

Accreditation Application – Sample Completed Document

SECTION I: Background/Contact

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| Nominated Entity (if NIE): | | |
| Invited Entity (if MIE): | | |
| Address: | | |
| Country: Postal Code: | | |
| Telephone: | | |
| Fax: | | |
| Web Address: | | |
| Contact Person: | | |
| Telephone: | | |
| Email: | | |

SECTION IV: Transparency, self-investigative powers, and anti-corruption measures

Specific Capability Required

- a) Policies and Framework to deal with financial mis-management and other forms of malpractice

Description of how entity meets capabilities required

| Inventory of Current Organizational Environment | Document References |
|---|---------------------|
| | |

Examples of Supporting Documentation

Required Competency: *Requisite Institutional Capacity*

| Sr No | Verification | Supporting documentation that may be provided | Assessment /Remarks |
|-------|--|--|---|
| a | Evidence/tone/statement from the top emphasizing a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice by | Provide evidence of a statement communicating such a policy of zero tolerance for fraud, financial | How does the Board or the top management team in in the organization communicate their commitment and resolve towards a policy of zero tolerance for fraud, financial mismanagement and other forms of malpractice and taking strict action in case of any fraud or |

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| | implementing entity staff or from any external sources associated directly or indirectly with the implementing agency for projects | mismanagement and other forms of malpractice | financial mismanagement. Copy of policy and other communication is provided at Annex |
| | Demonstration of capacity and procedures to deal with financial mismanagement and other forms of malpractice | i) Provide copy of documented code of conduct/ethics applicable to the staff | The organization introduced a documented code of conduct/ethics applicable to all staff in(year). The code is communicated to the staff members through.....(mention modes of communication). Copy of the code of conduct/ethics is attached (Annex....) |
| | | ii) Documentation establishing avenues for reporting non-compliance/ violation/misconduct and business conduct concerns | The avenues available to staff for reporting non-compliance/ violation/misconduct and business conduct concern are.....(give details) The avenues available to business partners for reporting non-compliance/ violation/misconduct and business conduct concern by the organization's staff are (give details) |
| | | iii) Details of | The following are the key points of organization's policy/practices to |

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| | | <p>policies and procedures relating to managing conflict of interest and whistle blower protection</p> | <p>manage conflict of interest.</p> <ol style="list-style-type: none"> 1. 2. 3. <p>The following are the key points of organization’s policy/practices to provide whistle blower protection</p> <ol style="list-style-type: none"> 1. 2. 3. <p>The attached document(s) (Annex) provides details of the policy/practices relating to managing conflict of interest and whistle blower protection</p> |
| | <p>Evidence of an objective investigation function for allegations of fraud and corruption</p> | <p>i) The structure and process/ procedures <u>within</u> the organization to handle cases of fraud and mismanagement and undertake necessary investigative</p> | <p>The organization’s structure to handle cases of fraud and mismanagement and undertake necessary investigative activities is(give brief details).</p> <p>The detailed processes/procedures within the organization to handle cases of fraud and mismanagement and undertake necessary investigative activities is defined in (name of document). The document is provided</p> |

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| | | activities. | (Annex.....) |
| | | ii) Data on cases of violation of code of conduct/ethics and frauds reported over last 2 years be provided in terms of number of cases, types of violations and summary of status/action taken. | A matrix giving details of the data on cases of violation of code of conduct/ethics and frauds in the organization, reported over last 2 years be provided in terms of number of cases, types of violations and summary of status/action taken is given in Annex |
| | | iii) Periodical oversight reports of the ethics function/ committee be attached for the last 2 years | Give brief details of the authority/committee responsible for oversight of the ethics function along with its Terms of Reference (TOR). Annual/periodic reports of the oversight body for the last 2 years are provided at Annex |