Due Diligence

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(via Webex recording), 2 February 2018
www.unocha.org
Grant Management System (GMS)

- On-line tool to manage full programme cycle:
  - due diligence application
  - proposal submission → review → agreement → revision → reporting → close out
Accessing GMS (for registered users)

- Go to http://gms.unocha.org/
- Click on Global CBPF System
- Select the Country: Nigeria
- Log in
GMS – Home Page
Due Diligence Process

- Due Diligence Form
  1. Application Form
     a) Headers
     b) Contact Details
     c) Office Locations
     d) Additional Information
  2. Due Diligence Document
     a) Required Documents
     b) Additional Documents
  3. Bank Info

- Submitting Due Diligence
- Due Diligence approved
Due Diligence Form

Navigation: Home Page > Risk Assessment > Due Diligence > Application Form
1. Application Form

Note: Click on the tabs to switch between the three pages of the Application Form.

- **APPLICATION FORM**: basic organizational information
- **DOCUMENTS**: Upload documents
- **BANK INFORMATION**: Bank related information for project payment
Application Form

a) Header

Note: Save often by clicking on [Save & Stay]
Application Form

b) Contact Details

CLICK TO ADD LEGAL REP

CLICK TO ADD HIGHEST RANKING OFFICIAL

CLICK TO ADD FOCAL PERSON HQ

CLICK TO ADD FOCAL PERSON

LIST OF ACTIVE SIGNATORIES WILL BE AUTOMATICALLY GENERATED
Application Form

Note: Red asterix fields are mandatory.
Application Form

How to edit a contact:

Edit:

Delete
Application Form

c) Office Locations
**Application Form**

d) Additional Information

<table>
<thead>
<tr>
<th>Sectors of Operation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Geographical Area(s) Of Operation</td>
<td></td>
</tr>
<tr>
<td>Annual Budget</td>
<td></td>
</tr>
<tr>
<td>Donors</td>
<td></td>
</tr>
<tr>
<td>Coordination</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Board of Trustees</th>
<th>Contact Name</th>
<th>Contact Title</th>
<th>Bio</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr Lorem Ipsum</td>
<td>member</td>
<td>professor</td>
<td></td>
</tr>
</tbody>
</table>
Application Form
2. Due Diligence Document

Click on the second tab to proceed with next step. Do not forget to Save and Stay.
### Required Documents

<table>
<thead>
<tr>
<th>Required Document</th>
<th>Status</th>
<th>Download Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bank Statement</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Identity Documents</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Declaration of any Previous or Pending Legal Processes or Investigations</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Declaration of Conflict of Interest</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Declaration of Non-Support for a United Nations Designated Entity</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Declaration of recognition of UN compliance activity</td>
<td>No file uploaded</td>
<td></td>
</tr>
<tr>
<td>Declaration of Accurate Information</td>
<td>No file uploaded</td>
<td></td>
</tr>
</tbody>
</table>

Mandatory fields are marked with an asterisk (*). Always save your information before changing tabs.
Due Diligence Document

a) Required documents:

- Declaration of recognition of UN compliance activity
- Declaration of Accurate Information
- Bank Statement
- Valid National Government Registration
- Identity documents of legal representative
- Other documents
## Downloading templates

<table>
<thead>
<tr>
<th>Required documents</th>
<th>No file uploaded</th>
<th>Download Template</th>
</tr>
</thead>
<tbody>
<tr>
<td>Declaration of recognition of UN compliance activity (Appendix D)</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
<tr>
<td>Declaration of Accurate Information (Appendix E)</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
<tr>
<td>Bank Statement - Guidance</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
<tr>
<td>Valid National Government Registration</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
<tr>
<td>Identity documents of legal representative</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
<tr>
<td>Other Documents</td>
<td>No file uploaded</td>
<td>Download Template</td>
</tr>
</tbody>
</table>
Appendix E
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 [Country] 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 OCHA [Country], and/or any other entities designated by OCHA [Country], to conduct the Capacity Assessment, to the information that is required to perform their duties.

Signed: .............................................................................................................

Name: ..............................................................................................................

Position: ...........................................................................................................

Date: ..............................................................................................................
Due Diligence Document

Uploading required documents

**Required documents**

- Declaration of recognition of UN compliance activity (Appendix D)
- Bank Statement - Guidance
- Valid National Government Registration
- Identity documents of legal persons
- Other Documents
- TESTING-Declaration of Accurate Information

**Additional documents**

- Document template: Declaration of any Previous or Pen

**Upload Documents**

- Template Name:
- Comments:

Note that the file types allowed in the system are .docx, .pdf, .doc, .jpg, .gif, .xls, .xlsx, .ppt, .pptx, .zip

**Upload Document**

- Click to browse for doc
- Click to upload
**Due Diligence Document**

Repeat the process

<table>
<thead>
<tr>
<th>Required documents</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Declaration of recognition of UN compliance activity</td>
<td>No file uploaded</td>
</tr>
<tr>
<td>(Appendix D)</td>
<td></td>
</tr>
<tr>
<td>Download Template</td>
<td></td>
</tr>
<tr>
<td>Declaration of Accurate Information (Appendix E)</td>
<td>No file uploaded</td>
</tr>
<tr>
<td>Bank Statement - Guidance</td>
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</tr>
<tr>
<td>Download Template</td>
<td></td>
</tr>
</tbody>
</table>
b) Additional documents

- Reference letters
- Policies and manuals
- Mission Statement
- Annual Reports
- … (varies from country office to an other)
Due Diligence Document

Uploading additional documents
3. Bank Info

Click on the third tab to proceed with next step. Do not forget to Save and Stay.

Click on [Add New Bank Info] to expand field
4. Due Diligence Checklist

Click on the fourth tab to proceed with the last step. Do not forget to Save and Stay.
Submitting Due Diligence

When all required information has been inserted into FMS, tabs will no longer appear with a read line.

When ready to submit the Due Diligence application, click on [Submit Due Diligence]
Due Diligence approved

Once the Due Diligence Form has been submitted, HFU will review the form and inform the partner of the outcome of the Due Diligence.
Due Diligence approved

If a partner needs to change its Due Diligence once it has been approved, they must contact their country HFU.

Note: bank information cannot be changed if has been already used in a project.
Help portal: https://gms.unocha.org/support

GMS Support Team: gms-support@un.org