



REQUEST FOR APPLICATIONS (RFA): SAMRC-RFA-GSK/NVS 01-2021

SAMRC SUB-AWARD DUE DILIGENCE GRANTEE PROFILE

This questionnaire forms part of the SAMRC's due diligence for on-granting and is used to help determine on-grantees' financial and management strength.

PROJECT AFRICA GRADIENT
Genomic Research Approach for
Diversity and Optimising Therapeutics

1. General Information

Name and address of organisation:

Type of organisation: e.g. non-profit (NGO), commercial / for profit (corporation), university, academic research centre, etc.

Is the organisation incorporated or legally registered within the country of operations? If no, please explain. If yes, please supply a copy of registration certificate.

YES

NO

N/A

Please provide copies of any materials that describe the organisation, mission, and history. If this information is on a website, please provide the link.

Please provide an organogram and list the names of the chief executive officers. This may include, but is not limited to, the following persons:

President / Director:

Chief Financial Officer:

Does the organisation have other sources of funds? If yes, please provide details of your top 5 funders, including name, the grant period, and the amount of funds.	YES	NO	N/A
If yes, please provide details:			

2. Internal Controls

Internal controls are procedures, which ensure that: 1) financial transactions are approved by an authorised individual and adhere to laws, regulations and the organisation’s policies; 2) assets are kept safely, and 3) accounting records are complete, accurate, and maintained on a regular basis. Please complete the following questions concerning your organisation’s internal controls:

Does the organisation have a clear segregation of duties between placing orders and processing payments? Please explain.	YES	NO	N/A
Are timesheets kept for each paid employee?	YES	NO	N/A
Is each employee’s salary stated in an employment letter or contract?	YES	NO	N/A
How often are bank reconciliations performed?			
Are bank reconciliations reviewed and signed off?	YES	NO	N/A
Are fixed assets provided with a unique inventory reference number?	YES	NO	N/A

How often are inventory/asset verification checks performed?

3. Accounting System

The purpose of an accounting system is to: 1) accurately record all financial transactions, and 2) ensure that invoices, timesheets, and other documentation support all financial transactions. The type of accounting system often depends on the size of the organisation. Some organisations may have computerised accounting systems, while others use a manual system to record each transaction in a ledger. In either case, award funds must be properly authorised, used for the intended purpose, and recorded in an organised and consistent manner.

Does the organisation have written accounting policies and procedures? If yes, please provide a copy. If no, please explain how transactions are recorded, cash disbursements are made and account system is managed.	YES	NO	N/A
Does the organisation have a written procurement policy?	YES	NO	N/A
Are financial reports prepared on a cash or accrual basis?	YES	NO	N/A
Is each project assigned a unique cost centre code to ensure that account records separate the receipts and payments of a grant from the receipts and payments of other activities?	YES	NO	N/A
Do accounting records record grant expenditures according to budget categories such as salaries, supplies, travel and equipment? If no, please explain.	YES	NO	N/A
Is there a budget monitoring system in place? Please explain.	YES	NO	N/A

Are invoices, vouchers and timesheets for all payments made from grant funds maintained? If there are circumstances where these documents cannot be, or will not be, obtained, please explain.	YES	NO	N/A
Will any cash from the grant funds be kept outside the bank account (in petty cash funds etc.)? If yes, please explain the amount of funds to be kept and the name and position/title of the person responsible for safeguarding cash.	YES	NO	N/A
<p>Please provide the banking and / or wire transfer / ACH transfer information below:</p> <p>Name of Bank:</p> <p>Account Number:</p> <p>Swift Code:</p> <p>On-grantee's authorised signatories:</p>			

4. Audits

If your organization does not have audited financial statements, please submit a copy of the organisation's Balance Sheet and Revenue and Expense Statement for the current fiscal or calendar year.

The MRC may require an audit of the on-grantee's organization accounting records. An audit is a review of accounting records by an independent accountant / firm to assess whether the financial information is correct and free of material mis-statements.

Do you perform internal financial audits? If yes, when did the last internal audit take place? Please provide a copy of your last internal audit report.	YES	NO	N/A
Are you subject to an annual statutory audit of your financial statements? If yes, when was the last audit performed? Please provide a copy of the last two years' audit reports.	YES	NO	N/A
Are there any reasons (local conditions, laws or institutional circumstances) that would prevent an independent accountant from performing an audit? If yes, please explain.	YES	NO	N/A

Additional comments and special considerations:

Name of authorized signatory

Title

Signature

Date