

GSMA Innovation Fund

List of documents requested in Due Diligence Questionnaire

Below is a list of documents that applicants will be asked to upload as part of the due diligence questionnaire. All applicants will have to submit the documents marked as mandatory. The remaining documents will be required where applicants indicate they have such a policy or document.

Section 1 - KYC

1. The organisation's registration certificate. **(Mandatory)**
2. Document listing all parent companies (including the ultimate parent level), subsidiaries, and related companies that include details of the main shareholders (if available).
3. GSMA Compliance Check Template with full names, nationalities, and dates of birth of all the principals in the organization. **(Mandatory)**
4. Tax Compliance Certificate or Tax Clearance Certificate - Tax returns for the last relevant period for corporation tax, VAT.
5. Certificate of Public Liability insurance/ policy documents
6. Certificate of Professional indemnity Insurance/ policy documents
7. Travel Insurance Policy

Section 2 - Governance

8. Up to date organizational chart / ppt with organisational structure **(Mandatory)**
9. Latest board/shareholder/management meeting minutes **(Mandatory)**
10. Document(s) demonstrating ability to receive grant funds in GBP and remain in compliance with local laws, regulations, and tax requirements
11. Formal policy (ies) on fraud, bribery, and corruption
12. Formal policy (ies) on Counter-terrorism financing and money laundering
13. Risk Management Strategy / Policy and Corporate level risk framework
14. Corporate level risk register
15. Project level risk register
16. Conflicts of interest policy and/or a conflicts of interest register?
17. Business Continuity Plan
18. Privacy/ data protection policy

Section 3 - Safeguarding

19. Code of Conduct (or equivalent such as Company Handbook)
20. Recruitment or Staff Management Policy
21. Whistleblowing Policy
22. Employee Handbook or equivalent
23. Occupational health and safety (OHS) policy
24. Modern Slavery policy, code and/or guidelines in place?
25. Child Protection and Vulnerable Adult Policy (Safeguarding policy)
26. Sexual Harassment, Exploitation and Abuse (SHEA) Policy, code and/or guidelines
27. Bullying and Harassment Policy
28. Environmental and Social Impact policy, code and/or guidelines

Section 4 - Fiduciary

29. Audited Financial Statements (3 years)
30. Management Accounts / unaudited accounts **(Mandatory)**
31. P&L Forecast template **(Mandatory)**
32. Commitment letters for match funds: Investor Agreements, Letters of Intent, Grant Agreements, Contracts with Clients.
33. Accounting software Screenshots
34. Financial Management Policy
35. Payroll Policy
36. Example Contract and Payslip
37. Standardised Timesheet
38. Sample Payslip with Deductions
39. Banking mandate - Banking Authorisation Confirmation **(Mandatory)**
40. Asset Management Policy
41. Audit policy
42. Audit committee terms of reference
43. Procurement policy

Section 5 - Reputational

44. Due diligence/ Partner selection policy
45. Due diligence assessment tool/report/ Example Due Diligence Check
46. Partner Agreement or MOU