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Type of document:	Policy	
Title of Document:	Partner Policy	
Document ID (name-version-year)	PP.1.2021	
Date of Issue/Update: (mm/dd/yyyy)	Created: 12/23/2021 Last reviewed and/or updated:	Version: 1
Approved by:	Executive Director	12/23/2021
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Related documents:	Annex 1 Partner Assessment	

H. de Groot
Executive Director



Partner Policy

ARTICLE 1. PURPOSE

This policy is to provide guidance regarding the establishment, management, and evaluation of WASTE's relation with others in Partnerships, whether individual or multiple. The objective of this guidance is to maximize Partnerships' mutual benefits, ensuring activities that: offer value in terms of strategic objectives; are coordinated and evaluated fairly and comprehensively; and are effectively managed¹.

ARTICLE 2. SCOPE

This policy forms part of WASTE's governance framework and applies to all partnerships with third-party organizations, that we refer to as "partners". It does not apply to business agreements for delivering services to WASTE on a commercial or employment basis. In this policy, we outline WASTE's approach to cooperation with others, collaborative agreement principles, procedures for developing, approving, managing, and evaluating partnerships; and exit strategies; and the roles and responsibilities for compliance, monitoring review and reporting on them.

ARTICLE 3. APPROACH AND PRINCIPLES

WASTE works with partners to support the achievement of its strategic objectives, to develop sanitation and waste management solutions, and to bring them to scale, by strengthening local systems in low- and middle-income countries. All partnerships must comply with the following principles:

- Deliver clearly defined outcomes that benefit WASTE and partner(s).
- Are consistent with WASTE's strategic direction, core values and reputation – in particular, described in WASTE's Code of Conduct and Policy Enforcement Procedure.
- Are relevant to low- and middle-income countries audiences.
- Enhance WASTE's reputation and profile.
- Strengthen the financial sustainability of both parties.
- Reflect WASTE's capacity to meet its commitments, and,
- Include evaluation and review mechanisms.

ARTICLE 4. GOVERNANCE

Partnerships must be approved in accordance with the schedule of authorization.

ARTICLE 5. DEVELOPMENT AND APPROVAL

Partnerships require formal documentation (agreement) and may be established in many forms: e.g., Memorandum of Understandings, Partnerships, Alliances, Consortia, as required by the complexity of

¹ Partnerships should not be interpreted as those relationships with commercial purposes.



the relationship and the number of partners. All agreements must comply with the applicable rules to WASTE in its non-profit status and any local regulatory requirements when the partner is located outside of the Netherlands.

An agreement can be initiated at any time by WASTE or third parties (initiating organization) and must be developed with involvement of all relevant staff. The development of an agreement starts with a proposal prepared by the initiating organization. When the initiating organization is a third-party, the proposal is revised by the partner portfolio manager² (hereafter the manager) at WASTE.

The proposal is to provide information about compliance with Article 3, costs and risks associated, and it forms the basis for the agreement. The manager is responsible for developing or completing the proposal, including:

- Ensuring its relevance in the context of the multi-annual plan of WASTE.
- Identifying risks in accordance with the Risk Management Policy in collaboration with the risk manager.
- Applying the Partner Assessment Criteria (Annex 1) according to the type of organization – i.e. Financial Institutions, Non-Governmental Organizations, and others.
- Demonstrating consultation with all relevant stakeholders (internal and external whenever needed).
- Seeking legal and fiscal advice regarding the agreement (if needed).

If more than one Proposal is prepared with regards to the same activity, before the approval, the manager shall provide a comparative assessment of the proposals indicating the best possible option or the possibility of merging them.

If the proposal is approved, the manager is to prepare an agreement. All agreements must include specific provisions for performance evaluation, continual improvement, and termination, in a way that minimizes potential adverse consequences for WASTE. If the Agreement provides for allocation of funds from WASTE to the partner, the agreement cannot exceed 12 (twelve) months, unless otherwise agreed by the Director of WASTE in consultation with the risk manager.

The manager is also to propose a joint management team of individuals agreed between the parties that has day-to-day management of the collaborative process and its performance to objectives and outcomes.

ARTICLE 6. PERFORMANCE EVALUATION AND CONTINUAL IMPROVEMENT

The manager is responsible for the partnerships' performance and accountability. As such, is to take all reasonable measures to ensure compliance within the terms of the agreement, resolving issues that may arise, monitoring, evaluation, and reporting. The manager is also to ensure that relevant employees are up to date with agreements and their requirements.

² The Partner Portfolio Manager is responsible for the overall relationship and agreement with a Partner



All agreements must be reviewed after 12 (twelve) months from the date of the agreement, and every 12 (twelve) months thereafter with a recommendation to continue, renew or discontinue the partnership.

The manager is responsible for the evaluation, to determine if the partnership delivered intended outcomes and met all requirements. The main tool for evaluations is the Partner Checklist (Annex 1). In addition, other control tools – such as field visits, project audits, organizational audits, etc.– must be applied whenever needed according to WASTE’s Risk Management Policy.

If the evaluation concludes that the partner(s) does not meet the financial targets or other requirements as agreed, the manager in consultation with the Risk Manager must:

- i) Provide recommendations to the partner that address all identified risks in renewing the agreement – including the provision of technical assistance where possible; ensuring that all risk mitigation measures these factored into future agreements with the partner; or,
- ii) Terminate the agreement according to its termination provisions if the risks are not acceptable.

Evaluations must be documented and filed in WASTE’s records for reference when considering future involvement with the same partner(s) or in similar agreements.

1. REGISTER

All partnerships are to be recorded in a register that is prepared by the management team for WASTE. The managers are to ensure their agreements are added to the register within 15 days of their effective date. The agreements are to be recorded in the register, adding a correlative number, effective date, names of the partners involved, and budget (if any). Copies of the agreements are to be kept in a way that ensures their availability for future decisions and compliance with EU GDPR.

2. REVIEW AND APPROVAL

This Policy will be reviewed in 2025, following the implementation of WASTE’s strategic plan, or at an earlier date if objectives change.

3. REFERENCES AND RELATED DOCUMENTS

Related policies and procedures:	Strategic Plan 2020-2024
References:	ISO 44001:2017 Collaborative business relationship management systems — Requirements and framework
Attachments:	Annex 1 Partner Assessment Criteria



Annex 1- Partner Assessment Criteria

Project ID	Starting date of partnership contract
Author of the evaluation	Function
	Name
Manager or Project Lead	
Evaluated organization	
Latest update	
<p>Instructions</p> <p>This assessment form is designed to ensure that Partners and potential Partners are extensively evaluated. There are seven chapters in total of which 1 to 6 are mandatory. Elaborate as much as possible, ideally linking to related documents in the assigned cells.</p> <p>Each chapter should be assessed independently and assigned a score (from 0 to 2) where 0 means “non-compliant”, 1 means “insufficient” or “needs capacity building” and 2 means “compliant”.</p> <p>Please note that some fields are mandatory and any score below 2 would automatically disqualify the assessed organization as potential Partner. Mandatory fields are marked with *.</p> <p>Information should be requested from the Partner or Potential partner first and complemented with additional research whenever possible. Please include in the notes if information was not provided by the evaluated organization and why.</p> <p>The assessment should be prepared in English. If any supporting documentation is only available in another language, the evaluator should include a summary of the key findings from such documents.</p>	



Chapter 1: Background

Please provide background information about the organization according to the blank cells below. In case of absent information, leave the cell blank.

Name	
Year of establishment or registration	
Organization type (Financial Institution, NGO, other)	
Legal status	
Number of employees	
Ratio of fixed staff and contracted staff	
HQ location	
Number of locations	
Located in WASTE operations' country	
Located Geographical focus area	
Focus sectors	
Existing Partners	
EU sanction list	
Beneficiaries	
Main funding sources	
Year revenues	
Organizational structure (including organogram and statutes if available)	
Monitoring and evaluation strategy/approach	
Score	Observations



Chapter 2: Value indicators

Indicate if the organization has adopted any written policies and procedures related to the following topics. Please attach any relevant documents. When scoring this section, please consider the organizations' alignment with WASTE's relevant policies and values.

Mission and vision	Y/N	link	Code of Conduct	Y/N	link
Child protection	Y/N	link	Sexual harassment	Y/N	Link
Gender	Y/N	link	Discrimination	Y/N	link
Corruption	Y/N	link	Whistleblowers	Y/N	link
Environmental, social, and governance (ESG) criteria	Y/N	link	Strategic values and objectives	Y/N	link
Score			Observations		

Chapter 3: Testing values

Please indicate if the following situations have occurred. If yes, please elaborate and provide any supporting material if possible.

Corruption or Fraud

If yes, please elaborate here on how the situation was handled.

Insert supporting documents (link)

Negative publicity or reputational damage

If yes, please elaborate here on how the situation was handled.

Insert supporting documents (link)

Reported misconduct

If yes, please elaborate here on how the situation was handled.



