



OCHA

United Nations Office  
for the Coordination of  
Humanitarian Affairs

# Humanitarian Pooled Fund (HPF)

## Due Diligence (Application Form) Budgeting





OCHA

United Nations Office  
for the Coordination of  
Humanitarian Affairs

# Due Diligence (Application Form)



# Due Diligence (Application Form)

- Why?

- Part of Risk / Capacity Assessment
- Information in GMS needed to create Grant Agreements
- Banking details for disbursements
  - Why?
- Contact details in order to keep you posted / informed
- Platform to provide documents
  - How to?

- Who?

- When?





# Due Diligence (Application Form): How To?

Mandatory fields are marked with an asterisk \*. Always save your information before changing tabs.

## Application Form

<b>Organization Type:</b> National NGO	<b>Acronym:</b> Ihsan	<b>Name:</b> Ihsan for Relief and Development
<b>National Registration Number: *</b> 34-202/198	<input checked="" type="checkbox"/> Is Active	
<b>Alternate Organization Name</b>		

## Contact Details of the focal person for this application

Contact Details of focal person of this application	Name and Contact Details of highest ranking official	Name and Contact Details of focal person in Headquarters (for International NGO's)									
											
<table border="1"><thead><tr><th>Contact Name</th><th>Contact Title</th><th>Actions</th></tr></thead><tbody></tbody></table>	Contact Name	Contact Title	Actions	<table border="1"><thead><tr><th>Contact Name</th><th>Contact Title</th><th>Actions</th></tr></thead><tbody></tbody></table>	Contact Name	Contact Title	Actions	<table border="1"><thead><tr><th>Contact Name</th><th>Contact Title</th><th>Actions</th></tr></thead><tbody></tbody></table>	Contact Name	Contact Title	Actions
Contact Name	Contact Title	Actions									
Contact Name	Contact Title	Actions									
Contact Name	Contact Title	Actions									
<b>Name and Contact Details of the legal representative of the organization (person ultimately accountable within the organization)</b>											
											
<table border="1"><thead><tr><th>Contact Name</th><th>Contact Title</th><th>Actions</th></tr></thead><tbody></tbody></table>	Contact Name	Contact Title	Actions								
Contact Name	Contact Title	Actions									

## Office Locations

Address and Contact Details for Organization Head Quarters	Address and Contact Details of Main Office	Address and Contact Details for Sub Office												
asdhfasdlhfasdf Turkey info@ih sanrd.org www.ih sanrd.org N/A	Incilipinar: Mh Kamilocak: cad Zumer is Merkezi Sahitkamil Turkey info@ih sanrd.org www.ih sanrd.org N/A													
<table border="1"><thead><tr><th>Email Address</th><th>Web Site</th><th>Actions</th></tr></thead><tbody><tr><td>info@ih sanrd.org</td><td>Ih sanrd.org</td><td></td></tr></tbody></table>	Email Address	Web Site	Actions	info@ih sanrd.org	Ih sanrd.org		<table border="1"><thead><tr><th>Email Address</th><th>Web Site</th><th>Actions</th></tr></thead><tbody></tbody></table>	Email Address	Web Site	Actions	<table border="1"><thead><tr><th>Email Address</th><th>Web Site</th><th>Actions</th></tr></thead><tbody></tbody></table>	Email Address	Web Site	Actions
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info@ih sanrd.org	Ih sanrd.org													
Email Address	Web Site	Actions												
Email Address	Web Site	Actions												

# Due Diligence (Application Form): How To?

Additional Information																							
Sectors of Operation * ?	WASH, Education, Health, Economic Development, Institutional Support, Civil Services, Protection, Shelter/NFIs, Food Security and Livelihood																						
Geographical Area(s) Of Operation * ?																							
Annual Budget * ?																							
Donors * ?																							
Coordination * ?																							
Board of Trustees	<table border="1"><thead><tr><th>Contact Name</th><th>Contact Title</th><th>Bio</th><th>Actions</th></tr></thead><tbody><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr></tbody></table>	Contact Name	Contact Title	Bio	Actions																		
Contact Name	Contact Title	Bio	Actions																				
Comments for Tab Application Form	Leave Comment: <input type="text"/>																						

# Due Diligence (Application Form): How To?

Application Form | Documents | Bank Info | Application Form Tracking

Organization Name: Ihsan for Relief and Development (Ihsan )

## Required documents

Bank Statement	No file uploaded
Identity Documents	No file uploaded
Declaration of any Previous or Pending Legal Processes or Investigations	No file uploaded
Declaration of Conflict of Interest	No file uploaded
Declaration of Non-Support for a United Nations Designated Entity	No file uploaded
Declaration of recognition of UN compliance activity	No file uploaded
Declaration of Accurate Information	No file uploaded

## Previous documents

No previous documents found

## Additional documents

Document template: Application Checklist and Declaration

### Existing uploaded documents

No documents found

### Comments for Tab Application Documents

Leave Comment:

# Due Diligence (Application Form): How To?

Application Form	Documents	Bank Info	Application Form Tracking		
<b>Organization Type:</b> National NGO	<b>Acronym:</b> Ihsan	<b>Name:</b> Ihsan for Relief and Development			
<b>GMS Id</b>	<b>Bank Name</b>	<b>IBAN</b>	<b>Account Name</b>	<b>Account No</b>	<b>Action</b>
18					[View]
<b>Beneficiary Banking Information</b>					
Non Editable due to voucher attached					
<b>Bank Name *</b>	<input type="text"/>	<b>Bank ID</b>	<input type="text"/>		
For US banks only use whether:(9 digits)	<input type="text"/>	<b>SWIFT code: 8 or 11 characters (required for overboard payments)</b>	<input type="text"/>		
<input type="checkbox"/> ACH <input type="checkbox"/> Fed wire		<b>Branch Name</b>	<input type="text"/>		
<b>Branch ID: (for Canadian Banks only) 9 digits routing no.</b>	<input type="text"/>				
<b>Street Address</b>	<input type="text"/>				
	Character count: 0 / 1000				
<b>City</b>	<input type="text"/>	<b>State/Province</b>	<input type="text"/>		
<b>Postal code</b>	<input type="text"/>	<b>Country</b>	<input type="text"/>		
<b>Beneficiary Bank Account Details</b>					
<b>Account Name: (name as it appears on bank account) *</b>	<input type="text"/>	<b>Bank Account Currency</b>	<input checked="" type="radio"/> US\$ <input type="radio"/> Other (Please Indicate)		
<b>Bank Account No.: (Enter with no punctuation, no dots, dashes or spaces)</b>	<input type="text"/>	<b>Account Type:</b>	<input checked="" type="radio"/> Checking <input type="radio"/> Saving		
<b>IBAN (European Banks)</b>	<input type="text"/>	<b>Transit Code(5 digit) Canadian Banks</b>	<input type="text"/>		
<b>Sort Code(6 digits) UK Banks</b>	<input type="text"/>	<b>BSB code(6 digit) Australia Banks</b>	<input type="text"/>		
<b>Bank Information for Intermediary/Correspondent Bank (if applicable)</b>					
<b>Name of Bank:</b>	<input type="text"/>	<b>Address of Bank</b>	<input type="text"/>		
<b>Bank Account No</b>	<input type="text"/>	<b>Swift Code:</b>	<input type="text"/>		
<b>FED WIRE NO.(US BANKS ONLY)</b>	<input type="text"/>				
<b>Comments for Tab Bank Info</b>					
<b>Leave Comment:</b>	<input type="text"/>				



# Due Diligence (Application Form): How To?

Application Form   Due Diligence Document   Bank Info   **Due Diligence Checklist**   Application Form Tracking   Application Form Admin

