

OPERATIONAL POLICIES AND PROCEDURES

Organisational rules

The Board of the Swiss Capacity Building Facility (hereafter SCBF) issues the following organisational rules, based on article 10 of the Articles of Association, version July 1, 2016.

1. BOARD / CHAIR

1.1 Organization

The Board consists of maximum four members elected by the General Assembly for a term of 3 years including a representative appointed by the Swiss Agency for Development and Cooperation (SDC) for an unlimited term.

1.2 Roles and responsibilities of the Chair

- a) Chairs the General Assembly meetings and guides the General Assembly (hereafter GA) in effectively meeting its responsibilities
- b) Chairs the Board meetings
- c) Signs contracts, administrative documents related to employment of personnel or to the Swiss authorities (authorised to sign at two)
- d) Leads internal management or operational issues where necessary
- e) Calls for meetings with the secretariat or is available therefore upon request
- f) Is responsible for all personnel matters, leads interviews for new employments and takes the appropriate decision in cooperation with other members of the Board involved, if appropriate together with the SCBF Manager.
- g) Conducts a conversation with each employee at the end of each year that leads to a performance rating and measures for further career steps.
- h) Acts as the direct contact for the secretariat for any issues that require discussions and/or approval.
- i) The chair is entitled to delegate some of his responsibilities to other members of the board if appropriate.

1.3 Roles and responsibilities of the Vice Chair

The Vice Chair represents the Chair in case of his/her absence and supports the Chair in effectively discharging his/her responsibilities.

1.4 Roles and responsibilities of the Board

- a) Defines SCBF's strategy and targets and periodically reviews progress made
- b) Establishes appropriate communication strategy with key stakeholders
- c) Decides on membership applications
- d) Supervises the secretariat and is responsible for its human resources, including staff recruitment and dismissal.
- e) Takes decisions on behalf of the GA that do not require a voting by the GA.
- f) Represents the SCBF in public
- g) Supports the secretariat and the members in fundraising activities

2. THE SECRETARIAT

2.1 Organisation

The secretariat is jointly led by the SCBF Manager and the Chief Financial Administrator and Controller. They are supported by the Financial Education & Banking Expert, and other staff.

2.2 Roles and responsibilities

- a) Ensures timely and accurate communication between the secretariat and the Board, the members of the SCBF and the funders.
- b) Ensures accessibility of information to members and non-members and the visibility of the SCBF for external partners.
- c) Ensures appropriate and timely organisation and preparation of the General Assembly meetings.
- d) Is responsible for the organization of Project Committee meetings and the entire process in connection with applications, including the moderation of the Project Committee meetings, the elaboration of minutes and communication with the grantees and partner financial institutions.
- e) Ensures the monitoring of all interventions financed by the SCBF (product up-scaling, feasibility studies and financial education interventions).
- f) Ensures in consultation with the monitor that a final report is elaborated in line with the SCBF final reporting template concerned (which is accessible on the SCBF website).
- g) Surveys that a second version of the report in line with the SCBF final reporting template three years after completion of product up-scaling projects is elaborated (final report +3).
- h) Maintains an electronic filing system as well as a physical archive in accordance with the Swiss law.
- i) Updates and maintains the SCBF website.
- j) Ensures mobilisation and effective and efficient allocation of SCBF members' manpower resources for thematic pre-quality checks of applications, participation in Project Committee meetings, decision-making and monitoring of the implementation of approved applications.
- k) Keeps track of the in-kind contributions of the members.
- l) Prepares execution contracts, amendments etc.
- m) Is responsible for the overall financial management of the SCBF and the secretariat, including budgeting, accounting and management of the SCBF trust fund accounts and of all financial transactions in line with the decisions of the Project Committees' decisions and signed execution contracts.
- n) Prepares financial statements for the annual report and the mid-year financial report.
- o) Organises annual audits of the SCBF trust fund account by an external auditor.
- p) Prepares annual reports of the SCBF for the General Assembly meetings in July
- q) Carries out audits of individual interventions.
- r) Assumes the responsibility for HR topics, including salary administration, social security etc.
- s) Ensures compliance with all regulatory requirements set by the Federal Department of Foreign Affairs and the federal authorities in the canton of Fribourg.
- t) Coordinates fundraising activities.
- u) The SCBF Manager and the Chief Financial Administrator and Controller have joint signatory power, either together or with the Chair/Vice-Chair, depending on the character of the document.

Detailed tasks and responsibilities are described in the job descriptions for each staff of the secretariat.

3. PROJECT COMMITTEE

3.1 Organisation

The Project Committees evaluate and decide on all applications for product up-scaling (PU), feasibility studies (FS) and financial education (FE) interventions.

The secretariat selects at least three members for each Project Committee according to their professional competence. SDC as the main funder participates in every Project Committee unless its representative delegates his/her seat to another member.

Applicants shall be available to be dialled into the Project Committee meetings in order to provide information, if needed.

Information about upcoming Project Committee meetings will be sent to all members one week ahead of the meeting.

Members, who endorse applications from non-members, shall participate in the Project Committee as long as they do not have any potential conflict of interest. They only have a voting right if they do not have business interest in the proposal they are endorsing. In either case, endorser is encouraged to assume the role of the monitor.

Decisions within the Project Committees are taken with a qualified majority of at least two thirds, but aim at unanimous decisions.

3.2 Roles and responsibilities of the Project Committee

- a) Each member of the Project Committee has to disclose any financial or other vested interest in the proposal assessment form. In case of any type of financial interest, this member is automatically excluded from decision-making.
- b) When no agreement in respect to a commercial self-interest can be reached at the Project Committee level, the Board can be involved as a resort of final
- c) SCBF members who have provided the funding for specific SCBF applications have a veto right in order to explicitly block approval in cases where justifiable reasons may indicate potential reputational risks.
- d) The members of the Project Committee review all PU, FS and FE applications along the criteria of the application assessment form and ensure that the milestones in the implementation plan are clearly defined and allow for pragmatic monitoring. Decisions on the applications shall be made within three weeks after they passed the pre-quality check.
- e) In the case of approval in principle, the Project Committee members request the applicants to provide further information and/or changes in the application within a certain time frame. If the information is not provided on time, SCBF may release the blocked funds for other applications.
- f) In exceptional cases, CVs of local/regional specialists can be submitted retroactively. In such cases, the grantee is obliged to provide the missing CV in due time to the monitor and the Chief Financial Administrator and Controller for approval. In case the budget needs to be adapted, an appropriate amendment to the contract will be issued. This has to be stated in the original execution contract under “special provisions”.

4. MARKETING AND PUBLIC RELATIONS

All members are committed to ensure a clear and effective presentation and an understood strategy for communicating the SCBF message to the media and avoid any misunderstandings or misquotes.

Each member is entitled to put public documents of the SCBF on their own website and to add information that is correct and consistent with the latest version of the SCBF Articles of Association and the Policies and Procedures as well as other relevant decisions of the Project Committees and/or to disseminate such information via electronic or hard copy newsletter.

The SCBF has no official spokesperson as each member shall handle its media releases and media enquiries responsibly by its own media unit in full compliance with SCBF's policies and strategy. The secretariat assists the members in the marketing and public relations of the SCBF. Use of logos of other members and direct quotes from other members are not allowed, except with prior consent of the same.

In the case of potentially critical issues for the SCBF or even a crisis situation, each member – according to their own careful judgement – shall consult with the Board in writing (by e-mail) about the contents of media releases and responses to media enquiries. The Board may decide to delegate the handling of specific media enquiries to professional media specialists or to the press department of the Swiss Ministry of Foreign Affairs.

The members can market specific PU, FS and FE as their own support, provided that they have mobilized either the full funding or the full manpower for implementation. This requires a prior agreement by the Board to ensure that a member would claim a particular PU, FS or FE as their own.

All members shall engage in fundraising, public relationship building and in the marketing of the SCBF. Grantees and partner financial institutions are requested to indicate the sponsoring role of the SCBF in all their relevant documentation and marketing materials that relate to co-funded support by the SCBF.

The following documents define further detailed regulations whereby they are not part of the Policies & Procedures:

- Mission, co-funding windows and targets
- Proposal guide including:
 - a) Eligibility criteria
 - b) Financial regulations
 - c) Management process