



# Ascend Partner Compliance Required Documentation

Ascend Learning & Innovation Fund

## Compliance Related Documentation at Stage 1 of the Application Process

Sightsavers has a set of **minimum standards for partnership**, against which all potential programme partners are assessed through a due diligence process. A list of these criteria can be found in Appendix 1.

In order to assess whether your organisation is compliant, we will review information in the public domain, including your website, mainstream media and search engines, and international sanction and terrorism watchlists. We will also require you to provide some specific documentation, as follows, which should be appended to your concept application:

### 1. Government Ministries must append the following documents (or provide URL):

- List of senior ministers
- Most recent Auditor General's report
- Legislation/policies relating to safeguarding, child protection, or vulnerable persons

### 2. Non-Ministry organisations must append the following documents (or provide URL):

- Governing document e.g. Constitution, Articles of Association (for non-profit orgs only)
- Registration certificate (including, where relevant, most recent renewal)
- List of Trustees and Directors
- Most recent audited financial statements (or Auditor General's report)
- Most recent auditor's report and management letter (or Auditor General's report)
- Safeguarding, child protection, or protection of vulnerable persons policy

## Compliance Related Documentation at Stage 2 of the Application Process

Please provide the following supporting material with the Detailed Application, unless provided already, in addition to the completed Sightsavers Compliance Declaration.

- Audited accounts for the UK and countries of operation for ASCEND. – *Ref. 1.c)*
- Confirmation of the financial monitoring arrangements of downstream partners, specifically related to tax. – *Ref. 1.c)*
- Evidence of examples and description of safeguarding training material, training logs (or declaration that all staff have been trained) and Safeguarding Policy – *Ref. 2.b)*
- Your organisation's Whistleblowing Policy and a description how staff awareness of the policy is managed, including a evidence of staff awareness of the FCDO Counter Fraud and Whistleblowing Unit reporting mailbox. – *Ref. 2.d)*
- Your organisation's Conflict of Interest Policy – *Ref. 2.e)*

- Confirmation of the organisations IATI number and the numbers of their delivery chain partners – *Ref. 3.a)*
- Downstream map of delivery chain partners. – *Ref. 3.b)*
- Signed declaration that neither you nor your organisation have been involved in tax evasion, bribery, corruption and fraud and confirmation that cases will be reported at the earliest opportunity. This is to support that declaration made in *Ref. 3.d)*
- Signed declaration that no employees or delivery chain partner personnel appear on the Home Office Prescribed Terrorist Organisation List and that no employees or representatives have been involved, linked to or convicted of offences linked to terrorist activities or financing in the previous 5 years. This is to support that declaration made in *Ref. 5.a) & 5.b)*
- Please provide information about any incident or allegation of harm, abuse or exploitation of a person (children, adults, staff and volunteers) who has come into contact with your organisation through its activities or programmes, since 1st January 2019. Do not provide any personally identifiable information. This report can be provided directly to [safeguarding@sightsavers.org](mailto:safeguarding@sightsavers.org). – *Ref. 6.d)*

## Appendix 1 – Sightsavers Minimum Standards for Partnership

1. The organisation's mission and values do not conflict with Sightsavers' own.
2. The organisation does not discriminate against people on the grounds of religion, politics, race, tribe, caste, age, disability, gender, ill-health, or sexual orientation.
3. The organisation does not expose beneficiaries, including women, children and other marginalised groups, to any form of abuse and exploitation.
4. Funding or partnering with the organisation does not cause conflict or have legal implications for any of Sightsavers' existing partnerships or relationships, including with donors.
5. The organisation does not further its aims through violence or terrorist activities and does not have any connections with terrorist groups.
6. The organisation does not use its work to convert programme stakeholders to any kind of political or religious belief.
7. The organisation is registered appropriately as a legal entity under local laws.
8. The organisation has complied with the laws under which it was formed.
9. The organisation and/or its executives are not involved in fraudulent or illegal activities.
10. The organisation is not bankrupt, being wound up, under administration by the courts, entering arrangement with creditors, suspending business activities or is the subject of legal proceedings.
11. The organisation has not been convicted of an offence concerning professional conduct in the last two years.
12. The organisation has not been blacklisted by government, regulatory, monitoring, or another oversight body.
13. The organisation demonstrates an acceptable approach to safeguarding, i.e. has a rigorous safeguarding or child protection policy (or equivalent) in place, or a commitment to develop one in the immediate future.