

Annex B
Call For Proposals (CFP) Template for Responsible Parties
(For Civil Society Organizations - CSOs)

[Section 1](#)

CFP No. 02/2022: Contracting implementing partners to support access of women entrepreneurs to capacity building and tailored business development services.

a. CFP Letter for Responsible Parties

UN Women plans to engage a Responsible Party as defined in accordance with these documents. UN Women now invites sealed proposals from qualified proponents to provide the requirements as defined in the UN Women Terms of Reference.

Proposals must be received by UN Women at the address specified not later than 17:00 on June 15, 2022.

This UN Women Call For Proposals consists of <u>two</u> sections:	Documents to be completed by proponents and returned as part of their proposal (mandatory)
<p><u>Section 1</u></p> <ul style="list-style-type: none"> a. CFP Letter for Responsible Parties b. Proposal Data Sheet for Responsible Parties c. UN Women Terms of Reference d. Acceptance of the terms and conditions outlined in the template Partner Agreement e. Annex B-1 Mandatory Requirements/Pre-Qualification Criteria and Contractual Aspects 	<p>Annex B-1 Mandatory Requirements/Pre-Qualification Criteria and Contractual Aspects</p>
<p><u>Section 2</u></p> <ul style="list-style-type: none"> a. Instructions to Proponents, which includes the following: <ul style="list-style-type: none"> Annex B-2 Template for Proposal Submission Annex B-3 Format of Resume for Proposed Personnel Annex B-4 Capacity Assessment Minimum Documents Annex B-6 UN Women Anti-Fraud Policy 	<p>Annex B-2 Template for Proposal Submission Annex B-3 Format of Resume for Proposed Personnel Annex B-4 Capacity Assessment Minimum Documents</p>

Interested proponents may obtain further information by contacting this email address: eco.cfp.inquiries@unwomen.org

b. Proposal Data Sheet for Responsible Parties

Program/Project:	Requests for clarifications due:	
Women's Economic Empowerment in Egypt	Date: May 26, 2022	Time: 17:00
Programme Officer's name: Karen Fanous	(Via e-mail): eco.cfp.inquiries@unwomen.org	
Email: eco.cfp.submission@unwomen.org	UN Women clarifications to proponents due: [if applicable]	
Telephone number: +2027510191	Date: May 31, 2022	Time: 17:00
	Proposal due:	
Issue date: May 18, 2022	Date: June 15, 2022	Time: 17:00
	Planned award date:	
Pre-proposal conference with proponents	June 21, 2022	
Location: Via Zoom	Planned contract start-date/delivery date (on or before):	
Date: May 26, 2022		
Contact: Meeting ID: 948 1628 9760 Passcode: k3D0\$af		
Link:	https://unwomen.zoom.us/j/94816289760?pwd=QkQydjhsMGJpRVFTYlImlclBMQmdiZz09	

c. UN Women Terms of Reference

1. Introduction

a. Background/context for required services/results

UN Women grounded in the vision of equality enshrined in the Charter of the United Nations, works for the elimination of discrimination against women and girls; the empowerment of women; and the achievement of equality between women and men as partners and beneficiaries of development, human rights, humanitarian action and peace and security. Placing women's rights at the centre of all its efforts, UN Women leads and coordinates the United Nations system efforts to ensure that commitments on gender equality and gender mainstreaming translate into action throughout the world. It provides strong and coherent leadership in support of Member States' priorities and efforts and builds effective partnerships with civil society and other relevant actors.

UN Women considers women's economic empowerment – which includes facilitating gainful employment and decent work opportunities, including entrepreneurship as well as safe work environments – central to realising women's rights and gender equality. Programmes focused on women's economic empowerment, especially in terms of including women in the private sector, are relevant and important for the Egyptian economy. Moreover, the Government of Egypt has declared women's empowerment to be an important goal with a high level of political support illustrated in both the Egypt Vision 2030 Sustainable Development Strategy and the National Strategy for the Empowerment of Egyptian Women 2030.

b. General overview of services required/results

About the "Women's Economic Empowerment in Egypt" project

UN Women Egypt and KOICA are implementing a three-year project titled "Women's Economic Empowerment in Egypt" co-funded by UN Women and KOICA.

The project aims to ensure that women in three Governorates in Egypt are economically empowered through access to capacity development, decent employment opportunities, and increased community support for gender equality through enhanced cultural perceptions to realise the two outcomes:

- Outcome 1: A gender-responsive private sector that attracts, retains, and invests in women is expanded.
- Outcome 2: Women's active participation in the private sector is facilitated.

2. Description of required services/results

Objectives of the assignment

The objective of the Term of Reference (TOR) is to engage with key partners in the Egyptian entrepreneurship eco-system to enhance the entrepreneurial skills of 790 women entrepreneurs in start-ups and early-stage companies to support the success of their enterprises through access to capacity building, business development services, and linkages.

Scope of work, consistent with the budget

The project seeks to contract a company to **enhance the entrepreneurial skills of 790 women entrepreneurs in start-ups and early-stage businesses** to improve the performance of their businesses and access to markets, through access to **entrepreneurship education and training** and **business development services** that comprises of:

1. Legal support for business registration to support with formalization of businesses
2. Marketing and digital marketing services
3. Financial management skills such as budgeting and financial statement analysis
4. Networking including through forging linkages within sectors that would result in embedding women led start-ups and/or businesses within supply chains of larger businesses and/or wider (export) market opportunities.¹

Project Target: 790 women entrepreneurs in start-ups and early-stage businesses [formal or informal] working in different economic sectors.

Project Timeline: 22 months

Geographical area: 3 governorates: Cairo, Alexandria, and Beni Suef.

The financial proposal submitted must follow the template as per Annex B-2.

Deliverables that shall be submitted for approval

Deliverable 1: Develop the **application and selection process** for the identification of the 790 women entrepreneurs in start-ups and early-stage businesses [formal or informal] over the course of the project timeline (22 months).

Deliverable 2: Conduct **communication and outreach activities**, based on the approved selection process, to outreach to more women entrepreneurs and be able to select the 790 target beneficiaries.

Deliverable 3: Deliver **entrepreneurship training** to the target group using hybrid modes of delivery (in-person and online, with at least 30% of training being delivered in-person). The training aims to equip the participants with the necessary skillset and mindset to grow their businesses. The training should cover at least the following topics: business modelling, market sensing, business management and leadership, financing options, and pitching. Each cohort is expected to have 20 to 25 beneficiaries; minimum hours of instruction per training is 30 hours excluding homework and breaks. Please include a draft outline of the entrepreneurship curriculum/training.

Deliverable 4: Provide each woman entrepreneur with at least **3 business development services** from the above-mentioned services, among others. Attention should be paid to ensuring that the selection and the duration/frequency of these services

¹ Please include your methodology for identifying current supply-chain and market opportunities.

is tailored to the needs of each woman entrepreneur. Please include the draft implementation plan for the business development services.

Deliverable 5: Submit an inception report, semi-annual reports as well as a final report, including data based on the agreed KPIs.

Deliverable 6: Organize **2 events** to facilitate linkages for the women entrepreneurs to investors and other finance opportunities,² as well as showcase the results of the work. Coordinate with UN Women on any public-facing materials (social media posts, flyers, meeting agendas, invitations, meeting reports, and photos) to comply with UN Women and donor visibility guidelines.

Provisions for monitoring and evaluation of performance

The contractor shall comply with all monitoring and reporting requirements of UN Women, as listed in the contract.

The contractor shall submit semi-annual reports as well as a final report. These shall include data on participants as requested by UN Women (i.e., participants attendance sheets, training drop-out rates, pre- and post-evaluations for trainings, etc.).

3. Timeframe: Start date and end date for completion of required services/results

The activities should commence on 21 June 2022 and end by 21 April 2024.

