
ACCREDITATION & RISK ASSESSMENT TOOL FOR NON- GOVERNMENT ORGANIZATIONS

NATIONAL DISASTER RISK MANAGEMENT FUND



INSTRUCTIONS

Institutional Background

National Disaster Risk Management Fund (NDRMF) (The Fund), is a government-owned not-for-profit company, established with the Securities & Exchange Commission of Pakistan under Section 42 of Companies Act 2017. The Fund will provide grants to public sector entities as well as United Nation Agencies, International and/or National Non-Governmental Organizations at Federal, Provincial, District and Community levels for subprojects, to contribute to enhance Pakistan's resilience to climatic and other natural hazards.

The Fund Implementing Partners includes both Public and Non-Public sector entities including United Nation Agencies, International and National Non-Governmental Organizations. As per procedures set for The Fund for extending financial support, Non-Government Entities need to be accredited prior to extend financing for proposed projects/interventions.

An Organization can apply for accreditation, in the form of association/consortium in following ways:

- a) Two or more Organizations may associate with each other as Joint Venture Partners. Each Partner shall be required to attain accreditation separately. The JV Partners succeeding in obtaining accreditation and considered qualified as a result of proposal submission and evaluation process for award of grant shall either "all JV Partners be signatory to the grant implementation agreement" or the "JV can nominate an authorized representative to sign and commit on behalf of all the partners". All the partners in the JV shall be, jointly and severally responsible for implementation of the project and obligations under the grant implementation agreement.
- b) At the time of accreditation and proposal submission, an intended Joint Venture Agreement will be required having therein addresses and the roles & responsibilities of all the partners. Consequent to the acceptance of proposal for award of grant, JV will be required to be legally registered before award of the grant agreement.

An organization already possessing an external accreditation(s) will have to undergo accreditation with NDRMF. However, by means of treaty or other agreement that acts as a charter with Government of Pakistan, UN Agencies shall be exempted from the accreditation process requiring provision of necessary documents as per requirements of The Fund. Moreover, due diligence of UN agencies shall be carried out at the time of proposal submission.

Accreditation Process

The accreditation process shall include two stages; first stage will focus on the aspect as to whether the applying organization(s) is eligible for exploring NDRMF grants in consideration of the applicable laws of the country, whereas in the second stage, their institutional capacity will be assessed with respect of implementation of grants.

Stage – I: Eligibility

The eligibility will be determined sequentially for each level and in case, an organization does not possess any of the eligibility requirement, the organization's request will not be processed to next level or next stage, irrespective of the case whether they possess any external accreditation. The compulsory eligibility criterion shall include the following:

- (i). The potential partner organization must be registered under one of the existing registration laws of Pakistan and
- (ii) A proper financial management system in place
- (iii) Experience of Executing Projects of Similar Size and Nature

Stage – II: Institutional Capacity

An organization qualifying eligibility criteria, will be further assessed in following areas:

- (i) Organizational Structure;
- (ii) Regulatory and Legal regimes;
- (iii) Financial Management & Internal controls;
- (iv) Procurement Management;
- (v) Environment &
- (vi) Social Safeguards;
- (vii) Gender; and
- (viii) Monitoring & Evaluation
- (ix) Capacity Assessment/ Project management
- (x) Project Portfolio (DRR/M and/or Climate change)
- (xi) Physical Assessment/ Conformity assessment/ background reference check

4. Necessary reference documents to be furnished by Applicants as per requirements of The Fund.

An organization, applying for accreditation, have to submit, soft copies of all the required/reference documents, in USB, with filled Accreditation Proforma.

The Organization will submit **one (01) original copy** of filled Accreditation Proforma. Every page of the submission must be signed and stamped. In addition, PDF version of the signed and stamped Accreditation Proforma, should also be provided on USB with the supporting reference material/documents.

ACCREDITATION APPLICATION SUBMISSION FORM

[Location, Date]

To:

Accreditation Lead,
National Disaster Risk Management Fund,
5th Floor, EOBI Building,
Mauve Area, G-10/4,
Islamabad.

Dear Sir,

I, the undersigned, on the behalf of ----- [Insert name of the organization], as an authorized representative is hereby submitting this Accreditation Application, in response to your Call for Accreditation, published ----- [Insert name & edition of the newspaper] dated [Insert Date] on your prescribed proforma, attached hereto as Annex - I. Our Application includes this submission letter, originally signed application proforma and all the reference documents, as referred to in the filled proforma, in soft format in USB.

2. We are submitting our Application in association with: [Insert a list with full name and address of each associated Implementing Partner] as Joint Venture Partner or Associated Implementing Partner. [In the case of JV Partnership Formation, otherwise delete it] We also hereby confirm that our Joint Venture Partner [choose one: has applied or is applying] for accreditation separately with your organization.

3. We hereby declare, confirm and warrant that:

- (a) submitted all the information and documentary evidence/reference documents as per the list provided at Annex – II,
- (b) all the information and statements made in this Application are true and we accept that any misinterpretation or misrepresentation contained in this Application may lead to our disqualification by NDRMF;
- (c) possess experience of – [Insert number] years in the following fields, after the registration of the organization with authorized registered body and have provided the information to this effect, as per prescribed format in Annex – III:

| Sr # | Fields | Sr # | Fields |
|------|--------|------|--------|
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- (d) the procedures, entitled [...], adopted on [...] are the Anti-Money laundering and Counter Terrorism Financing (AML/CFT) internal operational procedures of [Insert name of the organization] and the copy of the same is attached with the Application as Annex - IV;
- (e) certify that above referred procedures, currently in force within the institution, apply to all its activities and are in conformity with the 40 FATF's recommendations;
- (f) have no conflict of interest with regards to the operations, staffing and finances of the organization, in any respect, with NDRMF
- (g) confirm our understanding of our obligation to avoid corrupt and fraudulent practices and undertake to observe the national laws against fraud and corruption, including bribery;

(h) we, along with any of our Join Venture/Implementing Partner, are not subject to, and not controlled by any entity or individual that is subject to, a temporary suspension or a debarment imposed by any of the Federal/Provincial/ Regional Government Department and/or International Development Agencies (Donors);

4. We hereby confirm that the NDRMF may intend to review the physical implementation of the operational procedural which are in vogue at our organization and have been referred in our Accreditation Application, with regards to all the accreditation components, at any time, to satisfy itself for accrediting our organization along with background reference check with previous donors of the applicant projects..

