

Due Diligence and Internal Capacity Checklist - 2020

In order to become eligible to apply for funding from the Country-based Pooled Funds (CBPFs), interested NGOs have to participate in a Capacity Assessment process whose main aim is to ensure that the Fund has the necessary information about the capacities of the non-governmental partners that can access funding.

The Application Checklist is part of the NGOs submission for the capacity assessment. An assessment of an NGOs' capacity will start upon receipt of the completed Checklist below together with as many of the documents available in electronic form.

Please read the instructions and all documents carefully to avoid delays.

List of Documents to Submit – TICK BOX FOR DOCUMENTS SUBMITTED

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| Organization Name in English | |
| Organization Acronym in English | |
| Name of the person submitting the documents | |
| Date of submission of the Documents (DD/MMM/YYYY) | |

Due Diligence and Registration:

Duly signed and completed Due Diligence Declarations. *Note: the declarations should be signed by the Legal Representative or legally authorized person to represent the organisation:*

- Declaration of any Previous or Pending Legal Processes or Investigations; in case of previous or pending legal processes, please provide detailed explanation and relevant supporting documentation
- Declaration of Non-Support for a United Nations Designated Entity
- Declaration of Recognition and Support of/for any United Nations Compliance Activity (ies)
- Declaration of Conflict of Interest
- Declaration of Accurate Information
- Board Resolution / Power of Attorney, valid copy passports / identify cards and CVs of the legal representative, Board of Trustee members and signatories.
- Copy of the Registration Certificate of the NGO (in Yemen and/or home country for international NGOs).
- Copy of Organisation's bank statement (not older than two months upon the time of submission) or a Bank Letter including the bank name, bank account holder, bank account number, currency, bank credentials and bank representative signatory and stamp unless it is extracted from online banking system.
- Complete information of all Due Diligence information in GMS

Governance and Institutional Capacity:

- Governance Documents (i.e. constitution, mandate, trust deed, Board of Trustees and/or Board of Directors with full list of members)

- Mission statement
- Copy of incorporation of Board of Trustees
- Board and Governance structure
- Organization's organigram
- Organisation staff list, indicating duty station, gender and positions
- Code of Conduct (copy signed by the legal representative)
- Policy on accountability to affected populations (AAP)
- Demonstration on the use of accountability to affected populations (AAP) policy i.e. informing beneficiaries about programs, posting information etc.
- Samples emails or documents demonstrating the use of the organization's feedback and complaint system.
- Anti-fraud and conflict of interest policy
- Prevention of Sexual Exploitation and Abuse (PSEA) policy

Programmatic Response Capacity:

- Annual country reports for the last 3 years, if available
- List of finished and ongoing projects. including funding amount, donor, implementation period, intervention, cluster, geographical area of the last 3 years and current year, providing the information per year (i.e. 2017, 2018, 2019 and 2020).
- Memoranda of Understanding with donors for ongoing projects
- Three References and/or Letters of Recommendations (i.e. donors).
- Reports from external and internal evaluations, reviews and studies undertaken in the last 1-2 years by the organization in the country
- Sample report on recently concluded needs assessments or situation updates (one sample and the most recent one)
- Sample of project proposal that has been implemented by the organisation in the last 1-2 years
- Copy of one internal and one external completed monitoring or review report within the last 1-2 years.
- List and Contact Details of Implementing Partners if the NGO works through them in the last 1-2 years
- Copy of Capacity Assessment tool if one is used for Implementing Partners
- Program Planning Manual
- Monitoring and Evaluation Manual

- Security, Safety & Access Manual
- Gender Policy
- Child Protection Policy
- HIV/AIDS policy
- Environmental policy
- COVID-19 Policy for Staff and Project Implementation

Coordination and Partnership Capacity:

- List of membership: in cluster/s, NGO group or consortia (National level)
- List of membership: in cluster/s, NGO group or consortia (Governorate level)
- A Letter by the concerned Sector/Cluster Coordinator, confirming membership of the organization in the Cluster and indicating the number of 3/4W submissions by the organization to the Cluster in the last 12 months.

Financial Capacity:

- Financial Manual
- Procurement and Logistics Manual
- Administration Manual
- Annual financial statements for the last 1-2 financial years
- Annual work plans and budgets for the last 1-2 years if available
- Finance team list (name, position, education and number of years of working experience in finance)
- Sample financial report of the last six months comparing budget against expenditure
- Updated bank signatory list
- Authorization matrix
- Bank reconciliation of the last three months
- Asset/Warehouse Management Manual
- Asset register
- Human Resources Manual

- Updated staff list as of last month (at the time of submission)
- Recent month payroll
- Leave/absence management database (e.g. screenshot)
- Salary scale
- Insurance policy
- Evidence of double accounting system (for example: screenshot from software)
- Organizational external audit reports from the last three years, (i.e. 2017, 2018, 2019)
- External audits of projects completed in the last 12 months if applicable and available
- Exchange Rate Policy
- Cash Management Policy

Note – Questions and/or comments regarding this form and the capacity assessment process can be addressed to the OCHA Humanitarian Financing Unit (HFU)