Deliverable Schedule/ Timeframe:

Deliverable 1: Application process and selection criteria to be developed 3 weeks after the signing of the agreement. Deadline: July 12, 2022

Deliverable 2: Communication and outreach to commence 4 weeks after the signing of the agreement, and to continue for the first 8 months of the project. Deadline: February 15, 2023

Deliverable 3: First cohort to be trained 3 months after the signing of the agreement, the rest to be trained in regular intervals thereafter (schedule to be agreed with UN Women). Deadline: December 15, 2023

Deliverable 4: First BDS provided 4 months after the signing of the agreement, the rest in regular intervals thereafter. Deadline: February 28, 2024

Deliverable 5: Inception report due 1 month after the signing of the agreement, the rest of the reports due at regular semi-annual intervals, with the final report due 22 months after the signing of the agreement. Deadline: April 7, 2022

Deliverable 6: First event to be held 9 months after the signing of the agreement, and the second event to be held 16 months after the signing of the agreement. March 15, 2023 and November 15, 2023

4. Competencies:

The selected organization(s) will be responsible for the implementation of programme activities ensuring the realization of the anticipated interventions in line with UN Women rules and regulations and will work in close collaboration with the UN Women team.

a. Technical/functional competencies required

- The organization must have a track record of previous experience in providing entrepreneurship training and business support. The organization must report their experience preferably through qualitative description and quantitative figures with sex-disaggregated and geographically disaggregated data (i.e., how many men and women trained in which governorates, etc.). The organization must submit an outline of its entrepreneurship curriculum, as well as its detailed implementation plan for the business development services.
- The organization must demonstrate its networking and outreach capacity.
- The organization must demonstrate its outreach in governorates outside of Greater Cairo and is able to reach beneficiaries in Alexandria and Beni Suef.
- The organization can perform activities in a timely manner.
- The organization has demonstrated capacity to adapt to crisis situations (i.e., business continuity plan, examples of pivoting during COVID-19) and can deliver activities through different channels, such as online trainings, etc.)

d. Acceptance of the terms and conditions outlined in the template Partner Agreement

- Proponents must include an acceptance of the terms and conditions outlined in the template Partner Agreement or their reservation or objections thereto.
- Submission of any such reservations or objections does not mean that UN Women will automatically accept them should the proponent be selected as a Responsible Party.
- UN Women will evaluate any reservation or objection during its evaluation of the proposal and may accept or reject any such reservation or objection.

² The organization is responsible to ensure the accessibility of the events to women entrepreneurs and relevant stakeholders

Annex B-1
Mandatory Requirements/Pre-Qualification Criteria and Contractual Aspects
[To be completed by proponents and returned with their proposal]

Call For Proposals

Description of Services: Contracting implementing partners to support access of women entrepreneurs to capacity building and tailored business development services.

CFP No. 02/2022

Proponents are requested to complete this form and return it as part of their submission. Proponents will receive a **pass/fail rating** on this section. To be considered, proponents must meet all the mandatory criteria described below. All questions should be answered on this form or an exact duplicate thereof. UN Women reserves the right to verify any information contained in a proponent's response or to request additional information after the proposal is received. **Incomplete or inadequate responses, lack of response or misrepresentation in responding to any questions will result in disqualification.**

Mandatory requirements/pre-qualification criteria	Proponent's response
1. Are the services being requested part of the key services that the proponent has been performing as an organization? This must be supported by a list of at least two customer references for which similar service has currently or has been provided by the proponent.	Reference #1: Reference #2:
2. Is the proponent duly registered or does it have the legal basis/mandate as an organization? [Please attach a copy of the official registration here].	Yes/No
3. Has the proponent as an organization been in operation for at least five (5) years ³ ?	Yes/No
4. Does the proponent have a permanent office within the location area?	Yes/No
5. Can UN Women conduct a site visit at a customer location in the location or area with a similar scope of work as the one described in this CFP?	Yes/No
6. Fraud or other wrongdoing: i. Has the proponent, its employees, personnel, sub-contractor or sub-contractor's sub-contractor or sub-partner or sub-partner's partner been the subject of a finding of fraud or any other wrongdoing following an investigation conducted by UN Women, another United Nations entity or otherwise? OR ii. Is the proponent, its employees, personnel, sub-contractor or sub-contractor's sub-contractor or sub-partner or sub-partner's partner currently under investigation for fraud or any other wrongdoing by UN Women, another UN entity or otherwise?	Yes/No
7. Sexual exploitation and abuse: i. Has the proponent, its employees, personnel, sub-contractor or sub-contractor's sub-contractor or sub-partner or sub-partner's partner been the subject of any investigations and/or been charged for any misconduct related to sexual exploitation and abuse (SEA) ⁴ ? OR ii. Is the proponent, its employees, personnel, sub-contractor or sub-contractor's sub-contractor or sub-partner or sub-partner's partner currently under investigation for SEA by UN Women, another UN entity or otherwise?	Yes/No
8. Has the proponent or any of its employees or personnel been placed on any relevant sanctions list including as a minimum the Consolidated United Nations Security Council Sanctions List(s), United Nations Global Market Place Vendor ineligibility and any other donor sanction list that may be available for use, as applicable?	Yes/No
9. Has the proponent read and accepted the standards set out in section 3 of ST/SGB/2003/13 "Special measures for protection from sexual exploitation and sexual abuse"?	Yes/No

³ In exceptional circumstances, three (3) years of history registration may be accepted and it must be fully justified.

⁴ [Secretary General's Bulletin, 9 October 2003 on "Special measures for protection from sexual exploitation and sexual abuse" \(ST/SGB/2003/13\)](#), and United Nations Protocol on Allegations of Sexual Exploitation and Abuse involving Implementing Partners.

10. Does the proponent acknowledge that SEA is strictly prohibited, and that UN Women will apply a policy of “zero tolerance” in respect to SEA of anyone including the proponent’s employees, agents, sub-partners and sub-contractors or any other persons engaged by the proponent to perform any services?	Yes/No
11. Has the proponent reviewed and taken note of UN Women Anti-Fraud Policy (Annex B-6)?	Yes/No

Please provide the following information:

1 Is the highest executive (e.g., Director, CEO, etc.) in the proponent organization a female?	Yes/No
2 What is the female to male ratio in the proponent’s board?	

Acceptance of the terms and conditions outlined in the template Partner Agreement.

- Proponents must include an acceptance of the terms and conditions outlined in the template Partner Agreement or their reservations or objections thereto.
- Submission of any such reservations or objections does not mean that UN Women will automatically accept them should the proponent be selected as a Responsible Party.
- UN Women will evaluate any reservation or objection during its evaluation of the proposal and may accept or reject any such reservation or objection.

Requirements	Proponent’s response
Acceptance of the terms and conditions outlined in the template Partner Agreement.	Yes/No
Indicate any reservations or objections to the terms and conditions outlined in the template Partner Agreement.	

Section 2

CFP No. 02/2022

a. Instructions to Proponents

1. Introduction

- 1.1 UN Women invite qualified parties to submit Technical and Financial Proposals to provide services associated with the UN Women requirements for a Responsible Party.
- 1.2 UN Women is soliciting proposals from Civil Society Organizations (CSOs). **Women's organizations or entities are highly encouraged to apply.**
- 1.3 A description of the services required is described in CFP **Section 1 – c) "UN Women Terms of Reference"**.
- 1.4 UN Women may, at its discretion, cancel the services in part or in whole.
- 1.5 Proponents may withdraw the proposal after submission, provided that written notice of withdrawal is received by UN Women prior to the deadline prescribed for the submission of proposals. No proposal may be modified subsequent to the deadline for the submission of proposals. No proposal may be withdrawn in the interval between the deadline for submission of proposals and the expiration of the period of proposal validity.
- 1.6 All proposals shall remain valid and open for acceptance for a period of 90 calendar days after the date specified for receipt of proposals. A proposal valid for a shorter period may be rejected. In exceptional circumstances, UN Women may solicit the proponent's consent to an extension of the period of validity. The request and the responses thereto shall be made in writing.
- 1.7 Effective with the release of this CFP, all communications must be directed only to UN Women, by email at eco.cfp.inquiries@unwomen.org. Proponents must not communicate with any other personnel of UN Women regarding this CFP.

2. Cost of Proposal

- 2.1 The cost of preparing a proposal, attendance at any pre-proposal conference, meetings or oral presentations shall be borne by the proponent, regardless of the conduct or outcome of the CFP process. Proposals must offer the services for the total requirement. Proposals offering only part of the services will be rejected.

3. Eligibility

- 3.1 Proponents must meet all mandatory requirements/pre-qualification criteria as set out in **Annex B-1**. See point 4 below for further explanation. Proponents will receive a pass/fail rating on this section. UN Women reserves the right to verify any information contained in proponent's response or to request additional information after the proposal is received. Incomplete or inadequate responses, lack of response or misrepresentation in responding to any questions will result in disqualification.

4. Mandatory/Pre-Qualification Criteria

- 4.1 The evaluation of technical and financial proposals by UN Women is conducted in two phases (see section 11 below) and the mandatory requirements/pre-qualification criteria have been designed to ensure that, to the degree possible in the initial stages of the CFP selection process, only those proponents with sufficient experience, financial strength and stability, demonstrable technical knowledge, evident capacity to satisfy UN Women requirements and superior customer references for supplying the services envisioned in this CFP will qualify for further consideration. UN Women reserves the right to verify any information contained in proponent's response or to request additional information after the proposal is received. Incomplete or inadequate responses, lack of response or misrepresentation in responding to any questions will result in disqualification.
- 4.2 Proponents will receive a pass/fail rating in the mandatory requirements/pre-qualification criteria section. In order to be considered for Phase I, proponents must meet all the mandatory requirements/pre-qualification criteria described in this CFP.

