**Call for Proposal (CFP) Template for Responsible Parties**

**(For Civil Society Organizations- CSOs)**

**Section 1**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

1. **CFP letter for Responsible Parties**

UNWOMEN plans to engage a Responsible Party as defined in accordance with these documents. UN-WOMEN now invites sealed proposals from qualified proponents for providing the requirements as defined in the UN-WOMEN Terms of Reference.

Proposals must be received by UNWOMEN at the address specified not later than **15:00 hrs 25 March 2022**.

**The budget range for this proposal should be** USD 150,000 - USD 200,000

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| **This UN-Women Call for Proposals consists of Two sections:** | **Annexes to be completed by proponents and returned with their proposal (mandatory)** |
| **Section 1**   1. CFP letter for Responsible Parties 2. Proposal data sheet for Responsible Parties 3. UN Women Terms of Reference   **Annex B-1** Mandatory requirements/pre-qualification criteria | **Annex B-1** Mandatory requirements/pre-qualification criteria |
| **Annex B-2** Template for proposal submission  **Annex B-3** Format of resume for proposed staff  **Annex B-4** Capacity Assessment minimum Documents |
| **Section 2** |  |
| * Instructions to proponents |  |
| **Annex B-2** Template for proposal submission |  |
| **Annex B-3** Format of resume for proposed staff  **Annex B-4** Capacity Assessment minimum Documents |  |

Interested proponents may obtain further information by contacting this email address: **jona.ang@unwomen.org**

1. **Proposal data sheet for Responsible Parties**

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| **Program/Project:** | **Requests for clarifications due:** | |
| Enhancing Women’s Access to Justice for  Women in Asia and the Pacific | **Date:** 23 March 2022 **Time:** 15:00 hrs  (via email) | |
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| **Program official’s name:** | **UNWOMEN clarifications to proponents due: [if applicable]** | |
| Jona Marie Ang – | **Date:** 24 March 2022 **Time:** 15:00 hrs | |
| Programme Analyst, Access to Justice |
| **Email:**  jona.ang@unwomen.org | **Proposal due:** | |
| +63 (2) 89022558 | **Date:** 25 March 2022 | **Time:** 15:00 hrs |
|  |  | |
| **Issue date:** | **Planned award date:** |  |
|  | May 2022 |  |
|  | **Planned contract start-date / delivery date (on or before):** | |
|  | May 2022 – 30 April 2023 | |

