

Management of Resource Mobilization Records at WHO

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Abbreviations and Definitions

AAR	Award Activation request
ACT	Accounting Services
AMR	Award Amendment request
Award number	Attributed by the GSM finance system. The same award number may be used for many activities (procurement, travel, resource mobilization). Once issued, an award will have records for resource mobilization and supporting contracts for expenditures under the areas of e.g. procurement and travel.
AWC	Award Creation Unit
Content ID	Unique identifying number, created by ECM, attributed to each folio or document
CRM	Coordinated Resource Mobilization Unit
Document Content ID	Unique identifier for each record
ECM	Enterprise Content Management
FENSA	WHO Framework of engagement with non-State actors
FNM	Department of Finance
F-AMR	Financial Award Amendment request
Folio Content ID	Unique identifier for each folio
GFI	Global Financial Services
GSM	Global Management Services
HQ	Headquarters
I-AMR	Information Award Amendment request
IMT	Department of Information Management and Technology
LEG	Office of the Legal Counsel
PNA	Partnerships and Non-State Actors
RAS	Records and Archives Services
WHO	World Health Organization

Introduction

This document outlines policies and procedures relating to the management of resource mobilization records at WHO and the responsibilities of the different stakeholders involved in the management of resource mobilization records. It is not concerned with business procedures regarding award processing and management¹ or with end-to-end² donor relations.

With the launch of Global Management Services (GSM) in 2008, resource mobilization records became widely accessible for viewing by staff. Together with Coordinated Resource Mobilization Unit (CRM) and the Awards team of the Accounting Services (ACT), Records and Archives Services (RAS) have developed policies and procedures for managing resource mobilization records in the Enterprise Content Management (ECM) system before funds can be accessed by the relevant units and regions. As of 1st August 2019, the creation of folios and the upload of Resource mobilization records into ECM are carried out by the GSC Award Creation Unit (AWC).

The procedures are to be used by all staff in charge of resources in Headquarters (HQ), regional offices (RO) and country offices (CO).

Resource mobilization records (agreements, amendments, interim/final financial and technical reports and many other supporting records) are key WHO records.

- They support the funds donated to WHO. They must be readily accessible in ECM and linked to the award in GSM.
- The recording of the resource mobilization records in ECM ensures that the records are accessible and reliable thus providing transparency and efficiency of WHO procedures and the preservation of the Organization's institutional memory.³

The Awards team of the Accounting Services (ACT) within the Department of Finance (FNM) has overall responsibility for award creation, award amendments, on-going award reviews and reporting, revenue policy and reporting, accounts receivable follow up, determining amounts for foreign currency receivable hedging, reviewing and linking all cash receipts to awards, and closure of completed/expired awards.

Coordinated Resource Mobilization (CRM) is a department in the External Relations Cluster. CRM is responsible for strengthening coordinated resource mobilization within WHO.

Records and Archives Services (RAS) is a team in the Business Operations Strategy (BOS). The main mission of RAS is to preserve WHO's valuable recorded information to ensure accountability to Member States, partners and other stakeholders, and to provide essential evidence of the Organization's actions and decisions. RAS has the overall responsibility for developing and maintaining records management standards in records and archives management systems.

Award Creation Unit (AWC), within the Global Finance unit (GFI) at GSC (Global Service Center), is responsible for creating folios and uploading resource mobilization records into ECM based on records management standards and liaising with end-users to provide the link for awards activation requests.

¹ FIN.SOP.IV.010 Awards End-to-End

² eManual IV.1 Mobilizing Resources for donors <https://emanual.who.int/p04/s01/Pages/default.aspx>

³ Records and Archives Mission, Vision and Strategies <https://intranet.who.int/homes/ras/vision/>

AWC is also responsible for the timely and accurate creation of all awards, administrative amendments, entering the distribution of awards and applying awards to fund projects (workplans). The other activities performed by AWC have not been included in this document as they are not related to ECM.

Enterprise Content Management (ECM)

The Enterprise Content Management (ECM) system is the official repository for records supporting GSM transactions. ECM incorporates adequate functionalities such as capturing records, allocating a unique identifier and watermark to each record and applying efficient access or disposal of records. These functionalities assure the reliability, authenticity and integrity of the records and guarantee the existence of tools and business rules.

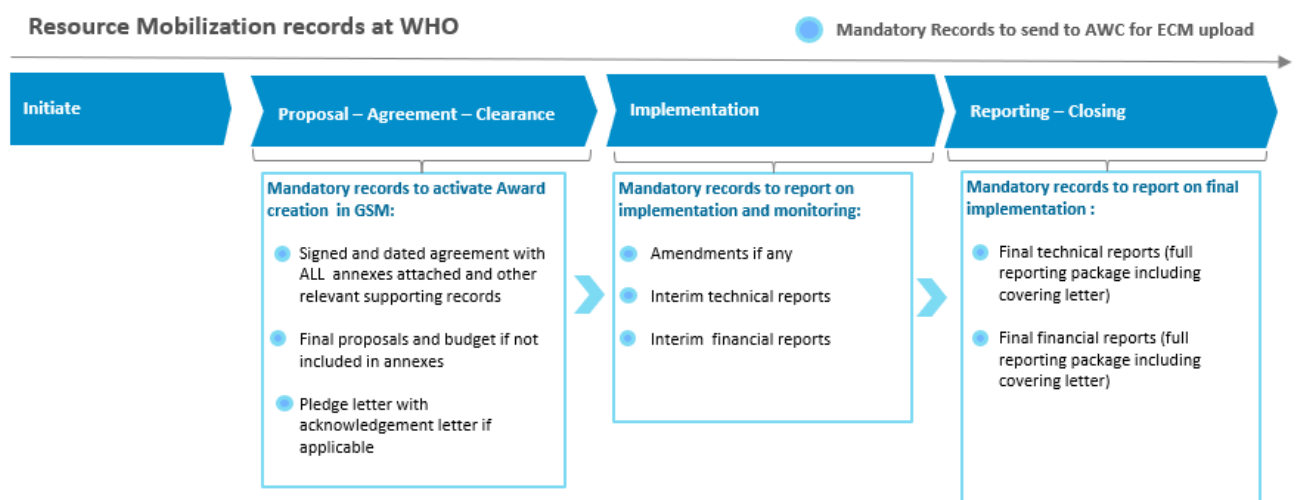
All relevant documents must be centrally available to assist users and to securely retain records of long-term value for administrative, legal, audit and historical purposes. Once uploaded into ECM by AWC, the scanned versions of the contribution/donor agreements and related supporting documents are retained permanently electronically and therefore, the original paper versions can be discarded.⁴

The records are organized according to a functional classification plan. This means that each agreement is allocated an official WHO Records Reference Number which groups together all the records related to a single agreement (proposals, agreement, amendments, acknowledgment letters, interim and final financial and technical reports, supporting correspondence...). This unique WHO Records Reference Number is a key for accessing, searching and retrieving resource mobilization records.

Each folio (virtual file containing records of the same agreement) and each document is attributed a unique identifier which is generated automatically by ECM.

Mandatory records to send to AWC for upload into ECM

This process flow shows all steps in which staff involved in Resource mobilization are required to send key records to AWC.



⁴ eManual V.1.3 Records management and related content [WHO Records Retention Schedules n°17](#)

Related SOPs, eManual sections and guidance documents

Standard Operating Procedures (SOPs)

- FIN.SOP.IV.010 Awards End-to-End
- FIN.SOP.IV.011 Award creation & review
- FIN.SOP.IV.012 Customer/Donor Creation and review

eManual sections

- [IV. Resource Mobilization, Revenue and Awards](#)
- [V. Archives and Records Management](#)
- [XVIII. Engagement with non-State actors, collaboration with the United Nations and other intergovernmental organizations and WHO health partnerships and collaborative arrangements](#)

Other useful links

- [Awards and Accounts – Finance Forms](#)
- [Guide for staff on engagement with non-State actors](#)
- [Records and Archives Vision, Mission and Strategies](#)
- [Standard Agreements and correspondence](#)
- [WHO Records Retention Schedules](#)

1. The Role of HQ technical units and regional offices' focal points ⁵

- Records related to new agreements and/or supporting documents must be sent by email to AWC in PDF (awards@who.int) using the AAR form (*Awards Activation request*). All tabs within this form must be completed to avoid any delays. ⁶
- The contribution/donor agreements ⁷ provided by HQ Technical units and regional focal points must be fully signed, dated ⁸, authentic and complete. ⁹
- If an agreement does not appear to meet the required standards of authenticity and completeness, AWC will seek clarification, and possible remedial action, from the TU. AWC may also consult with RAS, the Office of the Legal Council (LEG) and CRM.
- Records related to existing agreements (including amendments to the agreement) and/or supporting documents must be sent by email to AWC in PDF awards@who.int using the appropriate form ¹⁰:
 - *F-AMR for financial award amendment request (financial amending documents)*
 - *I-AMR for administrative amendments (no cost extension/amending documents)*.
 All the tabs in these forms should be completed to expedite the process.
- In ECM, AWC will create folios for new agreements, upload records to new or existing folios and link the records to the award in GSM.
- After submitting technical reports and certified financial statements to the donor, technical units and regional focal points send by email via the *Donor report form* ¹⁰ the full reporting package including cover letter to AWC for uploading into ECM.
- Technical units and regional focal points enter the date that the report has been submitted to the donor in GSM 'Reports due to donor'.

The scanning standard is PDFa, black and white or color, 300 dpi. Documents submitted in other file formats will automatically be converted to pdf. Excel files will not be converted to pdf but should be avoided if possible. Zip files will not be accepted.

Once uploaded into ECM by AWC, the scanned versions of the contribution/donor agreements and related supporting documents are retained permanently electronically and therefore the original paper versions may be discarded.

⁵ Regional offices identify focal points responsible for resource mobilization records and for liaising with AWC.

