21 days). • Operations Procurement Team conduct bid opening. • Stop TB Partnership programme unit together with the Operations Procurement Team organize evaluation panel and review technical/financial proposals: <ul style="list-style-type: none"> - ITB – Lowest priced substantially compliant; - RFP – Cumulative analysis on the basis of best value (technical and financial) and most responsive offer. • Operations Procurement Team to submit for review by LCPC/HQCPC if applicable. For exceptional cases (e.g. direct contracting) that are not tendered through eSourcing, the Operations Procurement Team prepares the Request for Award to be signed by Stop TB Partnership Executive Director and awarded by the appropriate Procurement Authority. • Operations Procurement Team to issue Purchase Order and Contract with supplier. In cases of straightforward goods procurement, the PO can serve as the contract, as it includes the GCCs and is signed by the vendor.
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Preselection

UNOPS Financial Rules and Regulations allow for the preselection of contractors or implementing partners by the funding source. Stop TB Partnership personnel need to liaise with UNOPS GVA well in advance of possible starting dates of services or procurement of goods, as the specific case needs to be analysed to assess if it qualifies as Pre-selection and might need to be reviewed by LCPC/HQCPC. See [UNOPS Procurement Manual point 6.8.2](#) for further information on Pre-selection.

Exceptions to the use of formal procurement methods

In accordance with UNOPS Financial Rules and Regulations UNOPS may award a procurement contract – either on the basis of an informal method of solicitation or on the basis of a directly negotiated contract – to a qualified contractor whose offer substantially complies with the requirements at an acceptable price.

Stop TB Partnership personnel need to liaise with UNOPS GVA well in advance of possible starting dates of services or procurement of goods, as the specific case needs to be analysed to assess if it qualifies as Exception and might need to be reviewed by LCPC/HQCPC. [See UNOPS Procurement Manual point 6.8.1 for further information on Exceptions to the use of formal methods of solicitation.](#)

Process for GDF procurement orders through OMS

The step-by-step processes for GDF procurement orders of medicines and diagnostics are detailed in the separate SOPs developed and agreed by the concerned teams in UNOPS/STBP.

Asset management

For any assets with acquisition value USD300 and above, transactions including acquisition, transfers and disposals must be documented officially. Upon acquisition these assets also must be entered into the OneUNOPS asset module as they are considered for financial accounting purposes.

Asset: An asset is identified if it meets the majority of the 'Use and Control Criteria' and the asset value equals or exceeds threshold of USD 2,500 including additional cost related to making an asset ready for its intended use and it will be used for more than one reporting period. Capitalized assets will be reported in the UNOPS Financial Statement, and will be depreciated and tracked in the Asset Management Module.

Non-Capitalized Expenses

- Transactional assets (These are goods that are purchased by UNOPS on behalf of a client and where the control is transmitted directly from the vendor to the client)
- Assets with a monetary value below USD 2,500
- All types of services not related to making an asset ready for its intended use.

Assets categories

- Buildings
- Land
- Furniture & fittings
- Heavy Machinery & other equipment
- Intangibles
- Communications & IT Equipment
- Vehicles
- Leasehold Improvement

Assets management steps

1. Acquire asset
2. Maintain asset
3. Dispose asset

In case of lost, damaged or stolen asset, it is important to document the circumstances in a way that allows the respective authority to evaluate the case with regards to any possible negligence.

All assets under UNOPS control must be recorded.

Assets control – Annual Physical Inventory

A proper record should correspond to the asset count performed and any discrepancies identified should be rectified in a timely manner.

Steps:

1. HQ sends the assets report to each UNOPS office
2. Asset Focal Point Coordinates physical verification exercise (confirm asset location, asset description, serial number, tag number, asset class and asset value)
3. Physical Verification Team compares asset report to assets on the ground and reports the asset condition
4. Asset Focal Point submits approved requests for disposals, acquisitions and adjustments resulting from physical verification exercise including any necessary supporting documents
5. HQ processes necessary adjustments and reflects in the system.

For standard physical inventory and acquisition, maintaining and disposal of assets, the following main link should be consulted: [Asset Management](#).

Stock Cycle

Stop TB Partnership finance section will keep computer records of value of Drug stocks, identifying each drug in stock, at IDA warehouse for the rotating Stockpile (SRS). These will be reconciled with IDA records of the physical inventory every quarter and with IDA financial records also. IDA warehouse records will be kept to record movement of drugs in and out of SRS stock will be scrutinized by Stop TB Partnership finance personnel. Monetary Value of the SRS every year will be determined by an independent assessor appointed for this purpose.

Physical stock will be confirmed by an independent Inspection Agency who will note the value of the various batches of each drugs in the SRS along with the date of acquisition every six months. Movement between stock levels will be scrutinized by Stop TB Partnership Finance after every independent valuation.

GDF calculation of the fixed price, as and when made, will be checked and agreed by Stop TB Partnership Finance before it is declared. Any change in fixed price after a year, or before a year, will be notified to Stop TB Partnership Finance, checked and agreed by them before it is made public.

A financial audit of the stockpile will be undertaken by Stop TB Partnership Finance once a year. Time between two such audits will not be more than 11 months.

Grants

The following section outlines the Stop TB Partnership's grant selection methodologies suited to the Partnership's operations.

General Considerations related to Grant Support

Grant support is the provision of funds to an organisation to directly implement a project activity in line with and supporting the Partnership's overall mission.

Grant support **is distinctively outside the framework of procurement that constitutes the *acquisition of goods, works and/or services***. Accordingly, grant support is defined in UNOPS' Financial Regulations and Rules as "a project activity that is outside the framework of procurement activities, and is undertaken by way of grants [...] through an implementing partner".

It has three principal features:

- Purpose – engaging a Grantee as an implementing partner to carry out specific public project activities with milestones;
- Autonomy – the Grantee is largely autonomous with the Partnership's role being limited to reasonable monitoring of agreed milestone achievements; and
- Not-for-profit – No direct financial profit for the Grantee.¹ Grantees should usually be constituted as not-for-profit organizations. Grants should not have the purpose of producing a direct financial profit for the Grantee.

Grant support is given to grantees (*'Grantees'*), which typically include, but is not exclusively limited to, for not-for-profit organisations, Community Based Organisations (CBOs), research institutions, non- governmental organisations (NGOs), charitable organisations, foundations, and local or municipal branches of governments.

Two types of grants are covered: cash and in-kind. These can be awarded through one of the following processes:

- Competitive method;
- Pre-selection;
- Ad-hoc selection methodology and;
- Exceptions to the formal competitive process.

Grant support will be undertaken in accordance with the relevant UNOPS organizational directives and administrative instructions and shall be provided using the UNOPS / Stop TB Partnership grant support agreement that has been tailored on the basis of UNOPS GSA.

¹ This does not include a reasonable (usually below 10% of entire grant amount or as per agreement with donor) overhead fee/compensation for the grantee's organization, or the fact that grant recipients (community members etc.) may benefit from the results of the grant activities (i.e. impact on livelihoods or income generation).



EXAMPLES:

Procurement: **Contract** with a supplier to deliver office computers; **Contract** with a security firm to hire security guard services; **Contract** (for small services) with a Hotel to provide workshop venue etc.;

Grant Support: **Grant Support Agreement** with a village women’s group to lead TB sensitisation or diagnosis campaign; **Grant Support Agreement** with a foundation to introduce technique or to organise

Stop TB Partnership Context

To meet its overall mission to serve every person who is vulnerable to TB and ensure that high-quality diagnosis, treatment and care is available to all who need it, the Stop TB Partnership awards grants to selected grantees to undertake activities.

The Stop TB Executive Director is responsible for the overall grant management of the Secretariat of the Stop TB Partnership. The Stop TB Executive Director chooses the appropriate grant selection method to facilitate the implementation of the objective of the grant. The Secretariat personnel, in light of their thematic competence, are tasked by the STOP TB Executive Director to undertake the selection process of grantees by coordinating and reviewing applications as well as identifying Grantees for specific activities.

The UNOPS Operational Instruction on Grant Support provides for several selection methodologies for Grantees, including a competitive process, pre-selection by the funding source, pre-selection *in process*, and a grant selection methodology specified in the project agreement. Accordingly, these SOPs shall be attached by reference to all projects agreements entered into with donors to ensure that when such projects involve the provision of grant support, the selection methodologies detailed in this document shall apply, if necessary.

Grantee Review & Selection Process:

The selection and awarding processes for grants for the various activities of the Partnership are largely similar and can follow one of the proposed processes below. Specific details in the selection process for Grantees for each activity may be established in separate and independent internal guidelines when required, when new grant rounds are established or in line with donor agreements when ad-hoc grants are issued.

Grantee Selection – Thematic & Technical Criteria

Any Grantee must comply with these minimum eligibility criteria:

- Proven capacity (track record and reputation) to undertake planned activities;
- Proven capacity to deliver at the specified engagement level, that is, national, regional and/or global;
- Not for profit status, subject to section 5.3 of the UNOPS Operational Instruction on Grant Support; and
- Reasonable/realistic budget.

Grantee Selection – Capacity Assessment

StopTB follows UNOPS’ corporate policy and requirements for a capacity assessment of Grantee organizations. A forthcoming update to UNOPS OI Grants shall provide further guidance and tools.

- a. All StopTB grants where StopTB/UNOPS is responsible for the Grantee’s performance, conducting a capacity assessment is mandatory for Grantees managing at least USD 50,000 prior to awarding the grant.
- b. Grantees being selected following the ad-hoc selection methodology (see also ad-hoc selection methodology) shall be capacity assessed irrespective of the amount to be awarded and following UNOPS policy guidance and tools (see also ad-hoc selection methodology). “In-kind” grants, whereby the grantee receives TB products from the Global Drug Facility (GDF) but does not receive any monetary funds, as well as grants to other UN System Organizations, do not need to undergo a capacity assessment.
- c. The areas of assessment shall be governance and internal control, ability to deliver to StopTB/UNOPS standards and quality expectations, financial stability and commitment to integrity and ethics. The appropriate level of detail of a capacity assessment used in Stop TB capacity assessment templates as well as requested supporting information should be determined by the respective StopTB Grant Focal Point and his/her Team Leader, in coordination with the StopTB Operations Team.
- d. The threshold of USD 50,000 is not cumulative nor applicable in case of costed amendments. In addition, the StopTB Executive Director or UNOPS may request a capacity assessment prior entering a Grant Agreement whenever deemed necessary in the interest of mitigating any risks for the Partnership.

Competitive Method

Step 1 - The Call for Proposal (“CFP”):

The CFP should be posted on the Stop TB Partnership website and/or the United Nations Global Marketplace (UNGM) and can be disseminated directly to interested organizations. The details of the CFP may vary according to the nature, complexity, and value of the requirements. The selection and application criteria will be defined by the Secretariat and included in the solicitation documents, which shall also include more general information as to how proposals should be submitted and by which date, to ensure that relevant details are open and transparent.

Step 2 – Technical Assessment:

The Stop TB Executive Director Executive Director in consultation with team leaders appoints a Secretariat team or member of personnel to manage the technical assessment.

The proposals will be considered against the technical criteria described in the CFP.