5. We understand that NDRMF is not bound to accredit all the organizations that have applied for accreditation to it.

Yours sincerely,

Authorized Signature [*In full and initials*]: _____
Name and Title of Signatory: _____
Name of Organization: _____
Address: _____
Telephone & Fax Numbers: _____
Email: _____

ACCREDITATION PROFORMA

ELIGIBILITY

Registration

The Organization is legally registered under any of the following legal regimes:
[Mark the relevant registration in column 1 and mention whether the current registration status is active/suspended/expired in column 3 marked Status. Also give reference of relevant document in column 2]

| Registered under: | | Response (Yes/No) | Reference Document | Status |
|-------------------|---|----------------------|-----------------------|--------|
| a) | Companies Ordinance 1984 or Companies Act 2017 | | | |
| | Societies Registration Act 1860 | | | |
| | Voluntary Social Welfare Organizations Ordinance 1961 | | | |
| | Trusts Act 1882 | | | |
| | Ministry of Interior, Government of Pakistan ¹ | | | |
| | By means of treaty or other agreement that acts as a charter with Government of Pakistan <i>[for UN Agencies]</i> | | | |
| b) | Any entity or individual debarred, including those cross debarred, or temporarily suspended by The Fund in accordance with relevant Policies, Principles and guidelines | | | |
| c) | In order to be eligible to work in any of the areas of NDRMF assistance it must have a proven track record of at least three years working in the area of DRR/M, , Livelihood, Education, WASH, Climate Change, Social Protection, Metrological services after registration with the relevant authorities in Pakistan | | | |

Financial Management

The Organization confirms to following conditions:
[Choose the relevant answer in column 1 and mention National Tax Number (if applicable) in column 2 along with status i.e. active or inactive]

| No. | Criteria | Response (Yes/No) | Reference Document | Status |
|-----|--|----------------------|-----------------------|--------------------------|
| a) | Registered with Taxation Department | | | NTN # |
| | Exemption for Tax(s) | | | Exemption Certificate(s) |
| | Last three (03) years audited financial statements with Management Letter having "unqualified" audit opinion | | | |

¹Pursuant to the processes prescribed by the Government of Pakistan, an International Non-Government Organization (INGO) and a local (National) Non-Government Organization (NGO), operating or intend to operate, in Pakistan, are required to be registered with Ministry of Interior, Government of Pakistan.

| | | | | |
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| | Audit was carried out by a Chartered Accountancy Firm from State Bank of Pakistan's Panel of Auditors under Category 'A' and having 'Satisfactory' rating under the Quality Control Review Programme managed by the Institute of Chartered Accountants of Pakistan | | | |
|--|--|--|--|--|

Experience of Executing Projects of Similar Size and Nature

The Organization needs to meet the following conditions:

[Provide the detailed information on reference document as appended at Annex - I. Applicant has to pass this criterion, also, in order to get further evaluated.]

| No | Criteria | Response (Yes/No) | Reference Document |
|----|--|-------------------|---|
| a) | Has the organization Completed a project similar in size and nature during the Last three years? | | Please fill and attach the information as per Annex - III |

ACCREDITATION PROFORMA

INSTITUTIONAL CAPACITY

A. Organizational Structure

Rationale: An organization whose structure is in line with its mission, goals, and programs besides having systems in place to ensure coordination among departments and functions, can improve its efficiency and effectiveness:

| Core Questions | | | |
|--|---|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Do the organizational & reporting structures exist? | | |
| b) | Are those structures clearly documented and disseminated? | | |
| c) | Is there a document that outlines the supervisory and staff responsibilities? | | |
| d) | Does the organization have defined internal communication mechanisms? | | |

B. Regulatory and Legal Regimes

B.1 Vision, Mission, and Values

Rationale: Organizations that have articulated and shared vision, mission and values, that drives them and towards which they are working, create a sense of shared ownership and common commitment to activities.

| Core Questions | | | |
|--|---|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the organization have vision statement, mission statement and statement of values? | | |
| b) | Are the vision and mission statements used to set priorities? | | |
| c) | Are these statements posted openly in the office or somewhere visible for staff & visitors to see them? | | |
| d) | Are the statements being used in human resource materials (i.e., staff handbooks, orientation materials, job descriptions, etc.), organizational brochures, reports, and proposals? | | |
| e) | Does the organization regularly review the vision and mission statements (for example, in conjunction with strategic and/or operational planning)? | | |

B.2. Legal Adherence

Rationale: Legal registration, according to the laws of the country, as well as careful adherence to relevant taxation and labor laws, enable an organization to gain recognition, perform functions like holding a bank account, and implement programmes' accountably.

