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Introduction

This guidance note describes the process that NGOs need to follow to become eligible for funding from the OCHA-managed oPt-Humanitarian Fund (oPt HF). The note complements the provisions contained in the Global Guidelines for CBPFs and the oPt HF operational manual.

Modalities of CBPF Eligibility Process

CBPFs adopt different modalities for assessing prospective partners. oPt HF allows partners to start the application process for eligibility throughout the year outside the allocation processing period (approximately one week before opening the allocation process and one month after closing the process)

Steps of CBPF Eligibility Process

Step 1: Preliminary Screening of Prospective Partners

Ahead of starting the capacity assessment process, prospective partners undergo a preliminary screening process. The preliminary screening is a mandatory step in the eligibility process for all CBPFs. It includes a questionnaire with a set of standardized questions, as outlined in Appendix 1. The preliminary screening assesses whether prospective partners meet basic, minimum standards related to the organization's experience in humanitarian operations, adherence to humanitarian principles, the existence of a Code of Conduct and other required policies such as those concerning fraud, conflict of interest, the use of computerized and licensed accounting software, and the protection from sexual exploitation and abuse (see Appendix 1 for the preliminary screening questionnaire). If an organization does not meet one or more criteria, the eligibility process will not continue.

Prospective partners can self-assess whether they fulfil the required minimum standards to become a partner, as set out in the preliminary screening questionnaire. If they wish to proceed, they fill out the questionnaire and submit it to the respective HFU in line with the Fund-specific eligibility process modalities (rolling basis, except during allocation process). Even when Funds' eligibility windows are closed and new applications are not being accepted, prospective partners are able to access the preliminary screening questionnaire to review the requirements. This allows them to determine whether they meet minimum requirements, and to identify areas that might require strengthening before a subsequent application for eligibility.

When filling out the questionnaire, prospective partners are expected to provide genuine information. The veracity of the responses will be assessed later during the full capacity assessment. In this regard, the preliminary screening aims to reduce the costs and level of effort required to undertake a full capacity assessment in cases where the basic, minimum requirements are not met. False or inaccurate information provided in the preliminary screening will lead to ineligibility of

the prospective partner to during the subsequent capacity assessment. Prospective partners will receive feedback on the outcomes of the preliminary screening in the form of an email using a standard template, that clearly states the areas where minimum standards were not met. Organizations that do not fulfil the preliminary screening criteria can re-apply later when the basic, minimum standards for eligibility are met.

Organizations that are registered in the UNPP and have been verified prior to applying for eligibility with a CBPF are exempted from the preliminary screening process and can directly proceed to step 2 (registration on the GMS). Organizations who are registered on the UNPP but have not yet been verified are asked to provide their UNPP ID during the preliminary screening process. Their UNPP profile will be verified by OCHA later in the eligibility process in case they proceed.

Step 2: Registration in the UN Partner Portal and Grants Management System

Prospective partners who want to apply for CBPF eligibility are required to register in the UN Partner Portal (UNPP). Registration can be completed on the UNPP portal (accessible at <https://www.unpartnerportal.org/landing/>); it will be verified by the HFU or a verifier from another UN agency that the organization partners with. The following documents are needed:

- Governance document, or Registration document, or Reference letter from a relevant institution
- Organizational chart
- Annual report
- Audit report
- Ethics policy or code of conduct

Ideally, partners should register in UNPP before starting the Preliminary Screening and provide their unique UNPP ID number when completing the Preliminary Screening Questionnaire. However, under exceptional circumstances, partners can undergo the Preliminary Screening without a UNPP ID. After completion of the Preliminary Screening, partners are required to proceed with registration in UNPP. Failure to register in UNPP will prevent a partner from proceeding to the next steps of the eligibility process. Partners who do not meet the minimum preliminary screening criteria are still encouraged to proceed with registration in UNPP, so that in the next opportunity to apply for CBPF eligibility a UNPP profile and ID number already exists.

Following registration in the UNPP and successful Preliminary Screening, the prospective partner can request access to the Grant Management System (GMS - gms.unocha.org) by contacting the HFU. Upon GMS registration, the organization will be requested to provide the following information:

1. Unique UNPP ID and verification status
2. A copy of the registration certificate that indicates the full name of the organization is required. If the organization is not registered with national authorities of the country of implementation, the HC may choose to accept a registration certificate (or equivalent document) with sub-national level authorities, or with the authorities of another UN Member State. The registration certificate is required prior to granting access to the GMS to avoid a possible naming discrepancy that will create delays in generating and preparing any Grant Agreement and in effecting disbursements.

Step 3: Due Diligence and Capacity Assessment

Once the partner has been granted access to the GMS and the registration process is concluded, the Due Diligence (DD) and Capacity Assessment (CA) process begins. The prospective partner is invited to submit all required documents for both DD and CA at once. All required documents are listed in Appendix 3 of this document and should be uploaded in GMS.

During the eligibility process partners are requested to share a significant volume of information with OCHA. More information will be required later during project implementation, monitoring and auditing. Data shared in line with CBPF requirements is subject to the UN regulatory framework on data protection. Such sharing of data is in accordance with the terms of the CBPF policies or other applicable agreements with the United Nations. Only approved users with specific user rights in the GMS will be able to access personal identifying data, in full compliance with UN rules and regulations. Due diligence information entered in the GMS is not public information. OCHA is not subject to data protection laws, including, but not limited to, the European Union General Data Protection Regulation (EU) 2016/679 (“GDPR”) and is immune from every form of legal process pursuant to the Charter of the United Nations and the 1946 Convention on the Privileges and

Immunities of the United Nations. Any data that is transferred by or to the United Nations or otherwise processed by NGOs pursuant to, or in furtherance of, the CBPF policies or other agreements with the United Nations (“UN Data”) is the property of the United Nations and constitutes property and archives of the United Nations within the meaning of the UN Convention on the Privileges and Immunities of the United Nations. It is therefore inviolable wherever located and by whomsoever held, and it is immune from search, requisition, confiscation, expropriation, and any form of interference, whether by executive, administrative, legislative, judicial, or legal action.

Once all documents required in Appendix 3 of this document are duly submitted, the HFU will review them in three steps:

Step 3a: Due Diligence (DD)

Prospective partners are required to fill in a DD application form on the GMS (Appendix 2) and upload supporting documents as listed in Appendix 3.

Detailed information and tutorials on filling in the Due Diligence application and uploading documents are available on the [GMS Help Portal](#).

A thorough review of the DD application form and supporting documents is performed to ensure that prospective partners meet minimum requirements, and that they qualify for full CA.

While UN agencies are not required to undergo the eligibility process, they should complete the GMS registration and provide the following DD information: i) office address ii) contact details of legal representative (the person who signs Grant Agreements) and iii) bank account information. This information needs to be submitted via GMS in order to prepare and Grant Agreements and disbursements.

Step 3b: Verification of Excluding Questions

Once the review of DD information has been finalized and approved, the partner will move to the next step of the eligibility process: verification of excluding questions.

Excluding questions are a sub-set of the CA questions which refer to minimum requirements that any organization should meet before being considered eligible to receive CBPF funding. Excluding questions correspond exactly to the questions in the preliminary screening questionnaire.

Before conducting a full capacity assessment and reviewing all details of organizational capacity, the HFU will review the excluding questions. As such, this step also serves to verify information submitted by the partner during the preliminary screening. If the organization does not fulfil one or more minimum requirements, it is not eligible for funding and does not move on to the full capacity assessment.

Step 3c: Capacity Assessment (CA)

Once the excluding questions have been verified and all minimum requirements are met by the organization, the HFU will proceed with the Capacity Assessment (CA) to determine the prospective partner’s eligibility for funding and their initial risk rating.

CA is a key pillar of the CBPF risk management framework; its objective is to systematically review the institutional, technical, management and financial capacity of prospective partners, and to ensure that the Fund has the necessary information to make an informed decision about eligibility and initial risk rating.

The Humanitarian Coordinator, in consultation with the Advisory Board, is responsible for approving the way in which the Fund carries out the capacity assessment and handles associated costs, in oPt operational manual, internal capacity assessment is the modality to be used.

Internal Capacity Assessment (ICA)

During the ICA, the HFU reviews supporting documents and assesses the level of implementation of policies and systems

across the organization. A two-stepped approach is used: first, the HFU conducts a desk-based review of the documents provided by the prospective partner; as a second step, the HFU verifies the application of related policies and systems through one some or all the following ;visits to the partner's offices, project sites, interviews with key informants (staff members, previous/existing donors and partners, cluster/sector leads, etc.), focus group discussions, and other means which may be applicable. The HFU is required to conduct an in-person visit to the partner's main office which includes physical verifications and key staff interviews, although this may exceptionally be undertaken remotely.

Through these combined methodologies, the HFU assesses partner's capacity in four key areas: a) Governance and Institutional Capacity; b) Program and Partnership Capacity; c) Operational and Financial Capacity; and d) Protection from Sexual Exploitation and Abuse (PSEA). Each area is assessed and scored through a global Questionnaire (internal to OCHA). It is a global mandatory requirement that a minimum score of 60 per cent must be obtained for section c) Operational and Financial Capacity in order for the organization to be deemed eligible. The HFU completes the Global ICA Questionnaire in the GMS, which computes the eligibility and initial risk level to be assigned to the partner based on the scores awarded against each question.

The ICA seeks to reflect, where possible, the outcome of assessments conducted by other United Nations entities, to reduce duplication and promote harmonization. For example, if a prospective NGO partner has undergone the assessment associated with the Harmonized Approach to Cash Transfers (HACT), the outcome of that assessment may be used as a proxy score for section c) Operational and Financial Capacity of the ICA. Partners can choose to opt not to use the proxy but rather be assessed by OCHA. Beyond the introduction of the Global Guidelines, OCHA is committed to exploring options for incorporating other proxies, for example the score awarded under the IASC United Nations Implementing Partner PSEA Capacity Assessment as a proxy for the score of section d) PSEA of the ICA. If one or more sections of the ICA are scored using a proxy (e.g., HACT), excluding questions for that section should still be verified by HFU under step 3b.

Step 3 of the eligibility process, and its 3 sub-components, can be summarized as follows:

	CA Categories	Weight	Remarks
Step 3a	Due Diligence	YES / NO	If YES, move on to verify excluding questions. If NO, CA won't be continued.
Step 3b	Excluding Questions	YES / NO + Scores	If YES, move on to assess sections A - D. Scores from excl. questions count towards relevant sections. If NO, CA won't be continued.
Step 3c	Full Capacity Assessment		
A	Governance and Institutional Capacity	20%	
B	Program and Partnership Capacity	20%	
C	Operational and Financial Capacity	40%	Minimum score for C must be 60% otherwise partner is ineligible HACT micro-assessment can be used as proxy for this category - use HACT results as follows: High risk = no pass (below minimum score of 60%); Significant risk = 60% final section score; Medium risk = 75% final section score; Low risk = 90% final section score
D	Protection from Sexual Exploitation and Abuse	20%	If the organization has been assessed using the IASC Common PSEA Assessment Tool, category D will use the score from such assessment – use IASC Common PSEA Assessment Tool results as follows: High risk (less than 3

			standards met) = 10%; High risk (3+ standards met) = 50% final section score; Medium risk = 70% final section score; Low risk = 90% final section score
	Total Weight	100%	

Exceptions

CBPFs operate in highly volatile environments and often respond to sudden-onset emergencies. In such circumstances, there may be situations where organizations that have not been subject to a formal capacity assessment require funding to carry out mission-critical or life-saving activities that no other organization can perform. In these exceptional cases, the HC, in consultation with the AB, can recommend the use of alternative methodologies for determining eligibility, with the written

approval of the EO based on compelling justification. This could include a Due Diligence review prior to funding, with a full Capacity Assessment to be carried out later as soon as circumstances allow to confirm eligibility.

In case of exceptions to the CA requirement, partners are required to complete the DD form in GMS and, if required, upload the mandatory documents.

Step 4: Assignment of Initial Risk Level

Based on the score obtained during the capacity assessment, partners can be determined eligible or ineligible. Eligible partners will be assigned one of three risk levels: High, Medium or Low. The assigned risk level will determine the applicable Operational Modalities, including grant conditionalities and oversight activities if a project proposal submitted by the partner is selected for funding. The Operational Modalities are described in Chapter 5 of the Global Guidelines for CBPFs.

Below is an overview of a sample Capacity Assessment Scoring with thresholds and risk levels. Please note the thresholds for eligibility and for each risk level are determined by the Fund based on the oPt context.

Organization Score	Risk rating
91% – 100%	Organization is eligible as a Low-Risk partner.
71% - 90%	Organization is eligible as a Medium-Risk partner.
31% - 70%	Organization is eligible as a High-Risk partner.
0% – 30%	Organization is not eligible. A new request for capacity assessment can be considered by the HFU six (6) months after this review date.

Organizations that fail to pass the CA by a small margin may be deemed conditionally eligible. As such, they can become eligible with a 'high' risk level only after having implemented corrective measures to address key areas of weakness identified by the CA. The margin is **5%** below the normal eligibility threshold and must not be related to any of the Excluding Questions, or to other questions that individual Funds may identify as critical. Conditional eligibility is designed to support local and national NGOs and encourage their participation in CBPFs.

OCHA may share the CA results and partners' initial risk levels with other entities in the UN system through the appropriate mechanisms (UN Partner Portal or other relevant platforms). CA results and partner risk levels may also be shared with non-UN entities (e.g., other donors, NGOs), provided they have a funding relationship with the partner and that the partner has provided explicit written consent to the information-sharing.

Step 5: Feedback and Capacity Strengthening

The CBPF eligibility process is complemented by a feedback system to ensure transparency. Notifications and feedback reports are generated through the GMS, utilizing a standardized feedback form. Organizations participating in the eligibility process are provided with notifications after each step of the process is completed, whether successfully or unsuccessfully.

Moreover, organizations that reach the Due Diligence and/or the Capacity Assessment stages will receive more detailed feedback reports outlining in an incremental manner the findings and the recommended areas for improvement. In particular, partners that do not pass the due diligence or verification of excluding questions will receive a summary report outlining the reasons, whilst partners that complete the full CA will receive a more detailed report outlining the scores for each category, as well as remarks and recommendations for improvement. The feedback report will also outline follow-up steps that the partner needs to undertake to gain or maintain their eligibility. In particular:

- For partners deemed **eligible**, the feedback report will outline recommendations with low, medium or high criticality, and specify which ones require follow-up by the partner. The HFU will track such recommendations in the GMS together and ask the partner to identify corrective measures and timelines. Implementation will be verified by the HFU and tracked in GMS. The HFU may support the partner to develop corrective measures. Whilst recommendations do not impact immediately the organization's eligibility,

recommendations requiring follow-up should be implemented by the partner. Lack of implementation by the agreed deadline constitutes non-compliance and may lead to conservative measures, including suspension of eligibility, in line with Annex 8 (Non-Compliance Measures).

- Organizations that fail to pass the CA by 5% margin and are considered as **conditionally eligible** and can only gain full eligibility following verified implementation of critical recommendations arising from the CA. As such, the feedback report will identify recommendations with low, medium or high criticality, and specify which ones must be implemented in order to gain eligibility. At a minimum, it is recommended that the high criticality recommendations be addressed. The partner will be deemed ineligible but given the opportunity to develop corrective measures for the recommendations requiring follow-up, and a timeline for their implementation. The HFU may support the partner (particularly local and national NGOs) in developing such measures. The corrective measures proposed by the partner should be approved by the HFU, and their implementation verified. If corrective measures are submitted and the HFU approves them, the partner will need to demonstrate implementation within the agreed timeline. Once implementation is verified by the HFU, the partner will gain eligibility with an assigned risk level of 'high'. If the partner does not plan or implement corrective measures, the conditional eligibility will be revoked, the partner will be deemed ineligible and may re-apply for eligibility after 6 months. Funds also require that in addition to, or in lieu of, the verified implementation of corrective measures, conditionally eligible partners successfully complete the implementation of a sub-grant under an oPt HF-funded project, with no major issues raised by the project-end audit.
- Organizations that are deemed **ineligible** following the CA will receive a feedback report indicating the outcomes of the assessment and the reasons for ineligibility. The report may contain recommendations stemming from the full CA stage. The HFU will not track the implementation of such recommendations, given that the partner is ineligible, but may support the partner (particularly local and national NGOs) to develop a capacity strengthening plan. If and when the organization re-applies for eligibility, as part of the eligibility process the HFU will assess whether the critical weaknesses identified previously have been addressed or not. The feedback and capacity strengthening aims to support organizations to better meet eligibility requirements and access CBPF funding.

Overview of Feedback System

Stage of Eligibility Process	If Organization Passes:	If Organization Fails:	
Step 1: Preliminary Screening	Notification to organization (automatic or offline) and continuation with step 2	Notification to organization (automatic or offline) incl. information on which questions were not passed	
Step 2: Registration	N/A	N/A	
Step 3a: Due Diligence	Notification to organization (generated by GMS) and continuation with step 3b	Notification to organization (generated by GMS) incl. summary of reasons	
Step 3b: Excluding Questions	Notification to organization (generated by GMS) and continuation with step 3c	Notification to organization (generated by GMS) incl. summary of reasons	
Step 3c: Full Capacity Assessment	<i>Three possible outcomes depending on ICA Score:</i>		
	Eligible	Conditionally eligible	Ineligible
	Notification to organization (generated by GMS) incl. detailed report with <ul style="list-style-type: none"> Outcome of assessment Feedback and risk level Recommendations, incl. those that need to be implemented to stay eligible 	Notification to organization (generated by GMS) incl. detailed report with <ul style="list-style-type: none"> Outcome of assessment Feedback Recommendations, incl. those that need to be implemented to gain eligibility 	Notification to organization (generated by GMS) incl. detailed report with <ul style="list-style-type: none"> Outcome of assessment Feedback and reasons for ineligibility Recommendations
Follow-up steps	Recommendations incl. those requiring follow-up and corresponding corrective measures and timeline, will be	Recommendations, incl. those requiring follow-up and corresponding corrective measures and timeline, will be	Recommendations will not be tracked. The HFU may work with the organization to develop a capacity strengthening plan to

	tracked in GMS. Implementation will be verified by HFU, and lack thereof may lead to conservative measures in line with Annex 8 (Non-compliance measures).	tracked in GMS. Implementation will be verified by the HFU and will lead to the partner becoming eligible with a “high” risk level without undergoing another eligibility process. If the organization does not submit corrective measures or fails to meet agreed deadlines, it remains ineligible and can re-apply for eligibility after a minimum of 6 months.	better meet eligibility requirements. Organization can re-apply for eligibility after a minimum of 6 months.
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Updating Due Diligence and Capacity Assessment Information

While the Due Diligence application form and DD/CA supporting documents are reviewed during the initial eligibility process, the information provided should be continuously updated throughout the organization’s partnership with OCHA. To do so, the partner must contact their respective HFU and request that the Due Diligence section on GMS be re-opened so that the information can be updated and DD/CA supporting documents can be uploaded again. In case any changes are made to the Due Diligence after the initial eligibility process had been completed, the HFU needs to review and approve the revised information. Situations in which the Due Diligence needs to be updated may include the following:

- The partner organization changes their name
- The partner organization has a new bank account
- Key personnel and/or active signatories change
- Contact details need to be updated
- Circumstances declared in the Due Diligence declarations change
- Any other information provided under the Due Diligence and/or Capacity Assessment changes

In case the **partner organization changes its name**, they are required to fill in a name change request form that will be provided by OCHA upon request. Required supporting documents include:

- Registration certificate with the organization’s new name and acronym
- Bank certificate/bank statement with the organization’s new name and acronym
- Letter from the partner confirming that the organization does not have any pending legal issues under the old name of the organization
- A letter from the partner noting the new and old name and confirmation that they are the one and same entity
- If the partner’s bank account name is different from the new organization’s name as appears in the new registration certificate, the partner should submit a letter from the bank on the bank’s letterhead, signed and stamped by an official of the bank, certifying that the bank account belongs to the organization under the name registered in the GMS/appearing in the new registration certificate

Moreover, the organization is required to re-upload all supporting documents such as the Due Diligence declarations or banking information with the new name. In addition, the partner is expected to update the UNPP accordingly.

Registration of Sub-Partners

Organizations are required to be registered in GMS as sub-Partners in order to receive sub-funding under CBPF projects. Eligible partners have to register in the GMS the prospective sub-partners that they intend to work with as part of CBPF-funded projects. Main partners are responsible for completing such registration by indicating the name, acronym, organization type and contact details for each sub-partner, and providing a registration certificate (or equivalent document) for the organization whose name must match the name under which the sub-partner has been registered. If the prospective sub-partner is already eligible in GMS as main partner they do not need to register as sub-Partner. If the prospective sub-partner is already registered in the UNPP, the unique UNPP ID may be accepted in lieu of the registration details. The HFU will review and approve sub-partner registration or revert to the main partner if additional details are required. If the organization is not registered with national authorities of the country of implementation, the HC may choose to accept a registration certificate (or equivalent document) with sub-national level authorities, or with the authorities of another UN Member State. The HFU will review and approve sub-partner registration or revert to the main partner if additional details

are required.

Whilst sub-partners do not need to undergo the full eligibility process to receive sub-grants from CBPF partners, they must be registered in GMS in order to be included as prospective sub-partners in project proposals. Main partners can register prospective sub-partners in GMS at any time from when the main partner's Due Diligence is approved through to approval of a funding proposal. Once a funding proposal has been approved and Grant Agreement issued, changes or additions of sub-partners will require a revision process and a corresponding Grant Agreement Amendment.

Changes to Eligibility and to Initial Risk Rating - Performance Index

Once a partner gains eligibility and is assigned an initial risk rating, they can start applying for funding. However, eligibility and risk rating are dynamic concepts, and they can change over time depending on the partner's performance in the implementation of projects funded. By assessing the quality of key components of project implementation, the HFU will assign a Performance Index (PI) score to each project. The PI tool assesses seven key components for each project:

- quality and timeliness of submission of project documents (proposals and budget)
- quality and timeliness of implementation against approved targets (monitoring activities)
- soundness and effectiveness of internal controls during implementation (financial spot checks)
- quality and timeliness of narrative reporting
- quality and timeliness of financial reporting and financial management
- frequency, timeliness and justification of project revision requests
- audit findings

The score assigned to each of the above is summarized in a Performance Index score for each project. The PI score for each project is captured in the GMS and is used, alongside the capacity assessment score, to determine the current (rolling) risk level of the partner. The PI score(s) of a partner may, over time, reach a point where the risk level of the partner needs to be adjusted. In these cases, the GMS will suggest updating the partner risk level (PI-recommended risk level).

For instance, a partner with a medium risk level can move either to a lower risk level in case of consistently good performance, or a higher risk level where there are consistent concerns about performance. Conversely, if a partner consistently performs poorly through the implementation of projects, its PI scores may eventually lead to the assignment of a higher risk level, and in some cases to the point where the eligibility threshold is no longer achieved, and the partner is deemed ineligible. In such cases, to regain eligibility, the partner will need to apply again for the eligibility process at least six months after being rendered ineligible, provided it can demonstrate that the elements that caused the poor performance have been addressed. More details on modalities for re-assessment are included in the section below on "Modalities for reconsideration of eligibility for partners made ineligible".

If a partner commits serious breaches of compliance with CBPF rules and regulations as contained in these Global Guidelines and annexes, or in the oPt HF-specific Operational Manual, or in the Grant Agreement, the regular performance assessment will be put on hold. In these cases, the partner's eligibility and/or ongoing projects may be suspended or terminated based on the provisions of the Non-Compliance Measures Framework (annex 8), the Guidance Note on Financial Misconduct (annex 9), or the Guidance Note on Sexual Misconduct (annex 10). Partners whose eligibility is suspended or terminated on the basis of concerns of Financial or Sexual Misconduct are ineligible both as partners and sub-partners to the CBPF. Under specific circumstances, such suspension may be applied across several CBPFs.

Modalities for reconsideration of eligibility for partners made ineligible

An organization may become ineligible for CBPF funding due to various circumstances, which determine the timeframe and general conditions for a potential reconsideration of eligibility. The provisions below represent minimum standards, and each Fund may determine the most appropriate modalities to reconsider ineligible partners. These may include a full eligibility process or a partial re-assessment, or a combination of the two depending on the specific partner and circumstances that led to ineligibility. Such modalities shall be described in the Fund-specific Operational Manual.

- **Organization failed any of the stages in previous eligibility process:** The organization can re-apply for eligibility after a minimum of 6 months. The organization must demonstrate that previously identified critical weaknesses and reasons for ineligibility have been addressed in the meantime. This scenario also includes organizations that were

deemed “conditionally eligible” but failed to develop or implement planned actions to attain eligibility

- **Organization was previously eligible but lost eligibility due to poor performance** (PI-adjusted risk level becomes ineligible): The organization can re-apply for eligibility after a minimum of 6 months. The HFU will review whether any critical recommendations from previous CA or assurance activities (monitoring, audits, financial spot-checks) have been addressed, and (if applicable) any planned actions have been duly implemented. Specific attention will be given to the areas of weakness that led to poor performance.
- **Organization was previously eligible but lost eligibility due to suspension following non-compliance or misconduct:** These cases are treated on a case-by-case basis depending on the type of breach. Cases of financial and sexual misconduct are treated in accordance with Annexes 9 and 10 of the Global Guidelines, and conditions for re-instatement of eligibility (if applicable) are communicated to the partner based on case-specific determinations. Cases of non-compliance that do not constitute financial and sexual misconduct are treated in accordance with Annex 8. Depending on the specific circumstances, eligibility may be re-instated as soon as the non-compliance is addressed or following a re-assessment (full or partial).
- **Organization was previously eligible but lost eligibility due to lack of implementation of oPt HF-funded projects for 3 years or longer:** **The three years are counted from the latest end date of implementation of projects granted to the organization as a main partner** (not sub-partner) or, if no projects were ever funded, **from the date of approval of the Capacity Assessment by the HFU**. The organization can re-apply for eligibility after a minimum of 6 months following the 3-year period. Partners who have been inactive for more than three years need to undergo a partial reassessment. The level of assessment will also be based on contextual considerations (e.g., whether the partner has implemented activities funded by other donors, has been active in the clusters/locations, etc.).

Appendices

Appendix 1: Global Preliminary Screening Questionnaire

Appendix 2: Due Diligence Application Form

Appendix 3: Due Diligence and ICA Document Checklist

Appendix 4: Due Diligence Declarations

Appendix 1: Global Preliminary Screening Questionnaire

Overview

A link to the below questionnaire is available to prospective partners at [link](#) . It will be filled in and submitted through the online platform.

Overview of Global Preliminary Screening Questions	
No	Question
1	Does your organization operate according to humanitarian principles?
2	Does your organization have Code of Conduct and actively enforces it?
3	Does your organization have an Anti-Fraud Policy and actively enforces it?
4	Does your organization have a Policy on Conflict of Interest and actively enforces it?
5	Does your organization have documented experience of implementing humanitarian activities?
6	Is your organization an active member of any clusters, sectors or coordination mechanisms at the national and/or sub-national level?
7	Does your organization currently use a computerized and licensed accounting software?
8	Does your organization have a policy document on PSEA and actively enforces it?

Preliminary Screening Template

Introduction
<p>Thank you for your interest in becoming a partner to the oPt HF. In order to become eligible for funding, you are required to fill in this questionnaire. Please note that all questions must be answered truthfully and accurately to the best of your knowledge. All information will be verified at a later stage in the process and false information could lead to the exclusion from the eligibility process.</p> <p>After completing the questionnaire, the oPt HF will inform you of the next steps in the eligibility process. If you have any questions on the eligibility process, please reach out to the HFU at ocha-opt-hf@un.org. More information on the oPt HF eligibility process can be found here (https://ochaopt.org/page/opt-humanitarian-fund/eligibility-process).</p> <p>Questions marked with * are mandatory questions.</p>

Part 1: Organization Details		
No	Question	Response options
1	Organization's Legal Name* (Has to match name in registration certificate)	Short text
2	Organization Acronym	Short text
3	Organization Website URL	Short text

4	Type of Organization*	<input type="checkbox"/> International NGO <input type="checkbox"/> National / Local NGO <input type="checkbox"/> Red Cross / Red Crescent
5	Full name of focal person for the application*	Short text
6	Email of focal person for the application*	[pre-filled with Humanitarian ID]
7	Phone number(s) of focal person*	Short text
8	Name of country Director	Short text
9	Email of country Director	Short text
10	UNPP ID (if available)	Short text
11	UNPP Verification Status (if UNPP ID is available)	<input type="checkbox"/> Verified <input type="checkbox"/> Not verified

Part 2: Humanitarian Principles		
No	Question	Response options
12	<p>Does your organization operate according to humanitarian principles?*</p> <p>The four humanitarian principles (humanity, neutrality, impartiality and independence) provide the foundations for humanitarian action. They are central to establishing and maintaining access to affected people, whether in a natural disaster or a complex emergency, such as armed conflict. Humanitarian principles should be demonstrated in daily activities and practices including selection of beneficiaries, vendors and staff, and interaction with communities and all relevant stakeholders.</p> <p>By answering YES to this question, you confirm that your organization meets the four principles as described below and does not cross any red lines that indicate substantive breach of the humanitarian principles. Some of these red lines that could prevent an organization from becoming a partner, include the following:</p> <ul style="list-style-type: none"> • Support/ affiliation to a political or warring party • Assistance to parties to conflict • Accepting entry of weapons in humanitarian premises/vehicles • Accepting interference by authorities in the selection of beneficiaries, vendors or staff, etc. <p>By answering PARTLY to this question, you confirm that your organization does not fully adhere to all humanitarian principles as described below.</p> <p>If your organization does not meet any of the humanitarian principles, or crosses any of the red lines listed above, please answer NO to this question.</p> <p>Please use the comments box to provide any additional explanations for the HFU to review.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> Partly <input type="checkbox"/> No
13	<p>Please review the four humanitarian principles and tick the box if your organization is operating according to the principle.*</p> <p><input type="checkbox"/> Humanity:</p>	

	<p>Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings</p> <p>Neutrality: Humanitarian actors must not take sides in hostilities or engage in controversies of a political, racial, religious or ideological nature</p> <p>Impartiality: Humanitarian action must be carried out on the basis of need alone, prioritizing the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religion, class or political opinions.</p> <p>Independence: Humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.</p>	
14	Comments	Long text

Part 3: Code of Conduct		
No	Question	Response options
15	<p>Does your organization have a Code of Conduct?*</p> <p>A Code of Conduct reflects an organization's commitment to meet fundamental principles and rules concerning ethical conduct in all organizational activities. This may include descriptions of core values and ethical standards, appropriate and inappropriate behavior, responsibilities of organization employees, and other relevant aspects.</p> <p>Your organization may have developed its own Code of Conduct or use an existing Code of Conduct, such as the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief.</p> <p>Your organization may have a stand-alone Code of Conduct or may cover the key contents in other policy documents (e.g., Ethics Policy, Operational Manuals, etc.).</p>	<p>Yes</p> <p>My organization does not have a stand-alone Code of Conduct, but it is covered in other policy documents.</p> <p>No</p>
16	<p>If the Code of Conduct is covered in other policy documents</p> <p>Please describe in which documents you cover Code of Conduct and how?*</p>	Long text
17	Comments	Long text

Part 4: Anti-Fraud Policy		
No	Question	Response options
18	<p>Does your organization have an Anti-Fraud Policy?*</p> <p>An Anti-Fraud Policy outlines an organization's commitment to prevent, deter, detect and respond to fraud and financial misconduct. Your organization may</p>	<p>Yes</p> <p>My organization does not have a stand-alone anti-fraud policy, but</p>

	have a stand-alone anti-fraud policy document or may cover anti-fraud in other policy documents (e.g., Code of Conduct, Ethics Policy, Operational Manuals, etc.).	anti-fraud is covered in other policy documents. No
19	If anti-fraud is covered in other policy documents Please describe in which documents you cover anti-fraud and how?*	Long text
20	Comments	Long text

Part 5: Conflict of Interest		
No	Question	Response options
21	<p>Does your organization have a Conflict of Interest Policy?*</p> <p>A conflict of interest occurs when an organization's interest interferes with the responsibilities or with the integrity, independence, and impartiality required by the partnership agreement. A Conflict of Interest Policy outlines an organization's commitment to avoid any conflict of interest and describes measures to prevent and report actual or potential conflict of interest. Your organization may have a stand-alone conflict of interest policy document or may cover conflict of interest in other policy documents (e.g. Code of Conduct, Ethics Policy, Operational Manuals, etc.).</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> My organization does not have a stand-alone Conflict of Interest policy, but conflict of interest is covered in other policy documents. <input type="checkbox"/> No
22	If conflict of interest is covered in other policy documents Please describe in which documents you cover conflict of interest and how?*	Long text
23	Comments	Long text

Part 6: Experience in Implementing Humanitarian Activities		
No	Question	Response options
24	<p>Does your organization have experience in implementing humanitarian activities in oPt?*</p> <p>To become a partner to the oPt HF, your organization should normally have experience in implementing humanitarian activities in the <i>oPt</i>. Your organization may have implemented its own projects or has collected experience through other humanitarian activities.</p> <p>In some cases, experience in other related sectors (e.g., development or peacebuilding) or experience in another country can also be accepted.</p> <p>Please respond YES if your organization can demonstrate experience implementing <u>humanitarian</u> activities in the <u>oPt</u></p> <p>Please respond PARTLY if your organization has experience in another country or another sector (not humanitarian) and use the space below to provide more detail on your experience.</p> <p>Please respond NO if your organization does not have any relevant experience.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> Partly <input type="checkbox"/> No

25	If answer is PARTLY Please elaborate on the kind of experience your organization has (which sectors, in which countries, how many years, etc.)	Long text
26	Comments	Long text

Part 7: Participation in Clusters and other Coordination Mechanisms		
No	Question	Response options
27	Is your organization an active member of any clusters, sectors or other coordination mechanisms at the national and/or sub-national level?*	<input type="checkbox"/> Yes <input type="checkbox"/> No
28	If answer is YES Which cluster(s) / sector(s) / other coordination mechanism(s) is your organization a member of? (Multiple answers possible)	<input type="checkbox"/> Camp Coordination/Management <input type="checkbox"/> Early Recovery <input type="checkbox"/> Education <input type="checkbox"/> Emergency Shelter and NFI <input type="checkbox"/> Emergency Telecommunications <input type="checkbox"/> Food Security <input type="checkbox"/> Health <input type="checkbox"/> Logistics <input type="checkbox"/> Nutrition <input type="checkbox"/> Protection <input type="checkbox"/> WASH <input type="checkbox"/> [oPt-specific options] <input type="checkbox"/> Other (specify)
29	Comments	Long text

Part 8: Accounting Software		
No	Question	Response options
30	Does your organization currently use an accounting software to record and process financial transactions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
31	If answer is YES Name of the accounting software*	Short text
32	Comments	Long text

Part 9: Protection from Sexual Exploitation and Abuse (PSEA)		
No	Question	Response options
33	Does your organization have a policy on Protection from Sexual Exploitation and Abuse (PSEA)?* A PSEA policy outlines an organization's commitment to prevent, deter, detect and respond to cases of sexual exploitation and abuse by its personnel. It typically includes a commitment to prohibition of SEA,	<input type="checkbox"/> Yes <input type="checkbox"/> My organization does not have a stand-alone PSEA policy, but PSEA is covered in other policy documents. <input type="checkbox"/> No

	<p>explanations of the prohibited behavior, and descriptions of reporting and investigation procedures.</p> <p>Your organization may have a stand-alone PSEA policy document or may cover PSEA in other policy documents.</p>	
34	<p>If PSEA is covered in other policy documents</p> <p>Please describe in which documents you cover PSEA and how?</p>	Long text
35	Comments	Long text

Final Information		
<p>Thank you for providing your information in this preliminary screening questionnaire.</p> <p><i>[HFU to provide more information on next steps, available support, etc.]</i></p>		
37	Please use this space in case you wish to provide any other information.	Long text

Appendix 2: Due Diligence Application Form

Part 1: Identification		
Basic Information		
1	Organization's Legal Name	
3	Acronym (if applicable)	
4	Organization's Former Legal Name (optional)	
6	Type of Organization	<input type="checkbox"/> International NGO <input type="checkbox"/> National / Local NGO <input type="checkbox"/> Red Cross / Red Crescent
7	Indicate if the organization qualifies as one or more of the following: <ul style="list-style-type: none"> • Women-led Organization (WLO) - an organization with a humanitarian mandate/mission that is 1) governed or directed by women or; 2) whose leadership is principally made up of women, demonstrated by women occupying 50% or more of senior leadership positions. • Women's Rights Organization (WRO) - defined as 1) an organization that self-identifies as a woman's rights organization with primary focus on advancing gender equality, women's empowerment and human rights; or 2) an organization that has, as part of its mission statement, the advancement of women's/girls' interests and rights (or where 'women,' 'girls', 'gender' or local language equivalents are prominent in its mission statement); or 3) an organization that has, as part of its mission statement or objectives, to challenge and transform gender inequalities (unjust rules), unequal power relations and promoting positive social norms. • Organizations of Persons with Disabilities (OPDs) – defined as rooted in and committed to the Convention on the Rights of Persons with Disabilities (CRPD) and should fully respect the principles and rights that it affirms. OPDs must be led, directed and governed by persons with disabilities. A clear majority of their memberships should be persons who have disabilities. 	<input type="checkbox"/> Women-led Organization <input type="checkbox"/> Women's Rights Organization <input type="checkbox"/> Organization of Persons with Disabilities
8	Organization website URL	
9	UNPP ID	
Legal Status		
9	Year of establishment in oPt	
11	Is the organization registered to operate in the country of origin? (Yes/No)	
	Registration Details (for international NGOs, please provide this information for both national and international registration) <ul style="list-style-type: none"> • Registration date • Name of registering authority • Registration number • Expiration date 	

Part 2: Contact Information	
Mailing Address / Office Locations	
1	Address and contact details of organization's Headquarters
2	Address and contact details of Main Office in oPt (if different from above)
3	Address and contact details of Sub-Office(s) in oPt
Key Personnel (Name, email, phone number, address; and number and expiration date of ID for personnel designated as active signatories)	
4	Focal person for this application
5	Highest ranking official in the oPt
6	Focal person in Headquarters (for international NGOs)
7	Legal representative of the organization (person ultimately accountable within the organization)
Board of Trustees / Board of Directors	
8	<p>Please provide the list of members of the Board of Trustees/Board of Directors with short bios</p> <p>Trustee's Name : Enter the trustee's name Title : Enter the trustee's title Date of Birth: Enter the trustee's date of birth Nationality: Select the trustee's nationality Bio: Enter a short biography of the trustee</p>

Part 3: Bank Information	
9	<p>Banking Information</p> <ul style="list-style-type: none"> • Bank Name • Bank ID • ACH or Fed wire (For US banks only) • SWIFT code • Branch ID (for Canadian Banks only) • Branch Name • Street Address • City • State / Province • Postal Code • Country
10	<p>Bank Account Details</p> <ul style="list-style-type: none"> • Account Name (Name as it appears on bank account) • Bank Account Currency (US\$ or Other) • Bank Account No • Account Type (Checking or Saving) • IBAN (European Banks) • Transit Code (5 digit) Canadian Banks • Sort Code (6 digits) UK Banks • BSB code (6 digits) Australia Banks

	Bank Information for Intermediary / Correspondent Bank (if applicable) <ul style="list-style-type: none">• Name of Bank• CTN country of bank• Bank Account No• Swift Code• Special instructions (if applicable)	
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Appendix 3: Due Diligence and ICA Document Checklist

The documents listed in the checklists below are required for the due diligence and capacity assessment and will be uploaded on GMS. **Documents marked with * are mandatory documents** and all organizations need to upload them in order to proceed with the due diligence and capacity assessment. While the remaining documents are not mandatory, they are used by HFUs to obtain a comprehensive picture of the organization and carry out the capacity assessment. All organizations are therefore strongly encouraged to upload as many of the documents as possible.

Due Diligence

Due Diligence Declarations (signed, stamped and dated)	
<i>Note: Templates for the below DD declarations are available in Appendix 4. They are also available for download on the GMS when the prospective partner fills in the Due Diligence application. DD declarations should be updated and re-submitted every time there is a change in the authorized signatory or in the circumstances being declared.</i>	
1	Declaration of Accurate Information*
2	Declaration of Recognition of United Nations Compliance Activities*
3	Declaration of Conflict of Interest*
4	Declaration of Non-Support to United Nations Designated Entities*
5	Declaration of any Previous or Pending Legal Processes or Investigations* <i>Note: in case of previous or pending legal processes, please provide detailed explanation and relevant supporting documentation</i>
6	Declaration on Protection from Sexual Exploitation and Abuse *
7	Statement of Commitment on the Prevention of Discrimination Towards Persons with Disabilities*
Bank Information	
7	Bank account statement* <i>Note: The bank account statement is used to verify that 1) the prospective partner has valid bank account and 2) that the name of the bank account matches the name on the provided registration certificate, and the banking information provided by the partner. The bank statement should be on the bank's letterhead, signed and stamped by an official of the bank, and should not be older than 2 months. Electronic bank statements can also be accepted. In case the bank account name is different from the name of the organization, an additional letter from the bank is required (see below).</i>
8	Letter from the bank (If bank account name is different from the name of the organization) <i>Note: If the account name is different from the name of the organization as indicated in the registration certificate and used for GMS registration, the prospective partner should submit a letter from the bank on the bank's letterhead, signed and stamped by an official of the bank, certifying that the bank account belongs to the organization under the name registered in the GMS.</i>
Identification Documents	
9	Identification documents (copy of passport or Identity Card) and curriculum vitae (CV) of the legal representative in country of the organization*

Capacity Assessment

1) Organizational Information	
1	Mission and/or vision statement / Mandate*

	<i>A mission and/or vision statement that demonstrates the reason for your organization's existence including an ethical and operational framework underpinning your humanitarian work. A mission and vision statement may typically cover the organization's history and core values/guiding principles, the organizational mission and objectives, competencies and key areas of expertise, and the experience in humanitarian programming including locations of operation.</i>
2	Organization's organigram / organizational chart
3	OPt strategy document
4	<p>Annual oPt reports for the last 2 years, if available*</p> <p><i>Annual reports provide information on your organization's activities in the country where you are applying for eligibility with the oPt HF. Annual reports may include background information on the organization, details on activities and projects carried out, as well as objectives achieved throughout the year. Please upload any annual oPt reports for the last 2 years if available.</i></p>

2) Governance	
5	<p>Governance Document (i.e. Constitution, By-laws, Trust deed or equivalent document)*</p> <p><i>The governance document of organization includes information about the formal structure and governance of your organization as well as the aims and objectives of the organization. It also includes information on roles and responsibilities of key members of the governance structures as well as related administrative arrangements.</i></p>
6	<p>Board of Trustees and/or Board of Directors with full list of members*</p> <p><i>The governance structure of your organization may be in the form of Board of Trustees, Board of Directors, or an Advisory Board. The Board of an organization provides effective collective oversight of the organization's activities with respect to legal compliance, guiding strategic direction and annual planning, providing financial oversight and conducting programmatic review. Please outline your formal structure of governance and provide a full list of all members of your Board of Trustees, Board of Director, Advisory Board, or equivalent. The latter must match that provided in the Due Diligence Application Form.</i></p>
7	<p>Code of Conduct*</p> <p><i>A Code of Conduct reflects an organization's commitment to meet fundamental principles and rules concerning ethical conduct in all organizational activities. This may include descriptions of core values and ethical standards, appropriate and inappropriate behavior, responsibilities of organization employees, and other relevant aspects.</i></p> <p><i>Your organization may have developed its own Code of Conduct or use an existing Code of Conduct, such as the Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief. Your organization may have a stand-alone Code of Conduct or may cover the key contents in other policy documents (e.g., Ethics Policy, Operational Manuals, etc.).</i></p>
8	<p>Anti-Fraud Policy and fraud reporting mechanism*</p> <p><i>An Anti-Fraud Policy outlines an organization's commitment to prevent, deter, detect and respond to fraud and financial misconduct. Your organization may have a stand-alone anti-fraud policy document or may cover anti-fraud in other policy documents (e.g., Code of Conduct, Ethics Policy, Operational Manuals, etc.).</i></p>
9	<p>Policy on Conflict of Interest*</p> <p><i>A conflict of interest occurs when an organization's interest interferes with the responsibilities or with the integrity, independence, and impartiality required by the partnership agreement. A Conflict of Interest Policy outlines an organization's commitment to avoid any conflict of interest and describes measures to prevent and report actual or potential conflict of interest. Your organization may have a stand-alone conflict of interest policy document or may cover conflict of interest in other policy documents (e.g. Code of Conduct, Ethics Policy, Operational Manuals, etc.).</i></p>
10	<p>Protection from Sexual Exploitation and Abuse (PSEA) Policy*</p>

