**FINANCIAL ASSESSMENT TEMPLATE**

**Section 1: Implementing Partner (IP) Information**

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| **Assessment Area** | **Details** |
| **1** | Name of the Implementing partner |  |
| **2** | Registration Number (please provide copy of Registration Document)  |  |
| **3** | Address with telephone, fax and email  |  |
| **4** | Number of offices in the country and locations  |  |
| **5** | Name and title of Head of Agency / Authorized person  |  |
| **6** | Annual Budget for previous year and List of main Donors (with %)  |  |
| **7** | Annual Reports for the last three years  |  |

**Section 2: Technical part**

*Kindly note that several questions under the following assessment areas also refer to the specific applicable policies. In this respect it is expected that detailed guidance on the individual chapters/ sections of the shared documents is provided to facilitate the reading and analysis. /*

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| **Assessment Areas** |
| **(A) Project planning and management, program administration and implementation of activities**  |
| **A.1** | What is the organization's experience in managing projects from various donors within the country? Were there any challenges faced in this respect during the last three years? / |
| *Reply (please explain in detail)*  |
| **A.2** | Describe and share a copy of your chart of organizational structure and CVs for key project personnel that cover the following four main areas: 1) Project management and programme administration; 2) Finance and accounting; 3) Procurement of supplies and 4) Monitoring and evaluation. / |
| *Reply (please explain in detail)*  |
| **A.3** | Please confirm you have written policies that include financial management and budgeting procedures, accounting, audit, HR, procurement, travel, asset management, travel allowance, logistics, etcPlease share copies of policies and/or support documents.  |
| *Reply (please explain in detail)*  |
| **A.4**  | Has the organization faced any liquidity or solvency related challenges during the past three years? If yes, how was it resolved?  |
|  | *Reply (please explain in detail)*  |
| **(B) Budget and Reporting System**  |
| **B.1** | What are your budgeting procedures? Please share a copy of your policy (if available) / |
| *Reply (please explain in detail)*  |
| **B.2** | Has your budgeting been reliable in the past? Were there any challenges faced in this respect during the last three years?  |
| *Reply (please explain in detail)*  |
| **B.3** | What is your organization’s salary scales? Are proposed salary and other staff entitlements in line with your organization’s approved salary scale?  |
| *Reply (please explain in detail)*  |
| **B.4** | What is the average interval at which the financial management reports / financial monitoring and budget review are produced (e.g., monthly, etc.)? Who has the role to review and approve these reports?  |
| *Reply (please explain in detail)*  |
| **B.5** | Describe your system to generate donor financial reports and the related endorsement process.  |
| *Reply (please explain in detail)* |
| **(C) Accounting, Internal Control and Treasury System / Financial Rules** |
| **C.1** | What is your accounting system and basis of accounting (accrual or cash basis)? Kindly share a copy of your Chart of Accounts |
| *Reply (please explain in detail)*  |
| **C.2** | What is the internal control system in place? How do you ensure sufficient segregation of duties? Were there any challenges faced in this respect during the last three years?? |
| *Reply (please explain in detail) /* |
| **C.3**  | What is your audit policy (internal, external)? Please share the three last Organizations’ audited annual statements. |
| *Reply (please explain in detail) /* |
| **C.4** | Which accounting software do you use and is it integrated with other functions (e.g., HR, procurement, etc.)? Please describe it.  |
| *Reply (please explain in detail)*  |
| **C.5** | What is your document retention policy in relation to original accounting and supporting documents? How do you ensure a safety system (from theft, fire, flooding etc.) is in place? Who has access to it? Were there any challenges faced in this respect during the last three years?  |
| *Reply (please explain in detail)*  |
| **C.6** | Please list your donor reporting challenges, if any, especially with regard to the timeliness and accuracy of reports? |
| *Reply (please explain in detail)* |
| **C.7** | What kind of insurance do you have?  |
| *Reply (please explain in detail)*  |
| **C.8** | What is the cash management policy? (For example, do you perform surprise cash counts? What is the limit of cash amount allowed to be kept in the office?) Were there any challenges faced in this respect during the last three years? Please share a copy. |
| *Reply (please explain in detail) /* |
| **C.9** | What are some of the major controls built into the banking arrangements? (For example, proper authorization of disbursements, double signatures on cheques and transfers, use of account payee cheques). Were there any challenges faced in this respect during the last three years? Please provide a list of bank accounts and authorized signatory panel |
| *Reply (please explain in detail)* |
| **C.10** | What is the organization’s exchange rate policy (to convert transactions in the project reporting currency)? Please share a copy.  |
| *Reply (please explain in detail)*  |
| **C.11**  | What is the policy regarding risk assessment? Please share a copy.. |
| *Reply (please explain in detail)*  |
| **C.12**  | What is your payroll process?  |
| *Reply (please explain in detail)* |
| **C.13** | What is the system in place to avoid double reporting of expenses to donors? Do you have a project accounting solution in place?  |
| *Reply (please explain in detail)*  |
| **C.14** | What is the basis of cost allocation (including staff salary, general office cost)? Please share a copy.  |
| *Reply (please explain in detail)* |
| **C.15**  | What is the organization’s overhead policy? Please share a copy.  |
| *Reply (please explain in detail)*  |
| **(D) Procurement, Logistics and Asset Management**  |
| **D.1** | Is there a procurement policy, procedures, forms and templates in place? Is there authorization matrix threshold established? Please describe it and share a copy.  |
| *Reply (please explain in detail)*  |
| **D.2** | What are the internal controls and segregation of duties maintained within the procurement process?  |
| *Reply (please explain in detail)*  |
| **D.3** | How do you ensure transparency in the selection of vendors? Please describe your bidding process. Were there any challenges faced in this respect during the last three years? |
| *Reply (please explain in detail)* |
| **D.4** | What are the procedures in place to ensure that procurement of goods/services are in line with the budget and with cost-effectiveness?  |
| *Reply (please explain in detail)*  |
| **D.5** | Do you have (LTA)s for materials/supplies/services that you require frequently in your mission (like NFIs, hotels, transportation, maintenance, etc.)? Please provide details.  |
| *Reply (please explain in detail)*  |
| **D.6** | What is your fleet management procedures for: assigning vehicles, controlling fuel consumption and private use of vehicles?  |
| *Reply (please explain in detail)*  |
| **D.7** | What is your asset management policy? Are assets insured by insurance company? |
| *Reply (please explain in detail)*  |
| **D.8** | What is your asset tracking system in place? What is your asset definition? Please describe your asset verification process; the procedure to dispose the assets; etc. Were there any challenges faced in this respect during the last three years? Please share a copy.  |
| *Reply (please explain in detail)*  |
| **D.9** | What is your warehousing policy and system in place? Please share a copy.  |
| *Reply (please explain in detail)*  |

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| Certified by (IP Representative): |
| Organization Name : Address : Email and contact details : Signature : Name and Title, Head of Organization: Date :  |