Organization Type: International NGO   Acronym: AIBI   Name: Ai.Bi

## Application Form

- All mandatory fields are correctly filled out
- Name and contact details of the highest ranking official given are for the Country Director or equivalent ? highest ranking official in the country
- Name and contact details of the legal representatives of the organization given are for the most senior person of the organization (Executive Director or equivalent) with delegated authority to sign Grant Agreements. This person can be the same as the highest ranking official in the country. This section is particularly important because the legal representative will automatically appear in the Grant Agreement as the authorized signatory on behalf of the partner
- Address and contact details provided are correct, and are given for all the field/sub offices of the organization in the country
- Sufficient details are provided for Sectors of operation, Geographical areas of operation, and Coordination, and they match with the HFU/OCHA Country Office knowledge. If in doubt, please check with relevant clusters/sectors.
- Annual budget and donors are provided in US\$ (and broken down) for the past 3 years.
- All names and titles of Trustees are listed, and a short bio for each one is provided, at least for key positions (Chair, Administrator, Treasurer)

## Due Diligence Document

- All five Due Diligence declarations have been completed and signed by the person listed as the Legal Representative of the organization. They match exactly the templates provided and no changes have been made.
- A short bio AND the photo page of the identity document of the Legal representative of the organization have been duly submitted.
- The bank statement is duly submitted and the bank account name matches exactly the name of the organization as registered on GMS. The bank statement should be on the bank?s letterhead, should be signed and stamped by an official of the bank, and should not be older than 2 months. Electronic bank statements can also be accepted.
- If the bank account name is not the same as the one under which the organization registered on GMS, a letter by the bank is also uploaded in addition to the bank statement certifying that the bank account in the statement belongs to the organization under the name registered in the GMS. The letter should be on the bank?s letterhead, signed and stamped by an official of the bank.
- UN Agencies requesting fund transfers to an account other than the Headquarters bank account should provide written approval from the Agency?s Headquarters? office and a bank statement on the bank?s letterhead, signed and stamped by an official of the bank, and not older than 2 months.

## Bank Info

- All the mandatory fields marked with an asterisk are duly filled out
- When downloading the F21 form all the necessary fields are filled out (the F21 is automatically filled out by the GMS if the correct information is inputted in the Bank Info tab). Please note that the F21 does not need to be filled out manually by the partner.
- Depending on the country of origin of the bank, all necessary fields are appropriately filled out.
- Complete details of the intermediary bank are provided (if necessary)

Save

<https://cbpf.unocha.org/duediligence/applicationform.aspx?appid=671&orgId=564>

Version 2.4.90.5

# Due Diligence (Application Form)

- Who?
  - HPF Focal Point: Financing Officer
  - IP Focal Point: “Easy Reachable” person
  - IP: Highest Ranking Official
  - IP: Legal Representative

# Due Diligence (Application Form)

- When?

Immediately!!!



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# Finance & Budget



# Budget & Finance

- **Aligning with Logical Framework / Project Proposal**
  - Nothing not being in LogFrame should be in Budget
  - Everything mentioned in LogFrame should be reflected
- **Budget Categories**
  - Staff and Other Personnel Costs
  - Supplies, Commodities, Materials
  - Equipment
  - Contractual Services
  - Travel
  - Transfers and Grants to Counterparts
  - General Operating and Other Direct Costs
- **Supporting Documents**
  - BoQs, Calculations, Quotes
- **Estimation of Costs / Quotations**
  - Estimations should be indicated

# Budget & Finance

- Eligible Expenditures

- Must be necessary and reasonable for the delivery of the objectives of the project.
- Must comply with the principles of sound financial management, in particular the principles of economy, efficiency, effectiveness, transparency and accountability.
- Must be included in the project budget.
- Must be identifiable in the accounting records and backed by original supporting evidence as incurred in accordance with the approved project proposal and period.