| Core Questions | | | |
|--|---|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Is the documentation of current legal registration(s) readily available (or posted) in the office or available on internet on the organization's website? | | |
| b) | Are country's labor laws being adhered to and their references are duly documented in human resource policies? | | |
| c) | Does the organization comply with the taxation regime in its all financial affairs? | | |
| d) | Does the organization comply with annual statutory requirements, such as audits and other reporting? | | |
| e) | Are audit and other statutory reports, reviewed and approved by the Board/Council/Governing Management? | | |

B.3. Governing or Advisory Structure

Rationale: Governing or advisory structure whose members are committed to the organization and bring relevant knowledge and experience to provide guidance, support & oversight to the organization's staff and operations.

| Core Questions | | | |
|--|--|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the organization have any governing and/or advisory Board/Council//Body/Management? | | |
| b) | Does the Governing Board/Council//Body/Management have clearly defined Terms of Reference (TOR) that details its primary duties | | |
| c) | Are the roles of Governing Board/Council//Body/Management and Organizational Management clearly differentiated from each other? | | |
| d) | Does clearly documented system & criteria exist for electing/selecting or replacing a member of Governing Board/Council//Body/ Management? | | |
| e) | Does any term limit exist for a person to complete/remain as member of the Governing Board/Council/ Body/Management? | | |

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| f) | Does the Governing Board/Council//Body/Management meet regularly, agenda is pre-circulated and its decisions are documented in the form of minutes? | | |
| g) | Is the Governing Board/Council//Body/Management involved in strategic planning, resource mobilization, developing & approving organizational policies, approval of budget and audited annual financial statements | | |

C. Financial Management & Internal Controls

- i) *The areas identified as High Risks, shall be addressed in Grant Implementation Agreement (GIA) provided that the prospective organization stands accredited under low risk rating in Financial Management & Internal Controls.*
- ii) *The assessment for the Financial Management and Internal Controls shall be separately evaluated including physical assessment of record/systems in place at an organization. The applicants/entities should have low risk rating, against the parameter of "Financial Management and Internal Controls" to be considered for accreditation.*

C.1. Financial Policies and Procedures

Rationale: Having clear, well-documented policies and procedures for financial management that are understood and used by staff members, allow an organization to function transparently besides promoting integrity and accountability. The organization must have a proper accounting system supported by balance sheets and profit and loss account statements or income and expenditure statements with the minimum requirement of a cash-book supported by a bank statement

| Core Questions | | | |
|--|--|-------------------|--------------------|
| [Appropriately describe the processes in the given column] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | What type of accounting system(s) is in vogue at the organization? Cash-based or Accrual based? | | |
| b) | What kind of system the organization has, for recording accounting transactions? (Manual Ledgers/Excel Sheets/Peachtree or QuickBooks /Custom-made MIS) | | |
| c) | Has the organization a Financial Management and Accounting Manual including Accounting Policies? Duly approved by the concerned authority? | | |
| d) | How often are the financial procedures formally reviewed/updated? | | |
| e) | What is included in the financial policies & procedures? i.e. Do they include: | | |
| | (i) Procedures for managing Organization's Bank Account(s) | | |
| | (ii) Monthly reconciliation of all cash accounts | | |
| | (iii) Processes & frequency about orientation/training of staff on the procedures | | |
| f) | Does the organization have separate accounts for separate Programmes & use separate codes to assign transactions to a specific project/donor? | | |

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|----|---|--|--|
| g) | Is their cashbook (or bank journal) completed in ink used for each bank account? | | |
| h) | How are account balances kept? Are all payments & receipts recorded in the organization's bookkeeping system? How are transactions in the accounting system linked to supporting documentation? | | |
| i) | What kind of accrual transactions are included in the annual financial statements at the end of the fiscal year? | | |

C.2. Internal Controls

Rationale: Strong internal controls help an organization safeguard its assets, manage internal risks, besides ensuring accurate & reliable financial accounting and reporting.

| Core Questions | | | |
|--|--|-------------------|--------------------|
| [Appropriately describe the processes in the given column] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Written policies on internal controls exist? Are the policies regularly reviewed, updated and staff is trained on? | | |
| b) | Do the controls guide the segregation of duties amongst staff that is involved in financial management? | | |
| c) | Do multiple people review & approve payments and financial reports? | | |
| d) | How is petty cash managed? | | |
| e) | Is the financial/accounting record effectively secured and only authorized persons can access it? | | |
| f) | Is there an independent internal Pre- audit & internal audit mechanism in place? Qualified Professional Accountants is /are in place in Finance & Accounts department with relevant experience and expertise | | |

C.3. Financial Documentation and Reporting

Rationale: Keeping accurate and up-to-date financial records enable an organization to track resources, monitor its financial status; and prepare accurate financial reports for donors, stakeholders and auditors in a timely fashion.

| Core Questions | | | |
|--|---|-------------------|--------------------|
| [Appropriately describe the processes in the given column] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Are financial files kept separately & neatly in an organized and secured manner? | | |
| b) | Does the organization have procedures for preparing and disseminating financial reports? | | |
| c) | Does the organization adhere to relevant legal requirements on financial reporting, such as audits? | | |

| | | | |
|----|--|--|--|
| d) | Who prepares, reviews, and approves financial reports in the organization that are shared with donors and other stakeholders? What are the percentages (%) of overhead costs in project's budgets? | | |
|----|--|--|--|

C.4. Financial Planning and Sustainability

Rationale: Keeping accurate and up-to-date financial records enable an organization to track resources, monitor its financial status; and prepare accurate financial reports for donors, stakeholders and auditors in a timely fashion.

