

## Guidance On Due Diligence Verification Process

### Purpose:

This guidance provides clear process and standard practices to effectively perform the due diligence for Civil Society Organisation (CSO). It aims to ensure consistency, accuracy, and compliance across all CSO verification with UNICEF office at any level.

This guidance complements the following documents:

- [Programme Implementation Handbook](#)
- [Supplementary Guidance on UNICEF Due Diligence Verification of Civil Society Implementing Partners](#)
- [Guidance to UNICEF staff on the verification process in UNPP.](#)
- [Partner Declaration and due Diligence verification template](#)

### Scope:

- This guidance applies to all CSOs involved in the verification process at Headquarters (HQ), Regional Office (RO) and Country Offices (CO).
- CSOs are required to create online profile in [UN Partner Portal](#) or, if they do not have access to the Internet, using [Paper forms](#).
- UNICEF due diligence verification of civil society partners is conducted in the [UN Partner Portal](#) prior to formalizing partnerships and then **again, every five years**, or when new information emerges during implementation that might pose possible risks (including reputation).
- UNICEF and other United Nations agencies utilizing the [UN Partner Portal](#) have agreed to recognize each other's due diligence verification results unless new information has emerged in the interim.

### Office user Roles and Responsibilities

Roles	Responsibilities
PRC Secretary, Partnership Officer	a. Completes the UNICEF component of Partner Declaration, Profile and Due Diligence Verification Form for national CSOs and maintains a list of all verified CSOs and related documentation in a central location, the due diligence verification is undertaken in the <a href="#">UN Partner Portal</a>  b. Liaises with HQ to seek verification for INGO.  c. Liaises with GSSC to update due diligence verification date in PRG2 vendor master record by using Vendor master registration template
Head of Section	a. Ensure staff and CSO partners are well informed on UNICEF standards of conduct, setting up mechanisms for capacity building and follow-up appropriate to the local context and programming environment  b. Ensure that UNICEF does not engage with CSOs that are not duly verified in <a href="#">UN Partner Portal</a> . If there is any exception, it should be adequately justified and documented.

Programme Officer	<p>a. Liaises with the CSO to explain the due diligence verification process if applicable and documentation required, guiding the partner on the registration in the <a href="#">UN Partner Portal</a> and completion of CSO profile if applicable</p> <p>b. Ensures that partnerships are pursued only with CSOs that have been verified and records the due diligence in UNPP or paper template in <a href="#">eTools Partnership Management Portal</a> for CSOs without internet access.</p>
HQ (RMPS <sup>1</sup> Unit- DAPM)	<p>a. Provide guidance and overall recommendations for specific cases where a CSO is identified as potential or confirmed risk for partnership.</p>
HQ (PIU and RMPS <sup>2</sup> - DAPM)	<p>a. Undertakes due diligence verification of international NGOs, reviews and updates information in the <a href="#">UN Partner Portal</a>.</p>

## UNPP User roles:

Roles that can perform Due Diligence

User Role	User Permissions	UNICEF Staff Profile
<b>UN Advanced Editor</b>	<ul style="list-style-type: none"> <li>- View number—and content—of observations added to CSO profiles.</li> <li>- Add new observations to CSO profiles.</li> <li>- Conduct due diligence and “verify” CSOs.</li> <li>- Generate reports on verifications, observations.</li> <li>- Verifies National CSOs, Community based CSOs, HQ child Profile.</li> </ul>	<ul style="list-style-type: none"> <li>- UNICEF staff involved in oversight/management of partnership selection, who need to access or add sensitive risk observations.</li> <li>- <b>Staff profile:</b> Section Chief, Deputy Representative, HACT Focal Point, Programme Focal person</li> </ul>
<b>HQ Editor Role</b> (UNICEF HQ)	<ul style="list-style-type: none"> <li>- Super user- With all the above roles.</li> <li>- Verifies CSO HQ partner and any other CSO type.</li> </ul>	<ul style="list-style-type: none"> <li>- DAPM HQ: Programme Manager, Risk and Compliance manager, Programme specialists</li> </ul>

## Steps for profile verification

### 1. CSO Profile creation

- CSOs create the profile in [UN Partner Portal](#) or, if they do not have access to the Internet, using [Paper forms](#).
- [Complete the self-declaration](#) form by answering YES or NO to the responses requested.
- CSO Profile is completed by using this step by step guide [Registration Guide.pdf](#)
- Only CSO with complete profiles can apply for a partnership opportunity.

<sup>1</sup> RMPS - Risk Management in Programming and Safeguarding

<sup>2</sup> PIU – Programme Implementation Unit

- Only verified profiles can be considered during the selection process for potential partnership.

