



## Field Ready Partner Due Diligence Review Procedure

### Introduction:

In order to become eligible partner where there is an exchange of funding resources, an entity has to participate in this due diligence review process. Its main aim is to ensure that Field Ready is equipped with the necessary information about the capacity of partners, and is able to identify the most suitable modalities and scale of assurances that can be applied to the management of funding granted to them.

The present form contains a checklist and declarations that is an essential part of this procedure. To complete the assessment and obtain eligibility, all sections must be completed satisfactorily and submitted along with the required attachments. After a review of documents submitted, the entity will be informed on whether their application will proceed. Additional information may be needed should the documentation provided by the prospective partner not be deemed sufficient.

### Declaration of recognition and Support of/for any Field Ready compliance activity(ies)

I declare as the representative of           [Organization Name]           that I/we recognize that by completing and submitting this application we openly agree that Field Ready will investigate the background, competence and integrity of our organization.

I further declare as the representative of           [Organization Name]           that I/we recognize the importance of external / third party monitoring and compliance activities of agreements that have been reached with Field Ready. Such monitoring and compliance activities are essential to improve transparency and accountability and will be supported<sup>1</sup> 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 Field Ready may result in investigation, suspension, or termination of the contract.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> 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.

## a. Due Diligence/Risk Assessment Application Form

Entity Details	
Organization name (in full):	
Organization acronym:	
Organization website URL:	
Registration number (e.g., US EIN or UK Charity No.):	
Organization type:	
Date of submission of Application Form, Application Checklist and Declaration, and supporting documents:	

Contact information	
<b>Contact details of focal person of this eligibility application</b>	Contact Name: Contact Title: Work address: Country: Email Address: Phone number (s): Fax number (s):
<b>Name and contact details of highest ranking official</b>	Contact Name: Contact Title: Work address: Country: Email Address: Phone number (s): Fax number (s):
<b>Name and contact details of the legal representative of the organization</b> (person ultimately accountable within the organization)	Contact Name: Contact Title: Work address: Country: Email Address: Phone number (s): Fax number (s):

If there is a parent organization (or otherwise controlled by another entity), please provide the details here:

**References:** Please provide references from third party organizations (board, staff, or family member is not appropriate). Possible reference providers include: implementing partners, donors and international organizations who know your work, capacity and can speak to your integrity as an organization.

<b>Reference #1 (e.g., donor)</b>	Address: Country: Email Address: Web site: Phone number (s): Fax number (s):
<b>Reference #2</b>	Address: Country: Email Address: Web site: Phone number (s): Fax number (s):
<b>Reference #3</b>	Address: Country: Email Address: Web site: Phone number (s): Fax number (s):

### Additional Information

<b>Sectors of Operation</b> (Please list sectors and sub-sectors of current humanitarian/development programming, followed by any additional sectors/sub-sectors of expertise, including number of years of experience for each sector)			
<b>Geographical Area(s) of Operation</b> (Please list the States/Regions, and towns/cities where your organization currently has operations)			
<b>Annual Budget</b> (Please indicate the annual budget of the organization for last 3 years)			
<b>Donors</b> (Please list the donors to current projects, including governments, UN agencies, Funds, NGOs or others)			
<b>Coordination</b> (Please describe the organisation's membership of coordination bodies including Clusters/Sectors, working groups, NGO consortia, etc.)			
<b>Governance</b>	<b>Contact Name</b>	<b>Contact Title</b>	<b>Brief Bio</b>
<b>Board</b> (Please provide the list of members of the Board of Trustees/Board of Directors with short bios)	1. <b>Name 1</b> 2. <b>Name 2</b>		

### Comments for Application Form

## b. List of required documents

### 1. Required/Mandatory documents

Due diligence declarations and other required documents	
<input type="checkbox"/> Most recent Bank Statement or a letter signed by the bank holding a US\$ account	Attach a Bank Statement from within the past year that clearly states the name of the bank, the name of the organisation and the bank account number. The name of the organisation on the account must match the name of the organisation registering for eligibility. If the name of the account holder differs from the name of the organisation, a letter from the bank is required that states that the account is held by the organisation.
<input type="checkbox"/> Identity Documents	Field Ready requires information on the legal representative of the organization (i.e. Secretary General or Executive Director for international NGOs). Please upload a biography or curriculum vitae (CV) of the legal representative of the organisation, together with a copy of the representative's National Identity Card or National Passport (1st page only).
<input type="checkbox"/> Declaration of any Previous or Pending Legal Processes or Investigations (signed copy); in case of previous or pending legal processes, please provide detailed explanation and relevant supporting documentation (Appendix A)	<ol style="list-style-type: none"> <li>1. Please print out all declaration annexed to this document</li> <li>2. Complete the form, sign and dated, scan as individual files, please ensure relevant file name (organization abbreviation and Appendix X).</li> </ol>
<input type="checkbox"/> Declaration of Conflict of Interest (signed copy) (Appendix B)	
<input type="checkbox"/> Declaration of Organizational Alignment with Field Ready (signed copy) (Appendix C)	
<input type="checkbox"/> Declaration of Counter/Anti-Terrorism Compliance (signed copy) (Appendix D)	
<input type="checkbox"/> Declaration of Accurate Information (signed copy) (Appendix E)	
<input type="checkbox"/> National registration document and Memorandum of Understanding with the local authority where the organization/project is based	Please provide a valid government registration and approval documents
<input type="checkbox"/> Articles of Incorporation, Charter and By-Laws	Please submit evidence of common entity formation and governance.
<input type="checkbox"/> Organogram of the organization showing positions and names of staff members (please include global management structure if relevant).	Please provide organogram of organisation structure and also HQ for organization

- 2. Organizational capacity statement:** Please provide a statement in space provided here that details your organization's capacity to manage and successfully implement the project currently under discussion with Field Ready (include size of staff, competencies, previous experience, systems to be used, etc.):

Additional documents (recommended to support application)	
<input type="checkbox"/> Governance documents: constitution, governance policies	Please provide constitution or equivalent document, governance policies
<input type="checkbox"/> Organization's mission statement, strategic framework, and/or logical framework	Please provide supporting documents (e.g. organization's strategic framework. Logical Framework, mission statement, etc.
<input type="checkbox"/> Annual reports (global)	If available
<input type="checkbox"/> Organizational policies	Provide policies related to employment practices and fairness in the workplace (e.g., equal opportunity, gender/PSEA and non-discrimination)
<input type="checkbox"/> Annual workplans and budgets (country-specific only)	If available
<input type="checkbox"/> Reports from a) external audits of financial statements for the last 3 financial years, and b) external audits of projects completed in the last 12 months	If applicable and available
<input type="checkbox"/> Reports from external and internal evaluations, reviews and studies undertaken in the last 3 years by the organization	If applicable and available
<input type="checkbox"/> Project narrative reports from up to three projects	Provide up to three sample project narrative reports (interim or final) for three projects listed in grants table provided in section 1 above, if available
<input type="checkbox"/> List the organisations and contact details of previous and current implementing partners for the last year, and projects implemented in collaboration with each partner (country-specific only)	Provide list the organisation name and contact details of previous and current implementing partners
<input type="checkbox"/> Reference and/or letters of recommendation (from donors, partners, government, etc.)	Please provide a scanned copy of reference and/or letters of recommendation from donors/partners/government, etc., if any.

**3. Systems, policies and procedures** - to demonstrate capacity to manage and successfully implement a project of the scope and size under discussion with Field Ready, please provide evidence of systems, policies and procedures. Examples may include manuals that your organisation follows such as:

- Procurement and logistics policy
- Human resources policy (including PSEA)
- Finance and administration policy
- Programme planning policy
- Monitoring and evaluation policy
- Security, safety and access policy
- Child protection policy
- Gender, HIV/AIDS, and/or Environment policy
- Sub-granting policy (or equivalent documents describing systems for capacity assessment, proposal selection, financial and programmatic monitoring and reporting of Implementing Partners)
- Code of conduct (signed by an authorized official of the organization)

**Banking Information**

Beneficiary Banking Information			
Bank Name		Bank ID	
For US banks only use whether: (9 digits)	<input type="checkbox"/> ACH <input type="checkbox"/> Fed Wire	SWIFT code: 8 or 11 characters (required for overboard payments)	
Branch ID: (for Canadian Banks only) 9 digits routing no.		Branch Name	
Street Address			
City		State/Township	
Postal code		Country	
Beneficiary Bank Account Details			
Account Name: (name as it appears on bank account)		Bank Account Currency	<input type="checkbox"/> US\$ <input type="checkbox"/> Other (Please Indicate)
Bank Account No.: (Enter with no punctuation, no dots, dashes or spaces)		Account Type:	<input type="checkbox"/> Checking <input type="checkbox"/> Saving
IBAN (European Banks)		Transit Code (5 digit) Canadian Banks	
Sort code (6 digits) UK Banks		BSB code (6 digit) Australia Banks	
Bank Information for Intermediary / Correspondent Bank (if applicable)			
Name of Bank:		Address of Bank	
Bank Account No.:		Swift Code:	
FED WIRE NO. (US BANKS ONLY)			

Comments for Bank Form

**4. Other financial accounts:**

Please list all other financial institutions where the organization currently holds an account.
NB: These will also be checked with the Treasury’s database, as per the US Patriot Act Grantmaking Guidelines.

## 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 Field Ready. Failure to comply with this Declaration of any Previous or Pending Legal Processes or Investigations may be considered cause for removal as a candidate for selection of contracts.

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

I declare as the representative of \_\_\_\_\_ *[Organization Name]* \_\_\_\_\_ the following elements are true:

- A. The organization / company that I represent is not bankrupt, or being wound up, or whose financial affairs are presently being administered by a court;
- B. The organization / company that I represent has not entered into an arrangement with creditors and has suspended business activities with entities that are in any analogous situations arising from a similar procedure under national laws and regulations;
- C. The organization / company that I represent, or any personnel / owner of the organization / company is not presently in any legal proceedings, or disputes or investigations by or with a regulatory body, contracting authority, United Nations entity, criminal justice or fiscal agency;
- D. The organization / company that I represent has not been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for corruption;
- E. The organization / company that I represent has not been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for fraud;
- F. The organization / company that I represent has not been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for money laundering;
- G. The organization / company that I represent has not been the subject of a conviction under domestic, or foreign law, or the subject of an investigation for participation in a criminal organisation.

Furthermore, I recognize that provision of false information will be due cause for removal as a candidate for selection in the contracting process.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix B

# Declaration of Conflict of Interest

### 1. Definition:

Conflict of Interest - A situation in which professional or objective judgment, or behaviour concerning a primary interest (in this case the integrity of Field Ready) 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).

### 2. Filling the Declaration of Conflict of Interest:

This declaration of Conflict of Interest shall be retained in a secure file at Field Ready for the duration of three years after completion of this procedure, after which it will be destroyed under the direction of Field Ready.

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

### 3. Failure to Complete 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 Field Ready. Failure to comply with this Declaration of Conflict of Interest may be considered cause for removal as a candidate for selection of contracts.

### 4. Field Ready Response to the Declaration of Conflict of Interest

A disclosure made by an individual 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).

An individual 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.

The individual 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 a conflict of interest or could create a substantial perception of a conflict of interest, the individual will be asked to withdraw voluntarily from the contracting process or from the service that he or she currently performs on behalf of Field Ready.

Should the individual decline to withdraw, the matter will be escalated to the senior management of Field Ready. The individual shall have the opportunity (by letter, teleconference, or other agreed upon means) to state the grounds upon which he or she believes that the Director of Field Ready 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 individual's contract application or service to Field Ready.



**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, own or have a financial interest in (brief description):

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

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

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I, \_\_\_\_\_ *[Name of authorized official of the applicant organization, signed below]* \_\_\_\_\_, have read, understood and agree to the above statement. I have fully disclosed any potential conflicts of interest,

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

**1. Explanation:**

It is important that Field Ready's partners understand, respect and follow universal norms and standards. Completion of this Declaration is a requirement for selection and agreement of an exchange of resources with Field Ready. Violations of this agreement will result in termination of the partnership with Field Ready.

**2. Declaration of Organizational Alignment with Field Ready**

Humanitarian principles: The  [Organization Name]  already or is fully able to subscribe to common humanitarian principles including humanity, neutrality, impartiality and independence (found in a number of initiatives, most notably the Core Humanitarian Standard). If the organization is not explicitly an aid, development or humanitarian organization, nothing in the organization's mandate, charter, aims, policies and practices prohibits the organization from deviating from these.

Safeguarding/Protection: The  [Organization Name]  does its utmost to provide an environment that ensure a safe environment that is free from harassment, sexual abuse and exploitation and other forms of behavior that violate protection norms. This extends to all staff members, beneficiaries and the local populace alike. It includes the requirement that knowledge of issues that violate safeguarding of any persons, oblige mandatory reporting. The organization has written policies in place to which all staff members agree about this critical issue (or is willing to sign Field Ready's robust policies).

Non-discrimination: The  [Organization Name]  does not discriminate in its recipients of services on the basis of a person's race, political orientation, religion, gender, sexual orientation, age, national origin, ethnicity, ancestry, marital status, veteran status, or mental or physical disability or any other status prohibited by applicable law. Field Ready will not support any program which requires exposure, adherence to, or conversion to any religious doctrine in order to be a beneficiary of the program.

Limits to activities: Under the laws and customs applicable to the organization or under the organization's governing instruments, the organization does not:

- engage to any substantial extent in activities that are not for charitable, scientific or educational purposes; or
- engage to any substantial extent in attempts to influence legislation; or
- participate or intervene, directly or indirectly, in any political campaign on behalf of, or in opposition to, any candidate for public office.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

## Declaration of Counter/Anti-Terrorism Compliance

### 1. Explanation:

Completion of this Declaration of Counter/Anti-Terrorism Compliance is a requirement for selection and award of agreements with Field Ready. Failure to comply with this Declaration may be considered cause for removal as a candidate for selection of contracts.

### 2. Declaration of

The     [Organization Name]     does not directly or indirectly engage in or support any terrorist activity. Neither the     [Organization Name]     nor any employee or director of the     [Organization Name]     is a designated terrorist entity on any United Nations List including (but not limited to) the United Nations List Pursuant to relevant United Nation Resolutions<sup>2</sup>. Furthermore, the     [Organization Name]     does not distribute funds to benefit, directly or indirectly, any individual or organization that is engaged in, or supportive of terrorism.

Further, by signing below, I certify that the     [Organization Name]     is in compliance with all statutes, Executive orders, and regulations restricting or prohibiting U.S. persons from engaging in transactions and dealings with countries, entities, or individuals subject to economic sanctions administered by the U.S. Department of the Treasury's Office of Foreign Assets Control. The organization named in this application is aware that a list of countries subject to such sanctions, a list of Specially Designated Nationals and Blocked Persons subject to such sanctions, and overviews and guidelines for each such sanctions program can be found at <http://www.treas.gov/ofac>.

Should any change in circumstances pertaining to this certification occur at any time, the organization will notify Field Ready immediately.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_

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<sup>2</sup> Relevant United Nation Resolutions include, but are not limited to, Security Council Resolutions 751 (1992) and 1907 (2009); Resolutions 1267 (1999) and 1989 (2011); Resolution 1518 (2003); Resolution 1521 (2003); Resolution 1533 (2004); Resolution 1572 (2004); Resolution 1591 (2005); Resolution 1718 (2006); Resolution 1737 (2006); Resolution 1970 (2011) and Resolution 1988 (2011). Relevant United Nations Resolutions may be updated or revised over time but will not impact the validity of this Declaration.

## Appendix E Declaration of Accurate Information

I, \_\_\_\_\_ *[Name of authorized official of the applicant organization, signed below]* \_\_\_\_\_, certify that the information supplied in the documentation listed above 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 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 Field Ready immediately of any changes in the organization's legal, financial, technical or organisational 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 Field Ready, and/or any other entities designated by Field Ready to conduct the Capacity Assessment, to the information that is required to perform their duties.

Signed: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Date: \_\_\_\_\_