	<p>A PSEA policy outlines an organization's commitment to prevent, deter, detect and respond to cases of sexual exploitation and abuse by its personnel. It typically includes a commitment to prohibition of SEA, explanations of the prohibited behavior, and descriptions of reporting and investigation procedures.</p> <p>Your organization may have a stand-alone PSEA policy document or may cover PSEA in other policy documents.</p>
11	<p>Management Policies and Frameworks</p> <p>Under this requirement, please share policies and frameworks that define how your organization is managed, including the definition of clear lines of authority from the top of the organization to the lowest level, dotted-line reporting relationships, clear and appropriate departmentalization (i.e., related functions are grouped into manageable units to achieve the objectives of the organization in the most efficient and effective manner).</p>

3) Program Management	
12	Program Planning and Management Manuals + any related tools and templates
13	Gender Policy
14	Protection / Child Protection Policy
15	Persons with Disabilities / Inclusion and Accessibility Policy
16	Sample report on a recently concluded needs assessment or situation update; any other (external) needs assessment reports used to inform programming

4) Project Documents	
17	<p>List of previous and ongoing projects with donors and funding amounts per project in the last 2 years*</p> <p>Please provide a list with all previous and ongoing projects of your organization in the last two years. For each project, include a list of donors and the respective funding amounts. If organization has not implemented full projects, list all activities instead.</p>
18	Gender and Age Marker Assessment Report
19	Sample project proposals
20	Sample narrative reports

5) Monitoring & Evaluation	
21	Monitoring & Evaluation Manuals + any related tools and templates
22	Sample report of completed internal monitoring or review within the last 1-2 years
23	<p>Reports from external and internal evaluations, reviews and studies undertaken in the last 2 years by the organization in the oPt, if available*</p> <p>Please upload any reports from evaluations, reviews and studies that were undertaken by your organization in the last two years in the country where you are applying for eligibility with a CBPF. These may have been internal exercises or carried out by an external entity.</p>

6) Accountability to Affected Populations (AAP)

24	Accountability to Affected Populations (AAP) Policy
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7) Human Resources

25	Human Resources Policy
26	List of staff
27	Recruitment procedures and related documents, e.g., reference check templates, sample of recruitment panel list, etc.
28	Salary scale

8) Procurement and Logistics

29	Procurement and Logistics Policy
30	Stock and Asset Management Policy / Asset Disposal Policy

9) Finance and Administration

31	Finance & Administration Policy
32	Accounting software license / registration document* <i>Your organization should use a computerized and licensed accounting software to record and process financial transactions and generate financial reports. Please upload a copy of your accounting software license, registration document, or equivalent.</i>
33	Annual work plans and budgets for the last 2 years if available, incl. master annual budget and project budgets*
34	Sample financial report comparing budget against expenditure during the last six months, and related general ledger
35	Bank statements & monthly bank reconciliations
36	Bank signatory list
37	Delegation of authority matrices

10) Audits

38	Internal audit policy manual
39	Sample reports of Internal audit or equivalent reviews conducted by internal audit function
40	Reports from external audits of financial statements for the last 3 financial years
41	Contract with external audit firm

11) Sub-Partners	
42	List and Contact Details of Sub-Partners if the NGO works through them (last 1-2 years)
43	Organizational program manual or other relevant documents that contain sub-granting procedures
44	Copy of Capacity Assessment tool if one is used for sub-partners

12) References	
45	An email by the coordinator of the concerned sector, cluster or other relevant coordination mechanism, confirming membership of the organization in the sector/cluster/coordination mechanism and stating the number of 3/4W submissions by the organization (out of the last 12 months).
46	References and/or Letters of Recommendations (i.e. donors, partners, government, etc).

Additional documents	
<i>Note: In addition to the documents listed above, HFUs may request the following documents before or during the office visit to the prospective partner, which is a mandatory component of the capacity assessment. These documents are used to carry out additional checks and to verify information provided by the prospective partner. The documents do not need to be uploaded on GMS and are listed here for informational and transparency purposes.</i>	
1	Sample of recent Board meeting minutes
2	Samples emails or documents demonstrating the use of the organization's feedback and complaint system
3	Samples of posts or communication materials about project for affected population, shared information/reports from previous and/or ongoing projects
4	Policy or sample document that demonstrates the engagement of affected population in the design and implementation of projects (e.g., questionnaires, minutes of meetings with committee representatives)
5	Sample job description / TORs of staff, incl. Finance staff
6	Staff onboarding documents (checklists, training/induction package, etc.)
7	Training modules or other relevant documents used to inform staff of their responsibilities under the Anti-Fraud Policy, Conflict of Interest Policy, and PSEA Policy
8	Training attendance sheets
9	Sample payroll, pay slips, proof of salary payments through bank transfers
10	Sample shared staff timesheets
11	Sample of procurement process and associated supporting documents (e.g., sample request for quotation, bids received, minutes of bid opening meeting, technical and financial evaluation)
12	Sample approval of derogations from procurement procedures
13	Sample asset list
14	Sample stock card/inventory list
15	Sample Good Received Note (GRN) documents
16	Sample procurement committee list

17	Sample Conflict of interest declarations and disclosures from members of Procurement Committee
18	Sample tax payment certificates
19	Sample exchange rate transactions
20	Sample payment and receipt vouchers
21	Sample of cheques
22	Sample of approval process for transactions (e.g., payments)
23	Reports from external audits of projects completed in the last 12 months
24	Evidence of implementation of internal audit/review recommendations
25	Audit service procurement documents
26	Audit implementation plan
27	Documentary evidence showing that critical recommendations from last two audited financial statements have been implemented
28	Sample of vetting/due diligence/capacity assessment reports for sub-partners
29	Sample grant agreement with main donor and related sub-grant agreement with other partners
30	Sample reports from monitoring, financial spot-checks and oversight activities conducted on sub-partner activities
31	Sample narrative and financial reports submitted by sub-partners
32	Sample project reports and audits including activities by sub-partners
33	Monitoring plan of sub-partner activities

Appendix 4: Due Diligence Declarations

1. Declaration of Accurate Information

I, _____, certify that the information provided in the Application Form and annexed documents is accurate to the best of my knowledge and that I accept the conditions and undertakings requested in this due diligence process. I understand that false information or the provision of a false statement (including false declaration) will automatically lead to disqualification and / or exclusion from further participation in a UN contracting, procurement and/or employment process, no matter what stage in the process has been reached when the error, omission or misrepresentation is discovered.

I confirm that _____ [Organization Name] will inform OCHA oPt immediately of any changes in the organization's legal, financial, technical or organizational situation as described in the documents listed above, and/or that may create other conflicts of interests.

I confirm that _____ [Organization Name] will grant access to OCHA oPt, and/or any other entities designated by OCHA oPt to conduct the Capacity Assessment, to the information that is required to perform their duties.

Signed:

Name:

Position:

Date:

2. Declaration of Recognition of UN Compliance Activity

1. Explanation:

Completion of this Declaration of recognition and Support of/for any United Nations compliance activity(ies) is a requirement for selection, award and appointment of contracts with OCHA oPt. Failure to comply with this Declaration will be considered cause for removal as a candidate for selection of contracts.

2. Declaration of recognition and Support of/for any United Nations compliance activity(ies)

I declare as the representative of _____ [Organization Name] that I/we recognize the importance of external / United Nations / third party monitoring and compliance activities of contracts that have been awarded by the United Nations. Such monitoring and compliance activities are essential to improve transparency and accountability and will be supported¹ and, if required, facilitated by _____ [Organization Name]. Furthermore, I/We recognize that failure to support, and or facilitate such monitoring and compliance activities as required by OCHA oPt may result in investigation, suspension, or termination of the contract.

Signed:

Name:

Position:

Date:

¹ For the purposes of the declaration 'support' includes: provision of access to information such as financial accounts, employment records, contract documents on request as well as providing access and ensuring site visitation / monitoring activity / compliance activity can occur at any time and in safety, without duress.

