**UNOPS due diligence questionnaire**

### Introduction

This questionnaire is part of the due diligence process that UNOPS undertakes for entering into agreements with new partners. This is to be filled out by Partner. Please complete all sections and return to your UNOPS contact point. If a question is not applicable to your organisation, please state N/A.

### 1 General information

| Full legal name |  | |
| --- | --- | --- |
| Legal status | State entity   * Intergovernmental * Financial institution * Government * Other (please specific…) | Non-UN Non-State Entity   * Commercial business * Business association * Academic institution * Foundation or philanthropic * NGO or civil society |
| Address of HQ |  | |
| Address of office for partnership (if different to HQ) |  | |
| Website |  | |
| Brief description of your organisation |  | |
| Legal name of parent / holding company (if applicable) |  | |
| Year of establishment |  | |
| Number of employees |  | |
| Entity/entities with which your organisation must register (and its corresponding registration number) and / or countries or regions in which your organisation is registered, owns property, or is qualified to conduct business | Provide attachment / insert link if available or list | |
| Provide confirmation that the entity is duly incorporated and with which laws your organisation is validly existing under |  | |

### 2 Exclusionary criteria

2.1 The Exclusionary Criteria is determined by the UN Secretariat and serves to protect the core values and principles of the UN. Please fill out the table with Yes or No, and provide more information if applicable.

|  | **Direct involvement of your org in exclusionary criteria** | **Indirect involvement of your organisation through a subsidiary in exclusionary criteria** | **Indirect involvement of your organisation through the parent company in exclusionary criteria** | **Indirect involvement through your organisational distribution / supply chain] in exclusionary criteria** |
| --- | --- | --- | --- | --- |
| *If yes, please indicate the share of annual revenues derived from the activity* | *If yes please indicate the share your company owns in the subsidiary and the share of annual revenues* | *If yes please indicate the share the parent company owns in your company the share of annual revenues* | If yes please indicate the share of annual revenues derived from this activity |
| At any time in the last ten years has violated any United Nation sanction, relevant conventions, treaties or resolutions (www.un.org/sc/committees/) |  |  |  |  |
| At any time in the last ten years, has been included in any UN Sanction list or report |  |  |  |  |
| Manufacture, sale or distribution of controversial weapons or their components, including cluster bombs, anti-personnel mines, biological or chemical weapons or nuclear weapons |  |  |  |  |
| Manufacture, sale or distribution of armaments and/or weapons or their components, including military supplies and equipment |  |  |  |  |
| Replica weapons marketed to children |  |  |  |  |
| Manufacture, sale or distribution of tobacco or tobacco products |  |  |  |  |
| Involvement in the manufacture, sale and distribution of pornography |  |  |  |  |
| Manufacture, sale or distribution of substances subject to international bans or phase-outs, and wildlife or products regulated under the [CITES](https://www.cites.org/) |  |  |  |  |
| Gambling including casinos, betting etc. (excluding lotteries with charitable objectives) |  |  |  |  |
| Manufacture infant formula whose marketing practices violate the International Code for the Marketing of Breast-milk Substitutes |  |  |  |  |
| **UN Global compact principles** |  |  |  |  |
| Violation of human rights or complicity in human rights violations |  |  |  |  |
| Use or toleration of forced or compulsory labour |  |  |  |  |
| Use or toleration of child labour |  |  |  |  |
| Convicted for non-compliance with applicable environmental legislation |  |  |  |  |
| Convicted for corruption in any of its forms (bribery, extortion, etc) |  |  |  |  |

### 3 Governance

3.1 Description of your organisation's ownership structure

|  |
| --- |

3.2 Organizational chart for your organisation

| Insert here |
| --- |

3.3 Please provide information about the individuals involved in the leadership and management of the entity including list of directors (or equiv) and senior executives (most senior staff above board level) at international and national level.

| Name | Title |
| --- | --- |
|  |  |

### 4 Experience

4.1 Is your organisation registered on UNGM?

☐ Yes

☐ No

If yes please provide below details:

| UNGM number |  |
| --- | --- |
| Have you been awarded UN contracts since 2012 and if so with which agencies? |  |

4.2 Does your organisation hold a Long Term Agreement with a UN agency?

☐ Yes

☐ No

If yes please provide below details:

| Service / Product area |  |
| --- | --- |
| UN agency LTA holder |  |

4.3 Does your organisation have a corporate foundation?

☐ Yes

☐ No

If yes, please provide below details:

| Name of foundation and link to website |  |
| --- | --- |

4.4 Has your organisation been involved in any past partnerships or initiatives with any UN agencies, funds and programmes?

☐ Yes

☐ No

If yes, please provide below details:

| UN agency partner | Description of initiative or web link to more information |
| --- | --- |
|  | *If significant number please only include those from last 3 years*. |

4.5 Are there any other collaborations or major partnerships with other donors, international, multilateral or civil society organisations that are relevant to share with UNOPS at this time?

☐ Yes

☐ No

If yes, please provide below details:

| Partner | Description of initiative or web link to more information |
| --- | --- |
|  | *If significant number please only include those from last 3 years* |

### 5 Reputation

5.1 Has your organisation (or its senior management) been involved in any misconduct, controversy or pending litigation, present or pending, in the following areas?

☐ Labour (discrimination at work, occupational health and safety, freedom of association, poor employment conditions…)

☐ Communities (community health and safety, local participation, impact on livelihoods, social discrimination, land right issues, respect of indigenous people’s rights…)

☐ Environment (pollution and climate change, waste management, mistreatment of animals, impact on ecosystems and landscapes, overuse of resources…)

☐ Governance (corruption, tax evasion, fraud…)

☐ Other controversies

| Case description | Associated issues | Associated countries | Your organisation response |
| --- | --- | --- | --- |
|  |  |  |  |

5.2 Please provide confirmation that your organisation has not been, and is not currently before any court, arbitral body, or agency (government agencies, international agencies etc) in relation to any matter relating to malpractice, fraud or similar misconduct

|  |
| --- |

5.3. Has any of your organisation’s subsidiaries, current directors or senior level managers or major suppliers been involved in:

☐ Human rights abuses

☐ Exposure to use of forced labour or compulsory labour

☐ Use of child labour

☐ Sexual abuse, exploitation, discrimination or harassment

☐ Corruption in any of its form, including extortion and bribery

If any of the boxes have been checked, please provide more information:

| Case | Description |
| --- | --- |
|  |  |

5.4 In the past 10 years, has your organisation been publically criticized by

☐ UNOPS/UNDP/UNFPA executive board

☐ UN agencies

☐ Governmental agencies, political parties

☐ Global media or global NGOs

☐ Local media or local NGOs

### 6. Financial

6.1 Does your organisation have the power to own its assets?

☐ Yes

☐ No

6.2 Classification of your organisation by annual revenue/turnover

| ☐ Micro (up to USD 2.5m)  ☐ Small (USD2.5m - 13m)  ☐ Medium (USD13m - 65m)  ☐ Large (USD65m and above) |
| --- |

6.3 Please provide information about the source of funds earmarked for the implementation of the project, programme or partnership activity.

| *Provide information here* |
| --- |

6.4 Is your organisation financial information publicly available and audited?

☐ Yes

☐ No

If yes please provide below details:

| *Link to financial information* |
| --- |

6.5 Does your organisation have any of the following insurances?

☐ Employer’s liability

☐ General/ Public liability insurance

☐ Professional Liability or indemnity insurance

☐ Other (indicate below)

### 7 Disclosures

7.1. Are there any other conditions that might disrupt or dissolve a partnership if one were to result?

☐ Yes

☐ No

If yes, please describe:

|  |
| --- |

7.2. Disclose any other information not otherwise requested above that, in the organisation’s judgment, could be material to a partnership with the UN or that your organisation believes should be considered and reviewed in commencing a partnership.

| *Insert additional information here* |
| --- |

### 8 Declaration

When you have completed sections 1 - 7, please read carefully and sign the declaration below:

I certify that:

* To the best of my knowledge, information and belief, after having made due and careful enquiries, the information that I have supplied above within this questionnaire is correct, complete and not misleading.
* The conclusion of the Agreement does not, and will not, conflict with any law or regulation applicable to the organisation or any agreement or instrument binding upon the entity or on its assets.
* The organisation has not, and shall not, offer any direct or indirect benefit arising from or related to the performance of the Agreement or the award thereof to any representative, official, employee, or other agent of UNOPS or any organization of the UN system.

| Name of organization |  |
| --- | --- |
| Full name and title of signatory duly authorised to sign this questionnaire on behalf of the organisation |  |
| Signature | *Please use digital / scanned signature as this must be returned in PDF format.* |
| Date of signature |  |