

OPERATIONAL POLICIES AND PROCEDURES

Organisational rules

The Board of the Swiss Capacity Building Facility (hereafter SCBF) issues the following organisational rules, based on article 9 of the Articles of Association, version June 24, 2020.

1. BOARD / CHAIR

1.1 Organisation

The Board consists of at least three and if higher any odd number of 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) Provides leadership to the Board and is responsible for the Board's composition (expertise and gender representation)
- d) Involves the Board of Directors in the Board's work and ensures the Board focuses on its key tasks
- e) Engages the Board in assessing and improving its performance
- f) Reviews the CEO's results and recommendation of SCBF staff annual performance and remuneration review
- g) Leads the hiring and all HR matters related to the CEO
- h) Supports and delegates to the CEO the implementation of the strategy and internal management / operations
- i) Calls for meetings with the secretariat or is available therefore upon request
- j) The Chair is entitled to delegate some of his/her 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

The mission of the Board is to provide the SCBF with the strategic direction, oversight of strategy execution, and operational control of all activities in a manner where they act in the best interests of SCBF as a whole, irrespective of personal, professional, commercial or other interests, loyalties or affiliations.

- a) Defines SCBF's strategy and targets and periodically reviews progress made
- b) Establishes appropriate communication strategy with key stakeholders
- c) Decides on the inclusion of new members with a registered office in Switzerland
- d) Takes decisions on behalf of the GA that do not require a voting by the GA.

- e) Represents the SCBF in public
- f) Supports the secretariat and the members in fundraising activities

1.5 Relationships with other Board committees

- a) The Board is accountable for the work of its standing committees, and assigns, oversees, and monitors their work (e.g. audit committee, HR committee)
- b) The Board approves the Terms of Reference of its committees.
- c) The Board receives input from Committees on issues/recommendations that need to be addressed/approved.

2. THE SECRETARIAT

2.1 Organisation

The secretariat is led by the SCBF Chief Executive Officer with the support of the staff.

2.2 Roles and responsibilities

- a) The CEO is responsible for all personnel matters, leads interviews for new employments and takes the appropriate decisions in cooperation with other members of the Board involved, if appropriate together with the Operations Manager.
- b) The CEO is the direct contact for the secretariat for any issues that require discussions and/or approval.
- c) The CEO is responsible to develop and implement the strategy. The CEO will engage the Board in the process for their input on and approval of the strategy.
- d) The CEO signs administrative documents related to employment of personnel or to the Swiss authorities, approves salary payments (authorised to sign at two).

The Secretariate

- e) Ensures timely and accurate communication between the secretariat and the Board, the members of the SCBF and the funders.
- f) Ensures accessibility of information to members and non-members and the visibility of the SCBF for external partners.
- g) Ensures appropriate and timely organisation and preparation of the General Assembly meetings.
- h) Is responsible for the organisation 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.
- i) Ensures the monitoring of all interventions financed by the SCBF of projects based on co-funding windows.
- j) 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).
- k) Conducts periodic surveys of completed projects to track outcomes of the technical assistance funding.
- l) Maintains an electronic filing system as well as a physical archive in accordance with the Swiss law.
- m) Updates and maintains the SCBF website.
- n) 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.
- o) Keeps track of the in-kind contributions of the members.

- p) Prepares execution contracts, amendments etc.
 - q) 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' and signed execution contracts.
 - r) Prepares financial statements for the annual report and the mid-year financial report.
 - s) Organises annual audits of the SCBF trust fund account by an external auditor.
 - t) Prepares annual reports of the SCBF for the General Assembly meetings in July
 - u) Ensures audits are carried out as required by the audit committee on the individual interventions.
 - v) The CEO is responsible for HR topics, including salary administration, social security etc.
 - w) Ensures compliance with all federal and cantonal regulatory requirements
 - x) Coordinates fundraising activities.
 - y) The SCBF CEO, the Operations Manager and the Financial Administrator and Controller have joint signatory power, either together or with the Chair/Vice-Chair, depending on the character of the document as per the attached Board approved signing authorities.
 - z) The CEO is responsible to conduct annual staff performance and remuneration reviews.
- 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 co-funding windows. The co-funding windows may change periodically based on the Strategy approved by the Board. 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. 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. The CEO cannot endorse applications from non-member organisations. 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 CEO first then the Board can be involved as a resort of final decision
- 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 project 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 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 established 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 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 and/ or CEO in writing (by e-mail) about the contents of media releases and responses to media enquiries. The Board and/or CEO 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.

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