

# Due Diligence Form for Grantees

#  Grant value over USD50,000

# Form- II

## What is the purpose of this document?

This form is intended to support GGGI personnel on conducting due diligence of Grantees (both private and non-private) as required under GGGI policies.[[1]](#footnote-1) This form (all parts of Section A) should be filled out by the Grantee.

## How to complete this document?

This document should be completed by the grantee that manages and implement the activities to be funded by the grant.

Please be concise. If you need to include any additional information, please attach it. A supporting documents checklist is provided on the last page. While filling-in the responses to this Self-Assessment, please reference supporting documents in each section. For large supporting documents please reference the appropriate sections/chapters of the documents (including page numbers, where relevant).

## How to get support in completing and submitting this document?

If you are not sure how to complete this questionnaire, or require support, please send an e-mail to the relevant the relevant GGGI Country Office or to the Finance Unit at headquarters.

## Please submit the completed assessment form and supporting documents to: bkcf.proposal@gggi.org

# SECTION A

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| 1. **GENERAL AND CONTACT INFORMATION**

This section must be completed with all relevant information as outlined below. |

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| * 1. **Organization size and location**
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| Type here |
| * 1. **Organization size and location**

Please provide: 1. Country of incorporation:
2. Date of incorporation/establishment:
3. Number of head count / staff count.
4. Amount of organization assets (as per latest balance sheet when applicable)
5. Location(s) of local/ regional/international offices
 |
| Type here |
| * 1. **Registration Number, Articles of Incorporation, Statutory Order, Ministerial Decree**
 |
| Type here |
| * 1. **Regulatory Authority**

**This may vary depending on the type of Applicant: e.g., Ministry, and/or Department for of National Government, Trustee, Board inter alia)** |
|  Type here |
| * 1. **Full registered address (and if different, Address of Principal Place of Business)**
 |
| Type here |
| * 1. **Contact person / official designation.**

**The listed official shall be the official contact person for the duration of the Application. Please also note secondary official.**  |
| Type here |
| * 1. **Contact details (e.g., telephone, email, mailing address, fax, website etc.)**
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| Type here |

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| * 1. **Principal activities**

**Please** **explain Principal activities of your organization, and linkages to Environmental, Social and Governance**  |
| Type here |
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| 1. **PILLAR 1. LEGAL FRAMEWORK**

This section outlines details on the organization’s legal framework and status, and should be substantiated by the organization’s founding legal document, such as a constitution, charter, memorandum of incorporation, etc. |

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| * 1. **Please provide a description on the legal status of the organization (e.g., government ministry/department, limited liability company, etc.)**

In case of a government ministry/department: 1. Does it possess individual legal personality and is it a separate legal entity from the government and does the ministry have the mandate and authority to apply for international financing and enter into financing agreements and/or directly receive financing to implement readiness activities in its own name and on its own behalf or does it act on behalf of the government or does it require prior approval of its Ministry of Finance prior to the receipt of funds?
2. Can the ministry/department receive international funds and act in its own name and on its own behalf; please specify which other institutions have provided international financing to the ministry/department.

In case of NGO / INGO / Company:1. Does your organization have the appropriate registration with the respective department of the government?
2. Is the NGO / INGO / Company authorized to receive funds from National / International Donors directly, or are funds required to be received by the government?
 |
| Type here |
| * 1. **Does the organization have the necessary registrations and mandate to undertake the planned activities? Please describe and include relevant documents.**
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| Type here |

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| 1. **PILLAR 2. STRUCTURE AND CULTURE**

This section covers the organization’s institutional/corporate structure and provides an outline of its composition, as well as the measures to ensure sound management of human and financial resources. |

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| * 1. **Describe the scope of operations of the organization, including geographical scope, activities scope, and financial scale of donor-funded projects annually.**
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| Type here |
| * 1. **Provide an organizational chart, including clearly defined roles and responsibilities for management, auditors, governance bodies, administrative functions (e.g., Finance, Procurement).**

