

## **Form DD**

**Name of the NGO:**

**Registration No:**

**Address:**

### **Information for Due Diligence (DD) of the Implementation Partner (IP)/ NGO**

#### **1. Identity and legal status:**

- 1) The IP/NGO's Registration No. and details of Authority and Act under which the organization is registered.
- 2) The physical address of Head Office/Registered Office of the organization.
- 3) Details of Registration Certificates and other relevant documents issued by the appropriate authorities.
- 4) The details of affiliations with NITI Ayog, Governments and local Administration etc.
- 5) The details of IP/NGO's affiliations to political parties, religious organizations, if any.
- 6) Particulars of any on-going litigation in respect of an IP/NGO and its transitions.

#### **2. Vision, aims, objectives and achievements:**

- 1) The vision and mission statements of the NGO including its core values and purpose.
- 2) The details of defined aims and a set of objectives of the NGO.
- 3) Brief of its major achievements/performance through defined indicators against stated objectives till date.
- 4) The NGO's strategy and operational plans for next 5 years period.

#### **3. Governance:**

- 1) Full details of Governing Board of the NGO.
- 2) Details of Process of decision making in the NGO.

- 3) Details of Board Members viz. name, age, gender, position and occupation. All family affiliations with NGO should be indicated.
- 4) Details of affiliations of the Trustees or the Board members of IP/ NGO with religious or political organizations, if any.
- 5) Information on frequency of Board meetings including quorum stipulated as per Articles of Association.
- 6) Details of surplus of revenue over expenses for the last 5 years.
- 7) Details of management expenses for the last 5 years.
- 8) Annual revenue details of the NGO for the last 5 years.
- 9) The details of recognition of NGO under Section 12AA of the Income Tax Act and 80G of the Income Tax Act.
- 10) Copies of Minutes of the latest two Board Meetings of NGO.
- 11) Particulars of Financial/Executive powers given to various officials of NGO.
- 12) Details of the position of NGO's compliance with applicable Laws and Statutory Regulations.
- 13) Details of mechanism/system to redress pending legal disputes in respect of IP/NGO.
- 14) The following information is essential to proceed for the discussions with IP/NGO for collaborating for any activity under CSR:  
Please furnish in spite of repetition.
  - Composition of the Board: Number of Members, term of members and advisors and Board renewal procedure.
  - Profile of the Board Members and advisors: Bio-data of the Members on the board, their number of years and depth of experience and relevant achievements.
  - Diversity in expertise: The expertise available at the disposal of the Board for developmental activities.
  - Board Meetings: Regularity of meetings, attendance records and recent topics of discussion/projects undertaken or implemented. The contributors for the implemented projects should also be informed.
  - Experience of the Management: The details of Management personnel responsible for the day-to-day activities and have necessary depth of experience and skill set to manage the current and the future growth plans.
  - Conflict of interest: Details of any conflict of interest between the Board Members, the advisors or the management personnel of the company.

#### **4. Competence and Capacity of the implementation Partner/NGO:**

- 1) Particulars of people with sufficient skills and knowledge in addition to the ability and experience with respect to the nature of the programme it proposes to undertake.
- 2) Particulars of office network, infrastructure and goodwill and organization structure including its human resources.
- 3) Details of mechanism/system in place to review the progress of activities on periodical basis.
- 4) Gist of NGO's HR Policy including the roles and responsibilities of all personnel and volunteers of the NGO.
- 5) Details of capacity and expertise and experience in respect of geography where the CSR activity/project is proposed.
- 6) Details of capacity and expertise and experience in the sector in which the CSR activity/project needs NEW INDIA ASSURANCE support.
- 7) Details of capacity and expertise, previous experience in respect of the programme in which the CSR activity/project warrants NGO's involvement.

#### **5. Accountability and transparency:**

- 1) Does the NGO have a clear policy on who is accountable to whom and for what? If yes please provide the copy of the same. Organization chart and control process chart to be provided.
- 2) Details of Authority and responsibility for decision-making aimed to improve delivery of the NGO's aims and objectives and also to improve management of human and financial resources.
- 3) What is the system of delegation of Authority in NGO? What are the ways and means to fix the accountability in case of failures? Is there a system like CDA rules?
- 4) Ways and means of monitoring and assessing the responsibility and authority given and to facilitate for appropriate action wherever necessary.
- 5) Brief of legal instruments, policies, mandates, values, legislative provisions, rules and regulations of the NGO required complying with.
- 6) Particulars of processes of disbursement and deployment of resources and accounting etc.
- 7) Details of internal and external independent Agencies if any, set up to oversee and investigate accountability of NGO.

- 8) Details of forums and platforms for appeals and for redressing of grievances etc
- 9) Particulars of Performance Appraisal System for NGO Managers.
- 10) Particulars of various public disclosures statutory/voluntary.
- 11) Particulars of Management Information Systems of the NGO.
- 12) Details of Fund raising system of the NGO.
- 13) Is there system of involving the Donors/ beneficiaries in the decision making process in the NGO?

#### **6. Financial Management and accounting of NGO.**

The NGO is required to furnish the information on the following.

- 1) Financial Management Policy.
- 2) Basis of Accounting and maintenance of annual statements of accounts including the trial balance.
- 3) Procedures to be followed for Salaries and Advances in NGOs?
- 4) Process of validation of bills, invoices, receipts & vouchers for effective receipts and payments of NGO.
- 5) Types of Checks to be adopted for passing Vouchers for Payment
- 6) Types of Books and Documents to be maintained for accounts management in NGOs
- 7) Procurement policy/guidelines of NGO and Stock and Inventory Management.
- 8) How NGOs can maintain Stock Register
- 9) Procedures for Financial Planning and Budgeting and various financial reports.
- 10) Internal Control Measures and Management Information Reports.
- 11) Methods of maintaining Fixed Assets Register.

**7. Track Record and Image of IP/NGO.**

The NGO may submit information in support of its track record like receiving of awards, reports in the media, and details of its previous performance, achievements in human well-being.

**8. Nature of financial support sought by IP I NGO**

The copy of proposal of the project, for which NGO has approached New India Assurance for the support, may be attached.

**Declaration by authorized representative of IP/NGO.**

I/We hereby declare that the particulars contained herein are true and correct and that no material fact has been withheld, misstated or misrepresented and also that this DO form became a part of MOU between our NGO and New India Assurance. I/We further declare that the NGO operates as Non- profiteering organization and do not transact any activity on commercial lines.

I/We further declare that all reasonable steps to utilize the funds donated, for the wellbeing of target beneficiaries will be taken and shall maintain records and books of accounts reasonably required. I/we also hereby declare that I/we have not sought any financial support from any other organizations to utilize for the above proposed project.

Date:

Signature of authorized official

Place:

Name:  
Designation: