**Self-assessment checklist on fiduciary risks**

* Kindly note that all applicants to the DRM Innovation Fund will be required to complete this checklist in order to be considered for a GIZ grant agreement.
* The DRM Innovation Fund is implemented by the GIZ and follows the organisation’s rules and procedures.
* The DRM Innovation Fund accepts applications from partnerships (joint initiatives/joint ventures) if one of the two applying organisations is a public entity.
  + In the abovementioned, the public entity will be the recipient of the GIZ grant agreement therefore the self-assessment checklist should be completed by the public entity.
* Should your application progress, this self-assessment checklist will be followed by a full Fiduciary Risk Assessment (*GIZ commercial and legal eligibility check on potential recipients* for financial contributions) which will be conducted by an external auditor assigned by the DRM Innovation Fund Secretariat.
  + The assigned external auditor will not impact your requested grant amount (applicants may request a funding amount of between 50 000 to 100 000 euros).

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| **Name of applying organisation/s** |  |
| **Project title** |  |

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| **Criteria** | **Self-Assessment** |
| **Legal form of the institution/organisation** | |
| What is the legal form of the applying institution/organisation? How is the institution/organisation registered? |  |
| If the applying organisation is a state institution what is its mandate? |  |
| Is the above-mentioned mandate permanent or temporary? | Permanent  Temporary |
| If required, would you be willing to submit evidence of the institution’s/organisation’s legal form and registration? | Yes  No |
| Does your institution/organisation have annual reports, which are publicly available? | Yes, the applying institution/organisation has annual reports which are publicly available  Yes, the applying institution/organisation has annual reports which are available upon request  No, the applying institution/organisation does not produce annual reports |
| **Public-benefit status** | |
| Does the institution/organisation have public-benefit status?  \*The institution/organisation’s main interest, mandate and work activities are to serve the interest of the general public and not to support profit-making interests e.g. commercial enterprises. | Yes, the applying institution/organisation’s usual work activities falls within the “public benefit “sector  No, the applying institution/organisation primarily participates in commercial activities. |
| Is the applying institution/ organisation a government/state entity? | Yes  No |
| Does the applying institution/ organisation have non-profit status under your country’s legal system? | Yes  No |
| If required, would you be willing to submit documents/ articles of association/ further evidence attesting to the above? | Yes  No |
| **Internal policies and guidelines** | |
| Do you have the following?  (Please check the boxes where relevant)  Personnel Policy  Procurement Policy  Accounting Manual  Petty cash policy/manual  Fixed assets guidelines or equivalent | |
| **Accounting system overview** | |
| Is there a formal accounting system in place? Does the accounting system meet the national accounting standards in your country? | Yes, we have a formal accounting system in place which is on par with national accounting standards  Yes, we have a formal accounting system in place  No, we do not have a formal accounting system in place |
| Do you have the following?  Please check the boxes where relevant:  Annual financial statements  Annual budgets  Records of income and expenditure  Electronic bookkeeping system | |
| If required, would you be willing further evidence/documents/information attesting to the above? | Yes  No |
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| **Contract award procedures** | |
| In your organisation/institution:  Are there procurement rules which comply with national legislation and/or international standards? | No, there are no clearly specified procurement rules however there are general procurement procedures  Yes, there are clearly specified procurement rules  Yes, there are procurement rules which comply with national legislation  Yes, there are procurement rules which meet both national legislation and international contract award standards |
| Are the procurement rules and procedures of your organisation verifiably applied? | Yes  No |
| If required, would you be willing to submit evidence/documents/further information to attest to the above? | Yes  No |
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| **Internal and external controls** | |
| Do you have an internal auditor/internal control body? | Yes  No |
| Are internal audits conducted on a regular basis? | Yes  No |
| Are there guidelines for internal audit processes? | Yes  No |
| Are internal audit reports available? | Yes, they are publicly available  Yes, they are available upon request  No, they are not available |
| Are external audits conducted regularly? | Yes  No |
| Which body conducts the external audits? |  |
| Are external audit reports available? | Yes  No |
| If required, would you be willing to submit evidence/documents/further information to attest to the above? | Yes  No |
| How are financial contributions provided by donors audited in your institution/organisation? |  |

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| **Anti-corruption** | |
| Have there been any allegations of corruption or investigations into possible corruption involving senior employees or managers at your institution/organisation? |  |

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| **Declaration** | |
| I acknowledge the following:  Should my application progress, the DRM Innovation Fund will assign external auditor to conduct a full fiduciary risk assessment (GIZ commercial and legal eligibility check on potential recipients).  The external auditor will be required to complete the fiduciary risk assessment (GIZ commercial and legal eligibility check for potential recipients) in line with GIZ rules and procedures with regards to the awarding of direct financial contributions (GIZ grant agreement).  Further information and documentation will be required by the external auditor to substantiate the respective assessment criteria stipulated in this form.  Further interviews with colleagues within the institution/organisation may also be required. | |
| **Name of contact person from applying organisation** |  |
| **Email address** |  |
| **Telephone/mobile number** |  |

\**If the applying organisation does not meet the formal requirements for a GIZ grant agreement the DRM Fund Secretariat will notify the applicant, and on a case by case basis explore alternative means of support.*