**Please elaborate on the hierarchy, reporting lines and distinction between operations between the key units/divisions/departments.** |
| Type here |
| * 1. **Was your institution ever subject to any fiduciary standard assessment (FSA) by an international organization (e.g., UN, multilateral development bank, European Commission Pillar Assessment, bilateral donor, etc.) or local regulatory authority? If yes, please provide the following details and provide relevant documents**[[2]](#footnote-2)
1. What kind of assessment[[3]](#footnote-3) was conducted and when was it done? Is a report publicly available?
2. Provide the outcome of the same and subsequent contract with the organization(s).
3. Were there any violations or non-conformance against those fiduciary standards by the entity? And/or, were there any other ‘major findings’ / ‘flagged issues’, and any ‘Recommendations’ provided in the FSA?

If so, what mitigation measures have been taken in response by your organization? |
| Type here |
| * 1. **In cases not covered by a procurement process, does your organization have a policy to remunerate other personnel who are not staff? Please provide details on the hiring/contract modality (e.g., procurement or Human Resources) and on pay scale. Include the policy supporting documents or refer to relevant documents if already covered in section 5 Procurement.**
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| Type here |

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| 1. **PILLAR 3. FINANCIAL MANAGEMENT**

This section contains information regarding accounting and internal control systems. It requests important details and documentation that are necessary to assess the organization’s ability to safeguard financial resources and ensure it systems and policies are designed to prevent, or minimize, the risk of corruption and fraud. |

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| * 1. **Accounting standards followed by the organization (e.g., GAAP, IFRS, IAAS, IPSAS)**

**Please elaborate how any of these or other standards are fitted-in and/or customized for the organization. If adhering to National Guidelines, please elaborate upon this, and provide as part of the Document Checklist.**  |
| Type here |
| * 1. **Describe the organization’s accounting system including the internal control framework (e.g., refer to key policies if applicable).**

**If there is no ‘Internal Audit’ department/unit in the organization, please provide information concerning the relevant policy document as to how the internal control oversight is managed within the organization?** |
| Type here |
| * 1. **Provide details on the accounting software used by the organization**[[4]](#footnote-4)

**Please elaborate on the Accounting Software: name, manufacturer, essential features (modules) restriction rights, how it has been adapted, customized / fitted-for your organization, and how it functions concerning your organization’s accounting system vis-à-vis financial management.** |
| Type here |
| * 1. **Specify the position of the controller (or person responsible for financial management and financial oversight) within the organization.**
 |
| Type here |
| * 1. **Describe the composition of key staff in the area of financial management (i.e., number, qualifications, roles, and responsibilities) or provide evidence that key staff have the necessary knowledge, skills, and experience.**

**Please provide CVs of the key staff/personnel that will be involved with the GGGI Readiness project.**  |
| Type here |
| * 1. **Provide a description of the internal audit function and a schedule of the audits performed in the last 2 years. If internal auditing is outsourced, provide the name of the firm and describe how the arrangement works. If internal audit is conducted internally, describe the qualifications and experience of key staff. Include / provide copies of last 2 reports.**

**Please mention the Major Findings / Recommendations of the Internal Audits, and whether there are any flagged issue(s). If there are Major Findings and/or recommendation, how has your organization addressed these? What mitigation measures have been implemented to address the Findings and Recommendations of the Internal Audit?** |
| Type here |
| * 1. **Name of the organization responsible for external auditing and specify how the audit recommendations are followed up, if applicable**