Step 3 – Selection:

Following the technical assessment, the designated person or team managing the assessment shall prepare an evaluation report (“Report”) to the Stop TB Executive Director, setting out their proposed selection decision. The Report shall emphasize the reasons for the selection, providing a) a summary of the CFP, the relevant donor agreements providing funds for the grants, and of the evaluation process; b) a ranking and scoring of proposals, and c) a recommendation for grant award emphasizing the reasons for selection. The Report should also include a simple due diligence of the existence of the institution and of the absence of any integrity concerns, such as any indications that the proposed Grantees have engaged in fraud or are involved in any ongoing legal proceedings. Finally, the report should also include clearance from Stop TB Partnership Finance that the proposed selection is made within budgetary ceilings and that there are resources available.

Step 4 – Stop TB Partnership approval of selection recommendation(s):

For proposals up to USD 250,000, the Report shall be submitted to the Executive Director for his/her approval prior to the UNOPS awarding process. Proposals above USD 250,000 shall be submitted to the Executive Committee for approval on no-objection basis with a five-day turnaround time. In the event that there are objections, the Stop TB Partnership ED will address the concerns or, if required, re-initiate the selection of a different grantee according to the objections made by the Executive Committee.

Step 5 – UNOPS grant Awarding

See Award section below.

Pre-Selection by the Funding Source

The Stop TB Partnership may provide grants on the basis that a particular Grantee has been pre-selected by the funding source in accordance with its own rules and regulations. As the Stop TB Partnership will not have carried out its own due diligence in such cases, the project agreement or amendment must include:

- The name of the Grantee, the grant activities, and the estimated budget; and
- A statement whereby the funding source confirms that, in selecting the Grantee(s), it has complied with applicable internal rules, regulations, and procedures and that since the pre-selection is outside the control of UNOPS/the Stop TB Partnership, the funding source recognizes and agrees that UNOPS/the Stop TB Partnership shall not be accountable, or otherwise carry any liability, for the performance of the pre-selected Grantee(s).

In these cases, the Stop TB Partnership will provide the oversight, management, and diligence in monitoring as for all Grantees.

Pre-Selection in process

A funding source may request the Stop TB Partnership to engage a particular Grantee by way of an official letter, following conclusion of the project agreement and/or during the implementation of the project. In this event, the requirements in section 6.3 of the UNOPS Organizational Instruction on Grant Support shall be complied with, including the inclusion in the letter of the statement mentioned in the abovementioned section.

Ad-hoc selection methodology

The Stop TB Executive Director may determine that the selection methodologies outlined above may not be suited for the specific Grant activity and determine that the following ad-hoc methodology will apply. Reasons may be eg. for programmatic nature, market- or situation-specific and should clearly outweigh the StopTB/UNOPS preferred methodology of a competitive process. A prior capacity assessment of the grantee organization is mandatory under the ad-hoc selection methodology irrespective of the grant amount to be awarded (see also capacity assessment).

Up to USD 100,000:

The Executive Director of the Partnership may directly approve the selection of a Grantee for Grant activities below USD 100,000 without a competitive selection process. The team requesting this selection shall submit a written justification for the scope of work to the Executive Director for approval prior to award.

Over USD 100,000:

For grants in excess of USD 100,000, the selection shall be undertaken in one of two ways:

1. The project agreement shall specify the name of the Grantee(s). In the case of standard grants, the agreement shall state the amount to be provided. For in-kind donations, information on this shall be set out in the agreement.

If the project agreement has already been signed, but the above mentioned details were not included, the donor should submit a letter specifying the relevant information. This should be signed by the same person who signed the agreement or someone who has received a signed delegation of authority by the signatory to the project agreement.

Please note that this should not be considered pre-selection and thus, to enable award of this grant, justification for this selection must still be undertaken by reference to the exceptions in Financial Rule 118.05.

2. Alternatively, the Stop TB Partnership may undertake the following process to ensure transparency and due diligence:

- a. **Step 1 – Technical Assessment:**

The Executive Director in consultation with team leaders shall appoint a team or member of personnel consisting of technical expert(s) from the Stop TB Partnership to manage the technical assessment and justification. The Grantee will be considered against Stop TB Partnership technical criteria and/or the technical criteria suggested by the donor.

- b. **Step 2 – Selection:**

Following the technical assessment, the designated person or team managing the assessment shall prepare an evaluation report (“Report”), setting out their proposed selection decision that shall be validated by internal Team Leader. The Report should also include a simple due diligence confirmation of the existence of the institution and of the absence of any integrity concerns, such as any indications that the proposed Grantee(s) have engaged in fraud or are involved in any ongoing legal proceedings. Finally, the report should also include clearance from Stop TB Partnership Finance that the proposed selection is made within budgetary ceilings and that there are resources available.

- c. **Step 3 – Stop TB approval of selection recommendation(s):**

For proposals up to USD 100,000, the Report shall be submitted to the Executive Director for his/her approval prior to award. Proposals above USD 100,000 shall be submitted to Stop TB ED for validation before being submitted to the Executive Committee for approval on no-objection basis with a five-day turnaround time. In the event that there are substantial objections, the Stop TB Partnership ED will address the concerns or, if required, re-initiate the selection of an appropriate Grantee according to the objections made by the Executive Committee.

- d. **Step 4 – UNOPS grant Awarding**

Exception to the formal methods of solicitation

In certain cases, it may be determined that using formal methods of solicitation is not in the best interests of the Secretariat, due to the reasons set out in Rule 118.05 of the UNOPS Financial Regulations and Rules.

Accordingly, when this arises, UNOPS' exception to the formal competitive process contained within UNOPS Financial Rule 118.05 may be applied to grants *mutatis mutandis*. Should the Stop TB Partnership rely on this exception, specific reference to this methodology will be expressly stated in the applicable project agreement or amendment.

Award

Following completion of the abovementioned steps for the relevant selection methodology, the Stop TB Executive Director shall submit to relevant UNOPS Engagement Authority a request for award (RFA) using the standard [UNOPS template](#).

Only following award of a grant should the grant support agreement be signed by the Grantee and the UNOPS Engagement Authority using the Stop TB Partnership / UNOPS designed [template](#) at which point the grant activities may commence. This template has been modified on the basis of the standard UNOPS GSA template, including Stop TB Partnership ED signature, permitting for visibility of Stop TB Partnership *vis-à-vis* Grantees.

In the event that an approved funding recipient does not meet the relevant eligibility criteria for grant support, it may be engaged using a UNOPS project cooperation agreement, a UN to UN agreement, or in accordance with the procurement framework, as applicable.

Grant management and administration

- Once the tailored Stop TB Partnership / UNOPS GSA has been signed by both parties, and in accordance with the payment schedule in the grant agreement, the Stop TB Partnership Grant Focal Point shall submit requests for payment against milestones to the STBP Finance team that shall check the report against the GSA and grant budget and certify the request, obtain approval by the STBP Executive Director and instruct the Ops Team/UNOPS to make payment to the Grantee.
- The entire grant amount planned to be disbursed needs to be established as OneUNOPS PO prior to the first disbursement, separating PO line(s) for each milestone to ensure proper accounting. The PO needs to be approved by the UNOPS Portfolio Manager, and subsequently dispatched.
- Stop TB Partnership is responsible for monitoring progress of the grant implementation by the grantee. The STBP Ops Team is responsible for financial administration.
- The achieved results reported by the grantee(s) to the Stop TB technical team administering the grant. Financial status of the grant disbursements and obligations are reported by UNOPS in line with its established reporting agreement.

Amendments

In cases where an amendment to a grant support agreement is necessary for reasons that include, but are not limited to, changes in the time, scope, value of grant or budget of the agreement, this shall be effected in writing and in accordance with the terms of the relevant agreement.

The relevant Secretariat focal point in consultation with the Grantee shall review the status of implementation, make a recommendation, and submit a proposal for technical approval to the Executive Director. The recommendation should only be considered if (i) the project objectives continue to be achievable; (ii) the performance of the Grantee is satisfactory; and (iii) the Grantee has prepared a specific action plan acceptable to the Secretariat. The amendment needs not be submitted to the Executive Committee.

Processing grant requests within the Secretariat

A. New Grant Agreement or Costed Amendment (Grant Budget increase)

- For a new Grant Agreement or Costed Amendment, the STBP Technical/Program Officer in charge of the Grant shall forward the corresponding Evaluation Report/Memo incl. proposed budget line (oneUNOPS workpackage) to STBP Finance (payments@stbp.org) for review and validation. This process step shall be done by Email once the Evaluation Report is signed by the Technical/Program Officer/other Evaluation Committee members and before submitted to STBP Management.*

* Grant Waves (TB REACH):

A Proposal Review Committee (PRC), following the review of all proposals, issues an evaluation report which requires endorsement by the PRC Chair. This report includes a list of selected organizations and corresponding ceiling amounts as well as a recommendation for awarding. The STBP Executive Management, in consultation with STBP Finance Unit, shall confirm the availability of funds to cover the planned commitments in the Memo submitted to the STBP Executive Committee for approval.

The finance validation of the grant request is done following a due diligence process, including but not limited to: Grant funds disbursement and implementation status by the grantee, compliance with the GSA's financial terms, compliance with donor agreement requirements, availability of financial resources, and only after the grant request has been programmatically cleared by the STBP Technical/Program Officer and the program team leader.

- The draft Request for Award (RFA), signed Evaluation Report/Memo, updated reporting and payment timelines, updated grant budget, and STBP Finance approval Email, together with other relevant grant documents shall be shared with the Ops Team Grant Focal Point for review and further processing.
- The RFA is signed by STBP Executive Management on page 1 and submitted to UNOPS Grant Authority for approval.
- Ops Team Grant Focal Point to share Grant Agreement/Amendment Letter for countersignatures by STBP Management and the Grantee. The STBP Technical/Program Officer to share a fully signed copy of the Grant Agreement/Amendment Letter with the Ops Team.
- Within the STBP Secretariat the STBP Executive Management remains with the final decision authority over a grant request

B. No-Costed Amendment (eg grant period extension without Budget increase)

- i. No-Costed Amendment up to 3 months:

- The technical/financial evaluation of the Amendment proposal may be included in the document RFA Amendment (a separate Evaluation Report/Memo is optional).
- The draft RFA including the evaluation, updated reporting and payment timelines, to be shared with Ops Team Grant Focal Point for review/processing. STBP Finance (payments@stbp.org) shall be included in the requesting Email for information purpose.
- The RFA to be signed by STBP Executive Management and submitted to UNOPS Grant Authority for approval. STBP Executive Management to sign RFA (p1) for approval by UNOPS Grant Authority.
- Ops Team Grant Focal Point to share Grant Agreement/Amendment Letter for countersignatures by STBP Management and the Grantee. The STBP Technical/Program Officer to share a fully signed copy of the Grant Agreement/Amendment Letter with the Ops team .

ii. No-Costed Amendment more than 3 months (cumulative since grant start date):

- The STBP Technical/Program Officer in charge of the administration of the Grant to forward the corresponding Evaluation Report/Memo incl. proposed budget line (one UNOPS workpackage) to STBP Finance (payments@stbp.org) for review and validation. This task shall be done by Email before the RFA is submitted to STBP Management.

The finance validation of the no-costed amendment is done following a due diligence process, including but not limited to: Grant funds disbursement and implementation status by the grantee, compliance with the GSA's financial terms, compliance with donor's agreement requirements, and only after the grant request has been programmatically cleared by the STBP Technical/Program Officer and the program team leader.

- The draft RFA and updated reporting and payment timelines the STBP Finance approval Email, together with other relevant grant documents to be shared with Ops Team Grant Focal Point for review/processing.
- The RFA to be signed by STBP Executive Management and submitted to UNOPS Grant Authority for approval. Ops Team Grant Focal Point to share Grant Agreement/Amendment Letter for countersignatures. Final fully signed documents will be shared with all the parties as soon as they become available.

Note: A Grant Amendment related to a decrease in a Grant Budget shall be processed the same way as a No-Costed Amendment. However, before initiating the Amendment process the STBP Program Officer in charge of the Grant shall consult STBP Finance Unit and/or the Ops Team Grant Focal Point.

C. Grant Budget revision without budget increase - applying thresholds

A reallocation among Grant Budget cost categories does not imply a formal amendment to the Grant as long as the applying threshold is not exceeded:

- Non-TB REACH Wave Grants: Grants up to \$100K, 20% of overall Grant Budget. For Grants above \$100k or more, change of 20% or more by budget category.
- TB REACH Wave Grants: 20% change or more of the specific budget category (see TB REACH Grant Agreement - Annex Finance Management and Reporting)

If the applying threshold for budget shifts is exceeded, a formal Amendment to the Grant Agreement is required. The process steps as described in point B - ii. No-Costed Amendment more than 3 months (cumulative since grant start date):

A change of a cost category of a Grant Budget within the limit of the applying threshold requires prior written approval by the STBP Program Officer (by Email) and copying STBP Finance (payments@stbp.org). The STBP Program Officer is responsible to keep counterparts aware of the need to continuously inform of any possible deviations to the Grant Budget.

Financial Reporting and Financial Audit requirements

Financial Reporting

Financial Reports shall be issued in line with the established reporting schedule of the Grant Agreement and against the latest approved Grant Budget (Original Grant Agreement/ Amendment/latest Grant Budget reallocation within the threshold approved by the STBP Program Officer).

Grant Budget revisions which had not triggered a formal Amendment and were previously approved by the STBP Program Officer shall be documented in the Comments section of the Financial Report template (Annex Grant Agreement). Prior written approval of such budget revisions shall be uploaded in GMS (if being used for the particular grant) by the Program Officer for grants managed in GMS, and shared by email with STBP Finance for all other grants.

Reported over-expenditure on a specific cost category of a Grant Budget which was not previously approved by the STBP Program Officer shall be justified by the Grantee, and is subject to a joint review by the STBP Program Officer and Stop TB Finance. The expenditure in question can be exceptionally accepted if the Grantee's performance has been satisfactory and relevant supporting documentation submitted is considered satisfactory by the Stop TB Program Officer and Stop TB Finance.

Financial Audit requirements

StopTB grants of USD 250,000 or more awarded to a Grantee organization are required to undergo a complete external financial audit of the particular Project account at the end of the grant implementation period and before the final milestone payment is released. STBP in-kind grants are not concerned by the following process but the respective in-kind grant agreement refers to UNOPS corporate financial rules and audit requirements.

In particular:

- a. A Grantee organization administering StopTB/UNOPS Grant funds of USD 250,000 or more in a single project is required to submit a single, certified financial audit report covering the full project period within a reasonable period after grant end date (ideally within 30 days) and no later than 90 days after grant end. Guidance to Grantee organizations shall be included as an Annex to the Grant Support Agreement.
- b. StopTB will request from potential Grantees as part of the proposal submission a detailed grant budget breakdown of planned expenditure which shall include a separate budget category (as part of the direct cost) for a financial audit of the future project account.
- c. A qualified audit firm shall be contracted by the Grantee within the grant period to conduct the single financial audit of the Project at grant end. The Grantee may request to use its own already established routine annual organizational external audits to also audit the particular Project in lieu

of a separate single Project audit (nb. often requested by research institutes and other larger corporate organisations). In such cases StopTB/UNOPS shall review the proposed audit methodology and may accept on an exceptional basis. The Grantee is required to obtain such approval from StopTB/UNOPS prior to the start date of the grant and it must be reflected in the corresponding grant agreement.

- d. If the Grantee is not able to contract the audit firm or StopTB/UNOPS otherwise deems it necessary to contract the audit firm directly, StopTB/UNOPS will engage with an audit firm in line with applicable UNOPS procurement procedures, and will administer the audit directly in line with UNOPS General Conditions for Grant Support. Costs incurred related to the work of the audit firm contracted directly by StopTB/UNOPS shall be deducted from the grant budget if initially budgeted for by the Grantee.
- e. The threshold of USD 250,000 is cumulative in a single Project and applicable for costed amendments. The STBP Executive Director or UNOPS may request a certified financial audit report whenever deemed necessary in the interest of mitigating any risks for the Partnership.

Closure / termination

Grant end date. Grant activities shall be completed and expenditures shall be considered eligible if incurred by the end date stated in each grant support agreement. In the event that it becomes apparent that the grant activities will not be able to be completed prior to the expiration of the grant support agreement and subject to the requirements set out in the 'Amendments' section above, the Stop TB Partnership shall, in consultation with the Grantee and other teams within the Partnership, determine if an extension may be needed.

Grant closing notification. For successful completion of the grant activities, the Stop TB Partnership shall ensure that the Grantee has submitted all the reports, outputs, and deliverables as required in the grant support agreement and that such materials are of acceptable quality and completeness. If all is satisfactory, an email confirming the receipt of these, together with the Grantee's final financial report and the signing of the memo with the last disbursement of funds, will suffice as Grant Closing notification. If there are unspent funds, a Request for Refund letter needs to be issued to the Grantee for immediate return of unspent funds.

Grant termination. A grant may be considered non-performing for reasons that include but are not limited to:

- The Grantee has not complied with the terms and conditions of the grant agreement; or
- Efforts to resolve problems/issues with the Grantee have not yielded satisfactory results/

In such cases, the Stop TB Partnership manager submits a documented recommendation to terminate the GSA to the Stop TB Executive Director for clearance and endorsement. The Stop TB Executive Director submits an official termination letter for approval by the UNOPS Engagement Authority. The termination letter should be signed by both UNOPS DOA and Stop TB Partnership ED.

Following termination, the relevant terms of the grant support agreement shall continue to apply, including but not limited to provisions relating to the return of any unspent grant funds.

Annexes

Annex I	Abbreviations and Acronyms
Annex II	Communication and Partnership engagement
Annex III	Matrix of Responsibilities
Annex IV	Standard Operating Procedures for Receipt Process
Annex V	GDF Flexible Procurement (FPF) - Medicine
Annex VI	GDF Flexible Procurement (FPF) - Diagnostics
Annex VII	GDF Procurement Risk Fund

Annex I: Abbreviation and Acronyms

AO	Administration Officer (HR/FIN)
CCM	Country Coordinating Mechanism
CFCS	Challenge Facility for Civil Society
CFP	Call for Proposals
COA	Chart of Account
CPH	Copenhagen
CTO	Compensatory Time Off
DOA	Delegation of Authority
DT	Duty Travel
EC	Executive Committee
ECPO	Executive Chief Procurement Officer
ED	Executive Director
FMS	Financial Management System
FTA	Fixed Term Appointment
GAL	Grant Agreement Letter
GCTA	Global Coalition of TB Activists
GDF	Global Drug Facility
GMS	Grant Management System
GPRS	Global Personnel Recruitment System
GSA	Grant Support Agreement
GVA	UNOPS Geneva Office
HQCPC	Headquarters Contracts and Property Committee
HR	Human Resources
ICA	Individual Contractor Arrangement
IICA	International Individual Contractor Arrangement
IT	Information Technology
JD	Job Description
LICA	Local Individual Contractor Arrangement
LCPC	Local Contracts and Property Committee
LOI	Letter of Intent
LTA	Long Term Agreements
OPS	Programme and Operations Team
PA	Procurement Authority
PER	Performance Evaluation Report
PC	Petty Cash
PCC	Petty Cash Custodian
PO	Purchase Order
PRA	Performance and Results Assessment
PRC	Program Review Committee
PRF	Product Request Form
PSG	Program Steering Group (TB REACH)
RFGA	Request for Grant Award
SOP	Standard Operating Procedures

STBP	Stop TB Partnership
TA	Temporary Appointment
TB	Tuberculosis
TORS	Terms of Reference
UN	United Nations
UNOPS	United Nations Office for Project Services
VA	Vacancy Announcement
VPO	Volume Purchase Orders
WHO	World Health Organization

Annex II: Communications

Logo

It is important that you use the Stop TB Partnership logo correctly and consistently across all applications.

Always use the logo in accordance with our main brand guidelines, and make sure you do not alter the logo in any way. When working with the logo, you should only use original digital graphic files, which can be [downloaded here](#).



As part of our ongoing efforts to maintain a consistent visual identity for the Stop TB Partnership, we have developed new logos for our [TB REACH, Global Drug Facility and Challenge Facility for Civil Society initiatives](#).

The logos, shown below, will feature on all new materials for these initiatives.



Use of the Stop TB Partnership logo in a publication

Since the use of the Stop TB Partnership logo implies endorsement by the Partnership, it may be used on publications (print, electronic or web) only with express permission, only if the Stop TB

Partnership has been involved in preparing the text or in funding the publication (or the work on which it is based), and only so long as the text is consistent with the Stop TB Partnership's policies and priorities. The Stop TB Partnership logo should not be used in association with advertising or with the names of proprietary products.

The use of the Stop TB Partnership logo as an illustration (for instance, in a magazine article about the Partnership) is often not appropriate since some readers may interpret it as indicating endorsement. Journalists and other writers are encouraged to use other illustrations (such as photographs) that draw attention to the Partnership's work.

Use of the Partner of the Stop TB Partnership logo

The Stop TB Partnership encourages all its duly registered partners to freely use the *Partner of the Stop TB Partnership* logo on their websites, publications and other published materials. The following conditions apply:

- The logo may be used exclusively in a form provided by the Stop TB Partnership. It must be reproduced in its entirety and may not be combined or incorporated into any other logos. Changes to the colours and dimensions of the logo, or elements of it, are not permitted.
- Websites using the logo should have an active link to the Partnership's official website: www.stoptb.org
- In all media (including printed publications, posters, signs, video/audio productions and websites), the partner organization's name and/or logo should appear first and be equal to or greater than the *Partner of the Stop TB Partnership* logo. Any exceptions must be approved by the Secretariat of the Partnership.
- The logo may not be used for sales, marketing or promotion of products (including on product packaging) or services – or in relation to fundraising – unless a separate agreement has been signed with the Stop TB Partnership Secretariat.

Email

To preserve the integrity and impact of our brand name, it is critical that we establish a cohesive identity in everything that we do. The following are guidelines for e-mail signatures for personnel in order to grow the value and integrity of the Stop TB Partnership Secretariat brand going forward.

In order to communicate a clear and consistent brand identity to our stakeholders, a standard, consistent and clean e-mail signature will present a more professional appearance for the new Secretariat. In the same way that we have a standard format for business cards, we ask all personnel to apply a unified format to their email signatures. What follows are some simple rules and guidelines and a standard email template for you to use.

Primary Email Typography

To communicate in a consistent tone, the Calibri typeface (in size 11) has been selected as the primary display typeface in emails.

Email template

- Copy and paste the template below in to your automated Signature in Outlook and edit to include your information. Only the information in the template below is to be used in your signature.
- Signature formatting can be found on your Outlook under Tools/Options/Mail Format/Signatures

Nina Saouter

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Stop TB Partnership, hosted by UNOPS

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Guidelines for interaction with Media

The Stop TB Partnership, as a small institution dependent on its partners for resources and other support, lives by its reputation.

