

RFP: SBI Foundation is looking to on-board vendor(s) to undertake due diligence of the implementation partners (NGOs, social enterprises etc.)

The vendor(s) eligible to apply for this RFP include not-for-profits, CSR Consultants and social enterprises with a proven track record of undertaking comprehensive due diligence for other companies.

The scope of work as a part of conducting due diligence is mentioned below;

- **Project Proposal Evaluation** (Proposal format attached as Annexure 1)- Evaluate the NGO partner on prior work experience, domain expertise, strength in the proposed geography, Effectiveness of Implementation model, implementation cost, understanding of needs/challenges of target beneficiaries, Financial standing of the NGO , Sustainability of the project
- **Verification of the filled Due-diligence form submitted by NGO** (Form attached as Annexure 2)- Verification of Documents submitted by NGO including (non-exhaustive) documents related to Governance and Internal Control, HR & Policies and Financial Management
- Any other document/report submitted/requested by NGO/SBIF in connection to the due diligence process

Interested vendors should submit the following documents latest by 19th December 2017

- A detailed proposal against the RFP with scope of work, timelines and financials
- Illustrative reports of previous due diligence work undertaken
- 2 references of clients previously worked with

Annexure VIII – Project Proposal Form

PROPOSED CSR PROJECT DETAILS

1		Project details
1.1	Title of the project	
1.2	Key objective of the project	
1.3	Brief Overview	
1.4	Target beneficiary group	
1.5	Corresponding Schedule VII (of Companies Act 2013) Clause	
1.6	Details of the component for which support is being requested	
1.7	Geographical area of execution of project and reason for selecting the area	
1.8	Project Rationale/Need <i>(The rationale should indicate why the issue being addressed is considered a priority for national/regional development and justify your request for funding, mention if any base line survey has been conducted or any other sources of data)</i>	
1.9	Duration of the project	
1.10	Project proposal brief <i>(Briefly mention about the key components of the project)</i>	
1.11	Implementation model <i>(Briefly mention the mechanisms involved in undertaking the project)</i>	
1.12	Overall expected impact of the project - Qualitative	
1.13	Overall expected impact of the project - Quantitative	
1.14	Proposed success indicators for the project <i>(Please mention the criteria on which the projects outcomes will be measured)</i>	
1.15	Plan for sustainability of the project <i>(Indicate how the results achieved after project implementation will be maintained and how the community will be engaged/involved in strengthening the sustainability of the project results)</i>	
1.16	Will your organization self-implement the project or will it be implemented through another agency/contractor? <i>(provide details of the other agency/contractor, if any)</i>	
2		Employee engagement and co-branding opportunity in the project
2.1	Employee volunteering opportunities <i>(Please share avenues for employee volunteering /engagement during implementation of the project)</i>	
2.2	Opportunity for Co-branding <i>(Please mention how the organization plans to create branding opportunities for SBI Foundation)</i>	
3		Financial details of the project
3.1	Total budget of the project	
3.2	Proposed Budget	

3.3	Other sources of mobilization (<i>Please mention the organization's plan to mobilize funds from other sources</i>)	
3.4	Non-financial requirements (<i>any in kind, material, mentorship or other forms of support apart from financial support</i>)	
4	Other Details	
4.1	Estimated no. of beneficiaries to be impacted:	
4.2	Periodicity of submission of project progress report and persons responsible for reporting	
4.3	Proposed monitoring & evaluation mechanism for the project (<i>Please mention the indicators for monitoring and evaluation along with formats</i>)	
4.4	Proposed impact assessment methodology for the project	
4.5	Mechanism to gather feedback from important stakeholders	

Other similar projects executed in the past: (*Attach details)

S. No.	Name of Project	Year of Execution	No. of Beneficiaries	Budget

(*Refer to the annexure for past project detail format)

Attachments:

- Please provide a case study/success story of your past program (corporate/government partnership ideally)
- Provide detailed split-up of budget of the project#
- Attach base line survey or needs assessment report, if any
- Attach project progress reporting formats#
- Provide a link (if any)/attach pen drive/CD for any videos/pictures relevant to your program(s)

#Mandatory

I certify that the above information is accurate to the best of my knowledge.

Date:

Place:

Signature:

Name:

Designation:

ANNEXURE

Past Project Details	
Name of Project:	
Objectives:	
Target Beneficiaries:	
Geographical Location:	
Brief Overview:	
Implementation Model:	
No. of Beneficiaries impacted:	
Overall Impact:	
Project Budget:	
Project Start and End Date:	
Details of Donors/Funding Agencies: <small>(provide break up if more than one)</small>	

I certify that the above information is accurate to the best of my knowledge.

Date:

Place:

Name:

Signature:

Designation:

Annexure VII - High Level Due Diligence Form

1. General Information

1.1	Name of the organization	Mention
1.2	Registered address	Provide Details
1.3	Number of offices (mention cities)	
1.4	Vision	Provide Details
1.5	Mission	Provide Details
1.6	Objectives of the organization	Provide Details
1.7	Geographical outreach (Please mention the locations where the NGO currently has its operations in the country)	(Pan India or else mention the States where you operate, in case operations are restricted to a cities, please mention Cities)
1.8	Website	Mention
1.9	What is the primary nature of operations? (Please check one that describes your organization best)	<ul style="list-style-type: none"> • Funding Agency • Advocacy • Direct Service Provider • Research <p>Others (Please Specify)</p>

1.10 What is the primary target segment of operations? (Please check all the segments that best describe the programs of your organization)

Focus Area	Activity	Impact	Years of experience in this domain	Major Funders
Health & Sanitation				
Education, Skills & Livelihood Development				
Women Empowerment and Care for Senior Citizens				
Environmental Sustainability				
Rural Development				
Others (Please specify)				
1.				
2.				
3.				
4.				
5.				

2. Contact Details

2.1	Name of contact person	Provide Details
2.2	Designation	Provide Details
2.3	Contact Number	Provide Details
2.4	Email	Provide Details

3. Regulatory Criteria

3.1	Is it a registered trust, or a registered society or a Section 8 company	Provide details (along with registration number)
3.2	Under which Act is the organization registered?	
3.3	Place of Registration	
3.4	Date of Registration	
3.5	Does it have an established track record of three years in undertaking similar programs or projects	Yes/No.
3.6	Any political associations/affiliations?	Yes/No – Provide details if YES
3.7	Any religious association?	Yes/No – Provide details if YES

3.8 Registration Details

Provide details of registration documents submitted

Type of Registration		Registration Number	Date of Registration	Validity
3.8.1	80G			
3.8.2	12A			
3.8.3	FCRA (if any)			
3.8.4	35AC (if any)			
3.8.5	Number of years of experience (minimum 3 years' experience is required as per Section 135, Companies Act, 2013)			

4 Documents to be attached

Regulatory Documents

4.1	Copy of Registration Certificate	Attach
4.2	Copy of Memorandum of Association/ Rules and Regulations/ Bye-laws/ Trust Deed	Attach
4.3	Copy of Sec. 12A Registration	Attach
4.4	Copy of 80G Registration, 35 AC if available	Attach
4.5	Copy of PAN	Attach
4.6	Copy of Address proof (Electricity bill/Telephone bill etc.)	Attach
4.7	Copy of ITR filed (Last 3 years)	Attach
4.8	Copy of Audited Financial Statements (Last 3 years)	Attach
4.9	Self-Declaration: Stating that the "Organization has never been black listed by any Organization or never have been found in any financial irregularities or criminal activities till date and does not have any religious or political associations."	Attach
4.10	Copy of Annual Report (Last 3 years)	Attach
4.11	Copy of FCRA (if available)	Attach
4.12	Copies relevant press reports/opinions, brochures etc. about the organization	Attach

List of other documents to be attached:

4.13	Brief bio-data (name, age, gender, occupation, position etc.) of its board members/office bearers along with the remunerations	Attach
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5. Governance

5.1	Clearly defined organization structure with reporting/decision making flow?	(Attach organogram)
5.2	Does the organisation have a Governing Board?	Yes/No
5.3	Does the organization disclose the name, age, gender, occupation, position of its board members, remunerations?	Yes/No (Please attach details)
5.4	Is there a formal and transparent procedure for developing policy on executive remuneration and for fixing the remuneration packages of individual directors?	Yes/No - Attach Policy
5.5	Is any director involved in deciding his or her own remuneration?	Yes/No
5.6	Are the roles and responsibilities of the Board Members clearly defined?	Yes/No
5.7	Does the organization have independent Board Members?	Yes/No
5.8	Do the Independent Board members have voting rights?	Yes/No
5.9	Do the Independent Board members constitute a majority?	Yes/No
5.10	Have the organizational structure and job descriptions been clearly defined?	Yes/No
5.11	At least 2/3rds of the board members of the organization are unrelated by blood or marriage?	Yes/No
5.12	Does the board approve and/or review programmes, budgets, annual report and audited financial statements with a majority of the members in attendance	Yes/No
5.13	Does the board ensure the organization's compliance with applicable laws and regulations	Yes/No
5.14	What is the quorum for Board meetings?	
5.15	What is the frequency of meeting of the Board of Directors?	Mention
5.16	Are the Board meeting minutes recorded?	Yes/No – Provide reference
5.17	Does the organization have an appropriate personnel policy in place? (applicable for organizations with more than 30 employees)	Yes/No – Attach Policy
5.18	Does the organization have clearly defined roles and responsibilities of each person (including volunteers)?	Yes/No
5.19	All paid personnel are issued a letter of contract/ appointment?	Yes/No

5.20 Documents required:

5.20.1	Organogram	Attach
5.20.2	Board member's details and remuneration	Attach
5.20.3	Board meeting minutes	Attach
5.20.4	Personnel Policy	Attach

6. Management

6.1 Employee information

6.1.1 Please highlight the presence and number of each kind of staff in your organization currently.

TYPE OF STAFF		CURRENT NUMBER
Permanent	Yes/No	
Contract basis	Yes/No	

Volunteer	Yes/No	
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6.1.2 Please state education, skills, and experience of persons in the top 5 staff positions.

Name	Educational qualification	Years	Work experience

6.2 Use of IT and Monitoring Mechanism

Organization Level Use of IT and Monitoring Systems- Please provide details on the level of computerization and use of information system in your organization

Organization Level Use of IT and Monitoring Systems		
6.2.1	No. of computers in the organization	
6.2.2	What kind of network, if any ,do you have (e.g. LAN/WAN)	
6.2.3	Number of people using email. Do you have official email-ids for all staff?	
6.2.4	What MIS is in place for planning, tracking and reviewing?	
6.2.5	Does the organization have in place a mechanism to get feedback from all its stakeholders?	Yes/No
6.2.6	Does the organization have prior experience of using IT enabled tools to capture data for project monitoring, evaluation & reporting?	Yes/No
Project Level Monitoring and Tracking		
6.2.7	Does the organization have well defined monitoring methods to track the progress of its projects?	Yes/No
6.2.8	Are there clearly articulated quantitative/qualitative impact indicators for each of the activity/project?	Yes/No
6.2.9	Any external/third party evaluation/audit of projects conducted?	Yes/No

7. Compliance Details

7.1	Do you conduct an external audit on an annual basis? (based on last 3 years)	Yes/ No
7.2	Do you file your annual returns with the Charity Commissioner?	Yes/ No
7.3	Does your External Auditor serve on your Board in any capacity?	Yes/ No

7.4. Provide details of your external Auditor

	Name of Firm	Contact Person	Address of Firm	Phone Number	FAX	Email
7.4.1						

7.5 Rank the primary source of funding for the last 3 years

Donor Category	Rank	Percentage Contribution of Total Funding
Corporate		
Foundation/ Trust		
Individual		
Others (Please specify)		

7.6 Please provide details of the top 3 donors in the last 3 years

Year	S. No.	Name of Donor	Type of Donor (Corporate/ Individual/ Foundation/ other)	Source of Funds (Foreign/ National)	Amount
	1				
	2				
	3				
	1				
	2				
	3				
	1				
	2				
	3				

7.7 Bank Account Details

7.7.1 Number of bank accounts: _____

7.7.2 Provide details of all bank accounts

Sr. No.	Bank Name and Account No.	Bank Account Balance as of Date
1		
2		

7.8. Budget Details:

7.8.1	What was the total organization budget in last FY?	Mention
7.8.2	What were the total expenses in the last FY?	Mention
7.8.3	Does the organization have a policy for purchase/sale of assets/investments?	Yes/No

7.9 Provide financial details under the following heads

	Year 1	Year 2	Year 3
Statements of Financial Position			
Assets			
Cash and Equivalents			
Assets and Receivables			
Total Current Assets	0	0	0
Property			
Total Assets	0	0	0
Liabilities			
Accounts Payable			
Total Current Liabilities			
Bank Loan			
Total Liabilities	0	0	0
Net Assets			
Unrestricted Net Assets			
Temporarily Restricted Net Assets			
Permanently Restricted Net Assets			
Total Net Assets	0	0	0
Total Liabilities and Net Assets	0	0	0

Statement of Activities			
Revenue			
Grants and Contributions			
Other Sources			
Total Revenue	0	0	0
Expenses			
Program Services Expenses			
Program A			
Program B			
Total Program Services Expenses	0	0	0
Supporting Services Expenses			
Salary			
Travel			
Other Management Expenses			
Fundraising			
Total Supporting Services Expenses	0	0	0
Overheads, Miscellaneous			
Total Expenses	0	0	0
Change in Net Assets	0	0	0

8. Transparency

Transparency Regarding Operations		
8.1	Signed audited statements are available (for at least the latest financial year)	Yes/ No
8.2	How does the organization share its Annual Report with stakeholders? (choose one of the options)	Published on website Available to all upon request Available only to specific stakeholders Not available
8.3	How does the organization share its Financial Report with key stakeholders? (choose one of the options)	Published on website Available to all upon request Available only to specific stakeholders Not available
8.4	How does the organization share the composition of the Board and remunerations of board members shared with stakeholders? (choose one of the options)	Published on website Available to all upon request Available only to specific stakeholders Not available
Transparency Regarding Funding & Donations		
8.5	Are the sources of funding disclosed to external stakeholders?	Yes/No
8.6	If the organization has individual donors, does it disclose the details of the individual donors to external stakeholders?	Yes/No/ No individual donors
8.7	If the organization has corporate donors, does it disclose the details of the individual donors to external stakeholders?	Yes/No

8.8	If the organization receives funds from other trusts/ foundations, does it disclose the details of the individual donors to external stakeholders?	Yes/No – Provide Details
8.9	Does the organization receive Government funding?	Yes/No
8.10	Are there any other sources of funding? If yes, does the organization disclose these details to external stakeholders?	Yes/No– Provide Details

9. Corporate Partnership

Has your organization partnered with companies for projects in the past? (If Yes, mention details below)				Yes/No
S. No.	Name of Company	Year	Project	References

Any other relevant documents/brochures/reports for reference - (***Attach details**)

10. Funding and Support Partnerships/Associations:

(Govt., Multilateral agency, other NGOs etc.)Associations and partners of the NGO who lend credibility to its reputation. List memberships of associations (such as industry associations) and national or international advocacy organizations in which the organizations:

- Holds a position on the governance body
- Participates in projects or committees
- Receives funding and support
- Partnership for technical expertise
- Views membership as strategic

S.No.	Name of Agency/Organization	Type of Partnership*	References

(*Type of Partnership: Corporate, Funding Support, Technical Assistance, Strategic etc.)

Any other relevant documents/brochures/reports for reference - (***Attach details**)

11. Awards and Recognitions

Please mention the recent awards and recognitions received by your organization or its management team

S.No.	Award/Recognition	Year	Reference

11. Background Check References

Please provide the contact details of at least 3 references who are familiar with your organization but not staff members or board members. They can be donor/partner/beneficiary. We may contact these references directly. These references should be able to describe your organization's capacity to implement the proposed project.

Reference 1	
Relationship with the organization: (Donor/Beneficiary/Partner)	
Name of Reference:	
Contact Number:	
Email Address:	
Organization:	
Designation:	

Reference 2	
Relationship with the organization: (Donor/Beneficiary/Partner)	
Name of Reference:	
Contact Number:	
Email Address:	
Organization:	
Designation:	

Reference 3	
Relationship with the organization: (Donor/Beneficiary/Partner)	
Name of Reference:	
Contact Number:	
Email Address:	
Organization:	
Designation:	

I certify that the above information is accurate to the best of my knowledge.

Date:

Place:

Signature:

Name:

Designation: