



## OPERATIONALLY INDEPENDENT AND AUTONOMOUS FIU SELF-ASSESSMENT CHECKLIST

The checklist below can assist FIUs in assessing their level of operational independence and autonomy. FIUs should rate whether each characteristic is implemented and present in their FIU based on the rating scale described below. A rating score is then calculated. Based on the rating score an overall assessment of operational independence and autonomy is provided (see assessment scale at the end).

### Rating Scale:

No implementation of characteristic (Very significant shortcomings)	Minimal implementation of characteristic (Significant shortcomings)	Partial implementation of characteristic (Moderate shortcomings)	High implementation of characteristic (Minor shortcomings)	Characteristic fully implemented (No shortcomings)
1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>	5 <input type="checkbox"/>

CHARACTERISTICS (See Chapter 6 for description of each criteria)	RATING
<i>Governance and Organisational Structure</i>	
The FIU has the authority and capacity to carry out its functions freely, including the autonomous decision to analyse, request and /or disseminate specific information.*	
When an FIU is located within the existing structure of another authority, the FIU's core functions are distinct from those of the other authority.*	
The FIU has functional protection which protects it from liability.	
The HoFIU defines the job profile of senior management and staff.	
<i>Budget and Resources</i>	
The FIU should be provided with adequate financial, human and technical resources, in a manner that secures its autonomy and independence and allows it to conduct its mandate effectively.*	
The FIU should be able to obtain and deploy the resources needed to carry out its functions on an individual or routine basis, free from any undue political, government	

\* Requirements outlined in criteria for FATF Recommendation 29.

or industry influence or interference, which might compromise its operational independence. <sup>1</sup>	
The FIU has the authority to decide when and where to travel based on its operational needs.	
<i>Appointment and Dismissal of FIU Senior Management and Staff</i>	
The process to appoint the Head of FIU (HoFIU) is apolitical, timely and based on merit.	
The basis for dismissal of a HoFIU is based on unsatisfactory performance or breach of duty that should be duly detailed and documented.	
The HoFIU has the authority to hire senior management and staff based on operational requirements.	
FIU staff are not subject to assignments that are outside of the FIU’s mandate.	
<i>Protection of Information</i>	
The FIU is able to protect the data it receives as well as the financial intelligence and other information it generates.	
<i>Information Exchange</i>	
The FIU is able to make arrangements or engage independently with other domestic competent authorities or foreign counterparts on the exchange of information.*	
<i>Accountability, Integrity, Transparency and Leadership</i>	
The FIUs is accountable for its activities.	
The FIU ensures the integrity of its staff and management.	
The FIU’s funding and governance is transparent.	
The FIU demonstrates leadership to promote the operational independence and autonomy of the FIU.	
<b>TOTAL</b>	

**Assessment Scale Operational Independence and Autonomy**

Assessment	Rating Range
<b>Very weak level of operational independence and autonomy</b>	<b>17-33</b>
<b>Weak level operational independence and autonomy</b>	<b>34-50</b>
<b>Moderate level operational independence and autonomy</b>	<b>51-67</b>
<b>High level operational independence and autonomy</b>	<b>68-74</b>
<b>Very high level operational independence and autonomy</b>	<b>85</b>

\* Requirements outlined in criteria for FATF Recommendation 29.