3. Declaration of Conflict of Interest

1. Definition:

Conflict of interest is defined as a situation in which professional or objective judgment, or behavior concerning a primary interest (in this case the integrity of the United Nations) has been improperly influenced by a different interest (such as, but not limited to, financial gain) by a contractor, employee or implementing partner of the United Nations (and/or his/her immediate family, close relatives or personal friends). Conflict of interest occurs when the integrity, independence, and impartiality required by the partnership agreement with the United Nations are impacted by personal interests of one or more staff of the Partner.

2. Completing the Declaration of Conflict of Interest:

Completion of this Declaration of Conflict of Interest is a requirement for selection, award and appointment of contracts with OCHA. Failure to comply with this Declaration of Conflict of Interest will be considered cause for denial or withdrawal of eligibility for funding from OCHA oPt-Based Pooled Funds (CBPFs).

The organization is also required to update this Declaration of Conflict of Interest as soon as the circumstances change, including but not limited to when a new conflict of interest arises, or when the legal representative of the organization changes. Failure to update this declaration may result in loss of eligibility to receive CBPF funding and/or in the termination of any ongoing projects..

This declaration of Conflict of Interest shall be retained in a secure file at OCHA oPt for the duration of three years after completion of the Capacity Assessment, after which it will be destroyed under the direction of OCHA Head of Office.

Any information provided in the disclosure statement will be treated as confidential.

3. Response to the Declaration of Conflict of Interest

A disclosure made by an implementing partner that upon review **does not** appear to constitute an issue of sufficient magnitude to warrant further action will be retained in a secure file as noted in section 2 (above).

A partner who has made a disclosure that upon review **does** appear to constitute an issue of sufficient magnitude to warrant further action will be so informed in writing and will be requested to take action to address the conflict within a reasonable time frame, in agreement with OCHA oPt.

The partner will have the opportunity to fully present his or her view of the situation (by letter, teleconference, or other agreed upon means). If it is determined that the disclosure poses an actual or potential conflict of interest such that its impact on CBPF funding cannot be mitigated or removed, the partner will be asked to withdraw voluntarily from the list of CBPF eligible partners and/or from the service that the partner currently performs on behalf of OCHA oPt.

Should the partner decline to withdraw, the matter will be escalated to the OCHA oPt Head of Office. The partner shall have the opportunity (by letter, teleconference, or other agreed upon means) to state the grounds upon which he or she believes that the Head of Office should reverse the decision. If the Head of Office decides not to alter the earlier determination, he/she shall have the right to terminate the partner's eligibility and any ongoing Grant Agreements.

Declaration of Conflict of Interest

I would like to declare the following existing and/or potential conflict of interest situation:

- **Businesses** in which I, or any family members, or any Personnel of the organization, own or have a financial interest in (brief description):

.....

- **Non-Profit Organisations and/or Non- Government Organisations** with which I, any family members, or any Personnel of the organization, are involved (brief description):

.....
.....
.....

- **Government Agencies and/or Government Employees** with which I, any family members, or any Personnel of the organization, are involved (including employed as) or interact with in the course of our work (brief description):

.....
.....
.....

I, _____, have read, understood and agree to the above statement. I have fully disclosed any existing or potential conflicts of interest that I and other Personnel of the organization have.

I _____, commit to share with all Personnel the definition of what constitutes a conflict of interest and how staff can report instances of existing or potential conflicts of interest.

I _____, commit to review the declaration and update as and when circumstances change.

I _____ understand that failure to report a conflict of interest may lead to the termination of a grant agreement(s) and/or of future eligibility with OCHA.

Signed:

Name:

Position:

Date:

Partner Guidance Note on Conflict of Interest

This document provides guidance to Partners of OCHA-managed oPt-HF on their obligations in relation to prevention, detection, reporting and response to Conflict of Interest. This document should be read in conjunction with the Global Guidelines for CBPFs², the oPt HF Operational Handbook and their annexes.

Responsibilities of oPt HF Partners

1. Due diligence declaration:

Completion of the Declaration on Conflict of Interest is a requirement for eligibility to receive funding from OCHA. The Declaration includes the following requirements:

- Partner should ensure that the Declaration is duly completed and signed during the Due Diligence stage of the Eligibility process by the legal representative of the organization.
- Partner is also required to periodically review the declaration, and update relevant information as soon as circumstances change (e.g. new conflict of interest arises). Failure to comply may result in termination of a grant agreement(s) and/or of future eligibility with OCHA CBPFs.
- Upon signature of a Grant Agreement, Partner confirms that, as of the date of signature, neither it nor its Personnel have actual or potential conflict of interest situations, and that it has fully disclosed to OCHA in writing any existing and/or potential conflict of interest situations, before entering into an agreement (*Grant Agreement Art IV, para 2*). Such disclosure should be done by updating the Due Diligence Declaration on Conflict of Interest.

2. Capacity Assessment process:

When undergoing the Capacity Assessment process, Partners will be vetted against an excluding question pertaining to Conflict of Interest, which includes the following elements:

- Partner should have a Policy on Conflict of Interest or cover Conflict of Interest in other policy documents (e.g., Code of Conduct, Ethics Policy, Operational Manuals, etc.).
- Partner should ensure that the Policy on Conflict of Interest is actively enforced.

Having a Policy on Conflict of Interest and actively enforcing this policy, is a minimum requirement for prospective Partners to become eligible for funding with CBPFs. Failure to meet this requirement, i.e., a lack of such a policy, poor quality of the policy, and/or insufficient enforcement of the policy, may consequently lead to ineligibility for funding.

3. Contractual obligations:

When entering into a Grant Agreement with the United Nations, Partners are legally required to comply with the following obligations:

- Partner must ensure that the organization and all its Personnel are free from any conflict of interest relating to Project activities and that they always act in accordance with the highest moral and ethical standards. Should the Partner or its Personnel have any conflict of interest, the Partner must disclose it to OCHA in writing as soon as it arises (*Grant Agreement Art IV, para 2*)
- Partner represents and certifies to undertake all reasonable actions to prevent conflict of interest (*Grant Agreement Art IV, para 5*)
- Partner must ensure that its Personnel do not collude with third parties including but not limited to fix prices, offer, give, solicit or receive bribes or gifts from vendors, nor shall they engage in any activity which could be deemed as illegal, fraudulent or corrupt practice (*Grant Agreement Art V, para 3*)
- Partner shall ensure that its Personnel discharge their functions free of prejudice and conflict of interest and that sufficient segregation of duties is in place to ensure the principles outlined above (*Grant Agreement Art V, para 3*)
- Partner should ensure that all Personnel understand what is considered a conflict of interest and how to report it.

4. Prevention and disclosure

- For Personnel that manage funds or work with external stakeholders, ensure all actions are transparent and well-documented to avoid the implication of impropriety.
- If a situation arises in which there are competing loyalties, Personnel should consider removing themselves from the situation to avoid a real or perceived conflict of interest.
- If an assignment or role has the potential for a conflict of interest, the connections and loyalties should be disclosed to all internal and external stakeholders.

5. Reporting

- If a new conflict of interest arises, Partner must disclose this in writing to OCHA (*Grant Agreement Art IV, para 2*). Such disclosure should be done by updating the Due Diligence Declaration on Conflict of Interest. In the event that a disclosure constitutes an issue of sufficient magnitude to warrant further action, the Partner will be informed in writing and will be requested to take action to address the conflict within a reasonable time frame, in agreement with OCHA.
- If it is determined that the disclosure poses an actual or potential conflict of interest such that its impact on CBPF funding cannot

² Available at: <https://www.unocha.org/our-work/humanitarian-financing/oPt-based-pooled-funds-cbpf/cbpf-guidelines>

be mitigated or removed, the partner will be asked to withdraw voluntarily from the list of CBPF eligible partners and/or from the service that the partner currently performs on behalf of OCHA oPt.

6. Suspension and termination

- Failure to disclose a conflict of interest may lead to termination of the grant agreement(s) and/or of future eligibility with OCHA CBPFs.
- If a conflict of interest has led to financial gain for the Partner (management or staff) and/or loss to the project, this conduct is considered fraudulent and will be handled in accordance with OCHA's Standard Operating Procedures for fraud.

7. Sub-contracting

- The Partner is fully responsible for all work and services performed by sub-contractors, and for all acts and omissions committed by them, their employees or other personnel (*Grant Agreement Art V, para 5*)
- OCHA's approval of a sub-contractor shall not relieve the Partner of its obligations under the Grant Agreement. Such obligations shall be passed on by the Partner in its contracts with sub-contractor(s) (*Grant Agreement Art v, para 5*)
- The Partner is responsible for any conflict of interest that may exist with a sub-contractor, or any conflict of interest that arises within the sub-contractor's operations.

Scenarios

Here below are a few scenarios, while not an exhaustive list, they offer examples of incidents that are, or can lead to, conflict of interest.

