# UNFPA Fast Track Policies and Procedures

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Acronyms

Atlas IA  Atlas Implementing Agency
Atlas PO  Atlas Purchase Order
APRO  Asia and the Pacific Regional Office
CERF  Central Emergency Response Fund
CO  Country Office
CPAP  Country Programme Action Plan
CPD  Country Programme Document
CPO  Chief Procurement Official
CRB  Compliance Review Board
DED(M)  Deputy Executive Director (External Relations, United Nations Affairs and Management)
DED (P)  Deputy Executive Director Programme
DHR  Division of Human Resources
DMS  Division of Management Services
ECRC  Emergency Contract Review Committee
ECS  Emergency Communication System
EPP  Emergency Procurement Procedures
FACE  Funding Authorization and Certificate of Expenditure
FB  Finance Branch
FRR  Financial Regulations and Rules
FTA  Fixed-Term Appointments
FTPs  Fast Track Procedures
GPS  Global Programming System
HFCB  Humanitarian and Fragile Contexts Branch
HR  Human Resources
IC  Individual Consultant
IP  Implementing Partner
IASC  Inter-Agency Standing Committee
IPIMS  Implementing Partner Information Management System
ISCR  Internal Surge Capacity Roster
ITB  Invitation to Bid
LTA  Long Term Agreement
MORSS  Minimum Operating Residential Security Standards
MOSS  Minimum Operating Security Standards
NGOs  Non-Governmental Organizations
NO  National Officer
OAIS  Office of Audit and Investigation Services
OECD/DAC  Organization for Economic Co-operation and Development's / Development Assistance Committee
OIC  Officer in Charge
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
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<tr>
<td>PD</td>
<td>Programme Division</td>
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<tr>
<td>PCA</td>
<td>Project Cash Advance</td>
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<td>PPM</td>
<td>Policies and Procedures Manual</td>
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<td>PSB</td>
<td>Procurement Service Branch</td>
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<td>RAS</td>
<td>Resources Allocation System</td>
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<td>RFP</td>
<td>Request for Proposal</td>
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<td>RFQ</td>
<td>Request for Quotation</td>
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<td>RMB</td>
<td>Resources Mobilization Branch</td>
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<td>SOPs</td>
<td>Standards Operating Procedures</td>
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<td>SIS</td>
<td>Strategic Information System</td>
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<td>SP&amp;SB</td>
<td>Strategy Policy and Standards Branch</td>
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<td>TA</td>
<td>Temporary Appointment</td>
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<tr>
<td>UNCT</td>
<td>United Nations Country Team</td>
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<td>UNDAF</td>
<td>United Nations Development Assistance Framework</td>
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<td>UNDP/BES</td>
<td>United Nations Development Programme/Benefits and Entitlements Services</td>
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<td>UNDSS</td>
<td>United Nations Department of Safety and Security</td>
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<td>UNFPA</td>
<td>United Nations Population Fund</td>
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<td>UNGM</td>
<td>United Nations Global Market</td>
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<td>UNHRD</td>
<td>United Nations Humanitarian Response Depot Network</td>
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<td>UNRC</td>
<td>United Nations Resident Coordinator</td>
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<td>WFP</td>
<td>World Food Programme</td>
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SECTION 1: INTRODUCTION

1.1. What are the Fast Track Procedures?

The Fast Track Procedures (FTPs) are a set of procedures that offer UNFPA country offices in special situations greater delegation of authority and flexibility in specific programme and operational areas for a time-bound period. They represent a modification to the standard policies and procedures in the PPM and are designed to facilitate a rapid response to country demands. Except during a Level 3 crisis where the response capacity of the country office is severely compromised requiring global wide response, and where activation of FTPs is automatic, activation must be requested by country offices and approved by the DED Management. Initial approval of FTPs is for up to 6 months only and any extension must be requested. These procedures should be read in conjunction with Standard Operating Procedures (SOPs) for Humanitarian Settings as part of UNFPA Humanitarian Strategy "Second Generation" (2012), which provide additional context under which these procedures are used.

While these procedures are meant to help staff and facilitate work in an emergency setting, they do expose UNFPA to increased risk and it should only be used when absolutely needed which must be properly documented.

1.2. Who is eligible to apply the Fast Track Procedures?

UNFPA country offices that are operating in particularly challenging local contexts and need to make time-critical interventions are eligible and can request authorization to use the Fast Track Procedures. The eligibility criteria cover the following situations:

(i) **Humanitarian Crisis:** A humanitarian crisis has been declared by the national authorities and support offered by the Office of Coordination for Humanitarian Affairs or by the UNCT. The FTPs are applicable to all levels of UNFPA humanitarian response i.e. level 1, 2 and level 3 that is declared by the IASC through the Emergency Relief Commissioner.

(ii) **Fragile Contexts:** This will apply to country situations referred to within the UNFPA Framework for Engagement in Fragile Contexts to mean circumstances where “there is fundamental failure of the state to perform functions necessary to meet the basic needs and expectations of its citizens either due to incapacity or unwillingness p.5”. This incapability may be prevalent over the entire national territory or in only parts of it. In a security compromised setting, where staff, assets and/or operations are exposed to increased vulnerability, the Fast Track Procedures may need to be activated to mitigate actual or potential risks. For the purpose of operationalizing FTP’s in fragile context, UNFPA management will refer to the OECD/DAC annual list of Fragile Situations, and the INFORM Model for assessing risk for humanitarian crises and disasters.

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1 To be iterated further in the UNFPA’s Framework for Programming in Fragile Contexts.
In case a country office is applying for **CERF funding**, it is highly recommended that the office consider applying for the activation of FTPs, if this has not been previously sought, as the receipt of CERF funding does not automatically trigger FTPs. As the speed of implementation for CERF funding is closely monitored at a central level by the CERF Secretariat according to two indicators (date of first payment and date of first disbursement to IP), it is in the UNFPA’s overall interest to demonstrate efficiency and effectiveness in the disbursement of such funds and overall implementation rates. Experience has shown that the activation of FTPs can help improve overall speed of implementation.

Security related procurement is not part of the FTPs activation. All requests for security related procurement must be addressed to the office of security coordinator at osc.office@unfpa.org with copy to your regional security coordinator.

The FTPs may be activated for the entire UNFPA country programme or restricted to specific UNFPA supported workplans (and/or specific geographic areas). Moreover, the country office may request activation across all functional areas provided under the Fast Track Procedures (programme, finance, human resources and procurement) or restrict use to specific functional areas only.

### 1.3. What do the Fast Track Procedures cover?

The Fast Track Procedures focus on critical programme and operational areas that have the potential of enhancing the capacity of the country office to deliver support rapidly and with flexibility in special situations. They cover the following areas: Programme Management, Financial Management, Human Resources Management, and Procurement Procedures. The following table summarizes the main issues covered under each area under FTPs activation:

**Table 1: Summary FTPs Sections**

<table>
<thead>
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<th>Issues covered</th>
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| **Programme Management** | Authority to deviate from approved country programme priorities to respond to emerging priorities while maintaining an alignment with CP and SP results framework  
                        | Authority to use direct UNFPA implementation as the default implementing modality provided sufficient capacity is available  
                        | Simplification of the process for engaging with implementing partners  
                        | Flexibility in reporting requirements  
                        | Requirement to prepare a business case for decentralized offices is waived |
| **Financial Management** | Single signatory operation of bank accounts (banking services)  
                        | Flexibility in petty cash availability for business unit and decentralized office  
                        | Project cash advances  
                        | Minimum information on manual invoices prepared for vendor payment |
| **Human Resources**    | Delegation of Authority under FTP  
                        | Creation of posts under Fast Track Procedures |
### Fast Track Procedures

| No specific provisions are provided for travel arrangements for deployments under FTPs. Please refer to the Travel Policy for complete information in the PPM under Facilities and Administrative Services. All exceptions to the policy must be documented to the greatest extent possible at the time the Travel Request is submitted. |

#### 1.4. Who is responsible for what?

Any adjustments in the roles and responsibilities of concerned staff at all levels related to the modified procedure are reflected under each section of the Fast Track Procedures. The Fast Track Procedures, in providing increased flexibility in the application of standard policies and procedures, carry greater risks in terms of accountability. Hence, the UNFPA head of unit must take into account the capacities of the country office to manage the Fast Track Procedures responsibly and apply the usual standards of accountability across all actions. Should there be sufficient justification to warrant support for additional human resources, the country office can tap into the Internal Surge Capacity Roster (ISCR) through which internal staff may be deployed within 72 hours for up to three months.

Activation of the Fast Track Procedures, depending on the volume of requests, will also have a bearing on the capacity of regional offices and headquarters in particular; Programme Division (PD), Division of Human Resources (DHR) and Division of Management Services (DMS).

The UNFPA Fast Track Procedures are based on the UNDP Fast Track Procedures hence you will find that they are consistent in many aspects but not in all since our respective business models vary to some degree. There may be situations at the country level where both agencies have activated their own Fast

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2 The UNFPA head of unit refers to the representative, country director or the Chief of Operations (or the delegated officer), as appropriate.
Track Procedures (for instance in an acute emergency) or where only one agency has done so. In both cases, UNDP will provide the usual range of support services to UNFPA expeditiously in line with the cooperate understanding between the two agencies. The UNFPA head of unit, prior to seeking authorization to apply the Fast Track Procedure, should initiate discussions with the UNDP Resident Representative and/or UNDP country director to ensure full support will be provided once the activation has been formally approved by UNFPA headquarters.

1.5. The 3 Steps Process for Activation of FTPs (Annex IV)

*Step 1 Country Level Process:* The UNFPA head of unit submits a request, using a standard FTPs request form (Annex I), to the concerned regional director or OIC of the regional office. The request specifies the scope of the fast track application, namely whether it will be applied to: (i) the entire country programme or restricted to specific UNFPA supported projects or (ii) all functional areas or restricted to specific areas (Programme, Finance, Human Resources, Procurement), and (iii) dates/time period for activation. In cases where restricted application is applied, all other country operations will continue to comply with the standard UNFPA Policies and Procedures. At this stage country offices will receive support from the Regional Humanitarian Coordinators in filling out the form. Support will be also provided from HFCB geographical focal points as needed.

*Step 2 Regional Office review and endorsement:* The regional director or OIC of the regional office in consultation with regional humanitarian coordinator or focal point will review and endorse the request or request additional information from the concerned country office. The regional director must respond to the request within 24 hours. If endorsed by the regional director, the special assistant or the regional humanitarian coordinator must send the FTP activation request to ftps_activation.group@unfpa.org for approval. If not endorsed or additional information is needed, the Regional Director must provide feedback to the country office within 24 hours.

*Step 3 Headquarters review and approval:* Upon receipt of FTPs activation request, and within 24 hours, all business unit owners i.e. Division for Management Services (DMS), Procurement Services Branch (PSB), Division for Human Resources (DHR), Strategy Policy and Standards Branch (PD) must review and provide inputs and recommendations on the request to the Chief of HFCB before its endorsement by the Chief of HFCB and subsequent approval by DED Management or designate. Feedback to the country office whether the request has been approved or additional information is needed must be communicated by DED Management within 24 hours of receiving the request from the regional office.

If country office does not receive feedback within 48 hours from either the Regional Office or HQ and only in acute humanitarian situations, the FTPs will be automatically triggered but with subsequent follow up from HQ and RO for correct documentation and justification from the concerned country office.
Upon approval of the request for up to six months, the DED Management will formally notify all concerned headquarters business units heads, their focal points, regional and concerned country office. This notification will serve as the corporate alert to all concerned units in headquarters that the Fast Track Procedures have been activated and support is to be prioritized and provided in accordance with the turnaround time indicated in the procedures. DHR will deploy the surge mechanism to address any capacity requirements of the country office in consultation with the country office, regional office and programme division. The requesting country office will inform the UNDP Resident Representative and/or UNDP Country Director of the activation of the UNFPA FTPs so that the necessary support services are expedited.

<table>
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<tr>
<th>All FTP task team business owners’ representatives (DHR, DMS, PSB and PD), unit chiefs, division directors, HFCB Geographical focal points and regional humanitarian coordinators will be automatically copied in the <a href="mailto:ftps_activation.group@unfpa.org">ftps_activation.group@unfpa.org</a> group mail.</th>
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<td>DED (M), in consultation with DED (P), will retain the authority to de-activate the Fast Track Procedures, at any time.</td>
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1.6. **Final Reporting**

Country offices are required to submit to the HFCB, through the regional office, an FTP final report ([Annex III](#)) within 2 months after the end date of the approved FTPs or when submitting request for extension, to assess its usefulness and any gaps addressed. The reports will be compiled by HFCB focal point for FTPs in Programme Division annually and will enable UNFPA to identify key lessons in order to make the necessary improvements in the Fast Track Procedures. A tracking of FTPs activation, use and reporting can be accessed through the [FTP online repository](#) under HFCB microsite.

1.7. **Extension**

If an extension is required, the country office must submit an extension request using the same form ([Annex I](#)) along with the report of the ending FTP ([Annex III](#)) a week before the original request expires. Similar request must also be submitted in the case of a country office responding to a level 3 emergency. Further extensions, beyond one full year of activation, may be approved on an exceptional basis.

1.9. **Modification**

If the scope of an ongoing activated FTPs is limited to specific geographical, programmatic or functional areas, and if a modification is needed to expand its scope to other geographical, programmatic or functional areas, the requesting country office does not need to submit a new request, an email with justifications for modification is enough.
SECTION 2: PROGRAMME MANAGEMENT

2.1 Introduction
These procedures offer greater operational flexibility to country offices and the possibility of fast tracking specific procedures without compromising accountability in the following key areas: (i) programming of resources (ii) implementation modality (iii) engaging implementing partner (iv) reporting and (v) decentralized offices.

Programming in countries that demonstrate fragility, often characterized by weak national capacities and governance systems, and/or are experiencing natural or man-made disasters, require flexibility to allow for a rapid reallocation of resources, procurement of supplies and rapid organization/logistics and selection of partners to implement UNFPA’s work. Country programming processes, such as the UNDAF-AP/ISF CPD/CPAP/ and workplans may need to be less detailed but should still be carried out in a strategic and well-founded manner.

The accelerated response procedures outlined below provide an exception to the existing programme policies and procedures.

2.2. Programming of Resources
a. The UNFPA head of unit is authorized to deviate from the approved Country Programme Document by, i) postponing in consultation with the Government and the relevant implementing partners if any, activities outlined in the CPAP (or other relevant programme documentation) relating to specific outputs that are not urgent, ii) creating an output for humanitarian response if one does not already exist, iii) reallocating resources, as needed. This is only for the purpose of addressing the situation that calls for priority attention, and iv) Ensure alignment of the humanitarian outputs and interventions with the CPD/SP. UNFPA head of unit must ensure that reprioritization would not result in the default of any existing obligations and firm commitments to partners and vendors and shall ensure minimal disruption to the regular country programme. The regional office must be kept informed.

b. The UNFPA head of unit is authorized to postpone, in consultation with the government, activities outlined in the CPAP (or other relevant programme documentation) relating to specific outputs that are not urgent. This is only for the purpose of reallocating resources to address the situation that calls for priority attention. UNFPA head of unit must ensure that reprioritization would not result in the default of any existing obligations and firm commitments to partners and vendors and shall ensure minimal disruption to the regular country programme. The regional office must be kept informed.

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3 As a reminder, per existing UNFPA policies and procedures, the UNFPA Representative has the authority to divert approved country programme resources, as needed.
c. In such cases, a note to the file summarizing the discussion held between the UNFPA head of unit and the Government Coordinating Agency referring to the consultations with the relevant implementing partners in which agreement was reached and a list of activities that can be postponed in order to reallocate funds, must be signed by both parties and placed on record whenever feasible. In exceptional cases, where it is not possible to get government agreement and/or signature, an explanatory note must be prepared by the country office and placed on record.

d. As part of the contingency plan, funds should have been set aside under the country programme for unforeseen events. In cases where funds are insufficient, an increase in the country ceiling may be approved by the respective regional director, provided country programme regular resources are available within the region, and redeployments among various country programme ceilings comply with the Resources Allocation System (RAS) (colour quadrants). If the proposed ceiling reallocation deviates from the approved share of countries’ quadrant, the regional office must consult with the Programme Division prior to submitting the request to the Executive Director for consideration and approval. At the onset of an emergency, country office can also submit a request for Emergency Fund to HFCB.

2.3. Implementation Modality

The UNFPA head of unit has the authority to use direct UNFPA implementation as the default implementing modality provided sufficient capacity is available. This does not apply to activities where agreements are already in place and which are outside the scope of the crisis that triggered the Fast Track Procedures.

2.4. Engaging Implementing Partners

To expedite the process for engaging an implementing partner, the UNFPA head of unit is authorized to exercise greater flexibility in selecting and assessing an implementing partner. In this regard, the UNFPA head of unit is authorized to waive the assessment and formal selection process for choosing an implementing partner. Although greater flexibility is available, this increases the risk to the organization. Therefore, it is the responsibility of the country office, in particular the UNFPA Representative, to ensure the partner has adequate policies and procedures in place and sufficient capacity to deliver. Please note that funds implemented through partners while FTPs are activated, are still subject to audit and assurance.

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4 An assessment of the implementing partner should be conducted as soon as the situation allows and must be completed before adding new activities to an existing or creating a new workplan with the implementing partner once the fast track procedures are no longer in effect.

5 The most prudent planning for partnership fast tracking is through preparedness. As part of the country office contingency plan, the country office should identify, capacity assess and sign an IP agreement with entities with whom a partnership would be critical to UNFPA operations in context of an emergency. These agreements would then already be on file and the implementing partner could be called upon quickly to implement a workplan for UNFPA.
The organization faces increased risk, particularly when there is a large procurement component in the IP’s workplan. In cases where procurement is part of an activated FTPs situation, UNFPA must complete a “quick” assessment of the IP unless they already have previously conducted an assessment of the IP’s procurement capacity (Annex IX).

If the result of the quick assessment demonstrates sufficient procurement capacity, the IP is permitted to undertake procurement as long as the FTPs are active. Once the FTPs have expired, the IP is permitted to finalize on-going procurement orders but a full assessment must be completed before any new procurement activities are added to the workplan.

If the result of the quick assessment shows that the IP’s procurement capacity is weak, UNFPA cannot use the IP for procurement. Please note that IPs procuring on behalf of UNFPA shall use their own procurement procedures regardless of whether UNFPA’s FTPs have been activated or not.

The IP still needs to be registered in IPIMS if it is not already registered. For NGOs, during the registration, the submitting unit can simply check the box that says: “Documentation waived at decision of the head of unit”. Instead of the normally required documents for the registration of NGOs (by-laws, proof of legal status, annual report, etc.) a simple one page Note to the File shall be prepared upon registration signed by the UNFPA head of unit indicating that this NGO was registered under special circumstances and that formal documentation was waived at the time of registration.

Following registration, just like in a regular setting, an IP Agreement will be signed with the implementing partner (if one does not already exist) and a workplan will be developed in in the Global Programming System (GPS) as per the Policies and Procedures for Preparation and Management of Workplans (2014), and signed between UNFPA and the implementing partner.

FACE forms are completed as in regular programming environments for advances or reimbursements to the implementing partner. To expedite the process, UNFPA and the implementing partner can choose to use direct payments to ensure funds reach the intended recipient as quickly as possible. As per Guidance Note on the Reduction of the Frequency of Cash Advances to Implementing Partners (2011), the Regional Office can authorize disbursement of 6 monthly advances to implementing partners. Quarterly expenditure reports will still be needed.

The process for engaging an implementing partner (IP) under the fast track procedures is as follows:

1. Select IP
   *(No competitive process required)*

2. Register IP in IPIMS
   *(If not already registered)*
   *(Check ‘documentation waived box’ and do note to file)*

3. Sign an IP Agreement
   *(Once per programme cycle)*

4. Sign a WP between UNFPA and IP

Even when Fast Tracking Procedures are invoked, all partnership policies and procedures are still in effect. This is because partnerships are agreements between entities and therefore must comply
with certain legal standards. Any change to an IP Agreement must be cleared by Programme Division, which will consult with the Legal Unit in headquarters as necessary, before it is signed by the head of unit. Under Fast Track Procedures, agreement revisions that need to be cleared shall be sent in track change mode to Integrated Service Desk: Category: Programme: Programme Planning & Implementation: Agreements.

2.5. Monitoring and Reporting

The UNFPA head of unit has the authority to temporarily put on hold the annual reporting requirements if the concerned personnel are required to attend to other priorities related to the emergency. The UNFPA head of unit also has the authority to extend the deadline for the Annual Results Reporting of the SIS without further approval from headquarters or the regional office. The UNFPA head of unit must alert Programme Division through the Integrated Support Desk, using the category of Programme: Strategic Information Results & Annual Reporting: Strategic Information System in a timely manner of the decision to postpone Annual Results Plan submission.

The Policy and Procedures for Programme and Financial Monitoring and Reporting includes provisions for limited or no monitoring during special circumstances, including waiving quarterly progress reports.

2.6. Decentralized Offices

Under the Fast Track Procedures, the business case for decentralized offices can be waived in cases where it is necessary to set up a decentralized office in order to be present in operational hubs responding to the crisis. Such offices must be closed within one month of the deactivation of the FTPs. Where the office is needed beyond the FTP timeline, a post-facto business case, which includes clear justification of the establishment of the office and the new circumstances leading to the decentralized office remaining open, must be submitted in line with the UNFPA Guidelines for Decentralized Offices.
SECTION 3: FINANCIAL MANAGEMENT

3.1. Introduction
These procedures offer greater operational flexibility to country offices and the possibility of fast tracking specific procedures without compromising accountability in the following key areas: (i) urgent UNFPA disbursements (ii) cash management in crisis situations (iii) reporting transactions during emergencies.

The UNFPA’s Financial Regulations and Rules and associated guidelines and policies and procedures implicitly assume an underlying financial infrastructure that allows a country office and recipients of payments to rely on checks, electronic or other funds transfer. However in countries operating under emergency conditions, this financial infrastructure is not always available.

The accelerated response procedures in this section provide an exception to the existing policies and procedures and can be applied when Fast Track Procedures have been activated in the Finance area.

3.2. Existing Policies and Procedures

UNFPA Financial Regulations and Rules (Rev. 10)
Making and Recording of Disbursements: Rule 114.6
(a) All disbursements shall be made by cheque, electronic or other funds transfer, except to the extent that cash disbursements are authorized by the Executive Director or his/her delegate. Disbursements shall be recorded in the accounts as of the date they are made, i.e., when the check is issued, the bank transfer requested, or the cash paid out. Adequate evidence of receipt of payment, either by a cancelled cheque, a payee's receipt or other evidence shall be obtained for all disbursements.

(b) The Executive Director may arrange for electronic/digital signatures, provided that the electronic disbursement systems have adequate security.

Advances: Rule 114.7
(a) Petty cash advances may be made to officials designated by the Executive Director or his/her delegate. The accounts therefore shall be maintained on an imprest basis. The amount and purposes of each advance shall be defined by the Director, Division for Management Services, and limited to the minimum compatible with working requirements.

(b) In addition to advances specified in sub-paragraph (a) of this Rule, the Executive Director or his/her delegate may also authorize the issuance of such other cash advances as may be permitted by the Staff Regulations and Rules and administrative instructions or as may be specifically approved by him/her.
(c) Officials to whom such advances are issued may make use of them only for the purposes for which they were authorized and shall be held personally responsible and financially liable for the proper management and safekeeping of the advances so made. They shall be in a position at all times to account for such advances to the Executive Director or his/her delegate. (Policy on Petty Cash Management).

3.3. Urgent UNFPA disbursements

3.3.1. Applicable UNFPA Procedures

Generally, UNDP manages banking services for UNFPA however under activated FTPs, country offices may benefit from exceptions to existing procedures to allow for urgent UNFPA disbursements. In order to activate FTPs in this area, the head of unit requesting the FTPs activation must complete the “UNFPA FTP activation in banking area” box in Section 4.2. of the UNFPA FTP Activation Form (Annex I) and attach detailed reasons and justification for the exception.

The head of office will share the FTP approval in the banking area with the UNDP Resident Representative and/or UNDP Country Director so that the necessary support services are expedited.

Once the appropriate approval documents are shared with UNDP, UNDP shall apply the UNDP FTPs in managing UNFPA’s banking services during an emergency. The section below reflects the current UNDP FTPs section on management of banking transactions during an emergency.

3.3.2. Applicable UNDP Procedures6 (Extract as per UNDP Fast Track Procedures)

The above policy relates to the operation of UNDP bank accounts and the existing procedures which require dual signatory operation of these accounts.

The UNDP Fast Track Procedures provides for an exception to existing procedures to allow single signatory operation of bank accounts after Fast Track Procedures have been activated.

A complete description of bank account signatories with related responsibilities, policies and procedures will be found online. These guidelines should be read in conjunction with the following procedures.

During formal activation of Fast Track Procedures, the UNDP Resident Representative/Head of Office must inform the Treasurer when it is required to operate both locally domiciled and Zero Balance Accounts with single signatories for payments up to USD 5,000 or equivalent. The UNDP Fast Track Activation Form has a specific area where the UNDP Country Office should note the requirement for a single signatory facility. In this section, the UNDP Resident Representative must

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6 Refer to UNDP “Financial Management Provisions” in the Fast Track Policies and Procedures – Section 4.0 Procedures
include detailed reasons and justification for single signatory operation of bank accounts and the proposed safeguards to be taken to ensure adequate control. Please note, as per the policy text above, the facility is only available when a second signatory staff member is not available.

As a safeguard measure, the UNDP Country Office must contact the Treasurer every 30 days providing validation of the continuing need of the single signatory facility. Country offices are encouraged to utilize the surge and Fast Track recruitment provisions to eliminate at the earliest opportunity the need for single signatory accounts. As noted in the Policy text above, the single signatory facility must be discontinued immediately upon availability of any previously assigned signatory or assignment of signatory responsibilities to a new member of staff.

3.3.3. Cash Management in crisis situations

(a) Petty Cash

*Business Units can request an increase in petty cash for up to $5,000 with individual transactions up to $1,000*

UNFPA head of unit may authorize the establishment of an individual petty cash for its decentralized office up to $5,000 per decentralized office.

Approval for such requests will be limited to those business units that have the ability to physically secure the cash, implement safeguarding practices, and enforce proper control procedures. The request for such exceptional increases must be supported by a strong risk mitigation strategy that is clearly articulated in the business unit context. The responsibilities and accountabilities for handling such large amounts of cash must also be clearly documented.

Potential risks relative to the cash on-site and also to the individuals handling the cash, must be continually monitored and identified risks must receive timely mitigation.

Petty cash must be kept under control of designated petty cash custodian who is a UNFPA staff member. Please refer to the Petty Cash Management policy for the detailed procedure around the safekeeping, documentation, accounting in Atlas and reconciliation process of Petty Cash balances. There must also be a separation of duties between the requesting officer (represented by management in the business unit) and the petty cash custodian.

As soon as FTP approval has expired, petty cash balances should be brought to regular petty cash levels within one month of the expiration date.

Any loss of assets including cash shall be reported at once to the Director DMS. If the loss is the result of theft, fraud or similar, the matter will be referred to the Director Office of Audit and Investigation Service (OAIS).

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7 This provision is only applicable for decentralized offices established and approved per Guidelines for Decentralized Offices, June 2010
(b) Project Cash Advances (PCA)

Project cash advance is a one-time advance issued to a PCA Custodian for a specific one-time project activity. Typically the one-time project activity includes workshops, training seminars or conferences relating to certain projects that take place in remote locations.

Project cash advance is a type of cash arrangement to be used only when there are no other alternative options to disburse payments for any one-time UNFPA implemented project activities.

Business units should identify suitable cash providers to distribute cash in advance of a crisis or emergency situation. Where there is a recurrent need for cash advances, the disbursement of cash is outsourced to a bank or other recognized financial services provider. Where such provider has been identified, a contract concerning the fees should be negotiated. Since the fees could be significant, the Procurement Branch and the Finance Branch should be consulted prior to signing such an agreement.

Alternatively, other third party electronic fund transfer modalities such as mobile phone payments should be investigated by country offices for the payment of project cash advances. Business units are encouraged to coordinate and/or piggy-back from other UN agencies that may have agreements in place.

If a business unit requires cash balances in excess of the petty cash threshold, a specific request outlining the nature and amount of the transaction should be submitted to the Director, DMS with a copy to the Chief, FB. Management of large sums of cash in crisis situations is a security matter and should be avoided.

The request should include the identification of the guardian of the cash, security arrangements and a reconciliation mechanism to be available for headquarters and audit review. The request must specify that only a UNFPA staff member is authorized to administer cash. Any exceptions must be approved by the Director, DMS and these must be time bound and properly justified.

The cash custodian is responsible for the management and reconciliation of cash administered to them. Officials to whom such advances are issued must make use of them only for the purposes for which they were authorized and shall be held personally responsible and financially liable for the proper management and safekeeping of the advances so made. They shall be in a position at all times to account for such advances to the Executive Director - Financial Rule 114.7 (c).

The management of cash by UNFPA personnel should be applied as a last resort.

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8 Emergency procurement procedures will be applied where requested and approved
However, if country offices have no alternative but to use cash, secure arrangements must be in place for its transportation, storage and control. The following considerations should be taken into account.

### 3.4. Additional cash management considerations during humanitarian situations

#### 3.4.1. Handling Cash Shipments

Information regarding the movements of cash must be restricted to the minimum number of people, on a ‘need to know’ basis. Communication of information regarding cash movements should be encrypted or coded, where possible. Where codes are possible, they should be changed approximately every six months.

The timing of cash movements should be as unpredictable as possible. Vary flight schedules and ground routes. The frequency of such shipments should be weighed carefully against the risk arising from keeping the cash on the premises.

Where conditions permit, at least two security guards must accompany all movements of cash. The guards should be equipped with radio or telephone and have pre-arranged distress signals.

Arrangements must be in place to collect cash directly from the airplane or armored car upon arrival. Cash may not be stored in airport vaults, hotel rooms, unsecured offices or railway terminals etc.

The business unit should request assistance and guidance from the UNDSS.

To the greatest extent possible avoid using facsimiles, e-mail, the telephone or insecure radio frequencies to convey information about the movement of cash.

Cash transportation should be arranged and effected only after receiving prior written authorization of the Head of Office.

#### 3.4.2. Physical Premises

Ensure that all windows and doors that are part of the area or room where cash is stored are sturdy and are securely anchored to the superstructure. Windows should be protected with steel grills, bolted from the inside.

Where possible, a burglary and anti–hold-up system with a direct link to 24 hour security staff should be installed in offices.

A 24-hour security service should be arranged to UNFPA premises in compliance with UNDSS MOSS and MORSS instructions.
3.4.3. **Control Procedures**

Please refer to the Petty Cash Management policy for the detailed procedure around the safekeeping, documentation, accounting in Atlas and reconciliation process around Petty Cash balances. Please refer to Annex XIII for the detailed accounting procedures for Project Cash Advances.

3.5. **Reporting transactions during emergencies**

UNFPA continues to be held accountable for the proper use of donor funding even in emergency situations. Where financial systems are broken down and invoices to support delivery of goods cannot be generated by vendors, UNFPA has set a minimum level of detail required for vendor transaction reporting. These requirements are set out in Annex XIV of this policy and consist of:

- Vendor name
- Vendor address
- Invoice number
- Invoice date
- PO reference (if related to purchase order) or if no PO, details of instruction received
- Invoice currency
- Itemized description
- Amount (quantity delivered, price per unit and total amount per line)
- Grand total of invoice
- Payment terms (i.e. when the payment should be made)
- Signature, name and office / position of vendor staff preparing this invoice.
SECTION 4: HUMAN RESOURCES

4.1. Introduction

HR-related fast tracking policies and procedures have been developed with the purpose of providing increased operational flexibility to UNFPA Country Offices.

Annex VI provides a summary of the contract modalities that are available to offices for the engagement of human resources capacity:

- Fixed-Term Appointment (FTA)
- Temporary Appointment (TA)
- Individual Consultants (IC)
- Service Contract (SC)

4.1.1. Administration of Contracts and Benefits and Entitlements

The administration of all international professionals, including issuances of contracts, will continue to be handled by DHR recognizing the limited HR capacities in country and regional offices. Additionally, UNDP staff administrative services can be fast tracked through the dedicated team of UNDP/BES staff based in UNFPA DHR/HQ. The contracts for Individual Consultants (local and international) are issued by the hiring office directly.

4.1.2. Internal Surge Capacity Roster and Regional Rosters

To address human resource shortfalls, UNFPA country offices will also have access to the surge modality through which UNFPA staff may be deployed on mission within 72 hours for a duration of up to three months. The surge modality is designed to provide an immediate solution to human resource gaps in an emergency, while other options are being explored. In addition, some Regional Offices also have surge rosters of UNFPA staff for regional deployments, e.g. in the Asia and the Pacific and the Arab States, that can be tapped into for short term deployments at the discretion of the Regional Director.

4.1.3. Standby Partnerships Agreement

UNFPA country offices have access to external surge capacities involving the assignment of personnel other than UNFPA staff and personnel. The external surge capacity is managed by the Humanitarian and Fragile Contexts Branch in the Programme Division.

4.2. Existing Policies and Procedures

4.2.1. Applicable UNFPA Policies and Procedures

Please refer to the following policies for more information on the available contract modalities:
• **Fixed-term appointments**: Guidelines for Recruitment for fixed-term appointment; Selection of professional fixed-term appointments; Selection of local fixed-term appointments in field.

• **Temporary appointments**: Guidelines for Recruitment for temporary appointments; Selection of international temporary appointments; Selection of local temporary appointments in field.

• **Individual Consultant Contract**: Policy on Individual Consultants

• **Service Contracts**: UNFPA Policy on Service Contracts

### 4.2.2. Creation of Posts

- For the Standard Post Cost Calculation Tool 2014 – 2017 for FTA, please visit the following link.

- For the creation and maintenance of posts in Atlas, please complete the Position Requisition Form and attach a copy of the approval and send to position@unfpa.org

### 4.3. Applicable HR related procedures under Fast Track Procedures

For UNFPA country offices in humanitarian crisis or special circumstances (as defined in SECTION 1 of the Fast Track Procedures), a range of options to enhance human resource capacities will be made available. The HR related fast-track policies and procedures have been developed with the purpose of providing increased operational flexibility to UNFPA offices without compromising accountability.

The HR provisions under Fast Track Procedures are presented in this section as follows:

• Delegation of Authority under FTP
• Creation of posts under Fast Track Procedures
• Shortening of Vacancy Announcement time for Temporary Appointments
• Waiving of competitive selection process for Temporary Appointments
• Shortening of Vacancy Announcement time for Fixed-Term Appointments
• Waiving of competitive selection process for Fixed – Term Appointments
• Reassignments of staff on Fixed Term Appointments
• Recruitment of vetted candidates from rosters
• Reduced Turnaround Time for administrative services provided by UNDP
4.4. Delegation of Authority matrix for creation of posts and approval of selection decisions for FTA and TA

Table 1.

<table>
<thead>
<tr>
<th>Contract Type</th>
<th>Category</th>
<th>Creation of Post</th>
<th>Appointment Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>TA</td>
<td>Local</td>
<td>General Service and National Officer (G1-G7 and NOA – NOD)</td>
<td>Representative</td>
</tr>
<tr>
<td></td>
<td>International</td>
<td>Professional and higher (P1-P5)</td>
<td>Regional Director</td>
</tr>
<tr>
<td>FTA</td>
<td>Local</td>
<td>General Service and National Officer (G1-G7 and NOA – NOD)</td>
<td>Representative</td>
</tr>
<tr>
<td></td>
<td>International</td>
<td>Professional and higher (D1)</td>
<td>Executive Director</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Professional and higher (P1-P5)</td>
<td>Director DHR</td>
</tr>
</tbody>
</table>

For all Temporary Appointments, the Executive Director delegates to the Regional Director the authority to waive the competitive selection process.

For Fixed Term Appointments, the Executive Director delegates to the Director, DHR the authority to waive the competitive selection process for all posts of the General Service and National Officer category at HQ and field duty stations, as well as for the International Professional category up to P5.

For Fixed Term Appointments, at the D1 level and above, the Executive Director may exceptionally waive the competitive selection of process.

4.5. Creation of Posts under Fast Track Procedures

a) Manager of the requesting Country Office provides the following for submission to the authority as defined in the above Table 1 for the creation of post:

   a. Job Description, or use generic Job Description or Surge profile
   b. Source of funds and justification for post
   c. Organogram, as appropriate

b) For FTA posts, Manager is responsible for confirmation of actual non-core funding availability for a minimum of one year.

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9 The manager may be guided by the standard post costs for budgeting purposes.
c) Once approved, Manager completes the Position Requisition form and proof of approval and sends via email to position@unfpa.org for creation of the post in Atlas.

d) For TA posts, DHR to create/extend posts in Atlas based on Manager assurance of funding rather than confirmation of actual funds.

e) For FTA posts, DHR to create/extend posts in Atlas based on Manager confirmation of actual non-core funding availability.

4.6. Temporary Appointments

4.6.1. Shortening of Vacancy Announcement time for Temporary Appointments

Personnel may be appointed on Temporary Appointment (TA) for up to 364 days. The existing TA policy allows for a minimum timeframe of one week (i.e. 5 working days) between advertisement and closing date for vacancies, but in the interest of time, the post may be advertised for a shorter period. Competency based interviewing should be the common selection tool. However, if time does not permit interviews, a desk review, i.e. a comparison of shortlisted candidates on the basis of their applications, may be undertaken to arrive at a selection decision. No Compliance Review Board (CRB) review is required.

4.6.2. Waiving of competitive selection process for Temporary Appointments

The Executive Director normally relies on the regular staff selection procedures to meet the staffing needs of UNFPA. However, the Executive Director may exceptionally decide to select an applicant for a temporary appointment outside of those systems. Under the FTP, the Executive Director delegates to the Regional Director the authority to waive the competitive selection process.

This measure may be applied in cases where suitable candidates with the required competencies and qualifications are identified by UNFPA and where time and other factors warrant waiver of the competitive process to allow for direct appointment of candidates.

The following fast track procedure for TA recruitment applies:

a. Manager ensures that the post is created in Atlas as per section 4.5.

b. Manager identifies suitable candidate with requisite qualifications and competencies for TA positions.

c. Manager requests Regional Director’s exceptional approval to appoint candidate outside of the normal selection process i.e. waiving advertising and interviewing process.
d. Such a request, its justification and the authorization by the Regional Director, if any, shall be documented and attached to the respective recruitment file.

e. After completing reference and performance checks, and verifications of academic qualifications, manager requests HR focal point to recruit candidate. HR focal point in CO or HQ will authorize UNDP in HQ (for international positions) or UNDP CO (for local positions) to proceed with the administrative arrangements.

For further information on the recruitment of TA posts, please refer to the Temporary Appointment Guidelines: Policy on Personnel: Temporary Appointments: Staffing; Selection of international temporary appointments; Selection of local temporary appointments in field.

4.7. Fixed-Term Appointments

4.7.1. Shortening of Vacancy Announcement time for Fixed-Term Appointments

Recruitment of personnel on FTA using FTP procedures may be considered in the case of protracted emergencies and subject to availability of funding. Personnel may be hired on Fixed-Term Appointments for one year initially. FTA positions are normally advertised for a minimum period of 2 weeks.

The implementation of the Fast Track Procedure calls for reducing the vacancy announcement time from a minimum of 2 weeks to 1 week for national and international FTA positions. Vacancies will be announced simultaneously both internally and externally. Candidates will be subject to the usual screening, interviewing and CRB clearance in accordance with existing recruitment procedures.

4.7.2. Authority to waive competitive selection process for FTA

The Executive Director normally relies on the regular staff selection to meet the staffing needs of UNFPA. However, the Executive Director may exceptionally decide to select an applicant or re-assign a staff member of UNFPA from one post to another outside of those systems. UNFPA staff members have an obligation to accept any assignment by the Executive Director.

This is without prejudice, however, to the rules concerning the UNFPA compliance review bodies on appointment and selection for higher level posts.

Under the FTP, the Executive Director delegates to the Director DHR the authority to waive the competitive selection process, i.e. vacancy announcement, interviews and CRB process, of candidates for local and international positions up to P5 level, for up to 5 posts in total.

10 UNFPA are guided by the Staff Rules when it comes to the criteria for determining "internal" candidates. The Staff Rules define internal candidates as those having been reviewed by a Central Review Body. As such, should staff be appointed without having gone through the normal competitive recruitment process i.e. reviewed by the CRB, they would not be considered internal.
The following fast track procedure for FTA recruitment applies:

a) Manager is responsible for ensuring confirmation of actual non-core funding availability for a minimum of one year.

b) Manager ensures that the post is created in Atlas as per section 4.5.

c) Manager identifies suitable candidate with requisite qualifications and competencies for FTA position where the interest of the organization cannot be met through the normal recruitment process because of the immediate needs of the emergency.

d) For post at P5 and below, NO and G levels, Director DHR has the exceptional approval to appoint candidate outside of the normal selection process i.e. waiving advertising, interviewing and CRB process.

e) For posts at D1 level and above, manager requests via Regional Director to Executive Director the exceptional approval to appoint candidate outside of the normal selection process.

f) Such a request, its justification and the authorization by the Director, DHR, if any, shall be documented and attached to the respective recruitment file.

g) Subject to approval by appropriate authority in line with above section c) and d), after completing reference and performance checks, and after verifications of academic qualifications, manager requests HR focal point to recruit candidate. HR focal point in CO or HQ will liaise with UNDP in HQ (for international positions) or UNDP CO (for local positions) to proceed with the administrative arrangements.

As the initial duration of a Fixed Term Appointment has to be one year (Staff Rule 4.13), recruitment of new personnel on fixed-term appointment should only be considered if funding for at least one year has been secured.

The temporary internal redeployment of staff on FTA or on PA is encouraged for the purpose of providing qualified and interested internal staff with career development opportunities and field exposure.

For further information on the recruitment of FTA posts, please refer to the following guidelines: Guidelines for Recruitment for fixed-term appointment; Selection of international fixed-term appointments; Selection of local fixed-term appointments in field.
4.8. Reassignments of staff on Fixed-Term Appointments

Under the FTP, the Executive Director delegates to the Director DHR the authority to approve reassignments for international staff for posts at P5 level and below.

The Director, DHR will consider such requests taking into account the views of Representatives of the releasing and receiving country offices and the staff member concerned. Requests for reassignments should be submitted by the receiving CO to the Regional Director for endorsement. Further to the Regional Director’s endorsement, the Director DHR may approve in consultation with the respective HR Strategic Partner.

4.9. Recruitment of vetted candidates from rosters

Personnel may be drawn from a roster of who may be hired immediately. The roster consists of personnel covering a wide range of substantive and operational areas, who may be engaged for short, medium or long term assignments. Candidate availability will be determined at the time of recruitment. The roster of candidates for international professional positions is managed by DHR/UNFPA HQ. COs should also establish rosters of vetted candidates for national professional and general service positions. External rosters from UN agencies or other specialized institutions may be explored.

4.10. Reduced Turnaround Time for administrative services provided by UNDP

When FTP is activated, candidates selected for TAs or FTAs will be processed on a priority basis i.e. within 24 hours, starting with the immediate initiation of the recruitment clearance process, information to selected candidates and all parties involved, and the acceleration of the clearances and hiring process.

Please note that “24 hours” will be interpreted as the next possible working day, subject to receiving all required documentation. All required HR documentation must be submitted via the HR Workbench for HR action.

For recruitment of International Professional staff, HR Services Branch, DHR/HQ will notify UNDP Benefits and Entitlements Unit to take action within 24 hours.

For recruitment of national staff or Service Contract, the UNFPA CO will notify the local UNDP CO and indicate in the submission that Fast Track is in effect and applies to the request.

In certain circumstances, in view of delays that may be caused as a result of medical examination and clearance and visa clearance, hiring units are encouraged to factor this in its planning process.
4.11. Individual Consultants

The Policy on Individual Consultants, effective 1 September 2015, provides in section 20 for the competitive selection process to be waived under certain circumstances e.g. where “there is a genuine exigency or emergency” (20 (g)).

A written explanation substantiating the reason for waiving the competitive selection process must be completed in the Waiver Form and signed by the Hiring Office. The form must be kept on file and may be subject to audit.

For further information on the engagement of Individual Consultants, please refer to the Policy on Individual Consultants.
SECTION 5: EMERGENCY PROCUREMENT

5.1 Introduction and Definitions

5.1.1 Introduction

Emergency procurement at UNFPA must be undertaken in compliance with UNFPA Financial Regulations and Rules (FRR), UNFPA policy, all procedures outlined in this document, and any other UNFPA directives and administrative instructions relevant to procurement operations.

These procedures aim to enable a more timely response to urgent need for aid in emergency situations while ensuring compliance with the general procurement principles as stipulated in Regulation 15.2 of the FRR:

(a) Best value for money considering all relevant factors, including costs and benefits to UNFPA;
(b) Fairness, integrity and transparency;
(c) Open and effective international competition; and
(d) The interest of UNFPA.

The procedures are used in conjunction with other components in the Fast Track Procedures, which offer UNFPA country offices in special situations greater delegation of authority and flexibility in specific programme and operational areas for a time-bound period.

5.1.2 Use of Emergency Procurement Procedures

The Emergency Procurement Procedures (EPP) outlined below come into effect when the procurement section of the Fast Track Procedures has been activated. In all other situations, UNFPA standard Procurement Procedures apply, including the procurement of Emergency Reproductive Health (ERH) kits as these are already covered under valid LTAs. The form to be used for placing an order for ERH kits from stock is located here.

Note that in case the CO decides to entrust the procurement activities to an IP, the special guidance under the Programme section of this document must be followed.

It should be noted that there is a difference between urgencies that require implementation of EPP (i.e. specific CPO authorization is required) and those that can be addressed in accordance with Financial Rule 115.5 (a)(viii) (whereby the CPO or authorized personnel may determine, for a particular procurement activity, that using formal methods of solicitation is not in the best interest of UNFPA and its clients).
Urgencies for which EPP would not be justified can be addressed through for example a reduced solicitation time, and therefore would fall under 115.5(a)(viii), i.e. all instructions/conditions as specified in the normal procurement procedures, such as review thresholds, Delegation of Authority issues, etc, would apply. For more information, please refer to the normal UNFPA Procurement Procedures.

In other words, there is a difference between urgent procurement (that fall under 115.5(a)(viii)) and emergency procurement (where specific CPO authorization is required and which results in a less formal approach).

If the CPO has not determined whether a given situation is considered an emergency and therefore has not approved the use of the EPP, business units are not allowed to use EPP. However they can invoke FRR 115.5(a) (viii) if applicable.

If FTPs have been approved for a CO, any other business unit conducting procurement on behalf of that CO, whether it is PSB, the regional office or another CO, can invoke the approved FTP, e.g if Bangladesh is required to procure for Nepal and Nepal has activated the FTPs, Bangladesh should not need to activate FTPs. Bangladesh can de facto apply the FTPs approved for Nepal.

5.2 Procurement Process

The use of EPP allows more flexibility in the procurement process than standard UNFPA procedures. This increases the responsibility of staff at all levels to ensure and document that proper procedures have been followed. This is particularly important to keep in mind as under emergency situations there is a high risk of corruption, fraud, bribery, conflict of interest, impossibility or difficulty to document and file the process conducted at the time the work is conducted. However, for audit trail purposes all documents need to be filed as soon as practically possible. Please refer to paragraph 5.9 regarding filing instructions.

5.2.1. Procurement Planning

Prior to initiating any procurement process, the emergency response team should complete a needs assessment and produce a procurement plan, including required goods or services. In addition to goods such as emergency reproductive health kits, tents, vehicles, medicine, etc., the plan should outline distribution efforts and logistics required to deliver the goods to final destinations such as warehouses. It should also include resources to match the available budget.

The plan should be approved by the head of office. As part of the procurement planning, the emergency response team shall identify replenishment levels for each of the procured products if needed, in order to avoid stock-outs. Guidelines on prepositioning of RH kits have been developed by Procurement Services Branch for the use of the Country Offices. These guidelines, RH Kits Management Guideline for Field Offices, can be located on the PSB portal following the link: https://portal.myunfpa.org/web/psb/erh-kits.
5.2.2. Sourcing

Firstly, UNFPA staff must establish whether the products or services required are already available from suppliers holding a Long Term Agreement (LTA) with UNFPA or with other United Nations agencies. Many of these agreements can be found on the United Nations Global Marketplace (UNGM) at www.ungm.org. In addition, PSB often has knowledge of additional LTAs so always ensure to contact PSB to verify if LTAs already exist even if not available on UNGM.

If a valid LTA exists and goods can be delivered within the required lead time, then purchase orders can be issued directly based on the applicable LTA, subject to the terms and conditions of such LTAs including secondary bidding if applicable. In particular, note that procurement of vehicles can be made on ex-stock basis if the vehicles are intended to be used for the same purpose for which the EPP was approved.

Secondly, UNFPA COs can apply the following procurement alternatives if this is deemed to shorten the sourcing process or is otherwise in the interest of the organization: Joint solicitation with other UN agencies; reuse of other UN tender results; procurement from other UN entity; or outsourcing procurement to another UN entity.

Thirdly, the United Nations Humanitarian Response Depot Network (UNHRD) (http://www.unhrd.org) may be utilized to source and distribute emergency commodities. UNHRD is managed by the World Food Programme (WFP) and has five warehouses located in Ghana, Panama, Italy, United Arab Emirates and Malaysia to respond to emergencies.

Lastly, the UNFPA CO can launch its own tender process. In doing so, the thresholds below apply. Please note that local procurement of pharmaceuticals and medicines is allowed provided the goods are duly registered in the country. This is to ensure local procurement does not go against the National Regulation and Legislation. In addition, local procurement of medical devices is allowed provided technical specifications, regulatory and quality certificates and inspection of samples is reviewed to ensure the goods are of good quality. This is in order to prevent substandard goods be supplied.

\[
\text{Splitting solicitations for the purpose of bypassing the required approval process, such as avoiding review by the ECRC, is considered a violation of the procurement rules and is likely to result in disciplinary actions.}
\]

5.3 Procurement Methods

When the use of EPP has been endorsed by the CPO, the procurement process shall proceed as follows:

5.3.1. Procurements valued below USD 5,000

Procurements valued below USD 5,000 per solicitation have no specific requirements concerning sourcing other than seeking three quotations whenever possible and accepting the cheapest offer if circumstances allow.
5.3.2. Procurements valued between USD 5,000 – USD 249,999

Procurements valued between USD 5,000 to USD 249,999 per solicitation require the standard Emergency RFQ Template to be used. For procurement under Level 3 humanitarian crises valued above 250,000 USD the Emergency RFQ Template above USD 250,000 should be used to solicit bids or proposals. To conduct the RFQ process, UNFPA staff must ensure the following:

a. At least three offers shall be sought to ensure competition. If this is not possible, the reasons for the non-competitive situation must be documented in writing.

b. The solicitation process must be open for at least 48 hours to allow bidders adequate response time; this can be reduced to 8 hours for level 3 humanitarian crises.

c. If the office is already using a secure email address to receive bids, it is recommended that this secure email address is used to receive quotations above USD 50,000 if technically possible;

d. The quotations may be obtained by phone, email, fax or visiting vendors but all offers need to be documented;

e. The evaluation process must be transparent and fair. The offers must be reviewed by at least two UNFPA staff, preferably three, including at least one professional staff. This will constitute the evaluation committee;

f. Award the contract or purchase order to the lowest priced offer that is substantially responsive to the requirements of the RFQ. If the contract is not awarded to the lowest evaluated bidder, the reasons for this must be documented in writing.

When a purchase order is placed with a supplier who is asked to cover freight and where freight was not part of the solicitation process, comparative quotations for freight should be obtained if the value of the freight quotation is above USD 100,000. The buyer should compare the supplier’s offer for freight with freight LTA offers and choose the lowest freight option.

5.3.3. Procurements valued above USD 250,000

Procurements valued above USD 250,000 per solicitation require an Invitation to Bid (ITB) or Request for Proposal (RFP), except for requirements for level 3 humanitarian crisis which can be procured through an RFQ. The ITB/RFP must be detailed enough to enable suppliers to give an informative quote.

All requirements must be communicated clearly and identically to all suppliers, in writing, along with the methods that will be used to evaluate the bids. The option to make split orders must be clearly stated in the solicitation documents.

Please refer to regular UNFPA Procurement Procedures for an understanding of when to apply ITB or RFP. The standard Emergency ITB Template or Emergency RFP Template should be used to solicit bids or proposals. Both the ITB or RFP and the contract award results should be published on UNGM (www.ungm.org) if internet access is available. In the situation where
internet connectivity is low or absent, all efforts must be made to disseminate the ITB or RFP as widely as possible, including contacting PSB focal points or the regional office to upload the documents on UNGM.

When executing an ITB or RFP, staff entrusted to carry out procurement functions must ensure that:

a. The solicitation remains open for at least three calendar days;

b. Offers are submitted in a sealed envelope received at the physical address of the office or via a secured email address or secured fax number;

c. Bids are opened by a local bid committee consisting of at least two, preferably three, persons (other United Nations agency staff are encouraged to be members of the committee);

d. Bid evaluation is conducted in accordance with current UNFPA Procurement Procedures;

e. A bid evaluation report is completed and filed;

f. Confidentiality is maintained during the process.

5.4 Evaluation

Offers received based on an RFQ or RFP/ITB should be assessed against the written requirements stated in the solicitation document. Delivery time should be considered when determining which offer provides best value for money.

Except for EPP specificities mentioned in Section 5.3 regarding the evaluation process, the evaluation of the bids should be conducted in accordance with the principles and methods outlined in the current UNFPA Procurement Procedures and Financial Regulations and Rules.

5.5 Contract Award

The Request for Contract Award Form must be filled out to obtain approval from the designated procurement authority if the contract value is more than USD 5,000 but below the thresholds that require ECRC review (see Sections 5.5.4 and 5.5.5 below).

In the event that a business unit conducts emergency procurement on behalf of another one, the Head of that business unit (except for the Chief of the Procurement Services Branch) has no delegated procurement authority under the approved FTPs to approve award of contract. If for example the Bangladesh CO is conducting a solicitation process on behalf of the Nepal CO against approved FTPs for Nepal, and the bid value is say USD 150,000, the representative of Nepal (where the FTPs have been activated) has the authority to approve the award of contract, not the representative of Bangladesh.
5.5.1. Contract less than USD 5,000
No Atlas purchase order needs to be issued for procurements under USD 5,000. Budget owner of the contract approves the payment.

5.5.2. Contract between USD 5,000 and USD 249,999
Contract falling in the range of USD 5,000 – USD 249,999 shall be awarded by the Head of Office or personnel with the equivalent approval authority. An Atlas PO shall be issued and dispatched to the supplier.

5.5.3. Contract between USD 250,000 and USD 499,999
Contract falling in the range of USD 250,000 – USD 499,999 shall be awarded by the Head of Office as well as the Chief of PSB. Only after the award has been provided by both authorities can the contract be approved in Atlas, by the officer with authorized procurement approval authority, and then issued. When there is a disagreement between the Head of Office and the Chief of PSB, the case shall be referred to the ECRC for final decision by the CPO.

5.5.4. Contract above USD 500,000
Contract valued above USD 500,000 shall be awarded by the CPO following advice from the UNFPA ECRC or the emergency contract review committee of another United Nations organization. Pursuant to FRR115.11 (b) (ii), the CPO has to establish first that the emergency contract review committee of another United Nations entity may render written advice to the CPO.

5.5.5. Other Situations
In addition, if procurement falls into either category listed below, the contract will be awarded by the CPO following advice from the ECRC or emergency contracts review committee of another United Nations organization.

a. any contract or series of contracts with a cumulative commitment to pay more than USD 500,000 to a single contractor within a period of 3 months from the date of placing the first order under EPP;

b. any proposal to modify a contract previously approved by the CPO that would result in an increase of more than 20% or USD 100,000, whichever is less, within 3 months of its first approval;

c. The cumulated contract value through regular procurement procedures to a same contractor during the same period of time must be excluded for the purpose of calculating the cumulated contract value under ECRC procedures.
5.6 Emergency Procurement Process – Summary table

Table 2: EPP Summary Table

<table>
<thead>
<tr>
<th>Threshold (USD)</th>
<th>Award</th>
<th>Special notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – 4,999</td>
<td>Country Office budget owner</td>
<td>If possible three quotations should be collected.</td>
</tr>
<tr>
<td>5,000 – 249,999</td>
<td>Head of Office</td>
<td>If the office is already using a secure email address to receive bids, it is strongly recommended that the secure email address is used if possible to receive quotations above USD 50,000.</td>
</tr>
</tbody>
</table>
| 250,000 - 499,000| Head of Office and Chief of PSB. If disagreement between the 2, CPO through ECRC | • When the cumulative value of a series of contracts amounts to more than USD 500,000 to a single contractor within a period of three months from the date of placing the first order under EPP, then the contract that brings the cumulative amount above USD 500,000 has to be awarded by the CPO following advice from the ECRC;  
• Proposals to modify a contract previously approved by the CPO that would result in an increase of more than 20% or USD 100,000, whichever is less, within three months of its first approval must be awarded by the CPO after ECRC review or review by emergency contracts review committee of another United Nations Organization. |
| USD 500,000 and above | CPO through ECRC | Same as above |

Ex post facto contracts for ratification of actions not conforming to the established review and award processes must be reviewed by:

*- ECRC/CPO for values equal to or exceeding USD 500,000

* - The Head of Office and Chief of PSB between USD 250,000 and USD 499,000. When there is a disagreement between the Head of Office and the Chief of PSB, the case shall be referred to the ECRC for final decision by the CPO

*- The Head of office below USD 250,000
5.7 Emergency Contracts Review Committee (ECRC)

5.7.1. Scope of Authority of ECRC

a. A commitment to pay a single contractor more than USD 500,000 for supplies or services;

b. A proposal to modify a contract awarded by the CPO that would result in an increase of more than 20% or USD 100,000, whichever is less;

c. A series of contracts that involve a cumulative commitment to pay more than USD 500,000 to a single contractor within a period of three months from the date of placing the first order under EPP;

d. Proposed award(s) to a supplier further to the exception to the use of formal methods of solicitation, which have a value greater than or equal to USD 250,000. Does not apply for level 3 humanitarian crisis;

e. Any proposal for the renewal of a contract previously reviewed by the ECRC and approved by the CPO;

f. LTAs for goods and services estimated to exceed USD 500,000 (if based on the use of formal methods of solicitation) or USD 250,000 (if based on exceptions to the use of formal methods of solicitation, except for level 3 humanitarian crisis). The award of any LTA that could reasonably be relied upon by another UNFPA location or organization of the United Nations must be reviewed by the ECRC regardless of the estimated procurement amount. (The validity of such LTAs should be limited for the validity period of the FTP activation and LTAs established based on FTP should be used only for addressing the requirements of the emergency situation. Regular procurement requirements should not be addressed using emergency LTAs);

g. Any other proposal, contract, agreement, or other matter relating to purchasing, renting, or leasing that the Executive Director, CPO or Chief, PSB may want to refer to the ECRC;

h. Ex Post-facto matters with total value greater than or equal to USD 500,000 in order to provide advice to the CPO on ratification of actions not conforming to the established review and award processes, and/or acceptance of charges against appropriate budgets.

Any proposed contract for the purchase of real estate, regardless of value, in accordance with the Real Estate Management Policy should be submitted to HQ CRC.

5.7.2. ECRC Composition, Quorum and Decisions

The ECRC is composed of the chairperson and at minimum one member of the headquarters CRC. The Secretary of the ECRC is the Secretary of the headquarters CRC. The ECRC meeting requires a quorum of a chairperson and one member. When the CRC Chair is not available and no alternate CRC Chair can replace him or her, a CRC member may act as Chair of the ECRC.
To formulate its recommendations, the ECRC will be guided by the applicable provisions of this document, as well as Financial Regulation 15.2 of the FRR, UNFPA Procurement Procedures and other relevant procedures and policies of UNFPA.

The ECRC should formulate its recommendation for approval or rejection to CPO within 24 hours of receipt of a submission. If the ECRC cannot be convened, on the advice of the chairperson, the meeting will be conducted by email circulation. Whenever the chairperson and the member dissent, the ECRC will base its recommendations on the decision of the chairperson; however the ECRC recommendations to the CPO will indicate any dissention and the reason for such dissention.

Within 24 hours after the ECRC provides its advice to the CPO, the CPO, on behalf of the Executive Director, will provide the award decision.

5.7.3. ECRC Submission

A request for ECRC review must be completed by filling in the Emergency CRC Submission Form (Annex II) until an electronic system is in place and submitting to the CRC secretary. The CRC secretary will coordinate the emergency CRC meeting, and will be responsible for keeping complete records of the communications and approvals/rejections from the CPO.

When the procurement is done locally (i.e. not by PSB), in addition to the usual information to be provided, the ECRC request shall contain the following confirmation from the procurement personnel:

a) That they have no vested interest in the supplier recommended for award. If a conflict of interest exists, this must be specifically disclosed at this stage, in addition to the normal requirement to disclose any potential conflict of interest at any time during the procurement process.

b) That the recommended contract award represents the best possible solution available according to information available at the time of recommendation of the award.

5.7.4. Ex Post Facto Contracts

Contracts of a value greater than USD 500,000 that were entered into without prior ECRC review constitute a violation of the EPP and the underlying FRR. Such contracts must be submitted to the ECRC for an ex post facto (retroactive) review without delay. Ex post facto submissions are regularly reviewed by auditors.

5.8 Purchase Orders and Payment

a) Non-Atlas purchase orders are allowed provided there is no access to Atlas due to destruction of infrastructures. It is the Head of Office’s responsibility to ensure that all
commitments issued to vendors under the use of EPP are entered in Atlas as soon as conditions allow.

b) In cases where normal commercial practice or the interests of UNFPA so require, advance payment that is in line with the relevant administrative instruction for advance payment can be made. See UNFPA Procurement Procedures.

c) PSB will publish in UNGM all contract awards above USD 50,000, except in special conditions that could result in security concerns for the awarded supplier should award of contract be published in the public domain or when there are special confidentiality clauses that UNFPA has agreed beforehand with the supplier.

### 5.9 Documentation and Filing

Evidence of compliance with all steps of the EPP must be kept in the procurement file. This documentation ensures that the decisions made when selecting the supplier and awarding the contract are justified and provide a basis for dispute resolution. It also helps to maintain institutional memory and lessons learnt.

The procurement file must contain:

a) Approval for the use of the Emergency Procurement Procedures

b) Note to the file approved by Head of Office justifying the mode of competition (e.g., why local procurement is preferred);

c) The number and choice of suppliers requested to quote. Explain and justify if fewer than three;

d) RFQ or ITB document;

e) Any exception to the use of formal methods of solicitation applied with reference to FRR 115.5;

f) Proposals/Bids received;

g) Summary of the evaluation of products, prices, terms and conditions of the various offers;

h) Additional vendor assessment in case advanced payment is required;

i) ECRC submission;

j) Signed minutes of ECRC recommendation;

k) Note to the file of any contract negotiations conducted;

l) Decision of CPO;

m) Purchase Orders issued in Atlas or/and non-Atlas Purchase Orders;
n) Contract in case of professional services;
o) Amendments to contracts, if applicable;
p) Documents related to contract administration;
q) Amendments to contracts, if applicable;
r) Invoices
s) Shipping and/or delivery documents
t) Customs clearance performed
u) Receipt and Inspection document signed by the appropriate inspector
v) Goods hand-over note
w) Note: In addition, vendor performance evaluation must be performed in line with regular procurement procedures in the on-line vendor performance evaluation tool.

5.10 In-kind Donations

a) General
In humanitarian settings, country offices are often approached by different donors who may be interested in funding UNFPA's humanitarian programmes. Country offices are encouraged to inform their regional Resource Mobilization Adviser and the Resource Mobilization Branch (RMB) rmb@unfpa.org as soon as possible. Likewise, the receipt of different types of short-term humanitarian funding (e.g. CERF, etc) may require rapid disbursement rates and may necessitate the activation of FTPs. Country Offices are encouraged to contact rmb@unfpa.org for further advice if needed.

b) In kind donations
In many emergency settings, country offices are offered in-kind donations. Country Offices should keep in mind that all partnerships with companies need to be screened at HQ level (due diligence process) before any agreements are concluded or goods are accepted. Please refer to UNFPA In Kind Goods and Services Contribution Policy (in particular Annex B - In-Kind Contributions of Goods in Emergency Response Contexts) and consult the Resource Mobilization Branch rmb@unfpa.org.
Annex I: Fast Track Procedures Activation Form

UNFPA Fast Track Procedures (FTPs) Activation Form

<table>
<thead>
<tr>
<th>Requesting Country Office: ____________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status of request: ☐ New Request ☐ Extension request</td>
</tr>
<tr>
<td>Activation period: From ____________ To: ____________ (up to 6 months only)</td>
</tr>
</tbody>
</table>

1. **Trigger for activation:**
   1.1. ☐ Humanitarian Crisis
   1.2. ☐ Natural disaster. (please specify i.e. Floods, earthquake, etc) or ☐ Armed conflict
   1.3. ☐ Fragile Context (specify)

2. **UNDP FTP activated:** ☐ YES ☐ NO (if NO please inform the UNDP country office that UNFPA is requesting activation of its own FTPs and share a copy of the FTPs once approved)

3. **Justification:** Please elaborate on the country context and the reasons for FTPs activation, and attach a programming documents that describes the humanitarian context or special circumstances which requires activation of the Fast Track Procedures, including if relevant the RC/ UNCT engagement.
   3.1. UNFPA response plan enclosed: ☐ YES ☐ NO
   3.2. Procurement plan annexed or attached in e-mail (mandatory if EPP is requested): ☐ YES ☐ NO

4. **Scope of UNFPA’s FTPs application:**
   4.1. Geographical and Programming Scope:
        ☐ To be applied to entire UNFPA country programme i.e. in case of a crisis affecting the entire country.
        OR
        ☐ To be applied to specific Programmes/projects within a region in the country i.e. localized crisis.
        OR
        ☐ To be applied to ongoing UNFPA programs/projects in special circumstances.
   4.2. Operations scope: The FTPs will be applied to the following area(s) *(Please specify the reasons for the activation selected components)*
        ☐ Programme Management ☐ Finance (Petty Cash and Project Cash advances)
        ☐ Human Resource ☐ Emergency Procurement (EP)
        ☐ UNFPA FTP activation in banking area

5. **Funding:** Has additional funding been secured to accelerate implementation of programs/projects? ☐ Yes ☐ No
   Source of funding: ☐ UNFPA Emergency Funds ☐ CERF ☐ Bilateral Funding ☐ Other

<table>
<thead>
<tr>
<th>Signature of CO Representative: ___________________</th>
<th>Endorsed by the Regional Director: ☐ Yes ☐ No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date submitted: ___________________</td>
<td>Signature ___________________ Date: ____________</td>
</tr>
</tbody>
</table>
Endorsed by Chief HFCB ☐ Yes ☐ No Signature: ___________________ Date: ____________

Approved by DED ☐ Yes ☐ No Signature: ___________________ Date: ____________
Annex II: Emergency CRC Submission Form

EMERGENCY CRC SUBMISSION FORM

TO: EMERGENCY CONTRACTS REVIEW COMMITTEE, UNFPA
Date: __________
TO: ___________________________________
Through: __________________________________
From: ___________________________________

Subject: [CO] procurement of [commodities or services] in the amount of [$$] for [purpose]

OVERVIEW

1. Type of Procurement: □ PSB Procurement □ Local Procurement
2. Procurement method:
   □ Request for Quotation (RFQ)
   □ Invitation to Bid (ITB)
   □ Request for Proposals (RFP)
   □ Others ______________
3. Reason for submission:
   □ Single contract above USD500, 000
   □ Amendment of an existing contract established under EPP that results in an increase of more than 20% of USD100,000, whichever is less, within 3 months of the initial approval
   □ A series of contract with accumulated amount of more than USD500, 000 paid to a single contractor within a period of 3 months from the date of placing the first order under EPP
4. RFQ/RFP/ITB No.: __________ Issued Date: __________ Closed Date: __________
   No. of Invitees: ______ No. of Replies: ______ No. of Compliant offers: ______
   Range of compliant offers in USD From __________ to __________
5. Recommended supplier(s):
   Name: ___________________________ Contract Value __________
   Payment Term: __________ Delivery Term: __________
6. Eligible Contractor(s):
   □ I hereby confirm that at time of bid submission the proposed contractor(s) was not suspended (see https://portal.myunfpa.org/web/psb/un-banned-vendors)
STATEMENT

Background:

Please describe the context of the procurement

Solicitation Process

Please describe the procurement processes you carried out in order to obtain quotations for the purchase. Please describe specifically who, when and how you contacted; when and how many offers you received; who opened offers; by who and how they were evaluated; what was the outcome/s, etc.

In case of ITB or RFP,

- Please provide concise summary evaluation of each offer received (in chart form, if possible), including evaluation criteria, ratings of entities/persons, Terms of Reference for services, and names of any third parties (e.g. consultants) and their qualifications involved in evaluation of bids/proposals. Also discuss, as appropriate, proposed contract’s relation to and impact on the sustainability of project activities, including availability of spare parts and local maintenance services and capacity, etc.

- For services, provide cost breakdown showing number of personnel, total person/months, and an estimate of travel costs.

- For equipment, indicate description, price, delivery terms, and freight/insurance charges. If local purchase is recommended, state reasons and provide price and delivery date comparison between local and international procurement. Indicate clearly if bids/proposals include provisions for price increases or open-ended agreements.

Reasonableness of Price

Did the evaluation result in less than three responsive bids or proposals? If the answer is YES, please indicate what are the likely reasons for the lack of effective competition? Why are the prices deemed reasonable (provide market survey data, benchmarking with previous purchase prices, comparison with market prices, etc.)? What plan of action is suggested by the business unit to ensure effective competition for future cases?

Recommendation:

Please describe your request, including type of products, value of procurement and recommended supplier/s.
ATTACHMENTS

- Approval of use of EPP;
- Note to the file justifying the mode of competition (e.g., why local procurement is preferred, justification if the number of suppliers requested to quote is less than three) approved by Head of Office;
- RFQ or ITB/RFP document;
- Justification on any exception to the use of formal methods of solicitation applied with reference to FRR 115.5;
- Quotation/bid/proposal from recommended supplier;
- Evaluation report;
- Assessment in case advanced payment is required;
- Amendments of contracts, if applicable.

ECRC RECOMMENDATION

☐ Approved       ☐ Deferred       ☐ Rejected

ECRC Members:

__________________________________

__________________________________

__________________________________

Signature       Name       Date

CPO DECISION

☐ Approved       ☐ Deferred       ☐ Rejected

Signature       Name       Date
Annex III: FTPS Reporting Form

FTPs Reporting Form

| Country Office: Click here to enter text. | Period of Reporting: From Click here to enter a date. *(when FTPs were initially activated)*
| To: Click here to enter a date. *(last day of activation including extensions if any)* |

i. Were the activated FTPs utilized?  ☐ YES  ☐ NO (if NO why were the FTPs not utilized?)

ii. If YES, which section(s) of the FTPs were utilized?

- ☐ Programme Management
- ☐ Finance
- ☐ Human Resource
- ☐ Emergency Procurement (EP)

iii. If you answered YES to question ii above, did the FTPs help in decreasing the time for recruiting personnel, procurement, or signing new implementing partners with reference to normal procedures?

- ☐ YES  ☐ NO (if YES please give as examples or if NO please explain why?)

iv. Did the country office experience any challenges in using the FTPs?  ☐ YES  ☐ NO  (If YES please explain):

v. Recommendation for improvement (on activation process or on improving contents):

- Request and activation process: Click here to enter text.
- Programme management section: Click here to enter text.
- Finance Section: Click here to enter text.
- Human Resources Section: Click here to enter text.
- Emergency Procurement: Click here to enter text.

Signature of CO Representative: Click here to enter text.

Date submitted: Click here to enter a date.
Annex IV: FTPs Activation Process

Activation of Fast Track Procedures

**Regional Office**
- Request FTP activation
- Receive and review request
- Endorse?
  - YES: Submit Endorsement to HQ
  - NO: Resubmission Necessary?
    - YES: Revise Submission
    - NO: Endorse?

**Country Office**
- Receive and review request
- Endorse?
  - YES: DED-M Notified
  - NO: Reason for Rejection
    - More information needed
      - FTP Business Owners' Receive and review
      - Endorse?
      - YES: DED-M Approves?
      - NO: DED-M Notifies all HQ business units
    - No Case found for FTP

**HQ**
- Receive rejection notification
- Notified that FTP request rejected
- Notified of Approval

- Request for resubmission received
- Utilize Standard Policies and Procedures
- Receive rejection notification
- FTPs Activated for 6 months
- Receive Approval

*Extension Requested?*
- YES: Submit Monitoring Form (within 3 Months)
- NO: Submit final report (2 months after FTP end date)

1. DMS - DHR - PSB – PD - HFCB

*Within one week before the end date of the current activated FTPs*
Annex V: Engaging an IP when FTPs are activated

Engaging with an IP* when FTPs are activated

Yes

No

Activities can be done simultaneously

* - Implementing Partner
Annex VI: Flow chart Assessing Personnel Needs

Personnel Need

Staff or non-staff function?

Staff

International or Local?

International

Duration of assignment?

Fixed-Term (1 year or longer)

Temporary (Less than 1 year)

For HQ and field office posts, recruitment managed by DHR. It may be delegated to RO as required.

Local

Duration of assignment?

Fixed-Term (1 year or longer)

Temporary (Less than 1 year)

At HQ, recruitment managed by DHR.
At field offices, recruitment delegated to RO/SRO/CO

Non-Staff

International or Local?

International

Duration of assignment?

IC (Less than 11 months)

Delegated to hiring offices.
At field offices, delegated to RO/SRO/CO

Local

Duration of assignment

IC (Less than 11 months)

Delegated to hiring offices.
At field offices, delegated to RO/SRO/CO

Service Contract (6 months or longer)

Delegated to RO/SRO/CO
Annex VII: Flow chart Emergency Procurement Procedures

- Procurement Need for goods and/or services is identified
  
  Is there an LTA available? (cf UNFPA or other UN Agency)
  
  YES
  
  Place the PO based on the existing LTA
  
  NO
  
  Launch a procurement exercise
  
  >$4,999
  
  $5,000 – $249,999
  
  $250,000 – above
  
  Shopping
  
  Request for Quotation
  
  Invitation to Bid (goods)
  
  Request for Proposal (services)
  
  Emergency RFP Template
  
  Advertise for at least 48 hours
  
  Advertise for at least 3 days. Required to publish on UNGM
  
  Emergency RFP Template
  
  Advertise for at least 3 days. Required to publish on UNGM
## Annex VIII: Difference between Regular Procurement Procedures (RPP) and Emergency Procurement Procedures (EPP)

<table>
<thead>
<tr>
<th>Threshold, USD</th>
<th>Method</th>
<th>Award</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – 4,999</td>
<td>Shopping</td>
<td>CO budget owner</td>
<td>If possible, 3 quotations should be collected</td>
</tr>
<tr>
<td>5,000 – 49,999</td>
<td>RfQ</td>
<td>Head of the Office (Procurement Authority)</td>
<td>At least 3 offers should be sought. If this is not possible, the reasons for the non-competitive situation must be documented in writing. Open for at least 2 weeks.</td>
</tr>
<tr>
<td>50,000 - above</td>
<td>ITB/RFP</td>
<td>50,000 – 99,999 – LCRC - Head of Office (PA) 100,000 – above – CRC – CPO</td>
<td>Publish on UNGM. Open for at least 3 weeks. Follow thorough evaluation process.</td>
</tr>
<tr>
<td>0 – 4,999</td>
<td>Shopping</td>
<td>CO budget owner</td>
<td>If possible, 3 quotations should be collected</td>
</tr>
<tr>
<td>5,000 – 249,999</td>
<td>RfQ</td>
<td>Head of the Office</td>
<td>At least 3 offers should be sought. If this is not possible, the reasons for the non-competitive situation must be documented in writing. Open for at least 48 hours.</td>
</tr>
<tr>
<td>250,000 – 499,999</td>
<td>ITB/RFP</td>
<td>Head of the Office and Chief PSB. If no consensus between them =&gt; ECR – CPO.</td>
<td>Bid doc to be published on UNGM. Evaluation of offers to be conducted in accordance with regular procurement procedures. Open for at least 3 days.</td>
</tr>
<tr>
<td>500,000 - above</td>
<td></td>
<td>ECRC - CPO</td>
<td></td>
</tr>
</tbody>
</table>
Annex IX: Quick Assessment of IP Procurement Capacity in Emergency Situations

### ASSESSMENT OF IP PROCUREMENT CAPACITY IN EMERGENCY SITUATIONS

#### A. IDENTIFICATION (Please fill responses in column B)

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of the organization who’s (Emergency) Procurement guidelines are to be assessed</td>
<td></td>
</tr>
<tr>
<td>IP Code</td>
<td></td>
</tr>
<tr>
<td>Country Office/Regional Office/Headquarters Division (undertaking the assessment)</td>
<td></td>
</tr>
<tr>
<td>Date of the assessment</td>
<td></td>
</tr>
<tr>
<td>Name of UNFPA staff in charge of the assessment</td>
<td></td>
</tr>
</tbody>
</table>

#### B. ASSESSMENT TABLE

<table>
<thead>
<tr>
<th>SCORE (0-4)</th>
<th>Score Levels</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>No procurement guidelines</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Procurement guidelines exist but are very limited and not updated at all</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Procurement guidelines exist with all (or most of) the relevant chapters including Procurement principles, needs assessment and planning, effective competitive bidding including international competition, segregation of duties, sealed bid, contract</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Procurement guidelines exist, cover all key areas and are updated on a regular basis (at least every second year)</td>
<td></td>
</tr>
</tbody>
</table>

**Type of Organization**

- Choose one:
  - Government
  - Local NGO
  - International NGO
  - Intergovernmental agency
  - Academic Institution
  - Other
<table>
<thead>
<tr>
<th>Approval to update Procurement guidelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the organization maintain an approval system for the update of the Procurement guidelines including its emergency component (if applicable)?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Organization Procurement principles</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent does the organization’s (Emergency) Procurement guidelines take into consideration and comply with the general procurement principles of best value for money, fairness, integrity and transparency as well as open and effective international competition?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Needs assessment and planning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the organization’s (Emergency) Procurement guidelines include planning and specifying requirements prior to initiating any procurement process?</td>
</tr>
</tbody>
</table>

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Issued January 2012  
Revision 2: August 2015
### Sourcing

<table>
<thead>
<tr>
<th>Does the organization maintain and use a “Source and Price list” of all items?</th>
<th>There is no such a list</th>
<th>List exists since -- ---, but it has never been updated</th>
<th>List exists but is not updated on a regular basis</th>
<th>Regularly updated list exists</th>
</tr>
</thead>
</table>

### Bidding process

<table>
<thead>
<tr>
<th>To what extent does the organization’s (Emergency) Procurement guidelines provide effective competitive bidding process, as expected by UNFPA?</th>
<th>There are no effective competitive bidding processes</th>
<th>Some effective competitive bidding processes exist, but they are weak and not compliant with UNFPA’s expectations</th>
<th>Competitive Bidding processes exist and are considered acceptable even not perfect</th>
<th>Competitive Bidding processes that exist are fully compliant with UNFPA expectations</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>To what extent is a clear segregation of duty included within the process contained in the organization’s (Emergency) Procurement guidelines</th>
<th>There is no such segregation</th>
<th>Segregation of duty exists but not compliant with UNFPA expectations</th>
<th>Segregation of duty is included within the process and is considered acceptable even not perfect</th>
<th>Segregation of duty that exists is fully compliant with UNFPA expectations</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Does the organization’s (Emergency) Procurement guidelines, include requirements of posting solicitations above a certain defined threshold, in the public domain?</th>
<th>There are no such requirements</th>
<th>Bid posting requirements are included but not compliant with UNFPA expectations</th>
<th>Bid posting requirements are included and considered acceptable even not perfect</th>
<th>Bid posting Requirements exist and are fully compliant with UNFPA expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent the organization’s (Emergency) Procurement guidelines ensure a secured mechanism to submit and hold bids during the bidding process</td>
<td>There is no such a secured mechanism</td>
<td>Some secured mechanism exists but not compliant with UNFPA expectations</td>
<td>Secured mechanism used is considered acceptable even not perfect</td>
<td>Secured mechanism that exists is fully compliant with UNFPA expectations</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
</tbody>
</table>

**Contract review and award**

<table>
<thead>
<tr>
<th>Does the organization’s (Emergency) Procurement guidelines, designate appropriate procurement authority in relation to approval of the contract value</th>
<th>There is no such a designation of procurement authority</th>
<th>The appropriate procurement authority is designated not in compliance with UNFPA expectation</th>
<th>The designation of appropriate authority is considered acceptable even not perfect</th>
<th>The designation of appropriate authority that comply with UNFPA expectation exists</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Does the organization’s (Emergency) Procurement guidelines, provide a review mechanism to handle contract award from certain defined thresholds</th>
<th>There is no such a review mechanism</th>
<th>Some review mechanism exists but not compliant with UNFPA expectations</th>
<th>Review mechanism is considered acceptable even not perfect</th>
<th>Review mechanism that exists is fully compliant with UNFPA expectations</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Does the organization’s (Emergency) Procurement guidelines, provide a retroactive review mechanism whenever a contract is entered into without having been reviewed by the appropriate Procurement authority (i.e. post-facto review)</th>
<th>There is no such retroactive review mechanism</th>
<th>Some retroactive review mechanism exists but not compliant with UNFPA expectations</th>
<th>Retroactive review mechanism is considered acceptable even not perfect</th>
<th>Retroactive review mechanism that exists is fully compliant with UNFPA expectations</th>
</tr>
</thead>
</table>
### Contract management

<table>
<thead>
<tr>
<th>Question</th>
<th>Criteria</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the organization’s (Emergency) Procurement guidelines, include requirements of publishing contract award above certain threshold, in a public domain?</td>
<td>There are no such requirements</td>
<td>Requirements exist but not compliant with UNFPA expectations, e.g. only published on a bulletin board inside the office building of the organization that issued the solicitation.</td>
</tr>
<tr>
<td>To what extent does the organization have relevant administrative instructions for advance payment, as expected by UNFPA?</td>
<td>There are no such administrative instructions</td>
<td>Some instructions exists but not compliant with UNFPA expectations</td>
</tr>
<tr>
<td>To what extent does the organization have relevant administrative instructions for documenting and filing (emergency) procurement process, as expected by UNFPA?</td>
<td>There are no such administrative instructions</td>
<td>Some instructions exists but not compliant with UNFPA expectations</td>
</tr>
<tr>
<td>Does the organization have capacity (enough staff) and experience to manage and monitor contractees' performance?</td>
<td>The organization has neither the capacity nor the experience of managing and monitoring contractees' performance</td>
<td>The organization has limited experience and no capacity for managing and monitoring contractees' performance</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>In-country logistics</td>
<td>There is no such a system in place</td>
<td>There is a system in place, but it is weak and not consistently complied with UNFPA expectations</td>
</tr>
<tr>
<td>Asset and inventory management</td>
<td>There is no specific supply and material management system</td>
<td>There is a system in place, but it is weak and not compliant with UNFPA expectations</td>
</tr>
</tbody>
</table>

18 Questions

**C. Decision Points**

1) If the overall average score is between 0 and 1.4, consider the IP procurement guidelines not adequate enough per UNFPA expectations.

2) If the overall average score is between 1.5 and 2.4, the organization procurement guidelines can be considered in exceptional cases such as during an emergency, but UNFPA should to be as involved as possible in the procurement process and (if possible) have decision rights for the final contract awards.

3) If the overall average score is between 2.5 and 3, consider the IP Procurement guidelines adequate enough per UNFPA expectations.
Annex X: Business Process owners-FTPs sections

<table>
<thead>
<tr>
<th>Section</th>
<th>Business unit owner</th>
<th>Focal Point</th>
<th>e-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Programme Management</td>
<td>Strategy, Policy and Standards Branch-PD</td>
<td>Nicole Kim</td>
<td><a href="mailto:nicole@unfpa.org">nicole@unfpa.org</a></td>
</tr>
<tr>
<td>II. Human Resources Management</td>
<td>Division of Human Resources</td>
<td>Stephanie Ngo, Carol Nettleingham</td>
<td><a href="mailto:ngo@unfpa.org">ngo@unfpa.org</a>, <a href="mailto:nettleingham@unfpa.org">nettleingham@unfpa.org</a></td>
</tr>
<tr>
<td>III. Finance Management</td>
<td>Division for Management Services</td>
<td>Tsitsi Soko</td>
<td><a href="mailto:tsoko@unfpa.org">tsoko@unfpa.org</a></td>
</tr>
<tr>
<td>IV. Procurement Management</td>
<td>Procurement Services Branch</td>
<td>Daniela Andries, Ingegerd Nordin</td>
<td><a href="mailto:andries@unfpa.org">andries@unfpa.org</a>, <a href="mailto:nordin@unfpa.org">nordin@unfpa.org</a></td>
</tr>
</tbody>
</table>
Annex XI: Financial Management
Determine cash management methodology required
Activate Finance Area of FTP
Activate Finance Area of FTP
Activate “UNFPA FTP activation in banking area”

Special Cash on Hold (up to $10,000) → Send separate request to Director, DMS for special approval → Once approved, refer to Petty Cash Management policy for detailed procedures on safekeeping, documentation, accounting in Atlas and reconciliation

Petty Cash up to $5,000 → Activate Finance Area of FTP → Follow Petty Cash Flowchart below → Does CO have LTA with Financial Services Organization?

NO → Submit request for project cash advance to Director, DMS with copy Chief, FB → Once approved, refer to section 3.2.(b) for the detailed procedure around the safekeeping, documentation, recording and reconciliation of project cash advances → Follow procedures for recording UNFPA Project Cash Advances in Annex 12 below

YES → Engage the services of provider for the distribution of cash in line with LTA → Once approved, share copy of FTP activation form with UNDP Resident Representative/UNDP Country Director in Country

Urgent Disbursements – Banking Services
Annex VII: Petty Cash Flow Chart

- Petty Cash need identified
  - YES: Include Financial Management in FTP activation (see Annex 1)
  - NO: No further action necessary
- Petty Cash exception available (increased to $5,000 per CO)
- Refer to Petty Cash Management Policy for detailed procedures on safekeeping, documentation, accounting in Atlas and reconciliation
- Bring petty cash balance to normal within one month of FTP expiration
Annex XIII: Procedure for recording UNFPA Project Cash Advances

Offices must use account 16007 + full COA to record the advance + open item key of the staff member who will be entrusted with the advance. Upon the completion of activity and submission of expenditure report, please issue AP Journal Voucher: Dr 7xxxx (“+” amount to relevant expense account codes) + full COA and Cr 16007 + full COA used at advance stage + open item key.

Should the office have any unspent balance after completing the expenditure report, the deposit should be applied to 16007 + full COA + open item key. Please note that balance under account 16007 should be fully liquidated by the end of the year.

Please be informed that Finance Branch has introduced a budget checking to account 16007 – Project Advances. This account will follow the logic of OFA account 16005 i.e. there will be a reduction of the budget availability for the amount recorded under account 16007 at the time when voucher is approved and budget checked. Similarly, budget availability may be increased in case of deposits recorded under account 16007. This will enhance your budget controls.

Cognos Reports: Please note that amounts recorded under account 16007 will be presented in the Cognos reports under ‘Disbursement’ column and therefore temporarily increase the implementation rate. However all un-liquidated balances at the year-end will be rolled over to the next year (same process as for OFA balances) that will reduce current year’s implementation rate and claim budget of the following year. Therefore it is important to keep balances at the year-end to an absolute minimum.
Annex XIV: Minimum information required to be included in the invoice manually prepared by the vendor for payment by UNFPA

- Vendor name
- Vendor address
- Invoice number
- Invoice date
- PO reference (if related to purchase order) or if no PO, details of instruction received
- Invoice currency
- Itemized description
- Amount (quantity delivered, price per unit and total amount per line)
- Grand total of invoice
- Payment terms (i.e. when the payment should be made)
- Signature, name and office / position of vendor staff preparing this invoice