CVA Standard Operating Procedures (SOPs) Template

Standard operating procedures (SOPs) are a tool to support effective programming. The elaboration of CVA-specific-SOPs as part of CVA preparedness (CVAP) activities, will allow for a better coordinated response where everyone in the Red Cross Red Crescent Movement will be clear of their roles and responsibilities. It is important to emphasise that the process of elaborating and developing the SOPs is just as important as the final document. While much of the assessment, programme design and implementation will fall fundamentally under the responsibility of the CVA Focal Point (with Programmes/DM or equivalent emergency response team), the special skills and responsibilities of the Logistics and Finance departments are also required for various components. The different types of roles across all departments are outlined in more detail in Annex 1 – CVA RACI Matrix. This means that the development of the CVA SOPs needs to be guided by a CVA technical working group (CTWG) that represents all the main functions relevant for CVA within a National Society. Together, the CVA TWG members should discuss and agree on ways of working, and elaborate CVAs endorsed by all. The dissemination of the CVA SOPs will be an important part of the National Society CVAP activities as well.

**Summary Information**

**Title:** CVA standard operating procedures for *insert the country or district or response as precisely as possible*

**Date:** *insert date finalized, in case they are updated*

**Contact persons:** *insert names, functions and contact details*

**Approved by:** *insert name, function or person, once approved*

**1. Background**

**1.1 Purpose of SOPs**

|  |
| --- |
| *For example:*- The aim of these SOPs is to support and facilitate the implementation of CVA by specifying the respective roles and responsibilities of National Society staff (Programmes, Logistics, Finance and other departmental staff) in CVA and defining the processes involved and minimum requirements for documentation.- To provide a structured overview of how CVA must be administered in emergencies, including what needs to happen pre-crisis, as well as during response, to ensure timely and effective CVA.- To support streamlined and effective decision-making for management at key steps for CVA implementation |

**1.2 When do they apply?**

NS should have CVA SOPs if they are planning or implementing any form of CVA, either as part of a DREF, Emergency Appeal or during non-crisis times. They should be developed in the CVAP phase in advance of a potential response and updated periodically. SOPSs are necessary for CVA implementation in either both rapid or chronic emergencies, DRR, recovery and resilience

**1.3 Who is this document for?**

*Specify for which Red Cross Red Crescent audiences the SOPs are intended.*

|  |
| --- |
| *For example****National Society:*** *Chapter/branch staff and volunteers involved in CVA, national head quarter departments (NHQ), Programmes, Disaster Management teams and all additional departments and units involved in design and response****IFRC:*** *Emergency support staff involved in the initial operational response decision making****,*** *such as Logistics, Finance, Legal, Security and Programmes, including Operations/Project Managers/Appeal Managers****ICRC****: Administration, Logistics and EcoSec or other sectoral programme staff at country level****PNS:*** *SOPs can give various PNS in country an overview of NS procedures if engaging in or considering engaging in CVA with the NS* |

### 1.4 How should the SOPs be used?

*Briefly describe hot the SOPs should be used with the NS and how they fit within other broader internal NS processes. For example:*

These SOPs must be used across NS Disaster Management/Programmes at operational level to enable an effective planning and implementation of CVA in emergencies, recovery, DRR and resilience operations. In doing so, the SOPs will be embedded in the NS DM or other procedures and manuals. The SOPs should also follow and align with the NS Financial SOPs, as well as Logistics/Procurement rules and guidelines.

Moreover, the SOPs should be designed as broad as possible to cover a range of multi-sectoral issues, with no specific programme details. However, it is necessary to outline separate SOP process flows for the different CVA delivery mechanisms and each of these therefore have their own sections defined within the document.

