Due Diligence

What does the due diligence process entail?

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What does the due diligence process entail? Top
Due diligence is the first step of the eligibility process of implementing partners. Without due diligence approved, they will not be able to submit project proposals.

Once the Humanitarian Financing Unit (HFU) has approved the implementing partner’s registration and granted them access to the Grant Management System (GMS), partners can initiate the due diligence process by filling out and submitting the due diligence application form on the GMS.

After submitting the due diligence application, HFU will thoroughly review the information as they are critical to ensuring effective risk management. This is why due diligence applications can be rejected if the application is incomplete or if the implementing partner does not meet the minimum requirements. Implementing partners can then be asked to re-draft and re-submit their due diligence application.

*Please note:* It is at the discretion of each Country Based Pooled Fund (CBPF) to add any mandatory or optional requirements to the registration and due diligence stage. Each CBPF can decide whether the registration and due diligence steps are open to any interested prospective implementing partners, or strictly by invitation.

**How to fill out and submit the due diligence application (implementing partners only)**

**ACCESSING THE DUE DILIGENCE APPLICATION**

To access the due diligence application form go to: **Risk Assessment > Due Diligence > Application Form.**

**THE DUE DILIGENCE APPLICATION**
The due diligence application form is composed of four tabs: Application Form, Due Diligence Documents, Bank Info and Due Diligence Checklist. All these tabs need to be filled in before submitting the form.
*Please note:* Although UN Agencies do not need to go through due diligence, information should be provided on the tabs "Application Form" and "Bank Info". On the Application Form tab, the only two mandatory fields are the contact details of the legal representative and the focal person. The national registration number appears as N.A. Additionally, the Bank information is needed on the “Bank Info” tab. No input is needed on Due Diligence Documents and Due Diligence Checklist.
### Field Descriptions:

#### National Registration Number
- "Enter the national registration number of the organization."**
- "Certificate Expiry Date (National):"**
- "Enter the certificate expiry date (national)."

#### Alternate Organization Name
- "Enter the alternate organization name."**

#### Contact Details of the focal person for this application

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Name and Contact Details of the legal representative of the organization

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Name and Contact Details of highest ranking official

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Contact Details of focal person of this application

<table>
<thead>
<tr>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### List of Active Signatories

<table>
<thead>
<tr>
<th>Contact Type</th>
<th>Contact Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td></td>
</tr>
</tbody>
</table>
- **National Registration Number**: Enter the registration number that the organization uses for national registration
- **Certificate Expiry Date**: Click to provide the certificate expiry date as indicated on the national or international registration certificate
- **Not applicable**: This checkbox should be checked if there is no certificate expiry date
- **Alternative Organization Name**: Click to provide the alternative name that the organization uses

If registered as an International Organization, this additional line appears:

- **International Registration Number**: Enter the registration number the organization uses for international registration

### Contact Details

<table>
<thead>
<tr>
<th>Field Description:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name and Contact Details of the Legal Representative of the Organization [Add Contacts] button</strong>: Click to provide organization's legal representative contact details</td>
</tr>
<tr>
<td><strong>Name and Contact Details of highest ranking official [Add Contacts] button</strong>: Click to provide organization's highest ranking officer's contact details</td>
</tr>
<tr>
<td><strong>Name and Contact Details of focal person in Headquarters (for International NGOs) [Add Contacts] button</strong>: For international NGOs, click to provide the focal person's contact details within the organization's headquarters</td>
</tr>
<tr>
<td><strong>Contact Details of focal person of this application [Add Contacts] button</strong>: Click to provide organization's focal person contact details</td>
</tr>
</tbody>
</table>
• **List of Active Signatories**: The active signatories identified in the previous contact tabs are automatically computed in this box.

• To delete a contact person’s details, **prior** to the submission of the due diligence application form, click on ✗ next to the contact person's name. To modify an existing contact, click on 🆑.

"Add Contact" Pop-up Window Details:

For each [Add] button as listed above, upon clicking this button an 'Add Contact' pop-up window will appear.

