**ANNEX GEN 5: Logistics Capacity Assessment (rev Oct 2019)**

This checklist is for internal use and will help identify the strengths and weaknesses in procurement skills/qualifications and additionally identify the need for capacity building within procurement and logistics. It may be used for NCA Country or Field Offices and for Partners.

Name of office/organisation being assessed:

Name/position of person/s conducting assessment:

Date of assessment:

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|  | Question | Methodology  | Yes  | No  | N/A  | Comments |
| 1 | Does the partner have a procurement manual | This may be a stand-alone document or incorporated into finance or other manuals |   |   |   |   |
| 2 | Which procurement procedures is the partner following for NCA funded projects | This may be the partners own policies, NCA’s or a combination of both. Ensure the partner is aware of the requirement in the Partner Agreement that procurement policies must at least equal NCA’s  |  |  |  |  |
| 3 | Does the partner have an established Procurement Committee and are they all aware of their roles | Minimum of three members |   |   |   |   |
| 4 | Does the Procurement Committee have a written mandate or Terms of Reference | Check document is available, is up to date and relevant. May be stand-alone document or incorporated into procurement manual |   |   |   |   |
| 5 | Have all staff involved in procurement activities at any level signed a declaration regarding conflict of interest and confidentiality | This should be similar to the NCA Declaration of Impartiality and ConfidentialityAll staff may include logistics, finance, programme, in addition to any other senior staff involved with selection processes |   |   |   |   |
| 6 | Does the partner have appropriate, documented segregation of duties | Check that payments are not being authorised by the same personnel that are approving procurements. Check document is signed and up to date |   |   |   |   |
| 7 | Are procurement thresholds set to follow the principle of proportionality | The higher the value of the procurement, the more complex the procedures should be |   |   |   |   |
| 8 | Does the partner have written policies regarding waivers/derogations and are these in line with NCA policies | Policies may be included in the procurement manual or a separate policy |   |   |   |   |
| 9 | Is the partner procurement department following the partner procurement manual and relevant donor procurement regulations | Check procurement documentation to ensure procedures are being correctly followed. Look at at least three or four completed procurements |   |   |   |   |
| 10 | Does the partner have standardised procurement documentation templates | Check templates |   |   |   |   |
| 11 | Does the procurement manual include anti-corruption policies | This may be a stand-alone document |   |   |   |   |
| 12 | Are anti-corruption policies included in procurement contracts | Contractors must be informed of zero tolerance policy and consequences for corrupt practices |   |   |   |   |
| 13 | Does the procurement manual include ethical procurement that at a minimum covers child or forced labour and manufacture of anti-personnel land mines | These provisions must be communicated to contractors and included in procurement contracts either in procurement contracts or a Code of Conduct for Contractors |   |   |   |   |
| 14 | Do procurement contracts give the partner and auditors the right of access to contractors premises to inspect documents | This is a requirement of several donors and must be included in procurement contracts |   |   |   |   |
| 15 | Do procurement contracts protect donors from any liability | This is a requirement of several donors and must be included in procurement contracts |   |   |   |   |
| 16 | Are contractors screened against anti-terrorism checklistsDo procurement contracts give the partner or donor the right to use electronic screening of contractors | Most donors require contractors to be screened. It is therefore necessary to include approval for screening in the procurement contracts |   |   |   |   |
| 17 | Does the partner have an established supplier database and do they advertise at least annually to attract new contractors | This may be a simple list of suppliers, or a list of pre-qualified suppliers |   |   |   |   |
| 18 | Are procurement contract winning bidder selection criteria communicated to potential contractors prior to the submission of offers | Selection criteria should be included in RFQ/RFP/Tender Dossier |   |   |   |   |
| 19 | Does the partner have an established filing system for procurement documentation | Check procurement requests are entered in a Master Procurement File RegisterCheck individual procurement files are established for each procurementCheck documents are being archived electronically |   |   |   |   |
| 20 | Are procurement personnel adequately trained to perform their duties | Have procurement personnel received any procurement training |   |   |   |   |
| 21 | Do finance personnel thoroughly check all documentation prior to making payments and are they adequately trained in relevant procurement policies | Have finance staff received any procurement training |  |  |  |  |
| 22 | Have procurement plans been prepared for all projects involving procurement | Check procurement plans are available |   |   |   |   |
| 23 | Is the preparation of procurement plans co-ordinated with the programme department | Verify preparation is co-ordinated |   |   |   |   |
| 24 | Are regular procurement co-ordination meetings held | Check regular procurement co-ordination meetings are held between logistics, finance and programme departments |   |   |   |   |
| 25 | Have any procurement or logistics issues detected from previous audits been adequately addressed | Check previous audit reports and ensure issues have been addressed |   |   |   |   |
| 26 | Is the asset register correctly maintained | Check register is available and up to dateCheck new assets are registered immediately on acquisition |   |   |   |   |
| 27 | Are warehouse/storage procedures in place and being correctly followed | Are any warehouse/storage facilities suitable for the type of goods storedAre suitable security arrangements in placeCheck all stock movements correctly documentedIs a stock report in placeDo actual stocks correspond to the stock report |   |   |   |   |
| 28 | Are fleet management procedures in place and being correctly followed | Check routines for vehicle use in placeCheck vehicle maintained in accordance with manufacturers recommendationsCheck fuel consumption reports compiled and checked on a regular basis |   |   |   |   |