| Core Questions | | | |
|--|---|-------------------|--------------------|
| [Appropriately describe the processes in the given column] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the organization have a master budget that includes operating and overhead costs as well as project activities? Explain the process of developing the master budget? | | |
| b) | Are they frequently updated? | | |
| c) | Does the organization have a documented resource mobilization strategy? How does it relate to the strategic plan? | | |
| d) | Does the organization have income-generating activities or other sources of unrestricted funding? | | |
| e) | What is the current ratio ² ? | | |

D. Procurement Management

- i) *The areas identified as High Risks, shall be addressed in Grant Implementation Agreement (GIA) provided that the prospective organization stands accredited under low risk rating in Procurement Management.*
- ii) *The assessment for the Procurement Management shall be separately evaluated including physical assessment of record/systems in place at an organization. The applicants/entities should have low risk against the parameter of "Procurement Management" to be considered for accreditation.*

D.1. Regulatory Framework

Rationale: Defined systems & processes in the form of Regulatory Framework for the procurement management allow an organization to achieve Value for Money besides complying with the agreed standards and applicable obligations.

| Core Questions |
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| [Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2] |

² Current Ratio = Current Assets / Current Liabilities

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Are separate & exclusive policies, rules, regulations, procedures, guidelines that govern the procurement processes & responsibilities in place? Is precedence clearly established? | | |
| b) | Are they adequately recorded/documented in the form of Manual detailing all procedures for the correct administration of procurement policies, rules, regulations, procedures or guidelines, standard procurement documents besides organizing the hierarchy? | | |
| c) | Does the agency have a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee? Categorize the staff into following: i. Full Time ii. Part Time Seconded | | |
| d) | Does the Framework adequately cover to carry out procurement of Goods, Works, and Services (including consulting services) using guidelines/rules/processes of more than one sources of funds/donors? | | |
| e) | How many years' experience does the head of the procurement department/unit have in a direct procurement role? Has the concerned staff carried out similar procurement in last 48 months? | | |
| f) | Are all policies, rules, regulations, procedures or guidelines easily accessible to everyone including general public, at no cost? | | |
| g) | Do the rules promote fair competition, economy, efficiency and transparency to all the prospective bidders? | | |
| h) | Do the policies, rules, regulations, procedures, guidelines or Manual regularly reviewed and updated? | | |
| i) | Does the regulatory framework specify ethics and anticorruption provisions? | | |
| j) | Does the Organization has experience in Public Sector Procurement | | |
| k) | Specific experience of procurements (Goods/Works/Services/Consultancies) which have to be done under the proposed Project | | |

D.2 Bidding Processes

Rationale: Clearly defined bidding processes and methods enable an organization conclude its procurements in transparent manner.

Core Questions

[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Is open competitive bidding a default method of procurement? | | |
| b) | Are other methods of procurement also allowed/adopted under given conditions as an alternate to competitive bidding process and an unambiguous level of hierarchy is given in the procurement framework? | | |
| c) | Are appropriate standards for resorting to international competitive bidding, if mandated, provided? | | |
| d) | Is invitation for bids properly advertised in newspaper and uploaded on organization's website/international website/business magazines etc.? | | |
| e) | Is sufficient time [such as 15 days for national competitive bidding and/or 30 days for international competitive bidding], provided for the bidders to respond? | | |
| f) | Do the bidding documents contain necessary information such as name & address of official for obtaining bidding documents & clarifications by prospective, eligibility criteria, nature of procurement activity, date, time & place for pre-bid meetings, bid submission & opening? | | |
| g) | Do the organization require bidders, including international, to get themselves registered with it through a defined mechanism for taking part in a bidding process? | | |
| h) | Is the registration criteria objectively defined and non-discretionary for measuring the capacity, capability and competence to execute a contract? | | |
| i) | Is the procurement cycle tied to an annual budgeting and is it mandatory to prepare and disclose annual procurement plan? | | |

D.3. Participation Processes

Rationale: Precise and unambiguous participation processes allow maximum competition which eventually achieve obtaining quality goods, works or services at economical prices. Also, the content of bidding or solicitation documents enables suppliers to understand clearly what is requisitioned by the organization and how the tendering process is to be carried out.

| Core Questions | | | |
|--|---|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Do the rules require incorporation of sufficient information in tender documents to enable the submission of responsive bids/proposals and to establish the basis for a transparent evaluation & award process? | | |
| b) | Does the organization have prescribed standard Bidding Documents, Pre-qualification documents, Request for proposals, RFQ for procurement of goods, works and services? | | |

| | | | |
|----|---|--|--|
| c) | Are standard and mandatory set of clauses or templates that are reflective of the legal framework, used in bidding documents? | | |
| d) | Do the rules advocate/encourage development of generic specifications (which are not restrictive in nature, like use of brand names in specifications) and refer to international standards and promote quality in procurement? | | |
| e) | Is there a Procurement Committee (PC) in place and bids are opened in the presence of PC members or there is practice of constituting procurement committee for each transaction? Is the head of the committee different from head of agency? | | |
| f) | Are bids publicly opened immediately after the closing time for the receipt of bids, on the same date? | | |
| g) | Do the rules sufficiently cover the maintenance of records of proceedings of bids openings and their availability for review? | | |
| h) | Are bids invited in sealed envelopes and are appropriate security measures in place for safe custody & controlled access to bids? | | |
| i) | Do electronic bidding processes exist? If yes, are the processes or systems highly secured with respect to access control. Does the system provide long term record-keeping and auditing functionality? | | |
| j) | Is the private sector able to access and participate freely in the procurement opportunities posted by the agency? Do the previous transactions commonly indicate sufficient participation (three or more) from the prospective bidders? | | |

D.4. Evaluation and Award Criteria

Rationale: Objective and well-defined bids evaluation and award criteria to ensure objectivity and transparency of the bidding process; and maintain the degree of confidentiality that is kept during the process to minimize the risk of undue influences or abuse.