Reputation is capital which builds up gradually as the organization ages and develops. The more solid a reputation for quality and integrity an organization has built up over time, the better it can withstand acute crisis without a loss of confidence among those stakeholders it needs to survive. Conversely, if an organization allows its reputation to be gradually diminished through a trickle of confusing or negative references and bad news, it stands much weakened in time of crisis.

While an organization's reputation is built on the accumulated mass of its actions, no organization can afford to rely on its good deeds alone to ensure broad support. It must deliberately monitor and manage its own reputation. By making sure that it delivers a consistent and positive message about its purpose, actions and results, an organization will be able to greatly enhance its overall standing among its key stakeholders.

As the foremost driver of advocacy in the fight against tuberculosis, the Stop TB Partnership should be heard and seen constantly. In line with our principles of transparency and frank, honest, fact-based dialogue, we should be keen to work proactively with the media, whilst ensuring that our messages are consistent and confidentiality and consent - when needed - are maintained at all times.

At times, there will be challenging situations to communicate which, if handled wrongly, could have a damaging effect to our reputation.

This document outlines the procedures and arrangements for handling the press and what personnel should do if they are approached by the media or if they are involved in a situation that will attract media attention.

General Principles

The one person who has the authority and personality to have a standing in the media is the Executive Director. She should be as visible as possible. Most statements should be attributed to her. The spokespersons for the Stop TB Partnership are the Executive Director, and the Deputy Executive Director.

However, as an open, media friendly organization, all professional personnel and senior management should in principle be able to speak to media. This principle will work under two conditions:

1. All professional personnel only answer factual and technical questions related to their own area of responsibility. Only senior managers and the three designated spokespeople can answer issues concerning policy and strategy.
2. All professional personnel, when contacted by the media, should discuss possible responses with the Communications Team before responding.

Messaging

It is crucial that the Partnership speaks with one voice. The Communications Team will have a general set of messages and fact sheets available to all personnel. These messages and fact sheets will be updated regularly.

For issue-specific messaging, please contact the Communications Team before responding to any media queries.

Approaches by the Media to the Secretariat

All approaches for interviews, statements and/or filming in the Secretariat should come through the Communications Team.

If a journalist contacts a personnel member directly with a request, the journalist should be directed to the Communications Team or consultation should take place with the Communications Team before a response is provided.

- When contacted by email, a response should be sent indicating he/she can expect a response soonest; forward the email to the Communications Team who will respond to the query.
- When contacted by phone, assure the reporter that you, or a colleague from the Communications Team will respond shortly.

Two golden rules:

- Never respond directly to a media request, even the most benign request for data. (The Communications Team will most likely know about the reporter's background, about the story

he/she is working on or about contextual information that may influence the reporter's request and which will determine the way we respond.)

- Always alert the Communications Team about any media query. (Many reporters call or e-mail several people at the same time. Also, it is important that the Communications Team knows about any planned stories as early as possible.)

Approaches by the Media when Traveling

In principle, all senior personnel traveling for the Partnership are spokespeople for the organization. When approached by a journalist;

If you feel comfortable talking to the journalist, don't hesitate to do so, but make sure you follow these rules:

- Ask him/her his/her name, what publication/news agency he/she is working for
- If a question comes up to which you do not know the answer or which lies outside your area of responsibility, do not attempt an answer. Tell the journalist that you would be happy to revert back to him/her later.
- Inform the Communications Team that you have talked to a journalist. Share the information about who the journalist was, who he/she is working for and what the topic of the conversation was.

Before you start talking to a journalist while traveling, never hesitate to call the Communications Team to ask for advice or assistance.

If you do not feel comfortable talking to the journalist (for whatever reason),

- Ask him/her to get in touch with the Communications Team through email or phone.
- If he/she is persistent, say that you are not in a position to comment on the situation at this point but that the Partnership would be happy to get back to him/her through email or phone. In this case, ask the journalist for his/her coordinates. Contact the Communications Team after which they can respond to the journalist's questions.

If you don't feel comfortable, there is no harm in saying no to an interview as long as you promise that someone will get back to the journalist with information. (There can be much harm in going ahead with an interview with which you are not comfortable.)

Crises Situations and Allegations

The Partnership has separate arrangements for handling the media in a crisis situation (e.g. allegations of fraud or corruption with grant money, etc).

All requests from the media regarding interviews, statements and answers on such issues should be directed to the Communications Officer who will decide on a communication strategy in consultation with the Executive and Deputy Executive Director.

Only the Executive Director or the Communications Officer will communicate to the press in a crisis situation.

Seeking Media Coverage

Traveling to conferences and to grant countries should be seen as an opportunity to share and

spread information about TB, our partners and about the Partnership.

The Communications Team is always happy to help obtain media coverage. It is here to write and distribute press releases, set up interviews and press conferences, organizing filming and photography and produce publicity material.

Please contact the Communications Team well ahead of any relevant travel to plan any possible media outreach.

Partner engagement

Partners include international and technical organizations, government programmes, research and funding agencies, foundations, NGOs, civil society and community groups and the private sector.

To become a partner of the fight against TB with the Stop TB Partnership, an organization should;

- endorse the values and the principles of the Stop TB Partnership
- support implementation of the Global Plan to Stop TB
- be active in the area of TB, sustainable development and related fields and committed to collective action in the fight against TB;
- advocate for the elimination of TB as a public health threat at all

levels. Individual memberships are not considered.

However, individuals are encouraged to be part of the movement through individuals efforts to stop TB like joining our mailing list, form or join a patient organization, spread awareness on TB , help raise funds, observe World TB day and share a success story.

- Visibility
 - Partners can use the Partner of the Stop TB Partnership logo
 - Partners' profiles are highlighted in the Stop TB Directory.
 - Partners activities are featured in our newsletter, news from our partners and via our social media channels.
- Access to Stop TB products
 - The Stop TB Partnership secretariat and other partners produce publications including the Global Plan to Stop TB, the Stop TB Partnership Annual Report and other technical and advocacy reports. Partners can request hard copies (if available)
 - Use of Stop TB Resources Library.

Joining the Stop TB Partnership requires all potential partners to complete an online application form that request information on the organization, its contact details, focal points, general information on type of organization, its description, area of operation, etc. , specializations in countries and their contributions

to the Global Plan. The form is completed with a declaration signed by the organization focal points in compliance with the goals and values of the Partnership's policy.

The applications are compiled monthly by the Partnerships Officer and is shared with a Membership approval team who meet to discuss each application and mark them as approved, pending (due to limited information) or denied (in the rare event the organization does not fulfill the required criteria mentioned earlier). Memberships are inclusive and do not have many negative responses to requests.

The membership approval team is comprised of representatives from the various teams of the Stop TB Partnership.

Pending membership requests receive an automatic email that requests the organization to provide more information on their work on TB. The updated information is followed up by the Partnership Officer who then approves membership. However, the Partnership Officer could also request national partnerships (if present in the country) to meet or follow up with the organization for more information, if no national partnerships are present a request of due diligence by Stop TB Partnership grantees or other partners in the area are also requested to approve membership.

On approval an email welcoming the partner to the Stop TB Partnership is received. Emails ids gets added to the mail list serve and they receive information on new developments in TB. The organization is assigned a constituency as their type of organization or preference and also the Working group they would like to be a part of and contribute to.

Monthly updates on new approved partners is being sent to the National Partnerships, Constituency Representatives and Working Groups' Secretariat requesting them to include the recently joined partners to their list of members and include them in their activities.

Private Sector engagement

Engagement with the private sector for Stop TB Partnership secretariat activities (i.e. receipt or disbursement of funds), should take place in accordance with the UNOPS organizational directive 43 "Policy for Partnership with non-UN and non-State entities.

Annex III: Matrix of responsibility

This matrix outlines responsibilities between the Stop Tuberculosis Partnership Secretariat (STBP) and UNOPS with respect to matters of HR, procurement, travel, grant making and financial administration.

X = Lead, Main Responsible, Clearer etc.

(X) = Support, Comments, Feedback etc.

1. Human Resources Management

A. HR Support for Secretariat Staff

Activity	STBP	UNOPS
B1. Substantive supervision of staff	X	
B2. Substantive supervision of Ops team	X	
B3. Performance appraisal	X	
B4. Attendance recording	X	
B5. Leave approval	X	
B6. Leave tracking	(X)	X (for remote work)
B7. Issuance and extension of Laissez-passer		X
B8. Payment of salary and entitlements*		X

* Budgets for the costs of international experts are to include provision for all termination liabilities specified in the employment contracts (this is included in proforma costs).

B. Recruitment of Individual Consultants (international ICAs)

Activity	STBP	UNOPS GVA HR
C1. Identification of consultancy needs	X	
C2. Preparation and substantive review of the TOR	X	(X)
C3. Determination of contract modality and recruitment level	(X)	X
C4. Review of the TOR for compliance with UNOPS standards		X
C5. Advertisement of position		X
C6. Prequalification and preparation of shortlist of candidates	X	(X)
C7. Review and concurrence of shortlist		X
C8. Convening and management of selection panel	(X)	X
C9. Recommendation of candidate	X	(X)

Activity	STBP	UNOPS GVA HR
C10. Presentation of recommended candidate to Contracts Committee or Procurement Authority		X
C11. Final approval of selection		X
C12. Issuance of Offer of Appointment Contract		X
C13. Issuance of Letter of Appointment		X
C14. Negotiation, issuance and administration of contract, including travel authorization/arrangements	(X)	X
C15. Technical supervision of consultant	X	
C16. Performance and Evaluation of work progress	X	
C17. Review/approval of final report	X	
C18. Payment of consultant		X

C. Recruitment of STBP Secretariat Staff

Detailed plan of Staff management matrix of responsibilities will be available after the Board decision.

2. Procurement

D. Procurement of Services

Activity	STBP Programme unit	STBP Ops/ UNOPS
D1. Identification of needs	X	
D2. Preparation of draft Terms of Reference	X	
D3. Pre-clearance if required for formal solicitation		X
D4. Advertisement		X
D5. Prequalification and Short listing	(X)	X
D6. Concurrence and approval of shortlist	(X)	X
D7. Preparation and issuance of RFP/ITB	(X)	X
D8. Evaluation of proposals and final recommendation	(X)	X
D9. Award of contract	(X)*	X
D10. Drafting, negotiation and signing of contract and authorization to proceed	(X)*	X
D11. Administration of the contract	(X)	X
D12. Technical monitoring	X	

Activity	STBP	STBP Ops
D13. Evaluation of performance	X	(X)
D14. Payment to company		X

* Contracts to be awarded by officers with delegations of authority; STBP staff can award contracts if delegated to do so.

