

Mandai Nature Grant Applicant Due Diligence Self-Assessment Form

Thank you for your interest in Mandai Nature's grant programmes. Please complete all questions in this due diligence self-assessment form (the "**Form**") and provide the associated copies of documents requested. This Form is an integral part of your grant application. All information submitted will be treated as confidential information and will not be disclosed to any third parties unless required by law. Please let us know if you face difficulties filling this Form.

In this Form, words and expressions shall have the same meanings as respectively assigned to them in the Grant Application Form and the Conditions for Provision of Funding, except where the context otherwise requires or as amended, substituted or added by this Form.

1. Project title:**2. Name of Applicant's Authorised Representative:****3. Name of Applicant organisation:****4. Type of organisation (Please tick most appropriate option in each column below):**

- i.
- For profit**
-

Please indicate name of owners and percentage (%) of ownership below:

- ii.
- Not-for-profit**
-

- iii.
- Government agency**
-

5. Is the organisation tax-exempt?Yes No

If yes, please provide a copy of the organisation's tax-exemption certificate.

6. Does the organisation have articles of incorporation, constitution, or other similar founding documents?

Yes

No

If Yes, please provide a copy of these documents.

If No, please provide details to explain below:

7. Is the organisation registered with the appropriate government agency?

Yes

No

If Yes, please provide a copy of these documents.

If No, please provide details to explain below:

8. Postal address of the organisation (please provide any documentation e.g. recent utility/telephone bill that verifies the organisation's address)

9. If the organisation has a website, please list web address below.

10. Please indicate whether the organisation is governed by:

Board of Directors

Executive Committee

No governing body

Others (please specify below)

11. Please provide the (i) name and (ii) position of all current members of the organisation’s governing body on a separate page.

12. How frequently does the governing body hold formal meetings?

- Never Quarterly Others (please specify below)
 Monthly Semi-annually or Annually

13. Are minutes of formal governing body meetings documented?

- Yes No

If No, please explain how the key points and decisions at governing body meetings are recorded and kept track of:

14. Is the governing body involved in financial oversight of the organisation?

- Yes No

15. Does the organisation have an advisory board?

- Yes No

16. Please indicate the total number of full-time staff employed by the organisation.

- 0 1 – 5 6 – 10
 11 – 20 21 – 50 50+

17. Please provide the current organisation chart specific to the Project stated in question 1 including (i) names of individuals, and (ii) job titles on a separate page.

18. Does the organisation have documented policies on the following?

If yes, please provide a copy of these policies.

- | | | |
|--|------------------------------|-----------------------------|
| (i) Code of conduct/ethics: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (ii) Conflict of interest: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iii) Fraud, corruption, bribery: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (iv) Financial policies & procedures: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (v) Procurement: | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

- (vi) **Records retention:** Yes No
- (vii) **Delegation of authority:** Yes No

19. Is there any litigation pending for/against the organisation?

Yes No

If Yes, please provide details for the following on a separate page:

- i. Name of claimant/defendant
- ii. Relation of claimant/defendant
- iii. Claimed damages
- iv. Brief history of legal claim
- v. Current status of claim

20. Is the organisation involved in:

- (i) **Any illegal activities:** Yes No
- (ii) **Child labour:** Yes No
- (iii) **Blacklisted under the UN Terrorism listing:** Yes No

21. Does the organisation have an annual financial audit performed by an independent external auditor?

Yes No

If Yes, please provide a copy of the organisation's latest audited annual financial statement.

If No, please:

- (i) provide a copy of the organisation's latest unaudited annual financial statement **or** internal financial report, endorsed/signed by the organisation's duly authorised person; and
- (ii) explain why an annual audit is not conducted:

If the organisation does not have an annual financial statement or internal financial report, please inform us and we will contact you for further information.

22. Does the organisation use a computerised accounting software system?

Yes No

If yes, please provide the name of the accounting software and indicate how many years it has been use:

23. Are the organisation's financial transactions recorded into the company's financial system and overseen by:

- i. Qualified full-time finance personnel**
- ii. Qualified part-time finance personnel**
- iii. Others** (*please specify below*)

24. Does the organisation's accounting system separately record and track income and expenditure for each individual project, grant or contract?