<i>Insert supporting documents (link)</i>	
Money laundering	
<i>If yes, please elaborate here on how the situation was handled.</i>	
<i>Insert supporting documents (link)</i>	
Terrorism	
<i>If yes, please elaborate here on how the situation was handled.</i>	
<i>Insert supporting documents (link)</i>	
Score	Observations
Chapter 4: Track record	
<i>Please elaborate here on historical, current and upcoming projects that the organization will implement or has implemented.</i>	
Has the organization any contractual history with WASTE?	
Y/N	link
<i>Elaborate here.</i>	
Has the organization a track record on: sanitation business development, WASH, solid waste management, fecal sludge management, plastic waste management?	
Y/N	link
If yes, indicate which one(s)	
<i>Elaborate here.</i>	
Score	Observations



Chapter 5: Procurement and partner policy	
<i>Please elaborate on the organizations approach to collaborative relationships and procurement rules.</i>	
Procurement Policy	
Y/N	link
<i>Elaborate here.</i>	
Partner Policy	
Y/N	link
<i>Elaborate here.</i>	
Score	Observations
Chapter 6: Risk management	
<i>Please add here the overall score or RAG rating of the collaborative relationship or Proposal to Partner, including any mitigation and control measures according to WASTE's Risk Management Policy</i>	
RAG	
Score	link
<i>Elaborate here.</i>	
Relevant Insurance	
Y/N	link
<i>Elaborate here.</i>	
Is the organization able to continue contract obligations with WASTE when other project funding is delayed or withdrawn?	
Y/N	link
<i>Elaborate here.</i>	
M&E approach – does it suit WASTE's Activity?	



Y/N	link
<i>Elaborate here.</i>	
Score	Observations
Chapter 7: Core competencies	
<i>Please elaborate on the composition of experts and core competencies of the organization. What and whom makes this organization a good partner for the respective activity?</i>	
What expert knowledge does the organization have at their disposal?	
<i>Elaborate here.</i>	
What are the core competences of the organization?	
<i>Elaborate here.</i>	
How is the organization's expert composition suiting the Activity?	
<i>Elaborate here.</i>	
Does the organization have experience with donor projects or activities (including financial reporting)?	
<i>Elaborate here.</i>	
Score	Observations



Chapter 8: Financial sustainability			
Financial statements of the last 3 years			
Links	<i>http...</i>	<i>http...</i>	<i>http...</i>
Total assets	<i>Current year</i>	<i>Last year</i>	<i>Year before last</i>
Total income/revenue	<i>Current year</i>	<i>Last year</i>	<i>Year before last</i>
<i>Elaborate here.</i>			
Financial audit			
Y/N	link		
<i>Elaborate here.</i>			
Liquidity and cash flow overview			
Y/N	link		
<i>Elaborate here.</i>			
Balance sheet			
Y/N	link		
<i>Elaborate here.</i>			
Score	Observations		
Chapter 9: SWOT			
<i>This section should be elaborated upon and placed within the light of the relation with WASTE.</i>			
What are the organizations' strengths, weaknesses, opportunities, and threats when keeping the project in mind?			
<i>link</i>			
<i>Elaborate here</i>			
Score	Observations		



Overall score	
<p>Please add the scores of all sections. If in any mandatory field is missing, please complete the score with 0.</p> <p>All organizations scoring between 1 and 10 are to be considered “non-compliant”, between 11 and 15 “needs capacity building” and from 16 are to be considered “compliant” unless any high risks are identified during the assessment.</p>	
Score	Observations
Additional comments from evaluator	
<p>Please add here any aspects you want to elaborate on regarding the suitability of the organization as Collaborative Relationship for WASTE, including when applicable:</p> <ul style="list-style-type: none"> ▪ Suitability of the competencies and staff of the organization, for example: What is the rotation of staff? What rotation is acceptable for WASTE? What are the minimum language skills requirements of the partner? And of WASTE? should WASTE have staff that can communicate? ▪ Additional suggested control measures and tools – such as field visits, project audits, organizational audits, etc.– according to WASTE’s Risk Management Policy. ▪ If the organization does not meet the financial targets or other requirements as agreed, in consultation with the Risk Manager: <ul style="list-style-type: none"> ○ Any recommendation to address all identified risks –including the provision of technical assistance where possible; or, ○ Recommendation to terminate current agreements and why. 	
Elaborate here.	
Links to supporting documentation	



Evaluator's Signature		
APPROVALS		
<i>Approval by authorized persons, in line with schedule of authorization.</i>		
Approval by Risk Manager and Financial Controller		signature
Y/N		Date
<i>Elaborate here on the conclusion and possible mandatory adjustments.</i>		
Approval by Director		signature
Y/N		Date
<i>Elaborate here on the conclusion and possible mandatory adjustments.</i>		