Implementation Partner Identification Form

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| Entity Profile |
| Identity Details |
| * 1. Name of Entity   *(Please provide complete name as stated on the Certificate of Incorporation/Registration, do not abbreviate):*   * 1. Date of Incorporation Click or tap to enter a date. Place of Incorporation   2. Date of commencement of business Click or tap to enter a date.   3. Status:   Non-Governmental Organisation  Intergovernmental Organisation  Research institute  University  Foundation  Governmental body  Professional association  other (please specify   * 1. Working language:  English  French  Other (please specify)   2. Countries of operation, presence *(indicate the countries in which your organization operates or has a presence)*   3. Accreditations and/or Certifications  Yes  No   *(from recognized humanitarian and professional entities to assess the entity’s maturity in the relevant area(s))*:  Please note that only **not-for-profit entities legally registered for at least two years may apply** for UNESCO Implementation Partner registration. |
| Address |
| 1. Correspondence address:  2. Contact details: |
| Mandate and Mission |
| 1. Background and Mission Statement (2 000 characters maximum) 2. Primary operational experience *(Areas of specialization and domain; years of experience in each area of specialization)*   (2 000 characters maximum) |
| Governance and Ethics |
| 1. Governance structure ((Please describe the basic governance arrangements and provide a brief description of the entity’s governance structure) (2 000 characters maximum) 2. Reporting lines, oversight and relationship between the entity’s headquarters and its field/local office   (2 000 characters maximum)   1. Organizational chart *(please provide, if available)*  Yes  No   (To understand the level of authority and possible time delays in the Project Partnership Agreement negotiation and signing process, indicate whether the delegated authority for signing Project Agreements is at the headquarters or at local level).   1. Publicly available **annual report** to stakeholders *(please attach; e.g. audited financial statement)*  Yes  No 2. The entity has the following policy or practice or standard code of conduct and safeguards:    * 1. Fraud and Corrupt practices  Yes  No      2. Gender equality  Yes  No      3. Personal data protection and privacy  Yes  No      4. Protection from Sexual Exploitations and Abuse (PSEA)  Yes  No      5. Other- please specify?   If the answer is No, please provide comments (2 000 characters maximum) |
| Funding |
| 1. Your annual budget in USD equivalent:   < 100 000.00  > 100 000.00 and < 500 000.00  > 500 000 and 1 000 000.00  > 1 000 000.00 and < 1 500 000.00  over 1 500 000.00   1. Core funding (please enter main sources of core funding)   (2 000 characters maximum)   1. Name and category of top 5 donors for operations (whom the entity has worked with and from whom funding has been received in the recent past (maximum of last past five years))  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | |  | Category of donor | | | | | | Name of the donor | Commercial organization | Government | Public / individuals | United Nations | Other | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |  |  |  |  |  |  | |
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| Collaboration |
| 1. History of partnership in the past - has the entity previously collaborated with:    * + 1. UNESCO  Yes  No   if yes, please provide a description (2 000 characters maximum)   1. other UN or similar institutions  Yes  No   if yes, please provide a description (2 000 characters maximum)   1. other organizations, including governmental authorities (the country of operation should be indicated)   Yes  No  if yes, please provide a description (2 000 characters maximum)   1. Network membership - please indicate if the entity is a member of any organizational network   (2 000 characters maximum)   1. Has the entity received any type of assessment from: 2. Another UN organization  Yes  No   If yes, please provide the year and name(s) of the other UN agencies that have assessed your entity and the type of assessment e.g. UN Harmonized Approach to Cash Transfers to Implementing Partners (HACT), project audit (2 000 characters maximum)   1. Other forms of assessment or accreditations Yes  No   If yes, please provide the name(s) of the other accredited entities and the type of assessment (2 000 characters maximum) |