**c. UN Women Terms of Reference**

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| **1. Introduction**  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 center of all its efforts, UN Women leads and coordinates 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, building effective partnerships with civil society and other relevant actors.  Since June 2018, the UN Women, International Commission of Jurists (ICJ), and Office of the United Nations High Commissioner for Human Rights (OHCHR) have jointly implemented a five-year project “***Enhancing Access to Justice for Women in Asia and the Pacific: Bridging the gap between formal and informal systems through women’s empowerment.”*** The project is being implemented at the regional level and in six countries: Indonesia, Philippines, Nepal, Sri Lanka, Timor-Leste and Fiji. The project aims to enhance access to justice for women in formal and informal systems by ensuring that legislation and court decisions are consistent with international standards and human rights mechanisms, including CEDAW; combat gender discriminatory attitudes in the justice system; and empower grassroots women’s organizations to better document, monitor and liaise with justice providers in their communities. These interventions aim to build on previous access to justice programs by focusing on concrete initiatives that create gender-responsive legislative environments and support women and women’s organizations to actively advocate and engage with formal and informal justice providers.  For the Philippines, it has the seventh highest rate of incarcerated women in the world with 12,658 women in prison as of 2017, roughly 9% of the prison population. Of this total, more than half of imprisoned women are incarcerated for crimes related to drugs. Women in conflict with the law in the context of drug crimes face a range of barriers to effective access to justice. Gender stereotypes and stigma towards them can inhibit their access to health care, social services, and justice providers, limiting their ability to receive services or be treated equitably by law enforcement officers.  Many women lack the legal literacy to engage proactively with formal and informal justice actors – from first encounters with law enforcement, to navigation through the court system, plea bargaining, sentencing, rehabilitation, and alternative mechanisms. In addition, law enforcement, legal, judicial, corrections, and community-based professionals and practitioners coming into contact with these women often lack awareness of the gender considerations necessary to deliver them effective access to formal and informal justice, and outcomes that will promote their rehabilitation, prevent recidivism, and direct them away from custodial environments.  In order to better respond to the access to justice needs of women in conflict with the law, and to support formal and informal justice providers to deliver holistic access to justice responses, UN Women will work to increase the awareness of women’s access to justice rights among women and communities as a way to empower women to navigate the formal and informal justice systems. Additionally, through the programme, grassroots women’s organizations and community-based organizations will be supported so that women are better positioned to document, monitor, liaise, and facilitate interactions with actors in the formal and informal/community-based justice system. |
| 1. **Description of required services/results**   ***Grassroots women’s organizations and community-based women’s organizations are empowered and well-positioned to document, monitor, liaise and facilitate interactions with formal and informal justice providers, and their resilience is enhanced to build a just and sustainable future.***    **ACTIVITIES:**   |  | | --- | | ***To achieve the above Output, the interested organizations are expected to propose methodologies to deliver the below key activities:***  **Activity 1: Increase awareness of women’s rights among women and communities**  This activity will focus on supporting women to navigate the formal and informal justice systems available to them in the context of women in conflict with the law (WICL). The project is underpinned by empowerment objectives which mean that approaches will not be prescribed for the women and there will be no control over how they opt to use the information received. Instead, tools and activities to support women’s legal literacy will be developed, in consultation with the communities concerned. These may include awareness-raising tools to enhance understanding of women’s formal and informal justice options after being charged with a drug crime, from interactions with law enforcement and preliminary hearings to other stages in the criminal justice chain, such as detention and post-custodial rehabilitation options.   * **Provide high-quality legal literacy and gender justice services to women in conflict with the law, including in the context of drug crimes.** The legal literacy services should bridge formal and informal justice sectors and incorporate psychosocial support for women. Services must include facilitating women’s economic empowerment, digital literacy, and roles in conflict mediation or resolution in their communities. * **Deliver at least three (3) meetings per year** in areas where women access justice through community-based justice actors, including engaging with Local Government Units and social workers for rehabilitation in the context of drug crimes. These meetings shall be arranged as safe spaces for discussion to enable the women to advocate for cases or situations to follow up with formal and informal justice adjudicators; discuss these issues; and discuss outcomes of these cases and the extent to which these protect women’s human rights.   **Activity 2: Increase female participation and representation in advocating for women’s access to justice before formal and informal justice systems**   1. **Support exchanges between formal and informal justice and service providers in the context of women and drug crimes.** This may include initiatives such as the documentation and monitoring of cases and decisions related to women and drug crimes; engagement of women rights defenders in advocacy to strengthen gender-responsive justice outcomes; conduct of dialogues, trainings and/or the production of guidance materials to formal or informal justice actors and/or social service providers on gender-responsive and humane approaches for dealing with women in conflict with the law. | |
| 1. **Timeframe: Start date and end date for completion of required services/results**   The total duration of the engagement is for 12 months.  **Location:** UN Women Philippines invites proposals for activities in the Philippines, with a focus on urban or rural centers in Luzon, Visayas, and Mindanao. |
| 1. **Competencies**   Organization Profile   1. Must be a non-government organization (NGO) legally registered in the Philippines 2. Minimum 5 years of experience in gender, access to justice, and/or community development 3. Demonstrated experience in developing tools and implementing programmes and capacity building on women’s access to justice and/or community development 4. Proven organizational experience in working with Civil Society Organisations (CSOs), Local Government Units (LGUs), and judicial and legal actors in the Philippines   Team members will be assessed on the following:  *4.1 Team Leader - the overall team leader should have:*   1. Master’s degree (or equivalent) in International/Development Studies, Social Sciences, Politics, Law, Human Rights, Gender, Women Studies, Economics, Monitoring and Evaluation, or related field (A first-level university degree in combination with two additional years of qualifying experience may be accepted in lieu of the advanced university degree) 2. Minimum of 5 years relevant experience in gender, access to justice, and/or community development 3. Substantive experience in undertaking similar projects with a strong gender focus is preferred 4. Proven experience in producing clear, coherent workplans, analytic reports, and knowledge products   *4.2 Team members, facilitators and other members will be assessed on the following:*   1. Bachelor’s degree in International/Development Studies, Social Sciences, Politics, Law, Human Rights, Gender, Women Studies, Economics, Monitoring and Evaluation, or related field is preferred. High school graduation is required as a minimum for team members. 2. Experience in working with CSOs 3. Professional experience in the area of women’s access to justice is preferred   Fluency in English, Filipino, and regional languages (as relevant) |

**Annex B-1**

**Mandatory requirements/pre-qualification criteria**

**[To be completed by proponents and returned with their proposal]**

**Call for Proposal**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

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 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** |
| Confirm that the services being requested are 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 is currently or has been provided by the proponent. | Reference #1:  Reference #2: |
| Confirm proponent is duly registered or has the legal basis/mandate as an organization | Yes/No |
| Confirm proponent as an organization has been in operation for at least five (5) years[[1]](#footnote-2) | Yes/No |
| Confirm proponent has a permanent office within the location area. | Yes/No |
| Proponent must agree to 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 |
| 1.6 Confirm that proponent has not been the subject of a finding of fraud or any other relevant misconduct following an investigation conducted by UN Women or another United Nations entity. The Proponent must indicate if it is currently under investigation for fraud or any other relevant misconduct by UN Women or another United Nations entity and provide details of any such investigation | Yes/No |
| 1.7 Confirm that proponent has not been the subject of any investigations and/or has not been charged for any misconduct related to sexual exploitation and abuse (SEA)[[2]](#footnote-3). | Yes/No |
| 1.8 Confirm that proponent has not 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 the EU consolidated Sanction list | Yes/No |

**Section 2**

**Call for Proposal**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

1. **Instructions to proponents (Responsible Parties)**

* **Introduction**

UN-WOMEN invite qualified parties to submit Technical and Financial Proposals to provide services associated with the UN-WOMEN requirement for Responsible Party.

UN-Women is soliciting proposals from Civil Society Organizations (CSOs). **Women’s organizations or entities are highly encouraged to apply.**

A description of the services required is described in CfP Section 1- C “Terms of Reference”.

UNWOMEN may, at its discretion, cancel the services in part or in whole.

Proponents may withdraw the proposal after submission, provided that written notice of withdrawal is received by UN WOMEN prior to the deadline prescribed for submission of proposals. No proposal may be modified subsequent to the deadline for submission of proposal. No proposal may be withdrawn in the interval between the deadline for submission of proposals and the expiration of the period of proposal validity.

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, UNWOMEN 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.

Effective with the release of this CFP, all communications must be directed only to UNWOMEN, by email at jona.ang@unwomen.org. Proponents must not communicate with any other personnel of UNWOMEN regarding this CFP.

* **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 proponents, 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.

* **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. To be considered, proponents must meet all the mandatory criteria described in **Annex B-1**. 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.

* **Mandatory/pre-qualification criteria**

4.1 The mandatory requirements/pre-qualification criteria have been designed to assure that, to the degree possible in the initial phase of the CFP selection process, only those proponents with sufficient experience, the financial strength and stability, the demonstrable technical knowledge, the evident capacity to satisfy UNWOMEN requirements and superior customer references for supplying the services envisioned in this CFP will qualify for further consideration. UNWOMEN 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 affect your evaluation.

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.

* **Clarification of CFP documents**

5.1. A prospective proponent requiring any clarification of the CFP documents may notify UNWOMEN in writing at UNWOMEN email address indicated in the CFP by the specified date and time. UNWOMEN will respond in writing to any request for clarification of the CFP documents that it receives by the due date outlined on section 2. Written copies of UNWOMEN response (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.

5.2. 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.

* **Amendments to CFP documents**

6.1. At any time prior to the deadline for submission of proposals, UNWOMEN 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, UNWOMEN may, at its discretion, extend the deadline for the submission of proposal.

* **Language of proposal**
  1. The proposal prepared by the proponent and all correspondence and documents relating to the proposal exchanged between the proponent and UNWOMEN, shall be written in English.
  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 translation shall prevail. The sole responsibility for translation and the accuracy thereof shall rest with the proponent.
* **Submission of proposal**

8.1 Technical and financial proposals should be submitted as part of the template for proposal submission (Annex B2-3) 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, UNWOMEN 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: jona.ang@unwomen.org and cc [cfp.roap@unwomen.org](mailto:cfp.roap@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 UNWOMEN receives their proposal by the due date and time. Proposals received by UNWOMEN after the due date and time may 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 UNWOMEN inbox. UNWOMEN 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 UNWOMEN in the dedicated inbox on or before the prescribed CFP deadline.

8.4 **Late proposals:** Any proposals received by UNWOMEN after the deadline for submission of proposals prescribed in this document, may be rejected.

**9. Clarification of proposals**

9.1 To assist in the examination, evaluation and comparison of proposals, UNWOMEN 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. UNWOMEN will review minor informalities, errors, clerical mistakes, apparent errors in price and missing documents in accordance with the UNWOMEN Policy and Procedures.

1. **Proposal currencies**

10.1 All prices shall be quoted in Philippine pesos (PhP).

10.2 UNWOMEN reserves the right to reject any proposals submitted in another currency than the mandatory currency for the proposal stated above. UNWOMEN may accept proposals submitted in another currency than stated above if the proponent confirms during clarification of proposals, see item (8) above in writing, that it will accept a contract issued in the mandatory proposal currency and that for 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 of proposals received, the contract will always be issued and subsequent payments will be made in the mandatory currency for the proposal above.

1. **Evaluation of technical and financial proposal** 
   1. **PHASE I – TECHNICAL PROPOSAL** (**70 points**)
      1. 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 UNWOMEN 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.

|  |  |  |
| --- | --- | --- |
| 1 | Proposal is compliant with the Call for Proposal (CfP) requirements | 15 points |
| 2 | The Organization’s mandate is relevant to the work to be undertaken in the TORs (**component 1)** | 20 points |
| 3 | The Proposal demonstrates a sound understanding of the requirements of the TOR and indicates that the organization has the prerequisite capacity to undertake the work successfully (**components 2, 3 and 4)** | 35 points |
|  | TOTAL | 70 points |

**11.2 PHASE II - FINANCIAL PROPOSAL** (**30 points**)

Financial proposals will be evaluated 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

1. **Preparation of proposal**
   1. You are expected to examine all terms and instructions included in the CFP documents.

Failure to provide all requested information will be at proponent’s own risk and may result in rejection of proponent’s

proposal.

* 1. 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 proponent understands and confirms acceptance of UNWOMEN 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.
  2. 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 the same will be viewed as non-responsive.
  3. 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 UNWOMEN established requirements. Acceptance of such changes is at the sole discretion of UNWOMEN.
  4. Proposals must offer services for the total requirement, unless otherwise permitted in the CFP document. Proposals offering only part of the services may be rejected unless permitted otherwise in the CFP document.
  5. Proponent’s proposal shall 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 |
| Part of proposal | **Annex B-2** Template for proposal submission |
| Part of proposal | **Annex B-3** Format of resume for proposed staff |
| 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.

1. **Format and signing of proposal**

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.

1. **Award**

14.1 Award will be made to the responsible and responsive proponent with the highest evaluated proposal following negotiation of an acceptable contract. UNWOMEN 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 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 UNWOMEN 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 [number of months/year(s)] with the option to renew under the same terms and conditions for an additional period or periods as indicated by UNWOMEN.

**Annex B-2**

**Template for proposal submission**

**Call for Proposal**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

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| **Mandatory requirements/pre-qualification criteria** |

Proponents are requested to complete this form (**Annex B-2)** and return it as part of their submission. Proponents must meet all mandatory requirements/pre-qualification criteria as set out in **Annex B-1**. Proponents will receive a pass/fail rating on this section. To be considered, proponents must meet all the mandatory criteria described in Annex B-1. 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.

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| **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 proposing organization has the capacity and commitment to implement successfully the proposed activities and produce results. Key elements to be covered in this section include:

* Nature of the proposing organization – Is it a community-based organization, national or sub-national NGO, research or training institution, etc.?
* Overall mission, purpose, and core programmes/services of the organization
* Target population groups (women, indigenous peoples, youth, etc.)
* Organizational approach (philosophy) - how does the organization deliver its projects, e.g., gender-sensitive, rights-based, etc.
* Length of existence and relevant experience
* Overview of organizational capacity relevant to the proposed engagement with UN  Women (e.g., technical, governance and management, and financial and administrative  management)

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| **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 TOR. This should include:

1. The **problem statement** or challenges to be addressed given the context described in the TOR.
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 proposing organization and UNWOMEN.

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| **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.

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| **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 in the Implementation Plan all required milestone reports and monitoring reviews.

**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  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:

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

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| **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). Describe how such risks are to be mitigated.

Include in this section also the key **assumptions** on which the activity plan is based on. In this case, the assumptions are mostly related to external factors (for example, government environmental policy remaining stable) which are anticipated in planning, and on which the feasibility of the activities depend

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| **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. The following important principles should be kept in mind in preparing a project budget:

1. 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.
2. The budget should be realistic. Find out what planned activities will actually cost, and do not assume that would cost less.
3. The budget should include all costs associated with managing and administering the activity or results, particularly include the cost of monitoring and evaluation.
4. The budget could include “Support Costs”: those indirect costs that are incurred to operate the Partner 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.
5. “Support Cost Rate” means the flat rate at which the Partner 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.
6. 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.
7. The figures contained in the Budget Sheet should agree with those on the proposal header and text.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Result 1 (e.g. Output)** Repeat this table for each result. | | | | |
| **Expenditure Category** | **Year 1, [Local currency]** | **Total, [local currency]** | **US$** | **% Total** |
| 1. Personnel |  |  |  |  |
| 2. Equipment / Materials |  |  |  |  |
| 3. Training / Seminars / Travel Workshops |  |  |  |  |
| 4. Contracts |  |  |  |  |
| 5. Other costs [[3]](#footnote-4) |  |  |  |  |
| 6. Incidentals |  |  |  |  |
| 7. Other support requested |  |  |  |  |
| 8. Support Cost (not to exceed 8% or the relevant donor %) |  |  |  |  |
| **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 Technical 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 Partner Agreement template (Document attached).

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Seal)

(Signature)

(Printed Name and Title)

(Date)

**Annex B-3**

**Format of resume for proposed staff**

**Call for Proposal**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

Name of Staff: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**\_\_\_\_\_\_\_**

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Years with NGO: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Nationality: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Education/Qualifications**: (Summarize college/university and other specialized education of staff 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. List all positions held by staff member since graduation, giving 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 potential Responsible Parties and submission assessed by the reviewer)**

**Call for Proposal**

**Provision of legal literacy and gender justice services in Philippine communities**

**CFP No. UNW-AP-PHL-CFP-2022-002**

**Governance, Management and Technical**

|  |  |
| --- | --- |
| **Document** | **Mandatory / Optional** |
| Legal registration | Mandatory |
| Rules of Governance / Statues of the organization | Mandatory |
| Organigram of the organization | Mandatory |
| List of Key management | Mandatory |
| CVs of Key Staff proposed for the engagement with UN Women | Mandatory |
| Anti-Fraud Policy Framework which is consistent with UN women’s one or adoption of UN Women anti-fraud policy | Mandatory |
| Sexual Exploitation and Abuse (SEA) policy consistent with the UN SEA bulletin [ST/SGB/2003/13](https://undocs.org/ST/SGB/2003/13)  Where RP has adopted UN Women SEA Protocol, RP has to ensure to have developed a SEA policy; | Mandatory |

**Administration and Finance**

|  |  |
| --- | --- |
| **Document** | **Mandatory / Optional** |
| Administrative and Financial Rules of the organization | Mandatory |
| Internal Control Framework | Mandatory |
| Audited Statements of last 3 years | Mandatory |
| List of Banks | Mandatory |
| Name of External Auditors |  |

**Procurement**

|  |  |
| --- | --- |
| **Document** | **Mandatory / Optional** |
| Procurement Policy/Manual | Mandatory |
| Templates of the solicitation documents for procurement of goods/services, e.g. Request for Quotation (RFQ), Request for Proposal (RFP) etc. | Mandatory |
| List of main suppliers / vendors and copy of their contract(s) including evidence of their selection processes |  |

**Client Relationship**

|  |  |
| --- | --- |
| **Document** | **Mandatory / Optional** |
| List of main clients / donors | Mandatory |
| Two references | Mandatory |
| Past reports to clients / donors for last 3 years |  |

**Annex B-5**

**UN Women template Partner Agreement**

*Due to the file size of the Partner Agreement Template, UN Women will provide the template upon request, interested bidders can request for the template through the responsible CFPs Focal Point.*

**Annex B-6**

**UN Women Anti-Fraud Policy**

|  |  |
| --- | --- |
| un women anti-fraud policy | |
| **Effective Date** | 20 June 2018 |
| **Review Date** | 20 June 2022 |
| **Approved by** | Moez Doraid, Director, DMA |
| **Content Owner/s** | Lene Jespersen, Deputy Director, DMA |

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1. **Purpose** 
   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.
   2. In respect of fraud risks, UN Women maps its three lines of defense as follows:
2. 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.
3. 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.
4. 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. 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.
   2. 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.
5. **Application**
   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. This Policy can apply to:
6. **Personnel**: staff members of UN Women and persons engaged by UN Women under other contractual arrangements to perform services for UN Women.
7. **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.
8. **Vendors**: An offeror or a prospective, registered or actual supplier, contractor or provider of goods, services and/or works to the UN System.
9. **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).

1. **Roles and Responsibilities**
   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.
   2. Director, Division of the Internal Evaluation and Audit Services (IEAS)
      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.
      2. In carrying out this role, the Director, IEAS will among other things:
2. Serve as the repository of knowledge on fraud risks and controls; and
3. Manage the fraud risk assessment process and co-ordinate anti-fraud activities across the Organization.
   1. Personnel
      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.”
      2. Staffmembers
         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.
         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.*

* + 1. Non**-**staff personnel
       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.*

* + 1. Managers
       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.
       2. Managers have a responsibility to:

1. 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;
2. 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;
3. 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
4. To report any allegations of wrongdoing to OIOS as soon as they become aware of such allegations; and
5. 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.*

* 1. **Implementing partners and Responsible parties**
     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.
     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.
     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.*

* 1. **Vendors**
     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.
     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.*

* 1. **Office of Internal Oversight Services of the United Nations (OIOS)**
     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.
     2. OIOS has established a dedicated reporting mechanism. For more information on reporting procedures, please refer to Section 5.3 of this document.
  2. **UN Ethics Office**
     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](https://unwomen.sharepoint.com/management/Legal%20Support/SiteAssets/Pages/Addressing-Possible-Wrongdoing%2C-Fraud%2C-Retaliation-or-Harrassment/UN-Women%20Policy%20on%20Protection%20Against%20Retaliation.pdf#search%3Dun%20women%20policy%20for%20protection%20against%20retaliation) Protection against Retaliation. For more information on protection from retaliation, please refer to Section 5.4.2 of this document.

1. **Policy**
   1. **Preventing** **Fraud**
      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.
      2. **Fraud awareness and** **training**
         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.
      3. **Internal control** **systems**
         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).
      4. **Fraud risk identification and management (as a part of Enterprise Risk Management [ERM])**
         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.
         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. **Programme management** **controls**
         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.
         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.
         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.
         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.*

* + 1. **Procurement management** **controls**
       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.
       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](https://unwomen.sharepoint.com/management/POM/POM%20Chapters/ContractandProcurementChapter.pdf) 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.*

* + 1. **Asset management** **controls**
       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.*

* + 1. **Financial management** **controls**
       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.
       2. Procurement, vendor approvals and payment approvals are all subjected to two levels of approvals: Level 1 (verification) and Level 2 (approvals).
       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.
       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. 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).*

* + 1. **Human resource management** **controls**
       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.
  1. **Detecting** **Fraud**
     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”.
     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.
  2. **Reporting Fraud**
     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:

1. **[Online referral form](https://unvoiosctxwi.unvienna.org/OIOSIDWDR_3/(X(1)S(vli3gkwgzvi5gvhwxw52sqe1))/default.aspx?AspxAutoDetectCookieSupport=1)**

(<http://www.unwomen.org/en/about-us/accountability/investigations>)

1. **Phone**: + 1 212-963-1111 (24 hours a day)
2. **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.*

* 1. **Confidentiality and Protection from** **Retaliation**
     1. **Confidentiality**
        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).
        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.
     2. **Protection from** **Retaliation**
        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](mailto:ethicsoffice@un.org)

* + - 1. 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.*

* 1. **Investigations**
     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.
     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.*

* 1. **Actions based on** **investigations**
     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.
     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.*

* 1. **Disclosing cases of** **fraud**
     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:
        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".
        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.
        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.”
     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.
     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.
     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. 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.
     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.

1. **Other Provisions**
   1. Not applicable.
2. **Entry into Force and Other Transitional Measures**
   1. The present Policy enters into force on 20 June 2018.
3. **Relevant documents**
   1. See Annex I.
4. **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 |

1. In exceptional circumstances three (3) years of history registration may be accepted and it must be fully justified. [↑](#footnote-ref-2)
2. [Secretary General’s Bulletin, 9 October 2003 on “Special measures for protection from sexual exploitation and sexual abuse](http://www.un.org/Docs/journal/asp/ws.asp?m=ST/SGB/2003/13)” (ST/SGB/2003/13), and United Nations Protocol on allegations of Sexual Exploitation and Abuse involving Partners [↑](#footnote-ref-3)
3. “Other costs” refers to any other costs that is not listed in the Results-Based Budget. Please specify in the footnote what they are:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ [↑](#footnote-ref-4)