### 1.5 Guide to using this document

**Sections 1- 2**are general background sections to the SOPs and the CVA operational environment.**Sections 3 - 4**give an outline of the roles and responsibilities within a CVA response and decision-making. **Sections 5 - 9** outlines the SOP procedures across the CVA project cycle (pre-crisis, assessment, response analysis and planning, set-up and implementation and M&E)

Specifically, ***Section 8*** includes different routes to take depending on the type of transfer mechanism/technology approach and NS should choose the relevant section/s:

Section 8.1 SOPs for programme set up: beneficiary registration and BCA applies to *all* transfer mechanisms, except for NS using new technology platforms. In these cases, NS should use SOP 8.3.4 CVA using new technology platforms (which also covers digital registration).

In Section 8.3 SOPs on set up and implementation: delivery, NS should choose which of the transfer mechanisms are relevant:

***8.3.1 CVA through FSPs/third parties***

***8.3.2 Commodity and/or cash vouchers through vendors/third parties***

***8.3.3 Direct cash (by-hand) distribution through NS***

***8.3.4 CVA using new technology platforms.***

**Section 9** covers M&E and is relevant to all transfer mechanisms.

### 2. Brief overview of CVA

**2.1 Use of CVA in country and by NS**

*Provide a generic description of types of CVA taking place in the country, its appropriateness and what objectives it is used for.*

*CVA is an effective and flexible mechanism for saving lives, protecting livelihoods and strengthening recovery from disasters and conflict. CVA represents all forms of cash and voucher-based assistance. It is one of the available response options for supporting people affected by humanitarian crises. Its use is driven by the operating context. Appropriate CVA has a role as an alternative to, or to complement, in-kind assistance. CVA is not a sector in its own right; it is simply an instrument that can be used meet particular objectives in particular contexts and sectors of response.*

*Provide a generic overview of experience of the National Society use of CVA in country and/or type of context. Provide details of:*

*types of context/emergency used*

*the dates*

*the modality or modalities used*

*the delivery mechanism/s*

*the number of beneficiaries targeted*

*lessons learned that influence future programming*

**3. Roles and responsibilities**

*List the main roles that different departments will have when implementing CVA in general.*

*This should specify departments and units at a minimum, also referring to headquarters and branch roles if needed. Branch level of involvement can be outlined further in the RACI.*

*Add to, and adapt, the main functions listed below to suit your context, adding rows if additional actors are identified*

*A generic standard NS example is provided below:*

|  |  |
| --- | --- |
| **Functions**  | **Roles for CVA** |
| **Programmes, DM, CVA Focal Person** | * Overall programme management responsibility for CVA, through the CVA Focal Person and ensuring all processes and procedures are aligned with CVA SOPs
* Appoints a CVA Focal Person.
* Manages the process of assessing needs, markets, risks, appropriateness and feasibility of CVA, selecting the most appropriate cash transfer modality and delivery mechanisms, and ensuring good quality design.
* Designs CVA programme, develops CVA components of Emergency Plan of Action (EPoA) and or concept note/project proposals, based on CVA assessments and preparedness.
* Promotes CVA best practices and standards through all relevant networks (e.g. the national cash working group, relevant clusters, regional community of practice, etc.)
* Ensures that decision-making processes are followed including by senior management (e.g. Secretary General and Director of Programmes.
* Makes sure documentation fulfilling donor/PNS/IFRC criteria are well defined
* Makes sure beneficiary selection criteria is agreed and communicated to stakeholders including beneficiaries and non-beneficiaries (for inclusion & exclusion).
* Mobilization, training and orientation of CVA to targeted households making sure they are well informed on cash transfer procedures, value of the transfer, where and when and what documents are required from the beneficiary end;
* Programme should have orientation with Finance on finance control system to mitigate fraud.
* Establish reconciliation of payment/cash disbursement mechanism in consultation with FSPs, PMER and finance team, Capture data using payment receipt sheet/register (beneficiary pin codes & transaction receipts from FSPs) is crucial for verification purposes against service providers financial reporting and reconciliation necessary for future auditing.
* Supports the CEA Focal Point/Team in the planning and design of effective Community Engagement and Accountability (CEA) strategy (including setting up of feedback mechanisms, mobilization of the community during the pre-selection process, and orientation of CVA programme) in alignment to the chosen CVA intervention modality and transfer mechanism;
* Supports the finance team in establishing a finance control system and ensuring all documentations during beneficiary selection and payments are captured for future audits e.g. beneficiary list, return coupon cards, payment register list etc.
* Supports PMER team for the development of monitoring tools to capture lessons learnt and best practices.
* CVA reporting of results
 |
| **Logistics/Procurement** | * Participates in the assessment process, particularly in assessing markets, including analysis of market system and supply chain
* Manages tender and contract processes with third parties and FSPs, including negotiation with FSPs and vendors for voucher programmes.
* Monitors the quality of the services delivered by suppliers.
* Ensures together with finance that vendors are reimbursed in e.g. voucher programmes.
 |
| **Finance** | * Overlooks and supports on necessary financial procedures for CVA and ensures CVA implementation is in compliance with existing NS accounting and auditing procedures.
* Supports and authorises reconciliation process for each CVA disbursement/encashment as well as final reconciliation, including processing and approving FSP and vendor invoices against fully reconciled lists. Follows up on any missing payments, issues or discrepancies.
* Participates in CVA risk assessment processes including review of agreements and contracts for FSPs; making sure cost is acceptable and all control mechanisms are captured for fraud mitigation and future audit
* Establishes financial criteria, identify financial service providers to approach, evaluates FSPs according to financial criteria and approves FSPs selected through tender.
* Develops financial monitoring system, validate financial reporting & reconciliation to ensure compliance with financial SOPs and processes and accountability
* Ensures payments for CVA are processed and transferred to service providers in a timely manner.
* Produces regular financial reports of the CVA implementation
 |
| **CEA** | * Devises an appropriate CEA strategy including setting up a feedback mechanism and developing information materials for beneficiaries in consultation and close coordination with the CVA/programmes team that matches with the chosen CVA modality and transfer mechanism, as well as in consultation with the affected population.
* Ensures the CEA system is in place and managed at the start of the cash transfer program especially during community entry, beneficiary selection and verification process and cash delivery etc.
* Supports in the mobilisation of beneficiaries for the CVA program, promoting transparency, equality and accountability processes through the feedback mechanism that will help capture and address issues and grievances as the case may be.
* Provides regular and real time information and feedback to the CVA Focal Point, DM and Programmes staff on critical issues related to the CVA interventions (e.g. complaints, quality of service delivery, suppliers) for action and resolution.
 |
| **PMER** | * In close coordination with programmes, lead in the development of a M&E system framework and tools.
* Design and plan methodology and frequency of data collection for baseline and PDM and propose any amendments from monitoring for improved implementation.
* Orientation of staff and volunteers on data collection tools
* Lead PDM, conduct real-time monitoring visits to assess the processes, CEA activities/mechanisms and encashment process.
* Document case studies and best practice in collaboration with communications, programmes and communicate with stakeholders.
* Review complaints mechanism to determine if issues have been followed up sufficiently.
 |
| **Security**  | * Leads in the security risk assessment and review process
* Ensure security plans are developed based on the level of risk identified and ensure that safety procedures are followed and adhered to.
* Advice on Movement practices and security at CVA distribution points.
 |
| **Legal** | * Reviews legal documentations like agreements and contracts with FSPs, ensuring all legal policy and conditions are incorporated and acceptable.
* Conducts legal review of documents or risks assessments where necessary depending on the context.
 |
| **IT/Information Management** | * Provides technical knowledge on IT-related aspects of CVA e.g. electronic beneficiary registration and database management, mobile transfers or other electronic payment systems, and on the use of digital devices.
* Assist in setting up electronic forms in the data collection platform (Kobo or similar) for assessment, beneficiary registration, PDM etc. (Alternatively: PMER)
* Assist in download and analysis of collected data (Alternatively: PMER)
* Supports on data protection
* Supports logistics in sourcing the appropriate electronic equipment
 |
| **Resource mobilization** | * Provides support to on-going fundraising and partnership efforts for CVA
 |

### For a breakdown of the different types of roles and responsibilities within the main types of CVA programmes, see Annex 1 – CVA RACI Matrix. This template can be adapted to list who is *accountable, responsible, consulted* and *informed* for each CVA step. The RACI also provides space to specifically how the roles may be split across headquarters vs. branches.

**3.1 Decision making**

*Outline what is required of management specifically, in relation to decision making for CVA.*

*For example:*

CVA will usually fall under the overall authorisation of Programmes, led by the CVA Focal Point and in close coordination with the branches. Senior management (e.g. Programme Manager) will have the responsibility for decision-making, documenting and signing-off on all aspects of CVA response, based on information provided by the CVA Focal Point or other relevant departments (e.g. Logistics, Finance).

The Secretary General, through Programmes, will have overall responsibility for decision making, documenting and approval of CVA implementation, based on information and recommendations provided by technical experts from the different sectors and disaster management at branch level, as to the appropriateness of CVA intervention

Programmes will be responsible for ensuring that the following procedures in CVA are followed:

- Assessment of financial service providers (FSPs), cash modality and delivery mechanisms, including their feasibility and risks, as well as assessing needs and markets

- Response options analysis is developed and documented

- Completion of appropriate documentation including CVA risk management checklist is in place

- Coordination and support required from support services is provided in timely manner

- Coordination with other humanitarian actors for secondary information

The information gathered from the needs assessment and updated feasibility analysis during response analysis can be used to assess whether the support will be in-kind or CVA - whichever is appropriate – as well as guide NS senior management in decision-making as to which type CVA modality is appropriate.

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**4. Overview of process - Timeline**

*Using the RACI Matrix as a guide, summarise the main CVA steps necessary for setting-up and implementing the NS CVA response, estimated timeline for each step and where management decision making may be required. Note the timeline and RACI may not cover all the same steps each but should align as much as possible. The steps will also inform the SOP processes where they will be expanded on in more detail.*

*A generic NS example has been included for cash through either FSPs or vouchers that can be adapted to suit the NS capacity and operational set-up. It demonstrates that for many NS, if CVAP has taken place prior to the crisis, a CVA response can be delivered within 60 days.*

*Timeline to adapt:*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Pre - crisis** | **Phase** | **Day** | **Step #** | **Activity** | **Mgmt decision needed?** |
| **Pre-crisis** |  |  | Design, implement and test beneficiary management database for CVA. |  |
|  |  | Desing, implement and test financial and reconciliation system for CVA.  |  |
|  |  | Baseline feasibility and risk analysis/initial decision to do CVA | X |
|  |  | Establish FSP framework agreements (SoW, tender, validation, contracting) |  |
| ***Crisis strikes or DREF launched*** |
| **Operational response** | **Assessment** | 1-2 | 1 | Conduct CVA needs assessment |  |
| 1-2 | 2 | Conduct market assessment |  |
| **Response Analysis** | 3 | 3 | Decide if CVA is appropriate (or in-kind) | X |
| 3 | 4 | Feasibility, modality and mechanism selection + risks (update from pre-crisis) | X |
| 3 | 5 | Calculate transfer value |  |
| 3 | 6 | Targeting decisions (geographical and vulnerability criteria) |  |
| **Planning** | 4-8 | 7 | Develop PoA/project proposal and budget |  |
| 9-11 | 8 | Approval of PoA/project proposal or re-submission | X |
| 9-11 | 9 | Resource and funding mobilisation |  |
| 12-15 | 10 | Coordination with branches and local authorities |  |
| **Implementation /Programme Set Up** | 12-15 | 11 | Roll-out and test beneficiary management database for CVA.  |  |
| 12-29 | 12 | Design and roll out CEA |  |
| 16-21 | 13 | Beneficiary selection, validation and registration  |  |
| 22 | 14 | Approve final beneficiary list | X |
| 22-24 | 15 | Design monitoring plans and tools (update from CVAP) |  |
| **Implementation/ Distribution, Encashment and Reconciliation** | 23-26 | 16 | Distribution of beneficiary cards/coupons or vouchers + beneficiary sensitisation/communication |  |
| 22-23 | 17 | Encashment/distribution planning |  |
| 24-25 | 18 | Finalise and share encashment/distribution plans |  |
| 26-27 | 19 | Encashment set-up and training with FSPs/vendors and staff |  |
| 26 | 20 | Request for payment  |  |
| 27 | 21 | Approve request for payment | X |
| 28 | 22 | Transfer funds to FSPs/vendors (or internally, if direct NS cash distribution) |  |
| 30-40 | ***ENCASHMENT/DISTRIBUTION*** |
| 30-40 | 23 | Encashment/distribution/vendor monitoring |  |
| 30-45 | 24 | Reconciliation |  |
| **Monitoring and Evaluation** | 40-50 | 25 | Post distribution monitoring (PDM) |  |
| 40-50 | 26 | Market monitoring |  |
| 55-60 | 27 | Lessons learned/evaluation and review |  |
| 60 | 28 | Final reporting |  |

**5. SOPs for Pre-crisis Preparedness**

*Add**steps and procedures/actions related to Pre-Crisis Preparedness and specify which CiE or NS adapted tools are required. The SOPs steps and activities should align with the RACI activities (see Annex 1).*

*NS using this short form template can simply bullet the key actions required per step, and refer to the RACI for more details of roles and responsibilities*

|  |
| --- |
| **SOP Phase: Pre-crisis Preparedness** |
| **Step** | **Actions** | **Relevant tools** |
| Design, implement and test beneficiary management database for CVA. | * Requirement gathering.
* Select / design appropriate data management system.
* Sign agreement / ensure covered in existing movement agreements.
* Establish standarised processes for cleaning beneficiary data and protecting sensitive data.
* Ensure that CVA data is stored in a manner that ensures it is properly backed up.
* Implement and test system.
 |  |
| Design, implement and test financial and reconciliation system for CVA.  | * Requirement gathering.
* Select / design appropriate system.
* Sign agreement / ensure covered in existing movement agreements.
* Implement and test system.
 |  |
| Baseline CVA feasibility and risk assessment (including FSP mapping) | * Assess baseline feasibility for CVA
* Assess baseline market feasibility
* Understand access to financial services
* Assess financial services
* Assess organisational capacity
* Analyse risks
 | ***M2\_2\_4\_1 Community Assessment Report, M2\_3\_3\_2 Market Assessment Report, M2\_4\_1\_3 Service Providers Mapping, M2\_4\_3\_2 IFRC SOPs Risk Management Checklist***  |
| Initial decision for CVA | * Management to make decision on CVA feasibility
* Initial modality and mechanism analysis conducted
 | ***M 3\_1\_2\_1 Cash Feasibility Checklist, M3\_1\_3\_1 Comparing Response Modalities and Mechanisms*** |
| Establish FSP service and framework agreements | Develop SoW | * Kick off with programmes and FSPs
* Establish SOW draft
* Approve SOW
 | ***M2\_4\_1\_3 Service Providers Mapping****Internally from NS:**Logistics Requisition Scope of Work (SOW), RfP Template* |
| Prepare tender documents and receive bids | * Prepare request for proposals/quotations
* Revision of FSP response sheet/pricing template
* Prepare logistics requisition
* Validation of tender package
 | *As per NS internal Logistics processes* |
| Conduct tendering and selection  | * Launch of open or restricted tender
* Q&A tender period
* Bid opening ceremony
* Conduct comparative bid analysis (CBA)
 | *As per NS internal Logistics processes* |
| Validation/negotiation  | * Validation of CBA
* Validation of procurement file
 | *As per NS internal Logistics processes* |
| Contracting | * Update of FSP contract template
* Review of contract template
* Approval of contract template
* NS and/or IFRC sign contract with FSP
 | *As per NS internal Logistics processes* |

See also **Annex 1 – RACI** for roles and responsibilities related to each step.