**Please Include / provide copies of last two (2) years’ Audit Reports, including Certified Financial Statements** **(the FS should include the ‘Notes to the Financial Statements’).****Please mention the Major Findings / Recommendations of the Internal Audits, and whether there are any flagged issue(s).****If there are Major Findings and/or recommendation, how has your organization addressed these? What mitigation measures have been implemented to address the Findings and Recommendations of the External Audit?** |
| Type here |
| * 1. **Describe how the organization ensures that resources are only spent for their stated and agreed purposes (e.g., using a separate bank account for the readiness Grant Agreement, procedures for overseeing and verifying the use of proceeds, etc.)**
 |
| Type here |
| * 1. **Describe how the organization ensures zero tolerance for fraud, financial mismanagement, and other forms of prohibited practices by staff members, consultants, contractors, etc. Please include relevant policies and audits if applicable. Describe how the organization handled occurrences of non-compliance, if they have occurred.**

**Please also elaborate on your organization’s Anti-money Laundering (AML), and Counter Finance to Terrorism (CFT) polies. If your organization does not have its own policies, but rather follows National Government, and/or Donor Guidelines (e.g., World Bank, UNDP) please provide the relevant information and reference in the Document Checklist.****(Please refer to Annex-1; Point-1 of this Self-Assessment).** |
| Type here |

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| 1. **PILLAR 4. PROCUREMENT**

This section gives an assessment of how procurement is handled by the organization and the overall approach employed in the selection of consultants and the acquisition of goods and services. This is important to ensure procurement is conducted in a manner that optimizes value for money and protects the interests of both the organization and the supplier. |

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| * 1. **Describe the procurement procedures including procurement methods for selection of consultants and procurement of goods and services.**
 |
| Type here |
| * 1. **Levels of endorsing and approving authority. Please specify:**
1. Procurement guidelines or standards, procurement methods and applicable thresholds, including composition and role of procurement committee.
2. Pr**ocedures for overseeing the procurement function**

**Please provide a summary table of the Types of Procurement (Solicitation Methods) as well as accompanying Financial Thresholds.**  |
| Type here |
| * 1. **Policy on fraud and corruption in procurement cases**

**Within this Section, please elaborate on your organizations COI Policy as it pertains to Procurement Actions.** **In addition, please explain how AML/CFT policies vis-à-vis safeguarding processing of payments.**  |
| Type here |
| * 1. **Ineligibility criteria or favorability criteria for vendor selection**
 |
| Type here |
| * 1. **Criteria used to evaluate goods and service providers**
 |
| Type here |

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| 1. **PILLAR 5. PROJECT MANAGEMENT**

This section details how the organization manages its projects and project-related operations. It covers the overall management process including monitoring and evaluating performance. |

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| * 1. **Describe the parts/units of the organization that will be directly involved in the GGGI-related activity. Specify number of staff and the division(s) involved. Specify if your organization will benefit from relationships with other programmes, other entities, or other parts of government as applicable.**
 |
| Type here |
| * 1. **Does the organization have policies and procedures to manage projects that are implemented directly by the organization or indirectly through sub-recipients?**

**Please describe, or include relevant documents, or refer to the relevant documents if already covered in Section-5 for Procurement.** |
| Type here |
| * 1. **Provide a list of recent projects/programmes in the past 5 years that received funding from multilateral development banks and bilateral donors**[[5]](#footnote-5)

**Please use the provided Project Reference Table, one for each project.**  |
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|  |  |
| --- | --- |
| Project Name: | Type here |
| Country of Implementation | Type here |
| Funding Source[[6]](#footnote-6): | Type here |
| Project Value[[7]](#footnote-7): | Type here |
| Dates of Performance: | Type here |
| Project Outcomes / Results[[8]](#footnote-8): | Type here |
| Project Name: | Type here |
| Country of Implementation | Type here |
| Funding Source: | Type here |
| Project Value: | Type here |
| Dates of Performance: | Type here |
| Project Outcomes / Results: | Type here |

 |
| * 1. **Briefly describe the organization’s ‘monitoring and evaluation’ system of project targets, milestones and achieved results. Briefly describe corrective actions implemented in cases where objectives where not fully achieved as originally forecasted.**
 |
| Type here |
| * 1. **If any recent projects have been formally reviewed or evaluated, please provide a copy of the relevant review, evaluation, or assessment report in the past 5 years.**
 |
| Type here |
| * 1. **Describe the organization's processes and procedures to ensure the early identification of risk and to take remedial action**[[9]](#footnote-9)