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| Capacity to manage and support implementation |
| Working with the field Please describe the added value that the entity’s headquarters may provide to operations by supporting the field, the type of support provided to field operations for programme/project implementation, and its ability to support and mobilize resources in this context.  (2 000 characters maximum) |
| Results-Based Management Does the entity use Result-Based-Management?  Yes  No  If no, how does the entity measure results?(2 000 characters maximum) |
| Risk Management Please indicate whether or not the entity uses a risk management approach and possesses risk-based M&E framework that includes indicators, baselines and targets to monitor achievement of programme results (2 000 characters maximum) |
| Financial control  * + Does the entity have an accounting system?  Yes  No   (Does the entity have a system in place to track project expenditures in support of accurate project reporting and claims made to funding agencies?)(2 000 characters maximum)   * + Does the accounting system include a project cost ledger for the recording of expenditures of each program/donor by required budget-cost categories?  Yes  No   Including appropriate cost allocation methodology for operating costs, staff time tracking system, invoices stamped ‘PAID’ are approved and marked with the project code, to ensure that operating costs are properly and fairly allocated between funding sources. Please describe (2 000 characters maximum)   * Does the entity use sufficiently the digital payments (e.g. bank transfers, mobile-phone payments, debit cards) to trace payments to third parties, minimizing the use of cash disbursements Yes  No   + Does the entity have adequate internal controls for resource management?  Yes  No   Please describe (2 000 characters maximum)   * + What is the standard of accounting principles adopted by the entity (2 000 characters maximum) |
| Financial staffing Does the entity have adequate and experienced staff responsible for financial management in all operations?  Yes  No Please specify |
| Audit  * + Does the entity have regular internal/in-house audits?  Yes  No   If yes: Choose an item.  Please provide name and details of the auditor as well as the type(s) of audit performed:  (254 characters maximum)   * + Does the entity have publicly available audit reports?  Yes  No   please indicate how/where these can be accessed (i.e. provide link)   * + In the latest audit(s), did audit(s) conclude any substantial findings or recommendations ?  Yes  No   Were corrective actions taken?  Yes  No  Please provide details e.g. audit opinion (unqualified/qualified…) |
| Segregation of Duties Has the entity instituted safeguards in all operations to ensure the following functional responsibilities are appropriately segregated?  **Areas of Responsibility Segregation of Duties Comment**  Authorization to execute a transaction  Yes  No  Recording of a transaction  Yes  No  Custody of assets involved in the transaction  Yes  No  Bank reconciliation and payment approval  Yes  No  Procurement  Yes  No |
| Procedures Does the entity have formal documented policies applicable to all operations that cover the following areas:  **Policy Area** **Documented Policies** **Comment**  Human Resources (\*)  Yes  No (254 characters maximum)  Procurement (\*\*)  Yes  No (254 characters maximum)  Asset and Inventory Management (\*\*\*)  Yes  No (254 characters maximum)  Environmental and Social Policy (\*\*\*\*)  Yes  No (254 characters maximum)  (\*) e.g. appropriate policies and procedures related to recruitment, employment and personnel practices, clearly defined job descriptions, background verification of new accounting/finance and management positions(\*\*) e.g. proper policies and procedures for procurement including ethical procurement principles, procedures for dealing with conflict of interest and the receipt of gifts from suppliers or procurement agents. Staff in the procurement department have previous experience and they are sufficiently qualified. Functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated. Tracking of suppliers’ past performance and maintaining a list of trusted suppliers.  (\*\*\*) including tracking system of project assets  (\*\*\*\*) e.g. the environmental and social dimensions of sustainable development |
| Other information Please enter any other information you wish to share with UNESCO. |

**Declaration by the Entity**

The purpose of the declaration is to allow UNESCO to determine whether the potential partner is committed to and shares the core values of UNESCO and is eligible for the award of UNESCO business. UNESCO will partner only with not-for-profit entities that are committed to the core values of UNESCO. The entity must answer “yes” to all declarations in order to qualify as a potential implementation partner of UNESCO.

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| **Declaration** |  |
| By answering yes, the entity confirms that it, its affiliates or subsidiaries or employees, including any Consortium members or subcontractors or suppliers for any part of the potential contract foreseen with UNESCO, is not sanctioned by the UN Security Council Committee on Sanctions pursuant to resolution 1267 (1999) and to other resolutions of the Security Council targeting terrorism or that the entity has supported, directly or indirectly, individuals and entities sanctioned by the Committee or any other involved any other manner that is prohibited by a resolution of the UN Security Council adopted under Chapter VII of the Charter of the UN, or otherwise identified as ineligible by any UN Organization or the World Bank Group. | Yes  No |
| By answering yes, the entity confirms that it will not discriminate against any persons of concern, regardless of their race, religion, nationality, political opinion, gender or social groups. | Yes  No |
| By answering yes, the entity confirms that it has zero-tolerance to any form of harassment | Yes  No |
| By answering yes, the entity commits to abide by the Principles of Partnership. | Yes  No |
| By answering yes, the entity confirms that it is not falling in any of the following categories ineligible for the award of UNESCO business: a) bankruptcy, insolvency or winding-up procedures; b) breach of obligations relating to the payment of taxes or social security contributions; c) grave professional misconduct, including mis-representation, d) fraud; e) corruption; f) conduct related to a criminal organisation; g) money laundering or terrorist financing; h) terrorist offences or offences linked to terrorist activities; i) child labour and other trafficking in human beings; j) irregularity k) creating a shell company; l) being a shell company. | Yes  No |
| By answering yes, the entity confirms that it has not been involved in data protection and privacy violations, including non-authorized data collection, processing and any other use. | Yes  No |
| By answering yes, the entity confirms that its personnel have successfully completed appropriate training on prevention of sexual exploitation and abuse (PSEA). Where the entity has not established its own PSEA training, such training can be completed on-line on the UNICEF Agora Portal at <https://agora.unicef.org/course/info.php?id=7380>. The entity commits to provide to UNESCO supporting documentation in relation to PSEA training completed by its personnel (ad minima those working on UNESCO project) within 7 days of signing the Implementation Partner Agreement. | Yes  No |
| By answering yes, the entity confirms that it has no actual, potential or perceived conflict of interest in submitting its proposal or entering into a contract with UNESCO to deliver the requirements. Where a conflict of interest arises during the selection process of the implementing partner, the entity will report it immediately to UNESCO point of contact. | Yes  No |
| By answering yes, the entity confirms that it has not entered into any improper, illegal, collusive or anti-competitive arrangements with any competitor; has not directly or indirectly approached any UNESCO representative (other than the point of contact) to lobby or solicit information in relation to publicly available solicitation documents (advertised Call for partnership or similar); has not attempted to influence or provide any form of personal inducement, reward or benefit to any UNESCO representative. | Yes  No |
| As a legal representative of the entity, I declare my entity in conformity with the UNESCO partnership eligibility criteria.  PRIVACY NOTICE  I acknowledge being informed about the processing of my personal data by UNESCO. Further information is available at <https://www.unesco.org/en/privacy-policy>.  Decline  Accept | |

Name of the Declarant Date Signature

Position/title

**UNESCO Due diligence review for pre-qualification of an Implementation Partner**

Once the form has been completed by the potential partner, UNESCO will conduct a critical review and assessment, to confirm the eligibility:

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| The partner is committed to and shares the core values of UNESCO, and is eligible for the award of UNESCO business (ref. AM Items 7.5 and 7.8) | Yes  No |
| The Partner is able to make an effective contribution to the achievement of UNESCO’s objectives, in conformity with the principles proclaimed in UNESCO's Constitution; | Yes  No |
| Its purposes, function and operation are not-for-profit-making in character (submission of statutes/instrument of legal registration is required as well as confirmation that they have been active for at least two years); | Yes  No |
| It possesses adequate permanent staff and facilities and has the capacity to manage the volume of funds and to implement the agreed-upon activities in a given location in an efficient and effective manner; | Yes  No |
| It has been fully involved in the work plan elaboration of the activity/project to be implemented in partnership with UNESCO; | Yes  No |
| It has submitted an estimated implementation cost breakdown that UNESCO deems reasonable and fair in comparison with prevailing market trends, and represents value for money; | Yes  No |
| It provides ‘added value’ in terms of a monetary or in-kind contribution. In the latter case, the amount is quantified to estimate the contribution of the partner; | Yes  No |
| It has a sound financial status and appropriate internal control procedures; | Yes  No |
| It has demonstrated clean (“unqualified”) audit reports (e.g. annual accounts);  If the response is “no”, it has addressed any audit findings by taking corrective measures; | Yes  No Yes  No |
| It has the capacity to participate in planning, monitoring and assurance activities; | Yes  No |
| It has the necessary standards of professional and ethical conduct (including PSEA); | Yes  No |
| It has minimum standards in place for investigations of fraud and misconduct. | Yes  No |
| It has successively performed under previous UNESCO IPA (if any) | Yes  No |
| Other information Please enter any other information to support your review and assessment, including the need for Capacity building to the partner in case of weaknesses/risks identified in their current capacities. | |

Name Date Signature

Contracting unit : Programme responsible and Certifying officer