**6. SOPs for Assessment**

*Add**steps and procedures/actions related to Assessment and specify which CiE or NS adapted tools are required. The SOPs steps and activities should align with the RACI activities (see Annex 1).*

*NS using this short form template can simply bullet the key actions required per step, and refer to the RACI for more details of roles and responsibilities*

***Example:***

|  |
| --- |
| **SOP Phase: Assessment** |
|  | **Step** | **Actions** |  **Relevant tools** |
| 1 | Conduct CVA needs assessment | * Choose assessment tools
* Find relevant secondary data
* Map stakeholders
* Get cash specific information from the community
* Identify and quantify priority needs
* Consolidate community findings
 | ***M2\_3\_1 Data Collection Plan, M2\_2\_3 Priority Needs Calculation,*** ***M2\_2\_4\_1 Community Assessment Report,*** |
| 2 | Conduct market assessment | * Understand access to markets
* Identify key commodities and markets
* Collect market information
* Consolidate market findings
 | ***M2\_3\_3\_2 Market Assessment Report******Also see: RAM and MAG tools*** |

See also **Annex 1 – RACI** for roles and responsibilities related to each step.

**7. SOPs for Response Analysis and Planning**

*Add**steps and procedures/actions related to Response Analysis and Planning and specify which CiE or NS adapted tools are required. The SOPs steps and activities should align with the RACI activities (see Annex 1).*

*NS using this short form template can simply bullet the key actions required per step, and refer to the RACI for more details of roles and responsibilities*

***Example:***

|  |
| --- |
| **SOP Phase: Response Analysis and Planning** |
|  | **Step** | **Actions** |  **Relevant tools** |
| 3 | Decide if CVA is appropriate or in-kind (if not done Pre-Crisis) | * Explore response options
* Check if cash is feasible
 | ***M 3\_1\_2\_1 Cash Feasibility Checklist,*** |
| 4 | Feasibility, modality and mechanism selection (feasibility analysis) | Risk analysis | * Compare modalities and mechanisms
* Conduct thorough risk analysis
* Calculate cost-efficiency
* Compare options and make a decision
 | ***M3\_1\_6\_1 Decision Making Matrix, M2\_4\_1\_3 Service Providers Mapping, M2\_4\_3\_2 IFRC SOPs Risk Management Checklist*** |
| Modality selection |
| Select delivery mechanism (if not done Pre-Crisis) |
| 5 | Calculate transfer value | * Set the value
* Adjust the value
 | ***M3\_2\_1\_1 Transfer Value Calculation*** |
| 6 | Decide on targeting criteria | * Identify most affected areas
* Identify targeting criteria and mechanisms
 | ***M3\_3\_1\_1 Geographical Targeting Matrix*** |
| 7 | Develop PoA/project proposal | * Define CVA inputs needed from specific departments
* Contribute to PoA development
 | ***M4\_1\_1\_1 Emergency Plan of Action*** |
| 8 | Approve PoA/project proposal | * Approve CVA components of PoA, as per NS procedure
* Resubmit any revisions and final approval
 |  |
| 9 | Resource and funding mobilisation | * Work with Finance, PNS and relevant departments to agree funding streams
 |  |
| 10 | Coordination with branches and local authorities | * Internal coordination
* Coordination with other actors
 |  |

See also **Annex 1 – RACI** for roles and responsibilities related to each step.