**If the Organization has a Risk Management Policy, Guidance Document and/or SOP, kindly elaborate, and reference with the Document Checklist.** **If your organization does not have a specific Risk Management Policy/SOP, then please provide information on your organizations’ Risk Management approach: including Risk Identification, categorization, and mitigation.****(Please refer to Annex-1; Point-II of this Self-Assessment).** |
| Type here |

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| 1. **PILLAR 6. SAFEGUARDS**

This section gives an assessment of how environmental and social issues are handled by the organization. This is important to ensure organization follows UN and Global standards. |

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| * 1. **Does the Grantee follow the principles of the UN Global Compact?.**
 |
| Type here |
| * 1. **Does the Grantee publish an environmental or sustainability report, disclosing information on its environmental / CSR policy & performance?**
 |
| Type here |
| * 1. **Does the Grantee have a policy and monitoring system to ensure human rights are adequately protected?**
 |
| Type here |
| * 1. **Does the Grantee have a policy and monitoring system to ensure labour rights are adequately protected, including prevention of human trafficking and modern slavery?**
 |
| Type here |
| * 1. **Does the Grantee have a policy and monitoring system to ensure prevention of child exploitation and abuse, including child labour?**
 |
| Type here |
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| * 1. **Does the Grantee have a policy and monitoring system to minimize environmental damage at its operations?**
 |
| Type here |
| * 1. **Does the Grantee have a policy and monitoring system stating that it will not engage in corruption at any time or in any form in its interaction with Grantees and contractors?**
 |
| Type here |

**NOTE FOR GGGI STAFF : If Grantee answered “no” or fails to answer to any of the above questions, please consult with CAID.**

**Guide to the Critical Document Checklist**

1. If your Organization does not have a particular Manual, Policy, Guideline, SOP of its own but rather follows the Polices/Regulations, Guidelines of the Government and/or any other Organization’s (UN/UNDP, WB, ADB), then those governing documents should be provided and duly referenced in the Self-Assessment.
2. External Audit Reports of the Government Department(s) may include, Statutory Audit Reports, while that of the (I)NGOs, and Companies by Audit Firms.
3. All Critical Documents provided for FMCA review(s) are strictly maintained as “Confidential” by GGGI and are exclusively used for FMCA reviews. These are not shared, discussed, or revealed, in part and/or in full, to any other entity whatsoever. If applicants have specific questions concerning the FMCA process and/or, questions on confidentiality, required documentation, please send an email to bkcf@gggi.org with reference to your application and the nominated focal point).
4. Omission and/or inability to share critical documents will have a direct impact on the FMCA review.

Please focus on providing the requested documents. Within the Document Name / File Name column, please input the name of the policy/procedure/manual. For the Attachment column, please ensure to number the documents when they are attached as part of the application and indicate the Attachment Number for each document.