| Core Questions | | | |
|--|--|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the regulatory framework prohibit the use of evaluation criterion(s) that is not prescribed in the bidding documents? | | |
| b) | Do the rules stress upon devising an objective criterion in quantifiable terms? | | |
| c) | Do the rules give adequate importance to the quality and regulate how price and quality are to be considered to achieve value for money? | | |
| d) | Do the rules allow seeking clarifications which should not change the substance of bid, from the bidders for making an objective evaluation of the bids? | | |
| e) | Do the rules require dissemination of evaluation results to public? | | |

| | | | |
|----|--|--|--|
| f) | Do the rules or provisions in the bidding documents require to maintain confidentiality during the evaluation process? | | |
| g) | Does the organization have standard contract agreement(s) for goods, works and services? | | |
| h) | Does the contract agreement template(s) adequately cover the legal as well as regulatory framework? | | |
| i) | Are the conditions of contract generally consistent with internationally acceptable practices? | | |

D.5. Complaints Management

Rationale: Confidence in a procurement system is a powerful incentive to competition. A fundamental part of this is the establishment of the right to review procurement decisions by an efficient and functionally independent process,

| Core Questions | | | |
|--|--|-------------------|--------------------|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Do the organization's rule acknowledge bidders' right to lodge compliant/grievance? | | |
| b) | Is there a well-defined mechanism for handling of compliant by a body/committee that is independent of procurement committee and do that body/committee have an authority to grant remedies? | | |
| c) | Do the rules provide chance of representation to a complainant? | | |
| d) | Do the rules establish timeframes for issuance of decisions by the organization and the administrative review body? | | |
| e) | Do the rules require proper dissemination of the Complaint/Grievance Management mechanism for public awareness? | | |
| f) | Is there a formal internal control and audit framework for the agency? | | |
| g) | Does the agency have ethics and anticorruption measures in place? | | |

E. Environment & Social Safeguards

E.1 Environment Safeguards Health Projects

Rationale: Social & environmental safeguards policies and practices are subject to review so that the relevant gaps could be identified and mitigated.

| Core Questions | |
|--|--|
| <i>[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]</i> | |

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Does the FIP have a policy with regards to Environment and Social Safeguards? | | |
| b) | Is Environment & Social Management (ESM) Policy approved by the Governing Board/Council//Body/ Management and communicated to all levels of staff and publicly disclosed? | | |
| c) | Does FIP have any past experience of: Does FIP have any past experience of following key environmental safeguards compliance aspects: I. Screening and Categorization of Projects II. Preparation of Environmental Assessment Reports (IEE/EIA) III. Approval from the EPA and dealing the NOCs of projects under the PEPA act 1997 and its amendments IV. Implementing WHO Protocols on: Managing/Disposal of infectious materials/waste | | |
| d) | I. Trained and experienced personnel to manage Occupational Health and Safety of health pandemic related projects | | |
| | II. Trained and experienced personnel to manage infectious waste of health pandemic related projects | | |
| | III. Working in a pandemic | | |

E.2 Environment Safeguards for other Projects

Rationale: Environmental safeguards policies and practices are subject to review so that the relevant gaps could be identified and mitigated.

| Core Questions | | | |
|---|---|-------------------|--------------------|
| [Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the FIP have a policy with regards to Environmental Safeguards? | | |
| b) | Is Environmental Safeguards (ES) Policy approved by the Governing Board/Council//Body/ Management and communicated to all levels of staff and publicly disclosed? | | |
| c) | Does FIP have any past experience of following key environmental safeguards compliance aspects: | | |
| | i. Screening and Categorization of Projects | | |
| | ii. Preparation of Environmental Assessment Reports (IEE/EIA) | | |
| | iii. Approval from the EPA and dealing the NOCs of projects under the PEPA act 1997 and its amendments | | |

| | | | |
|-----|--|--|--|
| iv. | Implementation of Environmental Management Plans (EMPs) including instrumental monitoring (air, water & noise) | | |
|-----|--|--|--|

F. Social Safeguards

Rationale: Social safeguards policies and practices are subject to review so that the relevant gaps could be identified and mitigated.

| Core Questions | | | |
|---|--|-------------------|--------------------|
| [Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the FIP have a policy with regards to Social Safeguards? | | |
| b) | Is Social Safeguards (SS) Policy approved by the Governing Board/Council//Body/ Management and communicated to all levels of staff and publicly disclosed? | | |
| c) | Is the Social Management System (SMS) being fully implemented and being used for: | | |
| | I. Project Screening and Categorization | | |
| | II. Assessment Impact Reports preparation | | |
| | III. Development of measures to mitigate adverse social impacts and enhancement of positive impacts? | | |
| | IV. Capacity development of the staff | | |
| | V. Implementation of Grievance Redressal mechanism | | |
| | VI. Monitoring of mitigation measures implementation | | |

G. Gender and Inclusion

G.1. Policies

Rationale: Gender equality and inclusive policies and practices are subject to review so that the relevant gaps could be identified and mitigated.