- Yes** **No**

25. What percentage of the organisation's annual income is provided by grant funding?

- 0 – 50%** **51 – 75%**
76 – 95% **> 95%**

26. Please list the grant amount, donor name and donor contact information (email address and contact person) for the three (3) most recent grants received by the organisation.

(Please indicate NIL if not applicable)

27. Please list any significant contract or memorandums of understanding that the organisation currently has with other organisations (*please indicate NIL if not applicable*).

28. Has the organisation ever been in default regarding grant management, or had a grant terminated by a donor for any reason?

Yes

No

If Yes, please provide details below:

29. Has the organisation ever filed for bankruptcy, relief from creditors, or declared any other form of financial insolvency?

Yes

No

If Yes, please provide details below:

30. Does the organisation have any bank accounts held in the name of individuals (instead of the name of the organisation)?

Yes

No

If Yes, please provide details below:

31. Are two (2) authorised bank signatories required on all payments above a certain value as determined by organisational policy?

Yes

No

If Yes, please provide details below:

32. Please provide a copy of one (1) page of the organisation’s recent bank statement showing ONLY the (i) bank name, (ii) account name, and (iii) account number, which corresponds with the details provided in the Grant Application Form. Please cover all other details in the statement copy.

Checklist – Additional Documentation Requested

To assist in ensuring your due diligence submission is complete, the following is a checklist of additional documents that you may be required to provide. Please indicate which of these documents are relevant to you and that you will be submitting to accompany your completed Form.

- | | |
|--|---|
| 1. Copy of the organisation's tax exemption certificate | <input type="checkbox"/> <i>If "Yes" for Q5</i> |
| 2. Copy of articles of incorporation, constitution, etc | <input type="checkbox"/> <i>If "Yes" for Q6</i> |
| 3. Copy of the organisation's registration document | <input type="checkbox"/> <i>If "Yes" for Q7</i> |
| 4. Address verification document | <input type="checkbox"/> <i>If "Yes" for Q8</i> |
| 5. List and details of governing body | <input type="checkbox"/> <i>For Q11</i> |
| 6. Details of current manpower organisational chart | <input type="checkbox"/> <i>For Q17</i> |
| 7. Copy of policy on code of conduct/ethics | <input type="checkbox"/> <i>If "Yes" for Q18i</i> |
| 8. Copy of policy on conflict of interest | <input type="checkbox"/> <i>If "Yes" for Q18ii</i> |
| 9. Copy of policy on fraud, corruption, bribery | <input type="checkbox"/> <i>If "Yes" for Q18iii</i> |
| 10. Copy of policy on financial policies & procedures | <input type="checkbox"/> <i>If "Yes" for Q18iv</i> |
| 11. Copy of procurement policy | <input type="checkbox"/> <i>If "Yes" for Q18v</i> |
| 12. Copy of records retention policy | <input type="checkbox"/> <i>If "Yes" for Q18vi</i> |
| 13. Copy of delegation of authority policy | <input type="checkbox"/> <i>If "Yes" for Q18vii</i> |
| 14. Details of ongoing litigation | <input type="checkbox"/> <i>If "Yes" for Q19</i> |
| 15. Copy of the organisation's latest audited financial statement | <input type="checkbox"/> <i>If "Yes" for Q21</i> |
| 16. Copy of the organisation's latest unaudited annual financial statement or
internal financial report endorsed by the organisation's duly authorised person | <input type="checkbox"/> <i>If "No" for Q21</i> |
| 17. Copy of the organisation's bank statement | <input type="checkbox"/> <i>For Q32</i> |

CERTIFICATION STATEMENT (for Applicant organisations only)

I, the undersigned, hereby certify that all facts and information provided in this due diligence assessment document on behalf of _____ (*Organisation Name*) are true, accurate and correct without omission, error, or mis-statement.

I understand and agree that should the information provided in this due diligence assessment document subsequently change, I shall inform in writing of any such change without delay.

I further understand and accept that Mandai Nature may at its sole discretion amend or terminate any grant or funding agreement awarded if any information contained in this document is false or inaccurate.

IN WITNESS WHEREOF _____ (*Organisation Name*) has caused this due diligence assessment document to be duly executed by its authorised representative on the date written below.

SIGNED BY

For and on behalf of _____ (*Organisation Name*)

Name of Authorised Representative:

Designation:

Date:

WITNESSED BY

Witness Name:

Address: