**ANNEX A: CITIES ALLIANCE - Matrix of Responsibilities**

This matrix outlines responsibilities between the Secretariat, the UNOPS Liaison Officer and other UNOPS staff with respect to matters of HR, procurement, grant making and financial administration.

*X = Lead, Main Responsible, Clearer etc.*

*(X) = Support, Comments, Feedback etc.*

***1. Human Resources Management***

A. Recruitment of CA Secretariat Staff

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate\*** | **Other UNOPS Staff** | **CG/EXCO** |
| A1. Identification of international substantive staff needs | **X** |  |  | **X** |
| A2. Preparation and substantive review of the TOR | **X** |  |  |  |
| A3. Review of the TOR for compliance with UN standards |  | **(X)** | **X** |  |
| A4. Determination of contract modality and recruitment level | **X** | **(X)** | **X** |  |
| A5. Advertisement of position |  | **X** |  |  |
| A6. Prequalification and preparation of shortlist of candidates | **(X)** | **X** | **(X)** |  |
| A7. Review and concurrence of shortlist | **X** |  |  |  |
| A8. Convening and management of selection panel\* | **(X)** | **(X)** | **X** |  |
| A9. Recommendation of candidate | **X** | **(X)** |  |  |
| A10. Presentation of recommended candidate to UNOPS Appointment and Selection Panel (ASP) |  | **(X)** | **X** |  |
| A11. Final approval of selection |  |  | **X** |  |
| A12. Issuance of Offer of Appointment |  | **(X)** | **X** |  |
| A13. Issuance of Letter of Appointment |  | **(X)** | **X** |  |
| A1. Administration of contract including assignment and separation entitlements |  | **(X)** | **X** |  |

\* The Program Associate supports the Liaison Officer in his/her execution of duties

\*\* Representatives of the Secretariat and the UNOPS Liaison Officer participate in the selection panel which is established as part of the UNOPS selection procedures

B. HR Support for CA Secretariat Staff

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| B1. Substantive supervision of staff | **X** |  | **(X)** |  |
| B2. Substantive supervision of CA Manager |  |  | **X** | **X** |
| B3. Performance appraisal | **X** |  | **(X)** |  |
| B4. Attendance recording | **(X)** | **X** |  |  |
| B5. Leave approval | **X** | **(X)** |  |  |
| B6. Leave tracking |  | **X** |  |  |
| B7. Issuance and extension of Laissez-passer |  | **(X)** | **X** |  |
| B8. Payment of salary and entitlements\* |  |  | **X** |  |

\*Budgets for the costs of international experts are to include provision for all termination liabilities specified in the employment contracts.

C. Recruitment of Individual Consultants (international and local)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| C1. Identification of consultancy needs | **X** |  |  |  |
| C2. Preparation and substantive review of the TOR | **X** |  |  |  |
| C3. Determination of contract modality and recruitment level | **X** |  | **X** |  |
| C4. Review of the TOR for compliance with UN standards |  | **X** | **X\*** |  |
| C5. Advertisement of position |  | **X** |  |  |
| C6. Prequalification and preparation of shortlist of candidates | **X** | **(X)** |  |  |
| C7. Review and concurrence of shortlist |  | **X** | **X\*** |  |
| C8. Convening and management of selection panel | **(X)** | **(X)** | **X** |  |
| C9. Recommendation of candidate | **X** | **(X)** |  |  |
| C10. Presentation of recommended candidate to Contracts Committee or Procurement Authority |  | **X** | **X** |  |
| C11. Final approval of selection |  | **(X)** | **X** |  |
| C12. Issuance of Offer of Appointment Contract |  | **(X)** | **X** |  |
| C13. Issuance of Letter of Appointment |  | **(X)** | **X** |  |
| C14. Negotiation, issuance and administration of contract, including travel authorisation/arrangements | **(X)** | **X** |  |  |
| C15. Technical supervision of consultant | **X** |  |  |  |
| C16. Performance and Evaluation of work progress | **X** |  |  |  |
| C17. Review/approval of final report | **X** | **(X)** | **(X)** |  |
| C18. Payment of consultant |  | **(X)** | **X** |  |

\* Would apply only to IICA 3 and above.

***2. Procurement services***

D. Consulting Firms

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| D1. Identification of consultancy needs | **X** |  |  |  |
| D2. Preparation of draft Terms of Reference | **X** |  |  |  |
| D3. Review/revision of Terms of Reference |  | **X** |  |  |
| D4. Advertisement of position |  | **X** |  |  |
| D5. Prequalification |  | **X** |  |  |
| D6. Short-listing | **X** | **(X)** | **(X)** |  |
| D7. Concurrence and approval of shortlist | **(X)** |  | **X** |  |
| D8. Preparation and issuance of RFP/ITB |  | **X** | **(X)** |  |
| D9. Evaluation of proposals and final recommendation | **X** | **(X)** |  |  |
| D10. Award of contract | **X\*** |  | **X** |  |
| D11. Drafting, negotiation and signing of contract and authorisation to proceed | **X\*** | **(X)** | **X** |  |
| D12. Administration of the contract | **(X)** | **X** |  |  |
| D13. Technical monitoring | **X** |  |  |  |
| D14. Evaluation of performance | **X** | **(X)** | **(X)** |  |
| D15. Payment to consulting firm |  | **(X)** | **X** |  |

***\**** Contracts will be awarded by officers holding delegations of authority. Secretariat staff can award contracts if delegated to do so.

E. Procurement of Equipment and Supplies

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| E1. Preparation of equipment list | **X** |  |  |  |
| E2. Preparation of detailed specifications | **X** | **(X)** |  |  |
| E3. Finalization of specifications |  | **X** |  |  |
| E4. Advertising (if required) |  | **X** |  |  |
| E5. Prequalification and short-listing |  | **X** |  |  |
| E6. Concurrence and approval of shortlist | **(X)** |  | **X** |  |
| E7. Issuing Invitation to bid |  | **X** |  |  |
| E8. Evaluation of bids and final recommendation | **(X)** | **X** |  |  |
| E9. Award of purchase order | **(X)** | **X** |  |  |
| E10. Inspection and shipment (if required) |  | **X** | **(X)** |  |
| E11. Customs clearance (if required) |  | **X** | **(X)** |  |
| E12. Delivery to final user | **(X)** | **X** |  |  |
| E13. Receipt and acceptance of equipment/supplies | **X** | **X** |  |  |
| E14. Payment to supplier |  | **(X)** | **X** |  |

F. Procurement of works/services

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| F1. Preparation of detailed works specifications | **X** | **(X)** |  |  |
| F2. Preparation of tender documents |  | **X** |  |  |
| F3. Advertising (if required) |  | **X** |  |  |
| F4. Prequalification (if required) |  | **X** |  |  |
| F5. Preparation of proposed short-list | **(X)** | **X** |  |  |
| F6. Concurrence and approval of shortlist | **X** |  | **X** |  |
| F7. Issuance of tender |  | **X** |  |  |
| F8. Evaluation of bids and final recommendation | **(X)** | **X** |  |  |
| F9. Award of contract | **X\*** |  | **X** |  |
| F10. Contract, preparation, negotiation and signing and authorisation to proceed | **X\*** | **(X)** | **X** |  |
| F11. Payment to contractors |  | **(X)** | **X** |  |
| F12. Contract administration |  | **X** |  |  |
| F13. Technical monitoring of contract | **X** |  |  |  |
| F14. Certification of Completion of Work | **X** | **(X)** |  |  |

***\**** Contracts will be awarded by officers holding delegations of authority. Secretariat staff can award contracts if delegated to do so.

***3. Travel and Events Management***

G. Travel Support

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| G1. Clearance of mission | **X** |  |  |  |
| G2. Issuance of travel authorisation |  | **X** |  |  |
| G3. Booking and purchase of tickets | **X** | **X** |  |  |
| G4. Hotel Reservation | **X** | **X** |  |  |
| G5. Payment of DSA etc. |  | **(X)** | **X** |  |
| G6. Settlement of travel claim | **(X)** | **(X)** | **X** |  |

H. CG, EXCO and PAF Meetings

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| H1. Preparation and circulation of provisional agendas | **X** | **(X)** |  | **X** |
| H2. Logistical arrangements | **(X)** | **X** |  |  |
| H3. Managing invitations | **X** |  |  |  |
| H4. Arrangement of translators and interpreters | **(X)** | **X** |  |  |
| H5. Travel arrangements for participants | **(X)** | **X** |  |  |

***4. Grant Making Activities***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| ***> Grant Appraisal*** |  | | | |
| I1. Initiation of funding proposals for all business lines | **X** |  |  |  |
| I2. Technical appraisal of funding proposals for all business lines | **X** |  |  | **(X)** |
| I3. Fiduciary assessment (FM, procurement, safeguards) of recipient and proposals for all business lines | **X** |  |  |  |
| I4. Approval of funding proposals for all business lines | **X** | **(X)** | **X** | **X** |
| ***> Grant Set Up*** |  | | | |
| I5. Drafting and consultations on draft Grant Support Agreements, Government MOUs, UN-to-UN Agreements\*. | **(X)** | **X** | **(X)** |  |
| I6. Review/revision of Grant Support Agreements, Government MOUs, UN-to-UN Agreements | **(X)** | **(X)** | **X** |  |
| I7. Final award and signature of Grant Support Agreements, Government MOUs, UN-to-UN Agreements. | **X** | **(X)** | **X** |  |
| I8. Creation of grant payment records in ATLAS | **(X)** | **X** | **(X)** |  |
| I9. Disbursement package preparation and release of 1st Installment | **(X)** | **X** | **X** |  |
| ***> Grant Monitoring*** |  | | | |
| I10. Technical Monitoring of project implementation | **X** |  |  |  |
| I11. Financial Management and release of follow-on payments | **X** | **(X)** | **X** |  |
| I12. Amendment of Grant Support Agreements, Government MOUs, UN-to-UN Agreements | **X** | **X** | **X** |  |
| I13. Evaluation of performance of funded activity | **X** | **(X)** | **(X)** |  |
| I14. Grant closure | **X** | **(X)** | **X** |  |

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

***5. Financial Administration and Reporting***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Activity** | **Secretariat** | **Liaison Officer/**  **Program Associate** | **Other UNOPS Staff** | **CG/EXCO** |
| J1. Administration of Contributions | **(X)** | **(X)** | **X** |  |
| J2. Transfer of Funds | **(X)** | **(X)** | **X** |  |
| J3. Preparation of Medium-term business plans | **X** |  |  | **(X)** |
| J4. Preparation of annual work plan (including annual budget) | **X** | **(X)** | **(X)** |  |
| J5. Approval of annual work plan (including annual budget) and business plans |  |  |  | **X** |
| J6. Maintenance of separate ledger account for project funds |  | **(X)** | **X** |  |
| J7. Interest calculation |  |  | **X** |  |
| J8. Review of progress against annual work plan and agreement on necessary budget revisions | **X** | **(X)** | **(X)** |  |
| J9. Semi-annual interim financial statements to donors | **(X)** | **(X)** | **X** |  |
| J10. Annual certified financial statements to donors | **(X)** | **(X)** | **X** |  |
| J11. Annual results-based narrative reports | **X** | **(X)** | **(X)** |  |
| J12. Closure of accounts and return of unspent balance | **(X)** | **(X)** | **X** |  |