



# BAREFOOT INITIATIVE

## DUE DILIGENCE FOR PARTNERS

<b>Policy number:</b> 009	<b>Version:</b> 1.0
<b>Drafted by:</b> Kyra	<b>Board approval date:</b>
<b>Responsible person:</b> Co-Managing Directors	<b>Scheduled review date:</b> June 2022
<b>Nature of changes for this version:</b>	<b>Policy first developed:</b> June 2020

### OUTLINE

1. Purpose
2. NGO Partner Profile Assessment Form
3. Monitoring and review
4. Related policies and procedures

#### 1. PURPOSE

This policy and assessment form are intended to be used with all new partners that BFI goes into a formal agreement with, to ensure that basic frameworks are in place to ensure secure financial and programme management and accountability can be upheld. Where there are gaps, a clear capacity building plan will be developed with the partner and Barefoot Initiative.

#### 2. NGO PARTNER PROFILE ASSESSMENT FORM

Before this form is filled out by a new potential Partner and recipient of funds from Barefoot Initiative, the potential Partner and recipient will need to be checked against the [DFAT Consolidated List](#).

The Consolidated List is a list of all persons and entities who are subject to targeted financial sanctions under Australian sanctions law. Those listed may be Australian citizens, foreign nationals, or residents in Australia or overseas.

Barefoot Initiative is therefore responsible for undertaking the due diligence checks necessary to ensure the persons or entities connected with our proposed activity are not subject to targeted financial sanctions. The Consolidated List is designed as one tool to assist organisations registered within Australia to undertake such due diligence checks. Barefoot Initiative will undertake due diligence to ensure no asset is indirectly provided to any individual or entity who is on the Consolidated List prior to the NGO Partner assessment form being filled out.

**This form is to be filled in by NGO Partner.**

<b>CONTACT DETAILS</b> <i>(At least three senior staff)</i>				
<b>Name of Contact Person</b>	<b>Position in the organization</b>	<b>Address</b>	<b>Telephone / Mobile No.</b>	<b>Email (if any)</b>

<b>PART – 2</b>	
<b>Registration of NGO</b>	
<b>Registration No</b>	
Year of Registration and date of expiry	
Name of Bank used for NGO Account	
Account Name	
Name of Bank branch	
Address of Bank branch	
Account No.	
Bank BSB number	
Swift code	

<b>PART - 3</b>				
<b>Human Resource Details – Please attach an organogram if available</b>				
No. of Permanent Staff				
No. of contractual Staff				
No. of volunteer Staff				
<b>Governance – Please describe governance structure with responsibilities of management team</b>				
<b>Secretary/CEO/Director is the chief of the organization who is usually the prime person and leads overall operations of all projects dealt by the organization</b>				
Interval of Board Meetings		No of Board Members	Male	Female

<b>Organizational Report &amp; Policy</b> <i>(Please attach the latest copies)</i>
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Annual Reports if available		
HR policy		
Financial policy		
Other reports or publications		
<b>Child Protection Policy</b> <i>(If yes attach a copy)</i>		
Child Protection Policy		Remarks

<b>How often is the NGO audited – Please provide the audit report of for last two years and specify if the audit is internal or external and the financial year dates used by the partner.</b>	
<b>Accounting System and accounting software used (if any)</b>	
Manual / Computerized & software used	

<b>Relationship with Government</b>	
National or Regional Government level	
Zone level	
Woreda and Kabele Level	
<b>Non-Government Funding Sources</b>	
<i>If yes in any instance- Please give details- names of agencies- duration of funding.</i>	
Foreign Funding (Institutional Donors)	
Ethiopian Funding agencies (Yes/ No)	
Individual donors (Yes/No)	
Community contribution (Yes/ No)	

<b>Prepared by (NGO Official)</b>	
Signature <i>(with Seal)</i>	
Name	
Designation	
Date	
<b>Received by (Barefoot Initiative)</b>	
Signature	
Name	
Designation	
Date	

### 3. MONITORING & REVIEW OF FORM

The responsibility of implementation and updating of this form falls under the Co-Managing Directors. The form will be updated every two years and shared with the Board of Directors for Validation

## 4. RELATED POLICIES & PROCEDURES

- Risk mitigation policy
- Finance Policy
- Child Protection Policy



ANNEX 1: Organisation Partner Policy, Guidelines Checklist

<b>This list refers to confirmation of written documented Policy, Procedures and Guidelines held by the Partner Organization</b>					
<i>Section</i>		<i>Sub-section</i>	<i>Document Exists Y/N</i>	<i>Document is Adequate Y/N</i>	<i>Comment for capacity building plan where documents are missing or insufficient</i>
<b>1. Governance</b>	1.1	Statement of Vision/Mission/Goals			
	1.2	Organisation Strategic Plan			
	1.3	Organisational Structure & Description			
	1.4	List of Board Members, TOR, Minutes etc.			
	1.5	Legal Status documents : registration etc.			
	1.6	Succession Plan (stand alone or within another document)			
	1.7	Child Safeguard Policy			
	1.8	MIS (Management Information System)			
<b>2. Administration</b>	2.1	Administrative Policy / Procedures? (Admin, IT, Other etc.)			
	2.2	Procurement Policy (authorizations, threshold levels etc.)?			

	2.3	Procurement files and payment vouchers?			
	2.4	Fixed Asset Register & Procedures?			
	2.5	Physical inventory Reports?			
<b>3. Human Resource Management</b>	3.1	HR policy			
	3.2	Gender and Diversity Policy			
	3.3	Job Descriptions for each position in Org.?			
	3.4	Staff Plan or Organizational organogram?			
	3.6	Organizational Salary Scale			
<b>4. Financial Management</b>	4.1	Financial Policy			
	4.2	Financial Budget Monitoring Tools and Formats?			
	4.3	Voucher payment system & supporting documentation?			
	4.4	Financial Audits? (including Post Audit Management Plans to follow up on audit points raised in Management Letter)?			
	4.5	Risk Management Policy and/or Fraud & Corruption Policy?			
<b>5. Organizational Management</b>	5.1	Log frames/ Indicators - measure of impact for Programmes?			
	5.2	Monitoring and Evaluation Plan and Tools (Quality Assurance)?			
	6.9	Beneficiary Distribution Guidelines/template?			

	6.1 0	External Evaluations?			
<b>7. Partnering/ External Relations</b>	7.1	Case Studies / lessons learned / experience sharing?			
	7.2	MOUs - government/other NGOs/agencies?			