**DUE DILIGENCE & ETHICAL NOTIFICATION PRO-FORMA**

**Section 1**

**Summary of Relationship / Donation**

*To be completed by Fundraiser*

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**Section 2**

**Due Diligence**

*To be completed by Fundraiser*

|  |  |
| --- | --- |
| **Prospect name** |  |
| **Constituent ID**New constituent should be created if one doesn’t already exist |  |
| **Primary Canvasser** |  |
|  | Ethical Screening and Due Diligence Officer |
| **Type of Relationship** i.e. gift, corporate partnership, research partner etc | Gift  |
| **Type of Gift** i.e. research, philanthropic, sponsorship, in kind | Philanthropic  |
| **Date Completed** |  |
| **Gift /Proposal Amount** |  |

**Verification of prospect’s identity**

*To be completed by Ethical Screening and Due Diligence Officer*

|  |  |
| --- | --- |
| **Full name** |  |
| **Date of birth (if applicable)** |  |
| **Company Registration Number or Charity Number (if applicable)** |  |
| **Main postal address** |  |
| **Sources used to verify identity** | [ ]  Raiser’s Edge (for alumni only)[ ]  TraceSmart[ ]  Charity Commission[ ]  FAME/Companies House[ ]  Other:  |

**Risk management checks**

*To be completed by Ethical Screening and Due Diligence Officer*

|  |  |
| --- | --- |
| **Check** | **Outcome** If concerns arise, please summarise and provide relevant URLs |
| The gift does not arise, in whole or in part, from illegal activity |   |
| The gift does not compromise the College’s status as an independent institution |  |
| The gift does not restrict or limit academic freedom |  |
| The gift does not create material conflicts of interest |  |
| The gift does not damage the College's reputation |  |
| The gift does not cause any other damage, including financial, to the College |  |
| The gift does not expose the College to potentially significant liability |  |
| The gift does not in any other way be in conflict with the values and aims of the University |  |

**Results**

*To be completed by Ethical Screening and Due Diligence Officer*

|  |  |
| --- | --- |
| 1. Were any Risks Identified during the course of Due Diligence?
 | Y/N Delete as appropriate |
| 1. Is Gift Value £100k or over
 | Y/N Delete as appropriate |
| 1. Is the identity of the prospect/donor unconfirmed
 | Y/N Delete as appropriate |

***If the answer to any of the above questions is yes please continue to section 3 otherwise please proceed to section 4***

**Section 3**

**Matter for Ethical Consideration**

*To be completed by the Lead Fundraiser*

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| **Your recommendation as to how the matter should proceed** |
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| **Details of any non-standard or potentially onerous conditions proposed in connection with the proposed gift/relationship** |
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| **Any other comments** |
|  |

**Section 4**

**Authorisation**

 **For all Gifts / Reviews**

|  |  |
| --- | --- |
| Lead fundraiser for the proposed gift:………………………Signature / Approval Over Email……………………Name……………………Date | Head of Development / Director (where there is no Head)……………………Signature / Approval Over Email……………………Name……………………Date |

**For any gifts/proposals over £100k and/or Risks are identified**

|  |  |  |
| --- | --- | --- |
| Dean of Faculty:…………………….Signature……………………Name……………………Date | Vice President of Advancement:…………………….Signature……………………Name……………………Date | College Secretary:………………………Signature………………………Name………………………Date |

**Appendix**

**Any additional notes or requirements**

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