

**Fourth Meeting of the Advisory
Board of the Santiago network**

SNAB/2025/04/06

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Provisional agenda item 6 c.

Relevant existing rules and regulations of the co-hosts

Summary

Paragraph 26 of the hosting MOU, annexed to decision 6/CMA.5, endorsed in decision 2/CP.28, details that the Santiago network Secretariat shall administer, through UNOPS and, where required, UNDRR, in accordance with their respective regulations, rules and procedures, the funds that will be provided to the Santiago network.

At its third meeting, the Advisory Board of the Santiago network approved the Santiago network managing funding guidelines and requested the interim secretariat to share relevant existing rules and regulations of the co-hosts as they apply to the Santiago network, including relevant financial evaluation processes, and information and process of due-diligence for its consideration at its next meeting.

This document provides a synopsis of relevant UNOPS rules and regulations and how they apply to the Santiago network. Hyperlinks to those that are publicly available are included. This document complements the Santiago network [Guidelines and procedures for responding to requests for technical assistance](#) and the [Guidelines for managing funding](#) and should be reviewed together with the 'Glossary of key terms in the Santiago network guidelines for managing funding (SNAB/2025/04/05)' and the 'Process flow of the Santiago network (technical assistance & managing funding) (SNAB/2025/04/07)'.

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I. Background

1. Paragraph 26 of the [Santiago network hosting MOU](#), annexed to decision 6/CMA.5, endorsed in decision 2/CP.28, details that ‘the Santiago network Secretariat shall administer, through UNOPS and, where required, UNDRR, in accordance with their respective regulations, rules and procedures, the funds that will be provided to the Santiago network to support technical assistance for the implementation of relevant approaches to averting, minimizing and addressing loss and damage associated with the adverse effects of climate change in developing countries that are particularly vulnerable to those effects in support of the functions of the Santiago network, including the engagement of appropriate organizations, bodies, networks and experts. The funds will be managed in accordance with the respective regulations and rules of UNOPS and UNDRR, as applicable’.
2. As per the hosting arrangement of the Santiago network Secretariat, UNOPS shall enter into legal obligations and financial commitments on behalf of the Santiago network Secretariat, in consultation with UNDRR, in accordance with UNOPS regulations, rules, policies and procedures. UNOPS shall also be responsible for receiving and managing funds, on behalf of the Santiago network Secretariat, which will be received in accordance with the UNOPS Financial Regulations and Rules and relevant contribution agreements concluded with such Funding Sources.
3. Paragraph 18 of the [Santiago network guidelines for managing funding](#) provided for technical assistance details that ‘the following section contains information on how the Santiago network will manage funding allocated to members to provide technical assistance. Please refer to UNOPS Financial Regulations and Rules and UNOPS Grant Support Operational Instruction for further information.
4. UNOPS operates in accordance with a comprehensive legislative framework consisting of Directives and Instructions. Directives are organization-wide policies that govern actions within UNOPS and its external relations. Instructions explain procedures and business processes for the implementation of Directives, as well as United Nations legislation applicable to UNOPS. UNOPS Directives and Instructions are publicly available on the UNOPS website.
5. The tables below provide a synopsis of relevant UNOPS rules and regulations¹ and a high-level explanation of how they apply to the Santiago network including relevant financial evaluation processes, and information and process of due diligence.
6. This document complements the Santiago network guidelines and procedures for responding to requests for technical assistance and the guidelines for managing funding provided for technical assistance. The present document should be reviewed together with the ‘Glossary of key terms in the Santiago network guidelines for managing funding (SNAB/2025/04/05)’ and the ‘Process flow of the Santiago network (technical assistance & managing funding) (SNAB/2025/04/07)’.
7. The Santiago network Secretariat will assess the adequacy of relevant existing rules and regulations of the Co-hosts as they apply to the Santiago network, based on the experience gained in the facilitation and implementation of technical assistance, and will present to the Advisory Board any necessary recommendations to ensure the effective implementation of the functions of the Santiago network.

¹ Where publicly available, hyperlinks to UNOPS rules and regulations have been included.

II. Principal UNOPS Policies relating to management of funding

| SR | Document | Type | Year | Description | Application to the Santiago network |
|----|---|------|------------|---|--|
| 1 | EOD - Financial Regulations and Rules | EOD | March 2017 | The purpose of the FRRs is to set out the basis of UNOPS framework and to ensure effective financial administration and economical use of the resources administered by UNOPS. The FRR apply to all resources administered by UNOPS. | Applicable to all funds of the Santiago network managed by UNOPS on behalf of the Santiago network Secretariat, including those disbursed to member(s) providing technical assistance (including member(s) providing technical assistance). |
| 2 | Grant Support Operational Instruction | OI | 2022 | Outlines the requirements for carrying out grant support as a project activity in UNOPS engagements. Grant support is done through the award and, provision of monetary and in-kind resources, to Implementing Partners, and is outside the UNOPS procurement framework. | In carrying out activities through the provision of grants or funding to members and/or other implementing partners, Santiago network personnel shall refer to this Operational Instruction (OI), the relevant processes, and the templates and guidance material available (see below). |
| 3 | EOD - Anti-Bribery and Anti-Corruption Policy | EOD | Jan 2024 | UNOPS personnel shall uphold the highest standards of efficiency, competence, and integrity. The concept of integrity enshrined in the Charter of the United Nations includes all aspects of behaviour of an international civil servant, including such qualities as honesty, truthfulness, impartiality and incorruptibility. Integrity is the most important among the core values of the organisation, together with professionalism and respect for diversity. This EOD also reinforces standards of personal conduct set out in the Standards of Conduct for the International Civil Service. | Applicable to all personnel of the Santiago network Secretariat recruiting on UNOPS contracts. |

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| 3 | OD - Due Diligence Framework at UNOPS | OD | Apr 2023 | <p>Aligns the due diligence processes conducted within UNOPS with that of the UN SDG Common Approach to Prospect Research and Due Diligence for Business Sector Partnerships, as well as to establish the overarching guiding principles and framework on the basis of which UNOPS shall undertake such due diligence across the organisation.</p> <p>Due Diligence falls under the following functional areas, depending on the type of entity that UNOPS (on behalf of the Santiago network) engages or contracts with:</p> <ol style="list-style-type: none"> 1. Donors, partners, clients, for which Due Diligence Reviews (“DDRs”) are conducted centrally by a dedicated team; 2. Vendors, for which DDRs are conducted by the unit running the procurement process pursuant to monetary/DoA thresholds. 3. Implementing Partners and grantees, for which DDRs are conducted by the unit running the contracting process pursuant to monetary/DoA thresholds. | <p>Applicable to the Santiago network Secretariat as hosted by UNOPS.</p> <p>As detailed in paragraph 22 of the guidelines for managing funding provided for technical assistance, during or on completion of grant negotiation, the Secretariat will conduct a Due Diligence Assessment (DDA) of the member(s) selected to provide technical assistance (members are responsible for conducting their own appraisals of relevant downstream partners).</p> <p>The extent of the capacity assessment will be determined by, and be proportional to the funding amount to be transferred to the member(s).</p> |

III. Principal UNOPS requirements relating to management of funding

| SR | Document | Type | Year | Description | Application to the Santiago network |
|----|--|-------------|------|---|---|
| 1 | UNOPS Determination of Project Activities as Grant Support Requirements | Requirement | 2022 | Provides requirements and related guidance on how to determine whether or not a UNOPS project activity is to be carried out through grant support and links to relevant templates. | As detailed in para 24 of the guidelines for managing funding provided for technical assistance the Santiago network's principal implementing mechanism will be through the issuance and administration of grants to selected members in accordance with the UNOPS regulatory framework. In establishing relevant standard operating procedures, the Secretariat will be guided by UNOPS regulatory frameworks related to grant support tailoring them further based on lessons learned. |
| 2 | UNOPS Inviting Proposals Requirements | Requirement | 2022 | Defines the minimum requirements for inviting proposals during the grant support process from different types of implementing partners (IPs) through different selection methods, and to provide supporting guidance and templates. | The Santiago network guidelines and procedures for responding to requests for technical assistance and the guidelines for managing funding provided for technical assistance outline the process through which the Santiago network invites proposals from OBNEs/members. The process is guided by the standard UNOPS approach for competitive selection. i.e. all potential applicants are simultaneously invited (to the same opportunity) to submit their proposals by a public announcement. It is to ensure an open and transparent process and fairness for all potential applicants. |

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| 3 | UNOPS Proposal Evaluation and Review Requirements | Requirement | 2023 | Identifies the minimum requirements to be met during the proposal evaluation or review step of the grant support process. The difference between the two types of processes under this step and their applicability are explained in detail. This document also describes the different roles involved as well as other relevant aspects in the proposal evaluation or review step. | The Santiago network process flow for managing funding provided for technical assistance outlines the process through which the Santiago network evaluates and reviews proposals. The process is guided by the standard UNOPS approach for proposal evaluation and review under competitive selection, including the formation of an evaluation committee, confidentiality and no conflict of interest provisions, preliminary screening of proposals, technical evaluation, financial evaluation, combined analysis and recommendation, pre-award discussions, proposal evaluation report. The process flow will be further refined based on lessons learned. Tailored standard operating procedures will be developed. |
| 4 | UNOPS Protection from Sexual Exploitation and Abuse (PSEA) Capacity Assessment of Implementing Partners Requirements | Requirement | 2022 | Provides requirements and related guidance, along with associated tools and templates, on conducting a Protection from Sexual Exploitation and Abuse (PSEA) and Capacity Assessment of implementing partners (IPs). This document details the applicability of the requirement for a PSEA Capacity Assessment for different types of partners: Grantees; Central-level government entities; Non-UN intergovernmental organizations; UN system organizations. | As detailed in paragraph 22 of the guidelines on managing funding provided for technical assistance, during or on completion of grant negotiation, the Secretariat will conduct a Due Diligence Assessment (DDA) of the member(s) selected to provide technical assistance (members are responsible for conducting their own appraisals of relevant downstream partners). The extent of the capacity assessment will be determined by, and be proportional to the funding amount to be transferred to the member(s). The Secretariat |

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| | | | | | <p>may request to verify these appraisals and request information about downstream partners at any point. This assessment will review a member’s capacity in several areas including finance, operations, and governance. Based on lessons learned, the Secretariat will further tailor its approach related to capacity assessments.</p> |
| 5 | <p>UNOPS Capacity Assessment of Implementing Partners Requirements</p> | Requirement | 2023 | <p>Provides the process requirements and related guidance, along with associated tools and templates, on conducting a capacity assessment of implementing partners (IPs), as defined in the Grant Support OI. This document details the applicability of the requirement for a Capacity Assessment for different types of partners: Grantees; Central-level government entities; Non-UN intergovernmental organizations; UN system organizations.</p> | <p>As detailed in paragraph 22 of the guidelines for managing funding provided for technical assistance, during or on completion of grant negotiation, the Secretariat will conduct a Due Diligence Assessment (DDA) of the member(s) selected to provide technical assistance (members are responsible for conducting their own appraisals of relevant downstream partners). The extent of the capacity assessment will be determined by, and be proportional to the funding amount to be transferred to the member(s). The Secretariat may request to verify these appraisals and request information about downstream partners at any point. This assessment will review a member’s capacity in several areas including finance, operations, and governance. Based on lessons learned, the Secretariat will further tailor its approach related to capacity assessments.</p> |

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| 6 | UNOPS Proposal Submissions Management Requirements | Requirement | 2023 | The purpose of this document is to strengthen the management of grant support at UNOPS in line with the United Nations system, funding source and audit requirements. In particular, it will enable project teams to effectively manage the requirements for proposal submissions management during this step in the grant support process. The requirements, guidance and templates in this document will help UNOPS ensure that it uses the resources received from funding sources in the most efficient, effective, transparent and accountable manner, and establishes the proper segregation of roles and responsibilities during the grant support process. | The Santiago network guidelines and procedures for responding to requests for technical assistance and the guidelines for managing funding provided for technical assistance outline the process through which the Santiago network manages proposals from OBNEs/members. The process is guided by the standard UNOPS approach for proposals submission management and will be further tailored to the needs of the Santiago network based on lessons learned. |

IV. UNOPS Grant support templates

| SR | Document | Type | Year | Description | Application to the Santiago network |
|----|---|----------|----------|--|--|
| 1 | UNOPS Call for proposal template | Template | Dec 2022 | UNOPS standard Call for Proposals (CFP) template effective 15 Dec 2022 | The Santiago network Secretariat has adapted the standard UNOPS CPF proposal templates in line with the requirements of the Santiago network. An example can be found on the UNGM notification page for the CFP for the Republic of Vanuatu . Further adjustments may be made as the Secretariat gains experience and lessons learned. |

| SR | Document | Type | Year | Description | Application to the Santiago network |
|----|---|----------|----------|---|---|
| 2 | UNOPS (narrative) proposal template | Template | Dec 2022 | UNOPS standard Narrative Proposal template effective 15 Dec 2022 | The Santiago network Secretariat has adapted the standard UNOPS proposal templates in line with the requirements of the Santiago network. An example of the narrative proposal template can be found on the UNGM notification page for the CFP for the Republic of Vanuatu . Further adjustments may be made as the Secretariat gains experience and lessons learned. |
| 3 | UNOPS Financial proposal template | Template | Dec 2022 | UNOPS standard Financial Proposal template effective 15 Dec 2022 | The Santiago network Secretariat has adapted the standard UNOPS proposal templates in line with the requirements of the Santiago network. An example of the financial proposal template can be found on the UNGM notification page for the CFP for the Republic of Vanuatu . Further adjustments may be made as the Secretariat gains experience and lessons learned. |
| 4 | UNOPS appointment of the evaluation or review committee and observers form | Template | Dec 2022 | UNOPS standard form to record details of an evaluation committee including observers. | The Santiago network Secretariat has adapted this standard template in line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned.. |
| 5 | UNOPS Preliminary screening of proposal template | Template | Dec 2022 | UNOPS standard form for preliminary screening of proposals | The Santiago network Secretariat has adapted this standard template line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned. |

| SR | Document | Type | Year | Description | Application to the Santiago network |
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| 6 | UNOPS Technical evaluation template | Template | Dec 2022 | UNOPS standard template for technical evaluation. | The Santiago network Secretariat has adapted the standard UNOPS template in line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned. |
| 7 | UNOPS financial evaluation template | Template | Dec 2022 | UNOPS standard template for financial evaluation. | The Santiago network Secretariat has adapted the standard UNOPS template in line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned. |
| 8 | UNOPS Proposal evaluation: Summary and combined analysis template | Template | Dec 2022 | UNOPS standard template for combined analysis of proposals from all members of the evaluation committee. | The Santiago network Secretariat has adapted the standard UNOPS template in line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned. |
| 9 | UNOPS Proposal evaluation report template | Template | Dec 2022 | UNOPS standard template for combined analysis of proposals from all members of the evaluation committee. | The Santiago network Secretariat has adapted the standard UNOPS template in line with the requirements of the Santiago network. Further adjustments may be made as the Secretariat gains experience and lessons learned. |

V. UNOPS agreement templates (also available in French & Spanish)

| SR | Document | Type | Year | Description | Application to the Santiago network |
|----|---|----------|------|--|---|
| 1 | UNOPS Grant Support Agreement Template | Template | N/A | A written contractual arrangement, and any amendments thereof, between UNOPS and an Implementing Partner in the prescribed form of instrument, for the purposes of Grant Support. The type of instruments, Grant Support Agreement (GSA), Project Cooperation Agreement (PCA), or UN to UN Transfer Agreement (UN2UN), used to enter into an Agreement with the Implementing Partner for the purposes of Grant Support, is determined by the type of Implementing Partner (see Annex 2 of Grant Support OI). Any other type of instruments shall be approved by a UNOPS legal advisor. | The Santiago network Secretariat will use these standard templates when signing agreements with members to provide technical assistance. The agreement templates can be found on the UNGM notification page for the CFP for the Republic of Vanuatu . Adjustments to these templates may be made as the Secretariat gains experience and lessons learned. |
| 2 | UNOPS Project Cooperation Agreement Template | Template | N/A | | |
| 3 | UN-UN Transfer Agreement Template | Template | N/A | | |