| Core Questions | | | |
|---|----------|-------------------|--------------------|
| [Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2] | | | |
| No | Question | Response (Yes/No) | Reference Document |

| | | | |
|----|---|--|--|
| a) | Does the organization has a gender policy or strategy? | | |
| b) | Did the Governing Board/Council//Body / Management approve Gender Policy or strategy? | | |
| c) | Has Gender Policy or strategy communicated to all levels of staff? | | |
| d) | To what extent Gender Policy is functional. Select options | | |
| | I. Gender Policy is available but not linked to any other organizational policies or strategies thus unable to address different gender related issues at the policy level. | | |
| | II. Gender Policy is available but it addresses minimum gender issues at the policy level (e.g., for hiring decisions), it is not explicitly linked to any other organizational policies or strategies. | | |
| | III. Gender Policy is available and covers other functional areas addressing gender issues or used in a limited functional areas for decision-making (e.g., human resources and programs). | | |
| | IV. Gender Policy is available and backed up by a Gender Action Plan. The Policy is used to make decisions linked to all functional areas at organization and department level (Human Resource, Finance/Procurement, programs, Monitoring & Reporting, Communications). | | |
| e) | Availability of Gender Action Plan to back Gender Policy Select options | | |
| | I. Gender Action Plan is not available | | |
| | II. Gender Action Plan is available but address limited areas (e.g. a few gender targets like certain percentage of staff must be women) | | |
| | III. Gender Action Plan is in place and the gender team ensures its effective implementation, monitoring and reporting within agreed timelines, and financial allocations | | |
| f) | Availability of Equal Opportunity Policy | | |
| | I. There is no Equal Opportunity Policy | | |
| | II. There is no specific Equal Opportunity Policy but, in some cases, (Line Managers / HR manager/Gender Specialist) assess applications using a gender equality approach. | | |
| | III. Equal Opportunity Policy Exists but its implementation scope is limited during recruitment | | |
| | IV. Equal Opportunity Policy sets clear benchmarks and HR / Management take proactive measures to increase the representation of under-represented social groups through the recruitment process. | | |
| g) | Employee Demographics, select options | | |
| | I. No gender related data is collected. | | |
| | II. Gender disaggregated staffing data is collected by HR only but not shared with anyone else. | | |
| | III. Gender disaggregated staffing data is collected by HR, updated, and shared internally and externally. | | |

| | | | |
|----|--|------|--|
| | IV. The Unit monitors and displays sex-disaggregated staffing data by department, region/country, grade, and category. Best practices are adopted to promote gender diversity during recruitment processes. | | |
| | V. Organization monitors and displays sex-disaggregated (male/female/non-binary) and (other categories disability, religion, nationality) staffing data by department, /country and makes it public in its annual report. | | |
| | VI. Women's representation and retention is promoted at the most senior/leadership positions through recruitment and promotion. | | |
| | Presence of Technical experienced Gender Staff | | |
| | I. There is no designated or dedicated staff to take gender agenda forward with well-defined role | | |
| | II. There is/are experienced gender staff hired at department/ project level to staff to take gender agenda forward with well-defined role | | |
| | III. Dedicated full-time gender specialists in hired at organization level to implement Gender Policy and Gender Action Plan as well as provide technical support to Gender Staff in implementation of gender into programs. | | |
| h) | Capacity Building on Gender | | |
| | Are gender and development trainings mandatory for all staff members? | | |
| i) | Safe environment | | |
| | I. Is there any specific Policy /Code of conduct available to comply with the Protection against <i>Harassment</i> of Women at the <i>Workplace Act</i> ? | | |
| | II. Is there any anti-harassment committee notified to deal harassment related cases? | | |
| | III. Does organization maintain the cases record? | | |
| j) | Does the organization comply with the National Policy for Persons with Disabilities? | | |
| k) | Is there any benchmark to ensure women representation at organization level? (e.g. certain percentage) | % | |
| g) | Is there any benchmark to ensure women representation in senior management to participate in decision-making process at organization level? (e.g. certain percentage) | ...% | |
| h) | Did the Organization conduct Gender Audit in last three years | | |

G.2. Gender and Inclusive Programming

Rationale: Experience of implementing gender responsive projects builds confidence on the organisation for furthering Fund's commitment to gender equality and inclusiveness.

Core Questions

[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Availability of Gender Equality Markers | | |
| | There is no GEM available to score/assess projects/programs | | |
| | There is a GEM available to score/assess projects/programs | | |
| b) | Gender-sensitive Results Framework | | |
| | I. No attention is paid to develop gender-sensitive result frameworks. | | |
| | II. Gender equality and women empowerment is/was visibly mainstreamed across at least 30% of projects/programs in last three years. | | |
| c) | Disaggregated Data Collection and Reporting | | |
| d) | Is gender disaggregated qualitative and quantitative data collected, analyzed and used? | | |
| e) | Is socio-economic and gender analysis ³ conducted to assess differential needs of diverse women and men? | | |
| f) | Do projects respond to differential needs of diverse women and men identified during the socio-economic and gender analysis? | | |
| g) | Are specific gender elements spelled out at activities, outputs, outcomes and impact levels? | | |
| h) | Are gender specific risk and mitigation strategies developed to avoid, minimize and/or mitigate adverse gender impacts? | | |
| i) | Is the gender policy/strategy being fully implemented and considered in program development and implementation? | | |

H. Monitoring & Evaluation

Rationale: A dedicated and robust M&E mechanism is mandatory for any organization executing a project/program (for accountability, transparency reporting and efficiency purposes)

Core Questions

[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Does the organization have clear Results Based Management/ Monitoring & Evaluation mechanism/manual/policy in place? | | |
| b) | Does the organization have designated or dedicated M&E staff and department to conduct periodic monitoring of the projects/programs? | | |
| c) | Is the organization staff trained/oriented and/or organization having staff training component on the Results Based Management/M&E tools and practices? | | |

³ Presents the issues, gaps and problems that should be addressed by gender-responsive project interventions

d)

Has the organization deployed any M&E MIS/digital platform for data collection, monitoring and reporting?