## 2. INGO Verification

- Country office ensures the completeness of the profile and send the request to [csopartnership@unicef.org](mailto:csopartnership@unicef.org) for verification with Name of the partner, UNPP link of the profile and UNPP ID of the profile. *(please don't copy CSO staff in the communication, HQ does not contact directly with CSO during verification process).*
- UNICEF HQ editor receives request shared on [csopartnership@unicef.org](mailto:csopartnership@unicef.org) (this may take 24-48 hours) for verify the profile.
- HQ editor review the completeness of the profile:
  - Confirm whether the CSO qualifies as an INGO by verifying that there is an associated country profile linked to an HQ profile, with valid registration both at the HQ and country levels. Alternatively, request the country office to provide registration documentation from another country if needed.
  - Ensure all individuals at HQ location are listed in "Key Personnel" field including:
    - a. Head of the organization at HQ level
    - b. All board of directors
    - c. Authorized officials
    - d. All head of sections/major position holders
  - Check if system flagged the profile with a potential match of any entry in the [UN Sanctions list](#). If a potential match is found, request the country office to provide additional information, including a copy of the individual's passport bio page if applicable. Manually reverify the UN sanctions list if the organization names matches. UNICEF refrains from establishing partnerships if any individual or organization is confirmed as a match on the UN Sanctions List without in-depth verifications.
  - Conduct a media search using the organization's name to check for any published news, articles, or blogs that may contain negative comments, evidence, or allegations of fraud, risks, human trafficking, sexual abuse, or actions contrary to UN or UNICEF values and mission. This is essential to identify any issues that could potentially harm UNICEF's reputation. If any evidence is found, the verification team seeks assistance from the **RMPS Unit** and inform the country office that the verification process is on hold. The outcome of any decision is documented in the Risk Observation field in UNPP and remains valid unless the country office or partner submits a request to reconsider the decision, providing justification and supporting evidence.
  - Check names of board of directors and organization, using the [Risk Intelligence Data tool](#). If CSO is banned or included in any other sanction list or country blacklist, then verification office seeks advice from **RMPS Unit** to proceed further. The outcome of any decision is documented in the Risk Observation field in UNPP and remains valid unless the country office or partner submits a request to reconsider the decision, providing justification and supporting evidence.
  - Review the completeness of capacity and risk profile i.e. if there are red flags
  - UNICEF expects high standards from the INGO profile, and all entities are required to have documents including organogram, code of conduct, updated audit reports and annual report.

- Upon review completion, profile is verified and CSO is recorded in [INGO Parent verification list](#).
- HQ editor shares the information with GSSC focal person to update the core value and inform the requested country.

This process applies: (a) to the initial verification of an INGO profile, (b) to re-verification when the profile expires (every 5 years), (c) when the information used become obsolete due to changes made by the CSO, (d) when any potential match in UNPP and/or any risk observation by other UN agency or UNICEF office is uncovered, or (e) for any other reason where the office requires the profile re-verification.

### 3. Country profile of INGO, National CSO, Community Based Organization and Academic Institutions Verification

1. CSOs complete the profile online in the [UN Partner Portal](#)
2. Country profile of INGO, National CSO, Community Based Organization and Academic Institutions are verified at country office level by users with advance editor role.
3. Programme focal person check the profile is complete and request partnership focal person to verify the profile.
4. UNICEF user with advanced user role who is appointed (Deputy Representative Programme or any appointed staff member) for verification review the profile in [UN Partner Portal](#) and ensure the completeness of the profile.
5. Checks if the profile is – flagged against the [UN Sanctions list](#)
6. Check the registration certificate is issued by appropriate authority, valid and clearly marks non for profit with name of the organization.
7. Ensure there is no observation or flags in the capacity and risk field in UNPP. Contact the relevant programme, UN agency or HQ if there is any red flag and record the outcome if it's positive before verification.
8. Perform the media search if organization name or listed authorized personnel are mentioned in relation to fraud, sexual abuse, exploitation, money laundry, any banned list, human trafficking or any issues that could potentially harm UNICEF's reputation. Consult with Deputy Representative programme and operations for advice and record the issue and outcome in capacity and risk field. Consult PIU and RMPS units, as needed, if the observations require the attention of HQ.
9. Once review is completed, then verify the profile.
10. Confirm with the grant management or donor relations country team whether the potential CSO has been identified for a specific grant and if any additional checks or vetting are required by the donor (e.g., USAID, BHA, World Bank, GCF, EU, KfW).
11. Inform MDM focal person with completed [MDM form](#) for new PRG2 vendor record or updated core values assessment date of National CSO, Community Based Organization and Academic Institutions. Country profile of INGO due diligence date is linked with HQ profile.

### 4. Verification of Academic Institutions or CSOs in Non-Program Countries or Outside the Partnership Country Office

At times, headquarters divisions, regional, or country offices may wish to partner with organizations based in non-programme countries or with academic and research institutes in other countries where the implementing country cannot verify the partner's profile. In such cases, the country office should reach out to [csopartnership@unicef.org](mailto:csopartnership@unicef.org) for verification. The PIU and RMPS teams in DAPM will manage partner verification in non-programme countries and may request support from the relevant country focal

point for verifying CSOs operating in those areas. This allows the focal point to draw on local experience, any prior history with the CSO, and knowledge of national laws to support the verification process.

## 5. Paper Based Due Diligence Process

Offline or paper verification is rarely used and is typically utilized for small CSOs operating in remote areas where internet access is limited. Offices are encouraged to invite CSOs to UNICEF premises, where they can be introduced to the UNPP and receive support in creating a profile. This process not only enhances the CSO's capacity but also increases visibility, not just with UNICEF but with other UN agencies as well.

In some cases, due to security concerns, a CSO may choose not to register in the UNPP to avoid disclosing its existence or operations. In such situations, country offices must obtain approval from DAPM before partnering with these organizations.

1. The office sends [Due Diligence Paper template](#) to the potential CSO, either as a hard copy or via email.
2. The CSO fills out the required information in the template and provides an official endorsement.
3. The office focal person reviews the submission, conducting due diligence offline by checking the organization's and key personnel's names against the UN Sanction list, verifying a hard copy of valid nonprofit registration, and fulfilling other template requirements.
4. Once verification is successfully completed, the office uploads the fully signed form along with supporting documents in eTools to maintain an audit trail and for future reference.

### UNPP Due Diligence Workflow:

**UNPP Due Diligence Workflow**