E. Procurement of Equipment and Supplies (Goods)

Activity	STBP	STBP Ops/ UNOPS
E1. Preparation of equipment list	X	
E2. Preparation of detailed specifications	X	
E3. Finalization of specifications		X
E4. Pre-clearance if required for formal solicitation		X
E5. Advertisement (if required)		X
E6. Prequalification and Short listing	(X)	X
E7. Concurrence and approval of shortlist	(X)	X
E8. Preparation and issuance of ITB	(X)	X
E9. Evaluation of proposals and final recommendation	(X)	X
E10. Award of purchase order	(X)	X
E11. Inspection and shipment (if required)		X
E12. Customs clearance	(X)	X
E13. Deliver to final user	(X)	X
E14. Receipt and final acceptance of equipment/supplies	X	X
E15. Payment to supplier		X

3. Travel and Events Management

F. Travel Support

Activity	STBP	STBP Ops/ UNOPS
F1. Clearance of mission	X	
F2. Issuance of travel authorization	(X)	X
F3. Booking and purchase of tickets	X	X
F4. Hotel Reservation	X	X
F5. Payment of DSA etc.		X

Activity	STBP	UNOPS
F6. Settlement of travel claim	(X)	X

G. Event planning/management

Activity	STBP	STBP Ops
G1. Preparation and circulation of provisional agendas	X	
G2. Logistical arrangements	(X)	X
G3. Managing invitations	X	
G4. Arrangement of translators and interpreters	(X)	X
G5. Travel arrangements for participants	(X)	X

4. Grant Making Activities

Activity	STBP	STBP Ops/ UNOPS
<i>> Grant Appraisal</i>		
H1. Initiation of funding proposals for all business lines	X	(X)
H2. Technical appraisal of funding proposals for all business lines	X	
H3. Fiduciary assessment (FM, procurement, safeguards) of recipient and proposals for all business lines	X	
H4. Approval of funding proposals for all business lines	X	(X)
<i>> Grant Set Up</i>		
H5. Drafting and consultations on draft Grant Support Agreements, Government MOUs, UN-to-UN Agreements*	(X)	X
H6. Review/revision of Grant Support Agreements, Government MOUs, UN-to-UN Agreements	(X)	X
H7. Final award and signature of Grant Support Agreements, Government MOUs, UN-to-UN Agreements		X
H8. Creation of grant payment records in oneUNOPS		X
H9. Disbursement package preparation and release of 1 st Installment	(X)	X
<i>> Grant Monitoring</i>		
H10. Technical Monitoring of project implementation	X	
H11. Financial Management and release of follow-on payments	(X)	X

Activity	STBP	STBP Ops/ UNOPS
H12. Amendment of Grant Support Agreements, Government MOUs, UN-to-UN Agreements	(X)	X
H13. Evaluation of performance of funded activity	X	(X)
H14. Grant closure	(X)	X

* Deviations from pre-approved templates must be cleared by UNOPS Legal

5. Financial Administration and Reporting

Activity	STBP	STBP Ops/ UNOPS
I1. Administration of Contributions		X
I2. Transfer of Funds	(X)	X
I3. Preparation of Medium-term business plans	X	
I4. Preparation of annual work plan (including annual budget)	X	(X)
I5. Approval of annual work plan (including annual budget) and business plans	X	(X)
I6. Maintenance of separate ledger account for project funds		X
I7. Interest calculation		X
I8. Review of progress against annual work plan and agreement on necessary budget revisions	X	(X)
I9. Semi-annual interim financial statements to donors		X
I10. Annual certified financial statements to donors		X
I11. Annual results-based narrative reports	X	(X)
I12. Closure of accounts and return of unspent balance		X

Annex IV: Standard Operating Procedures for Receipt Process

Reference is made to the SOPs on Receipt Process promulgated 30 May 2016 by the Geneva Office following Geneva Audit recommendation on timely receipting of goods and services in line with IPSAS² standards and as per agreed delivery terms (Incoterms 2020) – see also Standard Operating Procedures for Receipt Process.

The objective of the present SOPs is to further describe the receipting process for the Stop TB Partnership Hosting Portfolio (STBP portfolio) and its programmatic activities. The SOPs are developed and should be read and implemented in conjunction with the UNOPS GVA Office Standard Operating Procedures for Receipt Process.

Introduction

The Geneva Office is guided by UNOPS' Financial Rules and Regulations regarding recognition of expenditure which is based on the IPSAS standards and which entails the *delivery principle* within the organization. The principle stipulates that transactions and other events are recognised when they occur and not when cash or its equivalent is received or paid. In procurement practice, this requires that a Purchase Order (PO) needs to be raised in OneUNOPS every time when STBP/UNOPS is entering into a new/amended commitment, a subsequent receipt of goods/services needs to be recorded as per agreed delivery terms (Incoterms 2010 apply), and a corresponding payment/invoice needs to be settled following agreed payment terms.

The timely receipting of goods and services is critical as it is the moment when liabilities are transferred to STBP/UNOPS, and expenditure is recognized for STBP and may be reported. Therefore Receipts must be raised in OneUNOPS once the delivery of services/goods has occurred.

Principles on Receipting

For purchases of goods “received” means risk of loss has transferred to UNOPS, which is dictated by the Incoterms agreed for the purchase transaction.

Incoterms (Shipping Terms) of PO will determine the appropriate receipt date for goods – see also Table: Incoterms, Receipting time and Supporting documents

Services should be received with certification at the time when services have been rendered and outputs delivered.

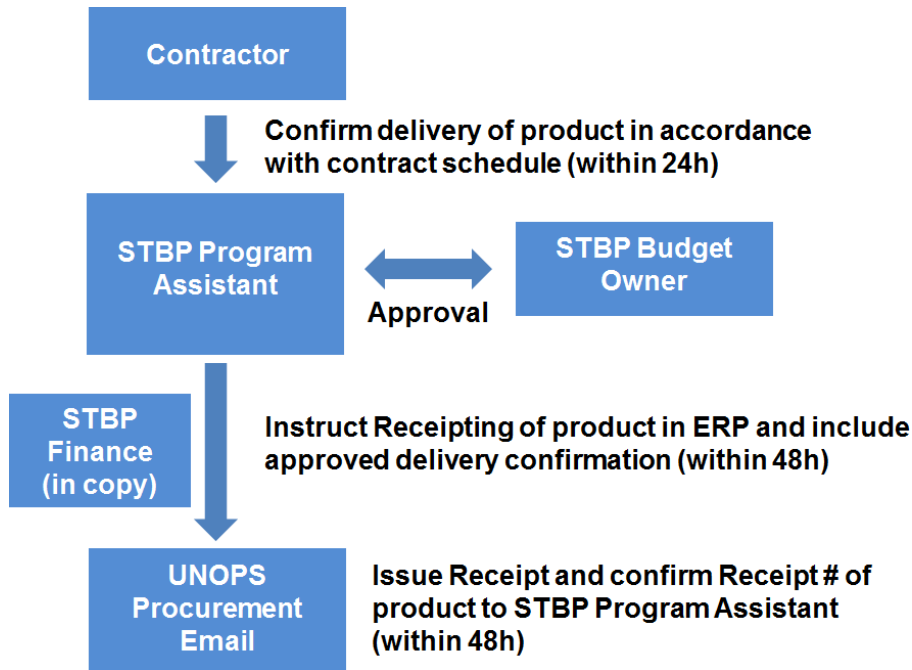
Grants expenses measure should be based on the cost of the current tranche and receipted when payable.

For Travel expenses (Ticket and DSA): the PO for (i) ticket, it should be raised based on issuance of ticket and (ii) for the DSA based on TA approval; the Receipt for (i) ticket to be based on the invoice received from supplier and (ii) for the DSA, just before making the payment.

STBP/UNOPS workflow for Receipting of Services

² International Public Accounting Standards adopted by UNOPS 01 January 2012

Services do not have Incoterms and in line with IPSAS standards should be received with certification at the time when services have been rendered and products delivered. Services should not be certified later at subsequent invoicing and payment stages.



STBP/UNOPS workflows for Receipting of Goods

For each STBP procurement order of goods, for example for GDF orders of TB medicines and diagnostics, Stop TB advocacy and communication material, etc., a shipping term (Incoterms 2020) is applied. The agreed Incoterm defines the transfer of ownership of the goods from the supplier to STBP/UNOPS.

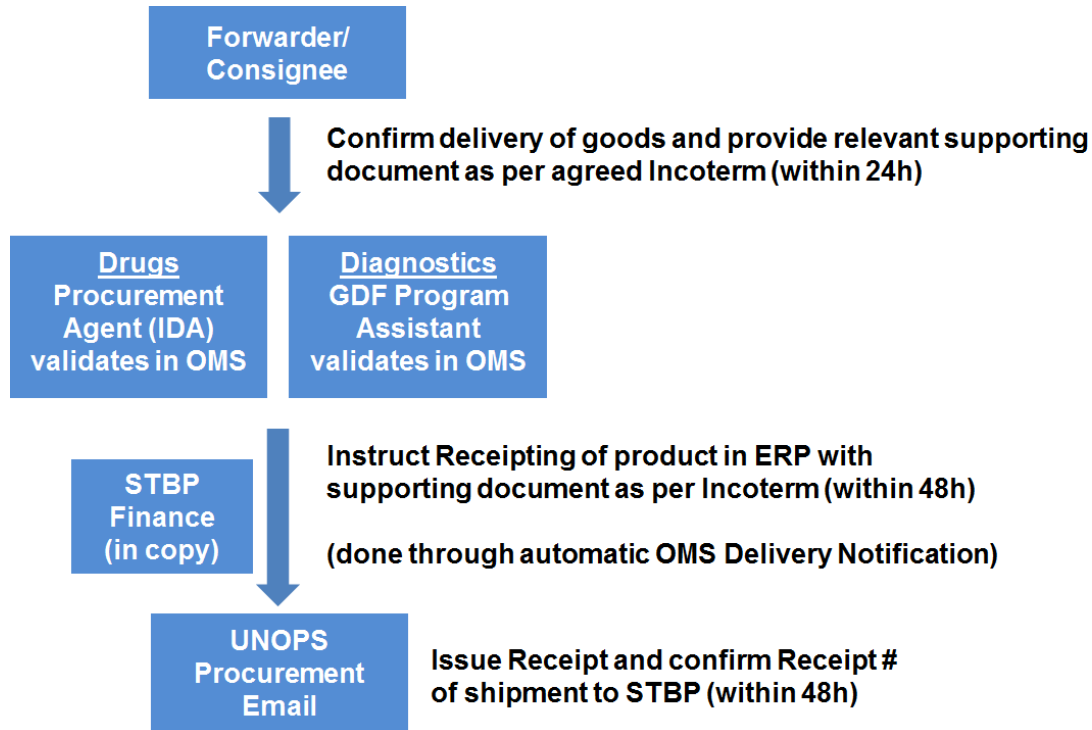
The below table indicates when a corresponding Goods Receipt is due to be issued by STBP/UNOPS in OneUNOPS following the agreed Incoterm and required supporting documentation. A 4-working-days grace period is available at the beginning of the following month to ensure timely Receipting of goods and thereby ensuring timely recording of STBP portfolio expenditure for the previous month.

In addition, for all STBP procurement activities of goods and independently of the Incoterm, a Receipt and Inspection Report (RIR) needs to be issued by the consignee (by the STBP focal point if goods are received by STBP directly) to confirm proper receipt of goods.

