

## Due Diligence Checklist

The Due Diligence checklist is a tool that helps the Fiji Women's Fund to assess the capacity of grantee organisations to effectively manage, spend and report on DFAT funds. It is based on DFAT's draft Due Diligence Framework and is an important part of the Fiji Women's Fund own financial and risk management processes.

The Due Diligence Checklist can also provide an opportunity for the Fiji Women's Fund and its partners to have frank discussions about partners' systems, where these need to be improved and, in some cases, how FWF can assist in this process.

The checklist should be undertaken on all new grantees before funds are disbursed for the first time; and should be undertaken every 1–2 years thereafter dependent on risk associated with that partner.

<b>Name of Organisation:</b>	
<b>Proposed Total Grant:</b>	
<b>Date of Assessment:</b>	
<b>Assessment conducted by:</b>	
<b>Assessment attended by organisation staff:</b>	

Key Indicators	Minimum Standards / Requirements	Means of Verification (Documents Required)	Checklist (Yes / No)	Comments
Verification of the organisation identity	Organisation is a legal entity.	Current registration certificate.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Current registered Trustees and Management Board at the Registrar of Titles	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Legitimate Bank Account / Statements.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Official documents with letterheads.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation has stated purpose of existence or set of objectives.	Memorandum of Association or Articles of Association.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	There is a guiding constitution that describes the overarching purpose and governance arrangement of the organisation.	Constitutions.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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	Organisation has a board that meets regularly.	List of Governing Board Members including date of appointment, term of appointment and end of appointment and Minutes of Board meetings	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation must declare any affiliations with any political party or politicians. And any potential conflicts arising from this political affiliation.	Written declaration from Management or Board.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation has a physical address. Organisation has a website/there is publicly available information on the organisation.	Visit to the office Internet search	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Past Performance	There is evidence of past performance or reports that have been produced by the organisation at least in the last one year.	Annual Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Independent evaluations and reviews	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Existing donor reports	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	There is evidence of implementing and completion of activities and projects.	Progress Reports	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Third parties reference checks (e.g. donors and other stakeholders)		<input type="checkbox"/> Yes <input type="checkbox"/> No		
Technical / Operational Capacity	Organisation has demonstrated its capability to ensure effective delivery of projects.	Previous projects / performance reports.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation has annual costed work plans and budgets.	Strategic Plan and yearly work plan and budgets.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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	There is technical capacity to undertake the scope of the project.	CVs of key staff who undertake the project in terms of qualifications to undertake activities.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation identifies and seeks necessary training / capacity training for its staffs. Capability of key staff who are involved in terms of reporting. Key program and finance staff are sufficiently skilled / experienced to provide necessary levels of reporting.	Staff interviews and feedback.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation has sound human resource management systems in place	Code of conduct	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Staff performance management system in place	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Financial Viability	Organisation is not solely dependent on one donor and has diverse sources of income.	Yearly budget.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation has sound financial systems in place to capture / record all financial transactions accurately.	Finance / Human Resource / Operation Policies	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	There are documented systems and policies in place to ensure accountability and transparency.		<input type="checkbox"/> Yes <input type="checkbox"/> No	

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	There are adequate reserves. Organisation discloses all outstanding liability or debt to other donors or third parties.	Financial Reports Annual audited accounts Third party referee checks as well as staff and board interviews / feedback	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation must maintain all insurance cover as required by law in their respective country.	Public Liability Workers Compensation Property Insurance Professional Indemnity	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Results & Performance Management	There are monitoring plans in place to follow up on implementation and learning.  Production of timely reports to stakeholders. Collection of data on regular basis.	M&E framework, M&E reports.  Evaluation / review reports Referee checks with other donors / stakeholders and staff interviews / feedback	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Cost / Value Effectiveness	Organisation makes informed decision on project design and cost management decisions.  There is a process to monitor expenditure against budget or plan.  Organisation seeks multiple quotes where necessary to consider value for money in any procurement process.	Project / Organisation budget  Monthly or quarterly financial reports  Finance policy (Procurement and travel) Source documents	<input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No  <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	

Key Indicators	Minimum Standards / Requirements	Means of Verification (Documents Required)	Checklist (Yes / No)	Comments
Fraud Control / Anti-Corruption & Criminal Records Check	Organisation has specific policy in place to deal with fraud and corruption prevention and management.	Finance / Operations manuals.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Organisation ensures that all staff go through the fraud control and anti-corruption training and are well versed with it.	Relevant staff training on the policies and attendance records	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Procurement processes are followed consistently.	Referee checks for new staffs	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	There is disclosure of conflict of interest in all procurement and recruitment activities.	Police check for criminal records for new staffs	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Staff recruitment process is transparent.	Check: <a href="http://lnadbq4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999">http://lnadbq4.adb.org/oga0009p.nsf/sancALLPublic?OpenView&amp;count=999</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		Check: <a href="http://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx">http://www.nationalsecurity.gov.au/Listedterroristorganisations/Pages/default.aspx</a>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Key Indicators	Minimum Standards / Requirements	Means of Verification (Documents Required)	Checklist (Yes / No)	Comments
Child protection safeguards	<p>Organisation, or FWF, has assessed the level of risk to child safety associated with the activity.</p> <p>If risks have been identified, practices are in place consistent with DFAT's child protection policy. Child Protection policy</p>	<p>Will the activity being funded by FWF involve personnel working with children, or being in isolated situations / locations where they will be in unsupervised contact with children? If so, additional mitigation strategies must be developed (refer DFAT's and the Fund's Child Protection Policies).</p> <p>What is the level of working with or contact with children at the activity level?</p> <p>Does the organisation have a child protection policy and processes and systems in place to report and manage child protection related issues?</p> <p>In analysing the overall potential child protection risk context, indicate whether a full protection risk of the organisation is required?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Low</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	

<b>Recommendations by Finance and Admin Officer:</b>	
<b>Comments by Program Officer:</b>	
<b>Approval by Senior Program Manager:</b>	