⁶ Finance forms <https://intranet.who.int/homes/act/form/>

⁷ CRM team has negotiated standard agreements in order to ensure that financial and reporting requirements are in line with WHO policies and procedures <https://intranet.who.int/homes/crm/templates> .

⁸ ADGs in HQ, RDs in Regional offices, or Officially Delegated signatories

⁹ Signatures of both parties; date of signature; annexes if any

¹⁰ Finance forms <https://intranet.who.int/homes/act/form/>

2. The Role of Award Creation Unit (AWC)

- AWC receives from HQ technical units or from regional focal points, signed and dated donor agreements, amending or supporting documents (electronic or scanned versions – see section 1) via email (awards@who.int) with the appropriate completed form ¹¹:
 - *AAR form for Awards Activation request (new agreement);*
 - *F-AMR form for Financial Award Amendment Request (financial amending documents) or*
 - *I-AMR for Award Amendment Request (no cost extension/amending documents).*
- AWC verifies the validity of the documents, their completeness and authenticity. In case of doubt, AWC may also consult with RAS, LEG or CRM.
- In ECM, AWC classifies the documents by generating the official WHO Records Reference Number, creates the relevant folios, indexes and describes the records, uploads the records and associates them with the appropriate folios. These actions generate the Folio and Document Content IDs (unique identifiers) as a link.
- AWC uses the links to link the correct records to the award in GSM.
- AWC and ACT attach the folio links to the awards respectively during award creation and administrative/ financial amendments.
- AWC notifies technical units and regions on any awards amendment/creation and provides the links for further reference, copying CRM.
- AWC staff work with RAS, CRM and ACT to resolve non-routine cases.
- AWC updates the master list of donor names upon validation of new donor names and categories by CRM.
- AWC will add the award number to the folio and will amend accordingly if there are changes to the award numbers.

3. The Role of Accounting Services (ACT) ¹²

- ACT processes F-AMRs (submitted by technical units) that include the links of the associated folios and/or records created in or uploaded to ECM, by AWC.
- ACT completes relevant steps as listed above under AWC for the processing of AMRs.
- Upon the request of award managers, ACT prepares both interim and final certified financial reports related to resource mobilization and sends them to technical units for (i) submission to donor; (ii) updating GSM ‘Reports due to donor’; (iii) sending to AWC for uploading into ECM as an official record.
- ACT staff work together with CRM, AWC and RAS to resolve non-routine cases.

¹¹ Finance forms <https://intranet.who.int/homes/act/form/>

¹² The Reporting Unit of the Accounting Services (ACT), is responsible for certified donor financial reports – both interim and final.

4. The Role of Records and Archives Services (RAS)

- RAS has the overall responsibility for developing and maintaining records management standards in ECM including, but not limited to, resources mobilization records.
- RAS liaises weekly with AWC for any records management issues related to resources mobilization records.
- RAS is the focal point for questions regarding records retrieval and access.
- RAS acts as a focal point for all technical issues related to ECM and monitors the support together with IMT.

5. The Role of Coordinated Resource Mobilization Unit (CRM)

- CRM is the business owner of the resource mobilization functional area within GSM and ECM.
- Any major changes concerning donor names and donor categories are referred to CRM for advice and verification.
- For new donors, technical units are responsible for determining the donor category under the “simplified procedure”. For non-State actors that require due diligence it is necessary to liaise first with the FENSA Designated Focal point and the department of Partnerships and Non-State Actors (PNA) as appropriate.
- CRM follows the same procedures as HQ technical units and regional focal points for requesting folio creation, records upload, etc.
- CRM staff work together with ACT, AWC and RAS to resolve non-routine cases.
-

6. Process for creating new donors in GSM

An award is generally established based on a signed and dated agreement with the donor. To be able to account for contributions by a donor, the donor’s name must be accurately identified during the agreement review process. Most donors already exist however, all new donors need to be recorded in GSM and ECM before the folio and award can be created. ¹³

- HQ Technical unit and Regional focal points sends the fully signed and dated agreement with the new donor to AWC (after any necessary clearances from Certifying Officers, and if required CRM, LEG, FNM/ACT, and FENSA Designated Focal points and PNA, on accepting funds from the new donor).
- If the donor does not exist in ECM, AWC in consultation with RAS sends the proposed donor code, based on information in the agreement to CRM for creation in GSM.
- AWC proceeds with donor creation in GSM.
- AWC then proceeds with folio and document creation in ECM (see section 2)
- AWC proceeds to create the award in GSM and notifies the technical unit and CRM of the award number.

¹³ FIN.SOP.IV.012 Customer/Donor Creation and review

7. The Role of the Department of Information Management and Technology (IMT)

- IMT is responsible for technical maintenance of ECM.
- IMT assigns GSM responsibilities which govern access and use of the system.

Conclusion

These procedures must be carried out systematically by all staff. Resource mobilization records are key WHO records, used in day-to-day administration. They enable the Organization to ensure accountability, and they contribute to the institutional memory. Managing these records properly is a high priority and managing them in the context of GSM allows this business function to be coordinated globally.