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| 1. **FMCA Supporting Document Checklist**
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| **Pillar-1: Organization and Legal Framework**  |
| **#** | **Type of Supporting Documents** | **Doc/File Name** | **Attachment #** |
| **1** | **Legal registration of the entity and/or founding legal document, Charter etc.** This may be a statutory/government Order/Memo, or any Founding/Creation document issued by the competent authority. | Type here | Type here |
| **2** | **Constitution / Articles of Incorporation of the Organization / Entity** | Type here | Type here |
| **3** | **Latest Annual Report(s) of the Organization / Entity**  | Type here | Type here |
| **Pillar-2: Structure and Culture, including considerations on Code of Conduct and Ethics** |
| **#** | **Type of Supporting Documents** | **Doc/File Name** | **Attachment #** |
| **4** | **Organizational Structure/Chart, Organogram; Governance, etc.*** Please provide a brief elaboration on the hierarchy; reporting lines between key units/divisions/departments
 | Type here | Type here |
| **5** | **Management Structure*** Identifying and elaborating on key Units/Departments, including Internal Audit Function.
* Roles and responsibilities of key unit staff (Unit/Department Heads, Finance, DOA holders, inter alia.)
 | Type here | Type here |
| **6** | **Operations and/or Administrative Manual (including Financial roles/functions) Policies, Procedures, SOPs*** If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **7** | **HR Policies, Procedures, Manual, SOP etc.*** If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **8** | **Code of Conduct or the Organization & Ethical Standards for Staff/Personnel** * Please reference relevant Sections for review
 | Type here | Type here |
| **Pillar-3: Financial Management, including Management of Risk** |
| **#** | **Type of Supporting Documents** | **Doc/File Name** | **Attachment #** |
| **9** | **Financial Management Manual, Accounting Policies & Guidelines, SOP etc.** | Type here | Type here |
| **10** | **Main Accounting policies of the Entity; and Accounting Software used/adopted.*** This should be elaborated upon in Section 3.1 & 3.2 of the Self-Assessment
* If the Applicant follows Governments’ and/or any other Organizations’ (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **11** | **Internal Control Framework (ICF), including procedures against Fraud & Corruption.** * If there is no specific Policy/SOP related to ICF, then please provide other relevant documents re: internal control of the Organization
 | Type here | Type here |
| **12** | **Internal Audit Reports (past two years)** * If there is no ‘Internal Audit’ department/unit, please provide any other relevant document (if have any) as to how the internal control oversight is done
 | Type here | Type here |
| **13** | **Annual Financial Statements or Certified Financial Statements of the past two years (including Notes to Finance by the Auditor)** * All applicants are required to submit Statutory or External Audit Reports; donor funded project audit reports are welcomed in addition to external audit reports.
* Balance sheet statement
* Profit and loss statement
* Pash flow statements
 | Type here | Type here |
| **14** | **External Audit Reports (past two years) conducted by Government / Statutory Department, or**  | Type here | Type here |
| **15** | **Fiduciary assessment report(s)*** Please reference major findings and recommendations sections
 | Type here | Type here |
| **16** | **General Anti-Money Laundering (AML) and Combating Finance of Terrorism (CFT) Policies, Practices and Procedures*** If the Applicant follows Governments’ and/or any other Organizations’ (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **Pillar-4: Procurement Policies and Procedures** |
| **#** | **Type of Supporting Documents** | **Doc/File Name** | **Attachment #** |
| **17** | **Procurement Manual, Policies and Procedure, SOP etc.*** If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **18** | **Delegation of Authority / Financial Thresholds** * Please ensure to include this in Section 4.2 of the Self-Assessment
 | Type here | Type here |
| **19** | **Conflict of Interests (COI) Policy** * Procurement process and related areas
 | Type here | Type here |
| **Pillar-5: Programme / Project Management** |
| **#** | **Type of Supporting Documents** | **Doc/File Name** | **Attachment #** |
| **20** | **Program / Project Management Manual, Policies, Procedures, SOP, etc.*** If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **21** | **Monitoring and Evaluation Policies, Procedures, and Guidelines*** If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **22** | **Track record of the past and/or ongoing project(s) the Organization implemented including Results/Outcomes.*** Non-exhaustive list of projects, rather, please present relevant/recent projects within the past 5years
 | Type here | Type here |
| **23** | **External evaluation(s) / assessment(s) of past or ongoing Projects and Program (if any)** | Type here | Type here |
| **24** | **Risk Assessment and Risk Management Policies of the Organization (if any)** * If the Applicant follows Governments’ and/or any other Organization’s (UN/UNDP, WB, ADB) regulations / policies in lieu of its own FMM/SOP, then those governing documents should be provided/referred.
 | Type here | Type here |
| **25** | **CVs of key Finance and Project staff** * CVs should be provided for personnel that are to be involved/associated with projects with GGGI Funding
 | Type here | Type here |
| **26** | **Relevant Institutional publications, communications, reports, and references; and official website of DP*** Relevant project reports, accommodations, project publications, as well as official website, inter alia.
 | Type here | Type here |

