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Due Diligence Information

Checklist and Questionnaire

# Background

Our due diligence process is designed to ensure that grant funding is awarded responsibly in a way that minimises risk to the funder and the grantee. This process involves a review of an organisation’s finances, governance structures, and internal policies and processes to assess the level of potential risk before disbursing grant funds.

As a grant-awarding entity, it is a legal requirement for us to conduct due diligence on all out prospective grantees before confirming funding. This process verifies that each organisation has robust mechanisms in place to manage grant funds effectively, mitigate risks, and uphold standards of ethical conduct.

Requirements

A full due diligence review will be carried out on your organisation if selected for funding. This is an integral part of our grant-making process and finalisation of the grant agreement and funding award is conditional on successful completion of these due diligence checks. We will work with you to agree the grant agreement at the same time as we undertake these checks.

The due diligence process we use is related to size of funds requested and the profile of the organisation. For grants under £50,000, there are 2 types of due diligence processes, Standard and Standard Plus, and different information is required for each as follows:

|  |  |  |
| --- | --- | --- |
| **Due diligence level** | **Applies to** | **Documents required** |
| **Standard due diligence** | * Academic Institutes registered in the UK, the European Economic Area (EEA), European Free Trade Association (EFTA), the USA, Canada, Australia or New Zealand, and licenced or accredited by a regulatory body * Charities registered and regulated in the UK, the European Economic Area (EEA), European Free Trade Association (EFTA), the USA, Australia, New Zealand or Canada that have a turnover of at least £10m per year or more * Private limited companies (except Limited Liability Partnerships or equivalent, or those with anonymous ownership) registered in the UK, the European Economic Area (EEA), European Free Trade Association (EFTA), the USA, Canada, Australia or New Zealand that have a turnover of at least £10m or more per year * UN agencies or Programmes * Entities belonging to the Red Cross or Red Crescent Movement | 1. Lead organisations legal registration, charity number and/or accreditation confirmation, (if relevant) 2. Research/ Project team list, (Full name, date of birth and nationality) for vetting. 3. Safeguarding & Child Protection policies 4. Anti-Fraud, Anti Bribery, and Anti-Terrorism policy 5. Procurement policy 6. Security Policy |
| **Standard plus due diligence** | * Grants of £50,000 and under for organisations that don’t fit into the “Standard” bracket | As above but also including:   1. List of Trustees, Board Members or Directors from lead organisation (Full name, date of birth and nationality) 2. Audited accounts for the past two years |

Due diligence questionnaire

Please complete the following questionnaire which forms part of our preliminary due diligence review. A full due diligence review will be required if your project selected for funding.

This form should be completed by the lead applicant organisation and returned to [information@ukhih.org](mailto:information@ukhih.org)

**1. Basic information**

|  |  |
| --- | --- |
| Legal name of organisation: |  |
| Country of registration: |  |
| Registered address: |  |
| Legal registration number(s): |  |
| Website: |  |

**2. Organisational finance, procurement and grant management history**

Please respond to the following questions to the best of your ability. We will accept approximate numbers at this stage. For narrative responses please use a maximum of 150 word per response.

|  |  |
| --- | --- |
| Question | Response |
| Do your organisation’s accounts undergo an independent audit each year?  If not, why not? |  |
| What was your organisation’s average annual income for the past three financial years? |  |
| Elrha funds projects at a wide range of organisations, with diverse management structures.  Which organisational unit would be responsible for managing this grant, if your application is successful? E.g. centrally administered/ school/department/country office/programme team/other.  If not centrally administered, please provide the name of the responsible unit. |  |
| Please briefly describe up to three grants that your organisation/unit has previously received, which are similar in nature to the one which you are currently applying for.  Details should include:   * Project title * Principal Investigator * Recipient organisation/unit * Grant value * Donor(s) * Year awarded * Current status of project * Any other relevant information you wish to bring to our attention | Grant 1: |
| Grant 2 (optional): |
| Grant 3 (optional): |
| Has the organisation/unit which will be responsible for this grant had any grants which have been terminated for poor performance or breach of terms within the last three years?  If yes, please provide details. |  |
| Does your organisation have in place written financial management processes and procedures? |  |
| Does your organisation have in place written risk management processes and procedures?  If not, please explain how the organisation manages risks in its business. |  |
| Does your organisation have in place written procurement processes and procedures?  If yes, please provide a brief overview.  If not, please explain how the organisation ensures good procurement management in its business. |  |

## Please feel free to provide any additional comments (optional):

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**3. Organisational policies**

Below is a list of the core policy areas we expect to be covered in your organisational policies. Please confirm whether the relevant policies are in place and if the criteria listed is covered, partially covered, or not covered at all.

If your organisation is selected for full funding, we will be required to review your organisational policies.

|  |  |  |  |
| --- | --- | --- | --- |
| **Anti-Fraud, Anti Bribery and Anti-Corruption Policies & Procedures** | | | |
| Question | Yes | Partially | No |
| Does your organisation have an Anti-Fraud, Anti-Bribery and Anti-Corruption Policy or related policy in place? |  |  |  |
| Is there Anti-Fraud, Anti-Bribery and Anti-Corruption training in place for all members of staff? |  |  |  |
| Is there a whistleblowing policy in place in case of suspicion of serious malpractice or fraud? |  |  |  |
| **Anti-Terrorism Policy & Procedures** | | | |
| Question | Yes | Partially | No |
| Does your organisation have a specific policy covering Anti-Terrorism? |  |  |  |
| Is there training in place for members of staff around Anti-Terrorism and Anti-Terrorism financing? |  |  |  |
| Do you carry out due diligence and vetting of new staff, partners, contractors & suppliers? |  |  |  |
| **Child Safeguarding & Safeguarding of Vulnerable Groups Policies** | | | |
| Question | Yes | Partially | No |
| Does your organisation have a Safeguarding policy in place? |  |  |  |
| Does the policy refer to and define vulnerable groups? |  |  |  |
| Do staff, volunteers and/or consultants receive training on safeguarding principles, and are they aware and committed to following the procedures and processes in place if there is an incident or a suspected incident? |  |  |  |
| Are there reporting procedures in place along with clear guidance for staff, volunteers and/or consultants in the case of reporting? |  |  |  |
| **Safety and Security Policy** | | | |
| Question | Yes | Partially | No |
| Does your organisation have a Safety and Security Policy in place? |  |  |  |
| Does the organisation conduct risk assessments before sending staff on any travel? |  |  |  |
| Does each person travelling receive a security and safety briefing? |  |  |  |
| Does the organisation ensure that all safety and security incidents are reported within 24 hours? |  |  |  |

Please feel free to provide any additional comments (optional):

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| --- |
|  |

Please contact the us at [information@ukhih.org](mailto:information@ukhih.org) if you have any questions related to the due diligence process.

## Thank you