

Open University Due Diligence Form

Introduction and instructions for completion

The Open University (OU) require all potential partners to complete our due diligence form as part of our due diligence processes. This is an essential tool in ensuring the accountability of our partnerships.

The information you share on this form will be used to validate all work between your organisation and the Open University over a 2 year period, starting on the date the form is signed unless there is a significant change to your procedures and controls or operating environment which would prompt an earlier review. However 'section 5 – Project Delivery', is project-specific so will need to be completed for each new project. We will not share the information you provide with other agencies unless it is requested by donors we jointly applied to. We will discuss this with the partner before sharing externally.

This questionnaire should be:

- Completed in English
- Completed accurately and in full (where you feel a question is not relevant, please write N/A and give a short explanation as to why)
- Accompanied by the requested supporting documents (where you are unable to provide supporting documents please give a short explanation as to why)
- Signed by your Director or a member of your senior management team

Failure to provide the information requested may result in your due diligence form being rejected or a delay in the development of the project. If any risks are identified in the information shares we will discuss this with the partner before a decision is made.

The Open University is happy to provide information to partners for their due diligence checks. We also encourage partners to share any concerns with information we provide to them, to ensure a transparent and accountable relationship.

Please complete and return this form to Dominic Servis, Programme Funding Officer at dominic.servis@open.ac.uk or contact them if you need further assistance, or are unable to provide information in a timely manner.

Section 1 - Organisational Details

1.1 Organisation contact details

Name of organisation (in full)	
Address of organisation	
Telephone number	
Email address	
Website	

1.2 Point of contact within organisation

Name	
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Position	
Telephone number	
Email address	

1.3 Legal Status of organisation

1.3.1. Please use the table below to describe the legal status of the organisation, registration numbers, and country and date of registration. Please write N/A in any boxes which do not apply.

<i>Type of legal status (please indicate)</i>	<i>Registration number</i>	<i>Country of registration</i>	<i>Date of registration</i>
Partnership			
Public Limited Company			
Private Limited Company			
Registered Charity			
Community or Faith based organisation			
Other (please state)			

1.3.2 Please give the date that the organisation formed

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1.3.3. Please provide details of the relationship between the different elements of the organisation (for example, Head Quarters, country offices, and fundraising offices). Please describe the legal status of different parts, and the legal relationship between them.

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1.4 Size of organisation

1.4.1 How many employees do you currently have?

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1.4.2 Please state your annual total income for the organisation for the last financial year (giving the currency)

1.4.3 Please provide an organisational chart for your whole organisation

Section 2 - Governance

2.1 Please provide a list of the organisation's current Board of Trustees

2.1.1 How often do the Board of Trustees meet?

2.2 Please provide the relevant policies for the organisation which cover the following:

	<i>Information requested</i>	<i>Please tick to say you have sent information</i>
2.2.1	Safeguarding (children and vulnerable adults)	
2.2.2	Code of conduct	
2.2.3	Whistleblowing	
2.2.4	Equal opportunities	
2.2.5	Health and safety	
2.2.6	Security	
2.2.7	Risk management	
2.2.8	Conflict of interest	

2.3 How many safeguarding incidents / concerns (children and vulnerable adults) have been recorded in your organisation in the past 3 years ? How were they dealt with and what was their outcome ?

2.4 Please list which insurances the organisation holds:

Personal injury, medical and emergency evacuation insurance Yes / No

Employer's liability Yes / No

Public or third party liability Yes / No

Professional indemnity Yes / No
 Other (please state)

2.5 Is your organisation registered on the IATI register?

Yes / No

If yes, please write your organisational IATI number

Section 3 - Finance

3.1 Please provide the relevant policies for the organisation which cover the following:

	<i>Information requested</i>	<i>Please tick to say you have sent information</i>
3.1.1	Dealing with bribery, fraud and corruption	
3.1.2	Money laundering	
3.1.3	Funding terrorist organisations	
3.1.4	Procurement	
3.1.5	Use of sub-contractors	

3.2 Please provide a copy of your financial manual

3.3. Please provide copies of your annual audited accounts for the past 3 years

3.4 Please provide copies of your annual reports for the past 3 years

3.5 Does your organisation have a computerised accounting package? If yes, please state the name of the software package you use

Yes / No

Name of computerised accounting package	
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3.6 Is your organisation able to maintain accounting records and timesheets for at least 5-7 years (or longer if local country or legal requirements are longer) after the project final financial reports are submitted?

Yes / No

3.7 Please describe what controls are in place to approve authorisation of expenditures within your organisation (this should include what authorisation levels and controls exist to ensure good financial management)

Section 4 - Previous experience

4.1 Please provide details of the most relevant projects or programmes (minimum of 3, maximum of 5) under which your organisation has provided services similar to those envisaged under this project within the last 3 years.

<i>Project name and brief description of activities undertaken (including country)</i>	<i>Who was the funder?</i>	<i>Contact name, telephone and email within funding organisation</i>	<i>Total value of contract</i>	<i>Value of contract to your organisation</i>	<i>Dates contract awarded, plus start and finish date</i>	<i>Web link to more information</i>

4.2 Have you had any projects within the last 3 years which have been terminated prematurely? If yes, please give details

Yes / No

If yes, please give details in the box below

Section 5 - Project delivery

5.1 Please provide an overview of your organisations capacity to support the project through development and delivery in terms of staff time/additional capacity that would need to be brought in

	<i>Proposal development</i>	<i>Programme delivery</i>
Capacity and expertise to deliver with in-house staff		
Additional resource/capacity that would be brought in		

5.2 Do you plan to sub-contract any element of this work?

Yes / No

5.2.1. If yes, and subcontractors are known, please provide details (including name and address) of the intended sub-contractor, and the activities they will carry out

Sub-contractor name and address	Type of activities they will carry out	Value of work being contracted

5.2.2 If yes to using sub-contractors, please complete the table below, detailing:

How the organisation carries out due diligence on sub-contractors	
How the organisation monitors performance of sub-contractors	
How the organisation flows down policies relating to safeguarding, anti-bribery and risk to sub-contractors and ensure compliance by sub-contractors	

5.3 Please describe the project management tools and methodologies that your organisation currently uses (e.g. activity schedules, risk and issue registers, log frames, monitoring and evaluation frameworks).

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Section 6 - Litigation and investigations

6.1 Please complete the table below

Are there currently any pending or threatened material litigation or other proceedings connected with your organisation or any of its Directors, Trustees, and Senior Officers in your home country or elsewhere?	Yes / No
Has there been any legal proceedings or court action against your organisation in the last 3 years?	Yes / No
Has there been any investigations by the police or by an official or government agency into your organisation in the last 3 years?	Yes / No
Has there been any investigations regarding corruption or serious misconduct against the organisation or any of its Directors, Trustees, Senior Officers in the last 3 years?	Yes / No

Does your Organisation in its current and potential roles or interactions appear to represent a Conflict of Interest with your Organisation's anticipated work with The Open University ?	Yes / No
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If you have answered 'yes' to any of the questions in the table above please give a brief explanation.

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Section 7 – Declaration & Checklist

I certify that to the best of my knowledge, information and belief, the information that I have supplied in this form is correct, complete and not misleading.

7.1 Please complete the box below

Name of organisation	
Full name of signatory	
Signature	
Position	
Date	

7.2 Please use the checklist to ensure you have sent all supplementary documents required.

<i>Information requested</i>	<i>Tick to say you have supplied this information</i>
Organisational chart	
List of current Board of Trustees	
Safeguarding (children and vulnerable adults)	
Code of conduct	
Whistleblowing	
Equal opportunities	
Health and safety	
Security	
Risk management	
Conflict of interest	
Dealing with bribery, fraud and corruption	
Money laundering	
Funding terrorist organisations	

Procurement	
Use of sub-contractors	
Financial manual	
Audited accounts for past 3 years	
Annual reports for past 3 years	
Signed due diligence form	