**ANNEX G: CITIES ALLIANCE - INTEGRATED ASSESSMENT FRAMEWORK (IAF)** (To be submitted with Full Proposal Template)

**Activity Name:**

**Activity ID:**

**Country:**

**Grant Amount**:

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**A. Financial Management (FM) and Procurement**

| Item | Question | Recipient Response | Comments of TM |
| --- | --- | --- | --- |
| **General information on Grant Recipient** | Name and contact information of Recipient organization (address, telephone, fax, email and website). |  |  |
| Is the Recipient a legal entity? What is the year of registration (attach statute and proof of registration)? How many years has it been operating? |  |  |
| Is the Recipient a government entity (e.g. government agency or department, public institute or body, or state-owned enterprise)? Can the Recipient receive and sign International Donor Grant Agreements under the law of the Federal/National Government of your Country? |  |  |
| Provide a brief description of the Recipient organization and its main business (please provide an organogram of the organization). |  |  |
| Does the Recipient have previous experience in administering grants from other international donors? If so, please provide the names of the donor agency, years and grant amounts, project name and any other relevant details of recent projects. |  |  |
| **Ethics, Anti-Corruption and Transparency** | Does the Recipient have a Code of Ethics? Is it published? If so, where? How is the Code administered? Are there avenues for confidential reporting regarding compliance and other business conduct concerns? |  |  |
| Has the Recipient or its directors ever been convicted of a criminal offence? If so please provide details including dates. |  |  |
| Does the Recipient, or any of its directors or staff have ownership or a stake in any firm that provides the same type of services/goods/works as will be procured under the grant? |  |  |
| Does the Recipient publish annual or other reports? If so, are they publicly available, for instance through a website? If so please attach or provide links. |  |  |
| Does the Recipient have a transparency policy? |  |  |
| Does the Recipient have policies and procedures for mitigating Fraud and Corruption? (Briefly describe the policy in place and provide us with a copy of the policy document.) |  |  |
| **Financial Management arrangements** | Has the Recipient adopted an internal control framework that is documented and includes clearly defined roles for management, internal auditors (if any), the board of directors or comparable body, and other personnel? |  |  |
| Does the Recipient have staff specialized in (a) financial management (b) accounting (c) contract management? If yes, please specify the qualifications and years of experience for each. |  |  |
| Will the Recipient have a finance person designated to manage the requested grant? If the answer is ‘yes’ please provide the qualification and the experience of the person in managing external donor funds and if ‘no’ what alternate mechanism is proposed by the entity to manage the proposed grant. |  |  |
| Does the Recipient have a Financial Management (FM) or Operating Manual (OM) that describes the financial management policies and internal control system? (If yes, please attach a copy. If not attach a description of how Financial Management function will be carried out. Also provide a funds and reporting flow chart). |  |  |
| Is the Recipient authorized to operate bank accounts on its own for receiving international donor funds? In what bank does the Recipient hold a bank account if any? Who is authorized to deposit and withdraw funds? |  |  |
| Does the Recipient keep adequate records of financial transactions, including funds received, utilized, and fund balances? (For example, up-to-date cash book, bank statements,andreconciled bank statements*).* |  |  |
| Provide a brief description of the accounting system currently used by the Recipient for reporting to external donor agencies. |  |  |
| State whether the accounting system is computerized or manual. If computerized can the system generate periodical financial reports for submission to external donor agencies. |  |  |
| On what accounting basis are reports prepared (i.e. IAS, GAAP, local accounting standards, etc.) |  |  |
| How often does the Recipient produce interim financial statements or financial reports? (If yes, please describe the kind of information is included in the financial reports – such as income and expenditures tables, balance sheet, reconciled bank accounts - and attach sample copies of recent reports) |  |  |
| Are the annual financial statements audited by an external audit firm? (If yes, please attach a copy of each of the two most recent audited financial statements, including the Audit Opinions and Management Letters from the auditors for the same periods). |  |  |
| Are the audit reports public and/or published on the website? If so please provide the link. |  |  |
| Does the Recipient periodically monitor budget utilization and generate exception reports? (If so briefly describe the steps involved in this monitoring and evaluation process.) How are any exceptions generated through this monitoring addressed and rectified? |  |  |
| Does the Recipient have an internal audit function? Is the internal audit function carried out independently and objectively in the execution of its duties? Is the internal audit function carried out in accordance with internationally recognized standards, such as those prescribed by the Institute of Internal Auditors (IIA)? Are actions taken on internal audit findings? |  |  |
| What are the effects of the tax policies of the Recipient’s country/state on the management of grant funding received? |  |  |
| **Procurement** | Does the Recipient have in place specific policies and procedures that promote transparency, economy and efficiency in procurement? Are these policies and procedures written in a Procurement Manual? (If yes, please attach a copy of the Manual. If no, please describe the policy and procedures in place) |  |  |
| Does the Recipient Manual (or equivalent) describe procedures for procuring of Consultants and Services and Goods? |  |  |
| Please briefly explain the process involved in hiring Consultants (international/national) and procuring Services and Goods. |  |  |
| Please explain the experience of the Recipient in complying with internationally accepted procurement standards. |  |  |
| Does the Recipient monitor procurement performance in projects at periodic intervals, and have processes in place to respond when issues are identified? |  |  |
| Does the internal audit function, if any, include audits of procurement procedures and activities? |  |  |
| Does the Recipients employees understand all of its FM and procurement policies and procedures? |  |  |

**B. Social and Environmental Risks**

|  |  |  |
| --- | --- | --- |
| **Will the site activity include/involve any of the following potential issues and/or impacts:** | **Activity and potential issues and/or impacts** | **Status** |
| 1. Building rehabilitation  * Site specific vehicular traffic and pedestrian safety * Increase in dust and noise from demolition and/or construction * Construction waste * Site is in a populated area | [ ] Yes [ ] No |
| 1. New building construction  * Excavation impacts and soil erosion * Increase sediment loads in receiving waters * Site specific vehicular traffic and pedestrian safety * Increase in dust and noise from demolition and/or construction * Construction waste * Site is in a populated area | [ ] Yes [ ] No |
| 1. Individual wastewater treatment system  * Effluent and / or discharges into receiving waters | [ ] Yes [ ] No |
| 1. Historic building(s) and districts  * Risk of damage to known/unknown historical or archaeological sites | [ ] Yes [ ] No |
| 1. Land use planning 2. Land use planning with direct investment in implementation 3. Investment during implementation with potential displacement or restrictions to access to parks or protected area but undefined scope 4. Investment during implementation and clear scope of affected parties/scope of resettlement | [ ] Yes [ ] No |
| 1. Acquisition of land [[1]](#footnote-1) 2. Involuntary taking of land resulting in:  * Relocation or loss of shelter * Lost assets or access to assets * Loss of income sources or means of livelihood, whether or not the affected persons must move to another location; or  1. The involuntary restriction of access to legally designated parks and protected areas resulting in adverse impacts on the livelihoods of the displaced persons | [ ] Yes [ ] No |
| 1. Hazardous or toxic materials[[2]](#footnote-2)  * Removal and disposal of toxic and/or hazardous demolition and / or construction waste * Storage of machine oils and lubricants * Use of pesticides | [ ] Yes [ ] No |
| 1. Handling / management of medical waste  * Clinical waste, sharps, pharmaceutical products (cytoxic and hazardous chemical waste), radioactive waste, organic domestic waste, non-organic domestic waste * On site or off-site disposal of medical waste | [ ] Yes [ ] No |
| 9. Social and Gender Impact   * Human Rights * Children’s Rights * Gender Equality | [ ] Yes [ ] No |

1. Land acquisition includes displacement of people, change of livelihood, encroachment on private property. This is to land that is purchased/transferred and affects people who are living and/or squatters and/or operate a business (kiosks) on land that is being acquired. [↑](#footnote-ref-1)
2. Toxic / hazardous material includes and is not limited to asbestos, toxic paints, removal of lead paint, etc. [↑](#footnote-ref-2)