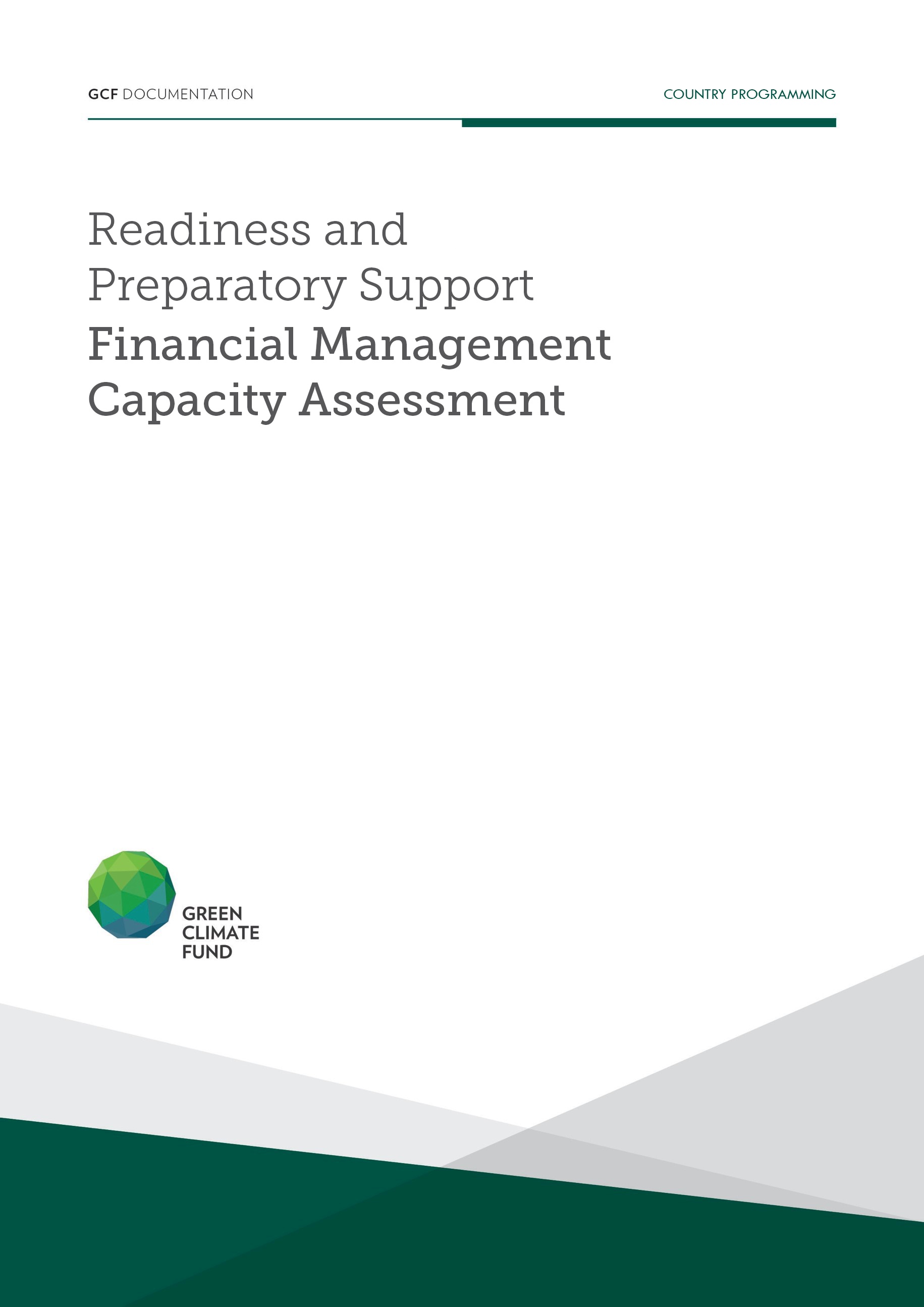
**

**How to complete this document?**

This document should be completed by the entity that will implement the Readiness and Preparatory Support grant where relevant.

Please be concise. If you need to include any additional information, please attach it. A supporting documents checklist is provided on the last page.

**What is the purpose of this document?**

The purpose of this questionnaire is to assess the financial project/Programme management capacity of entities that will implement the readiness activities as identified in the Readiness and Preparatory Support Proposal (Section 1). The GCF will use the contents of the questionnaire to conduct an assessment of the entity’s capacity to effectively manage the finances of the readiness project.

The questionnaire requests specific information regarding the capacity of implementing entities and their financial management systems, procedures and policies. It covers elements of the following: legal framework and status; organizational structure; financial management; procurement; anti-money laundering and counter terrorist financing due diligence and project management. A short description is provided under each section heading.

**Where to get support?**

* If you are not sure how to complete this questionnaire, or require support, please send an e-mail to [[countries@gcfund.org](mailto:countries@gcfund.org)](mailto:xxx@gcfund.org). We will aim to get back to you within 48 hours.
* Alternatively, you can also complete as much of this questionnaire as you can and then send it to [countries@gcfund.org](mailto:countries@gcfund.org). We will get back to you within five (5) working days to discuss your submission and the way forward.

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| **Note: Entities that may not need to complete this template**  **Entities accredited to the GCF do not need to complete this questionnaire.**  Other international entities and entities accredited to other multilateral funds, such as the Adaptation Fund, Global Environment Facility or EU Development Cooperation, may consult the GCF Secretariat as to whether they are required to complete the questionnaire. |

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| SECTION 1. GENERAL AND CONTACT INFORMATION This section must be completed with all relevant information as outlined below. |

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| * 1. Full legal name of organization |
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| * 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 |
|  |
| * 1. Registration Number |
|  |
| * 1. Regulatory Authority |
|  |
| * 1. Full registered address (and if different, Address of Principal Place of Business) |
|  |
| * 1. Contact person / official designation |
|  |
| * 1. Contact details (e.g. telephone, email, mailing address, fax, website) |
|  |
| * 1. Principal activities |
|  |
| * 1. For an organization which intends to submit multiple Readiness support proposals, please provide an estimated amount and estimated timeframe the organization intends to manage GCF Readiness support grants in USD (Optional information, such information will not be used to discriminate in any way when implementing Readiness support proposals) |
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| SECTION 2. 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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| 2.1 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. |
|  |
| 2.2 Does the organization have the necessary registrations and mandate to undertake the planned activities? Please describe or include relevant documents. |
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| SECTION 3. 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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| 3.1 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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| 3.2 Provide an organizational chart, including clearly defined roles and responsibilities for management, auditors, governance bodies, administrative functions (e.g. Finance, Procurement) |
|  |
| 3.3 Was your institution ever subject to any fiduciary standard assessment by an international organization (e.g. UN, multilateral development bank, European Commission, bilateral donor, etc.) or local regulatory authority? If yes, please provide the following details or provide relevant documents   1. What kind of assessment[[1]](#footnote-1) 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 what actions have been taken thereafter? |
|  |
| 3.4 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 make reference to relevant documents if already covered in section 5 Procurement. |
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| SECTION 4. 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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| 4.1 Accounting standards followed by the organization (e.g. GAAP, IFRS, IPSAS) |
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| 4.2 Describe the organization’s accounting system including the internal control framework (e.g. refer to key policies if applicable). |
|  |
| 4.3 Provide details on the accounting software used by the organization[[2]](#footnote-2) |
|  |
| 4.4 Specify the position of the controller (or person responsible for financial management and financial oversight) within the organization. |
|  |
| 4.5 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. |
|  |
| 4.6 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 copies of last 2 reports. |
|  |
| 4.7 Name of the organization responsible for external auditing and specify how the audit recommendations are followed up, if applicable. |
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| 4.8 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.) |
|  |
| 4.9 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. |
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| SECTION 6. 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 optimises value for money and protects the interests of both the organization and the supplier. |

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| 5.1 Describe the procurement procedures including procurement methods for selection of consultants and procurement of goods and services. |
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| * 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. Procedures for overseeing the procurement function |
|  |
| 5.3 Policy on fraud and corruption in procurement cases. |
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| 5.4 Ineligibility criteria or favourability criteria for vendor selection. |
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| 5.5 Criteria used to evaluate goods and service providers. |
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| SECTION 6. 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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| 6.1 Describe the parts of the organization that will be directly involved in the GCF-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. |
|  |
| 6.2 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 make reference to relevant documents if already covered in section 5 Procurement. |
|  |
| 6.3 Provide a schedule of recent projects/programmes in the past 2-3 years that received funding from multilateral development banks and bilateral donors[[3]](#footnote-3) |
|  |
| 6.4 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. |
|  |
| 6.5 If any recent projects have been formally reviewed or evaluated, provide a copy of the relevant review, evaluation or assessment report in the past 2-3 years. |
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| 6.6 Describe the organization's processes and procedures to ensure the early identification of risk and to take remedial action[[4]](#footnote-4) |
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| **FMCA supporting documents checklist** | **Attached**  (Please mark with an “x”) |
| Document of legal registration of the entity and founding legal document |  |
| The latest annual report of the organization and institutional publications/communications products that help provide a comprehensive understanding or presentation of the organization (e.g. annual reports, links to relevant website, web pages, etc.) |  |
| Organizational chart describing the hierarchical structure of the organization and illustrating all key functions and relevant staff |  |
| Employee code of conduct |  |
| Conflict of Interests Policy |  |
| Fiduciary assessment report(s) |  |
| Internal control framework (ICF), including procedures against fraud |  |
| Two latest internal audit reports |  |
| Two latest external audit reports[[5]](#footnote-5) |  |
| Annual financial statements of the previous 2 years (including auditor’s opinion), when applicable:   1. balance sheet statement 2. profit and loss statement 3. cash flow statements |  |
| Financial guidelines or main accounting policies (e.g. depreciation and amortization, intangible assets, asset impairments, foreign currency transactions, income taxes, etc.) |  |
| Procurement policies and procedures |  |
| Documents related to past projects the organization has managed and executed: for example, project implementation plan, project expenditures vs project budget, monitoring and evaluation report, etc. |  |
| Operations manual (including finance-related sections) |  |
| Human resources manual |  |
| CVs presenting knowledge and experience of key finance and project staff[[6]](#footnote-6) |  |
| Project / Programme implementation manual including monitoring and evaluation guidelines |  |
| External evaluation(s) / assessment(s) of past or ongoing projects and programmes |  |

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**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 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[[7]](#footnote-7)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 |

1. Such assessments may include public financial management assessments, assessments that measure compliance with international best practices, and the like. [↑](#footnote-ref-1)
2. e.g. allow for comparison among reporting periods, track record in the preparation of financial statements, budgets, monitor expenditures against budgets [↑](#footnote-ref-2)
3. including project description/title, country / region, 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-3)
4. 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-4)
5. For government entities, statutory (governmental) audit may apply, unless substituted by external audit. [↑](#footnote-ref-5)
6. In order to preserve personal data of the staff in your organization, you may attach anonymous CVs provided they include details that the staff have the necessary knowledge, skills and experience. [↑](#footnote-ref-6)
7. 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-7)