5. Clarification of CFP Documents

- 5.1 A prospective proponent requiring any clarification of the CFP documents may notify UN Women in writing at UN Women email address indicated in the CFP by the specified date and time. UN Women will respond in writing to any request for clarification of the CFP documents that it receives by the due date for requests for clarification as outlined in **Section 1b of this annex (on page 1)**.
- 5.2 Written copies of UN Women's responses to such inquiries (including an explanation of the query but without identifying the source of inquiry) will be posted using the same method as the original posting of this (CFP) document.
- 5.3 If the CFP has been advertised publicly, the results of any clarification exercise (including an explanation of the query but without identifying the source of inquiry) will be posted on the advertised source.

6. Amendments to CFP Documents

- 6.1 At any time prior to the deadline for submission of proposals, UN Women may, for any reason, whether at its own initiative or in response to a clarification requested by a prospective proponent, modify the CFP documents by

amendment. All prospective proponents that have received the CFP documents will be notified in writing of all amendments to the CFP documents. For open competitions, all amendments will also be posted on the advertised source.

- 6.2 In order to afford prospective proponents reasonable time in which to take the amendment into account in preparing their proposals, UN Women may, at its discretion, extend the deadline for the submission of proposal.

7. Language of Proposals

- 7.1 The proposal prepared by the proponent and all correspondence and documents relating to the proposal exchanged between the proponent and UN Women, shall be written in English.
- 7.2 Supporting documents and printed literature furnished by the proponent may be in another language provided they are accompanied by an appropriate translation of all relevant passages in English. In any such case, for interpretation of the proposal, the English translation shall prevail. The sole responsibility for translation and the accuracy thereof shall rest with the proponent.

8. Submission of Proposals

- 8.1 Technical and financial proposals should be submitted as part of the template for proposal submission (**Annex B2**) in one email with the CFP reference and the clear description of the proposal by the date and time stipulated in this document. If the emails and email attachments are not marked as instructed, UN Women will assume no responsibility for the misplacement or premature opening of the proposals submitted. The email text body should indicate the name and address of the proponent. **All proposals should be sent by email to the following secure email address: eco.cfp.submissions@unwomen.org**
- 8.2 Proposals should be received by the date, time and means of submission stipulated in this CFP. Proponents are responsible for ensuring that UN Women receives their proposal by the due date and time. Proposals received by UN Women after the due date and time will be rejected.
- 8.3 When receiving proposals by email (as is required for the CFP), the receipt time stamp shall be the date and time when the submission has been received in the dedicated UN Women inbox. UN Women shall not be responsible for any delays caused by network problems, etc. It is the sole responsibility of proponents to ensure that their proposal is received by UN Women in the dedicated inbox on or before the prescribed CFP deadline.
- 8.4 **Late proposals:** Any proposals received by UN Women after the deadline for submission of proposals prescribed in this document, will be rejected.

9. Clarification of Proposals

- 9.1 To assist in the examination, evaluation and comparison of proposals, UN Women may, at its discretion, ask the proponent for a clarification of its proposal. The request for clarification and the response shall be in writing and no change in the price or substance of the proposal shall be sought, offered or permitted. UN Women will review minor informalities, errors, clerical mistakes, apparent errors in price and missing documents.

10. Proposal Currencies

- 10.1 All prices shall be quoted in Egyptian Pounds (EGP).
- 10.2 UN Women reserves the right to reject any proposals submitted in a currency other than the mandatory currency for the proposal stated above. UN Women may accept proposals submitted in another currency than stated above if the proponent confirms during clarification of proposals, see item (9) above in writing, that it will accept a contract issued in the mandatory proposal currency and that for the purposes of conversion, the official United Nations operational rate of exchange of the day of CFP deadline (as stated in the CFP letter) shall apply.
- 10.3 Regardless of the currency stated in proposals received, the contract will always be issued and subsequent payments will be made in the mandatory currency for the proposal (as stated above).

11. Evaluation of Technical and Financial Proposals

11.1 PHASE I – TECHNICAL PROPOSAL (70 points)

Only proponents meeting the mandatory criteria will advance to the technical evaluation in which a maximum possible 70 points may be determined. Technical evaluators who are members of an Evaluation Committee appointed by UN Women will carry out the technical evaluation applying the evaluation criteria and point ratings as listed below. In order to advance beyond Phase I of the detailed evaluation process to Phase II (financial evaluation) a proposal must have achieved a minimum cumulative technical score of 50 points.

Suggested table for evaluating technical proposal

1	The proposal is compliant with the CFP requirements	15 points
2	The organization's mandate is relevant to the work to be undertaken in the UN Women Terms of Reference (component 1)	20 points
3	The proposal demonstrates a sound understanding of the requirements of the UN Women Terms of Reference and indicates that the organization has the prerequisite capacity to undertake the work successfully (components 2, 3, 4 and 5)	35 points

	TOTAL	70 points
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11.2 PHASE II - FINANCIAL PROPOSAL (30 points)

Financial proposals will be evaluated (using **component 6**) following completion of the technical evaluation. The proponent with the lowest evaluated cost will be awarded 30 points. Other financial proposals will receive pro-rated points based on the relationship of the proponents' prices to that of the lowest evaluated cost.

Formula for computing points: Points = (A/B) Financial Points

Example: Proponent A's price is the lowest at \$10.00. Proponent A receives 30 points. Proponent B's price is \$20.00. Proponent B receives (\$10.00/\$20.00) x 30 points = 15 points.

12. Preparation of Proposals

- 12.1 Proponents are expected to examine all terms and instructions included in the CFP documents. Failure to provide all requested information will be at the proponent's own risk and may result in rejection of the proponent's proposal.
- 12.2 The proponent's proposal must be organized to follow the format of this CFP. Each proponent must respond to every stated request or requirement and indicate that the proponent understands and confirms acceptance of UN Women's stated requirements. The proponent should identify any substantive assumption made in preparing its proposal. The deferral of a response to a question or issue to the contract negotiation stage is not acceptable. Any item not specifically addressed in the proponent's proposal will be deemed as accepted by the proponent. The terms "proponent" and "contractor" refer to those organizations that submit a proposal pursuant to this CFP.
- 12.3 Where the proponent is presented with a requirement or asked to use a specific approach, the proponent must not only state its acceptance, but also describe, where appropriate, how it intends to comply. Failure to provide an answer to an item will be considered an acceptance of the item. Where a descriptive response is requested, failure to provide one will be viewed as non-responsive.
- 12.4 The terms of reference in this document provides a general overview of the current operation. If the proponent wishes to propose alternatives or equivalents, the proponent must demonstrate that any such proposed change is equivalent or superior to UN Women established requirements. Acceptance of such changes is at the sole discretion of UN Women.
- 12.5 Proposals must offer services for the total requirement, unless otherwise permitted in the CFP document. Proposals offering only part of the services will be rejected unless permitted otherwise in the CFP document.
- 12.6 Proponents may use the services of sub-contractors or sub-partners to partially perform the work except if the proponent is providing grant-making work. The proponent's Technical Proposal shall indicate clearly if the proponent is intending to use sub-contractors or sub-partners and their names. If it is not possible to include the names of sub-partners and sub-contractors in the proposal, the names must be submitted to UN Women as soon as possible.
- 12.7 The proponent's proposal shall state the following and include all of the following labelled annexes:

CFP submission (on or before proposal due date):

As a minimum, proponents shall complete and return the below listed documents (annexes to this CFP) **as an integral part of their proposal**. Proponents may add additional documentation to their proposals as they deem appropriate.

Failure to complete and return the below listed documents as part of the proposal may result in proposal rejection.

Part of proposal	Annex B-1 Mandatory Requirements/Pre-Qualification Criteria and Contractual Aspects
Part of proposal	Annex B-2 Template for Proposal Submission
Part of proposal	Annex B-3 Format of Resume for Proposed Personnel
Part of proposal	Annex B-4 Capacity Assessment Minimum Documents

If after assessing this opportunity you have made the determination not to submit your proposal, we would appreciate it if you could return this form indicating your reasons for non-participation.

13 Format and Signing of Proposals

- 13.1 The proposal shall be typed or written in indelible ink and shall be signed by the proponent or a person or persons duly authorized to bind the proponent to the contract. The latter authorization shall be indicated by written power-of-attorney accompanying the proposal.
- 13.2 A proposal shall contain no interlineations, erasures, or overwriting except as necessary to correct errors made by the proponent, in which case such corrections shall be initialled by the person or persons signing the proposal.

14 Award

- 14.1 Award will be made to the responsible and responsive proponent with the highest evaluated proposal following negotiation of an acceptable contract. UN Women reserves the right to conduct negotiations with the proponent regarding the contents of their proposal. The award will be in effect only after acceptance by the selected proponent of the terms and conditions of the agreement and the terms of reference. **The agreement will reflect the name of the**

proponent whose financials were provided in response to this CFP. Upon execution of agreement UN Women will promptly notify the unsuccessful proponents.

14.2 The selected proponent is expected to commence providing services as of the date and time stipulated in this CFP.

14.3 The award will be for an agreement with an original term of 22 months with the option to renew under the same terms and conditions for an additional period or periods as indicated by UN Women.

Annex B-2
Template for Proposal Submission

Call For Proposals

Description of Services: Contracting implementing partners to support access of women entrepreneurs to capacity building and tailored business development services.

CFP No. 02/2022

Mandatory Requirements/Pre-Qualification Criteria
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Proponents are requested to complete this form (**Annex B-2**) and return it as part of their submission.

Proponent's Eligibility Confirmation and Information	Proponent's Response
1 What year was the organization established?	
2 In what province/state/country has the organization been established?	
3 Has the organization ever been adjudged bankrupt, or been liquidated, or been insolvent, or applied for a moratorium or stay on any payment or repayment obligations, or applied to be declared insolvent? (If YES, explain in detail the reasons why, filing date, and current status.)	Yes/No
4 Has the organization ever been terminated for non-performance on a contract? If YES, describe in detail.	Yes/No
5 Has the organization or any of its employees and personnel ever been: <ul style="list-style-type: none"> a. suspended or debarred by any government, a UN agency or other international organization; b. placed on any relevant sanctions list including the - https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list, United Nations Global Market Place Vendor ineligibility or any other Donor Sanction List; and/or c. been the subject of an adverse judgment or award? If YES, provide details, including date of reinstatement, if applicable. (If proponent is currently on any relevant sanctions list this should be disclosed in Question 8 of the Mandatory Requirements/Pre-Qualification Criteria above and is grounds for immediate rejection.)	Confirm Yes/No
6 It is UN Women policy to require that proponents and their sub-contractors and sub-partners observe the highest standard of ethics during the selection and execution of contracts. In this context, any action taken by a proponent, a sub-contractor or a sub-partner to influence the selection process or contract execution for undue advantage is improper. The proponent must confirm that it has reviewed and taken note of UN Women Anti-Fraud Policy (Annex B-6). The proponent must also confirm that the proponent and its sub-contractors and sub-partners have not engaged in any conduct contrary to that policy including in competing for this CFP.	Confirm Yes/No
7 Officials not to benefit: The proponent must confirm that no official of UN Women has received or will be offered any direct or indirect benefit arising from this CFP or any resulting contracts by the proponent or its sub-contractors or its sub-partners.	Confirm Yes/No
8 The proponent must confirm that the proponent is not engaged in any activity that would put it, if selected for this assignment, in a conflict of interest with UN Women.	Confirm Yes/No
9 The proponent must confirm that the proponent, its sub-partners or sub-contractors have not been associated, or involved in any way, directly or indirectly, with the preparation of the design, terms of references and/or other documents used as a part of this CFP.	Confirm Yes/No
10 UN Women policy restricts organizations from participating in a CFP or receiving UN Women contracts if a UN Women personnel or their immediate family are an owner, officer, partner or board member or in which the personnel or their immediate family has a financial interest in the organization. The proponent must confirm that no UN Women personnel or their immediate family are an owner, officer, partner or board member or have a financial interest in either the proponent, or its sub-partners or its sub-contractors.	Confirm Yes/No

Component 1: Organizational Background and Capacity to implement activities to achieve planned results (max 1.5 pages)

This section should provide an overview (with relevant annexes) that clearly demonstrate that the proponent has the capacity and commitment to implement the proposed activities and produce results successfully. Key elements to be covered in this section include:

1. the nature of the proponent – whether it is a community-based organization, national or sub-national NGO, research or training institution, etc.;
2. the overall mission, purpose, and core programmes/services of the organization;
3. the organization's target population groups (women, indigenous peoples, youth, etc.);
4. the organizational approach (philosophy) - how the organization delivers its projects (e.g., gender-sensitive, rights-based, etc.);
5. the organization's length of existence and relevant experience;
6. an overview of the organization's capacity relevant to the proposed engagement with UN Women (e.g., technical, governance and management, and financial and administrative management);
7. details of the following relating to prevention of SEA:
 - a. describe what measures are in place to prevent SEA;
 - b. describe reporting and monitoring mechanisms and procedures;
 - c. describe what capacity exists to investigate SEA allegations;
 - d. describe past allegations of SEA, if any, and how they were handled, including the outcome;
 - e. describe what SEA training the people (employees or otherwise) who will perform the services have completed; and
 - f. describe what reference and background checks have been done for employees and associated personnel.
8. details relating to grant-making work, if applicable:
 - a. describe the proponent's institutional capacity to manage grants, including appropriate grant award management, system/framework for undertaking grant proposal evaluation, due diligence and, appropriate governance and risk management (including composition and terms of reference of the independent designated steering committee or grant selection committee);
 - b. describe relevant history in managing resources through grant awards;
 - c. describe the proponent's grant portfolio;
 - d. describe relevant history in working with small organizations including experience in providing technical assistance;
 - e. describe the proponent's programmatic capacity, including monitoring and evaluation capacity; and
 - f. describe the proponent's capacity to assess and manage risks.

Component 2: Expected Results and Indicators (max 1.5 pages)

This section should articulate the proponent's understanding of the UN Women Terms of Reference (TOR). It should contain a clear and specific statement of what the proposal will accomplish in relation to the UN Women Terms of Reference. This should include:

1. The **problem statement** or challenges to be addressed given the context described in the UN Women Terms of Reference.
2. The specific **results** expected (e.g., outputs) through engagement of the proponent. The expected results are the measurable changes which will have occurred by the end of the planned intervention. Propose specific and measurable indicators which will form the basis for monitoring and evaluation. These indicators will be refined, and will form an important part of the agreement between the proponent and UN Women.

Component 3: Description of the Technical Approach and Activities (max 2.5 pages)

This section should describe the technical approach and should be able to show the soundness and adequacy of the proposed approach, what will actually be done to produce the expected results in terms of activities. There should be a clear and direct linkage between the activities and the results at least at the output level. Specific strategies should also be described to support the achievement of results, such as building partnerships, etc.

Activity descriptions should be as specific as necessary, identifying **what** will be done, **who** will do it, **when** it will be done (beginning, duration, completion), and **where** it will be done. In describing the activities, an indication should be made regarding the organizations and individuals involved in or benefiting from the activity.

This narrative is to be complemented by a tabular presentation that will serve as Implementation Plan, as described in Component 4.

This section should also include the details of all proposed sub-contracting and sub-partnering.

Component 4: Implementation Plan (max 1.5 pages)

This section is presented in tabular form and can be attached as an annex. It should indicate the **sequence of all major activities and timeframe (duration)**. Provide as much detail as necessary. The Implementation Plan should show a logical flow of activities. Please include all required milestone reports and monitoring reviews in the Implementation Plan.

Implementation Plan

Project No:		Project Name:											
Name of proponent organization:													
Brief description of project													
Project start and end dates:													
Brief description of specific results (e.g., outputs) with corresponding indicators, baselines and targets. Repeat for each result.													
List the activities necessary to produce the results and indicate who is responsible for each activity		Duration of Activity in Months (or Quarters)											
Activity	Responsible	1	2	3	4	5	6	7	8	9	10	11	12
1.1													
1.2													
1.3													
1.4													

Monitoring and Evaluation Plan (max. 1 page)

This section should contain an explanation of the plan for monitoring and evaluating the activities, both during its implementation (formative) and at completion (summative). Key elements to be included are:

- how the performance of the activities will be tracked in terms of achievement of the steps and milestones set forth in the Implementation Plan;
- how any mid-course correction and adjustment of the design and plans will be facilitated on the basis of feedback received; and
- how the participation of community members in the monitoring and evaluation processes will be achieved.

Component 5: Risks to Successful Implementation (1 page)

Identify and list any major risk factors that could result in the activities not producing the expected results. These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, significant currency fluctuations resulting into changes in the economics of the activity, risk of sub-contactors or sub-partners not performing). Describe how such risks are to be mitigated.

In this section also include the key **assumptions** on which the activity plan is based on. In this case, the assumptions are mostly related to external factors (for example, the assumption that the relevant government's environmental policy will remain stable) which are anticipated in planning the activity, and on which the feasibility of the activities depend.

Please attach a risk register to capture the above risk factors and risk mitigation measures.

--

Component 6: Results-Based Budget (max. 1.5 pages)

The development and management of a realistic budget is an important part of developing and implementing successful activities. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of activities. The following important principles should be kept in mind in preparing a project budget:

- Include costs which relate to efficiently carrying out the activities and producing the results which are set forth in the proposal. Other associated costs should be funded from other sources.
- The budget should be realistic. Find out what planned activities will actually cost, and do not assume that they would cost less.
- The budget should include all costs associated with managing and administering the activity or results, particularly the cost of monitoring and evaluation.
- The budget could include “support costs”, being those indirect costs that are incurred to operate the Responsible Party as a whole or a segment thereof and that cannot be easily connected or traced to implementation of the work, i.e., operating expenses, over-head costs and general costs connected to the normal functioning of an organization/business (such as cost for support staff, office space and equipment that are not direct costs).
- “Support cost rate” means the flat rate at which the Responsible Party will be reimbursed by UN Women for its support costs, as set forth in the Partner Project Document and not exceeding a rate of 8% or the rate set forth in the Donor Specific Conditions, if that is lower. The flat rate is calculated on the eligible direct costs.
- The budget line items are general categories intended to assist in thinking through where money will be spent. If a planned expenditure does not appear to fit in any of the standard line-item categories, list the item under other costs, and state what the money is to be used for.
- The figures contained in the budget sheet should agree with those on the proposal header and text.
- Depending on the results to be delivered, following suggestive thresholds could be followed for costs:
 - maximum for personnel related costs on a proposal - 20% of programming costs;
 - between 3-5% for audits (to be retained by UN Women for Responsible Party audits) (may change as per the annual audit cost);
 - 3% for monitoring and evaluation; and
 - up to 8% (or as per relevant donor agreement) – support costs including (utilities, rent etc.).

Result 1 (e.g., Output) Repeat this table for each result ⁵ .					
Expenditure Category	Year 1 [Local currency]	Year 2 (Local currency), If applicable	Total [local currency]	Total (US\$)	Percentage Total
1. Personnel					
2. Equipment/Materials					
3. Training/Seminars/Travel Workshops					
4. Contracts					
5. Other costs ⁶					
6. Incidentals					
7. Other support requested					
8. Support costs (not to exceed 8% or the relevant donor percentage)					
Total Cost for Result 1					

I, (Name) _____ certify that I am (Position) _____ of (Name of Organization) _____; that by signing this proposal for and on behalf of (Name of Organization) _____, I am certifying that all information contained herein is accurate and truthful and that the signing of this proposal is within the scope of my powers.

I, by signing this proposal, commit to be bound by this proposal for carrying out the range of services as specified in the CFP package and respecting the terms and conditions stated in the UN Women template Partner Agreement.

⁵ If the budget is for grant-making activities, add a field for grants. For grant-making, (i) only up to 50% of the Partner proposal amount may be used to fund grants, (ii) not more than 25% of the Partner Agreement value can be issued per individual grant.

⁶ “Other costs” refers to any other costs that is not listed in the results-based budget. Please specify what they are in the footnote.

(Signature)

(Seal)

(Printed Name and Title)
(Date)

Annex B-3
Format of Resume for Proposed Personnel

Call For Proposals

Description of Services: Contracting implementing partners to support access of women entrepreneurs to capacity building and tailored business development services.

CFP No. 02/2022

Name of personnel: _____

Title: _____

Years with CSO: _____ Nationality: _____

Education/Qualifications:

Summarize college/university and other specialized education of personnel member, giving names of schools, dates attended, and degrees-professional qualifications obtained.

Employment Record/Experience

Starting with present position, list in reverse order, every employment held:

- *For all positions held by personnel member since graduation: List each position and provide dates, names of employing organization, title of position held and location of employment.*
- *For experience in last five years: Detail the type of activities performed, degree of responsibilities, location of assignments and any other information or professional experience considered pertinent for this assignment.*

References

Provide names and addresses for two (2) references.

Annex B-4

Capacity Assessment Minimum Documents

[To be submitted by proponents and assessed by the reviewer]

Call For Proposals

Description of Services: Contracting implementing partners to support access of women entrepreneurs to capacity building and tailored business development services.

CFP No. 02/2022

Document	Mandatory / Optional
Governance, Management and Technical	
Organization's legal registration documentation	Mandatory
Rules of governance of the organization	Mandatory
Organigram of the organization	Mandatory
List of key management at organization	Mandatory
CVs of key personnel of organization who are proposed for the engagement with UN Women	Mandatory
Details of organization's anti-fraud policy framework (which shall be consistent with UN Women's anti-fraud policy)	Mandatory
Details of organization's PSEA policy framework	Optional
Documentation evidencing training offered by organization to its employees and associated personnel on prevention and response to SEA.	Mandatory
Organization's policy and procedure documents in respect to grant-making (if grant-making activities are included in the UN Women Terms of Reference of the CFP)	Mandatory
Organization's policy and procedure for selecting partners (if sub-partner/s are going to be used)	Mandatory
Administration and Finance	
Administrative and financial rules of the organization	Mandatory
Details of the organization's internal control framework	Mandatory
Audited statements of the organization during last 3 years	Mandatory
List of banks with which organizational bank accounts are held	Mandatory
Name of external auditors of organization	Optional
Procurement	
Organization's procurement policy/manual	Mandatory
Templates of the solicitation documents for procurement of goods/services (e.g., request for quotation (FRQ), request for proposal (RFP) etc.) used by organization	Mandatory
List of main suppliers/vendors of organization and copies of their contract(s) including evidence of their selection processes	Mandatory
Client Relationship	
List of main clients/donors of organization	Mandatory
Two references for organization	Mandatory
Past reports to clients/donors of organization for last 3 years	Mandatory

Annex B-6
UN Women Anti-Fraud Policy

Table of Contents

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1 Purpose

- 1.1 UN Women, as a potential victim of fraud, is exposed to various risks which may include: **financial risks**, which can be measured in monetary terms; **operational risks**, which cause deficiencies in the implementation and delivery of programmes; and **reputational risks**, which harm the prestige and respect of the Organization.
- 1.2 In respect of fraud risks, UN Women maps its three lines of defense as follows:
 - a) Implementation and management of fraud prevention and detection controls designed to manage potential risks that may expose the Entity to fraud. These activities are in accordance with several instruments developed by UN Women, namely its Internal Control Policy and the Delegation of Authority, which are incorporated into manual and automated systems and processes.
 - b) Quality assurance and risk management provide an oversight role and the support required to be able to assess the adequacy of governance structures that are in place to manage fraud and make recommendations on the implementation of mitigation actions that may be required to manage fraud related risks.
 - c) Internal and external audit carry out agreed upon regular audits, the scope of which includes the consideration of prevention and detective controls to manage fraud risk. The investigation function is responsible for receiving, analyzing, and investigating all information received on alleged cases of fraud, and making findings based on which action is taken. The output of these assurance activities is then fed back into fraud prevention activities.
- 1.3 UN Women is committed to promoting and adhering to the highest standards of probity and accountability in the use of its resources. To effectively address fraud, UN Women strives to ensure that the three lines of defense respond efficiently and effectively to its operational and administrative environment, while taking advantage of lessons learned and best practices developed during the prevention, detection, and response to fraud.
- 1.4 The purpose of this anti-fraud policy (the “Policy”) is to outline UN Women’s current approach to the prevention, detection and response to incidents of fraud. This Policy compiles existing provisions set out in UN Women regulations, rules, policies and procedures including the UN-Women Policy for Addressing Non-Compliance with UN Standards of Conduct (the “Legal Policy”), the UN-Women Policy for Protection Against Retaliation, and the Delegation of Authority Policy (the “DoA Policy”) A full list of existing regulations, rules, policies and procedures can be found under Annex I. As such, the Policy is a cumulative statement of UN Women’s anti-fraud strategy and does not depart from UN Women’s current approach to confronting fraud.

2 Application

- 2.1 This Policy applies to any fraud involving UN Women staff members as well as any party, individual or corporate, having a direct or indirect contractual relationship with UN Women or that is funded, wholly or in part, with UN Women resources.
- 2.2 This Policy can apply to:
 - a) **Personnel:** staff members of UN Women and persons engaged by UN Women under other contractual arrangements to perform services for UN Women.
 - b) **Implementing Partners and Responsible Parties:** entities engaged by UN Women to carry out programme or project activities including government entities, non-UN inter-governmental organizations, non-governmental organizations, and UN agencies.
 - c) **Vendors:** An offeror or a prospective, registered or actual supplier, contractor or provider of goods, services and/or works to the UN System.

