

Due diligence questionnaire

Call reference: Tanzania Adaptation Accelerator Partner

In line with EIT Climate-KIC practices, we are requesting your organisation to complete a Due Diligence Questionnaire. Your responses help ensure we are working with viable, reputable, and ethical counterparties to support our mission.

The questionnaire consists of Exclusionary Grounds (where stated) and Discretionary Grounds (remaining questions). EIT Climate-KIC reserves the right to reject quotes/proposals in the event of unsatisfactory responses to this questionnaire.

Directions: please ask a financial officer of the organisation or other relevant officer (e.g., Chief Financial Officer, Finance Manager, Legal, Procurement, Operations, etc.) to complete the below questionnaire and return by the deadline communicated. We may need to seek clarification and appreciate your timely responses by 21/07/2023. Before submitting, ensure all questions are answered and that the form is signed (e-signature is acceptable).

Name of Organisation <i>(Legal name as per registration, articles of association, etc.)</i>	
English translation of the name <i>(when applicable)</i>	
Registration or identification number of the organisation	
Type of entity	<input type="checkbox"/> Private company (e.g., LLC, etc.) <input type="checkbox"/> Research organisation (University, Research Institute etc.) <input type="checkbox"/> Public body (city council, government department etc.) <input type="checkbox"/> Not-for-profit (NGO, CSO etc.) <input type="checkbox"/> Multilateral organisation <input type="checkbox"/> Other (please describe):
Physical Address	



Minimum Standards / Requirements	Means of Verification (Please provide requested supporting documents for each category) – all documents should be provided in English and with Certified/Sworn translation if requested	Response (Yes / No / N/A)	Comments (if applicable)
<p>Exclusion grounds Organisation is a legal entity.</p> <p><i>Guidance: Please check the boxes of documents you can evidence to meet this requirement. Please provide the means of verification when returning this form to EIT Climate-KIC.</i></p>	Current registration certificate.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	Legitimate Bank Account / Statements.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	VAT certificate (if applicable)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
	Other (please specify in the comments section)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	
<p>Exclusion grounds In the last 7 years, the organisation, its owners, board members and persons of significant control have not been:</p> <ul style="list-style-type: none"> • The subject of sanctions, • Bankrupt, or • Convicted of Fraud? 	Self-declaration	<input type="checkbox"/> Correct <input type="checkbox"/> Incorrect	
<p>Exclusion grounds In the last 7 years, the organisation, it's owners, board members and persons of significant control have not been convicted of involvement in:</p> <ul style="list-style-type: none"> • A criminal organisation, • Terrorism or terrorist financing, • Money laundering, • Corruption, as defined in article 3 of the Council Act of 26 May 1997 and article 3 of Council Joint Action 98/742/JHA, (EU Regulation) respectively. • Child labour, or • Forms of trafficking in human beings. 	Self-declaration	<input type="checkbox"/> Correct <input type="checkbox"/> Incorrect	

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<p>Please indicate your governing bodies and list their members</p> <p><i>Guidance: If the organisation has board members, in the Comments column please name these persons and please comment on frequency of board meetings</i></p> <p><i>If "N/A", please briefly explain organisational management structure and list key executives.</i></p>	Governing bodies and list of members	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	
<p>Please describe executive management structure</p> <p><i>Guidance: Describe the organisational structure and day-to-day management roles and responsibilities.</i></p>	Org chart or similar	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	
<p>Organisation must declare any affiliations with any political party or politicians. Any potential conflicts of interest that may arise from political affiliations must be disclosed.</p> <p><i>Guidance: If "yes", please declare these through the written declaration requested in the means of verification column. Any potential conflicts of interest that may arise from political affiliations must be disclosed.</i></p> <p><i>If "no" please also provide the means of verification, i.e., even if no political affiliations exist, Climate-KIC International Foundation will still require a written declaration to confirm this.</i></p>	Written declaration from General Secretary, Board or Financial Controller.	<input type="checkbox"/> Yes – there are political affiliations. <input type="checkbox"/> There are no political affiliations. <input type="checkbox"/> N/A	
<p>Does your organisation have a physical business address?</p> <p><i>Guidance: Please state the physical address in the Comments column. Send a pdf document or a screen shot confirming your physical business address.</i></p>	Through legitimate bank account/statements/utility bills or current registration certificate provided for legal entity check.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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<p>Organisation has demonstrated its capacity to ensure effective delivery of the project.</p> <p><i>Guidance: Please provide these means of verification when returning this form to EIT Climate-KIC.</i></p>	<p>Provide list of three largest (in terms of value) projects delivered within last three years and their donors</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>Organisation can evidence past performance and/or completion of activities/projects from the last year.</p> <p><i>Guidance: Please provide at least one means of verification when returning this form to EIT Climate-KIC.</i></p>	<p>Annual report, previous projects, performance reports, donor recommendations, donor report.</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>Organisation can evidence sound financial processes to accurately capture / record all financial transactions.</p> <p><i>Guidance: Please provide at least one mean of verification when returning this form to EIT Climate-KIC. This would be either a financial policy or financial monitoring and control policy or procedures.</i></p>	<p>Finance / Operation Policies Other Attach as a copy or provide a link</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>Organisation has a software to record and report actual grant/contract costs.</p> <p><i>Guidance: If responding "No", in the Comments, please explain how organisation will ensure costs will be accurately tracked and reported in the Comments column.</i></p>	<p>Self-declaration</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>Organisation has a stable financial situation.</p> <p><i>Guidance: If responding "No", please provide some justification in the Comments column.</i></p>	<p>Audited financial report from previous year/ basic P&L statement created internally –</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>There are processes to monitor expenditure against budget or plan.</p> <p><i>Guidance: If responding "No", describe how you ensure budget monitoring against the plan in the Comments column.</i></p>	<p>Self-declaration</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	

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<p>Organisation has a Procurement Policy including the minimum procurement principles and rules for contracting and subcontracting.</p>	<p>Link to Procurement Policy on website or pdf document sent by email.</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No <input type="checkbox"/>N/A</p>	
<p>Organisation maintains relevant insurance cover as required by law in their respective country. <i>Guidance: Please specify the insurance coverage. In case you don't have any please explain it in comments section</i></p>	<p>Please provide proof of insurance</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No <input type="checkbox"/>N/A</p>	
<p>Organisation has specific policies in place to mitigate fraud, money laundering, bribery, corruption, and related matters. <i>Guidance: If responding "Yes", please provide a copy or link. If responding "No", please describe how will you ensure that fraud, bribery, corruption, money laundering and other related matters are not committed.</i></p>	<p>Provide a copy or a link to proper document</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>Organisation has a formal policy in place to identify and manage potential conflicts of interest? <i>Guidance: If responding "Yes", please provide a copy or link. If responding "No", please describe how will a potential conflict of interest be managed?</i></p>	<p>Provide a copy or a link to proper document</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>The organisation has not previously been involved in:</p> <ul style="list-style-type: none"> • Government investigation • Past or pending legal action, • Breach of social obligations, • Breach of labour law, or • Breach of environmental obligations? <p><i>Guidance: If responding "Incorrect" briefly describe in the Comments column.</i></p>	<p>Self-declaration</p>	<p><input type="checkbox"/>Correct <input type="checkbox"/>Incorrect</p>	
<p>Has your organization previously been involved with collusion and any other form of competition distortion?</p>	<p>Self-declaration</p>	<p><input type="checkbox"/> Yes (please describe) <input type="checkbox"/> No</p>	
<p>Has your organization previously had to return funds to a donor due to mismanagement?</p>	<p>Self-declaration</p>	<p><input type="checkbox"/> Yes (please describe) <input type="checkbox"/> No</p>	

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<p>Does your organization have an Ethics Code or Policy?</p> <p><i>Guidance: If responding "No" briefly describe in the Comments column.</i></p>	<p>Please provide copy of a document or link</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	
<p>Is there any potential conflict of interest between your organization, persons appointed to deliver services on behalf of your organisation, EIT Climate-KIC and/or the associated funding?</p> <p><i>Guidance: If responding "Yes" briefly describe in the Comments column.</i></p>	<p>Self-declaration</p>	<p><input type="checkbox"/>Yes <input type="checkbox"/>No</p>	

Prepared by (name)	
Job title	
Signed	
Date of completion	