BID No. 06/20

**REQUEST FOR PROPOSALS
FOR**

OASCORE BUSINESS MODERNIZATION PLATFORM PROGRAM

SECRETARIAT FOR ADMINISTRATION AND FINANCE (SAF)

GENERAL SECRETARIAT OF THE ORGANIZATION OF AMERICAN STATES (GS/OAS)
Department of Procurement Services

November 6th, 2020

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1   EXECUTIVE SUMMARY

The General Secretariat of the Organization of American States (GS/OAS) seeks a response to this request for proposal (RFP) to migrate from its current OASES system, which is based on the current on-prem and legacy ORACLE Enterprise Business Solution (EBS) Enterprise Resource Planning (ERP) system, to the new OASCORE, a new modernized cloud platform that will be designed using a post-modern ERP approach based on best of breed cloud technologies. The GS/OAS sponsor organization leading this program is the Secretariat of Administration and Finance (SAF).

The new modern OASCORE platform will be designed based on a core system with a central data repository (source of truth) and real-time integrations based on the following technologies:

- Microsoft Dynamics 365 (MSD 365) - main financial core system to include the power apps platform, common data platform and multi-language support;

- Business Process Management (BPM) Workflow Platform (e.g..: Nintex K2, ServiceNow, Appian, etc.) – a work-flow layer on top of the core system that will pull and push information from the common data platform to support organizational business workflow processes such as HR, Procurement, General Services among others;

- New In-House Payroll System – while OASES currently provide the payroll capability within the Oracle platform, MS Dynamics 365 no longer offers it within its platform. The GS/OAS has, after market research, decided to build its own system based on the MS Azure infrastructure. While in-scope, it shall be priced separately to evaluate against our budget requirements.

- Current Legacy Systems - OASES legacy currently integrates with several legacy systems, mostly in-house built to provide workflow capabilities to the organization that do not require a system and will most likely be integrated within the new OASCORE platform as workflows designed by the BPM system;

- Microsoft Azure Platform –to potentially augment additional capability gaps that exist in the organization or within MSD 365 or BPM platform;

OASCORE will leverage the abovementioned technologies, and must support the organization's four official languages, maximizing digitization, integration, and automation of business processes to provide real-time and secured data/information at the fingertips of all GS/OAS stakeholders anytime, anywhere and from any device.

A key emphasis for the implementation of the OASCORE program will be placed on governance, mainly around communication, time and conflict management as well as organizational change management to ensure that the program is delivered on time, within budget and by meeting or exceeding the expectations of all GS/OAS stakeholders.

The GS/OAS is seeking for a partner to serve as a system integrator to own the full migration from OASES to a successful implementation of OASCORE and that have preferably an understanding and

experience working with international organizations since its political environment, culture and mission are far different from the US public sector or non-profit organizations. Finally, the GS/OAS is seeking for a partner that bring implementation experience with Dynamics 365 Finance, Operations, Human Resources and/or Procurement (Supply Chain), and who possess an understanding and expertise of back-office business functions around finance/accounting (GL, AP, AR, Cash Management, Budgeting, Accrual vs Cash Accounting basis), Human Resources, Payroll, Recruiting, Travel, Fixed Assets, Procurement, and Grants/Project Management Lifecycle.

Finally, the intent of this RFP is NOT to prescribe the To-Be state for the OASCORE business modernization platform since we are seeking a partner that will leverage their technical experience in program implementations of similar size and scope as well as their industry best practices knowledge on transforming back-office activities to better support the overall mission of the Organization. Therefore, the content provided in this RFP will focus more on the business of the GS/OAS as well as the current operational landscape.

2   GENERAL INFORMATION

2.1 The Organization of American States and its General Secretariat

2.1.1   The Organization of American States (OAS)

The OAS is the world's oldest regional inter-governmental international organization, dating back to the First International Conference of American States, held in Washington, D.C., from October 1889 to April 1890. At that meeting the establishment of the International Union of American Republics was approved. The Charter of the OAS was signed in Bogotá in 1948 and entered into force in December 1951. The Charter was subsequently amended by the Protocol of Buenos Aires, signed in 1967, which entered into force in February 1970; by the Protocol of Cartagena de Indias, signed in 1985, which entered into force in November 1988; by the Protocol of Managua, signed in 1993, which entered into force on January 29, 1996; and by the Protocol of Washington, signed in 1992, which entered into force on September 25, 1997. The OAS currently has 35 Member States. The OAS has granted permanent observer status to 59 states, as well as to the European Union.

The essential purposes of the OAS are: to strengthen peace and security in the Hemisphere; to promote and consolidate representative democracy, with due respect for the principle of nonintervention; to prevent possible causes of difficulties and to ensure peaceful settlement of disputes that may arise among the Member States; to provide for common action on the part of those states in the event of aggression; to seek the solution of political, juridical, and economic problems that may arise among them; to promote, by cooperative action, their economic, social, and cultural development; and to achieve an effective limitation of conventional weapons that will make it possible to devote the largest amount of resources to the economic and social development of the Member States.

The OAS Member States are: Antigua and Barbuda, Argentina, The Bahamas, Barbados, Belize, Bolivia, Brazil, Canada, Chile, Colombia, Costa Rica, Cuba, Dominica (Commonwealth of), Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago, United States, Uruguay, and Venezuela. Therefore, the business of the GS/OAS is conducted in four official languages: English, Spanish, Portuguese, and French.

The OAS accomplishes its purposes by means of: the General Assembly; the Meeting of Consultation of Ministers of Foreign Affairs; the Councils (the Permanent Council and the Inter-American Council for Integral Development); the Inter-American Juridical Committee; the Inter-American Commission on Human Rights; the General Secretariat; the specialized conferences; the specialized organizations; and other entities established by the General Assembly.

2.1.2   The General Secretariat of the Organization of American States (GS/OAS)

The GS/OAS is the central and permanent organ of the OAS. Its principal function is to carry out the decisions of the OAS political organs and other functions assigned under the OAS Charter.

The GS/OAS is headquartered in Washington, D.C.

The OAS Secretary General, who is elected for a five-year term by the General Assembly, directs the GS/OAS.

The OAS Secretary General is Ambassador Luis Almagro, ex-Foreign Minister of Uruguay, who he is now in the first year of the second five-year term in that office. The OAS Assistant Secretary General is Ambassador Nestor Mendez, citizen of Belize, who began his second five-year term in office earlier this year.

3   OASCORE PROGRAM GOALS

The OASCORE Business Modernization program shall not be treated as a technology program, but instead as a business modernization effort to allow the GS/OAS, and subsequently the Secretariat for Administration and Finance (SAF) to become a more efficient and effective service delivery organization to the Secretariats as well as the National Offices across the hemisphere, to ensure they can meet the Organization's mission and goals described in this RFP.

We have identified several critical success factors (CSFs) that should be followed by Bidders when responding to this RFP. While this is not an exhaustive list, these CSFs should serve as our guiding

principles during the implementation of the OASCORE to ensure a successful implementation that delivers a sustainable, secure and reliable product to the GS/OAS.

3.1 NextGen Service Delivery Organization

OASCORE will serve as the catalyst for change to allow SAF to become a more efficient, agile and nimble organization allowing us to pivot and quickly adapt to changes required in a highly complex and ever changing political environment as well as to support a new generation of GS/OAS personnel that has become accustomed to new digital trends and touchpoints that we currently are unable to provide.

3.2 User Experience Centric

Whether a SAF customer, end user, employee, vendor, independent contractor, national offices, etc.; the Bidder shall consider maximizing the digital experience of all stakeholders by maximizing automation, integration and digitization of business processes, workflow approval routing and auditing; which will in turn minimize frustrations. An omni-channel experience is ideal versus a multi-channel one to ensure, as much as possible, that the experience is consistent no matter the engagement channel of the stakeholder.

3.3 Self-Serve

While we want to promote automation as much as possible, defining processes that maximize end-user self-serve is a key goal for the GS/OAS. OASCORE shall be designed to allow end-users to update their profile information, make benefit changes or attempt to solve issues before they create a case with SAF. In addition, data entry should be pushed out to the process owner, removing administrative burden from SAF while minimizing data inconsistencies.

3.4 Minimize Customizations/Development

The GS/OAS recognizes the need to modernize its internal operations along with its business processes and therefore is willing to rely on the out-of-the-box capabilities in the MS Dynamics and BPM platform, which will require minimum **configuration**.

It is important to make note of a key terminology distinction between configuration and customization. SAF understands **configuration** to be the activity necessary for the selected Bidder (hereinafter also referred as Contractor) to implement out-of-the-box (OOTB) capabilities that have already defined business logic based on industry best practices that can be used immediately by the GS/OAS after proper testing. Conversely, SAF understands **customization** to be the activity that requires additional development by the Contractor, which in turn requires additional effort and cost, to ensure a business requirement is met. SAF would like to minimize the need for **customization** unless it is absolutely required and hence maximize, when possible, OOTB capabilities.

3.5 Minimize Integration Complexity

OASCORE should be designed to reduce technology complexity as well as to minimize operating and maintenance cost, therefore middleware technology such as Integrated Platform as a Service (iPaaS), Enterprise Service Bus (ESB) among others should be avoided unless there is a valid business and/or technical justification, which must be clearly explained in the Bidder's proposal. The ideal approach is to have real-time and direct web service/API data integration.

3.6 Security and Privacy

OASCORE will house GS/OAS stakeholder's data and have the fiduciary responsibility to secure the GS/OAS's greatest asset. In addition, since GS/OAS's stakeholders will be able to access OASCORE from any device, at any time and from anywhere, security and data privacy have to be considered by the Contractor Bidder at every phase of the program implementation. The SAF is and must continue to be a trusted service delivery dependency to all OASCORE stakeholders.

3.7 Data Integrity, Accountability and Transparency

OASCORE must be designed to be a platform with a system repository using a common data repository that provides normalized and centralized data and becomes the source of truth for all records and attributes in the GS/OAS. While there may be other systems or web services that pull and push information to OASCORE, integration must be designed as point-to-point, if all possible, to ensure real-time data accuracy while eliminating any middleware.

3.8 Maintainability, Availability, Reliability, Recoverability, and Scalability (MARRS)

OASCORE must be a platform that is easy to maintain by SAF and with proper documentation; must be designed to anticipate any failures with the ability to recover from failures within customer expectations; and must match the capacity of the platform with the demand ensuring that it can dynamically scale up and down and be extensible to future capabilities required by the GS/OAS.

3.9 Performance, Monitoring and Reporting

OASCORE must be designed to for "fit to purpose", ensuring utility of its capabilities is fully leveraged meeting the needs for the end-users. In addition, it should be designed for "fit for use" to ensure it is available when end-users need it, but also minimizing inefficiencies and waste of cloud spending during low demand. Designing proper event management activities to ensure monitoring is available to detect failures prior to occurring as well as providing easy access for logs and error identification of critical components. Real-time dashboards and reports with drill-down capabilities to provide full transparency and at a glance awareness to GS/OAS's stakeholders of current organizational performance from any device, anywhere and anytime.

3.10 Multi-Language and Multi-Currency Capability

OASCORE must be designed to support the organization's four official languages reflecting the language capabilities of end users – English, French, Portuguese and Spanish. Similarly, it should be designed to support multi-currency transactions and records (codes, symbols, currency precision at the decimal level, etc.) as well as exchange rates and currency conversion.

3.11 Green Management

OASCORE must be designed to support its current paperless initiative, which in turn will help reduce overhead costs, improve employee productivity, and promote the overall Organization's sustainability and environmentally friendly goals.

3.12 Strengthening Internal Controls

OASCORE must be designed to increase audit controls of SAF transactions to enable continuous monitoring of parameters and identify real-time exception notification and reporting for accurate and immediate compliance while maximizing accountability, transparency and overall trust across the GS/OAS.

3.13 Definition of Success

The GS/OAS defines a successful implementation if, at a minimum, all the following criteria are met:

- The current legacy OASES shall be completely shut-down 30 days after the complete OASCORE Go-Live date;

- All current data, defined by the GS/OAS, will be successfully migrated to the new platform;

- All interfaces/integrations will be fully tested and functional on the OASCORE Go-Live date;

- All reporting and dashboard requirements shall be fully implemented and will allow the GS/OAS to drill-down on capabilities to provide overall analysis and performance metrics regarding the financial and operational posture of the organization;

- All data/information stored in Dynamics 365 shall be secured based on the latest security (Privacy/Identity) standards in the industry and with the appropriate access rights in place, as defined by SAF, to limit access to the system by authorized users only;

- OASCORE shall integrate with MS Directory Services, Office 365 (E3) and the Microsoft EMS E3 security platform to ensure a secured, robust, reliable, and accessible platform.

- All access to data/information shall be logged and auditable.

All the criteria described above must be taken into consideration in the Bidder's proposal.

4 ORGANIZATIONAL BACKGROUND

This section provides key information that must be reviewed by the Bidder, along with the referenced attachments, to be able to effectively understand the GS/OAS's financial and technical operations along with its rules, processes and systems to ensure an effective proposal solution that meets the Organization's expectations.

4.1 The Secretariat for Administration and Finance (SAF)

The mission of SAF is to provide leadership and guidance on administrative support activities, including budgetary and financial management, information technology services of the GS/OAS, program planning, evaluation, and operational follow-up, general services management (including buildings and security services), procurement and acquisition/contracting of goods and services, as well as personnel management and training, in accordance with established principles of professional management.

SAF and its dependencies and staff are under the general direction, supervision, and control of the Secretary for Administration and Finance, who answers to the OAS Secretary General, in accordance with the legal structure of the GS/OAS.

SAF is composed of the Executive Office of the Secretary for Administration and Finance and the following dependencies:

1. The Office of the Secretary (OSAF)
2. The Department of Human Resources (DHR);
3. The Department of Financial and Administrative Management Services (DFS);
4. The Department of Information and Technology Services (DOITS);
5. The Department of Procurement Services (DP); and
6. The Department of General Services (DGS).

Attachment A - SAF Organization, which forms an integral part of this RFP, provides additional detail regarding the daily functions of each of the SAF's offices and departments. The GS/OAS expects the Bidder to understand the current responsibilities of each office and department to be able to define a more accurate and comprehensive implementation approach in the Bidder's proposal in response to this RFP.

4.2 Department of Planning and Evaluations (DPE)

The DPE, its office, sections and staff are under the overall direction, supervision, and guidance of the Strategic Counsel for Organizational Development and Management for Results (SCODMR) of the GS/OAS. DPE is responsible for the overall governance and development of policy to promote the external evaluation and effectiveness of the programs and projects executed by the organization as well as promoting the application of Results-Based Management (RB) principles.

DPE has coordinated the external evaluations of hundreds of external projects in the areas of Civil Registry, Democracy, Justice and Human Rights, Development and Security. These external independent evaluations not only summarize and evaluate the results of each program/project, but also serve as a continuous improvement platform that capitalizes on the experiences and lessons learned further improving the formulation and design process of future projects and programs, as well as institutionalizing best practices in monitoring and evaluation within the GS/OAS.

4.3 The Need to Integrate DPE with SAF

The execution of programs and projects (P&P) financed with voluntary and specific funds have become an increasingly important part of the activities carried out by the GS/OAS. The GS/OAS receives and manages approximately 50 Million USD a year in specific fund contributions to implement P&P, which responds to the mandates given by OAS Member States. These contributions are provided by OAS Member States, Permanent Observers, private sector entities, and other institutions, which represent almost 60% of the total annual budget of the GS/OAS. Thus, the effective and efficient management of P&P and their resources are key to improving and fostering accountability and transparency to GS/OAS's donors.

There was a trend at the GS/OAS toward the decentralization of authority with respect to the negotiation, financing, and management of projects, without the simultaneous development of matching mechanisms for planning, control, and evaluation of P&P and their funding. These factors have frequently led to the adoption of unilateral mechanisms and practices shaped by the individual viewpoint of the GS/OAS official involved and/or that of the donor; for that reason in 2006 with the creation of the Project Evaluation Committee (PEC) and the DPE, as its Technical Secretariat, the GS/OAS has improved the internal coordination of P&P, their alignment with mandates, and, more recently, with the goals and objectives of the OAS Strategic Plan. Nevertheless, a further step to integrate the financial aspect of P&P execution is urgently needed.

As of today, the GS/OAS does not have an integrated system linking the project management efficiency (time and cost resources) aspect with the effectiveness aspect (results/output based management) throughout the project cycle (opening, planning, execution, monitoring/control, and closing). Some of the current challenges are described below:

- There is a disconnection between project formulation and project execution and reporting. Project formulation is based on results aligned with GS/OAS strategic goals as well as organizational mandates, but implementation and reporting is carried out (in most cases) according to donor requirements;

- Once the formulation/budget of the projects has been carried out, it is not updated when the funds are made available for implementation. Project budgets are rarely revised and reformulated to make the best use of incoming resources/funds. Often, project budgeting is allocated directly to the implementation of specific fund projects based on donor requirements only. This results in the inability to effectively plan and execute projects for not only the activities that are implemented/partially implemented, but also for those that are not implemented;

- One of the biggest pain points for the GS/OAS Secretariats and Project Managers is the manual and often inability to provide accurate and timely reporting to all stakeholders (at times there is no reporting unless specifically required by a donor), who require different levels of information. Some of these stakeholders are:
    - Donors
    - GS/OAS Executives
    - Internal Reports
    - Reports to OAS Member States
    - Secretariats
    - Others

- While few donors, such as US and Spain, may require specific reporting structure, others may or may not. The GS/OAS would benefit from having automated reports and/or dashboards that provide information real-time to the different stakeholders as often as possible. This would help decide if funds are being spent wisely, if funds need to be repurposed/reprioritized, if corrective actions are required at the project level before additional funds are distributed, if a project must stop due to not meeting the targets and therefore the goals and objectives set forth;

- There is a need to provide reporting not only at the project or program level, but also at the portfolio level. Ideally, the portfolio level must show alignment of all P&P with each of the Organization's four strategic pillars in real-time;

- There is also a need to take a bottom-up approach to align the employee performance goals with the goals of their dependency as well as with the strategic goals of the Organization;

- For report preparation, GS/OAS Secretariats must connect the outputs and activities defined by the Project and Evaluation Committee (PEC), with the financial transactions recorded in

the core financial system (Legacy OASES), but also with the activities/requirements defined by donors for proper stakeholder reporting. This is a manual task today that is not only tedious and counter-productive effort, but one that can also affect the veracity of the reported information;

- There is a lack of standardization on the execution, management and presentation of project results. Each Secretariat and each Project Manager (from each Secretary) has a different way of managing and recording costs (i.e.: using different objects/accounts for the same expenses); and

- The definition of "Projects" in the PMS system and in the Legacy OASES system is inconsistent. From a Project Manager perspective, it is defined as a "set of activities that are interrelated and coordinated with a specific objective, timeframe and budget". However, for others stakeholders it is simply used as a mechanism to control the budget of other activities/expenses that are not necessarily (or should be) a project for the Organization (e.g. building maintenance). It is assumed that this occurred due to the limitations/misuse of the Legacy OASES system for budgetary control. It is necessary to clearly define the requirements of the organization and reconsider the use of this mechanism in the implementation of the system.

The GS/OAS would highly benefit from having an integrated system using design, execution, monitoring, and evaluation modules that are linked to the appropriate financial aspects, which will allow us to follow international standards and best practices to achieve the most effective results and have greater accountability to our stakeholders.

4.4 Financial Operations Management of Specific Fund Projects

4.4.1 GS/OAS Accounting Principles

As part of the GS/OAS efforts towards modernization, SAF has recommended to the OAS governing bodies to migrate to an accrual basis of accounting and to adopt the International Public Sector Accounting Standards (IPSAS). The adoption of international standards will improve both the quality and comparability of financial information presented to OAS Member States and other donors. The SAF expects to implement IPSAS in the upcoming years following the implementation of the GS/OAS' new OASCORE Platform.

In the meantime, the GS/OAS Budgetary and Financial Rules provide the basis for the accounting principles applied in the preparation of financial statements. These rules were adopted to meet budgetary and other requirements of the GS/OAS and, as such, result in accounting principles and a financial statement display which vary in certain material aspects from an accrual basis of accounting.

4.4.2 Deviations from U.S. GAAP

The GS/OAS utilizes a modified cash basis of accounting in recognizing revenue and expenses in its financial records. Contributions from OAS Member States and from other interested parties for specific purposes are recognized at the time of collection. In the same manner, expenses are recorded when the invoice is registered in the system.

Obligations[1] are commitments to disburse monies for the procurement of goods or services in future periods. These commitments are liabilities with suppliers at the end of the year. Payment to suppliers is expected to occur in subsequent periods.

The OAS General Assembly adopts the program budget for the Regular Fund and the Fund for Indirect Cost Recovery (FICR). Certain administrative costs benefiting all funds are included in the budget of the Regular Fund. In lieu of allocating these costs to various funds on a services-rendered basis, the General Assembly has provided that all the other funds, including those related to Specific Fund Agreements, establish a provision for Indirect Cost Recovery (ICR).

Contributions from OAS Member States and other interested parties in the form of use of facilities and/or services are received in certain activities administered by the GS/OAS and defined as "In-Kind Contributions". No amounts are recorded in the accompanying financial statements relating to the use of such facilities or services in as much as the GS/OAS currently does not have a reliable procedure to value these amounts.

4.4.3 Internal Controls

The GS/OAS establishes an environment of internal control through various mechanisms. Internal controls are an integral part of GS/OAS' financial policies and procedures and can be found at different levels of the Organization. Some of the elements include control activities such as budgetary control of funds entrusted to the organization, authorization, approvals and verification of transactions, segregation of duties, regular reconciliations, statutory financial reporting, sharing of information and communication across all levels of the Organization, and monitoring activities. The internal control environment consists of the collective measures taken by the Organization with the purpose of protecting its resources against inappropriate management and inefficiency and it is crucial to comply with the GS/OAS's policies and donor requirements. Internal controls are designed to provide reasonable, not absolute, assurance that financial information is accurate and reliable, that contributions received from donors are administered within established regulations, processes and their corresponding donor agreements, and that resources are utilized efficiently, effectively, and transparently.

The collective measures of internal controls in the GS/OAS are designed to provide reasonable assurance to achieve the objectives of the Organization in the following areas:

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[1] Article 106 of the General Standards refers to **Obligations** as "…those arising from any agreement, contract, purchase order, or other document concluded with a natural or legal person under which the General Secretariat is legally obligated to disburse funds to the corresponding natural or legal person in order to execute approved activities…" Obligations shall be recorded on the date on which the commitment becomes legally binding. Allotment must be available to meet the obligations incurred. Funds available are reduced by obligations.

- Effectiveness and efficiency of operations
- Reliability of financial reporting
- Compliance with applicable laws and regulations

GS/OAS dependencies executing funds, along with SAF's office and departments, work together to implement a process that ensures segregation of duties and transparency, sharing responsibility in the administration of expenses incurred through donor contributions. For example, the Secretariat for Strengthening Democracy (a dependency) initiates expenditure requisitions based on donor agreement/budget requirements, including policies and procedures of purchasing standards and parameters issued by the Department of Procurement Services (DP) within SAF. Once the requisition is approved, it is processed into a purchase order approved by the DP. The Department of Financial Services (DFS), also within SAF, is responsible for disbursing funds to make the payment and providing the corresponding financial statements, once the requestor certifies receipt of such service or product, and an invoice from the provider is received (3-way-matching).

Internal controls at the GS/OAS are supported by the utilization of a robust accounting system (GS/OAS ERP System). This system allows the GS/OAS to segregate and individually track financial information for each donor contribution. The Office of Inspector General (OIG), the GS/OAS' independent internal audit body, works as an additional on-going safeguard in assessing and maintaining the internal control environment. Internal controls also include an annual audit performed by an independent external audit firm under the supervision of a Board of External Auditors elected by the OAS Member States. The Board of External Auditors is designated by the OAS General Assembly. The Board members are high officials of the audit institutions of their respective countries.

4.4.4   Cash Management

4.4.4.1   Bank Accounts

The GS/OAS maintains one primary bank account for all of its transactions. The GS/OAS does not open a separate bank account for each contribution; notwithstanding, a unique identifier account in the current GS/OAS ERP System, is assigned for each contribution and project to facilitate tracking and segregation of all financial transactions for each contribution. All transactions related to the contribution are codified with its corresponding identifier.

4.4.4.2   Unclaimed Incoming Funds

Unclaimed funds are subject to the directives established in Administrative Memorandum No. 124 "Procedures for Unclaimed funds of the General Secretariat of the Organization of American States" found at: http://www.oas.org/legal/english/admmem/admmem124.pdf

DFS provides daily updates regarding the arrival of new funds through the OAS Finance Portal. GS/OAS dependencies are required to perform systematic reviews of unclaimed incoming funds to prevent delays in the execution of Specific Fund Projects. DFS must receive proper allocation

instructions and supporting documentation to be able to assign these contributions to the corresponding projects (e.g., signed agreements).

When funds remain unclaimed, SAF will send formal communications to the donor requesting further instructions at 60 and 90 days respectively. If funds remain unclaimed for over 120 days, DFS will proceed as follows:

- Unclaimed funds equal or greater than USD 5,000 will be returned to the donor or originating source, net of any applicable fees

- Unclaimed funds less than USD 5,000 will be consolidated into a GS/OAS control account

Interest income does not accrue on unclaimed funds.

4.4.4.3 Methods of Payment to the GS/OAS

In accordance with Article 84 of the General Standards to Govern the Operations of the GS/OAS (GS/OAS General Standards) and the Budgetary and Financial Rules the Treasurer, by delegation of the OAS Secretary General, shall designate the banking institutions in which the funds of the GS/OAS and those entrusted shall be deposited.

GS/OAS General Standards:
http://www.oas.org/legal/english/Standards/GenStIndex.htm

Budgetary Financial Rules:
http://www.oas.org/legal/english/admmem/Budgetary_and_Financial_Rules.htm,

4.4.4.3.1 Payments by Electronic Fund Transfers

Contributions to Specific Funds sent via electronic fund transfers, must include clear instructions as to the destination of funds within the GS/OAS. Specifically, electronic fund transfers must identify the name and number of the project, and the responsible area within the GS/OAS to administer the funds. Questions regarding bank transfers must be submitted to DFS Cash Manager.

4.4.4.3.2 Payments by Check

Contributions to Specific Funds sent via check must be accompanied by a transmittal letter with clear instructions as to the intended use and destination of funds. Specifically, transmittal letters must identify the name and number of the project, and the responsible area within the GS/OAS to administer the funds. Checks drawn on bank accounts other than U.S. banks must be sent by the GS/OAS for international collection, for which clearance of funds may take up to one month. Checks sent for collection are subject to fees by the international and local bank. Availability for execution of funds will be provided upon clearance of check. Payments by check should be made payable to the General Secretariat of the OAS and sent to: Organizations of American States,

Department of Financial Services, GSB 4th Floor, Attention: DFS Director / Treasurer, 1889 F St., NW, Washington, DC 20006.

4.4.4.3.3 A Note on Incomplete Information

Electronic fund transfers or checks that lack the above-described information will be returned to the donor if final destination cannot be promptly assessed in accordance with the GS/OAS Unclaimed Incoming Funds policy, as it creates a liability to the Organization and a disservice to the donor.

4.4.5 GS/OAS Official Currency and Exchange Rates

4.4.5.1 *Official Currency*

The official and functional currency of the GS/OAS is the United States dollar (USD). All financial transactions including financial statements are denominated in USD. If the contribution is made in a currency other than USD, it will be converted to USD at the exchange rate of the day of the receipt of funds. Bank commissions or other transaction fees are customarily charged by the Bank and recorded as part of the contribution expenditures.

4.4.5.2 *Currency Exchange Rates for Transactions*

The following rules apply to transactions affected by currency exchange rates:

- Income transactions will be recorded at the GS/OAS official exchange rate on the day that the transactions occur or at the spot/indicative rate as applicable per procedures;

- Expenses will be recorded at the GS/OAS official exchange rate;

- Gains and losses arising from exchange rate differential will be recorded to the project as an acquired expenditure. In case of monthly accumulated exchange rate differentials, when the net result is a gain, it shall be considered miscellaneous income. If the net result is a loss, it shall be charged to the project (or contribution) as an expenditure;

- Transactions affecting conversions of currency shall be performed by the authorized fiduciary officers in the National Offices of the GS/OAS in the Member States only through the bank where the local currency account in the respective Member State is maintained, except in Member States where the law requires using different institutions.

4.4.6 Project, Program and Award

4.4.6.1 *Project and Program:*

A project is an endeavor with a pre-determined timeframe and well-defined phases or activities, undertaken to deliver a unique product or service that contributes to a common organizational

goal. It is both measurable and observable, and precisely identifies and allocates the sources of financing for each phase or activity.

A program is a collection of related projects with a common organizational goal, carried out in a periodic and coordinated manner, but not necessarily in a pre-determined timeframe, to deliver a product or service.

All projects are reviewed and approved by the PEC.

4.4.6.2 Award:

An award is used to identify a grant, contract, or other agreement from/with a donor in the GS/OAS ERP System - Grants Accounting environment.

4.4.7   Donor Agreement Review and Signature Process

All donor cooperation agreements (including budgets), amendments for project extensions or other project modifications, memorandums of understanding, or exchange of letters must be reviewed by the Department of Legal Services (DLS), and DFS prior to their signature. DFS will review the financial clauses for compliance with the GS/OAS Budgetary and Financial Rules.

4.4.8   Indirect Cost Recovery (ICR)

4.4.8.1 Background

The GS/OAS receives multiple funding from various sources requiring efficient and effective record-keeping and an environment of transparency and accountability. A sound cost-recovery policy ensures transparency and reduces cross-subsidization among projects and/or Funds. To ensure this, the GS/OAS General Standards established the Fund for Indirect Cost Recovery (FICR) which is outlined primarily in Articles 84 and 86.

4.4.8.2 Current ICR Rate

The ICR for all contributions received by the GS/OAS pursuant to agreements with OAS Members States' governments, non-Member State governments, and all other entities is established at a minimum of 13% of the contribution amount received in support of the particular project or activity.

It is important to note that while the ICR rate today is 13%, it is undergoing a restructuring revision and will be reduced in the 2021 fiscal year. Hence, the OASCORE Business Modernization Platform will be crucial for the organization to be able to validate and accurately identify the organization's true cost for each resource and service provided.

For purposes of the Policy on Indirect Cost Recovery (ICR Policy) found at: http://www.oas.org/legal/english/gensec/EXOR0701REV3.pdf, the term contribution shall also include membership fees paid to the GS/OAS, income from fundraising activities by the GS/OAS, and income from the provision of services by the GS/OAS to third parties.

ICR shall be calculated based on the total contribution amount in support of the project or activity. This amount includes direct costs and the amount allocated to ICR pursuant to the ICR Policy (not only direct costs). For example, for a contribution of USD 100, USD 13 will be the amount recovered for ICR from that contribution.

4.4.8.3 Budgets for Specific Fund Projects

Project budgets must clearly define and include all direct costs related to the activity. In this context, project budget costs should be clearly divided into direct or indirect.

Direct costs: Costs that can be attributed directly to and solely benefit a particular activity or project with a high degree of accuracy (e.g.: personnel, travel, supplies, equipment, narrative and fiscal reports, and external specific audit, etc.);

Indirect costs: Costs that are incurred for a common purpose which cannot be easily attributed to a particular activity or project (e.g.: financial reporting, procurement of goods and services, legal and financial review of donor agreements, office cleaning services, building maintenance, etc.) and benefit numerous programs, projects and activities.

4.4.8.4 ICR Use

As established in Article 86(i) of the GS/OAS General Standards, all resources from ICR shall be assigned to the Fund for Indirect Cost Recovery (FICR). The FICR shall include two Sub-funds: the ICR Operations Sub-fund (ICROS) and the ICR Reserve Sub-fund (ICRRS). The FICR shall be subject to the following guidelines:

- The GS/OAS shall submit to the Permanent Council a proposed budget for use of the ICR resources, which shall form an integral part of the draft Program-Budget. This proposal shall include a budget ceiling of 90% of the average ICR obtained in the three years immediately preceding the year in which the Program-Budget is adopted and shall be applied to the subsequent year. The average shall be reviewed every year in adopting the Program-Budget of the Organization and the General Assembly shall also adopt the ICR budget. In the event that the revenue from ICR collected in the fiscal year concerned is less than the revenue projected, and to the extent that funds are available in the ICRRS, the GS/OAS may transfer from the ICRRS to the ICROS an amount equal to the difference between projected ICR revenue and ICR revenue collected in the current fiscal year. If revenue collected is more than that projected, the surplus shall be deposited in the ICRRS; and

- Every year the CAAP shall evaluate the ICRRS level to determine whether transferring funds from the ICRRS to the Reserve Sub-fund of the Regular Fund is justified. In such event, the Permanent Council shall approve the amount or percentage to be transferred.

4.4.9   Interest Income Accreditation

4.4.9.1   Interest income credited to Specific Fund Projects

Interest income is subject to the directives established in Administrative Memorandum No. 131 Amendment of Section XII.6 of the Budgetary and Financial Rules: Income from Investments" found at: http://www.oas.org/legal/english/admmem/admmem131.pdf

4.4.9.1.1 Accreditation

Interest income earned by Specific Fund Projects shall be credited to the corresponding ICR Service Account, unless otherwise specified in the corresponding agreement with the donor and only for those Specific Fund Projects with cash balance equal or over USD 100,000[2] at the time of interest accreditation and it will be recorded only to those projects that earned a yield of at least USD 200 over the quarter.

4.4.9.1.2 Interest Rate

The interest rate applied to Specific Fund Projects requiring interest accreditation shall be determined by the guidelines established in Administrative Memorandum No. 131. In general, for projects financed by external donors, the interest rate to be applied is the short-term rate or short-term interest rate benchmark of the OAS Managed Investment Portfolio.

4.4.10 Financial Reporting

4.4.10.1 Accountability for Financial Information Presented To Donors

The GS/OAS Budgetary and Financial Rules as well as Executive Order 08-01 Rev. 7 that approves the Structure of the GS/OAS, found at: http://www.oas.org/legal/spanish/gensec/EXOR0801-REV7.htm, establish that DFS is the only GS/OAS dependency with the authority to certify "… all official financial reports of the General Secretariat, including internal reports for management and formal statements for external reporting purposes." Internal management reports for the purposes of each dependency are prepared by the corresponding Administrative Management Support (AMS) Section or their administrative personnel.

The following are some examples of financial information related to Specific Fund Projects and must be certified for external use by DFS:

- Statement of changes in fund balance (also known as income statement)
- Execution report (budget vs actuals)
- Authorization for disbursement and/or request for advance of funds

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[2] Threshold is established by DFS and is subject to change without notice as deemed necessary.

4.4.10.2 Project and Program Financial Statements for Donors

Upon request from dependencies, DFS prepares and certifies standard financial statements and prepares financial statements based on agreed donor reporting requirements. The requesting dependency is accountable for the proper execution and monitoring of project budgets. **Thus, financial information must also be validated by P&P managers through their AMS Sections to ensure integrity of information presented to donors.**

4.4.10.2.1 Standard Financial Statements

If the donor agreement does not require a detailed statement, DFS may still prepare and certify financial statements based on the nine objects of expenditures identified in Article 91 of the GS/OAS General Standards. Standard statements include:

1. Statement of Cash Receipts and Payments (overall cash flows in and out and ending cash balance)
2. Statement of Fund Balance (ending cash balance minus any commitments
3. Statement of Contributions (chronological detail of disbursements received from the donor)
4. Statement of Expenditures (breakdown by OAS object of expenditure)

4.4.10.2.2 Further Considerations

Financial statements are prepared after the closing of an accounting period. For example, if the financial statement is needed as of March 31, 2020, the corresponding dependency should wait until the accounting period is closed (usually within the first seven to ten business days of the following calendar month) before requesting the financial statement. This ensures that all transactions posted for the period are included in the financial statement.

Financial statements are not issued in hard copy. They are issued electronically in PDF format.

Financial statements are labeled interim or final. Certified final financial statements are not subject to modifications, unless otherwise disclosed to the donor.

Financial statements must be reviewed by the corresponding dependency prior to certification to validate accuracy of execution within donor agreement terms and budget.

Financial statements are reported in United States dollars (USD), which is the functional currency of the GS/OAS. If the contribution is made in a currency other than USD, it is converted to USD at the exchange rate on the day of the receipt of funds. When the donor agreement provides for reporting in a currency other than USD, these statements will be prepared in the required currency for illustrative purposes only using the weighted average exchange rate of the received contributions and the projected receipts, unless otherwise agreed with the donor.

The expected turnaround time for financial statements will depend on the complexity of the financial statement requirements established by the donor. The turnaround will also vary depending on workload.

AMS sections, once trained and certified by DFS, are able to prepare draft donor financial statements. AMS sections are encouraged to prepare draft financial statements but these must be certified by DFS if they are for external use.

When the donor agreement requires detailed financial statements to reflect activities based on project budget costs, the corresponding dependency shall set up the proper project task structure in the GS/OAS ERP System reflecting the budget presented in the agreement. Financial statements are prepared based on budgetary execution recorded in the GS/OAS ERP System by the corresponding dependency.

4.4.11 Internal and External Auditing

4.4.11.1 Internal Auditing

The internal audit function of the GS/OAS resides with the OIG. The Inspector General is charged with the responsibility to assist the OAS Secretary General and the OAS Member States, through the governing bodies, in monitoring both proper fulfillment of the responsibilities of the various levels of management with respect to the GS/OAS's programs and resources and adherence to the legal system governing the GS/OAS.

4.4.11.2 External Auditing

4.4.11.2.1 GS/OAS annual audit of accounts

The Board of External Auditors, consisting of three Members elected by the OAS General Assembly who are high officials of the auditing bodies of their corresponding countries, is entrusted with auditing all accounts, funds, and operations of the Organization.

The Board of External Auditors contracts the services of an external auditing firm which conducts a yearly audit of accounts of the GS/OAS. The auditing firm's opinion on the financial statements is based on auditing procedures, which include a review of internal controls and selected tests of transactions and records. These auditing procedures are intended to provide a reasonable level of assurance that the financial statements are fairly stated in all material respects. The Board periodically meets with the external auditors, officials of the GS/OAS, and the OIG and its internal auditors to review and evaluate accounting, auditing and financial reporting activities and responsibilities. The Board of External Auditors, the external auditors, as well as the internal auditors, have unlimited access to all records maintained by the General Secretariat. The audit of all Specific Fund Projects and the overall GS/OAS audit are performed within this context.

DFS serves as the Technical Secretariat for the Board of External Auditors and has overall responsibility for publishing GS/OAS audited financial statements and annual reports.

4.4.11.2.2 Donor requirement for a specific external audit

All specific external audits must be coordinated by DFS. In practice, the duration of the audit process and the corresponding cost may vary depending on the terms of reference and type of engagement. When a donor requires an external audit for a Specific Fund Project funded by them, the cost shall be borne by the donor. The audit cost includes the cost of the independent external audit firm hired to do the audit, and the coordination costs incurred by DFS (e.g., preparing terms of reference, requests for proposals, audit firm evaluation, gathering audit documentation, reviewing audit findings, discussions with audit firms, etc.).

In some specific cases, the external audit may be requested by the donor in the form of an expenditure verification, which has a different type of terms of reference. The process to evaluate and select an audit firm to conduct expenditure verification is the same as the one for an external audit.

4.4.12 Financial Records

4.4.12.1 Retention Period

Consistent with the OAS Records Management Manual, invoices, checks, receipts, and related documents for Specific Fund Projects are kept by the GS/OAS for a period of up to six (6) years after the close of the fiscal year in which the record was created, after which time they are destroyed.

4.4.12.2 Accessibility to Original Records

Original financial documents form an integral part of GS/OAS records as they are required for GS/OAS annual audit of accounts and financial statements. Requests for providing, reviewing or auditing original records by donors or their representatives cannot be granted, as it is impractical given that there are hundreds of donors to the GS/OAS. Nonetheless, the GS/OAS can comply with donor reviewing and audit requirements by providing photocopies of invoices, checks or other financial information, with a certification from the Treasurer of the GS/OAS that the copies are exact representation of the originals.

With reasonable notice, facilities for reviewing these copies can be provided subject to availability. There may be GS/OAS costs associated with coordinating these reviews, which shall be promptly communicated to the requestor. Whenever possible, all documentation is kept and provided in electronic form.

4.4.13 Advance of Funds for Execution

In general, funds must be provided by the donor prior to the beginning of execution of a project or activity. However, in special circumstances, DFS may approve advance of funds for execution if certain conditions are met. These conditions are evaluated by DFS on a case-by-case basis and usually include:

- Existence of a signed agreement with the donor;
- Expected date of receipt of funds from the donor;
- The amount of the contribution;
- The liquidity levels of the Organization;
- Amount of advance requested;
- Purpose of the advance;
- Duration of the agreement;
- The donor history with the GS/OAS;
- Outstanding prior advances of the requesting dependency; and
- Currency of the contribution, among others.

GS/OAS dependencies must request advances of funds instead of temporarily using funds from other donors while they wait to receive the funds, unless such temporary use has been authorized in writing by the other donor. This practice creates significant legal risk and administrative burdens for the GS/OAS and it is a practice explicitly prohibited under the terms of most donor agreements. All advances of funds must be requested by the director of the dependency, through the AMS via the OASES Customer Service.

4.4.13.1 Types of Advances of Funds

DFS manages two (2) types of advances of funds based on the type of donor agreement:

- Reimbursable Based Agreements (RBA): These are agreements where the GS/OAS performs the work and then is reimbursed based on actual execution. In most agreements of this kind, the GS/OAS is only reimbursed after narrative and financial statements are delivered to the donor, therefore reimbursable agreements must be tracked separately from other contributions. Since advances of funds are dependent on cash availability, DFS advises that these kinds of agreements be limited. Dependencies are encouraged to negotiate agreements with upfront contributions.

- Advance of Funds for Execution (AFE): These are cases where the executing area needs to start obligating funds before the cash contribution from the donor arrives due to timing, and there are no limitations under the terms of the donor agreement on the start of execution.

Letters of Credit (LOC) can be either an RBA or an AFE, depending on the terms of the agreements. For more information about the definition of a LOC and its payment method, see the glossary attached.

4.4.13.2 Limit of Allotment

The limit of allotment for advance of funds is summarized as follows:

- Contributions in USD: Up to 100%.

- Contributions in other currencies: Up to 95%. The remaining advance percentage will be approved after an analysis of exchange rate variances has been performed.

Ultimately, DFS reserves the right to approve or deny requests for advances based on its own professional judgment.

4.4.13.3 ICR Charge on Advances of Funds

It is DFS' policy to charge ICR on advances of funds to facilitate the execution of the project. The rationale behind this is to ensure that there will be enough funds to cover the ICR once the contribution is received. No additional ICR is charged when the contribution related to the advance is received. In the end, the ICR charged will never exceed the agreed/budgeted amount provided for in the donor agreement.

4.4.14 Unspent Balances in Awards

It is highly recommended that donor agreements for Specific Funds specify donor requirements as to the disposition of unspent funds at the end of the activity. If the agreement requires that unspent funds are returned to the donor, funds will be sent via electronic funds transfer. Donor banking information must be provided in the agreement, including bank name and address, account name and number, and ABA/Routing number or SWIFT number. Whenever the agreement does not include specific instructions as to the return of funds, the GS/OAS will utilize those remnants to offset projects requirements.

GS/OAS dependencies, through their AMS sections, must monitor overall unspent balances and must conduct systematic reviews to assure the return of unspent funds to donors within the timeframe established in the agreements, if required. Requests for return of funds to donors will be reviewed and the balance confirmed by DFS.

DFS monitors overall unspent balances as well, and may take appropriate action to resolve these balances, as specified below:

4.4.14.1 Equal or Less than USD 1,000

Depending on the conditions established in the donor agreement, funds will be subject to the following criteria:

4.4.14.1.1 Disposition of unspent balances established in the agreement

GS/OAS will follow instructions established in the donor agreement. GS/OAS dependencies must take the necessary actions to return or dispose of funds through the AMS via the OASES Customer Service within the timeframe agreed with the donor. If the timeframe is not specified, or no actions have been taken after six (6) months of the expiration of the award, or there are no instructions as to where the funds must be returned, these balances will be consolidated into a GS/OAS control account.

4.4.14.1.2 Disposition of unspent balances not established in the agreement

Funds will be consolidated into a GS/OAS control account after six (6) months of the expiration of the award.
DFS will periodically review these balances and will proceed with consolidation unless there are official communications with the donor regarding the use of these balances.

4.4.14.2 More than USD 1,000 and equal to or less than USD 10,000

These amounts will be returned to the donor, unless reprogramming instructions are received from the donor. GS/OAS dependencies executing the funds must initiate the request to return unspent balances to the donor promptly through the AMS via the OASES Customer Service or contact the donor through the corresponding channels to request use of the remaining funds for other activities.

If no actions have been taken after two (2) years of the expiration of the award, these balances will be consolidated into a GS/OAS control account.

4.4.14.3 More than USD 10,000

These amounts will be returned to the donor, unless reprogramming instructions are received from the donor. GS/OAS dependencies executing the funds must initiate the request to return unspent balances to the donor promptly through the AMS via the OASES Customer Service or contact the donor through the corresponding channels to request use of the remaining funds for other activities.
If no actions have been taken after five (5) years of the expiration of the award, these balances will be consolidated into a GS/OAS control account.

4.4.14.4 Use of GS/OAS Control Accounts

The GS/OAS control account is a repository account of all leftover balances of concluded projects or unidentified funds. This account is under the purview of the GS/OAS Treasurer and may be used to address various administrative situations. These situations may include, but are not limited to:

- Reimburse the GS/OAS for outstanding project cash advances previously provided to the programmatic area.
- Write-off negative project balances deemed uncollectible as per Write off Policy.
- GS/OAS irrevocable commitments with no financing secured.
- Projects lacking immediate financing due to timing issues on the receipt of funds from donors.
- Other situations, as deemed necessary and in consultation with the Chief of Staff of the Secretary General.

4.4.15 Responsibility and Accountability for Execution of Projects/Agreements

Follow up on project execution is necessary to assess whether budget allocations match project objectives originally planned, and whether significant variances between the original budget and actual expenditures need to be adjusted for the remaining time period.

In this regard, the GS/OAS dependency is responsible and accountable for the revision and accuracy of the transactions recorded in the financial system on the Budgetary and Financial Rules, as well as in other internal GS/OAS regulations.

Individuals responsible for and with decision making authority in respect of the execution of projects/agreements are responsible for the proper fulfillment of all project requirements. This includes project managers, financial and administrative support personnel. The dependency's director is ultimately responsible for compliance with project/agreement requirements.

4.4.15.1 Procurement of Goods and Services

A purchase order (PO), which records an obligation, must be duly recorded in the GS/OAS ERP System prior to ordering goods or services that commit financial resources to a third party, be it a natural or legal person, and for which the GS/OAS would have to disburse funds. In the case of credit cards or petty cash, POs are duly recorded in the GS/OAS ERP System within the timeframes authorized by each procedure. Any staff member who procures goods or services on behalf of the GS/OAS must ensure that such purchases are in compliance with the following GS/OAS procurement rules and regulations:

Procurement Contract Rules:
http://www.oas.org/legal/english/gensec/EX-OR-00-1.htm

Performance Contract ("CPR") Rules:
http://www.oas.org/legal/english/gensec/EXOR0504corr1.doc

Administrative Memorandum No. 110 Rev. 1 "Policy for Use of the Performance Contract ("CPR") Mechanism and Guidelines for Processing CPRS":
http://www.oas.org/legal/english/admmem/admmem110rev1.doc

4.4.15.2 Recording and Monitoring of Unliquidated Obligations

Obligations are commitments to disburse monies for the procurement of goods or services in future periods. Program managers and Administrative Management Support (AMS) sections in each area are responsible and must ascertain that sufficient funding is allocated to cover personnel commitments and other obligations financed by Specific Fund contributions and that these are eligible costs pursuant to the terms of the applicable donor agreement.

It is strongly recommended that the GS/OAS dependency periodically review obligations to ensure that, after goods and services are received and/or concluded. No outstanding balances

remain for such obligations. Refer to Administrative Memorandum No. 86 Rev. 1 "Obligations Review Guidelines" found at: http://www.oas.org/legal/english/admmem/admmem86R1.htm

4.4.16 Cost Transfers between Projects and Awards

Cost transfers, or transfer of expenditures, between projects and awards are only permissible under certain circumstances, such as an authorization from the donor, data entry errors, and other circumstances where such transfers can be clearly justified. Ultimately, DFS reserves the right to approve or deny requests for cost transfers based on its own professional judgment, and compliance with the applicable donor agreements and GS/OAS regulations.

4.4.16.1 Criteria

Request for cost transfers shall meet the following criteria:

Allowable: The cost must be allowable under the terms and conditions of the award, including the award's budget, covered period and applicable regulations.

Allocable: The cost of goods or services must benefit the project charged. Goods or services shared by more than one project are allocable in proportions that can be estimated through actual use. Example: If you are charging Project A for 50% of an item purchased, Project A must receive half the benefit or use of that item.

Reasonableness: A cost may be considered reasonable if the nature of the goods or services acquired and the amount paid, reflect the action that a prudent person would have taken at the time the decision was made to incur the cost.

Consistency: The application of costs must be given consistent treatment within established GS/OAS policies and procedures. Example: transfer of expenditures should be limited to modifying the project, award, task, organization, and fund but not the expenditure type.

In addition, costs should not be transferred more than once. Since the transfer has already been justified, documented and accepted as appropriate, any additional transfer will not be allowed.

Timeliness: Transfers should be made within 90 calendar days from the accounting date on which the cost was originally recorded. This period is reduced up to 60 days during the annual accounting closing period.

Reliability: Costs already reported and/or certified to a donor, or in a period already audited, cannot be modified unless otherwise disclosed to and authorized by the donor. A cost that has been reported to a donor cannot be reported to another donor. This also applies to the receiving source of financing.

Materiality: The amount of the cost that needs to be transferred cannot represent 50% of the total cost of the project/award combination, unless authorized by both donors where applicable.

Retroactivity: Retroactive costs can be transferred only if it is permissible under the terms of the donor agreement.

Regular and Indirect Cost Recovery (ICR) Funds: Costs that need to be transferred to these funds must be within the current appropriation period and have the corresponding approvals (i.e. EARS).

Letter of Credit (LOC): Costs that had been reimbursed cannot be transferred, unless otherwise authorized by the donor.

4.4.16.2 Justification and supporting documentation

The justification for cost transfers requires a detailed explanation of why the transfer is necessary in order for a reviewer or auditor to conclude that it is appropriate. An explanation that merely states "to correct error" or "to transfer to correct account" is insufficient.
The GS/OAS dependency must fill out and diligently complete the "Transfer of Expenditures" form provided by DFS. This form must be presented in Excel and PDF formats, requested by the project manager (if there is no AMS available) and approved (signed) by the director. All requests shall be channeled by the AMS via the OASES Customer Service.

4.4.16.3 Accountability

Transfers of expenditures that are frequent, tardy or inadequately explained, particularly on projects with unexpended balances, raise questions regarding the appropriateness of the transfers and the reliability of the Organization's accounting system and internal controls, specifically financial reporting.

GS/OAS dependencies and their designees are responsible for reviewing charges on their awards in order to timely identify errors within the timeframe explained in this RFP. GS/OAS dependencies that delegate responsibilities and decision-making authority for cost transfers must ensure that responsible employees are qualified and are properly fulfilling their responsibilities.

4.4.17 Implementing Projects with Internal and/or External Partners

Some Specific Fund projects may require that another partner be involved in the successful implementation of the project and this may require the executing GS/OAS dependency to transfer a portion of donor funds to that implementation partner. In these cases, proper accountability and compliance requirements must be established with that partner in respect of the use of donor funds. Specific Funds are governed by the terms of the corresponding donor agreements and the requirements contained therein similarly apply to funds transferred to any implementing partner. The corresponding GS/OAS dependency must contact DFS and DLS before committing GS/OAS funds to implementing partner.

4.4.17.1 Internal partners

In most cases, a written understanding between internal partners such as other dependencies of the GS/OAS is required. The executing dependency must consult with DFS to define the scope of the understanding in terms of financial compliance.

It is strongly recommended that the project budget clearly delineate the budgetary lines to be executed by the implementing partner.

4.4.17.2 External partners

The GS/OAS enters into cooperation agreements with other entities, such as other international organizations, governmental organizations or non-governmental organizations to join forces, resources and/or services to achieve common objectives in accordance with their respective policies and generally within a framework of joint cooperation. The process of negotiation, preparation, review, signature, and registration of the agreement (including all amendments, supplementary agreements, pacts, memorandums of understanding, letters of understanding, exchange of letters, etc.) is governed by Executive Order No. 05-06 Rev.1 found at: http://www.oas.org/legal/english/gensec/EXOR0506REV1.htm. Pursuant to that Executive Order any cooperation agreement must be submitted to DLS and DFS for legal and financial review, respectively. These cooperation agreements must contain financial language to hold the implementing partner accountable for the proper execution of funds consistent with the terms of the Specific Fund agreement signed between the GS/OAS and the donor.

Prior authorization from the donor that an implementing partner external to the GS/OAS will be executing some or all donor funds is required.

Project budgets must clearly delineate budgetary lines to be executed by the implementing partner.

Note that entities such as Trust for the Americas, Pan American Development Foundation (PADF), Inter-American Court of Human Rights (IACHR), amongst others, are external partners.

4.4.18 Official Travel

Official travel is subject to the directives established in Administrative Memorandum No. 122 "Travel Policy of the General Secretariat of the Organization of American States" found at: http://www.oas.org/legal/english/admmem/admmen122.pdf . However, the GS/OAS has defined a draft process, which can be found at **Attachment B - New Travel Process**, which forms an integral part of this RFP. This process is not yet formalized, and the GS/OAS is open to exploring other options proposed in the Bidder's proposal.

4.5 Technical Operations Management

4.5.1 OAS Enterprise System (OASES)

OASES is the name of the current legacy ERP system. It has been in place since the year 2000 and was built on the Oracle EBS version 11i (11.5.10.2) running on RDBS Engine 11g (11.2.0.4.0). OASES is hosted on-prem at DOITS' Data Center and no longer supported by Oracle.

OASES comprise of the following different EBS modules: Assets, Cash Management, General Ledger, Grants, Human Resources, Payroll, Payables, Procurement, Project Accounting, Receivables. In addition to EBS, there are a few different custom satellite applications created to fulfill functionalities not available natively in EBS or to replace/enhance functionalities available that do not match the organization requirements. All these EBS modules and custom applications are part of the legacy OASES ERP.

Legacy OASES no longer serves the needs of the organization. Its infrastructure, application and database are end-of-life and no longer supported by Oracle and other Bidders. In addition, it has become extremely difficult and costly to maintain it, with poor access to talent and weak redundancy, obsolete and manual business processes, and with several disparate integrations that make it very hard to provide accurate and real-time data snapshots of SAF's operations.

4.6 Current Statistics and Transactional Data

4.6.1 Personnel and No Personnel Estimated Statistics

User Type	Location	Total Count
Staff	Washington, DC	~500
Consultants	Washington, DC	~600
Staff	Antigua/Barbuda, Bahamas, Barbados, Belize, Bolivia, Brazil, Dominica, Dominican Republic, Ecuador, El Salvador, Guyana, Haiti, Honduras, Jamaica, Panama, Paraguay, Peru, St Kitts Nevis, St Vincent Grenadines, St Lucia, Suriname, Trinidad Tobago, Uruguay	1 p/ country
Staff	Costa Rica, Grenada, Guatemala, Mexico, Nicaragua	2 p/ country

4.6.2 Functional Transactions

The following tables include transactional information regarding GS/OAS's current operations by function. It is important to note that some transactions may overlap with other transactions, therefore may not accurately reflect the total number of transactions within the organization. The SAF estimates that the Organization performs between 400k and 600k transactions per year, which we believe is low when compared to the average Microsoft Dynamics 365 customer profile.

ERP Transactions by User Counts		
Secretariat	Department/Type of Users	Total User Counts
Secretary of Administration and Finance (SAF)	Department of Financial Services (DFS)	30
Secretary of Administration and Finance (SAF)	Department of General Services (DGS)	4

Secretary of Administration and Finance (SAF)	Department of Procurement Services (DP)	11
Secretary of Administration and Finance (SAF)	Department of Information Technology Services (DOITS)	10
Secretary of Administration and Finance (SAF)	Department of Human Resources (DHR)	20
Secretary of Administration and Finance (SAF)	Office of the Secretary	6
Other Secretariats	Project Managers (PMs)	45
Other Secretariats	Administrators	33
Other Secretariats	Requisitioners	200
All GS/OAS Users	End Users	1,100

Payables	Metric/Frequency	2019	Department
Yearly Payables invoice volumes		**81,615**	**DFS**
User Interface (i.e., manual entry)	Counts per Year	61,311	**DFS**
Spreadsheet	Counts per Year	No info	**DFS**
Invoice Images (Attached documents)	Counts per Year	20,304	**DFS**
Batch job, External Systems integration	Counts per Year	No info	**DFS**
Invoice processing volumes		**77,357**	**DFS**
Total number of invoice lines processed	Lines per day	77,355	**DFS**
Total number of lines per invoice (Average)	Lines per order	2	**DFS**
Receivables	**Frequency**	**2019**	**Department**
Yearly volumes		**605**	**DFS**
User Interface (i.e., manual entry)	Counts per Year	605	**DFS**
General Ledger	**Frequency**	**2019**	**Department**
Yearly volumes		**478,091**	**DFS**
User Interface (i.e., manual entry)	Lines per Year	467,185	**DFS**
External systems, data loads and imports	Lines per Year	10,906	**DFS**
Daily processing volumes		**0**	**DFS**
Total number of journal lines processed	Lines per day	No info	**DFS**
Total number of lines per journal	Lines per journal	No info	**DFS**
Reporting		**17**	**DFS**
Number of Financial reporting users	Count per day	7	**DFS**
Number of reports (Batch, Online, Financials statements) run as part of financial close process	Count per day	10	**DFS**
Total number of data extracts	Count per day	No info	**DFS**
Total number of lines per extract	Line p/ extract file	No info	**DFS**
Feature/Function usage		**160**	**DFS**

Number of Segments in Chart of Account	Count per segment	4	**DFS**
Number of Funds	Count		**DFS**
Number of Accounts	Count		**DFS**
Number of Ledgers	Count	1	**DFS**
Number of Sub-ledgers	Count	1	**DFS**
Number of Financial Calendars	Count	1	**DFS**
Number of hierarchies defined per segment	Count	3	**DFS**
Number of values defined per segment	Count	150	**DFS**
Fixet Assets	**Frequency**	**2019**	**Department**
Monthly volumes		**1,316**	**DGS**
Additions	Counts per Year	1,316	**DGS**
Adjustments (cost, rule, category changes and impairments)	Counts per Year	No info	**DGS**
Retirements	Counts per Year	No info	**DGS**
Transfers	Counts per Year	No info	**DGS**
Conversion volumes		**37,000**	**DGS**
Total assets non-retired	Count	**22,000**	**DGS**
Total assets retired	Count	**15,000**	**DGS**
Projects	**Frequency**	**2019**	**Department**
Yearly volume of project related cost transactions		**81,241**	**DFS**
Expense report items	Counts per Year	4,562	**DFS**
Supplier invoices	Counts per Year	62,451	**DFS**
Other (Misc Batches)	Counts per Year	14,228	**DFS**
Yearly volume of Project Creation by Source		**299**	**DFS**
User Interface (i.e., manual entry)	Counts per Year	299	**DFS**
Project Tasks		**100**	**DFS**
Number of tasks per project	Count per Project	100	**DFS**
Yearly Projects Managed		**26**	**DPE**
Number of GS/OAS projects approved by the Project Evaluation Commission (PEC)	Count per Project	26	**DPE**
Expenses	**Frequency**	**2019**	**Department**
Yearly volume of Expense Reports		**1,374**	**DFS**
User Interface (i.e., manual entry)	Counts per Year	1,374	**DFS**
Feature/Function Usage		**-**	**DFS**
Credit Card Services integration	Counts	No info	**DFS**
Procurement	**Frequency**	**2019**	**Department**
Yearly volume of Purchase Requisitions		**62,081**	**DP**
User Interface (i.e., manual entry)	Counts per Year	14,816	**DP**
Requisitions (with Attached documentation)	Counts per Year	47,265	**DP**

Yearly volume of Purchase Orders		**102,511**	**DP**
User Interface (i.e., manual entry)	Counts per Year	25,028	**DP**
PO's (with Attached documentation)	Counts per Year	77,483	**DP**
PO Lines	**Frequency**	**2019**	**Department**
Total PO's lines by category	Counts per year	**34,978**	**DP**
PO Lines	Counts per year	17,765	**DP**
Automatic PO Lines	Counts per year	3,253	**DP**
Travel PO's for Staff	Counts per year	4,188	**DP**
Travel PO's for Non-Staff	Counts per year	9,772	**DP**
Other process for the creation of the PO's	**Frequency**	**2019**	**Department**
Total of process for creating the PO's	Counts per year	**27,335**	**DP**
CPR Legal	Counts per year	356	**DP**
Bidding	Counts per year	8	**DP**
Medium Purchases	Counts per year	4	**DP**
PO Conferences	Counts per year	3,231	**DP**
Creation of Lines of POs in Office Depot	Counts per year	849	**DP**
Collection of PO's and support data for audit.	Counts per year	437	**DP**
Closing PO's (massive process) for all funds.	Counts per year	5,928	**DP**
Closing of incomplete requisitions	Counts per year	751	**DP**
OASES tickets	Counts per year	1,346	**DP**
New Bidders	Counts per year	5,271	**DP**
Bidders: updates/deactivation	Counts per year	4,729	**DP**
Bidders: merged	Counts per year	27	**DP**
Insurance Renovations	Counts per year	14	**DP**
Queries Received by DP (insurance)	Counts per year	9	**DP**
Travel Insurance	Counts per year	102	**DP**
Renovation of Insurance policies (Nacional and International)	Counts per year	10	**DP**
Reconciliation Amex P-Card	Counts per year	2,752	**DP**
Reconciliation Visa P-Card	Counts per year	930	**DP**
Reconciliation Amex Travel (return transactions by DFS, action by DP)	Counts per year	2,272	**DP**
Evaluation for certification in OASES	Counts per year	19	**DP**
Consular Official Visas	Counts per year	86	**DP**
Reports	Counts per year	356	**DP**
Administration of personnel rewards/ prizes	Counts per year	20	**DP**
Renewable Institutional Relations	Counts per year	100	**DP**

4.7 Current Integrations/Interfaces

The table below provides a list of systems, workflows and files that today interface with the Legacy OASES platform as a system integration, a push/pull file or a manual (human) process to either import/export files or data. The list provided below may not be all-inclusive and shall be

clearly defined during the design phase of the project. SAF believes that most of these interfaces will either become native capabilities within the new OASCORE platform either under the MS Dynamics 365, BPM platform or may end up decommissioned. The few that remain will be required to integrate with OASCORE.

Current Interface	Definition
Results Based Contracting System (RBCS)	Workflow approval used by HR to hire Natural Consultants (Bidders and contractors only, not staff employees) compliant with GS/OAS rules
Personnel Action Request System (PARS)	Workflows to request different actions against staff personnel (contracts extend, accounts change, etc.)
Leave Management System (LMS)	Workflow approval for leaves and monthly report for Staff Only
Travel Expenses Claim System (TEC)	Declaration of expenses against advances for official travels. This system pulls info from the UN DSA system (described below) for travel expenses
Travel Automated Obligation System (TAOS)	Financial settling of an official travel activity
Interdepartmental Common Costs System (CCOSTS)	Workflow approval for the Annual process to collect areas payments for common costs (use of network accounts, VPN, printers, cell phones, etc)
GS/OAS Personnel Database (OPDB)	Centralized information for GS/OAS Employees Details (costs, office, organization, etc.), Organizational Chart and employee's relation to Chart
Performance Evaluation System (PES)	Workflow to maintain, review and evaluate staff goals.
Physical Inventory Management System (PIMS)	Digital scanning of assets' barcodes with user info (location, assignee, etc.)
GS/OAS Tax Form System (TXF)	Application pulls information from Central Data and only interfaces to Oracle to get the SSN.
GS/OAS Tax Reimbursement System (TRS)	Extract file from Legacy OASES (i.e. 1099 files) and upload into TRS.
Expense Authorization Request System (EARS)	Funds approval workflow for quarterly travel plans, urgent travel and CPR contracts.
CPR Legal Request System	Workflow approval for Legal Consultants contracts.
Fellowship Management System (FMS)	Financial setting of awarded GS/OAS Scholarships
Central Data (Read-Only Common Reference Data)	GS/OAS data warehouse used to extract of data used to populate multiple systems from one central repository
Pension and Retirement System	Provide GS/OAS staff data feeds to the pension and retirement system
Project Management System (PMS)	System to define and to manage the lifecycle approval process for new GS/OAS projects and/or programs

	Integration to pull data from bank statements into the platform and outbound integration for wire transfers, EFT and positive pay output
Bank of America (BoA) System	

Attachment C - Current Integrations – Additional Information, which forms an integral part of this RFP, provides additional information on the relationship of some of the abovementioned systems and their data flow.

The table below describes current interfaces between Legacy OASES and GS/OAS (UN) system/files. The GS/OAS pulls salary scale, post adjustment and daily travel allowances from UN's security site. We have provided links that describe the specific UN requirements that the GS/OAS is required to follow for the activities abovementioned.

GS/OAS Interfaces	Definition
Salary Scale (XML File)	https://icsc.un.org/Home/DataSalaryScales https://www.un.org/Depts/OHRM/salaries_allowances/salaries/gs.htm
Daily Subsistence Allowance (Secure Site)	https://icsc.un.org/Home/DailySubsistence
Post Adjustment (Secure Site)	https://icsc.un.org/Home/PostAdjustment

4.8 Current Reports

The following reports are a sample of what has been developed by GS/OAS using Oracle's Discoverer reporting tool, and are currently widely used by various GS/OAS stakeholders:

- OASES Funds Available-GL Perspective
- OASES Funds Available-GMS Perspective
- OASES PO Details of LPs and TSPs
- OASES POs for TSPs & LPs
- OASES SOC Expenditures
- OASES SOC Revenue
- OASES SOC Unliquidated Obligations
- OASES Users Purchasing Information

The frequency on which these reports are updated (i.e. monthly, quarterly or annually) depends on the statutory requirements of each fund. Additional ad-hoc reports are often required by GS/OAS Executives and OAS Member States.

The sheet labeled "Current Reports" of **Attachment D - OASCORE Business Processes and Reporting Requirements,** which forms an integral part of this RFP, provides additional reporting requirements, which Bidders must consider defining which dashboards and reports will be available out-of-the-box within Dynamics 365 and which will require additional effort. Additional

effort should be defined in terms of complexity, level of effort (in hours) and time required for development and testing.

5   PROPOSAL FORMAT

Proposals must comply with page requirements and be structured, presented and labeled in the following manner in a single document:

- Cover Letter
- Table of Contents
- Section 1 – Executive Summary – 1 page limit
- Section 2 – Company Background and Qualifications – 2 pages limit
- Section 3 – Technical Approach – 20 pages limit*
- Section 4 – Management Approach – 5 pages limit*
- Section 4 – Post-Production Support – 1 page limit
- Section 5 – Pricing – 2 pages limit
- Section 6 – References – 3 pages limit
- Section 7 – Legal Documentation – No page limit
- Section 8 – Assumptions – 1 page limit
- Section 9 – Appendices – No page limit

The page limit for the technical and management approach can deviate as long as both sections combined do not exceed 25 pages.

Failure to follow the specified format, to label the responses correctly, to address all of the subsections and to exceed page limits may, at the sole discretion of the GS/OAS, result in the rejection of the proposal.

6   PROPOSAL CONTENT REQUIREMENTS

Bidders' proposals shall describe their approach to meeting, at a minimum, the described sections below while clearly stating the levels of responsibility of the Bidder and the GS/OAS.

6.1 Technical Approach

The sheet labeled "Current Processes" of **Attachment D - OASCORE Business Processes and Reporting Requirements**, which forms an integral part of this RFP, provides a list of all current processes that have been provided as the main scope for the new OASCORE program. While the selected Bidder will perform requirements gathering and design thinking to identify and validate with GS/OAS stakeholders which processes will remain/change, the list shall provide Bidders with

a good understanding of the organization's requirements to be able to provide an accurate level of effort and timeline.

It is important to note that the GS/OAS has a limited budget for the full implementation of the OASCORE program as well as a desired timeline not to exceed 12-14 months (not including post-production activities). For that reason, the GS/OAS is open to maximizing Out-of-the-Box (OOTB) capabilities, where possible, for MS Dynamics and the BPM platform. This will allow the Organization to leverage industry best-practices, but also to minimize potential development cost and remain within the required timeline.

Finally, the GS/OAS is interested in minimizing a big bang/waterfall approach, if possible, and instead would prefer to follow an agile deployment approach where value can be provided to the organization on an iterative basis.

6.1.1 Pre-Implementation

Bidder shall describe its approach for all activities required prior to program kick-off to include operational activities such as setting-up environments, instances, licenses required, timeline and any other materials, equipment, access to internal resources required, etc.

6.1.2 Implementation

Bidder shall describe implementation approach from kick-off to contract closure to include roadmap with high-level milestones, OOTB configurations vs customizations/development, a central common data platform (source of truth), etc.

6.1.3 Integration

Bidder shall provide integration approach with the different systems described in this RFP, defining what current systems can become native to either Dynamics, the BPM platform or migrated to the cloud. It is important to also keep in mind that some of these systems were built in-house to account for the limitations of the current legacy OASES system. Some of these customizations were made to support exchange rates, local national office's salary scales, Paid Time Off (PTO) carry over calculations, expenditure and encumbrances, professional allowances, and termination liability calculations, among others.

Bidder shall also describe whether middleware technology (despite not being the preferred approach by the OAS) or direct P2P integration is recommended and the pros and cons of such approach.

6.1.4 Reporting

Bidder shall provide reporting and dashboard approach and define which reports described in this RFP and in **Attachment D** will be configured with Out-of-the-box reports, require development and/or may be offered as real-time dashboards.

6.1.5 Data Migration

Bidder shall provide an approach for ensuring all data defined by the GS/OAS to be migrated to Dynamics 365 from the current legacy OASES system as well as any other system interface that

will become part of the OASCORE platform. This shall include Bidder versus GS/OAS responsibilities regarding the ETL migration, mapping and cleansing, validation and number of iterations (if any) regarding conversions to the different environments (DVE, Staging, Test, Prod, etc.).

6.1.6 Testing

Bidder shall define its testing approach to include all types of testing required including user acceptance testing (UAT).

6.1.7 Quality Assurance

Bidder shall define its quality assurance approach to include all user acceptance testing (UAT) test scripts, inspection, and acceptance of the final product.

6.1.8 Cybersecurity

Bidder shall provide the approach to ensure security practices are considered during implementation of the program as well as the approach to integrate with SAF's security infrastructure to include directory services, identity and access management, single sign-on, multi-factor authentication, MS EMS E3, to ensure the implementation meets GS/OAS security policies requirements.

6.1.9 Dynamics 365 and BPM Licensing

While the GS/OAS has identified Dynamics 365 Finance and Operation module for the Core Financial system of the OASCORE program, Bidders shall identify all product licensing modules as well as modules and number of licenses that will be required **during implementation** of this program. In addition, Bidder shall also identify the modules and licenses required to implement the proposed BPM platform during the implementation phase as well as post-production.

The GS/OAS wants to make the best use of the product modules to maximize its utility and return of investment.

6.1.10 Payroll System

As MS Dynamics 365 does not offer a payroll capability, the GS/OAS has, after market research, decided to build its own cloud-native system, whether fully developed on the MS Azure infrastructure, the BPM platform or a combination of both. The new system shall maximize the use of open source technology, minimize the use of Oracle JDK to avoid java subscription cost, and be directly integrated with MS Dynamics, the BPM platform and with the UN Systems (assuming the latter is possible). This effort, while in scope and part of the integrated project schedule, shall be priced separately to be evaluated against our budget requirements.

Attachment E - Payroll Requirements, which forms an integral part of this RFP, provides initial requirements for the payroll system that should suffice to provide a level of effort.

6.1.11 Travel System

As MS Dynamics 365 does not offer the workflow capability to request or expense for travel activities, the GS/OAS has, after market research, decided to build it within the BPM platform.

This workflow shall be directly integrated with MS Dynamics and with the UN Systems (assuming the latter is possible). This effort, while in scope and part of the integrated project schedule, shall be priced separately to be evaluated against our budget requirements.

Attachment B of this RFP provides initial requirements for the travel process that should suffice to provide a level of effort.

6.1.12 Other

Bidder shall provide additional activities (if any) that are relevant to programs of similar size and scope or that may carry potential impact to the organization such as regulatory issues such as ADA requirements, additional costs for implementation or for O&M activities such as cost of data pull/push from and to the Dynamics 365 platform, etc.

6.2 Management Approach

The GS/OAS must be provided with a clear and comprehensive understanding of all program management and governance activities required to effectively communicate with all GS/OAS stakeholders during the implementation of the OASCORE program. **In addition, Bidder's shall understand and consider the organization's culture and the impact that the new OASCORE platform will have on the entire organization, as we have been under the same ERP system for the past 20 years, which has defined how the SAF provides operational support to the rest of the organization. As the OASCORE program follows an agile deployment approach, organizational change management will be a key activity that must be taken into consideration, therefore Bidder's shall describe in this section how end users will effectively be ready and trained when a new capability is deployed in production.**

The management approach shall include at a minimum the following seven (07) sections:

- Section 1: Project Management Approach (framework, teaming arrangements, staffing plan, roadmap, integrated project schedule, milestones, etc.)

- Section 2: Design Thinking Approach (workshop, UX/UI, MVP, mockups, wireframes, customer journeys, business process mapping, data flow diagrams, etc.)

- Section 3: Organizational Change Management Approach (roles and responsibilities, conflict management, governance framework, risk management, steering committees, power mapping, etc.)

- Section 4: Program Governance Approach (change control process, change requests, decision requests, approval timeframes, change/decision request forms, etc.)

- Section 5: Communication Approach (methodology, escalation procedures, org chart, reporting, deliverables, meetings, demos, etc.)

- Section 6: Training Approach (train-the-trainer, user and technical training, documentation, manuals/guides, videos, etc.)

- Section 7: Logistics Approach (virtual/local staff, on/offshore model, travel, office/technology resource requirements, etc.)

While the sections above are required, the activities described in each section are examples/suggestions that Bidders may or may not include in their approach. In addition, Bidder shall combine sections as long as they are clearly documented.

6.3 Pricing

The GS/OAS has a limited budget for the complete implementation of the OASCORE Program described in this RFP. Therefore, the GS/OAS is open to receive from Bidders price proposals offering a Firm Fixed Price, Times and Materials, or a hybrid pricing type.

The GS/OAS must be provided with a clear and comprehensive understanding of all itemized costs required for the OASCORE program. Bidder's pricing shall be itemized according to the following breakdown:

- Implementation Costs (to include data migration, integrations, reporting, documentation and training costs)
- Governance/Organizational Change Management Costs
- Post-Implementation Support Costs
- Payroll System Development Costs
- Travel Workflow Process Costs
- Business Process Management Platform **License** Costs (define modules and estimated license count)
- Travel Expenses (if any)
- Other Relevant Costs (if any)

Ad-Hoc/Increased Scope Pricing: Bidders shall provide additional pricing for potential level of effort in the event the GS/OAS decides to include additional scope during the implementation of the program. Such scope could require professional services for Azure development, Power Apps development, Dynamics 365 or BPM customization, or additional integrations. Bidders shall include labor categories along with hourly labor rates as a separate line item in the pricing proposal.

6.4 References

Bidder shall provide a minimum of two (2) references for successful MS Dynamic 365 implementations and a minimum of (2) references for successful implementations of the BPM platform recommended in the technical solution within the last five years. References of implementations performed by teaming partners are acceptable. Preference will be given to references that demonstrate:

1. Successful implementations at International Organizations;

2. Successful implementations of back office functions such as Finance and Operations; Procurement and/or Human Resources.

 For each reference, Bidders shall provide the following information:

- Reference name and contact information (i.e. name, title, address, phone, email);
- Brief project description, including software/platform version(s) and modules implemented;
- Implementation date;
- Implementation timeline.

6.5 Legal Documentation

Bidder shall provide:

- A copy of the Bidder's certificate of incorporation issued by the competent authority of its country.
- A copy of the Bidder's bylaws.
- A copy of the Bidder's licenses and certifications in the corresponding jurisdiction (if required under the law of the duty station where the work is to be performed).
- A copy of the W-9 Form for US Companies and the Employer Identification Number for companies outside of the US.
- A copy of the Bidder's latest general balance sheet of 2018 or 2019; and copy of the Bidder's latest three (3) audited financial statements, for the years 2017, 2018 or 2019. In addition, the Bidder's DUNS number, only if applicable.
- A list of the directors, officers, and the names of any stockholder with more than 50% of the stock.
- A disclosure statement of conflict of interest. The statement should follow the format contained in **Attachment F – Conflict of Interest Statement**, which forms an integral part of this RFP. In the event of the Bidder intends to subcontract or perform the Contract in joint venture, such statement shall be also disclosure by the subcontractors and by each member of the joint venture.

6.6 Assumptions

Bidder shall document any assumptions made; however, shall attempt to seek clarification, validation and/or ask questions on or before **November 15th, 2020** to minimize overall assumptions made in their final proposal submission.

7 THE RFP PROCESS

7.1 Governing law

This selection process is regulated by:

- This RFP.
- The Procurement Contract Rules of the GS/OAS, approved by Executive Order No.00-1.
- The Performance Contract Rules, approved by Executive Order No. 05-04, Corr. No. 1.
- The Executive Orders, memoranda and other dispositions and official documents of the GS/OAS applicable to this process.

7.2 RFP Schedule

The RFP Schedule represents the best estimate of the schedule that will be followed. The GS/OAS reserves the right, at its sole discretion, to adjust this schedule. Notification of any adjustment to the RFP Schedule will be provided to all Bidders registered through the Official GS/OAS Procurement Notices/Opportunities Portal directly to the email that Bidders register with.

Activities Schedule	By Close of Business (COB) at 5:30 PM EST
Request for Proposals and Invitations Released	November 6th, 2020
Deadline to Register at the GS/OAS Portal to be able to ask questions	November 13th, 2020
Deadline for Bidder's Questions	November 15th, 2020
Answers to Bidder's Questions	November 20th, 2020
Deadline for Bidder's Proposal Submissions	November 29th , 2020
Proposal Evaluation Process	December 2020 – January 2021
Contract Award	February 8th, 2021
Contract Kick-Off and Start	March 1st, 2021

7.3 Registration at the Official GS/OAS Procurement Portal

Companies interested in receiving updates of the RFP Schedule, requesting clarification and/or bidding will need to register until **November 13th, 2020** at the Official GS/OAS Procurement Notices/Opportunities Portal (https://oas.procureware.com/Bids).

To start the registration process, Bidder must complete the following fields and then hit the "Next" button to submit its entry. Bidders will receive an email message with instructions on how to complete the registration.

- Company Name
- First Name (Contact Person)
- Last Name (Contact Person)
- Title (Contact Person)
- Email Address (Contact Person. This email address will receive all further notifications)
- Legal ID # (EIN or Federal Tax ID of the Company)
- Phone (Contact Person)

Please note that unfortunately, some servers or SPAM filters may block important messages or send them to your junk mail folder because they do not recognize the sender. To help ensure that you receive all emails and further notifications from OAS/ProcureWare, please ensure to add our e-mail address noreply@procureware.com to your address book, contacts, and/ or "Safe Senders" list.

Fig 1: Screenshot of the Official GS/OAS Procurement Notices/Opportunities Portal.
Source: https://oas.procureware.com/Register?s=Setup

7.4 Bidders' Inquires

Bidders may submit any inquiry or request for more information and clarification regarding terms of reference in this RFP until **November 15th, 2020** through the Official GS/OAS Procurement Notices/Opportunities Portal at https://oas.procureware.com/Bids. You must be registered to

ask questions.

Bidder questions must clearly identify the number of the section of the RFP related to the question being asked.

The responses to these requests will be submitted through the Official GS/OAS Procurement Notices/Opportunities Portal directly to the email that you register with, on or before **November 20th, 2020** where all submitted questions and answers (Q&A) will be available for registered Bidders.

7.5 Proposal Closing Date

Proposals shall be submitted through the GS/OAS Procurement Notices/Opportunities Portal at https://oas.procureware.com/Bids by **November 29th, 2020**

7.6 Bidder's Warranties

By submitting a proposal in response to this RFP, the Bidder represents and gives express warranty of:

- Its knowledge and acceptance of RFP and the rules and conditions that governs the bidding process.

- That it has studied and is thoroughly familiarized with the requirements and specifications of the OASCORE Program in its entirety. This includes familiarity with the technical and contractual information contained in this RFP and its Attachments, with all current equipment, labor, material, market conditions, shipping and with applicable laws, such that the Bidder accepts responsibility for and is prepared to execute and shall completely fulfill all obligations under the OASCORE Implementation Agreement.

- The accuracy and reliability of all information it submits in this procurement process.

- Its knowledge that its proposal does not create any right in or expectation to a contract with the GS/OAS.

- That the Bidder shall bear any and all costs or expenses associated with or incurred in the formulation or development of a proposal in response to this RFP.

7.7 Submitting a Proposal in a Joint Venture

Any firm may bid independently or in joint venture confirming joint and several liability, either with domestic firms and/or with foreign firms. The GS/OAS does not accept conditions of bidding which require mandatory joint ventures or other forms of mandatory association between firms.

7.8 Proposal Submission Instructions

Proposals shall be submitted no later than 5:30 pm EST on **November 29th, 2020**. Bidder's failure to submit a proposal by the deadline will cause the proposal to be disqualified.

Proposals shall be submitted through the GS/OAS Procurement Notices/Opportunities Portal at https://oas.procureware.com/Bids.

Bidders should not consider their proposal received unless they receive a Bid submission received confirmation email from our address noreply@procureware.com. It is the responsibility of the Bidder to ensure their proposal was received. The GS/OAS is not responsible for proposals not received due to email delivery issues.

7.9 Award Criteria

Proposals will be admitted for evaluation only if they comply with the mandatory minimums contained in the RFP. Once admitted, the GS/OAS will review, evaluate, and compare those Proposals according to, but not necessarily limited to, the following criteria:

Criteria
Pricing
Technical Approach
Management Approach
References

In the event of an award, the winning Bidder will be notified in writing. Such communication shall not be construed as a contract with the GS/OAS. The award is contingent upon the winning Bidder's acceptance of the terms and conditions of the final OASCORE Implementation Agreement.

7.10 Right to Cancel the RFP and/or Reject Proposals

This RFP does not in any manner whatsoever constitute a commitment or obligation on the part of GS/OAS to accept any proposal, in whole or in part, received in response to this RFP, nor does it constitute any obligation by GS/OAS to acquire any goods or services.

The GS/OAS has the right to reject any and all proposals, and to disqualify any proposal not responsive to the minimum technical requirement and minimum proposal content specified in this RFP.

7.11 Requests for Clarification and Exchange with Bidders

In order to enhance the GS/OAS' understanding of proposals, allow reasonable interpretation of the proposals, or facilitate the evaluation process, the GS/OAS reserves the right to request written or oral clarification of submitted information and to request additional information from Bidders.

For that purpose the GS/OAS, through DP, will submit, in writing, any inquiry or request (including interview requests) to the Bidders for explanation, substantiation or clarification of certain aspects of their proposals. Such requests will be addressed to the point of contact indicated by the Bidders in their proposal.

Likewise, during the evaluation process, the GS/OAS may offer the Bidders an opportunity to eliminate minor irregularities, informalities, or apparent clerical mistakes in their proposals. Requests for clarifications will not be used to cure proposal deficiencies or material omissions that materially alter the technical or cost elements of the proposal.

7.12 Discussions and Negotiations

Before granting the award, the GS/OAS may choose to have written or oral discussions and/or negotiations regarding the terms, conditions and deliverables of the OASCORE program with the Bidders that, in the opinion of GS/OAS, are within the competitive range.

For that purpose, the GS/OAS, through DP, will submit, in writing, any request (including interview requests) to the Bidders. Such requests will be addressed to the point of contact indicated by the Bidders in their proposal.

During the negotiations, the GS/OAS may request the Bidders to revise or modify their proposals. After the negotiations the GS/OAS may issue a request for Best and Final Offer (BAFO).

7.13 Award

The award will be notified to the winning Bidder. Such communication shall not be construed as a contract with the GS/OAS. The award is contingent upon the signature of the OASCORE Implementation Agreement between the GS/OAS and the winning Bidder.

8   OASCORE IMPLEMENTATION AGREEMENT

The Agreement for the implementation of the OASCORE Business Modernization Platform Program will be drafted by the GS/OAS based on this RFP, the winning proposal, and the results of the negotiations with the selected Bidder. Consequently, the Agreement shall come into effect when signed by both GS/OAS and the duly authorized representative of the winning Bidder.

Attachment G – General Conditions of the OASCORE Implementation Agreement, which forms an integral part of this RFP, contains the contractual terms and conditions that will be part of the OASCORE Implementation Agreement. No changes to such General Conditions shall be accepted after the contract award. Once the contract is awarded, the selected Bidder shall be bound by such General Conditions either as stated herein in the RFP or as mutually modified by the GS/OAS and the selected Bidder.

The GS/OAS selection of any Bidder who proposes changes to the General Conditions shall not be deemed as acceptance of the Bidder's proposed changes.

At all times, the GS/OAS reserves the right to use its own contract documents and to negotiate changes in the proposed Agreement. The GS/OAS reserves the right to accept or reject any changes in language and reserves the right to make final conforming changes to the documents.

9   GENERAL PROVISIONS

9.1 Language

All correspondence and responses to this RFP shall be made in English.

9.2 Privileges and Immunities

Nothing in this RFP shall constitute an express or implied agreement or waiver by the GS/OAS, the OAS, or their personnel of their privileges and immunities under the OAS Charter, the laws of the United States of America, or international law.

The Bidders are not entitled to any of the exemptions, privileges, or immunities, which the GS/OAS may enjoy arising from GS/OAS status as a public international organization.

10 ATTACHMENTS

All attachments listed below form an integral part of this RFP and will be provided to Bidders as separate files in pdf format:

- Attachment A – SAF Organization
- Attachment B – New Travel Process (Draft)
- Attachment C – Current Integrations – Additional Information
- Attachment D – OASCORE Business Processes and Reporting Requirements
- Attachment E – Payroll Requirements (Draft)
- Attachment F – Conflict of Interest Statement
- Attachment G – General Conditions of the OASCORE Implementation Agreement