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| 1. **Annex 1: AML/CFT Questionnaire**
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| 1. **General Anti-Money Laundering (AML) and Combating Finance of Terrorism (CFT) Policies, Practices and Procedures**
 |
| 1. Please provide copies of the organization’s written policies, standards and procedures regarding Anti-Money Laundering (AML), Combating Finance of Terrorism (CFT) and Customer Due Diligence (CDD) practices, including any integrity policies.
 |
| 1. Does the organization have compliance program/office that includes a designated officer responsible for coordinating and overseeing the AML/CFT? Does the organization use third parties to carry out any components of its AML/CFT or sanctions procedures? (If yes, please explain)
 | Yes [ ]  | No [ ]  |
| 1. **Risk Assessment**
 |
| 1. Please provide a copy of any AML/CFT and risk assessment policy for your organization.
 |
| 1. **Due Diligence, and Enhanced Due Diligence**
 |
| 1. Please provide a copy of any policy that addresses counterparties, Politically Exposed Persons[[10]](#footnote-10)5, and sanctioned parties.
 |
| 1. Do the organization’s policies (AML/CFT, CDD) require the identification and verification of counterparties? Are ultimate beneficial owners, authorized signatories, key controllers and other relevant parties identified and verified?
 | Yes [ ]  | No [ ]  |
| 1. Does the organization have procedures to keep records pertinent to customers’ identifications and transactions?
 | Yes [ ]  | No [ ]  |
| 1. When conducting CDD, does the organization gather information on the following components: Ownership structure, expected activities, nature of business/activities, purpose and nature of relationship, source of funds, and source of wealth? (Please explain which ones, if not all).
 | Yes [ ]  | No [ ]  |
| 1. Does the organization give counterparties a risk classification? (If yes, please explain factors/criteria).
 | Yes [ ]  | No [ ]  |
| 1. **Sanctions**
 |
| 1. Does the organization regularly screen counterparties (including beneficial ownership, associates and relates parties, and employees) and transactions against lists of persons, entities or countries issued by the UNSC/government/competent authorities? (if yes, please explain which ones, how frequently, and if screenings are conducted using automatic methods/software, please specify which one)
 | Yes [ ]  | No [ ]  |
| 1. **Monitoring**
 |
| 1. Please indicate whether the organization utilizes any automated monitoring for identification and reporting of suspicious transactions
 |
| 1. **Payment Transparency**
 |
| 1. Does the organization have policies, procedures, and process to comply and control, to a reasonable extend, with Financial Action Task Force (FATF) recommendations and other local and international regulations? (Explain)
 | Yes [ ]  | No [ ]  |
| 1. **Organization Governance**
 |
| 1. Please provide an organizational chart with names of its senior management team and Board members, including titles.
 |
| 1. If the organization is a non-government entity, does the organization have an ownership chart with beneficiary owners and their ownership interest? (if yes, please include overall ownership structure chart, including percentage of state ownership if more than 25% shares)
 | Yes [ ]  | No [ ]  |

# SECTION B

1. **SECTION B [This Section will be filled up by GGGI.]**

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| **10. Integrity** |
| 10.1 | Does Dow Jones Risk & Compliance show any records on the **Grantee** in relation to (i) sanctions; (ii) criminal investigations, charges or convictions; or (iii) adverse media?  | *Please record the screening results.* |
| 10.2 | Does Dow Jones Risk & Compliance show any records on the **individuals listed in section B(3)** in relation to (i) sanctions; (ii) criminal investigations, charges or convictions; (iii) Politically Exposed Person (PEP); or (iv) adverse media? | *Please record the screening results.* |
| **11. Conflict of Interest**  |
| 11.1 | Is there any conflict of interest between GGGI staff and the Grantee?[[11]](#footnote-11)  | *If yes, consult with HR and Legal.* |
| **12. Others** |
| 12.1 | Describe any other risks identified that do not belong to Section A, B, or C. |  |
| **13. Overall Assessment** |
| [ ] Low Risk (no issue identified or identified issue poses no or low risk) 🡪 Engagement can proceed.[ ]  High Risk (identified issues fall outside GGGI’s risk tolerance, e.g. beneficial owner cannot be identified; the Grantee or individuals listed in Section 6 are included in a sanctions list) 🡪 Engagement cannot proceed.[ ] Medium Risk (identified issues present some degree of risk) 🡪 Engagement can proceed with mitigating measures.[[12]](#footnote-12) *Describe mitigating measures to be implemented:*  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name and Signature *(GGGI staff completing Section D)*Position Title  |



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1. Relevant policies include *Rules on Grant,* *Rules on Private Sector Engagement*, *Interim Consortia Process*, *Rules on Integrity Due Diligence, Rules on Sustainability and Safeguards and Rules on Child Protection*. [↑](#footnote-ref-1)
2. If it is ‘Confidential document’, please obtain permission of the authority for sharing it with GGGI for the FMCA review. [↑](#footnote-ref-2)
3. Such assessments may include public financial management assessments, assessments that measure compliance with international best practices, and the like. [↑](#footnote-ref-3)
4. e.g., allow for comparison among reporting periods, track record in the preparation of financial statements, budgets, monitor expenditures against budgets. [↑](#footnote-ref-4)
5. Project Reference Tables include areas to list project description/title, country/region of implementation, amounts of income/expenditure, and duration (years or months), purpose and the role your organisation in the project, actual vs planned results/outcomes. [↑](#footnote-ref-5)
6. Please indicate the Donor / Funding Source [↑](#footnote-ref-6)
7. Please also indicate the currency of the signed project within the Project Value section. [↑](#footnote-ref-7)
8. If the Project is “ongoing” please indicate the intended outcomes and/or impact of the project. For this section, please provide an overview of the project: either as a narrative, and/or in bullet points [↑](#footnote-ref-8)
9. e.g., system in place to ensure speedy solutions to problems which may interfere with the achievement of the project objectives or lead to unintended negative consequences, examples of project problems identified and addressed to demonstrate effectiveness of the system. [↑](#footnote-ref-9)
10. 5 A politically exposed person (PEP) is an individual who is or has been entrusted with a prominent public function; this includes their family member(s) or close associate(s). For example, Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state-owned corporations, important political party officials, members of senior management of international organisations and their equivalents. Family members are individuals who are related to a PEP either directly (consanguinity) or through marriage or similar (civil) forms of partnership. Close associates are individuals who are closely connected to a PEP, either socially or professionally [↑](#footnote-ref-10)
11. A 'conflict of interest' situation arises when a staff member’s private interests ‐‐ such as outside professional relationships or personal financial assets ‐‐ might interfere with the proper performance of their professional functions or obligations as a GGGI official. A partnership should not be perceived to benefit, directly or indirectly, GGGI staff. For example, staff members should not be actively associated with managing or holding financial interest in any business if either the staff member or the entity has the opportunity to benefit from such an association by way of the staff member’s position at GGGI. [↑](#footnote-ref-11)
12. Examples of mitigating measure include: (i) requesting the improvement of the Grantee’s relevant policies and procedures; (ii) inclusion of contractual obligations, representations and warranties in the agreement with the Grantee; (iii) removal of any individual causing concern from any activity relating to the engagement with the Grantee. [↑](#footnote-ref-12)