Job Aid
Administration of Consultants
and Individual Contractors
# Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview</td>
<td>3</td>
</tr>
<tr>
<td>Objectives</td>
<td>3</td>
</tr>
<tr>
<td>Enterprise Roles</td>
<td>3</td>
</tr>
<tr>
<td>Search for Business Partner (BP) Record – Requisitioner</td>
<td>4</td>
</tr>
<tr>
<td>Search and Request for Creation of Index Number – HR Partner</td>
<td>4</td>
</tr>
<tr>
<td>Enter Non-Staff Person – HR Partner</td>
<td>5</td>
</tr>
<tr>
<td>Create a Shopping Cart – Requisitioner</td>
<td>5</td>
</tr>
<tr>
<td>Approve a Shopping Cart – Approver</td>
<td>5</td>
</tr>
<tr>
<td>Review the Shopping Cart – HR Partner</td>
<td>6</td>
</tr>
<tr>
<td>Creation and Approval of Purchase Order for a Consultant/IC – HR Partner</td>
<td>7</td>
</tr>
<tr>
<td>Creation of Service Entry Sheet for a Consultant/IC – Requisitioner</td>
<td>8</td>
</tr>
<tr>
<td>Acceptance of Service Entry Sheet for a Consultant/IC – HR Partner</td>
<td>10</td>
</tr>
<tr>
<td>Continuing the Services of a Consultant/IC</td>
<td>10</td>
</tr>
<tr>
<td>Closing of a Consultant/IC Contract – HR Partner</td>
<td>11</td>
</tr>
<tr>
<td>Exit All Non-Staff (Consultant/IC) PA – HR Partner</td>
<td>11</td>
</tr>
<tr>
<td>Revision History</td>
<td>12</td>
</tr>
</tbody>
</table>

**Annexes**

- Annex 1 – CIC Shopping Cart Simulation
- Annex 2 - CIC PA40 Enter Non-Staff Person
- Annex 3 – CIC Create Purchase Order Simulation
- Annex 4 – CIC Maintain All Non-Staff (Consultant) Simulation
- Annex 5 – CIC Exit Consultant Simulation
Overview

1. This Job Aid provides a summary of the key steps for hiring and maintenance of consultants and individual contractors (CICs) in Umoja, using the HCM (Human Capital Management) module for human resources transactions, and the SRM (Supplier Relationship Management) module for procurement transactions. This is applicable when both Umoja Foundation and Extension 1 go live in a duty station. The examples are used interchangeably for consultants and ICs, but notes are added when the process is different.

   **Note:** ICs who carry out unskilled/manual labour in field missions will **not** be entered in HCM and missions will continue to use the Foundation BP process.

2. Full details of all steps are contained in the training materials that are referenced in this document. The courses are accessible via the following path: *iSeek* ⇒ *Umoja* ⇒ *Training & Job Aids* ⇒ *Level 3*, followed by the course number. The relevant courses are: *SC341 Umoja Requesting Services of Consultants and Individual Contractors; SC342 Umoja Service Receipt Process; SC343 Umoja Managing Services of Consultants and Individual Contractors; as well as simulations on: Enter Non-Staff Person; Maintain All Non-Staff (Consultant) and Exit Consultant.*

Objectives

3. The objective of this Job Aid is to provide condensed information to the users on how the hiring process for CICs move between the Index Number Search and Request, and Enter Non-Staff Person actions in HCM, followed by the Shopping Cart, and contract issuance processes in SRM, and service entry sheet and payment processes in ECC. This Job Aid also provides special notes on key steps that should not be over-looked.

Enterprise Roles

4. The below mentioned roles have responsibility for specific parts of the process.

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requisitioner</td>
<td>Create a request for Consultant and IC services in the form of a Shopping Cart; accept and create Service Entry Sheets.</td>
</tr>
<tr>
<td>Approver</td>
<td>Review and approve or reject Shopping Cart created to request for Consultant and IC services.</td>
</tr>
<tr>
<td>HR Partner &amp; HR Approver</td>
<td>Search/request index number; process approved requests for Consultant and IC services and issue contracts; verify and approve contracts; approve Service Entry Sheets.</td>
</tr>
<tr>
<td>Global Index Number Administrator</td>
<td>Create index number when necessary.</td>
</tr>
</tbody>
</table>
Search for Business Partner (BP) Record - Requisitioner

5. The Requisitioner will search the BP database and according to the result carry out the following actions:

   a. **Person with existing BP**
      i. Record the BP number in the Shopping Cart;
      ii. Contact the HR Partner (off-line) to request for creation of the person in HCM through the Enter Non-Staff Person PA, followed by the Shopping Cart process.

   b. **Person without existing BP**
      Contact the HR Partner (off-line) to request for creation of the person in HCM through:
      i. Index Number Search and Request action;
      ii. Enter Non-Staff Person PA, followed by the Shopping Cart process.

Search and Request for Creation of Index Number – HR Partner

6. The HR Partner logs in to the Umoja HCM Portal and selects “Index Number Search and Request” and enters the details of the consultant to be searched. Based on the search results, the HR Partner has two options:

   a. If the search produces a match the HR Partner clicks on Confirm Index Number and forwards to the Global Index Number Administrator for confirmation.
   b. If the search does not produce a match, the HR Partner clicks on Request New Index Number and forwards to the Global Index Number Administrator for issuance of a new index number.

   **Note:** For unskilled/manual labour ICs in field missions, the process remains as in Umoja Foundation, where the HR Partner has to submit a request to have the BP created.

7. The Global Index Number Administrator sends a response, which is routed by email as well as through the HR Partner’s work-list.

8. The HR Partner will use this index number to enter the consultant in HCM as per the Enter Non-Staff Person PA process described below. This automatically creates the BP to be used in the Shopping Cart.

---

**Tips/Hints**

*If the consultant’s PHP indicates any service in other UN agencies or offices, the HR Partner should liaise, if necessary, with those offices to clarify any previous index number before requesting a new index number.*
Enter Non-Staff Person – HR Partner

**Note:** Not applicable for unskilled/manual labour ICs in field missions – flexibility measure granted by OHRM.

9. The HR Partner logs in to Umoja ECC, enters PA40 (Personnel Actions) in the command field and executes the Enter Non-Staff Person personnel action (see Annex 2).

10. When data is entered in infotype 6, Addresses, Mailing Address subtype, this automatically triggers the creation of the Business Partner (BP) relationship, which enables payment.

11. To verify that the BP was created, enter “BP” in the command field of the HCM module on the SAP Easy Access main page and click the green check mark.

12. Completion of this PA enables travel requests to be made and travel information can also be included on the contract.

Create a Shopping Cart – Requisitioner

13. Annex 1 provides a simulation of the steps performed by the Requisitioner to create the Shopping Cart in the SRM module. It is a requirement that the BP number is provided by the Requisitioner as part of the Shopping Cart. No Shopping Cart should be submitted to the HR Partner with missing BP record.

Approve a Shopping Cart – Approver

14. The Approver is responsible for reviewing and approving the Shopping Cart for the services of a Consultant or an Individual Contractor. The steps to approve a Shopping Cart are:

   a. Click the **Overview** tab
   b. Click **Work Overview** in the left-pane menu of the SRM Home screen
   c. Click the **Tasks** tab to view Shopping Carts that are pending approval
   d. Click Refresh
   e. Click **Subject** link to open the Shopping Cart in a new window/tab
   f. Select the **Shopping Cart** item
   g. Click the **Details** button for each line item to verify the item details
   h. Verify the **Order Quantity, Price/Currency, Delivery Date, Purchasing Group** fields in the **Item Data** tab
   i. Verify that all fields, including the **Fund** field, have been correctly entered in the **Account Assignment** tab
   j. Open the attachments uploaded to the Shopping Cart and review all documents in the **Notes and Attachments** tab
   k. Verify the uploaded **Delivery Address/Performance Location**
1. Select the **Approve** radio button to approve the line item, after an item has been reviewed.

   m. Click the **Submit** button to process the Shopping Cart, after all line items have been reviewed and approved.

**Note:** When a shopping cart containing **ONLY** approved line items is “submitted”, these line items will become visible in the HR Partner’s sourcing work-list for action on processing the contracts.

15. The Approver can also reject an item, as follows:
   a. Select the **Reject** radio button, if a reviewed item needs to be rejected
   b. Enter the reason for rejection in the Approval Note field. The Approver can also provide instructions to the Requisitioner in this field
   c. Click the Submit button. Shopping Carts containing rejected items are returned to the Requisitioner for required updates.

**Review the Shopping Cart – HR Partner**

16. The HR Partner reviews the Shopping Cart and decides whether to process the request or to reject it if an existing consultant or Individual Contractor has exceeded the maximum duration allowed, or if the person does not meet the requirements. The HR Partner will also carry out other actions as described below.

17. Verify if the following documents have been uploaded as requested by the “**Standard Operating Procedure on Consultants and Individual Contractors (Mandatory documentation and required information)**”:
   a. Terms of reference of the assignment
   b. Technical evaluation report outlining the selection process, candidates considered and selected candidate (not applicable for unskilled/manual labour field ICs – flexibility measure granted by OHRM)
   c. Copy of the opening/call for expression of interest issued, when the services of a Consultant or IC are required for more than 6 months (not applicable for unskilled/manual labour field ICs – flexibility measure granted by OHRM)
   d. PHP of the selected candidate
   e. Email confirmation of the fee level from HR

18. Once the Shopping Cart has been reviewed, the HR Partner may reject individual line items if the conditions set forth by ST/AI/2013/4 are not met. If so, the HR Partner should inform the Requisitioner offline as there is no field in SRM to enter the reason for rejecting a request.
19. The Requisitioners can view the rejected items which appear in SRM as cancelled items. However, they can no longer edit the Shopping Cart and new Shopping Cart(s) must be created and approved if the service is still required.

20. After the Shopping Cart is approved, the HR Partner will create a contract for the Consultant or IC. Even though in SRM this contract is called a Purchase Order (PO), the end result is that the HR Partner creates a Consultant /IC contract that will have all the elements currently contained in form P.104.

**Creation and Approval of Purchase Order for a Consultant or an Individual Contractor – HR Partner**

21. Annex 3 provides the steps for creation of the purchase order (or contract). It currently requires entry by one HR Partner and approval by another HR Partner (with SRM approval role), but this workflow will be discontinued in the August 2014 release when creation/approval will be captured in one step, called Processing PO for Consultant and Individual Contractors.

22. However, in the interim while the workflow remains, it is important to note that the HR Approver can reject a contract and the HR Partner can take one of two options:

   a. “Accept” the decision to reject the contract, which ends the process for issuance of the contract and releases the funds back to the Cost Center. In such case the Requisitioner would need to restart the process if the service is still required;

   b. Edit the contract and resubmit it for approval.

23. If required documents were not uploaded to the Shopping Cart by the Requisitioner, the HR Partner may need to obtain them directly from the selected Consultant or IC and upload them to the contract. These include copies of: academic diplomas; certificate of employment from last employer; birth certificate; national passport or ID; certificate of good health and proof of medical insurance.

   **Note:** Copies of academic diplomas and proof of medical insurance are not needed for unskilled/manual labour ICs in field missions.

24. Once approved, the HR Partner must print the contract for signature by both the Consultant or IC and the HR Partner. To print the contract, the HR Partner will navigate to the Display Document screen and select Print Preview, then print. The signed contract and the Designation of Beneficiary (off-line) form should be uploaded in Umoja.
25. The HR Partner should also request the Consultant/IC to complete and upload the “**Funds Transfer Request Form (for non-payroll payments)**” - Form F.249 (9-12) that can be found in the Form section of i-Seek.

---

### Tips/Hints

*The Consultant or IC must also complete and sign the “Designation, Change or Revocation of Beneficiary for NON-UN Staff Members” form (Form P.2 A-E), which must be witnessed and signed by the HR Partner.*

---

### Creation of Service Entry Sheet for a Consultant or an Individual Contractor – Requisitioner

26. Once the service has been rendered by the Consultant/IC in accordance with the payment conditions stipulated in the contract, the Requisitioner needs to create a Service Entry Sheet, which is subsequently approved by the HR Partner. The steps for creation of the *Service Entry Sheet* are described in the computer based training (CBT) course *SC342 Umoja Service Receipt Process* that may be reviewed on iSeek as mentioned in paragraph 2 above.

27. In summary, the Requisitioner will:

   a. Login to Umoja ECC and enter transaction code ML81N
   b. Click on Purchase Order and enter the PO number, then click enter
   c. Click Entry Sheet and choose Create, ‘With Planned Services”, a pop up appears with Percentage Quantity: 100%
   d. Enter the quantity of the services performed and enter text in the Short Text field on the details of the services rendered
   e. Click the Accept Data tab and enter today’s date in the Doc Date and Posting Date fields.
   f. Click Save and a message will be displayed that “Entry Sheet XXXXX saved”.

---

### Tips/Hints

*Upload the following with the Service Entry Sheet for the HR Partner’s review:*

- Attendance sheet for daily/weekly/monthly payment method
- Performance Evaluation for final payment at the end of the contract duration or upon completion of the deliverable
28. For a Consultant/IC paid through a lump sum, the Requisitioner must confirm delivery of service. For those paid a monthly or weekly fee, the Requisitioner records any absences in the Attendance sheet, and the HR Partner has to indicate in the Service Entry Sheet the proportion (%) of work that has been completed by the Consultant/IC, according to the chart below.

