



Organisational Document Checklist

(Step 2 (i) of the 8 Step Assurance Framework)

The organisational checklist assessment is intended to gather organisational documents that will be used to assess the suitability of a partner in country of operation. The key areas of assessment are listed below.

This exercise is to be completed by the potential partner. We require copies of the documents listed in the organisational due diligence checklist. If certain documents are not available or not applicable, please state this in the comment's column.

Name of Organisation	
Date of Assessment	
Name of Person Making Assessment	

	Documentary requirement	Y	N	Comments
Incorporation and Structure	a. Copy of organisational strategic/business plan.			
	b. Diagram showing the legal structure of organisation.			
	c. Summary of the business activities of organisation.			
	d. Description of the management structure of the companies.			
	e. A copy of the company's Memorandum of Incorporation (Memorandum & Articles of Association)/other governing document and registration number.			
Assets and liabilities	a. Copies of title deeds, leases, documents evidencing options and pre-emptive rights and similar documents, including all documents relating to minority rights, sub-leases or tenancy agreements.			
	b. Documents evidencing mortgages, bonds, or other encumbrances.			
	c. Details of any land claims that have been filed in which the company is aware.			

	<p>d. Details of any sharing of occupation and/or facilities between the company and any other person or entity (including any subsidiary or affiliate of the company).</p>			
	<p>e. Names and addresses of all directors of the company (executive and non-executive), stating job title (if executive), appointment date, nationality and any other directorships and business interests held.</p>			
	<p>f. Details of any immovable property (and the company's rights in respect thereof) which is not owned or leased by the company, but which is used by the company or on which the company and its operations have any dependence (such as rights of way or access to water)</p>			
	<p>g. Copies of all special and ordinary resolutions adopted by the company.</p>			
	<p>h. Details of all investments held by the company, stating whether the investment is a quoted/listed security.</p>			
	<p>i. A list and particulars of all powers of attorney, proxies or other powers granted to officers, directors and employees of the company and to any third parties.</p>			
	<p>j. Violations of any law, order, ruling or regulation or breach of any contractual or other obligation which might lead to an unfavourable judgment, decision, ruling or finding against the company.</p>			

	k. Litigation: disclosure of any prior, current, pending and threatened litigation or arbitration proceedings. (including any allegations/complaints made against the company.			
	l. A schedule of all insurance policies in force during the previous three years, specifying the policy number, nature of risk, premiums, cover limit, deductibles (excess) and the renewal dates.			
	m. Written confirmation from the company that all premiums due on current insurance policies have been paid and that the directors are not aware of anything which could vitiate any such policies. Confirmation from the company that the insurance policies in place are adequate and sufficient for the company/and its business operations.			
	n. Written statement from company's tax/finance advisers that company is up to date and in full compliance of all tax requirements and obligations			
Governance	a. Summary of Board membership (expertise, selection and on-boarding process etc.			
	b. Summary of Board operations (meeting schedule, sub-committee, minutes etc.)			
	c. Outline of audit process (audit sub-committee? external auditor? Selection process?)			

	d. Fraud, bribery and anti-corruption Policy			
	e. Conflict of interest Policy			
	f. Environmental Policy			
	g. Whistle blowing Policy			
	h. Terrorist financing Policy			
	i. Safeguarding Policy			
	j. Gender Policy			
	k. Health and safety policy			
	l. Finance Regulations			
	m. Outline of open and transparent recruitment process			
Leadership	a. Brief Bio of senior management team with CVs			
	b. Outline of internal performance management process			
Financial Management Standards	a. Foreign exchange and hedging contracts and commitments to which the company is a party.			