

Annex 1: Template Checklist

Prospective Partner:	
Alliance member and Country Programme providing due diligence:	
Date of checklist completion:	Click or tap to enter a date.

Section 1: Scoping

1a: Background Information

1.1	Name of our Donor / source of funds:	
1.2	<p>Is the use of due diligence passporting accepted by the donor's requirements?</p> <p><i>Note: If the answer is no and the donor does not allow the use of due diligence passporting when selecting partners, please do not proceed. You must refer to your organization's due diligence procedure.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not clear or not confirmed – explain any risk mitigation / rationale for proceeding here:
1.3	<p>Have we been provided with the correct documentation for this procedure? Is this a full copy of the due diligence results, including any analysis performed by the Alliance member?</p> <p><i>Note: only the DD Assessments outlined in Annex 4 are accepted for passporting.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <i><add explanatory notes as necessary></i>
1.4	<p>Date due diligence was completed:</p> <p>Is this timeline valid for the purpose of our proposed project?</p> <p><i>Note: If more than 2 years have passed since the due diligence was conducted then this passporting procedure should not be applied, please do not proceed.</i></p>	<p>Click or tap to enter a date.</p> <input type="checkbox"/> Yes <input type="checkbox"/> No <i><add explanatory notes as necessary></i>
1.5	<p>Has the providing Alliance member raised any concerns about the prospective partner?</p> <p><i>Note: This may be documented in their assessment or provided separately when you requested the documentation.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <i><add explanatory notes as necessary></i>

1b: Partner Confirmation

1.6	Confirm with the Prospective Partner that they agree to us passporting due diligence from another Alliance member:	<input type="checkbox"/> Confirmed <add link to where confirmation is saved> <input type="checkbox"/> Not confirmed – own due diligence procedure will be applied
1.7	Confirm with the Prospective Partner whether there have been any <u>significant changes</u> since the due diligence was performed by the Provider:	<input type="checkbox"/> Yes, partner confirmed that there have not been any changes since the last due diligence <input type="checkbox"/> Yes, the partner confirmed that there have been changes <input type="checkbox"/> Not confirmed - explain any risk mitigation / rationale for proceeding here:
1.8	Where <u>significant changes</u> have been confirmed, what approach have we taken?	<input type="checkbox"/> n/a – no changes <input type="checkbox"/> Yes – additional questions raised/policies requested, and assessment performed in the template in Annex 3 <input type="checkbox"/> n/a – changes noted, but no additional measures required. Specify why:

Section 1 Sign-off

According to the answers to the questions in this Section, can we proceed with passporting?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
Completed by:	Approved by:
Name:	Name:
Position:	Position:

Section 2: Review of due diligence performed**2a. Quality Assurance**

2.1	<p>Due diligence assessment and approval: Has the assessment been performed and reviewed approved by an appropriate person / team?</p> <p><i>Consider if the seniority of the approver is comparable to your organisation's requirements</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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2.2	What was the result of the due diligence assessment? <i>Note: Document the result in the same way that the Provider has – this may be pass / fail, assigning a risk level, etc.</i>	
2.3	Have you received sufficient detail (e.g. detailed analysis & all necessary documentation) to enable you to reach a conclusion on whether to proceed with 'passporting' or to proceed with the prospective partner? <i>Note: Should you need clarification on any answers raised by the Provider it is advised to arrange a clarification call before answering this question.</i>	<input type="checkbox"/> Yes – conclusion can be reached <input type="checkbox"/> No – conclusion cannot be reached
2.4	Following a review of the supporting documentation/evidence and the analysis performed by the Provider, do you agree with the conclusion reached by the Provider?	<input type="checkbox"/> Yes – same conclusion reached <input type="checkbox"/> No – different conclusion reached
If you have selected 'No' to any of the above, detail any risk mitigation measures proposed: 		

2b. Gap Analysis

2.5	Identify if there are any questions/areas that are asked in your normal due diligence assessment, that have not been addressed in the completed due diligence that has been provided to you. <i>Use the comparative analysis included in Annex 2 to support your analysis.</i>	<input type="checkbox"/> Gaps identified and top up assessment performed in Annex 3 <input type="checkbox"/> Gaps identified but no top up assessment required <input type="checkbox"/> No gaps identified
2.6	Where gaps have been identified, and additional questions have been raised, have you noted any risk areas:	<input type="checkbox"/> Yes, areas of risk have been identified, and risk mitigation measures have been agreed <input type="checkbox"/> Yes, areas of risk have identified that cannot be sufficiently mitigated <input type="checkbox"/> No – additional questions did not result in new risks <input type="checkbox"/> n/a – no additional questions required
Add any explanatory notes or risk mitigations here: 		

2c. Capacity Development

Where due diligence assessments result in recommendations and/or capacity development plans, it is important to understand what progress has been taken towards these before agreeing any new actions.

2.7	<p>Is there an existing capacity strengthening plan in place with the providing Alliance member?</p> <p><i>If a capacity development plan is in place, it is recommended to request this from the providing Alliance member if you intend to provide capacity support.</i></p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> n/a – the partner does not require a capacity development plan</p> <p><input type="checkbox"/> n/a – we do not intend to provide capacity strengthening support through this partnership</p>
2.8	<p>Where the providing Alliance member has developed a capacity strengthening plan, review the plan and consider whether additional support and/or measures are required:</p> <p><i>Where relevant, discuss with the prospective partner whether they would like any [additional] capacity development support.</i></p>	<p><input type="checkbox"/> Yes - additional capacity strengthening is required</p> <p><input type="checkbox"/> No – capacity strengthening plan is sufficient</p> <p><input type="checkbox"/> n/a – the partner does not require a capacity strengthening plan</p> <p><input type="checkbox"/> n/a – we do not intend to provide capacity strengthening support through this partnership</p>
<p>Add any explanatory notes or risk mitigations here:</p>		

Section 2 Sign-off

<p>According to the answers to the questions in this Section, can we accept the passporting?</p> <p><input type="checkbox"/> Yes - accept passporting – no further work is required</p> <p><input type="checkbox"/> Yes - accept passporting subject to top-up assessment</p> <p><input type="checkbox"/> Yes – accept passporting with mitigations built into contract</p> <p><input type="checkbox"/> No - do not accept passporting³</p>	
<p>Completed by:</p> <p>Name:</p> <p>Position:</p>	<p>Approved by:</p> <p>Name:</p> <p>Position:</p>

³ Where the final decision is to not accept the passporting procedure, this should be discussed further with the providing Alliance2015 member