



### Due Diligence Assessment Questionnaire

Name of the Organization:

**PART-A (Applicable only to All Organisation)**

	Question	Response
1	<p>Is the organization legally registered?</p> <ul style="list-style-type: none"> <li>Describe nature of legal registration.</li> <li>Provide copies of registration documents.</li> </ul>	
2	<p>Please provide the following information for the head (President, CEO, Executive Director, etc.) of your organization and their direct reports.</p> <p>Name: Title: Phone #: Email address:</p>	
2.1	Please describe what oversight/governance mechanisms exist to support the executive team (board, or other governance structure)	
2.2	Please provide the reporting line from the leader in your organization on this project up to the top person.	
3	Please provide the organization structure for the accounting/financial management unit.	
3.1	Please provide the list of accounting staff in the organization with their professional qualifications such as ACCA, CA, CPA, CIMA etc.	
3.2	Which accounting basis does your organization apply? i.e. cash or accruals accounting?	
3.3	Does the organization have accounting software with a Chart of Accounts?	

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	Question	Response
3.4	Describe how the accounting software captures all project costs components (donors, cost type, budget line details)	
3.5	Please explain how you ensure that financial reports are accurate, in the correct format, and submitted in a timely manner.	
3.6	Please describe how you assure charges incurred and paid to sub-grantees or sub-contractors are reasonable, and accurately and timely reported.	
3.7	Is your organization subject to annual external audits? If yes, please provide audited financial statements for the organization for the last three years	
4	<p>Does the organization have following written policy and Procedure?</p> <ul style="list-style-type: none"> <li>• Financial policy,</li> <li>• Procurement policy,</li> <li>• Risk management policies and procedures?</li> <li>• Fraud/anti-corruption Policy</li> <li>• Protocol/Guidelines for data protection</li> </ul> <p>4.1 Note: Please provide soft copies of the above policies and procedures.</p> <p>Describe your organization's internal controls over</p> <ul style="list-style-type: none"> <li>• Financial: <ul style="list-style-type: none"> <li>➤ project budget management,</li> <li>➤ cash and bank balances,</li> <li>➤ project advances,</li> </ul> </li> </ul>	

	Question	Response
4.2	<p>➤ project assets and inventories</p> <p><b><u>Safeguarding Policies, Procedures, Practices and Systems</u></b></p> <p><i>Please confirm if your organisation has the following in place (YES or NO) . If yes provide soft copies/links to the policies.</i></p> <ul style="list-style-type: none"> <li>• Child Safeguarding Policy</li> <li>• Prevention of Sexual Harassment policy</li> <li>• Duty of Care Policy</li> <li>• Respect at work/ anti-bullying and harassment policy</li> <li>• Whistleblower policy</li> <li>• Anti-human trafficking and anti-modern slavery policy</li> <li>• Prevention of sexual abuse and exploitation of beneficiaries' policy</li> <li>• Code of conduct</li> </ul>	
4.3	<ul style="list-style-type: none"> <li>• Privacy policy and terms of use (electronic)</li> </ul> <p><b>HR policies and processes</b></p> <p><i>Please confirm if your organisation has the following in place (YES or NO). If yes and provide soft copies/links to the policies.</i></p> <ul style="list-style-type: none"> <li>• Recruitment policy</li> <li>• Compensation and benefits policy including leaves</li> <li>• Performance management and promotion policy</li> <li>• Conflict of interest policy</li> </ul>	

	Question	Response
5	<p>Describe your organization's previous grant management experience with donor funded organizations such as</p> <ul style="list-style-type: none"> <li>• 3ie.</li> <li>• List the details of 3-4 different grants from different funders managed in the last three years indicating donor, grant amount, grant period and details of the contact person(s).</li> </ul>	

**PART-B (Applicable only to Organisations legally registered in India)**

	Question	Response
1	Is the organization legally registered under labor Law?	
1.1	<p>If yes, please provide the following:</p> <ul style="list-style-type: none"> <li>• Registration under PF and ESI</li> <li>• Registration under Shop and Establishment Act</li> </ul> <p>Please provide the return submitted under above compliances for the last financial year</p>	
2	Is the organization legally registered under FCRA?	
2.1	<p>If yes, please provide the following:</p> <ul style="list-style-type: none"> <li>• Registration under FCRA</li> <li>• Last 3 years FC return along with the financial</li> <li>• A table for last 3 years detailing the following information <ul style="list-style-type: none"> <li>➤ Total FC fund received</li> <li>➤ Total FC expenses reported</li> <li>➤ Total Administrative expenses reported</li> <li>➤ Percentage of Administrative expenses</li> </ul> </li> <li>• A brief note on detailing the type of expenses covered under the head administrative expenses. Please list out your plans to manage the administrative expenses under 20% in the amendment act of FCRA.</li> </ul>	
3	Please confirm that you have opened the bank account with State Bank of India, New Delhi Main Branch, 11, Sansad Marg, New Delhi – 110001 as the branch for receiving remittances under FCRA.	
4.	Are there any changes to your constitution / bylaws in last 3 years? If yes, please confirm that that has been reported to the FCRA authority/ ROC.	

	<b>Question</b>	<b>Response</b>
4.1	Are there any changes in your Governing body, Trustee, settler, or board of Directors in last 3 years? If yes, please confirm that that has been reported to the FCRA authority/ROC	
4.2	Please provide the list of Governing Body, Settler, Trustee or board of Directors for last 3 years.	
5	Please confirm that there is no interbank transaction between tour FCRA account and Non FCRA account.	
6	Please confirm all your investment of the FC fund is only on Fixed Deposit as allowed and no other investment were created out of the FC fund.	
7	Please confirm you have complied with all the compliances required under the Society Registration Act / Trust registration Act or Companies Act. Please provide the copy of the document submit to the registrar of Society /ROC for last 3 years.	

### **Certification**

I, the undersigned, warrant that, at the date of this certification, the information provided in this assessment checklist is true and accurate. I also undertake to notify 3ie of any changes that may take place during the tenure of the agreement (if awarded). I also agree that any false declaration may result in the cancellation of a grant, if awarded, following the assessment carried out using this checklist.

**Name:**

**Signature:**

**Title:**