**Introduction:**

In order to become eligible as a partner, an NGO interested in applying for funding under the Myanmar Emergency Response Fund (ERF) has to participate in a Capacity Assessment process. This is one of the four major pillars of the ERF Accountability Framework[[1]](#footnote-1). Its main aim is to ensure that the OCHA Humanitarian Financing Unit is equipped with the necessary information about the capacity of the non-governmental partners that have access to ERF funding, 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 Application Form, Checklist and Declarations are part of the first step of assessment. The assessment of a partner’s eligibility will start upon receipt by OCHA of the completed Application Form and Declarations, together with the documents listed in the following sections below. After a review of documents submitted, the organisation will be informed on whether their application will proceed to the second step of assessment, which will involve either an assessment of capacity assessment undertaken by an independent contractor, or through the use of proxies, such as other donor reviews.

The OCHA Myanmar Country Office retains the right to request additional information should the documentation provided by the prospective partner not be deemed sufficient.

**a. Due Diligence/Risk Assessment Application Form**

Mandatory fields are marked with an asterisk \*.

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| **Entity Details** |
| **Organization name (in full): \*** |  |
| **Organization acronym: \*** |  |
| **Organization website URL:** |  |
| **Organization Type** (local, national or international): | Choose an item. |
| **National Registration Number: \***  |  |
| **International Registration number: \*** (INGOs only) |  |
| **Alternate Organization Name** |  |
| **Date of submission of Application Form, Application Checklist and Declaration, and supporting documents:** |  |
|  |
| **Contact information** |
| **Contact details of focal person of this eligibility application** | Contact Name: \* Contact Title: \*Work address: \*Country: \*Email Address:Phone number (s):Fax number (s): |  |
| **Name and contact details of highest ranking official in Myanmar** | Contact Name: \* Contact Title: \*Work address: \*Country: \*Email Address:Phone number (s):Fax number (s): |  |
| **Name and contact details of focal person in Headquarters** (for International NGO’s) | Contact Name: \* Contact Title: \*Work address: \*Country: \*Email Address:Phone number (s):Fax number (s): |  |
| **Name and contact details of the legal representative of the organization** (person ultimately accountable within the organization) | Contact Name: \* Contact Title: \*Work address: \*Country: \*Email Address:Phone number (s):Fax number (s): |  |
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| **Office Locations** |
| **Address and contact details for organization’s Headquarters** | Address:Country:Email Address:Web site:Phone number (s):Fax number (s): |  |
| **Address and contact details of Main Office in Myanmar** (if different from above) | Address:Country:Email Address:Web site:Phone number (s):Fax number (s): |  |
| **Address and contact details for Sub Office(s) in Myanmar** | Address:Country:Email Address:Web site:Phone number (s):Fax number (s): |  |
|  |
| **Additional Information** |
| **Sectors of Operation \***(Please list sectors and sub-sectors of current humanitarian programming, followed by any additional sectors/sub-sectors of expertise, including number of years of experience in Myanmar for each sector) |  |
| **Geographical Area(s) of Operation \***(Please list the States/Regions, and townships where your NGO currently has operations in Myanmar) |  |
| **Annual Budget \***(Please indicate the annual budget of the organization in Myanmar for last 3 years) |  |
| **Donors \***(Please list the donors to current projects, including governments, UN agencies, Funds, NGOs or others) |  |
| **Coordination \***(Please describe the organisation's membership of coordination bodies in Myanmar, including Clusters/Sectors, working groups, NGO consortia, etc.) |  |
| **Board of Trustees**(Please provide the list of members of the Board of Trustees/Board of Directors with short bios) | **Contact Name** | **Contact Title** | **Brief Bio** |
| 1. **Name 1**
2. **Name 2**
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| **Comments for Application Form** |
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**b. List of documents, as required by the Pre-assessment questionnaire of the Myanmar Emergency Response Fund Partner Capacity Assessment Tool**

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| 1. **Required/Mandatory documents**
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| **Due diligence declarations and other required documents (**please use templates provided by OCHA**)** |
| [ ]  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. |
| [ ]  Identity Documents | OCHA 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). |
| [ ]  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) | 1. Please print out all declaration annexed to this document
2. Complete the form, sign and dated, scan as individual files, please ensure relevant file name (NGO abbreviation and Appendix X).
 |
| [ ]  Declaration of Conflict of Interest (signed copy) (Appendix B) |
| [ ]  Declaration of Non-Support for a United Nations Designated Entity (signed copy) (Appendix C) |
| [ ]  Declaration of Recognition and Support of/for any United Nations Compliance Activity(ies) (signed copy) (Appendix D) |
| [ ]  Declaration of Accurate Information (signed copy) (Appendix E) |
| [ ]  National registration document and Memorandum of Understanding with the local authority for operation in Myanmar | Please provide a valid National Government registration and Local Government approval documents |
| [ ]  Donors and grants for last three years | Please download MS Excel template, and provide donor, project title, sector, budget, duration, and location for all humanitarian grants funded during the last three years in Myanmar. |
| [ ]  Organogram of the organization in the country showing positions and names of staff members. For international NGOs, also include global management structure. | Please provide organogram of organisation structure in Myanmar, and also HQ for INGO  |

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| 1. **Organizational information:**
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| **Additional documents (recommended to support application)** |
| [ ]  Governance documents: constitution, governance policies | Please provide constitution or equivalent document, governance policies |
| [ ]  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. |
| [ ]  Annual reports for the last 3 years (global)  | If available |
| [ ]  Annual statements for the last 3 financial years (global) |  |
| [ ]  Annual workplans and budgets for the last 3 years (country-specific only) | If available |
| [ ]  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 |
| [ ]  Reports from external and internal evaluations, reviews and studies undertaken in the last 3 years by the organization in the Myanmar | If applicable and available |
| [ ]  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 |
| [ ]  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 |
| [ ]  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 |

1. **Policies and manuals -** upload any policiesand manuals that your organisation follows**:**

[ ]  Procurement and logistics policy

[ ]  Human resources policy

[ ]  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**

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| **Beneficiary Banking Information** |
| Bank Name \* |  | Bank ID |  |
| For US banks only use whether: (9 digits) |  | SWIFT code: 8 or 11 characters (required for overboard payments) |  |
|  | [ ]  ACH [ ]  Fed Wire |  |  |
| 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 | [ ]  US$ [ ]  Other (Please Indicate) |
| Bank Account No.: (Enter with no punctuation, no dots, dashes or spaces) |  | Account Type: | [ ]  Checking [ ]  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) |  |  |  |

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| **Comments for Bank Form** |
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1. **Other comments:**

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| --- |
| **Comments** |
|  |

**NOTE –** Questions and/or comments regarding this form and the capacity assessment process can be addressed to the Humanitarian Financing Unit (HFU) at[*erf-myanmar@un.org*](file:///D%3A%5Cerf-myanmar%40un.org)*.*

**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 OCHA Myanmar. 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:

1. The organization / company that I represent is not bankrupt, or being wound up, or whose financial affairs are presently being administered by a court;
2. 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;
3. 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;
4. 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;
5. 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;
6. 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;
7. 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:

**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 the United Nations) 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 OCHA Myanmar for the duration of three years after completion of the Capacity Assessment, after which it will be destroyed under the direction of the OCHA MyanmarHead of Office.

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 OCHA Myanmar. Failure to comply with this Declaration of Conflict of Interest may be considered cause for removal as a candidate for selection of contracts.

**4. OCHA Myanmar 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 OCHA Myanmar*.*

Should the individual decline to withdraw, the matter will be escalated to the OCHA Myanmar Head of Office. 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 Head of Office 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 OCHA Myanmar*.*

**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):

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

* **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):

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:**

Completion of this Declaration of Non-Support for a United Nations Designated entity is a requirement for selection, award and appointment of contracts with OCHA Myanmar. Failure to comply with this Declaration of Non-Support for a United Nations Designated entity may be considered cause for removal as a candidate for selection of contracts.

**2. Declaration of Non-Support for a United Nations Designated entity - Organizational Declaration**

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[[2]](#footnote-2). 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.

Signed:

Name:

Position:

Date:

**1. Explanation:**

Completion of this Declaration of recognition and Support of/for any United Nations compliance activity(ies) is a requirement for selection, award and appointment of contracts with OCHA *Myanmar.* Failure to comply with this Declaration may be considered cause for removal as a candidate for selection of contracts.

**2. Declaration of recognition and Support of/for any United Nations compliance activity(ies)**

I declare as the representative of *[Organization Name]* that I/we recognize the importance of external / United Nations / third party monitoring and compliance activities of contracts that have been awarded by the United Nations. Such monitoring and compliance activities are essential to improve transparency and accountability and will be supported[[3]](#footnote-3) 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 OCHA Myanmar may result in investigation, suspension, or termination of the contract.

Signed:

Name:

Position:

Date:

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 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 Myanmar 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 Myanmar,and/or any other entities designated by OCHA Myanmar to conduct the Capacity Assessment, to the information that is required to perform their duties.

Signed:

Name:

Position:

Date:

1. A full description of CBPFs is contained in the Operational Handbook for Country-based Pooled Funds [↑](#footnote-ref-1)
2. 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. [↑](#footnote-ref-2)
3. 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. [↑](#footnote-ref-3)