**Global Health Workforce Programme**

**Large Grant Lead Partners Due Diligence Assessment**

## The purpose of this due diligence assessment is to evaluate the capacity of the lead partner institutions to manage and deliver the proposed project.

## Global Health Partnerships (GHP - formerly THET) will use the due diligence assessment to support partners to address areas where capacity can be strengthened in the implementation of the project. It is fine if some of these processes are planned rather than completed, but it is useful for us to know how far you have progressed. Please note that even if you answer ‘no’ to any of these questions, this does not mean you will be ineligible to receive funding.

## Some of the questions are relevant for both lead partners, some questions may only be relevant for certain partners, and some questions may be answered by the partnership as a whole rather than the individual partners. Where partners are not expected to answer questions, the answer box will be grey. Where the partnership as a whole is expected to answer the question, the box will be merged.

By sharing information with us, you acknowledge and consent to the processing and sharing of your data in compliance with the General Data Protection Regulation (GDPR) and relevant data protection laws, solely for the purposes specified in this document. Data shared in this document will not be shared with third parties.

## We are aware that some institutions use national policies rather than institutional ones. Please note where this is the case.

## If you have any queries please email [grants@thet.org](mailto:grants@thet.org). Please submit this document with your application.

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|  | Lead Partner 1 - Contract Holder | Co-lead partner |
| Organisation |  |  |
| Individual(s) completing due diligence form |  |  |
| Role of individual within project |  |  |
| Full name of director(s) of the organisation |  |  |

**Governance**

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| **Ref** | **Area to be assessed** | **Lead contract holder** | **Co-lead partner** |
| **Governance** | | | |
| 1.1 | Does the organisation have in place a fully functioning non-executive Board with committees in place? How often does it meet? |  |  |
| 1.2 | Does your organisation receive any other funding from other UK government contracts or agreements? If yes what is the total value? |  |  |
| 1.3 | Is your organisation legally registered? Please provide the business license and/or registration document in support of your application. |  |  |
| 1.4 | Does your organisation have VAT and/or TIN certificates? Please provide them in support of your application. |  |  |
| 1.5 | Is your organisation compliant with national tax regulations? |  |  |
| **Risk management** | | | |
| 1.6 | Does the organisation have a risk framework/ register? Who manages it? |  |  |
| 1.7 | How are risks monitored and mitigated against? |  |  |
| **Ethics** | | | |
| 1.8 | Have there been any reported cases of fraud in the last 3 years? If so, how was it managed and what was the outcome? |  |  |
| 1.9 | Is financial information made publicly available? If so, how? |  |  |
| 1.10 | Does the organisation report to the [IATI Standard](https://iatistandard.org/en/)? |  |  |
| 1.11 | Is there a code of ethics, or similar, signed by employees? Does the organisation adhere to a set of ethical standards? |  |  |
| 1.12 | Does the organisation commit to following the Ethical Trading Initiative Base Code?  <https://www.ethicaltrade.org/eti-base-code> |  |  |
| 1.13 | Does the organisation adhere to Principles 1 and 2 of the UN Global Compact? <https://www.unglobalcompact.org/what-is-gc/mission/principles> |  |  |
| 1.14 | Does the organisation have a management and retention policy? (which addresses areas of actual or potential conflict of interest) |  |  |
| **Policies** | | | |
| 1.15 | Do you have organisational policies on the following:  Where yes please submit these along with this form, where no, please provide an overview of Partnership work in this area | | |
| 1.151 | Code of Conduct/Code of Ethics |  |  |
| 1.152 | Anti-Fraud, Bribery and Corruption |  |  |
| 1.153 | Anti-bullying and harassment policy |  |  |
| 1.154 | Financial management procedures manual |  |  |
| 1.155 | Procurement |  |  |
| 1.156 | Gender Diversity and Equal Opportunities |  |  |
| 1.157 | Safeguarding |  |  |
| 1.158 | Finance manual |  |  |
| 1.16 | How are these policies communicated to staff and volunteers? |  |  |
| 1.17 | Are the organisation’s policies also communicated to downstream delivery partners? What is the process for doing and monitoring this? |  |  |
| 1.18 | What process is undertaken to review and update policies and procedure documents? |  |  |

**Project delivery**

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| **Ref** | **Area to be assessed** | **Lead contract holder** | **Co-lead partner** |
| **Staff capacity** | | | |
| 2.1 | Describe the organisational department which will be responsible for the financial management of this grant. |  |  |
| 2.2 | Does the organisation have the financial management capacity to manage the grant appropriately or will additional resources be needed? |  |  |
| **Programme management** | | | |
| 2.3 | Describe the insurance policies for both the organisation and staff/volunteers working on this project? |  |  |
| 2.4 | Does the organisation produce management accounts and project budgets regularly and are they shared with senior management and/or the Board? |  |  |
| 2.5 | Is there an approved travel & subsistence policy and are rates included in the budget for this project in line with it? |  |  |
| **Risk Management** | | | |
| 2.6 | As a partnership how have you assessed risks with managing this project? |  | |
| 2.7 | How will you monitor and manage these risks? |  | |
| 2.8 | What systems do you have to manage an emergency or incident if one arises? |  | |

**Financial Management**

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| **Ref** | **Area to be assessed** | **Lead contract holder** | **Co-lead partner** |
| **Financial viability** | | | |
| 3.1 | What has been the annual income for the organisation for each of the last 3 years? |  |  |
| 3.2 | Does the organisation produce cash forecasts? |  |  |
| 3.3 | Does this project require match funding? If, yes, has any funding been secured to date? |  | |
| **Financial management** | | | |
| 3.4 | Does the organisation have a financial management procedures manual which clearly sets out accounting, reporting, internal control, and administrative tasks? |  |  |
| 3.5 | Does the organisation have a UK GBP or foreign currency bank account with a reputable bank, held in the organisation's name? |  |  |
| 3.6 | Have funds been transferred to downstream partners before? If not, have you communicated with your bank and partners to ensure that smooth transactions can be made and funds can be accessed? |  |  |
| **Internal and external audits** | | | |
| 3.7 | Does your organisation conduct an external audit of annual accounts each year? If so, please provide your most recent audit report. |  |  |
| 3.8 | What processes are in place for your organisation to review and implement recommendations from external auditors? |  |  |
| 3.9 | Does the organisation have an internal audit function, and are observations and recommendations routinely followed up? |  |  |
| **Policies, procedures and systems** | | | |
| 3.10 | Does the partnership have an asset register? How often is the register updated and is this based on a physical check? |  | |
| 3.11 | How will the partnership manage foreign currency fluctuations? |  | |
| 3.12 | How are transactions normally paid for and what are the controls around this? Please include authorisation and reconciliation controls? |  | |
| 3.13 | Are all payments supported with relevant documentation (quotes, invoices, receipts etc) |  | |
| 3.14 | Can the partnership meet the requirement to submit a detailed transaction listing with each claim and provide scanned receipts for all transactions (if required) in an organised and timely way? How will the contract holder ensure that all downstream partners follow the same requirements? |  | |
| 3.15 | Can project funds be separately identified, monitored and reported? |  |  |
| 3.16 | Does your organisation prepare, review and approve bank reconciliations monthly? |  |  |

**Partnership Activity**

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| **Ref** | **Area to be assessed** | **Lead contract holder** | **Co-lead partner** |
| **Due diligence** | | | |
| 4.1 | Are all partners and downstream delivery partners registered in their country of operation? Where not, please explain their role in the project. |  | |
| 4.2 | Are any downstream partners receiving £10,000 or more of project funds (including holding funds)? Please list them. |  | |
| 4.3 | Where downstream partners are receiving £10,000 or more of project funds, what due diligence process will be followed? |  | |
| **Management frameworks/contracts** | | | |
| 4.4 | Do the lead partners use MoUs / contracts / agreements when engaging downstream delivery partners? |  |  |
| 4.5 | Under this project, which (if any) MoUs / contracts / agreements are already in place, and which need putting in place with partners if your application is successful? |  |  |
| 4.6 | Do the MoUs / contracts / agreements include a work plan, budget, reporting and payment mechanism? |  |  |
| **Monitoring and management** | | | |
| 4.7 | How will the lead partners manage the disbursement of funds to, and receipt of funds from, in-country offices, partners or downstream delivery partners in a timely, transparent and accountable manner? |  | |
| 4.8 | Are site visits and / or spot checks made to downstream delivery partners during operational project delivery? |  |  |
| **Safeguarding** | | | |
| 4.9 | What safeguarding protocols are in place? Please describe how you monitor safeguarding risks and what you would do if a safeguarding issue arose. For reference, please see the [GHP Safeguarding Toolkit](https://www.thet.org/resources/safeguarding-toolkit-for-health-partnerships/) |  |  |
| 4.10 | How are the organisation’s own policies regarding safeguarding (including those related to the code of ethics, bullying & harassment, abuse, child and vulnerable adults) communicated to all downstream delivery partners? |  |  |
| 4.11 | Does your partnership as a whole have a safeguarding protocol in place? If not will you commit to implementing a partnership [safeguarding protocol](https://365thet.sharepoint.com/sites/Data/Shared%20Documents/Thet%20Shared/PROGRAMMES/Programmes%20team/Grants%20Quality/Processes,%20Guidance%20%26%20Templates/HP%20Safeguarding%20Protocol.pdf)? |  | |
| 4.12 | Does the proposed grant involve working with children or vulnerable adults? | . | |

As a reminder, the supporting documentation to be provided consists of:

* Code of Conduct/Code of Ethics
* Anti-Fraud, Bribery and Corruption policy
* Anti-bullying and harassment policy
* Financial management procedures manual/policy
* Procurement policy
* Gender Diversity and Equal Opportunities policy
* Safeguarding policy
* Most recent audit report