



**AMPLIFYCHANGE**

## **Due Diligence Assessment**

Gender Links

W6VM-CUM3-PF

<b>Site visit date:</b>	9 – 10 April 2018
<b>Report completion date:</b>	17 April 2018
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## 5. Appendix A: Summary Due Diligence Assessment Table

Summary table of key risks and mitigating measures from the Financial Management Assessment

Summary of those areas with a risk rating of severe, major, moderate or minor	Strengthening measures agreed with the applicant to mitigate these risks	Timetable for implementation of the strengthening measures identified	Means of verifying that the measure has been implemented	GL Management Response
<b>Governance and Internal Control:</b>  Gender Links does not have a written Business Continuity Plan.  <b>Minor</b>	Business Continuity Plan to be developed for both the Johannesburg head office and branch offices and approved by the Board.	<b>Advisory only</b>	Business Continuity Plan supplied to Fund Manager.	GL has a sustainability strategy. This is one of our seven strategic pillars. We will seek to understand the difference between this and a Business Continuity Plan, and see how the two can work together, in time for the 2019 Board Meeting.
<b>Governance and Internal Control:</b>  Gender Links does not have a specific Anti-Bullying/Harassment Policy.  <b>Moderate</b>	Anti-Bullying/Harassment Policy to be developed, approved by the Board and shared with staff (note: can be included in safeguarding policy)	<b>By 1<sup>st</sup> disbursement</b>	Anti-Bullying/Harassment Policy (approved by Board) supplied to Fund Manager (note: can be included in safeguarding policy).	The Board decided at its meeting on 25 May that this should form part of HR Policies 2018, together with other additions/ amendments made at the meeting. Please see attached.
<b>Governance and Internal</b>	Standalone Safeguarding Vulnerable Adults Policy to be	<b>By 1<sup>st</sup> disbursement</b>	Safeguarding Vulnerable Adults Policy (approved by	Adopted by the Board on 25 May, please see attached.

Summary of those areas with a risk rating of severe, major, moderate or minor	Strengthening measures agreed with the applicant to mitigate these risks	Timetable for implementation of the strengthening measures identified	Means of verifying that the measure has been implemented	GL Management Response
<b>Control:</b> Gender Links does not have a specific, standalone Safeguarding Vulnerable Adults Policy.  <b>Major</b>	developed, approved by the Board and shared with staff.		Board) supplied to Fund Manager.	
<b>Financial Stability:</b> Gender Links does not have a written Reserves Policy  <b>Minor</b>	Gender Links to adopt a formal, written Reserves Policy.	<b>Advisory only</b>	Reserves Policy supplied to Fund Manager	GL's MOI makes provision for a Reserve. A policy for the management of the Reserve will be added to Finance Policies in time for the 2019 Board Meeting.
<b>Financial Stability:</b> Supporting finance documents for the Johannesburg head office are kept in hardcopy only.  <b>Minor</b>	Documents are scanned and saved on SharePoint (as is done by branch offices)	<b>Advisory only</b>		All GL payments (HQ and country) are managed through the Procurement Module of Pastel. This means they are scanned and uploaded online (therefore not correct that they are in hard copy only). Uploading to share point is a second level back up for countries which we are reviewing, now that Pastel Evolution cloud back up

Summary of those areas with a risk rating of severe, major, moderate or minor	Strengthening measures agreed with the applicant to mitigate these risks	Timetable for implementation of the strengthening measures identified	Means of verifying that the measure has been implemented	GL Management Response
				is working well, as this is double effort, and likely redundant.
<b>Financial Stability:</b>  Archived documents are stored onsite in the Johannesburg head office.  <b>Minor</b>	Archived documents to be stored in a secure offsite storage facility.	<b>Advisory only</b>		GL has a strong room onsite devoted solely to financial storage, with sophisticated fire proof metal filing cabinets. This is in addition to all finance documents being digitised through Pastel Evolution since 2015. We propose that deep storage files (ie over five years) be archived at GL Cottages, which is in a different location, to reduce costs of offsite storage.
<b>Downstream Delivery:</b>  Formal Due Diligence is not carried out on Alliance Partners receiving disbursements for downstream delivery.  <b>Moderate</b>	Carry out formal Due Diligence including obtaining copy of registration certificates and carrying out checks on adherence to anti-fraud/corruption, harassment and safeguarding policies, and recording of any incidences reported in last 3 years and outcome/mitigation.	<b>Prior to 1<sup>st</sup> disbursement</b>	Results of Due Diligence supplied to Fund Manager	Clarified by Victoria Alexander, see E Mail 11 June, that GL does not have Tier Two partners, therefore this condition does not apply. However, as a matter of good practise, some basic due diligence will be conducted. GL is developing a

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				questionnaire to be sent to partners ahead of the August Annual meeting of the Alliance. The Safeguarding Policy issues are new to the region and will be canvassed with partners during the August Annual Meeting of the Alliance. The DFID Social Development Advisor from the Pretoria office will be invited to do a presentation.
<p><b>Downstream Delivery:</b></p> <p>Contracts have not yet signed with downstream delivery partners. Contracts to not include clauses on Anti-Bullying/harassment and Safeguarding.</p> <p><b>Moderate</b></p>	Signed contracts with downstream delivery partners. These should include clauses on Anti-Bullying/harassment and Safeguarding.	Prior to 2 <sup>nd</sup> disbursement	Singed contracts with downstream delivery partners supplied to Fund Manager	GL contract template which currently has a stipulation re Zero Tolerance for Corruption will be amended to include Anti bullying/ harassment and Safe guarding. This will be canvassed in a workshop format during the annual meeting of the Alliance in August, prior to issuing of contracts, that will be shared with the Fund Manager prior to second disbursement.

## 6. Appendix B: Risk Rating Definitions

Priority	Definition
<b>Minor</b>	Findings that do not pose unacceptable negative fiduciary and/or reputational risk to AmplifyChange but which the grantee may wish to consider.
<b>Moderate</b>	Findings that do not pose unacceptable negative fiduciary and/or reputational risk to AmplifyChange if the grantees implement the required recommendations to improve their systems, processes or procedures.
<b>Major</b>	Weaknesses that pose unacceptable negative fiduciary and/or reputational risk to AmplifyChange but where mitigating actions could be put in place to suitably reduce the risk to acceptable levels.
<b>Severe</b>	Weaknesses that pose unacceptable negative fiduciary and/or reputational risk to AmplifyChange and where necessary mitigating actions are either not possible or highly challenging for the grantees to implement

## 7. Disclaimer

Please note that this document is intended for use only by AmplifyChange staff and has been classified as such. **It should not be circulated outside AmplifyChange or made available to other organisations without the express permission from the organisation that the assessment concerns.** Please refer to 'sharing assessments' within the due diligence framework for further details.