**8. SOPs for Set-Up and Implementation**

**8.1 Programme Set-Up and Implementation: Registration and CEA**

*All NS should fill in this section, unless new technology platforms are being used.*

*Add**steps and procedures/actions related to Registration and CEA and specify which CiE or NS adapted tools are required. The SOPs steps and activities should align with the RACI activities (see Annex 1).*

*NS using this short form template can simply bullet the key actions required per step, and refer to the RACI for more details of roles and responsibilities*

***Example:***

|  |
| --- |
| **SOP Phase: Programme Set-Up (Registration andCEA)** |
|  | **Step** | **Actions** |  **Relevant tools** |
| 11 | Roll-out and test beneficiary management database. | * Roll-out beneficiary management database.
* Test relevance and functionality of database.
* Train relevant staff on how to use database.
* Identify one staff member to be tasked with management of CVA data.
 |  |
| 12 | Design and roll out CEA strategy | * Develop CEA plan
* Build staff capacity
* Select communication channels and tools
* Develop messages for target audience
* Develop feedback and complaints mechanism
 | ***M4\_2\_1\_1 BCA Plan, M2\_5\_2 Feedback & Complaint Mechanism template*** |
| 13 | Beneficiary selection | Design and roll out HH questionnaire and/or baseline | * Plan and prepare for registration
* Identification and authentication
* Verification
 | ***M4\_4\_1\_2 Beneficiary List*** |
| Select, verify and register beneficiaries |
| 14 | Approve final beneficiary list | * Approval of final list
* Adjustments to final list
 |  |
| 15 | Design M&E plan and tools (update from CVAP if done) | * Develop M&E strategy and tools
* Build staff capacity
 | ***M4\_1\_1\_2 Logical Framework*** |

**8.2 Set-Up and Implementation: Delivery**

*From this point onwards, the process flow (steps, activities and procedures) will vary based on the CVA delivery mechanism. NS should complete the relevant section/based on their delivery mechanism/s used for the CVA programme.*

**8.2.1 SOP for CVA through FSPs /third parties**

**Example:**

|  |
| --- |
| **SOP for Delivering CVA through FSPs/third parties** |
| **Step** | **Procedures/actions** |  **Relevant tools** |
| 16 | **Distribute beneficiary cards****Conduct beneficiary sensitisation and training** |  |
| 17 | **Encashment planning** | ***M5\_4\_3\_3 Encashment Planning Tool, M4\_5\_4\_2 Encashment List, M4\_4\_3 Encashment Report***  |
| 18 | **Finalise and share encashment plans** |  |
| 19 | **Encashment set-up and training*** Support FSPs with setting up chosen payment mechanisms (e.g. ATMs, smart cards, cheques, mobile SIMs)
* Train NS staff.
 |  |
| 20-21 | **Raise and approve payment request** | ***M4\_5\_4\_1 Payment Order*** |
| 22 | **Transfer funds to FSPs as per MOU** |  |
| 23 | **Encashment monitoring** | ***M5\_2\_2\_1 Encashment Site Observation Form*** |
| 24 | **Reconciliation*** Validate encashment reports from FSPs
* Process vendor invoices against reconciliation
* Final reconciliation
 | ***M4\_5\_5\_4 Third party reconciliation***  |

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**8.2.2 SOP for cash or commodity vouchers delivered through traders/ third parties**

Example:

|  |
| --- |
| **SOP for Cash or commodity voucher delivered through vendors/third parties** |
| **Step** | **Procedures** |  **Relevant tools** |
|  | **Design and print vouchers** |  |
|  | **Visit/map selected vendors** |  |
|  | **Encashment planning** | ***M5\_4\_3\_3 Encashment Planning Tool, M4\_5\_4\_2 Encashment List, M4\_4\_3 Encashment Report***  |
| 16 | **Distribute vouchers (if applicable)****Conduct beneficiary sensitisation and training** |  |
| 17 | **Finalise and share encashment plans** |  |
| 18 | **Encashment set-up and training*** Support vendors with setting up chosen payment mechanisms (e.g. e-vouchers, smart cards, tablets)
* Train NS staff
 |  |
| 20-21 | **Raise and approve payment request** | ***M4\_5\_4\_1 Payment Order*** |
| 222 | **Transfer advance to vendors as per MoU** |  |
| 23 | **Encashment monitoring** | ***M5\_2\_2\_1 Encashment Site Observation Form*** |
|  | **Collect redeemed vouchers from vendors** |  |
| 24 | **Reconciliation*** Validate disbursement reports from vendors
* Process vendor invoices against reconciliation
* Final reconciliation
 | ***M4\_5\_5\_4 Third party reconciliation*** |