- **Copy From**: Should you want to copy an existing contact person's contact details.
- **Fill out the rest of the contact details**: Please note that any field with an asterisk sign * are required fields.
- **Document Details**: Add an official identification document number (e.g. passport) to the contact. If you wish to remove a document, click on ✗ in the column ‘User Action’.
- After filling out the contact details, please ensure the 'Is Active' checkbox is selected, and click on [Save] to save the contact details.

*Please note*, the identification document number (e.g. passport) will automatically be encrypted by the system once the application form is saved and submitted. The document will remain encrypted even if the application is sent back for re-draft.

At least one contact must be marked as a MoU or/and as Signatory, or the application will not be submitted.

- The ‘MoU’ box should be ticked if the contact is the legal signatory of the Grant Agreement and the project’s reports. Signatory contacts will be generated in the Grant Agreement upon projects’ approval. Only one person from the partner’s organization can sign the Grant Agreement, however, implementing partners can provide several MoU...
options in the due diligence application.

- The ‘Signatory’ box should be ticked if the contact is the legal signatory of financial reports of the project.

- A Signatory/MoU contact doesn’t need to be identified as such multiple times. Ticking the Signatory/MoU box once is enough for the system to identify the contact as Signatory/MoU.
*Please Note:* Collected information enables OCHA to confirm the identity of the implementing partners representatives, which is a legal requirement of the Grant Agreement. However, all information saved on GMS are subject to UN/OCHA – Data confidentiality policy. To know more about this policy, please refer to the UN website privacy notice, the UN website Terms of Use, and OCHA’s draft Data Responsibility Guidelines.
Office Locations

Field Descriptions:

- **Address and Contact Details for Organization Headquarters**: Click on [Add] to provide the address and contact details for the Organization Headquarters.
- **Address and Contact Details of Main Office**: Click on [Add] to provide the address and contact details of the Organization’s main office.
- **Address and Contact Details for Sub Office**: Click on [Add] to provide the address and contact details for the Organization’s sub-office.

*Please Note*: If registered as an International Organization, Headquarters and Field offices’ locations will be differentiated. However, if registered as a national NGO, and if the Headquarters, Sub office and Main office is the same address, simply enter the address once in one tab, and use the [Copy From] button to duplicate it in the other tabs.

"Add Location" Pop-up Window Details:
For each [Add] button as listed above, upon clicking this button an “Add Location” pop-up window will appear.

- **Copy From**: Should you want to copy an existing location details already created.
- **Fill out the rest of the location details**
- After filling out the location details, please ensure the 'Is Active' checkbox is selected, and click on [Save] to save the location.
Additional Information
### Field Descriptions:

- **Sectors of Operation**: Enter the key areas of expertise, including number of years of experience
- **Geographical Areas of Operation**: Enter the provinces and districts where your NGO currently has operations
- **Annual Budget**: Enter the annual budget of the organization for the last 3 years
- **Donors**: Enter the list of donors of the organization, in the country you are registered in, for the last 3 years
- **Coordination**: Enter your organization's membership of coordination bodies including Clusters / Sector working groups, NGO consortia, etc.
- **Board of Trustees (Add Trustees pop-up window)**: Enter the contact details of your organization's trustees.

### "Add Trustee" Pop-up Window Details:

- **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.

After filling out the contact details, **please ensure the 'Is Active' checkbox is selected**, and click on [save] to save the contact details.
If implementing partners wish to remove trustees’ information, **prior** to the submission of your due diligence application form, click on ✗ next to the contact person's name. To modify an existing trustee's details, click on ✏️.
Should implementing partners wish to remove a contact person after submitting the due diligence, go to the How to update the due diligence application section of this Help Portal and follow its instructions.

- **Due Diligence Documents**

The due diligence documents is the tab where implementing partners can upload all the documents required for the due diligence application. The due diligence application process requires the implementing partners to submit on the GMS:

i) an application form,
ii) a signed and dated due diligence declarations (Annex 3, Due Diligence Declarations),
iii) a signed and dated declaration of any previous or pending legal processes or investigations,
iv) a signed and dated declaration of non support for a United Nations designated entity,
vi) a signed and dated declaration of recognition and support of/for and United Nations compliance activity,
vi) a signed and dated declaration of conflict of interest,
vii) a signed and dated declaration of accurate information,
viii) An official bank statement or bank certification letter for provided bank account, issued with the bank's letterhead or official seal,
ix) Bank information details (for implementing partners applying for the first time or when banking details need to be updated, Third Party and banking information form) [Bank Information is to be uploaded in the Bank Info Tab of the due diligence application form, see section below], and
x) identification documents (copy of passport or Identity Card) and curriculum vitae (CV) of the legal representative of the organization.

To effectively submit their due diligence application, implementing partners must: (step 1) download the documents' templates; (step 2) follow the instructions on the template; (step 3) fill it out; and (step 4) upload the signed documents onto the Documents tab.

This tab is composed of two blocs: required documents and additional documents.
Required Documents
Required Documents

Step 1: Download the documents’ templates.
You can download the document’s template either by clicking on the [download template] button, located on the right hand side of each document’s line, or you can download all templates at once by clicking on the [Download All Files] button located on the right hand side of the screen.

Step 2 : Fill the template in offline and save the document on your desktop.

Step 3 : Upload the signed and dated document onto GMS.

"Upload Document" Pop-up Window Details:

- **Template name**: By default, the name of the downloaded template.
- **Comments**: Write comments about the file.
- **Choose document / Choose a file**: click on this button to select the file on your desktop.
- **Upload File**: click on this command to upload the file into GMS.
Step 4: Repeat the process with all other required documents.

Additional Documents
Depending on the allocation, additional documents can be required by the country office. The process is the same than for required documents: (step 1) select the document you wish to upload from the drop-down list and download the template; (step 2) fill it in offline; and (step 3) upload the signed document onto GMS. (step 4) Repeat this process for all additional documents.
Step 1: Download the template.

Step 2: Fill the template in offline and save the document onto your desktop.

Step 3: Upload the signed and dated document onto GMS.
"Upload Document" Pop-up Window Details:

- **Template name**: By default, the name of the downloaded template.
- **Comments**: Write comments about the file.
- **Choose document / Choose a file**: Click on this button to select the file on your desktop.
- **Upload File**: Click on this command to upload the file into GMS.

Step 4: Repeat the process with all other additional documents.
- **Bank Info**

The 'Bank Info' tab is the section where implementing partners can submit their bank information.

Click on [Add New Bank Info] to access the bank info form and fill all mandatory fields. Mandatory fields are marked with an asterisk. Don’t forget to save your changes.
Field Descriptions:

Beneficiary Banking Information:

- **Bank Name**: Name of the Beneficiary bank.
- **Bank ID**: Bank ID associated with the Beneficiary bank.
- **For US banks only use whether**: (9 digits):
  - ACH (checkbox): Provide the Automated Clearing House (ACH) code.
  - Fed wire (checkbox): Provide the Fedwire bank code.
- **SWIFT code**: 8 or 11 characters (required for overboard payments): Provide the unique identification code.
- **Branch ID**: (for Canadian Banks only) 9 digits routing no: Provide the branch ID.
- **Branch Name**: Name of the bank's branch name.
- **Street Address**: Name of the street where branch is located.
- **City**: Name of the city where the branch is located.
- **State / Province**: Name of the State/Province of the bank branch.
- **Postal Code**: Postal code of the bank branch location.
- **Country**: Name of the country where the branch is located.

**Beneficiary Bank Account Details:**

- **Account Name (name as it appears on bank account)**: Name as appearing in the account name of the bank.
- **Bank Account Currency (radio buttons: US$ or Other)**: Select the bank account currency.
- **Bank Account No (Enter with no punctuation, no dots, dashes or spaces)**: Provide the bank account number.
- **Account Type (radio buttons: Checking or Saving)**: Select the Account type.
- **IBAN (European Banks)**: Provide the International Bank Account Number.
- **Transit Code (5 digit) Canadian Banks**: Provide the Transit code.
- **Sort Code (6 digits) UK Banks**: Provide the Sort Code.
- **BSB code (6 digits) Australia Banks**: Provide the BSB code.

**Bank Information for Intermediary / Correspondent Bank (if applicable):**

- **Name of Bank**: Provide the name of the bank.
- **CTN country of bank**: Provide the CTN country of the bank.
- **Bank Account No**: Provide the bank account number.
- **Swift Code**: Provide the unique identification code.
- **Special instructions**: Provide special instructions, if applicable.

*Please note*: your organization name should match the organization name on your bank account. If the organization name doesn't match the name that appears on the bank account, upload a letter by the bank/NGO HQ confirming the link between organization name and bank account. Contact HFU for further details.

**Multiple Bank Information**

To add multiple bank information, click on [Add New Bank Info]. Once you have entered all the relevant bank information, press [Save].

A list of your multiple bank information will appear beneath the [Add New Bank Info] button.
Modify Bank Information
This tab needs to be filled with up-to-date banking information. After the submission of this due diligence form, if any changes to your organization's bank information is required, please contact your HFU, and follow the instruction under the How to update the due diligence form section of the Help Portal.

If the due diligence form has not been submitted yet, implementing partners can Edit, Copy or Delete the Bank Info, by clicking on desired action hyperlink on the right hand side of the line of the desired bank info. Once you have modified according to your desired action, remember to press [Save].

* Please Note: “Non Editable due to voucher attached” means that once bank information tied to an attached voucher has been attached, it cannot change and you will need to contact HFU to edit bank info if need be.

- Due Diligence Checklist

The Due Diligence Checklist enables the user to ensure that no requirement has been overlooked or forgotten. Check all the boxes on the left hand side to verify that all sections have been filled in correctly, and press [Save].
• **Application Form Tracking**

After submitting the due diligence application, the application form tracking will record its every stage, from submission to approval.
SUBMITTING THE DUE DILIGENCE APPLICATION FORM

Once all tabs have been filled out, click on [Save and Stay] to ensure all updates have been saved, and submit your due diligence by clicking on the [Submit Due Diligence / Application Form] button.

*Please Note:* Tabs that are in Red indicate that there are still required fields within that tab that need to be filled in. You will not be able to save the contents within the tab until all required fields are entered. Tabs that are in Blue indicate that all required fields within the tab have been filled out and the contents within the tab has been saved.

How to review due diligence applications (HFU only)  Top
ACCESSING THE DUE DILIGENCE APPLICATION

To review Due Diligence applications, go to **Risk Assessment > Due Diligence > Application Form**

This search bar enables you to search for due diligence applications. Apply filters and click ‘Search’ to display results.

**Fields description:**

- **Agency**: select the partner which due diligence application you wish to access
- **Organization Type**: select the organization type of the partner which due diligence application you wish to access
- **Status**: Select the status of the due diligence application you wish to access
- **Partner risk**: Select the risk of the partner which due diligence application you wish to access

The search results appear below. Identify the implementing partner and click on ‘Edit’ on the right hand side of its line to access its due diligence application in a read-only format that you can review.
If no filters are applied and you click [Search], the platform will display all due diligence applications.
REVIEWING THE DUE DILIGENCE APPLICATION
When reviewing the due diligence application, please ensure that all the following requirements per tab are met:

**Application form tab:**

- All mandatory fields are correctly filled out
- Name and contact details of the highest ranking official given are for the Country Director or equivalent – highest ranking official in the country
- Name and contact details of the legal representatives of the organization given are for the most senior person of the organization (Executive Director or equivalent), with delegated authority to sign Grant Agreements. This person can be the same as the highest ranking official in the country. This section is particularly important because the
legal representative will automatically appear in the Grant Agreement as the authorized signatory on behalf of the implementing partner.

- Address and contact details provided are correct, and are given for all the field/sub offices of the organization in the country
- Sufficient details are provided for Sectors of operation, Geographical areas of operation, and Coordination, and they match with the HFU/OCHA Country Office knowledge. If in doubt, please check with relevant clusters/sectors.
- Annual budget and donors are provided and broken down for the past 3 years
- All names and titles of Trustees are listed, and a short bio for each one is provided, at least for key positions (Chair, Administrator, Treasurer)

**Documents tab:**

- All five Due Diligence declarations have been completed and signed by the person listed as the Legal Representative of the organization. They match exactly the templates provided and no changes have been made.
- A short bio AND the photo page of the identity document of the Legal representative of the organization have been duly submitted.
- The bank statement is duly submitted and the bank account name matches exactly the name of the organization as registered on GMS. The bank statement should be on the bank's letterhead, should be signed and stamped by an official of the bank, and should not be older than 2 months. Electronic bank statements can also be accepted.
- If the bank account name is not the name as the one under which the organization registered on GMS, a letter by the bank is also uploaded in addition to the bank statement certifying that the bank account in the statement belongs to the organization under the name registered in the GMS. The letter should be on the bank's letterhead, signed and stamped by an official of the bank.
- UN Agencies requesting fund transfers to an account other than the Headquarters bank account should provide written approval from the Agency's Headquarters office and a bank statement on the bank's letterhead, signed and stamped by an official of the bank, and not older than 2 months.

**Bank information tab:**

- All the mandatory fields marked with an asterisk are duly filled out
- Depending on the country of origin of the bank, all necessary fields are appropriately filled out.
- Complete details of the intermediary bank are provided (if necessary)

**APPLICATION FORM ADMIN**

The Application Form Admin tab enables HFU officers to send back for re-draft only a selection of the due diligence application form’s tabs.

To do so, the system allows HFU to lock the tabs that do not require changes, and allows editing to the tabs which do require changes.

To lock the tabs, go to the Application Form Admin tab, on the right-hand side of the due diligence application form.

All tabs of the application form are listed. To lock them, tick the corresponding boxes on the left-hand side, and click on “Change Lock Status”.

Once the application form is sent back for re-draft, the locked tabs will be visible by the implementing partner, but not editable.
APPROVAL, REJECTION OR RE-DRAFT OF THE APPLICATION

After reviewing the due diligence application, you can either:

- Approve the due diligence application,
- Reject the due diligence application,
- Request the implementing partner to re-draft the due diligence application *(if you would like the implementing partner to access and edit only a selection of the application tabs, please use the Application Form Admin tab)*
* Please Note: For any questions on reviewing due diligence applications, please contact your FCS Desk Office.

APPLICATION FORM TRACKING

The application form tracking tab records every stage of the due diligence application, from submission to approval.
How to update the due diligence application after submission

Once the due diligence application has been submitted, the form is no longer editable and appears as ‘read only’. If necessary, the form can be updated under two circumstances:

- After submission, HFU did not approve the application, and requested the implementing partner to re-draft the due diligence application form. The application form will automatically revert from being ‘read only’ to editable. Implementing partners should follow the HFU’s recommendations and submit the due diligence application a second time.
- After submission, HFU approved the due diligence application. However, the implementing partner wants to change its due diligence information. They must contact their country HFU which will reactivate the application form. The implementing partner can then fill in the new information and submit the new draft for review to HFU.

Once the HFU sends the request for re-draft, the form is editable again. Different protocols apply, depending on the type of information the implementing partner wishes to edit:

BANK INFORMATION

To edit the bank information, there are two possibilities:
a) If the bank information has not been used on a project, i.e. bank information is not tied to an attached voucher, the bank info is deletable and editable.

**Step 1**: Click on ‘edit’. The line appears in green.

**Step 2**: Edit the info and save the changes.

**Step 3**: Re-submit the due diligence application to HFU.

b) The bank information have been used on a project, i.e. bank information is tied to an attached voucher. Then, bank info can be deactivated, but neither deleted nor edited.

**Step 1**: Deactivate the bank info line you wish to remove. The line appears in yellow.

**Step 2**: Add a new bank info by clicking on the [Add new bank info] button

**Step 3**: Save the changes.

**Step 4**: Re-submit the due diligence application to HFU.

*Please note*, If bank info has been used on a project, it needs to be changed not only in the due diligence application but also in the Grant Agreement of the project.
CONTACT INFORMATION

**Step 1:** If a contact person needs to be changed, first deactivate the previous contact person's profile, by clicking on the edit icon.

**Step 2:** Within the 'Edit Contact' pop-up window, uncheck the 'Is Active' checkbox to deactivate this contact person from your due diligence form.

**Step 3:** Then proceed to add your new contact person, by clicking on the [Add Contacts] button and filling out the person's contact information. Don’t forget to check the box ‘Is Active’ of the new contact and save it.
Step 4: Re-submit the due diligence application to HFU.

*Please note:* The system now allows for the deactivation of contacts in the due diligence application form, even if the contact was stated in a Grant Agreement (GA).