3 Definitions

“Fraud”

The UN system wide common definition of fraud is "any act or omission whereby an individual or entity knowingly misrepresents or conceals a material fact (a) in order to obtain an undue benefit or advantage for himself, herself, itself, or a third party, and/or (b) in such a way as to cause an individual or entity to act, or fail to act, to his, her or its detriment" (High-Level Committee on Management (HLCM), 33rd Session, March 2017).

“Presumptive Fraud”

The UN system wide common definition of fraud is “allegations that have been deemed to warrant an investigation and, if substantiated, would establish the existence of fraud resulting in loss of resources to the Organization” (High-Level Committee on Management (HLCM), 33rd Session, March 2017).

4 Roles and Responsibilities

- 4.1 All parties to whom this Policy applies are responsible for safeguarding the resources entrusted to UN Women and have critical roles and responsibilities in ensuring that fraud in relation to UN Women resources and activities is prevented, detected, reported and addressed promptly.
- 4.2 Director, Division of the Internal Evaluation and Audit Services (IEAS)
 - 4.2.1 The Director, IEAS shall act as the corporate manager who is the custodian of this Policy and who is responsible for the implementation, monitoring, and periodic review of this Policy.
 - 4.2.2 In carrying out this role, the Director, IEAS will among other things:
 - a) Serve as the repository of knowledge on fraud risks and controls; and
 - b) Manage the fraud risk assessment process and co-ordinate anti-fraud activities across the Organization.

4.3 Personnel

4.3.1 UN Women Financial Rule 203 states, “All personnel of UN-Women are responsible to the Under-Secretary-General/Executive Director for the regularity of actions taken by them during their official duties. Personnel who take any action contrary to these financial regulations and rules or to the instructions that may be issued in connection therewith may be held personally responsible and financially liable for the consequences of such action.”

4.3.2 Staff members

4.3.2.1 Staff members have a responsibility to report allegations of wrongdoing (allegations of wrongdoing is defined in the Legal Policy as a reasonable belief on factual information that misconduct has occurred. Misconduct is further defined in Section 5.1.3 of the Legal Policy and includes allegations fraud) to the Office of Internal Oversight Services of the United Nations (OIOS) entrusted with the responsibility of providing investigation services to UN Women or to their immediate supervisor or another appropriate supervisor within the operating unit. The supervisor to whom the report was made, shall report the matter to OIOS. If the staff member believes that there is a conflict of interest on the part of the person to whom the allegations of wrongdoing are to be reported, he or she will report the allegations to the next higher level of authority. In addition, as set out above, they are responsible for the regularity of actions taken by them during their official duties.

4.3.2.2 Failure to report allegations of misconduct, which includes fraud, represents misconduct itself. Staff members are, however, cautioned that using the investigation process in a malicious manner – or otherwise providing information known to be false or with reckless disregard for its accuracy – may constitute misconduct.

For further information on the responsibilities of staff members, please consult Section 5.1.3- Misconduct and Section 4.9 - Staff members of the Legal Policy and Staff Rule 1.2 (c) of the Staff Rules and Staff Regulations of the United Nations.

4.3.3 Non-staff personnel

4.3.3.1 Like the responsibilities of staff members, non-staff personnel must understand their role in managing fraud risks and how non-compliance with the Organization’s existing policies and rules may create an opportunity for fraud to occur or go undetected. Non-staff personnel should adhere to the provisions of their contractual agreement entered with UN Women. Non-staff personnel are reminded that under no circumstances should they engage in, condone, or facilitate, or appear to condone or facilitate, any fraudulent and corrupt conduct during operations with UN Women. They should also report allegations of wrongdoing to the OIOS.

For further information on the responsibilities of non-staff personnel, please consult the terms of the respective contractual arrangement with UN Women, ST/SGB/2002/9, the UNDP Service Contract Guidelines (which governs UN Women Service Contractors) and the Special Service Agreement Policy.

4.3.4 **Managers**

- 4.3.4.1 Managing the risk of fraud is a crucial part of the Organization’s good governance. While it is the responsibility of all personnel to assist in preventing, identifying, and combating fraud, managers are expected to put in place the appropriate controls to prevent and address fraud risks. Furthermore, managers should use sound judgement and act lawfully in compliance with applicable UN Women regulations, rules, policies, and procedures.
- 4.3.4.2 Managers have a responsibility to:
- a) Identify the types of risks to which activities within the area of responsibilities are exposed, including those relating to implementing partnership management and procurement and sub-contracting of goods and services;
 - b) Assess the identified risks and risk mitigation options, and design and implement cost effective prevention and control measures, including to prevent the occurrence and recurrence of fraud and corruption;
 - c) Escalate any risks where the relevant impact or likelihood is assessed to have markedly increased and can no longer be managed within his / her level
 - d) To report any allegations of wrongdoing to OIOS as soon as they become aware of such allegations; and
 - e) Raise awareness of this Policy, inform all those to whom this Policy applies, and reiterate the importance of reporting fraud and the mechanisms for doing so.

For further information on responsibilities of managers, please consult Section 5.1.3 and Section 4.8-Staff members with supervisory role (“managers”) of the Legal Policy and Section 5.3- Exercise of Delegated authority of the DoA Policy.

4.4 **Implementing partners and Responsible parties**

- 4.4.1 As part of the capacity assessment process of potential partners, it must be assessed whether the organization has an effective policy and system in place to prevent, detect, report, address, and follow-up on fraud and irregularities. Potential partners should also be provided with a copy of this Policy to ensure that they are familiar with reporting obligations and mechanisms.
- 4.4.2 Implementing partners and Responsible parties are responsible and accountable to UN Women for the management of individual projects and programmes. Implementing partners and Responsible parties must maintain documentation and evidence that describes the proper use of programme resources in conformity with the relevant agreement.
- 4.4.3 While implementing a UN Women project or programme, implementing partners shall refrain from any conduct that would adversely reflect on UN Women and shall not engage in any activity that is incompatible with the aims and objectives of UN Women. As set out in the Project Cooperation Agreement (PCA), the implementing partner has an obligation to comply with any investigation conducted on behalf of UN Women.

For more information on the responsibilities of implementing partners, please conduct the Programme Formulation Policy, the Implementing Partners and Responsible Parties Due Diligence Procedure, the Sourcing NGO Partners Procedure, the Capacity Assessment of NGOs Procedure, and the terms and obligations of the respective contractual arrangement with UN Women.

4.5 Vendors

- 4.5.1 UN Women expects its vendors to adhere to the highest standards of moral and ethical conduct, to respect international and local laws and not engage in any form of corrupt practices, including extortion, fraud, or bribery, at a minimum.
- 4.5.2 As set out in the UN Women General Conditions of Contract, vendors have an obligation to comply with any investigation conducted on behalf of UN Women.

For more information on the responsibilities of vendors, please consult the terms and obligations of the respective contractual arrangement with UN Women, Section 21 of the UN Women General Conditions of Contract, and the United Nations Supplier Code of Conduct.

4.6 Office of Internal Oversight Services of the United Nations (OIOS)

- 4.6.1 OIOS has been entrusted with the responsibility of providing investigation services to UN Women as required. OIOS's Investigation Division will assess and, as needed, investigate allegations of fraud, corruption or other wrongdoing by UN Women personnel or by third parties to the detriment of UN Women. OIOS conducts fact-finding investigations in an ethical, professional and impartial manner, in accordance with the Legal Policy, the Uniform Guidelines for Investigations adopted by the Conference of International Investigators, and OIOS's Investigation Manual. OIOS will establish the facts that will allow UN Women's senior management to initiate disciplinary proceedings or other sanctions.
- 4.6.2 OIOS has established a dedicated reporting mechanism. For more information on reporting procedures, please refer to Section 5.3 of this document.

4.7 UN Ethics Office

- 4.7.1 The UN Ethics Office is responsible for receiving complaints from staff members of retaliation, maintaining confidential records of all complaints, and conducting a preliminary review of the complaint. The UN Ethics Office reviews such complaints under the UN–Women Policy for Protection against Retaliation. For more information on protection from retaliation, please refer to Section 5.4.2 of this document.

5 Policy

5.1 Preventing Fraud

5.1.1 Fraud prevention is a shared responsibility that cuts across functional and managerial and reporting lines and extends to UN Women partners. Successful preventive measures safeguard resources, support the integrity of the Organization, and protect its reputation.

5.1.2 Fraud awareness and training

5.1.2.1 All personnel, regardless of contract type, must complete the Ethics and Integrity at the United Nations course within 90 days of arrival at UN Women. Staff members must also complete the Legal Policy course within 90 days of their arrival at UN Women. In addition, UN Women provide regular in person training with OIOS on the Legal Policy with a focus on raising fraud awareness. These trainings cover fraud in the context of policies and procedures supporting operational transactions, particularly commercial and procurement transactions. They also highlight every staff member's personal responsibility and financial liability under the Financial Regulations and Rules.

5.1.3 Internal control systems

5.1.3.1 Internal controls are a basic element of an effective accountability framework. UN Women's internal control objectives are to provide assurance regarding the achievement of operation, financial, and compliance objectives. The UN Women Internal Control Policy (ICP) sets out a framework for operationalizing and assigning responsibility for internal controls, based on the principle of segregation of duties which is necessary to implement appropriate levels of checks and balances upon the activities of individuals. This minimizes the risk of error or fraud and helps detect these occurrences (See: UN-Women Internal Control Policy ("ICP"), Separation of Duties, section 5.10).

5.1.4 Fraud risk identification and management (as a part of Enterprise Risk Management [ERM])

5.1.4.1 The Enterprise Risk Management Framework and the Enterprise Risk Management Policy include mechanisms and measures to identify where the organization should focus its interests in fraud risk management activities by demonstrating the organization's links to the highest internal and external residual fraud risks as outlined in a fraud risk profile.

5.1.4.2 UN Women's existing business risk management practices includes the carrying out of fraud risk assessments that include the identification, measurement and reporting on the organization's risk profile based on the key risks identified, the inherent likelihood and impact, the existing controls to manage these risks, the residual fraud risks as well as any planned mitigation activities to manage these risks within the risk tolerance levels.

5.1.5 Programme management controls

5.1.5.1 When developing a new programme or project, it is important to ensure that fraud risks are fully considered in the programme/project design and processes. This is especially important for high risk programmes/projects, such as those that are complex or operate in high risk environments.

5.1.5.2 These programme/project risk logs shall be communicated to relevant stakeholders, including donors, implementing partners and responsible parties, together with an assessment of the extent to which risks can be mitigated.

- 5.1.5.3 Programme and Project Managers are responsible for ensuring that the risk of fraud is identified during the programme/project design phase. Managers shall consider how easily fraudulent acts might occur and be replicated in the day-to-day operations. They must also evaluate the impact of fraudulent activities, and the effectiveness of the measures taken to mitigate risks, including systemic monitoring actions. Informed decisions can then be made on additional mitigating actions.
- 5.1.5.4 Capacity assessments represent a key step in identifying potential partners. As set out above, potential partners must be assessed to determine whether they have an effective policy and system in place to prevent, detect, report, address, and follow-up on fraud and irregularities. Potential partners should also be provided with a copy of this Policy to ensure that they are familiar with reporting obligations and mechanisms.

For further information on programme management controls, please consult the Programme Implementation and Management Policy, the Programme Implementation and Management Procedure, the Knowledge management and learning during Implementation Guidance, including the Implementing Partners and Responsible Parties Due Diligence Procedure, the Sourcing NGO Partners Procedure and the Capacity Assessment of NGOs Procedure, and the Cash Advances and other Cash Transfers to Partners Policy, as well as the relevant agreement.

5.1.6 Procurement management controls

- 5.1.6.1 Personnel charged with procurement management responsibilities are required to assess all vendors with which business is conducted and ensure that funds are used for their intended purpose. UN Women has established procurement review committees to ensure compliance with due diligence and due process regulations against procurement fraud.
- 5.1.6.2 Furthermore, relevant staff members and other personnel with procurement functions must abide by the procurement management controls and procedures, including the Procurement and Contract Management Policy and the Separation of Duties section of the ICP.

For further information on programme management controls and procedures, please consult the Procurement and Contract Management Policy and the Separation of Duties section of the ICP.

5.1.7 Asset management controls

- 5.1.7.1 Personnel charged with asset management responsibilities shall act in accordance with existing business practices, which are designed to mitigate the risk of fraud and corruption during the asset management cycle. Existing business practices include:
- Purchasing all assets through a purchase order (PO) to ensure they are captured in the asset management module;
 - Maintaining segregation of duties with respect to authorization, recording, custody, and disposal of assets; and
 - Conducting bi-annual physical verifications.

For further information on asset management controls and procedures, please consult the Asset Management Policy and Vehicle Management Policy.

5.1.8 **Financial management controls**

- 5.1.8.1 Personnel charged with finance roles are required to perform different activities depending on their respective delegations of authority, which are designed to ensure segregation between budget owner, procurement, vendor approvers, and payment approvers. All finance personnel are assigned user profiles in Atlas ARGUS which also ensure segregation of duties.
- 5.1.8.2 Procurement, vendor approvals and payment approvals are all subjected to two levels of approvals: Level 1 (verification) and Level 2 (approvals).
- 5.1.8.3 The centralized Level 1 (verification) and Level 2 (approval) process within Finance HQ for all general ledger journal entries ensures that all requests are reviewed in terms of accuracy, correctness and validity with focus on the reason for the GLJE request. The verifier and/or approver must reject the GLJE request if none of the above tests are met.
- 5.1.8.4 Finance HQ performs monthly general ledger account reconciliations to highlight any exceptional transactions. All general ledger account reconciliations are reviewed and approved by Team Leads and the Chief of Accounts.
- 5.1.8.5 Detailed Month-end / Year-end closure instructions are sent to all offices, requiring adherence to timelines and certification of completed tasks by the Head of Office.

For further information on finance management controls and procedures, please consult the Petty Cash Policy, the Revenue Management Policy and the Finance Manual and Standard Operating Procedures (Extract for Field Office).

5.1.9 Human resource management controls

5.1.9.1 Hiring managers (for purposes of this Policy, a hiring manager shall be defined as an official whom the authority has been delegated to hire staff and non-staff personnel) shall conduct due diligence and exercise due care during any recruitment process for staff and non-staff personnel, regardless of rank or length. For the recruitment of staff, reference checks and review of performance appraisals are required. For non-staff personnel, hiring managers shall ensure that reference checks are carried out, including from past supervisors. The UN Women Personal History Form contains targeted questions whereby applicants must indicate if they have ever been imposed disciplinary measures, including dismissal or separation from service, on the grounds of misconduct.

5.2 Detecting Fraud

5.2.1 Effective fraud prevention measures as outlined in Section 5.1 also enable the successful detection of fraud. Specifically, the internal controls UN Women has established in the areas of procurement, asset management, financial management, programme management of implementing partners, and human resources management, as well as fraud awareness training containing various components aimed at enabling UN Women to detect anomalies, or identify areas of high concern. UN Women’s complaint mechanism, highlighted in Section 5.3 below, ensures that any persons who detect and identify such anomalies or concerns, may do so through a dedicated “anti-fraud hotline”.

5.2.2 UN Women’s Audit Unit, also provides UN Women with effective independent and objective internal oversight that is designed to improve the effectiveness and efficiency of UN Women’s operations in achieving its development goals and objectives through the provision of internal audit and related advisory services. UN Women’s internal audit function plays a key role in anti-fraud activities, including in management’s role of preventing, detecting and responding to fraud. Internal audit is responsible for evaluating the design and operating effectiveness of anti-fraud controls and considering the appropriateness of mitigation strategies in place to prevent and detect fraud. The internal audit processes are used by UN Women management to identify and take decisions on improvements needed in UN Women’s financial and risk practices.

5.3 Reporting Fraud

5.3.1 Any party with information regarding fraud or other corrupt practices is strongly encouraged to report the information to OIOS. OIOS has established a reporting mechanism also known as the “anti-fraud hotline” to ensure that persons wishing to report fraud, corruption or other wrongdoing may do so at any time, free of charge, and confidentially. The “anti-fraud hotline” can be directly accessed worldwide in different ways:

- a) **Online referral form**
(<http://www.unwomen.org/en/about-us/accountability/investigations>)
- b) **Phone:** + 1 212-963-1111 (24 hours a day)
- c) **Regular mail:**
Director, Investigations Division – Office of Internal Oversight Services
7th Floor 300 East 42nd (Corner Second Avenue)
New York, NY, 10017, U.S.A.

For further information on reporting procedures, please consult the UN Women Legal Policy and the UN Women Accountability website.

5.4 Confidentiality and Protection from Retaliation

5.4.1 Confidentiality

5.4.1.1 Confidentiality is required for effective investigation and other appropriate action in cases of alleged fraud. Confidentiality is in the interest of the Organization, investigation participants and the subject of the investigation (see OIOS Investigations Manual).

5.4.1.2 All investigations undertaken by OIOS are confidential and requests for confidentiality by investigation participants will be honored to the extent possible within the legitimate needs of the investigation.