**8.2.3 SOP for direct cash (by-hand) distribution by NS**

Example:

|  |
| --- |
| **SOP for direct cash (by hand) distribution by the NS** |
| **Step** | **Procedures** |  **Relevant tools** |
| 16 | **Distribute beneficiary cards** **Conduct beneficiary sensitisation and training** |  |
| 17 | **Distribution planning** | ***M4\_5\_2\_4 Distribution Planning Tool, M4\_5\_2\_3 Distribution List, M4\_4\_5 Distribution Report***  |
| 18 | **Finalise and share distribution plans** |  |
| 19 | **Distribution set-up** * Site preparation
* Security planning
 |  |
| 20-21 | **Raise and approve payment request** | ***M4\_5\_4\_1 Payment Order*** |
| 22 | **Transfer funds to branches & prepare cash in envelopes** |  |
| 23 | **Cash distribution** * Distribution management
* Distribution monitoring
 | ***M5\_2\_2\_1 Encashment Site Observation Form*** |
| 24 | **Reconciliation*** Physical reconciliation of cash per distribution
* Reconciliation of beneficiary numbers per distribution
* Final reconciliation
 | ***M4\_5\_5\_5 Cash reconciliation*** |

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**8.2.4 SOPs Programme Set-Up and Implementation: CVA using New Technology Platforms/data management solutions (e.g. RedRose)**

*NS using new technology platforms should fill in this section, before completing the specific SOP for Set-Up and Delivery according to the delivery mechanism used.*

**Example:**

|  |
| --- |
| **SOP Phase: Programme Set Up and Implementation (Using New Technology Platforms)** |
| **Step** | **Procedures/Actions** |  **Relevant tools** |
|  | **Design and roll out technology platform.*** Define roles and responsibilities for use of the platform.
* Ensure access to relevant staff members to the platform, including at branch level where required.
* Train appropriate people on use of the platform.
 |  |
|  | **Establish appropriate financial controls and permissions for the use of the platform.*** Ensure access to platform in line with roles and responsibilities.
 |  |
|  | **Test use of the platform in advance of implementation.** * Pilot payments within the system to ensure use at all levels.
 |  |
|  | **Continuous de-duplication and data cleansing.**  |  |

**9. SOPs for Monitoring and Evaluation**

*Add**steps and procedures/actions related to M&E and specify which CiE or NS adapted tools are required. The SOPs steps and activities should align with the RACI activities (see Annex 1).*

*Some NS may wish to include some of their adapted tools as annexes, if they are considered necessary to inform their SOPs. (See Section 11 – Annexes)*

*The below table is design to provide as much, or as little detail as required. NS who prefer longer form SOPs can provide more detailed information per step in the form of procedures. NS preferring shorter form SOPs can simply summarise the key actions required per step.*

***Example short form:***

|  |
| --- |
| **SOP Phase: Monitoring and Evaluation** |
|  | **Step** | **Procedures/Actions** |  **Relevant tools** |
| 25 | Conduct PDM | * Post distribution monitoring
* Analyse and share results
 | ***M5\_2\_3\_4 PDM CTP Survey*** |
| 26 | Conduct market monitoring | * Monitor price data
* Respond to price changes
 | ***M5\_3\_1\_1 PDM Market Survey, M5\_3\_2\_3 Price Collection Form*** |
| 27 | Lessons learned/final evaluation | * Set evaluation criteria and questions
* Prepare evaluation TORs
 | ***M5\_4\_2\_2 Case Study*** |
| 28 | Final reporting | * Generate reports
 |  |

### 10. Annexes

* Annex 1 – CVA RACI Matrix