

## Use Cases

### Use Case 01: Embedded workflows – review and approval processes

#### Description:

The review and approval processes in the current ERP mainly rely on the geography and financial thresholds. However, provisions in the eManual embed and hence require much more complex review and approval processes for certain attributes of transactions.

Organizational processes however require review and authorization of transaction based on a much more elaborate set of attributes of a particular transaction. As a result, WHO operates a complex set of manual offline review and authorization processes. Offline approvals are routinely routed to the same authorized individuals as part of the review and approval process of the financial transaction.

Users of the current ERP (GSM) have repeatedly expressed concerns about these manual processes. Offline review and approvals are perceived to cause delays and duplication and cannot be transparently tracked and reported on. It could be argued that the practice reduces the effectiveness of review and authorization controls as the key focus is on offline approval processes.

It would be critical to the effective functioning of administrative processes covered by the new ERP that the new system has an embedded ability to manage complex, multi-faceted review and approval processes based on a fully customizable set of a attributes of transactions.

This use case describes requires from the perspective of financial transactions related to the procure-to-pay process. It is anticipated that other uses cases might apply to other core WHO processes such as hire to retire process.

**These cases have been taken into account in Supply (SUP)'s High Level requirements, and have been reminded in Supply's Use cases. Reference to relevant requirements are included in the table below.**

Overall, please refer to Supply High Level requirements:

Audit: See SUP-FR-001 to 004

Configuration of workflows, and flexibility to accommodate DoAs and their changes: SUP-FR-008, SUP-FR-044, SUP-FR-045

Notifications and follow up of workflows: SUP-FR-043 to SUP-FR-048

Services (advance payment and configurations): SUP-FR-217 & SUP-FR-218

Validation of PRs and business rules/DoA: SUP-FR-246, SUP-FR-247 & SUP-FR-250

Validation of POs and business rules/DoA: SUP-FR-304

#### Pre-conditions:

none

**Post conditions:**

The below describes sample scenario's indicative of the anticipated complexity required of review and approval processes. Each detailed use case is only a sample, whereby similar requirement could exist, and conditions can and will be combined in an overall complex flow.

Use case ID	User	Related actions – sample	Detailed references
01	User initiates standard procurement	<p>This use case aims to clarify the basic flow of authorization for standard procurement.</p> <p>The system will route transactions for approval by workplan, geography and amount (see approval levels below).</p>	<p>See approval levels and other references below.</p> <p>Kindly note SUP requirements will include workflows on approval of LTA's and catalogues. Reference to high level requirements in SUP include inter alia SUP-FR-149, SUP-FR-171, SUP-FR-179.</p> <p>Use cases 3 &amp; 4 refer</p>
02	User initiates CRC review	<p>The use case aims to capture the need for CRC review of certain transactions.</p> <p>a) Basic Users creates a CRC review case for standard goods procurement of USD 300,000 for SEARO. Users uploads required supporting documents.</p> <p>System will route the transaction for electronic approval to CRC members.</p> <p>If approved, system will populate procurement transaction with authorized values and supporting documents, including CRC authorization.</p> <p>b) Pre-payment The above request now includes a request for full pre-payment. Users uploads required supporting documents.</p> <p>System will route the transaction for electronic approval to CRC members and DAF/Comptroller/Senior finance staff for approval.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	<p><a href="https://emanual.who.int/p06/s05/Pages/default.aspx">https://emanual.who.int/p06/s05/Pages/default.aspx</a> (CRC)</p> <p>Reference to high level requirements in SUP include inter alia SUP-FR-134; SUP-FR-217 &amp; 218 and use case 2</p>

03	User initiates transaction with waiver of competitive procurement	<p>This use case aims to demonstrate how a specific attribute will require exceptional consideration.</p> <p>User creates a non-grant LOA for a value of USD 100,000 including a direct award to the contractor without competitive bidding. The system will route the transaction to either CRC or DAF (Regions), Comptroller (HQ) or designation finance senior staff (entities) for approval. (choice to be allowed)</p> <p>Approved transactions will be routed to CRC members for information.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	
04	User creates emergency purchase order for catalogue items	<p>This use case aims to highlight the need for exceptional approval processed depending on the type of goods and services.</p> <p>User creates an emergency purchase order involving USD400,000 of catalogue items and uploads mandatory supporting documentation.</p> <p>System will route transactions for approval as per emergency delegation of authority and not standard delegation of authority.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	Reference to high level requirements in SUP include inter alia SUP-FR-192, SUP-FR-194, SUP-FR-208; SUP-FR-226; SUP-FR-241
05	User creates and submits DFC for approval	<p>This use case aims to demonstrate a) review and approval requirements specific to a procurement type (DFC), b) need to attach mandatory documents, c) specific attributes require special authorizations.</p> <p>At creation, user will be prompted to upload mandatory attachments (multiple based on specific naming convention). These can be indicated as mandatory based on the transaction type (DFC).</p> <p>Once initiated, transaction will be routed for review by QA role. The attachment will be uploaded with the financial transaction.</p> <p>Transaction will be consequently routed for approval as per financial thresholds.</p> <p>Transactions including full prepayment above USD50,000 will be routed to DAF for approval (Comptroller for HQ)</p>	<a href="https://emanual.who.int/p17/s06/Pages/XVII.6.6-Direct-Financial-Cooperation-Processing.aspx">https://emanual.who.int/p17/s06/Pages/XVII.6.6-Direct-Financial-Cooperation-Processing.aspx</a>

		<p>System routes the approval of the transactions to RD for approval if the counterpart has overdue DFCs.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	
06	User creates retroactive transaction	<p>This use case aims to indicate that customizable attributes by transaction should be available that can be linked and embedded in the review and approval flow. Any retroactive transaction requires special approval.</p> <p>a. Standalone System will route any approval to DAFs for Regions and Comptroller for HQ based on justification provided.</p> <p>b. Joint Kindly also demonstrate a scenario for a retroactive DFC, including a prepayment &gt;50,000 USD. The DAF should be alerted that both exceptional conditions exist on the transaction and required to document explicit approval of based conditions based on the justification provided.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	<p>Reference to high level requirements in SUP include inter alia SUP-FR-246 and SUP-FR-247 and SUP-FR-250 For documentation, see SUP-FR-240</p>
07	User submits TSA for appr	<p>The use case demonstrates the need for review by designed officials based on the procurement type as example.</p> <p>User creates TSA. System will route TSA to a specific review committee for review and approval. Only once the TSA is cleared, can the procurement process continue.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	<p>Reference to high level requirements in SUP include inter alia SUP-FR-218, SUP-FR-246 and SUP-FR-247 and SUP-FR-250. For documentation, see SUP-FR-240</p>
08	User submits vaccine procurement for approval	<p>This use case aims to demonstrate the need for exceptional review by a panel of experts for certain type of goods.</p> <p>User creates an emergency procurement for vaccines in amount of 400,000 and uploads the required supporting documents.</p> <p>System will route the transaction first to the dedicated QA technical expert for review and approval. Consequently, the transaction will be routed as per emergency delegation of authority.</p>	<p>Reference to high level requirements in SUP include inter alia SUP-FR-195 and SUP-FR-251 and use case 5a</p>

		<p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	
09	User records a write off or admin waiver	<p>This use case demonstrates a mandatory routing for approval of a transaction by specific criterion.</p> <p>User creates an write off or administrative waiver. Mandatory supporting documents will be added, including a justification. The transaction will be routed to DAF / Comptroller /RD / ADG for consideration and approval.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	<p>WHO eManual &gt; XII - General Finance &gt; XII.5 Expenses &gt; XII.5.5 Write-offs, administrative waivers and ex-gratia payments</p>
10	Non-PO based payments	<p>This use case demonstrates the need for review and approval of non-PO based transactions.</p> <p>User creates a non-PO based transaction/payment request. The request will require mandatory supporting documentation. The transaction will be selected from a fixed dropdown list of transactions types as per SOP.</p> <p>The transaction/payment will be routed to DAF (regions) / Comptroller (HQ) for approval.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific transaction.</p>	<p><a href="https://emanual.who.int/p10/s02/Pages/X21CommitmentsandEncumbrances.aspx">https://emanual.who.int/p10/s02/Pages/X21CommitmentsandEncumbrances.aspx</a></p>
11	RD requirement for exceptional consideration	<p>This use case aims to highlight specific requirements from senior staff to authorize certain transactions. An RD of one region requires all regional consultancy contracts including consultants not included on a roster to be routed to the RD for review and approval.</p> <p>User creates a consultancy contract for USD 30,000. System will verify whether consultant is selected from approval global or regional roster. If not, the transaction will be routed to RD for approval in addition to the standard approval levels.</p> <p>The approved record and its supporting documentation will be available to be uploaded with a specific (procurement) transaction.</p>	

12	Concurrency	<p>The use case aims to demonstrate that staff might be requested to approve different aspects of a transaction based on their role and authority.</p> <p>The system should highlight which specific attributes of a transaction require the approval of that person (e.g. DAF) in clear wording</p> <p>A standard procurement for USD100,000 which is retroactive, involves a waiver of competition and includes a full prepayment for a particular Region.</p> <p>The transaction should be routed to DAF for approval and documented approval for each condition should be clearly indicated in approval records.</p>	Reference to high level requirements in SUP include inter alia SUP-FR-008, SUP-FR-044, SUP-FR-045
13	Consultation	<p>The use case aims to demonstrate that during the review and approval process, staff might wish to consult with others.</p> <p>The initiator of the transaction as well as any designated reviewer or approve should have the ability to refer to the transaction to another staff member for consultation. This staff member will the be inserted in the review and approval process.</p>	
14	Monitor review and approval process	Users will be able to track the progress of any review and approval process through a transparent mechanism (tracker/dashboard)	Reference to high level requirements in SUP include inter alia SUP-FR-015, SUP-FR-206, SUP-FR-259
15	Alerts/reminders	The review and approval process will include standard timeframes for each step of the review and approval (e.g. 24 hours for review and approval of a specific step). System will include ability to generate alert or reminder to	Reference to high level requirements in SUP include inter alia SUP-FR-014
16	Delegation	Process and mechanism will allow for the delegation of a specific role (e.g. QA reviewer, TSA committee member, CRC committee member, DAF, Comptroller) to another WHO staff and route transactions for review and approval as per the delegation at the time of the initial of the review/approval step.	Reference to high level requirements in SUP include inter alia SUP-FR-016
17	Audit trail	The system will include a detailed audit trail of who approved and when for future reference. These details can be exported in offline files or PDF format.	Reference to high level requirements in SUP include inter alia SUP-FR-002, SUP-FR-003 and SUP-FR-004

## References for delegation of authority:

### a) approval levels

There are currently six approval levels; the limits of each are different in each Major Office. The value limits summarized below are the ones applied in HQ for Project Approvers 1-3; the limits for levels 4, 5 and 6 are the same in all Major Offices:

<b>Project Approver 1</b>	Approves purchase requisitions for goods and services and travel authorizations to a value of \$ 10,000. This role is normally held by a Programme Officer, Technical Officer or Administrative Officer
<b>Project Approver 2</b>	Approves purchase requisitions for goods and services and travel authorizations to a value of \$ 25,000. Also clears staffing actions. This role would frequently be held by a Unit Head
<b>Project Approver 3</b>	Approves purchase requisitions for goods and services and travel authorizations to a value of \$ 200,000. Also approves staffing actions. This role is held by a Director of a Department.
<b>Project Approver 4 - 6</b>	Approves purchase requisitions for goods and services to an unlimited value. Approves staffing actions. This role is held by an Assistant Director-General or by a DG Special Representative. Although the same person is named as project approvers 4, 5 and 6 in a Workplan, the PA will only need to approve the request once.

### b) SOP:

#### [FIN.SOP.II.001 Delegation of Authority \(relevant extracts\)](#)

##### 1.2.1. Approval Levels for WHO (excl. WPRO, EURO and UNAIDS)

Role <sup>1</sup>	Who <sup>2</sup>	What	Authorized to approve
Project Approver 1	Usually Programme Officer or Technical Officer	Approves encumbrances and expenditures against projects, including purchase requisitions for goods and services and travel authorizations.	<= \$10,000
Project Approver 2	Frequently be held by a Coordinator	<ul style="list-style-type: none"> <li>Approves encumbrances and expenditures against projects, including purchase requisitions for goods and services and travel authorizations</li> <li>Also clears staffing actions<sup>3</sup>.</li> </ul>	<= \$25,000
Project Approver 3	Frequently be held by a Director, but could be a Coordinator	<ul style="list-style-type: none"> <li>Approves encumbrances and expenditures against projects, including purchase requisitions for goods and services and travel authorizations</li> <li>Also clears, and for some tasks (listed in the attachment), approves, staffing actions<sup>3</sup>.</li> </ul>	<= \$70,000
Project Approver 4	Would be held by an Assistant Director-General or by a DG Special Representative	<ul style="list-style-type: none"> <li>Approves encumbrances and expenditures against projects, including purchase requisitions for goods and services and travel authorizations.</li> <li>Approves staffing actions<sup>3</sup>.</li> </ul>	unlimited

<sup>1</sup> The number of project approvers levels can vary between major offices

### 1.2.2. Approval Levels for UNAIDS

Frequently UNAIDS staffs have financial authority against the GSM approval level.

Project approver 1	Project approver 2	Project approver 3	Project approver 4	Project approver 5
0 - \$50k	\$50k - \$100k	\$100k - \$200k	\$200k - \$500k	\$500k and above

### 1.2.3. Approval Levels for WPRO

Office	Project Role	Staff Assignment	Authorized to approve
RD/DPM/DAF	Project Approver 1	NPO	0.00 – 1.00
	Project Approver 2	P3/P4	1.01 – 2.00
	Project Approver 3	P5	2.01 – 10,000.00
	Project Approver 4	DAF	10,000.01 – 50,000.00
Regional Office	Project Approver 1	PMO	0.00 – 1.00
	Project Approver 2	Team Member/Project Manager	1.01 – 2.00
	Project Approver 3	Project Manager/Team Leader	2.01 – 10,000.00
	Project Approver 4	Director	10,000.01 – 50,000.00
WR Office	Project Approver 1	PAO	0.00 – 1.00
	Project Approver 2	PMO	1.01 – 2.00
	Project Approver 3	Project Manager	2.01 – 10,000.00
	Project Approver 4	WR	10,000.01 – 50,000.00
CLO Office	Project Approver 1	PAO/Fiji	0.00 – 1.00
	Project Approver 2	PMO/Fiji	1.01 – 2.00
	Project Approver 3	CLO	2.01 – 10,000.00
	Project Approver 4	WR	10,000.01 – 50,000.00
	Project Approver 5	DAF	50,000.00 - unlimited

### 1.2.4. Approval Levels for EURO

Approval Level	Amount	Who
Level 1	US\$ 0–15 000	Workplan Manager (= "Project Manager" in GSM)
Level 2	US\$ 15 001–25 000	Unit Head, Head of Country Office or Head of Geographically Dispersed Office
Level 3	US\$ 25 001–70 000	Division director
Level 4	US\$ 70 001 and above	Director, Division of Administration and Finance (DAF) based on the endorsement of the recommendation of the Contract Review Committee

Please note that for service requisitions, EURO introduced an additional role (Compliance) so that following approval limits apply:

Role Name	Approval Limit From	Approval Limit To
Project Approver 1	0.00	14,999.00
Compliance Role	14,999.01	15,000.00
Project Approver 2	15,000.01	25,000.00
Project Approver 3	25,000.01	70,000.00
Project Approver 4	70,000.01	99,999,999,999.00

See also additional file for emergency delegation of authority

(<https://emanual.who.int/p17/s02/Pages/XVII23delegationofauthority.aspx>)