5.4.2 Protection from Retaliation

5.4.2.1 The UN–Women Policy for Protection against Retaliation establishes a framework and procedure for the protection of staff members from retaliation. Staff members who believe that retaliatory action has been taken against them because they have reported allegations of wrongdoing, or have cooperated with a duly authorized audit or investigation, may forward all supporting information and documentation to the UN Ethics Office. This should be done promptly and in any event, no later than 60 calendar days after the alleged act or threat of retaliation has occurred. The complaint can be made in a variety of ways:

- **Phone:** +1 917-367-9858
- **Email:** ethicsoffice@un.org

5.4.2.2 If, in the opinion of the UN Ethics Office, there is a prima facie case of retaliation or threat of retaliation, the UN Ethics Office will refer the case to OIOS for investigation and will immediately notify the complainant in writing that a formal investigation has been initiated.

For further information on protection from retaliation, the UN Women Policy for Protection Against Retaliation, including Section 5.3-Reporting Retaliation to the UN Ethics Office. Full details are provided through the Ethics Office web-site on Protection against Retaliation.

5.5 Investigations

5.5.1 OIOS has discretionary authority to decide which matters to investigate. All reports received by OIOS will be assessed through an intake process. Where it is determined that the matter warrants an OIOS investigation it will be appropriately assigned.

5.5.2 The investigation is the process of planning and conducting appropriate lines of inquiry to obtain the evidence required to objectively determine the factual basis of allegations. This will include: (i) interviewing people with relevant information and recording their testimony; (ii) obtaining documents and other evidence; (iii) conducting financial and IT analysis; (iv) evaluating information and evidence; and (v) reporting and making recommendations. OIOS will conduct investigations in accordance with its Investigation Manual.

For further information on OIOS investigations procedures, please consult the OIOS Investigations Manual, the UN Women Legal Policy and the UN Women Accountability website.

5.6 Actions based on investigations

- 5.6.1 Upon completion of the internal reporting of an investigation process and upon receipt of information on the results of the investigation(s), UN Women will determine what further action shall be taken. For staff members, further action may include disciplinary, non-disciplinary, and/or administrative measures, in accordance with the Legal Policy. For other parties covered under this Policy, including non-staff personnel, implementing partners, and vendors, further action may be taken in accordance with the contractual arrangements between UN Women and the party, and may result in termination of the contract.
- 5.6.2 If there is evidence of improper use of funds as determined after an investigation, UN Women will use its best efforts, consistent with its regulations, rules, policies and procedures to recover any funds misused. This may include administrative action to recover funds from staff members, referral of the matter to the appropriate national authorities of the Member State in accordance with General Assembly resolution 62/63, or, in relation to implementing partners and vendors, acting in accordance with the terms of the relevant contract or agreement.

For further information on disciplinary, non-disciplinary, or administrative measures resulting from investigations, please consult Section 5.4-Disciplinary proceedings of the UN Women Legal Policy for staff members or the respective contractual agreement for non-staff personnel, implementing partners, and vendors.

5.7 Disclosing cases of fraud

- 5.7.1 Fraud and other cases of misconduct investigated by OIOS on behalf of UN Women will be reported to the Executive Board through its established reporting mechanisms, as follows:
- 5.7.1.1 Cases of fraud and presumptive fraud are publicly reported to UN Women's Executive Board by the United Nations Board of Auditors through the Report of the Board of Auditors (Section C. Disclosures by management, point 3. Cases of fraud and presumptive fraud). Note that the proposed definition of presumptive fraud is as follows: "Allegations that have been deemed to warrant an investigation and, if substantiated, would establish the existence of fraud resulting in loss of resources to the Organization".
 - 5.7.1.2 An annual report on internal investigation activities is also provided annually to the Executive Board. As requested by the Executive Board in its decision UNW/2015/4, this report includes complaints received broken down by category including fraud, disposition of cases, and any financial loss as well as information on the actions taken and UN Women management's response to substantiated allegations of misconduct including fraud.
 - 5.7.1.3 Pursuant to the UN–Women Legal Framework, "in the interests of transparency, the Executive Director shall inform the UN–Women Executive Board of disciplinary decisions taken in the course of the preceding year, and publish an annual report of cases of misconduct (without the individuals' names) that have resulted in the imposition of disciplinary measures."
- 5.7.2 Investigation activities and disciplinary decisions relating to allegations of sexual exploitation and abuse may require additional reporting as mandated by the Secretary General of the United Nations. The Director, Investigations Division, OIOS, may provide additional reports to the Executive Board, and may also provide in person briefings during the course of the year, as he or she deems appropriate, or in response to requests for such a briefing from the President of the Executive Board.
- 5.7.3 Information relating to allegations of fraud and other misconduct, subsequent investigations and post-investigation actions is to be treated confidentially and with utmost discretion in order to ensure *inter alia* the probity and confidentiality of any investigation, to maximise the prospect of recovery of funds, to ensure the safety and security of persons or assets, and to respect the due process rights of all involved. Any consideration of disclosure to third parties shall give consideration to these principles, in consultation with OIOS as appropriate.
- 5.7.4 Where OIOS informs UN Women of an investigation into allegations of fraud that are identifiable as allegations relating to any activities funded in whole or in part with specific financial contribution or to specific activities, UN Women may give consideration to the disclosure of information regarding the allegations to third parties, including to the funding source, with due regard to the principles in paragraph 5.7.3 above.
- 5.7.5 Any such disclosures further to paragraph 5.7.4 shall be made by the Director, IEAS, through the appropriate counter-part unit of the recipient of the information, which has appropriate mechanisms in place to ensure compliance with the principles in paragraph 5.7.3 above.
- 5.7.6 The report of the outcome of an investigation of any allegations of fraud and other misconduct is a confidential document which forms part of the United Nations archives; neither the report of the investigation, nor any summary of the report, will be disclosed unless it is in the context of a request for judicial cooperation and referral to national authorities. Any such requests for judicial cooperation shall be directed through the UN Women Legal Adviser at Headquarters, in consultation with the Office of Legal Affairs of the Secretariat, which has sole authority on behalf of the Secretary-General for determining such matters.

6 Other Provisions

- 6.1 Not applicable.

7 Entry into Force and Other Transitional Measures

7.1 The present Policy enters into force on 20 June 2018.

8 Relevant documents

8.1 See Annex I.

9 Annex I: Reference Matrix for Dealing with Fraud

Area	Regulatory Instrument	Process/Controls	Focal Point
Financial Management	Financial Regulations and Rules of the United Nations (as at 1 May 2018 ST/GB/2003/7 and, ST/SGB/2003/7/Amend.1) UN Women Financial Regulations and Rules (as at 1 May 2018 UNW/2012/6) UN Women, Petty Cash Policy UN Women, Revenue Management Policy UN Women, Cash Advances and other Cash Transfers to Partners Policy	Segregation of duties Transaction approval system Reconciliation of accounts	Chief of Accounts, Division of Management and Administration (DMA)
Programme Management	UN Women, Programme Formulation Policy; Programme Cycle Procedure; Programme Appraisal and Approval Policy; Procedure for Programme Appraisal and Approval; Programme Implementation and Management Policy; Programme Implementation and Management Procedure; Programme Monitoring, Reporting, and Oversight Policy UN Women Capacity Assessments of NGOs Procedure	Programme formulation Capacity assessment	Director, Programme Division
Procurement	UN Women, Contract and Procurement Management Policy; Vendor Protest Procedures	Competitive bidding	Chief of Procurement, DMA
Asset Management	UN Women, Asset Management Policy UN Women, Vehicle Management Policy	Physical verification	Administrative and Facilities Specialist, DMA
Partnerships	UN Women, Audit Approach Policy UN Women, Audit Approach Procedure UN Women approved agreement templates	Project agreement Project audit	Director, IEAS
Staff Conduct	UN Charter Staff Rules and Staff Regulation of the United Nations (as at 1 May 2018 ST/SGB/2018/1) ICSC Standards of Conduct for the International Civil Service (2013)	Staff regulations and rules	Director, DMA Director, Human Resources
Protection	UN Women Policy for Protection Against Retaliation	Protection	Director, Human Resources
Reporting and investigating misconduct, and disciplinary process	Article X and Chapter X of the Staff Rules and Staff Regulation of the United Nations (as at 1 May 2018 ST/SGB/2018/1) UN Women Policy for Addressing Non-Compliance with UN Standards of Conduct OIOS Investigations Manual	Investigation Internal justice system	Director, DMA Director, Human Resources Director, IEAS
Recovery	UN Women Financial Regulations and Rules (as at 1 May 2018 UNW/2012/6)) UN Women Policy for Addressing Non-Compliance with UN Standards of Conduct ST/AI/2004/3 (gross negligence) A/RES/62/63 (Referral to national authorities)	General reconciliations Disciplinary measures	Director, DMA Director, Human Resources