



**Financial Engagement Risk assessment form**

(For internal use – see last page for external use)

**Step 1 – background information**

*To be filled out by staff member in charge of the engagement*

- Organisation name:
- Industry/sector:
- Engagement type and estimated value in £:
- Has Food Foundation had a previous engagement with this company or its affiliates? If so, in what capacity?
- Company website(s):

**Step 2 – Establishing the engagement and company/organisation type**

Q1) Is the engagement type high, medium or low risk?

High Risk	Engagement for an extended period of time or involving a significant level of core activities	Financial contribution worth over £33000 in cash or kind, over a period of one year or less, or  Collaboration in a joint project extending more than one year
Medium Risk	Less extended duration or small contribution to core activities	Financial contribution worth between £5000 and £33000 in cash or kind, including conferences, sponsorships, satellites, exhibitions, other fees, consultancies, salaries, property, rent
Low risk	Shore term or minor contribution to core activities	Financial contributions worth up to £5000 in cash or kind

Q2) is the organisation categorised Tier 1, Tier 2, or Tier 3?

For ethical reasons, the Food Foundation will not enter financial relationships with organisations closely linked to the active promotion of tobacco products, armaments, gambling, alcohol products or political parties.

*If in doubt, assume a higher risk category.*

Tier	Risk	Industry sectors
Tier 1	High	Food manufacturers (and their peak bodies, federations, councils) with interests in promoting products in the following categories: soft drinks, snack foods, baby foods and milks, breakfast cereals, cookies and cakes, confectionery, desserts, and sugar-related commodities. Caterers and fast-service restaurants with more than 5 outlets Producers of pharmaceutical and weight management services and products (including meal replacement products).
Tier 2	Medium	Food manufacturers (and their peak bodies, councils and federations) promoting other products, including additives and artificial sweeteners, fruit and vegetable products, meat fish and dairy products. Food retailers. Caterers with 5 or fewer outlets, catering suppliers. Automobile industry, road building industry, automobile fuel companies. Broadcasters and audio-visual media companies, TV programme makers, TV, computer and video games manufacturers and distributors. Medical equipment manufacturers and suppliers, fitness clubs, private health service providers, health insurance companies Marketing and public relations companies. Civil society organisations (including academic and professional bodies, non-profit organisations, charities and philanthropic bodies) which are more than 20% funded by one or more Tier 1 organisations.
Tier 3	Low	Sports and bicycle companies, mass transport companies, tourism and hotels, domestic energy and water companies, construction industry excluding road building), banking and non-health-related insurance industries, electronics companies (non-TV), music industry, publishers. Public authorities and government agencies. Civil society organisations (specified above) less than 20% funded by Tier 1 organisations.

Q3) Is a Policy Alignment Assessment (PAA) required?

If 'no', go to step 5.

Q4) Is a Trustee Assessment (TA) required?

If 'no', go to step 4.

		Organisation		
		Tier 1	Tier 2	Tier 3
Engagement	High risk	PAA and TA before decision by Executive Director	PAA and TA before decision by Executive Director	PAA before decision by Executive Director
	Medium risk	PAA and TA before decision by Executive Director	PAA before decision by Executive Director	Decision by Executive Director
	Low risk	PAA before decision by Executive Director	Decision by Executive Director	Decision by Executive Director



### **Step 3 – Trustee Assessment**

Q5) Has a Trustee Assessment been made (of the potential donor) in the last 12 months?

If 'yes' go to step 4, Q8, otherwise continue here:

Q6) Has a PAA been sent to the TA members?

If 'no' then ensure a PAA has been completed and sent to TA members before proceeding  
(see step 4 for the PAA)

Q7) What is the response of TA members?

- I) Consensus agreement that:
- II) Disagreement, with the following comments made:

### **Step 4 – Policy alignment assessment (PAA)**

*To be filled out with the assistance of additional staff*

Q8) Has the organisation been assessed with a PAA in the last 12 months? If 'yes' go to step 5, Q15, otherwise continue here:

Q9) Is the organisation directly connected with therapies or products which are claimed to produce nutritional/health benefit (e.g. benefit the health of overweight or obese people), and is there reasonable evidence for the claimed benefit or, on the contrary, evidence of harm?

Q10) Is there reasonable evidence that the organisation has marketing/advertising strategies or undertakes lobbying or attempts political influence which has been deemed inconsistent or contradictory to the Food Foundation's stated objectives?

Q11) Are there any known organisations, bodies or campaigns being funded by the organisation which might be deemed inconsistent with contradictory to the Food Foundation's stated objectives?

Q12) Is there reasonable evidence the company is failing on ethical criteria, e.g. *child labour and employee welfare practices; environmental and sustainability practices; human right practices*, or that in contrast it has good practices in place?



Q13) Does the organisation have a close business relationship with other commercial, interests (e.g. subsidiary or parent company, or peak organisation, federation or council) which should be taken into account in the assessment of risk? *E.g. Tier 1 or 2 companies*

Q14) Are there any other matters which might cause reputational damage or a conflict of interest? Are there any known concerns about the organisation's probity or reputation or political activities?

#### **Step 5 – Executive Director's assessment**

Q15) Using any assessments provided (inc. TA and PAA, shown above) does the organisation's policies and activities align sufficiently with the mission, goals, positions, and overall vision of Food Foundation? (see Food Foundation objectives and mission statement)

Q16) Will the engagement help Food Foundation to realise its goals?

Q17) What risks may arise from entering such an engagement?

Q18) What risks may arise from NOT entering such as engagement?

Q19) Before reaching your decision, have you sought the views of the Academic Advisors?

#### **Step 6 – Decision and follow up**

Decision:

Summary of statement sent to the organisation:

Summary of the Policy Alignment Assessment checklist (version for communication with the organisation, and for external publication)	
Name of organisation:	Tier:
Assessment	
1) Is the organisation directly connected with therapies or products which are claimed to produce nutritional/health benefit (e.g. benefit the health of overweight or obese people), and is there reasonable evidence for the claimed benefit or, on the contrary, evidence of harm?	
2) Is there reasonable evidence that the organisation has marketing/advertising strategies or undertakes lobbying or attempts political influence which has been deemed inconsistent or contradictory to the Food Foundation's stated objectives?	
3) Are there any known organisations, bodies or campaigns being funded by the organisation which might be deemed inconsistent with contradictory to the Food Foundation's stated objectives?	
4) Is there reasonable evidence the company is failing on ethical criterial, e.g. <i>child labour and employee welfare practices; environmental and sustainability practices; human right practices</i> , or that in contrast it has good practices in place?	
5) Does the organisation have a close business relationship with other commercial, interests (e.g. subsidiary or parent company, or peak organisation, federation or council) which should be taken into account in the assessment of risk? E.g. Tier 1 or 2 companies	
6) Are there any other matters which might cause reputational damage or a conflict of interest? Are there any known concerns about the organisation's probity	



or reputation or political  
activities?