# Budget & Finance

- Ineligible Expenditures

- Expenditures not included in the approved budget
- Expenditures incurred outside the approved project implementation period
- Debts and provisions for possible future losses or debts (incl. exchange rate)
- Interest owed by the IP to any third party.
- Items already financed from other sources.
- Purchases of land or buildings.
- Cessions and rebates by the implementing partner, contractors or staff of the implementing partner of part of declared costs for the project.
- Government staff salaries.
- Hospitality expenses, provision of food/refreshments for project staff (portable water is allowed).
- Incentives, mark-ups, gifts to staff, fringe benefits such as cars provided by the organization to staff, full housing allowance and the like.
- Fines and penalties, duties, charges, taxes (including VAT) recoverable by the implementing partner.
- Global evaluation of programmes.
- Audit fees/system audit fees

# Budget & Finance

- Other types of Expenditures

- On a case-by-case basis following costs may be eligible:
- Government staff training as a component of a project activity that contributes to the achievement of the overall project objectives
- Implementing partner specific visibility material when related to the project
- International travel costs when directly linked to the delivery of the project objectives
- Vehicles
- Equipment for the regular operations of the implementing partner
- Recurrent costs for the implementing partner's current operations

- Direct & Indirect costs

- Direct costs have to be clearly linked to the project activities
- DC are actual costs directly related to the implementation of the project to cover the costs of goods and services delivered to beneficiaries, and the costs related to the support activities (even partial, such as a security guard or a logistician partially working for the project), required for the delivery of services and the achievement of the project objectives
- Indirect costs: Max. 7% Programme Support Costs (PSC)



# Budget & Finance

- Shared Costs

- Sharing costs between different donors / projects is an acceptable practice
- IP may share certain country office costs to different uses and projects, for example staff, office rent, utilities and rented vehicles. (% only!!!!)

- Itemization of Budget Lines

- Itemize each national and international staff, consultants and other personnel by function and grade/level, and provide unit quantity and unit cost
- Provide unit /quantity (unit or quantity i.e. 10 kits or quantities 1000 MT (metric tons maize)) and unit cost for equipment to be purchased.
- Provide unit/quantity and unit cost for each contract.
- Itemize general operating costs (e.g. telecommunications, internet, utilities)
- Estimates can be accepted in travel, as long as the calculation modality of the estimate is described reasonably in the budget narrative (i.e. providing estimates on the number of trips, duration in days, daily subsistence allowance (DSA) rate).
- National travel: estimate number of trips and cost per trip.
- International travel: estimate number of trips and cost per trip.

# Budget & Finance

- Itemization of Budget Lines (cont'd.)
  - Provide the list of items included in kits whose individual value is less than or equal to US\$50.
  - Provide list of items and estimated cost per item for kits whose individual value is greater than US\$50.
  - Provide the list of items for globally standardized kits (such as Post-exposure Prophylaxis (PEP) kits, Interagency Emergency Health Kit (IEHK2011), etc.)
  - Commodities, supplies and materials such as blankets, plastic sheets, heating/cooking oil, clothing, need to be itemized, providing unit/quantity and unit cost, even if distributed in a form of assembled kit.
  - In the case of construction works, only the labor costs and known essential materials shall be budgeted and itemized, providing unit /quantity and unit cost. The budget narrative should explain how construction costs have been estimated on the basis of a standard prototype of building (latrine, health post, shelter), type of materials (wood, prefabricated, brick/cement/concrete) and formula or rationale used to estimate construction costs (e.g. per square foot or meter, previous experiences, etc.)

# Budget & Finance

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	A	B	C	E
1	2.1.1			
2	<b>SCHOOL FURNITURES</b>			
3	<b>Description</b>	<b>Unit Qty</b>	<b>Unit Cost (\$)</b>	<b>Total \$</b>
4	Student Desk	14	20.00	280.00
5	Teachers Table	1	18.00	18.00
6	Teachers Chair	2	16.00	32.00
7	Blackboards	1	10.00	10.00
8	Truck rental for School furniture Transportation(1 tonne)	1	160.00	160.00
9	<b>Sub-Total</b>			<b>500.00</b>
10	<b>Total Cost for School Furniture for 32 Classrooms</b>			<b>16,000.00</b>
11				
12				
13				

2.1.1 2.1.2 2.1.3 2.1.4 2.1.5 2.1.6 2.1.7 AND 2.1.8 2.1.10 2.1.11 2.1.12 5.1.1 and 5.1.2 Gen Oper