Table: Incoterms, receipting time and supporting documents Receipt date and supporting documents (as per UNOPS Procurement Manual rev.7):

Requirements	Incoterms type	Documents required for one UNOPS receipt creation	Receipt date
Goods (including freight)	F	Forwarder confirmation of receipt and quantity information for partial shipments	Date of forwarder confirmation of receipt
	C	Bill of lading and quantity information for partial shipments	Date of bill of lading
	E+D	Consignee confirmation of receipt	Date of consignee confirmation of receipt
Services (excluding freight)	n.a.	Confirmation from client or UNOPS project manager that services have been rendered and outputs delivered	Date of client or UNOPS project management confirmation
Works	n.a.	Contractor invoice/interim payment certificate certified by the employer's representative for the portion of the works (BOQ) executed.	Date employer's representative certifies the supplier interim payment certificate

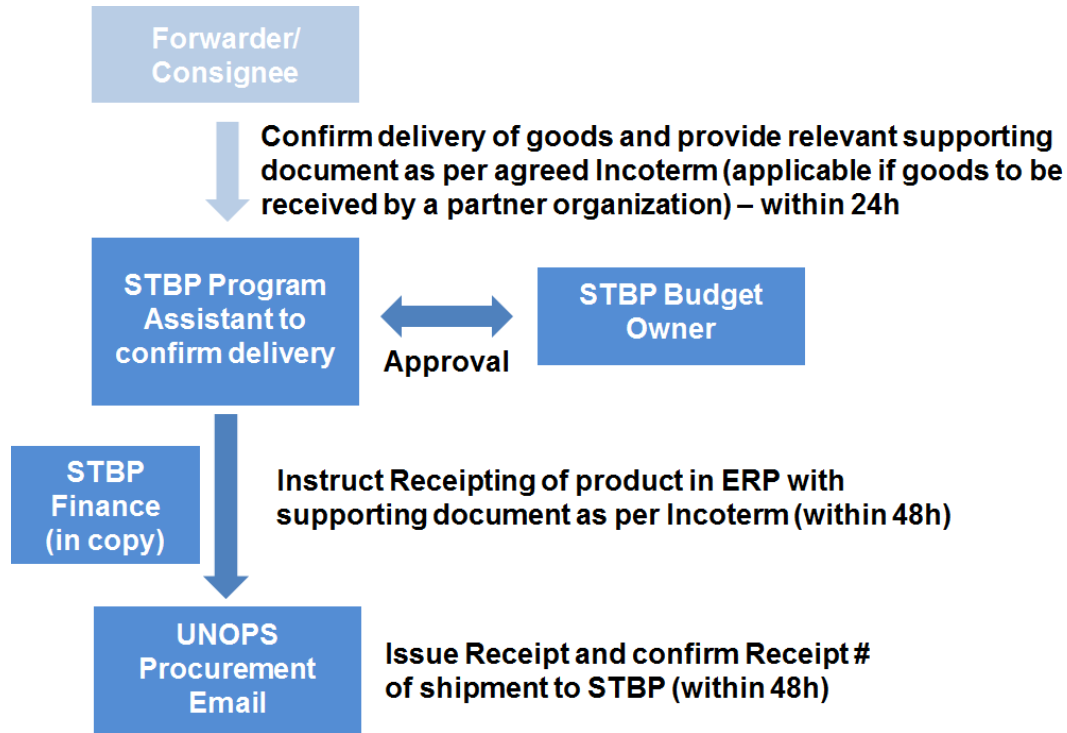
Workflow for GDF Procurement Orders for TB drugs and diagnostics equipment:



In addition the consignee has to confirm receipt of goods. The UNOPS template for Receipt and Inspection Report (RIR) should be used.


Workflow for all Stop TB procurement activities except GDF Procurement Orders:

(e.g. communication material, workshop material, procurement for third party, etc.)



Important: whenever possible and reasonable negotiate DAP Incoterms (Delivery at Place) for procurement orders to avoid additional freight forwarding/custom clearance to be handled and paid separately by STBP/UNOPS.

In addition the consignee (the partner organization or STBP Program Unit if goods received by STBP directly) has to confirm the receipt of goods. The UNOPS template for Receipt and Inspection Report (RIR) should be used

Receipt and Inspection Report (RIR) - Goods				
 UNOPS United Nations Office for Project Services [insert address, fax, tel and e-mail]		Purchase order No.	Date RIR issued	
		Project No. and title		
[To be completed upon receipt of consignment(s) by the Consignee or Project Manager/CTA]				
Vessel/airline		Bill of Lading/Airway Bill No.		
Date of receipt		Date of control		
Control done by (print full name and title)		Control done by (print full name and title)		
Goods supplied by		Nature of goods		
Item	Description	Qty.	Unit price	Remarks
		Packing list No.(s)_____attached		

<ol style="list-style-type: none">1. 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 a brief statement such as "Spare parts as per attached packing list number dated"2. Return the RIR to UNOPS, [XXX] Office within 15 days of receipt of the consignment. If required, remember to keep a copy of the RIR for your own file.	Signature
	Name
	Title

Annex V: GDF Flexible Procurement (FPF) - Medicine

Stop TB Partnership/GDF Flexible Procurement Fund (FPF) - Operating Principles – Medicines (To be read in conjunction with the Process Flow Map attached)

Background

- Stop TB Partnership/GDF's long experience and a special study it undertook in 2012 established that the root cause of more than 65 countries reporting stock-outs of anti-TB medicines between 2005 and 2012 was financial constraints. These constraints are:
- Delays in disbursements from the GF;
- Financial rules that do not allow advance payment as required by the procurement agent (PA)/supplier.
- Extended delays in re-programming funds with some donors;
- The Global Fund Principal Recipient (PR) cannot place a firm order in country due to "Force Majeure" situation
- Funding provision for local donors such as USAID are delayed for implanting direct procurement
- Strategic projects with key on-going clinical trials such as PIH/MSF END TB Project which experience potential funding disbursement challenges from UNITAID
- Funding delays experienced by The Union-supported Stream TB project for shorter MDR TB regimens
- Funds being available in local currency but are converted to US\$ needed for advance payments takes an inordinate amount of time.

It should be noted that even though The Global Fund (TGF) Principal Recipients accept the principle of advance payments, the finance ministries of several countries that control the flow of funds consider it against public financial accountability. The norm in such cases is to permit payments one month after delivery of drugs.

The matter was discussed in 2014 with USAID, a principal donor of GDF, and it agreed to use part of its funds to set up a Flexible Procurement Fund (FPF) to function as a treasury facility. In addition, Stop TB Partnership (STBP) has decided to allocate funds from its savings over the past period to the FPF. This would offer guarantees to Procurement Agents for meeting payments in cases where the countries, even though they had the funds either through TGF or domestic funding (sometimes through a WB loan), were not able to make advance payments for essential drugs.

Policy for using FPF

The policy is to assess the financial risk of eventual nonpayment of an order that has been proposed to be covered by a Letter of Guarantee (LoG) from the STBP. If this risk is low, then to provide the LoG to support the order. The policy requires that STBP keeps a strict control of the Guarantees given and use its official contacts to recover the payment in case use has been made of the LoG.

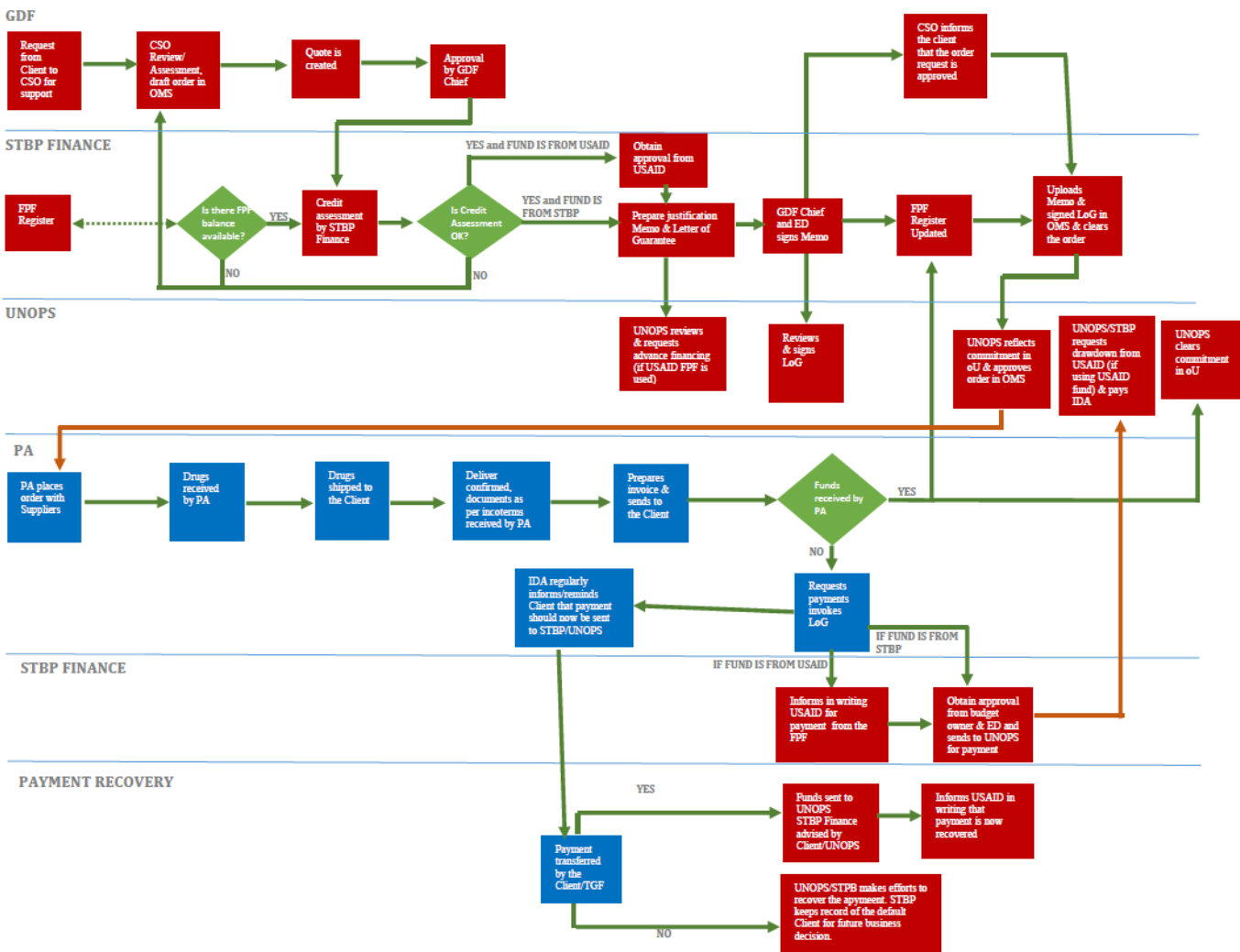
Operational details relating to FPF

1. Total value of FPF currently stands at USD 6,560,000 in which USD 4,700,000 is funded by USAID and USD 1,860,000 million is from STBP's own funding.
 - USAID funding will be used for USAID priority countries (Tier 1 and Tier 2)
 - STBP's own funding will be used for all other countries
2. The total amount set aside for use by FPF may be revised up or down and other donor funds may be put in the FPF.
3. A log will be kept by STBP Finance on the use of FPF.
4. Use of FPF will be available to countries in the following three income categories as established in the WB list
 - Low-income
 - Lower-Middle income
 - Upper-Middle-income
5. A list of countries potentially needing support from the FPF will be maintained by GDF and updated as and when the World Bank list is updated.
6. Orders to be drafted in OMS by GDF as soon as the Procurement Request Form (PRF) is received from the country and quote prepared. GDF Chief approves use of FPF for the order.
7. If a country is using TGF grants, then the following conditions must be satisfied:
 - 6.1. If funds are held by TGF, TGF shall provide a guarantee letter stating that the funds will be transferred directly to the PA within the required timelines;
 - 6.2 If funds have been remitted by TGF to the country and are kept in the national treasury, the TGF shall provide a guarantee letter stating that a) the funds have been transferred to the country and b) that in case of payment default by the country, TGF will transfer the payment directly to the PA within the required timelines.
8. Countries that have TGF grants but would like to use domestic funding may also request FPF support. The Client shall provide a letter of commitment stating that funds will be transferred directly to the PA within required timelines. If country's credit rating is low, STBP may request for an additional letter from TGF or another donor to support request for FPF (to be provided at discretion of TGF or another donor).
9. If a country has graduated out of TGF support, it may still request FPF support. The Client shall provide a letter of commitment stating that funds will be transferred directly to the PA within required timelines. If country's credit rating is low, STBP may request for an additional letter from TGF or another donor to support request for FPF (to be provided at discretion of TGF or another donor).
10. STBP Finance carries out a financial risk assessment for each order requested to be guaranteed through the FPF mechanism. An FPF credit assessment will be done by STBP Finance for each country, based on but not limited to: the latest Country's Credit rating by rating agencies and World Bank, together with the World Bank analysis of the country's political and economic stability; (ii) Availability of The Global Fund (TGF) grants to it; (iii) TGF rating of the country; (iv) Previous financial defaults of the country, if any ; (v) previous

- record, if any, of using the FPF and actual invoking of the Letter of Guarantee (LoG) (if FPF has been used for medicine order for the country) or Project Amendment (if FPF has been used for diagnostics order for the country) by Procurement agents/supplier.
11. Following completion of the financial risk assessment for the order requested to be supported by the FPF mechanism, STBP Finance drafts a memo setting out the rationale for supporting or not the use of FPF guarantee mechanism. STBP Finance submits the memo to STBP management for its clearance. Such memo shall be cleared by GDF Chief and STBP Executive Director.
 12. An OMS ceiling is established to monitor commitment and expenditure in OMS.
 13. This step applies only to the orders using USAID funding from the FPF. If the order is considered acceptable for FPF support by STBP management, then STBP will consult and obtain approval from USAID for the use of the funds. If USAID approves the use of FPF for the order in case, the guarantee letter can then be issued and the order can be processed.
 14. STBP Finance will prepare the LoG and inform UNOPS on the case. UNOPS will review the case and the LoG will be signed by Regional Director, UNOPS ECR.
 15. The signed LoG will be uploaded under the respective FPF order in OMS. The FPF orders will subsequently be cleared by STBP Finance after adjusting the relevant FPF ceiling and entering the details in a chronological record and will be placed with suppliers.
 16. PA shall execute the POs guaranteed through the FPF on credit terms, with a target timeframe for payment by eligible clients of 30 calendar days from the date of arrival of the products at the designated point of delivery and submission of Proof of delivery/Proof of arrival as per agreed Incoterms.
 17. In the event the Client fails to pay the invoiced amount to PA within the target timeframe of 30 days, the PA will be entitled to call upon the guarantee.
 18. In case the Client fails to conform with agreed payment terms to the PA, and PA calls upon the guarantee, the funds from the FPF shall be utilized to settle pending payments to the PA.
 19. This step only applies to orders using USAID funds from the FPF: Upon receipt of request to invoke the guarantee, UNOPS/STBP will send an official letter to USAID to inform on the use of funds from the FPF for the payment purpose. (relevant funds shall be drawn down from USAID Treasury, and available balance of FPF adjusted accordingly).
 20. UNOPS/STBP will make the payment within 30 days after receiving from the PA: the request, the invoice and complete supporting documentation including proof of payment default by the Client to PA and will update the FPF log.
 21. Upon receipt of payment from STBP, PA will immediately write to the Client and request immediate payment to STBP stating that the payment now needs to be remitted to STBP as the PA's liability related to the FPF order has been settled by STBP on the basis of the guarantee letter issued by STBP to PA.
 22. If for some reason, payment for the invoice settled by STBP is received by the PA from the Client, the PA will notify STBP immediately and remit the funds so received to STBP. If funds cannot be remitted immediately, they should be kept by the PA in a special FPF account for STBP.

23. The Special FPF account, held by the PA, may be used if authorized by UNOPS/STBP to settle future guarantee payments. It will be revised periodically and UNOPS/STBP may request the PA to transfer the funds from the special FPF account to STBP/UNOPS as and when deemed necessary.
24. UNOPS/STBP will make efforts to obtain the payments from the client for the order. In the case that it is not possible, the FPF log will be updated and record of the client will be kept and facilitate business decision in the future.
25. A monthly report will be prepared by STBP Finance on the use of FPF and it will be submitted to donor, STBP management, and U

Flexible Procurement Fund (FPF) Processes workflow and control of funds flow – Procurement of Medicines



Annex VI GDF Flexible Procurement (FPF) - Diagnostics

STBP/GDF Flexible Procurement Fund (FPF) - Operating Principles - Diagnostics (To be read in conjunction with the Process Flow Map attached)

Background

Stop TB Partnership-GDF's long experience and a special study it undertook in 2012 established that the root cause of more than 65 countries reporting stock-outs of anti-TB medicines between 2005 and 2012 was financial constraints.

It should be noted that even though The Global Fund (TGF) Principal Recipients accept the principle of advance payments, the finance ministries of several countries that control the flow of funds consider it against public financial accountability. The norm in such cases is to permit payments one month after delivery of the TB products.

The matter was discussed in 2014 with USAID, a principal donor of Stop TB Partnership/ GDF, and it agreed to use part of its funds to set up a Flexible Procurement Fund (FPF) to function as a treasury facility for TB products. In addition, Stop TB Partnership (STBP) has decided to allocate funds from its savings over the past period to the FPF. This would offer guarantees to Procurement Agents and/or UNOPS for meeting payments in cases where the countries, even though they had the funds either through TGF or domestic funding (sometimes through a WB loan), were not able to make advance payments for procurement of TB products.

During the recent period, STBP has noticed the similar trend and need for the procurement of diagnostics products. The FPF mechanism is therefore extended to respond to this need from Country Clients who want to procure diagnostics products from STBP-GDF but are not able to make an advance payment.

Policy for using FPF

The policy is to assess the financial risk of eventual nonpayment of an order that has been proposed to be covered by an Amendment to the In-house procurement Project Agreement or by a Letter of Guarantee (LoG) from the Stop TB Partnership to Procurement Agent (PA) if procurement of diagnostics is done by a PA. If this risk is low, then to support the order, issue the Project Amendment in case procurement of diagnostics is done in-house or issue a LoG to PA in case the procurement of diagnostics is done through a PA. The policy requires that STBP keeps a strict control of the use of the FPF and uses its official contacts to recover the payment from the country/client.

Operational details relating to FPF

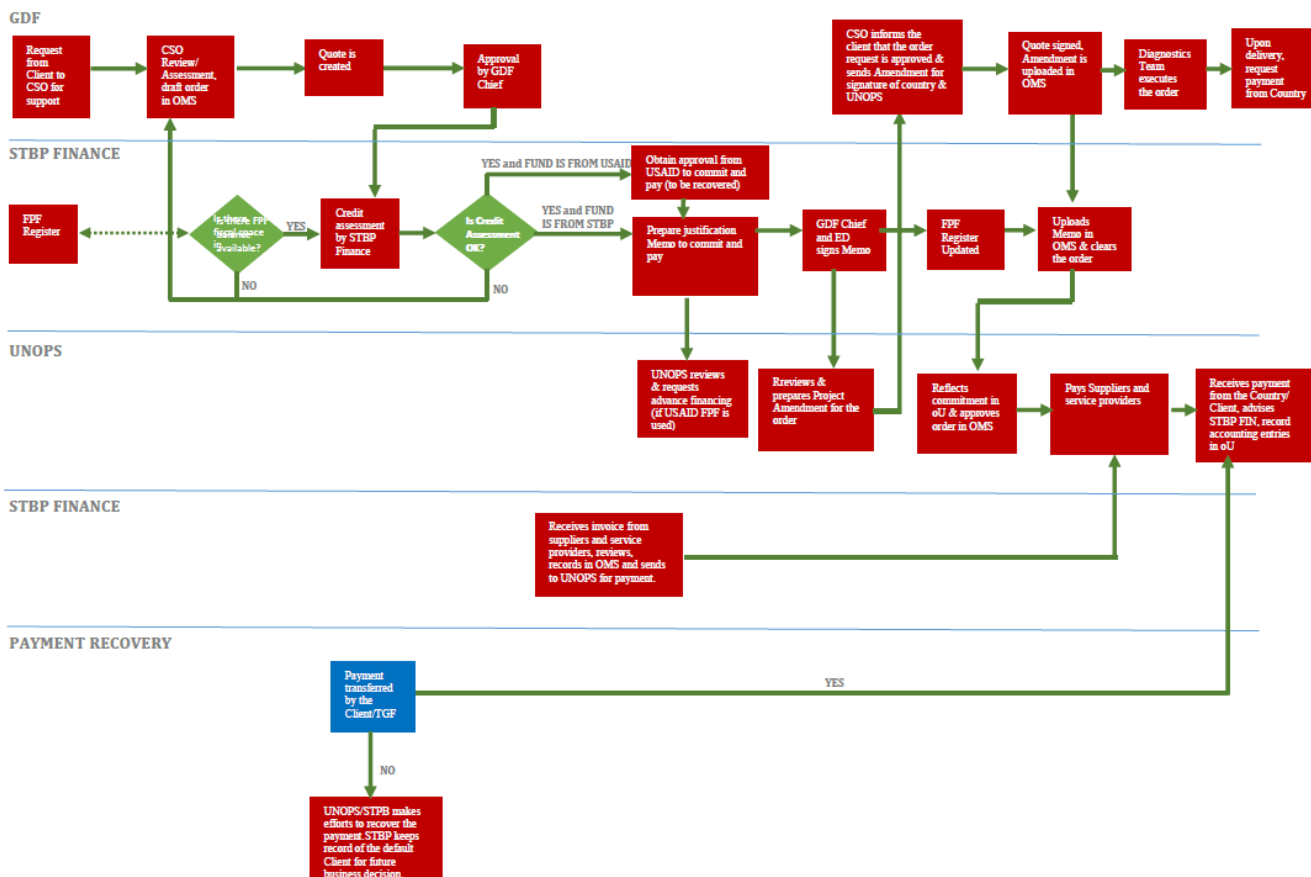
1. Total value of FPF currently stands at USD 6,560,000 million, in which USD 4,700,000 million is funded by USAID and USD 1,860,000 million is from STBP's own funding.
 - USAID funding will be used for USAID priority countries (Tier 1 and Tier 2)
 - STBP's own funding will be used for all other countries
2. The total amount set aside for use by FPF may be revised up or down and other donor funds may be put in the FPF.
3. A log will be kept by STBP finance on the use of FPF.

4. Use of FPF will be available to countries in the following three income categories as established in the WB list
 - Low-income
 - Lower-Middle income
 - Upper-Middle-income
5. A list of countries potentially needing support from FPF will be maintained by GDF and updated as and when the World Bank list is updated.
6. Orders to be drafted in OMS by GDF as soon as the Procurement Request Form (PRF) is received from the country and quote prepared. GDF Chief approves use of FPF for the order.
7. If a country is using TGF grants, then the following conditions must be satisfied:
 - 6.1 If funds are held by TGF, TGF shall provide a guarantee letter stating that the funds will be transferred directly to STBP (or PA) within the required timelines;
 - 6.2 If funds have been remitted by TGF to the country and are kept in the national treasury, the TGF shall provide a guarantee letter stating that a) the funds have been transferred to the country and b) that in case of payment default by the country, TGF will transfer the payment directly to the STBP (or PA) within the required timelines.
8. Countries that have TGF grants but would like to use domestic funding may also request FPF support. The Client shall provide a letter of commitment stating that funds will be transferred directly to STBP (or PA) within required timelines. If country's credit rating is low, STBP may request for an additional letter from TGF or another donor to support request for FPF (to be provided at discretion of TGF or another donor).
9. If a country has graduated out of GF support, it may still request FPF support. The Client shall provide a letter of commitment stating that funds will be transferred directly to STBP (or PA) within required timelines. If country's credit rating is low, STBP may request for an additional letter from TGF or another donor to support request for FPF (to be provided at discretion of TGF or another donor).
10. For In-house procurement, if a country requests to pay through a Letter of Credit (LoC), FPF will be needed to cover any cash needs until the payment to STBP is released by the bank. The Letter of Credit submitted must be issued/confirmed by a bank or financial institution with strong credit ratings and validated by UNOPS treasury.
11. STBP Finance carries out a financial risk assessment for each order requested to be guaranteed through the FPF mechanism. An FPF credit assessment will be done by STBP Finance for each country, based on but not limited to: the latest Country's Credit rating by rating agencies and World Bank, together with the World Bank analysis of the country's political and economic stability; (ii) Availability of The Global Fund (TGF) grants to it; (iii) TGF rating of the country; (iv) Previous financial defaults of the country, if any ; (v) previous record, if any, of using the FPF and actual invoking of the Letter of Guarantee (LoG) (if FPF has been used for medicine or diagnostics order for the country for procurement done through a PA) or Project Amendment (if FPF has been used for medicines or diagnostics order for the country for procurement done in-house).
12. Following completion of the financial risk assessment for the order requested to be supported by the FPF mechanism, STBP Finance drafts a memo setting out the rationale for supporting or not the use of FPF guarantee mechanism. STBP Finance submits the memo to STBP management for its clearance. Such memo shall be cleared by GDF Chief and STBP Executive Director.
13. An OMS ceiling is established to monitor commitment and expenditure in OMS.

14. This step applies only to the orders using USAID funding from the FPF. If the order is considered acceptable for FPF support by STBP management, then STBP will consult and obtain approval from USAID for the use of the funds. The USAID approval would mean that in case the country fails to conform with agreed payment terms to UNOPS or to PA, funds from the FPF shall be utilized to settle pending payments to PA or suppliers and service providers. If USAID approves the use of FPF for the order in case, the guarantee letter can then be issued to the PA or amendment of the project agreement can be done if procurement done in-house and the order can be processed.
15. If procurement is done through a PA, STBP Finance will prepare the LoG and inform UNOPS on the case. UNOPS will review the case and the LoG will be signed by Regional Director, UNOPS ECR. If procurement is done in-house, the amendment to the project agreement will be made and signed by UNOPS ECR Regional Director and the Client.
16. The signed LoG or signed amendment of the project agreement will be uploaded under the respective FPF order in OMS. The FPF orders will subsequently be cleared by STBP Finance after adjusting the relevant FPF ceiling and entering the details in a chronological record and will be placed with suppliers.
17. PA or STBP-GDF shall execute the POs guaranteed through the FPF on credit terms, with a target timeframe for payment by eligible clients of 30 calendar days from the date of arrival of the products at the designated point of delivery and submission of Proof of delivery/Proof of arrival as per agreed Incoterms. In case of Letter of Credit, payment from the bank shall be released upon submission of all agreed documents as proof of delivery/arrival as per Incoterms.
18. UNOPS/StopTB-GDF (in case of in-house procurement) or PA (in case of external procurement) shall follow-up closely with Client/bank to ensure payment for the order.
19. In the event the Client fails to pay the invoiced amount to PA within the target timeframe of 30 days after delivery, the PA will be entitled to call upon the guarantee.
20. In case the Client fails to conform with agreed payment terms to the PA, and PA calls upon the guarantee, the funds from the FPF shall be utilized to settle pending payments to the PA. For in-house procurement, in case the Client fails to confirm with agreed payment terms to UNOPS/STBP-GDF as per amendment to the project agreement, the funds from the FPF shall be utilized by STBP-GDF to settle pending payment to suppliers and service providers.
21. This step only applies to orders using USAID funds from the FPF: Upon receipt of request to invoke the guarantee if procurement done through a PA or funds are not received from Client while payments are due to suppliers and service providers for procurement done in-house, UNOPS/STBP will send an official letter to USAID to inform on the use of funds from the FPF for the payment purpose (relevant funds shall be drawn down from USAID Treasury, and available balance of FPF adjusted accordingly).
22. (Steps 21 to 24 are applicable only for procurement done through a PA). UNOPS/STBP will make the payment within 30 days after receiving from the PA: the request, the invoice and complete supporting documentation including proof of payment default by the Client to PA and will update the FPF log.
23. Upon receipt of payment from STBP, PA will immediately write to the Client and request immediate payment to STBP stating that the payment now needs to be remitted to STBP as the PA's liability related to the FPF order has been settled by STBP on the basis of the guarantee letter issued by STBP to PA.
24. If for some reason, payment for the invoice settled by STBP is received by the PA from the Client, the PA will notify STBP immediately and remit the funds so received to STBP. If funds cannot be remitted immediately, they should be kept by the PA in a special FPF account for STBP.

25. The Special FPF account, held by the PA, may be used if authorized by UNOPS/STBP to settle future guarantee payments. It will be revised periodically and UNOPS/STBP may request the PA to transfer the funds from the special FPF account to STBP/UNOPS as and when deemed necessary.
26. (Steps 25 to 26 are applicable only for procurement done in-house). Upon receipt of invoices and complete supporting documentation as proof of delivery from Suppliers and Freight Forwarders, UNOPS/STBP will proceed with payments.
27. Upon receipt of payment from the Client, UNOPS will inform STBP, record the funds and make the necessary accounting entries in oneUNOPS.
28. If payment is not received from the Client, UNOPS/STBP-GDF will make efforts to obtain the payment. However, payment not received within six (6) months after delivery of the order will be considered default.
29. The FPF log will be updated and record of the client will be kept and facilitate business decision in the future. A monthly report will be prepared by STBP Finance on the use of FPF and it will be submitted to donor, STBP management, and UNOPS

Flexible Procurement Fund (FPF) Processes workflow and control of funds flow –Procurement of Diagnostics*



*In the case of procurement of diagnostics done through a PA, the Medicines FPF process workflow except for USAID approval step if order not guaranteed from USAID funding is followed.

Annex VII GDF Procurement Risk Fund

Stop TB Partnership/Global Drug Facility - Operating Principles – Procurement Risk Fund

Background

Global Drug Facility (GDF) is a key initiative of the Stop TB Partnership. The goal of GDF is to facilitate worldwide, equitable access to TB medicines and diagnostics across both public and private sectors. This goal is achieved through management and coordination of market activities for the full portfolio of TB medicines and diagnostics, strategic procurement and innovative logistic solutions, technical assistance and capacity building for TB programmes in better pharmaceutical management practices, and accelerated uptake of new TB medicines, regimens, and diagnostics.

GDF is ISO 9001:2015 certified and all its processes are governed by Standard Operation Procedures (SOPs). Management of orders for TB medicines and diagnostics is performed through the on-line Order Management System (OMS).

There are several projects in place to improve the functionality of GDF OMS and central database to better manage and deliver orders to GDF clients, as well as provide reliable data for policy and strategic purposes. However, historic data and current practice have shown that some human errors may occur during the procurement and order management process and result in financial losses for the organization.

In May 2017, at the 29th meeting of the Coordinating Board of the Stop TB Partnership, the Board requested the Finance Committee to submit to the Executive Committee recommendations for the use of income from GDF fees (Decision Point 29-3.5). Related to this Board request, GDF has recommended that part of the GDF revenue obtained from procurement fees over the past years is used to cover possible losses resulting from human error in GDF's regular procurement business. The amount available for the Procurement Risk Fund is approved by the STBP Coordinating Board or its Executive Committee.

Principles of Use

The requests for use of GDF funding to cover procurement risks are applicable when GDF staff has made an error during the procurement process, which has led to a financial loss, which cannot be covered by the client. Unless there is a strong justification to directly request the use of the Procurement Risk Fund, GDF shall make reasonable efforts to eliminate or reduce the financial loss by attempting the following options:

- Requesting additional funds or requesting a surplus transfer from another order from the client to cover the additional costs
- Requesting the client to review and revise the order downwards so that the funds received can cover the cost of the order
- Exploring any other way that the financial loss could be reduced/eliminated for this order without making use of the Procurement Risk Fund.

In complex cases where there may not be a unified agreement within StopTB with regards to whether there would be a reasonable justification for the use of the Procurement Risk Fund, or any other matter, StopTB may request UNOPS IPAS to provide the necessary legal advice and assessment. UNOPS IPAS advice shall be well documented and attached to the Procurement Risk request if applicable.

Operational Details relating to the use of the Procurement Risk Fund

1. The funding for the protection against GDF procurement risks is approved by the STBP Coordinating Board or its Executive Committee. The amount may be revised (either increased or decreased) depending on the need and availability of funds.

2. When requesting the use of the Procurement Risk Fund, GDF staff who is responsible for the error shall prepare a memo to explain the situation and implication of the error. The memo shall cover the following points, but not be limited to:
 - The client's name and order number;
 - Description of the reason for the use of the Procurement Risk Fund and the chronology of events leading to it, including recovery efforts undertaken (where applicable);
 - What mitigating measures will be implemented to prevent the recurrence of this situation;
 - USD amount being requested to cover the cost of the error, including a detailed breakdown and description of the said amount.

All supporting documentation shall be attached to the request. Reviewing parties may request additional documentation from the submitting party if necessary to aid their review.

3. The memo submitted by GDF with its recommendation to cover the human error using the Procurement Risk Fund shall be approved by the GDF Team Leader, GDF Chief, budget owner, and StopTB Executive Director and submitted to StopTB Finance for implementation.
4. Once a recommendation to cover a human error is approved, a new order shall be created in OMS equal to the amount that needs to be covered by the Procurement Risk Fund and the following criteria shall be applied, where applicable:
 - 4.1. The order shall be a Special Direct Financing ("SD") order.
 - 4.2. The Procurement Agent shall be set to "GDF Dx IH GR" for diagnostics, 'GDF MD IH GR' for medical devices, and 'IDA FL Grant' or 'IDA SL Grant' for medicines, so that the GDF fees are not applied.
 - 4.3. The Cost fluctuation buffer shall be used to deduct the insurance fee applicable.
 - 4.4. The ceiling "StopTB Risk Protection Fund" shall be used.
 - 4.5. The UNOPS PSC shall be 0%.
 - 4.6. All other information on the summary, customer requirements, and contacts tabs in OMS shall reflect those of the original order.
 - 4.7. A comment shall be added in the comments tab indicating the reason for creation of this order and the original order number in which the human error occurred.
5. Once the SD order is duly processed in OMS and completed, the payment request will be submitted to UNOPS for processing with the financial actions required in the system.

Financial Monitoring and Reporting:

StopTB Finance shall monitor and report the use of the Procurement Risk Fund to the Finance Committee on a regular basis, including any changes in the fund balance against the last report.