



## DUE DILIGENCE GUIDELINES

THE EXECUTIVE COMMITTEE,

CONSIDERING Rule 4.6.1 of the Implementing Rules for the Financial Regulations, which provides that the Secretary General shall establish a due diligence procedure in conformity with the Guidelines of the Executive Committee,

PUSUANT TO Resolution AG-2014-RES-15 on extrabudgetary resources, in which the General Assembly, meeting at its 83rd session in Monaco, asks the Executive Committee to adopt, inter alia, Due Diligence Guidelines,

DECIDES to adopt the following Due Diligence Guidelines:

### **GUIDELINE 1:**

The due diligence procedure will seek to ensure that:

- the donor or potential donor shares INTERPOL's fundamental values and principles;
- the donor or potential donor's activities are compatible with the principles, aims and activities of INTERPOL;
- the origin of the contribution is neither financially nor legally flawed;
- the contribution is intended for purposes compatible with the principles, aims and activities of INTERPOL.

### **GUIDELINE 2:**

Due diligence shall specifically seek to mitigate the risks of INTERPOL – as the International Criminal Police Organization – being associated with criminals and/or criminal activities.

**GUIDELINE 3:**

In order to achieve its purpose, due diligence shall be performed on:

- the legal person which is the donor or potential donor;
- the natural person who is the donor or potential donor, or linked closely or remotely thereto;
- the origin of the contribution;
- the intention behind the contribution.

**GUIDELINE 4:**

Due diligence shall be performed on non-governmental organizations and other private entities, including foundations and similar institutions.

Conversely, due diligence shall not be performed on any government or intergovernmental organization.

**GUIDELINE 5:**

Due diligence shall be performed prior to, and during the course of, the relationship between INTERPOL and the donor.

Prior due diligence shall be performed at the earliest stage of discussions with the potential donor.

**GUIDELINE 6:**

Due diligence shall, in principle, be performed at the INTERPOL General Secretariat and shall include a consultation of the relevant INTERPOL Members through their National Central Bureaus.

Where necessary, the INTERPOL General Secretariat may call on an external investigating firm to supplement the inquiry.

If a donation is made through the INTERPOL Foundation, the General Secretariat will build on the due diligence conducted by the Foundation.

**GUIDELINE 7:**

The officials of the General Secretariat performing due diligence shall, at all times, be responsible for safeguarding the interests of the Organization and its reputation.

They shall observe the strict confidentiality that must surround the due diligence process.

**GUIDELINE 8:**

The Organization shall set up and maintain a Due Diligence Office which will be the cornerstone of the system.

The Due Diligence Officer shall be entrusted with support duties, supervisory duties and registrar duties, as defined by the Secretary General, to be part of the terms of assignment of the Due Diligence Officer.

**GUIDELINE 9:**

The Secretary General shall be accountable to the Executive Committee and the General Assembly for the work performed by the Due Diligence Officer.

**GUIDELINE 10:**

There shall be two different levels of due diligence:

- Regular checks to be made for all contributions or potential contributions;
- Thorough checks to be made in cases where issues of concern have been raised.

**GUIDELINE 11:**

Once INTERPOL has accepted a contribution, the Due Diligence Officer and the official primarily in contact with the donor are jointly tasked with monitoring the donor and the contribution.

The Due Diligence Officer may decide to initiate random due diligence on any donor or contribution.

The official primarily in contact with the donor is under an obligation to report any doubt that may arise during the course of the relationship between INTERPOL and the donor regarding the integrity of the donor or the lawfulness of the contribution.

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