**Assessment of financial and administrative capacities
of partners in CIVSAM projects 2023-2027**

**Guidelines**

This document is intended for the financial and administrative assessment of local partners with agreements. It demonstrates the capacity of the partner as well as the partners’ capacity to ensure and manage subgrants down the project chain. Please note that it can be relevant to request partners to share supporting documentation to their answers in the template.

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| Date:  |
| Name of organisation:  |
| Conducted by: |
| Participants from org:  |

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|  |  | **YES** | **PARTLY** | **NO** | **N/A** |  |
|  | **A. Financial capacity**  | **Describe and explain** |
|  | **Financial administration of projects:** |
| 1 | Are there systems for preparation and acknowledgement of requested funds in place? (Bookkeeping system etc) If yes, which one?, if no, why not? |  |  |  |  |  |
| 2 | How do you separate the project funds/costs in the book-keeping? |  |  |  |  |  |
| 3 | Who are the authorized signatories for all the financial transactions ? (check samples int the book-keeping) |  |  |  |  |  |
| 4 | Are staff costs for the project - recorded monthly with underlying documentation? Other costs? |  |  |  |  |  |
| 5 | Do you monitor project budgets, forecasts, and balances continuously? |  |  |  |  |  |
| 6 | Do you monitor significant/considerable deviations from the project plan continuously? |  |  |  |  |  |
| 7 | Do you monitor exchange rate impacts in your project budgets? |  |  |  |  |  |
| 8 | Do you ensure that the same costs are not paid by multiple donors? Please describe how you coordinate with other donors/funds? |  |  |  |  |  |
| 9 | Is the project accounting included in the organizations financial annual reporting, so one can trace it easily? |  |  |  |  |  |
| 10 | Do you reconcile project accounts on regular basis? (Against budget, bank account etc) |  |  |  |  |  |
| 11 | Do you archive project relevant documents (e.g., receipts/invoices and corresponding documents/decisions) for a minimum of 7 years?  |  |  |  |  |  |
| 12 | Do you have a system to manage request of funds from partners on sub-sequent levels? Please describe it and provide information about it including how often funds are transferred.  |  |  |  |  |  |
| 13 | Are there any amount limitations per transfer? |  |  |  |  |  |
|  | **B. Administrative capacity and decision-making**  | **Describe and explain** |
| 1 | Is there a project handbook or other guidelines) where the agreement requirements, routines and/or practice are described? |  |  |  |  |  |
| 2 | Are per diem levels documented? If yes, please describe how they are set.  |  |  |  |  |  |
| 3 | Are per diem paid by digital transfers or in cash? |  |  |  |  |  |
| 4 | Do you have any payments in cash? If so, describe how it is managed. |  |  |  |  |  |
| 5 | Do you pay advances for travels/workshops advances and/or other types of advances? If yes, please describe how they are managed. |  |  |  |  |  |
| 6 | Do you have any routines for using credit cards? If yes, please describe how they are managed. |  |  |  |  |  |
| 7 | Are there any defined routines in regarding project inventories? |  |  |  |  |  |

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|  | **D. Audit**  | **Describe and explain** |
|  | **Is there an assigned person responsible for the following?** **If yes, please state who.**  |  |
| 1 | For procurements, engagement of auditors and audit services? |  |  |  |  |  |
| 2 | For ensuring the auditors’ qualifications? |  |  |  |  |  |
| 3 | For ensuring compliance to *Union to Union´s* audit instruction? |  |  |  |  |  |
| 4 | For presenting the Management Letter and the Management Response? |  |  |  |  |  |
| 5 | For follow-up and action plan on recommendations from Management Letter? |  |  |  |  |  |
| 6 | Do you change auditors more often than every 7 years? Please describe how often you change. |  |  |  |  |  |
|  | **If the audit cover other levels**  |  |
| 7 | Is there a person responsible for preparing the supporting documents for the audit. Please describe who and how it is managed?  |  |  |  |  |  |
| 8 | Is there a person responsible for taking measures on the recommendations and communicate along the project management team? |  |  |  |  |  |

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|  | **E. Anti-Corruption** | **Describe and explain** |
| 1a | Do you have an anti-corruption policy?  |  |  |  |  |  |
| 1b | If not, do you apply *Union to Union´s* anti-corruption policy? |  |  |  |  |  |
| 2 | Do you conduct training in anti-corruption for your project staff, (any personnel working with Sida funds)? If so, please describe how? |  |  |  |  |  |
| 3 | Do you work to prevent and detect corruption in projects or your affiliates? If so, please describe how.  |  |  |  |  |  |
| 4 | Do you have for example a possibility to report anonymously? If so, please describe how?  |  |  |  |  |  |
| 5 | Do you have any lead person responsible for your work with anti-corruption in projects?  |  |  |  |  |  |
|  6 | Do you have a Code of Conduct?  |  |  |  |  |  |
| 7 | Are there any family ties between staff ? |  |  |  |  |  |
| 8 | Do you have a Procurement policy?  |  |  |  |  |  |
| 9 | Describe the procurement process and limit of amounts. |  |  |  |  |  |
| 10 | How do you ensure that relevant policies such as anti-corruption policy and/or Code of Conduct are known by affiliates and staff in projects? |  |  |  |  |  |
| 11 | Do you discuss/have trainings in Anti-corruption with your affiliates? |  |  |  |  |  |
| 12 | What system do you have to check partners/suppliers against the EU sanction list? |  |  |  |  |  |

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|  | **F. Mandatory checks before signing an agreement** | **Check if partner:** |
| 1 | Does the organisation have a bank account certificate, not older than three months and signed jointly by two authorised signatories? |  |  |  |  |  |
| 2 | Does the organisation have a formal delegation of authority? |  |  |  |  |  |
| 3 | Are there two signatories to handle Sida project funds and does the organisation have an updated extract from a protocol /minutes etc verifying the authorised signatories? |  |  |  |  |  |
| 4 | Are staff costs for the project recorded monthly and reconciled monthly? |  |  |  |  |  |
| 5 | Are there routines that ensure that exchange rates gains are not used without prior approval? |  |  |  |  |  |

**Overall assessment:**

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| Action plan (yellow): |
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| Action plan (red):  |