I. Project Management/Capacity Assessment

Rationale: A Dedicated Project Management system is mandatory for successful Implementation of a project/program, Specifically for Project progress monitoring and highlighting any expected lags beforehand (Physical Assessment criteria)

Core Questions

[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]

| No | Question | Response (Yes/No) | Reference Document |
|----|---|-------------------|--------------------|
| a) | Does the Organization has capability and experience in the identification and design of relevant projects or Programs as per its mandate? | | |
| b) | Does the Organization has Project Management Unit in place? | | |
| c) | Does the Organization has documented process for project Monitoring to ensure quality and follow-up actions during project implementation | | |
| d) | Does the Organization has Project-at-risk systems and related project risk management capabilities in place? | | |
| e) | Does the organization has Project Milestone management and Financial performance analysis capabilities to justify the variances in expenditure (If any) against allocated budgets of the project? | | |
| f) | Does FIP have any past experience of Collecting beneficiaries' details and economic data via field surveys etc. to ascertain viability/feasibility of the project? | | |

J. Disaster Risk Reduction

Rationale: Past experience in Disaster Risk Reduction, Disaster Risk Management and Disaster Risk Mainstreaming projects is mandatory for any organization to carryout Disaster resilience related projects in an efficient and timely manner

Core Questions

[Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2]

| No | Question | Response (Yes/No) | Reference Document |
|----|--|-------------------|--------------------|
| a) | Relevance of the organization to DRR/DRM (DRR mandate, future work focus and commitment to mainstreaming DRR within the Organization): | | |

| | | | |
|----|---|--|--|
| | I. Does the organization have relevance to DRR / DRM as its core business or main mandate? II. Capacity building experience on DRR / DRM? III. Mainstreaming DRR / DRM in project planning, development & Implementation? IV. Presence of dedicated DRR / DRM staff? V. Geographic Coverage (whole Pakistan, specific region / province, specific districts, specific communities, etc.)? | | |
| b) | DRR/CCA Experience & Capacity (Previous relevant DRR experience in, preparedness, mitigation & prevention, and emergency response projects including innovative approaches in DRR) | | |
| c) | Suitability of organization's previous experience of projects' related to DRR (No. of years DRR work experience with INGOs, NGOs, NDMA / PDMA and others prioritized disaster effected communities?) | | |
| d) | Funding source profile i.e. the donor agencies of which projects are being implemented or in the process of implementation | | |
| e) | Strengthened linkages with Communities based organizations on previous DRR projects | | |
| f) | Sustainability and Establishment of community organization for empowerment of community and training of community organization on mobilization and emergency response / DRR for sustainability of project, and close coordination with relevant departments/ stakeholders and regular participate in coordination meetings | | |
| g) | Responsiveness to Gender (Disability, children, women and vulnerable group, ethnic groups etc. | | |

K. Climate Change

Rationale: It is mandatory for an organization to have past experience in Climate Change at National and International level and have footprint in this field, ensuring successful completion of relevant projects

| Core Questions | | | |
|---|--|-------------------|---------------------------|
| [Choose the relevant answer in column 1 and in case of answer as "No", mention alternate, however, equal mechanism if exists any in column 2] | | | |
| No | Question | Response (Yes/No) | Reference Document |
| a) | Does the organization has relevance to Climate Change mandate, future work focus and commitment to mainstreaming Climate Change within the Organization I. Capacity building on Climate Change II. Climate Change main streaming III. Dedicated climate change Staff on board | | Organization's CC Profile |
| b) | Previous relevant experience regarding Climate Change Adaptation and Mitigation Projects | | |
| c) | Total / Maximum amount of Single Project previously Implemented | | |

| | | | |
|----|---|--|--|
| d) | Geographical Presence within Country (On ground presence of organization) | | |
| e) | Experience of working with the Government Counterparts / Community Organizations | | |
| f) | Brief information of the donor agencies of which projects are being implemented or in the process of implementation | | |
| g) | Responsiveness with regards to Gender, Disability, environment, children, women and vulnerable group | | |

List of Reference Documents

The following is not an exhaustive (indicative) list of reference/supporting documents. It is an exclusive responsibility of an organization to provide the reference document against each criterion, by giving consideration to the documentation as mentioned in the following indicative list or as per their own reference document. A list of reference document should also be filled and annexed with the original accreditation application:

| Sr. #. | Documents | Checklist |
|---|--|-----------|
| i. Experience | | |
| 1 | List of Completed Projects of Similar Size and Nature in Last Three to Five Years as per the template provided at Annex – III | |
| 2 | List of Donors worked with by the Organization with details of their financial assistance | |
| ii. Eligibility | | |
| 3 | Legal Registration Certificate along with Memorandum of Associations, Forms (such as Form 29, Form A) etc., where applicable | |
| 4 | MOU with Ministry of Economic Affairs (where applicable) and/or No Objection/MOU with Ministry of Interior | |
| 5 | Registered with Taxation Department [In case of exemption(s), exemption certificate(s) and/or charter/MOU with Government of Pakistan allowing exemption of taxes such as UN Agencies] | |
| 6 | Last three (03) years audited financial statements along with Management Letter | |
| 7 | Profile of Audit Firm | |
| 8 | Treaty or MOU signed with Ministry of Economic Affairs in case of UN Agency | |
| A. Organization Structure | | |
| 9 | Policy and procedures (Operational) Manuals | |
| 10 | Organogram, national international footprint (offices Detail) | |
| 11 | Functions, roles & responsibilities of various departments | |
| 12 | Core Competences | |
| 13 | Institutional Strength | |
| 14 | Samples of administrative forms | |
| B. Regulatory & Legal Regimes | | |
| 15 | Vision, mission, and/or values statements | |
| 16 | By-laws or Articles of Incorporation | |
| 17 | Details of members of Governing Board/Council/Body/ Management | |
| 18 | Terms of reference for Governing Board/Council/Body/ Management and its members | |
| 19 | Proceedings of Governing Board/Council/Body/ Management meetings | |
| 20 | Labor policy | |
| 21 | Statutory reports | |
| C. Financial Management& Internal Controls | | |
| 22 | Financial Manual | |
| 23 | Accounting Journals | |
| 24 | Chart of Accounts | |
| 25 | Payment Vouchers | |
| 26 | Staff Training Plan | |
| 27 | Signatory policy/authority matrix | |
| 28 | Formats for Budget with budget tracking sheet | |
| 29 | Financial Reports such as monthly reconciliations, Quarterly Unaudited Financial Statements etc. | |

D. Procurement Management

| | | |
|----|---|--|
| 30 | Procurement policies, rules, regulations, procedures, guidelines | |
| 31 | Procurement Manual | |
| 32 | Procurement Plan | |
| 33 | Standard Bidding Documents (including standard prequalification, request for proposal, RFQ documents) | |
| 34 | Standard Contract Agreement (if not provided in bidding document) | |
| 35 | Standard Notices for inviting bids/proposals/expressions of interest | |
| 36 | Staffing capacity, listing all the staff that is in place with their TORs, qualification & experience, as well as details of vacant position(s) if any, & their Capacity Building Plan | |
| 37 | Composition of Procurement Evaluation Committee(s) -Notifications | |
| 38 | Reporting Formats such as Bid Evaluation Reports, Technical Proposals Evaluation Reports, Combined Evaluation Reports, Approval of Evaluation Reports | |
| 39 | Standard Reports for dissemination of evaluation results | |
| 40 | Complete procurement cases/documentary evidence of works/goods/services i.e. identification of the need (PR) till the closure of the contract for public sector procurement. (End to End cycle) | |
| 41 | Procedures for Complaint Management | |
| 42 | Policies for, (i) avoiding Conflict of Interest, and (ii) detection of fraud & corruption | |

E. Environment & Social Safeguards

| | | |
|----|-------------------------------|--|
| 43 | Policy and procedures manuals | |
|----|-------------------------------|--|

F. Social Safeguards

| | | |
|----|-------------------------------|--|
| 44 | Policy and procedures manuals | |
|----|-------------------------------|--|

G. Gender

| | | |
|----|--|--|
| 45 | Gender policy, strategy, action or operational or implementation plan | |
| 46 | Staffing capacity, listing all the staff that is in place with their TORs, qualification & experience, as well as details of vacant position(s) if any | |
| 47 | Anti-harassment policy and implementation procedures | |
| 48 | Examples of projects implemented for which, gender and social analysis conducted, efforts made to meet women's needs, gender specific risks identified and mitigation measures undertaken, and benefitted both women and men | |

H. Monitoring & Evaluation

| | | |
|----|--|--|
| 49 | M&E Policies/procedures manuals/ | |
| 50 | Staffing capacity, listing all the staff that is in place with their TORs, qualification & experience, as well as details of vacant position(s) if any | |
| 51 | Sample project progress reports. | |
| 52 | Automated/ manual existing data management system for results | |

I. Capacity Assessment/ Project Management

| | | |
|----|--|--|
| 53 | Detail of Project executed/ Project completion reports | |
| 54 | Staffing capacity, listing all the staff that is in place with their TORs, qualification & experience, as well as details of vacant position(s) if any | |
| 55 | Policies/procedures manuals | |
| 56 | Previous Project proposal documents | |
| 57 | Previous projects work plans, monitoring & budget utilization/ variance reporting | |
| 58 | Project Risk mitigation policies & procedures, Risk Registers | |
| 59 | Survey report of previous projects for collection of Economic data and beneficiary details | |
| 60 | Previous projects' Economic & financial appraisal reports | |

| | | |
|--------------------------|--|--|
| 61 | Anti-Money Laundering policy | |
| J. DRR/DRM | | |
| 62 | Policies/procedures manuals | |
| 63 | DRR/DRM related staffing TORs, qualification & experience, as well as details of vacant position(s) if any | |
| 64 | DRR related projects Donors details | |
| 65 | Detail of Previous projects' DRR/M related training reports | |
| 66 | DRM Plans & VDRMC/UCDRMCs formulation record. | |
| 67 | Previous agreements with national/ international donors and partners for DRR/M projects | |
| K. Climate Change | | |
| 68 | Organization's CC Profile | |
| 69 | Policies/procedures manuals | |
| 70 | CC related staffing TORs, qualification & experience, as well as details of vacant position(s) if any | |
| 71 | CC related projects Donors details. | |
| 72 | Detail of Previous projects' CC related training reports & policies | |
| 73 | Previous agreements/MOUs with national/ international donors and partners for CC related projects | |
| 74 | Project Documents/ Proposal/ Agreements/ Annual progress reports | |
| 75 | Local and international Foot prints/ offices detail | |

Format for Providing Information of Completed Projects

| | |
|---|--|
| Project Name/Title: | Approx. value of the Project (in current US\$ or Pak. Rs.): |
| Location within Country: | Duration of Projects (months): |
| Name of Donor/Funding Institution: | Address: |
| Start date (month/year): Completion date (month/year): | No. of staff involved for the implementation of the project: |
| Name of Implementing Partner(s), if any: | Project's Objectives: |
| Narrative description of Project: | |
| Brief description of main deliverables/outputs: | |
| Point of Contact detail of donors for reference check for previous projects | |

[Please attach Anti-Money Laundering Rules/Regulations/Guidelines that Organizations Follow]