

**AGA KHAN UNIVERSITY**  
**AWARD SURVEY AND DUE DILLIGENCE QUESTIONNAIRE (FORM C - FOR GOVERNMENT ORGANIZATIONS)**  
**SUBRECIPIENTS (please fill information only in the blue boxes - or use extra sheets if required.)**

**SECTION A: GENERAL INFORMATION**

Legal Name of Organization

Registered Office address

Contact Person name:  Telephone No:  Fax No:  email:

web site :  Twitter:  Facebook:

1 Is your organization constituted under Provincial/Federal Act? Please specify the Act.

2 Does your organization have any subsidiaries / sub offices or have joint ventures with others? If yes, please provide the names and contact information for each.  
 Yes  No

3 Briefly list down the activities you will perform when collaborating with the Aga Khan University.

4 Please provide the name and titles of the officers and key persons, including but not limited to the President/Director, Secretary, Chief Financial Officer, and Controller/Accountant and other key persons involved in the proposed AKU project.

No.	Name	Title of the organization
1		
2		
3		
4		
5		
6		

5 Are any of these individuals presently or in the past linked in any way to the Aga Khan University?  
 Yes (please provide details; on separate sheets if required):  No

6 Do any of these individuals hold any additional employment or directorship outside of your organization?  
 Yes (please provide details; on separate sheets if required):  No

7 Do you wish to declare any other item which may be (or perceived to be) as conflict of interest.  
 (A conflict of interest is a situation which may be perceived as giving unfair advantage to you or your organization).  
 Yes (please provide details; on separate sheets if required):  No

**SECTION B: INTERNAL CONTROLS (especially for projects)**

1 Are your grant financial reports prepared on a: Cash Basis  Accrual Basis   
 2 Can the accounting records identify the receipts and payments of the grant from other receipts and payments? Yes  No   
 3 Do you maintain invoices, vouchers, and timesheets for all payments made from sub award funds? Yes  No   
 4 Are there any circumstances in which invoices, vouchers, and timesheets cannot or will not be obtained? Yes  No  (please explain)

5 Briefly describe your organization's system for filing and maintaining supporting documentation for this project

**SECTION C: COMPLIANCE**

1 Is your organization organization or any key person listed above involved in any litigation, mediation, or arbitration, any potential litigation, mediation, or arbitration, or any concluded litigation, mediation or arbitration  
 Yes  (please provide details) No

2 Has anyone in your organization been listed or been associated with anyone listed on an undesirable persons watch list or equivalent maintained by the (AKU department to insert name of country from which the grant is received, before sending the form) government or the Pakistani Government.  
 If yes, please provide details on how you managed to resolve it: Yes  No

- 3 Does your organization have a conflict of interest policy? Yes  No   
If not, will your organization agree to comply with COI policy of main funder or of AKU? Yes  No
- 4 Sponsors always require grantees and sub awardees to comply to certain specific policies like avoidance of child abuse, whistle blowing, non-discrimination etc. Will your organization be agreeable to follow all such policies especially during the term of the project? Yes  No
- 5 Are you willing to comply with data privacy policy of main funder or AKU, and capable of keeping data secure and confidential? Yes  No
- 6 Will you follow a data retention policy of main funder or AKU? Yes  No
- 7 Briefly explain how your organization ensures that bribery and other forms of corruption are avoided (especially in projects)?

- 8 Please indicate which of the internal controls listed below are in place at your institution:  
a. Documented competitive system of procurement for major purchases (e.g., if your organization plans to acquire new equipment, it requests written bids from at least three (3) vendors):

b. Maintenance of an inventory system for fixed assets (for example, serial numbers and locations of all computers/equipment are listed and maintained in a file)

**SECTION D: FUNDS CONTROL (as a govt entity they should have these controls so which questions are the most essential to retain here)**

AKU grantees that receive advances of grant funds must have a bank account. Access to the bank account must be limited to authorized individuals. Bank balances should be compared each month with your accounting records. If cash cannot be kept in a bank, it is very important to keep the cash in a strong safe and have strict controls over cash custody and disbursement.

- Can your organization open a separate bank account for the project, if required by sponsor? Yes  No
- Are all bank accounts and individuals signing cheques authorized by the organization's governing members? Yes  No
- Are the majority of payments to vendors/suppliers made by cheques or other banking instruments (not in cash)? Yes  No
- Can you keep individual project funds separate from other funds so that they are not mixed up for use? Yes  No
- Is the function of treasury and accounts done by separate individuals in your organization? Yes  No
- Are your personnel insured for on the job injury? Yes  No
- Are your major assets insured Yes  No
- Do you have third party or liability insurance? Yes  No

**SECTION E: CERTIFICATION**

This form must be signed, stamped and dated by authorized personnel who has either completed or reviewed the form.

**I certify to the best of my knowledge and belief that the information provided in this questionnaire and the supporting data are correct, and I am authorized to sign this document on behalf of this organization.**

Name of authorised official of the Organization signing this form:  Designation:

Dated