**Note:** In the future release, the proportion (%) of work completed will be automated.

<table>
<thead>
<tr>
<th>Days of absence</th>
<th>Proportion of monthly work completed</th>
<th>Proportion of weekly work completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>0.954</td>
<td>0.800</td>
</tr>
<tr>
<td>2</td>
<td>0.908</td>
<td>0.600</td>
</tr>
<tr>
<td>3</td>
<td>0.862</td>
<td>0.400</td>
</tr>
<tr>
<td>4</td>
<td>0.816</td>
<td>0.200</td>
</tr>
<tr>
<td>5</td>
<td>0.770</td>
<td>0.000</td>
</tr>
<tr>
<td>6</td>
<td>0.724</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>0.678</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>0.632</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>0.586</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>0.540</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>0.494</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>0.448</td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>0.402</td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>0.356</td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>0.310</td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>0.264</td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>0.218</td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>0.172</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>0.126</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>0.081</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>0.035</td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>0.000</td>
<td></td>
</tr>
<tr>
<td>23</td>
<td>0.000</td>
<td></td>
</tr>
</tbody>
</table>
Acceptance of Service Entry Sheet for a Consultant or an Individual Contractor – HR Partner

**Note:** In the August 2014 release, it will be possible to process the Service Entry Sheet in “bulk”, rather than one-by-one.

29. The steps for acceptance of the Service Entry Sheet are also described in the CBT course SC342 Umoja Service Receipt Process. In summary, the HR Partner will:

a. Login to Umoja ECC and enter transaction code ML81N

b. Click on Other Purchase Order and enter the PO number

c. On the top menu bar click on Entry Sheet and select Display Change

d. Verify all information in the Entry Sheet and enter the proportion (%) of work performed based on the number of days’ absence, if applicable [monthly and weekly contract type] (this will be automated in August 2014 release)

e. Click on the green flag icon in the top menu bar to Accept

f. Click Save, then click Yes. A message will be displayed: “Service Entry Sheet saved, acceptance document XXXXX posted”.

30. After the process is complete, an AP Approver will verify the acceptance of the Service Entry Sheet through the self-billing report and will post the payment from the report.

Continuing the Services of a Consultant or an Individual Contractor

31. In case the services of a consultant is required to carry out the same or different functions, the process for continuing his/her engagement is very different in SRM and HCM, as follows:

a. **In the SRM Module – Requisitioner/Approver/HR Partner**

   A new contract must be created involving the Shopping Cart, Purchase Order, Service Entry Sheet processes as already detailed above.

b. **In the HCM Module – HR Partner**

   The HR Partner executes the Maintain All Non-Staff personnel action to indicate the new end date of the contract in infotype 0016 (Contract Elements). This PA may also be used to update other data such as addresses. The HR Partner may skip any infotypes that are not relevant for the particular transaction.
Closing of a Consultant or Individual Contractor Contract – HR Partner

32. The HR partner is required to close a contract if the following occurs:
   a. The Consultant/IC contract is terminated by either party before the expiry date;
   b. The funds committed for the Consultant/IC services have not been fully utilized.

33. Closing a contract means that it can no longer be used and services cannot be received against a closed contract. Any residual committed funds will return to the Fund Center.

34. The steps to close a contract are described in course number SC343 Umoja Managing Services of Consultants and Individual Contractors, as follows:
   a. Navigate to the Display Purchase Orders screen and click the Edit button. The Accept changes of Purchase Order screen displays next
   b. Click the Item tab, then click the Detail button
   c. Change the contract closing data in the General Data tab to the actual contract termination date. This is essential to enable calculation of the exact duration of each contract
   d. Click the Order button to restart the approval process
   e. Once the contract returns approved from the Certifying Officer, navigate to the Display Purchase Order screen
   f. Click the Complete button, then click the OK button and this will close the contract.

Exit All Non-Staff (Consultant and Individual Contractor) PA – HR Partner

35. When a Consultant has reached the maximum 24 months of service in a 36-month period, the HR partner is required to execute an Exit All Non-Staff PA. Following this the Consultant may not be re-engaged until he/she has had the requisite break in service. After such break in service, a new Enter Non-Staff Person PA would need to be processed if the services of this Consultant are again required.

36. Similarly, for cases when an Individual Contractor (including unskilled/manual labour ICs in field missions) has reached the maximum six months or exceptionally nine months of service in a 12-month period, an Exit All Non-Staff PA would need to be processed. Following this, the IC may not be re-engaged until he/she has had the requisite break in service. After such break in service, a new Enter Non-Staff Person PA would need to be processed if the services of this IC are again required.

******