Scenario 1 - A married couple works for the same organization. A promotion takes place, which leads to one spouse becoming **a manager of their spouse**, this creates a conflict of interest. The organization, after discussion with the couple and HR, may decide to transfer one spouse to another department.

Scenario 2 – An organization has two **financial signatories**, but they are relatives. The organization determines that this is a perceived conflict of interest, and transfers signatory responsibilities to Personnel who are not related.

Scenario 3 – An organization's **Human Resource Officer** is reviewing job applications which include candidates that are family members or friends. The organization determines that other HR Personnel should review and vet candidates. If only one HR personnel exists, the family members or friend's application should not be considered.

Scenario 4 – A **family run national NGO** has declared that familial relations exist within the organization. In order for the organization to be eligible for funding, the organization must ensure that family members are not managing other family members and that signatories include non-family members.

Scenario 5 – A staff member holds both a management position within an organization and an **official government** position. It is determined that this could create a conflict of interest and the staff member is instructed to resign from one of their positions, as interests in one role may conflict with interests in the other.

Scenario 6 – An organization is contracting vendors for a project, but a family relationship exists with one of the **vendors**. The organization determines that a perceived conflict of interest exists and therefore does not consider the vendor.

Scenario 7 – A national staff member of a UN entity has started a **local NGO** which has applied for funding. Given the staff member has access to information not otherwise available to other potential partners, the NGO is not considered for funding due to the potential conflict of interest.

Scenario 8 – An OCHA staff member is related to a vendor that was selected by an Partner. The staff member should declare the conflict of interest to their supervisor. The supervisor will establish if a conflict of interest exists and will take appropriate action.

Additional Examples

- A manager provides paid consulting services on the weekend to a supplier of the organization.
- A purchasing agent accepts trips and gifts from a vendor and then selects the vendor's supplies, materials and goods for purchase by the organization.
- An employee accepts free gifts and free products from a supplier and then recommends the purchase of the supplies without comparing them to comparable supplies, materials or goods from other vendors.
- The director or staff of an organization provides training for a fee to the organization staff.
- Employees of the organization are accepting improper gifts from outside donors or vendors
- Contributing funds to political campaigns

4. Declaration of Non-Support for a United Nations Designated Entity

1. Rationale

UN Security Council sanctions regimes create direct obligations for all UN Entities, including an obligation to take measures to prevent the provision of funds or other economic resources to entities or individuals listed on the Consolidated UN Security Council Sanctions list³.

2. Declaration of Non-Support for a United Nations Designated entity - Organizational Declaration

All organizations are required to complete and subscribe the following Declaration of Non-Support for a United Nations designated entity or individual, in order to be eligible for selection, award and appointment of contracts with the Office for the Coordination of Humanitarian Affairs (OCHA) in *OPt*:

By signing this declaration, _____ [full name of organization] vouches that it does not knowingly work with any individual or entity appearing on the New Consolidated List established and maintained by the UN Security Council's 1267 Committee. It further declares that neither _____ [Organization name] nor any of its employees or Advisory Board members is a designated terrorist entity/individual as defined by the United Nations Consolidated List.

3. Integration to contractual grant agreements

In the event that _____ [full name of organization] would be selected by OCHA for a grant in oPt, the present declaration would be annexed to the contractual grant agreement between _____ [full name of organization] and OCHA and become integral part of this contractual agreement.

_____ [full name of organization] commits to ensure that it fully conforms to this Declaration throughout the implementation of the said agreement and until its termination, taking into account any modification to the Consolidated UN Security Council Sanctions list.

Failure by grant recipients to abide by this Declaration constitutes a cause for unilateral termination of the grant agreement by OCHA. OCHA's decision to terminate the grant agreement on that ground carries an obligation for recipients to reimburse OCHA for the unspent amount of the grant and may carry further consequences including on the partner's future eligibility.

Signed:

Name:

Position:

Date:

³ www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list

5. Declaration of any Previous or Pending Legal Processes or Investigations

1. Explanation

Completion of this Declaration of any Previous or Pending Legal Processes or Investigations is a requirement for selection, award and appointment of contracts with OCHA oPt. Failure to provide a duly completed Declaration of any Previous or Pending Legal Processes or Investigations will be considered cause for removal as a candidate for selection of contracts. If any of the below statements apply, please ensure to provide sufficient additional details.

The organization is also required to update this Declaration as soon as the circumstances change, including but not limited to when a new legal process begins, or when the legal representative of the organization changes. Failure to update this declaration may result in loss of eligibility to receive CBPF funding and/or in the termination of any ongoing projects.

Any information provided in this declaration will be treated as confidential.

2. Declaration of any Previous or Pending Legal Processes or Investigations

I declare as the representative of _____ [Organization Name] that I am answering the following questions truthfully:

- A. Has the organization / company that you represent been bankrupt, or being wound up, or are its financial affairs presently being administered by a court?
 Yes, (please provide details): No.
- B. Has the organization / company that you represent entered into an arrangement with creditors and suspended business activities with entities that are in any analogous situations arising from a similar procedure under national laws and regulations?
 Yes (please provide details): No.
- C. Has the organization / company that you represent, or any personnel / owner of the organization / company been subject to any legal proceedings, or disputes or investigations by or with a regulatory body, contracting authority, United Nations entity, criminal justice or fiscal agency?
 Yes (please provide details) No.
- D. Has the organization / company that you represent been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for corruption?
 Yes (please provide details): No.
- E. Has the organization / company that you represent been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for fraud?
 Yes (please provide details): No.
- F. Has the organization / company that you represent been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for money laundering?
 Yes (please provide details): No.
- G. Has the organization / company that you represent been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for participation in a criminal organisation?
 Yes (please provide details): No.

Furthermore I, representative of _____ [Organization Name], recognize that provision of false information will be due cause for removal as a candidate for selection in the contracting process. If it is determined that false statements were provided this will lead to the immediate termination of a contract and suspension of eligibility and any other measures as deemed appropriate.

Signed:

Name:

Position:

Date:

6. Declaration on the Prevention of Sexual Exploitation and Abuse

UN Zero-Tolerance policy towards Sexual Exploitation and Abuse (SEA) creates direct obligations for all UN entities and their implementing partners to comply with requirements related to prevention, reporting and response to SEA. Implementation of the requirements and subsequent completion of this declaration is a prerequisite for potential selection, award and appointment of contracts with OCHA oPt. Failure to comply with the requirements below and provide a duly completed Declaration will be considered cause for removal as a candidate for selection of contracts or may result in termination of eligibility.

- I declare as a representative of _____ [Organization Name] that _____ [Organization Name] has read Section 3 of [ST/SGB/2003/13](https://undocs.org/en/ST/SGB/2003/13) Prohibition of SEA⁴ and accepts these terms and the UN's zero-tolerance policy on SEA.
- I declare, as a representative of _____ [Organization Name] that, _____ [Organization Name] will ensure that all relevant staff working under any OCHA-funded Projects and any staff of a sub-contracting partner engaged in the Projects, will have completed a PSEA training, which includes awareness of the UN's definitions⁵ and prohibition⁶ of SEA, requirements for prompt reporting of SEA allegations to OCHA and referral of victims to immediate assistance.

Training options include the UN PSEA online training that is available for all implementing partners <https://agora.unicef.org/course/info.php?id=7380> NOTE: PSEA trainings may also be available at the oPt level, please check with the Humanitarian Financing Unit.

- I declare, as a representative of _____ [Organization Name] that upon receipt of OCHA funding, _____ [Organization Name] will ensure that all relevant staff working under OCHA-funded Projects and any staff of sub-contracting partner engaged in the Projects, will have undergone background checks for involvement or alleged involvement in SEA.

If the organization has a prior or ongoing SEA allegation, please complete the following declaration:

- I declare, as a representative of _____ [Organization Name] that _____ [Organization Name] has taken appropriate corrective action in response to any prior or ongoing SEA allegation. Appropriate correction action consists of (i) the conduct of a credible self-investigation, (ii) support to victim(s) if relevant, (iii) dismissal of perpetrator(s) if relevant and (iv) implementation of corrective measures.

Signed:

Name:

Position:

Date:

⁴ <https://undocs.org/en/ST/SGB/2003/13>

⁵ Any actual or attempted abuse of position of vulnerability, differential power, or trust, for sexual purposes, including but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.

⁶ Sexual exploitation and sexual abuse violate universally recognized international legal norms and standards and have always been unacceptable behaviour and prohibited conduct for United Nations staff.

7. Statement of Commitment on the Prevention of Discrimination Towards Persons with Disabilities

OCHA requires all implementing partners be inclusive towards persons with disabilities, both within their organization and in their programming.

Prevention of discrimination towards persons with disabilities

I declare as a representative of _____ [*Organization Name*] that _____ [*Organization Name*] represents and certifies to be inclusive towards persons with disabilities and undertake all reasonable actions to prevent discrimination towards persons with disabilities.

Signed:

Name:

Position:

Date: