



CALL FOR EXPRESSION OF INTEREST

HARMONISATION OF INDIVIDUAL QUANTITATIVE
FOOD CONSUMPTION DATA

COMPLEMENTARY INFORMATION FOR THE APPLICANTS

Call publishing date: 29.04.2021

Closing date for the applications: 28.05.2021

A Letter of Agreement (LoA) is a contractual instrument that FAO can use to obtain services that are not generally available on the private-sector commercial market, from not-for-profit eligible entities. The LoA is done for the provision of a specific service, and FAO provides funds for the implementation of the activities needed to provide the service. This call of interest aims to identify institutions which would provide data harmonization on eligible datasets, which could be eventually shared through FAO dissemination Platforms. Possible tasks are listed in the further parts of this document and will be determined based on the individual needs of each dataset which will be a subject of harmonization work.

The LoA is a contract that an institution would do with FAO, which involves the signing of an agreement, the preparation of a detailed budget and the provision of detailed financial reports by the contracted institution stating that the funds were used for the specific activities described in the LoA.

This document describes the main steps and activities related to (i) Selection process of the successful Applicants, and (ii) preparation, negotiation and signing of the LoA.

1. SELECTION PROCESS OF THE SUCCESSFUL APPLICANTS

1.1. Eligible Institutions

The FAO Food and Nutrition Division (ESN) Division shall select several Institutions to perform the tasks in accordance with the procedure described below. The selection of institutions shall be made based on the funding available and shall be based on the Selection Criteria.

1.2. Expression of Interest

The Application Form, which should be used to apply for this Call for Expression of Interest is attached hereto as Annex 1.

No later than 28th of May 2021, the Applicants may request clarifications regarding this Call for Expression of Interest or the process of signing an LoA with FAO. Such requests must indicate the Call for Expression of Interest in the e-mail subject and the name of the Applicant and shall be submitted in English via e-mail to:

FAO/WHO GIFT, Food and Nutrition Division, FAO: FAO-WHO-Gift@fao.org

The response to the Applicant's queries will be provided via e-mail within 5 working days.

FAO ESN will, in principle, not contact any Applicant prior to the Deadline, unless it considers it necessary to clarify issues of a mere technical nature. However, should ESN discover any errors, inaccuracies, omissions or any other type of clerical defect in the text of the Call for Expression of Interest before the Deadline, ESN will correct the text and inform accordingly.

The Expressions of Interest, including the submitted documents, shall be in English, French or Spanish.

1.3. Submission of Expression of Interest

The Expressions of Interest shall be submitted on or before the Deadline by e-mail to **FAO-WHO-Gift@fao.org**, before the application deadline stating in the subject of the email:

"Call for Eoi – FAO/WHO GIFT 2021: [name of the Applicant]"

The Deadline for the submission of Expressions of Interest is 28th of May 2021

The Deadline applies to the reception by email.

An acknowledgement of receipt will be sent to the Applicants by FAO via e-mail, which shall state the following:

- unique application identifier, to be used in all subsequent communications relating to the Expression of Interest;
- confirmation that the Expression of Interest was received by the Deadline.

The acknowledgement of receipt does not constitute a declaration of completeness of the Expression of Interest and the documents submitted therewith, nor any other kind of assessment or acceptance of the same.

1.4. Changing/amending applications

Prior to the Deadline and in the same manner as specified above, the Applicants may change or amend their Expressions of Interest by submitting the corrected version of the application and notifying that this is the corrected version.

1.5. Withdrawing applications

The Applicants may withdraw their Expression of Interest at any stage of the Selection process, by sending an email to the above-mentioned addresses.

1.6. Selection process

Institutions shall be selected on the basis of FAO's policies, rules, procedures and statutes and in conformity with best practices with an open, transparent, proportionate, non-discriminatory and objective selection procedure, avoiding conflicts of interest, taking into account the criteria, and the experience and financial capacity of the Applicants.

In addition, the Expressions of Interest will be examined by the ESN on a comparative basis, using professional analysis and judgment, based on the Selection Criteria.

Following the receipt of the Expression of Interest, FAO shall assess the application(s) pursuant to the selection process outlined herewith. This process comprises:

1. Pre-selection;
2. Due diligence;
3. Selection.

Following the pre-selection based on the Expression of Interest, ESN shall perform a due diligence of the pre-selected Applicant, as a result of which ESN shall decide whether or not to approve the signature of a Letter Agreement, in accordance with its internal rules and procedures, with the pre-selected Applicant.

Each of these three steps is described in more detail below from section 1.7 to section 1.9.

Applicants who are not initially considered for contractual negotiations may, subject to the FAO's discretion, be included on a reserve list, which unless cancelled or extended in writing by FAO shall be valid up to 31 December 2021, following notification of inclusion in the reserve list (hereinafter, "Reserve List").

In any phase of the selection process before entering into a Letter Agreement with an Applicant, ESN reserves full discretion to consider or not Applicants (and participating entities, in case of joint Expressions of Interest), and no Applicant or participating entity may have any claim or other right or may expect to be ultimately selected as institution. The negotiation of terms and conditions of the letter of Agreement does not entail any obligation for FAO to enter into such Letter of Agreement with the relevant Applicants.

ESN will send a rejection notice to Applicants whose Expression of Interest was rejected during any stage of the selection process. FAO may, but shall not be obliged to provide reasons of such rejection.

1.7. Pre-selection

Expressions of Interest will be assessed by the ESN for pre-selection on a comparative basis. When assessing the Expressions of Interest, ESN will use its professional analysis and judgment.

The pre-selection comprises:

1. Pre-selection stage 1: Eligibility assessment of the Expressions of Interest;
2. Pre-selection stage 2: Quality assessment of the Expressions of Interest.

1.8. Eligibility assessment of the Expressions of Interest

FAO will assess whether the Expressions of Interest for the harmonization of individual quantitative food consumption data are in accordance with the provisions of this Call and comply with Eligibility Criteria.

The Expressions of Interest that do not comply with the Eligibility Criteria will be rejected.

The Institution

The selected institutions will be universities, research institutes, Governmental institutes, NGOs, that fulfill all of the following criteria:

1. Are legally registered as a not-for-profit entity.
2. Operate and are registered in a low or middle-income country. [Check the country here.](#)
3. Own an eligible dataset (see the requirements below) or have access to an eligible dataset owned by another institution.
4. Provide FAO with all the necessary information on the dataset in order to assess the scope and amount of work required for the development of supporting tools.
5. Are able to perform data harmonization activities which include, but are not limited to, data coding with the FoodEx2 data classification and description system, recipe disaggregation, and documentation of food composition data used in the dataset.
6. Are able to participate in online trainings and meetings with the FAO/WHO GIFT team to receive necessary guidance and technical support in data harmonization.
7. Have sufficient human resources available to perform the work (it is not permitted to sub-contract or use funds to hire additional personnel to perform the work).
8. Are equipped with the necessary IT infrastructure, skills and technical support needed to carry out the work.
9. Are able to communicate with the FAO/WHO GIFT team in English, French or Spanish.
10. Agree to share their data publicly and sign a License to Redistribute Contribution to allow FAO to disseminate the data in the most disaggregated format through its dissemination platforms.

The Dataset

The eligible dataset needs to fulfil all of the following criteria:

1. Method of data collection: Individual quantitative 24h recalls or records/diary (no Food

- Frequency Questionnaires or Household surveys).
2. Presence of compulsory variables in the dataset (these variables are specified in the attached Application Form).
 3. Survey sample should cover the general population i.e. there should be no evidence of selection bias such as medical conditions, people who eat in the same place, etc.
 4. Sample size ≥ 100 .
 5. Capture of all foods and beverages consumed within 24 hours (the capture of drinking water and vitamin and mineral supplements is preferred but not compulsory).
 6. Food list includes ≥ 50 food items.
 7. Year of assessment ≥ 1980 .

1.9. Quality assessment of the Expressions of Interest

After completing assessment of the Eligibility Criteria, and after having obtained any additional information or clarifications from Applicants, if and as needed, the ESN will perform the quality assessment of the Expressions of Interest according to the Quality Assessment Criteria. The assessment of Expressions of Interest at this stage will be conducted under competitive terms. The quality assessment criteria system of appraisal is attached here to as the Annex 2.

1.10. Due diligence

Top-ranked pre-selected Expressions of Interest will be followed up with the due diligence process, carried out in accordance with the FAO's internal rules and procedures, where financial and operational matters relating to the letter of agreement implementation shall be analysed in more detail.

The aim of the due diligence is to assess, inter alia, the ability to generate a qualitative deal flow, undertake an appropriate and the commitment of the Applicant, the experience, etc., systems and ability to comply with the reporting requirements. The due diligence normally comprises a discussion, which shall be at the discretion of the FAO. The due diligence process does not comprise legal negotiations.

1.11. Selection

Based on the pre-selection outcome and the outcome obtained following the due diligence, the FAO will decide either:

- To select the Applicant;
- To put the Applicant into a Reserve List;
- To reject the proposal from the Applicant.

Subject to satisfactory outcome of the due diligence, FAO may approve entering into a Letter of Agreement with the selected Institution, subject to (i) successful legal negotiations (ii) the FAO internal approval of the agreement according to FAO own rules and procedures. ESN has no obligation to enter into a Letter of Agreement with the selected Applicant.

1.12. Publishing of information on the Institution (s)

FAO may publish, from time to time, on its website a list of Institutions, which may include the name and the registered addresses of the institutions. FAO may also publish a list of institutions, which signed the Letter of Agreement for harmonization of individual quantitative food consumption data.

An institution may, prior to receiving financial support under the LoA, notify FAO in writing detailing its inability to comply with and/or be subject to the publication requirement if it risks harming its interests or risks threatening the rights and freedoms of individuals concerned.

In addition, such publication shall not be required if it would be illegal under the applicable laws and regulations.

2. PREPARATION OF THE LETTER OF AGREEMENT

Successful Applicants will be invited to enter the negotiation process for the Letter of Agreement. Below the process is briefly described.

2.1. List of Activities and outputs

As the first step, the Institution will be asked to prepare a list of activities, which can become a part of the work to be performed under the LoA.

Based on the revision of a full or a sub-set of the dataset the Institution together with FAO/WHO GIFT team will identify a list of activities and expected outputs as well as the workplan with time and personnel allocated to implementation of each of the activities.

Below is the list of tasks, which can be included in the agreement:

- Participation to the FoodEx2 data classification and description system training provided by FAO;
- Mapping of the foods reported as consumed in the dataset(s) to the FoodEx2 classification and description system;
- Development of a recipe database with the disaggregation of all mixed dishes reported in the dataset containing the amounts and food composition information for all recipe ingredients;
- Compiling documentation of the food composition information used and respective bibliographic sources for all foods (food items and recipe ingredients) reported as consumed in the dataset(s);
- Liaison with FAO during the data harmonization and recipe disaggregation processes and prepare data harmonization and analysis reports.

2.2. Budget

Following the list of activities, the Institution will prepare a budget according to the FAO Budget template, which will be provided at the time of budget planning.

Under the LoAs resulting from this Call for Expression of Interest, FAO foresees budget provisions to cover human resource inputs, i.e. staff (the usual workforce that are already hired by the Institution).

The budget will be based on the FAO maximum liability, which will typically follow the allocation of funds scheme presented in the Table 1. Under this scheme, the maximum liability is defined by FAO depending on the dataset characteristics. The scheme indicates the minimum and maximum allocation per data harmonization activity and the exact amount of funds will be determined by FAO based on the information provided by the data provider and the amount of work that is required to harmonize the dataset. Once the maximum liability is defined in USD, the Letter of Agreement will be prepared in local currency using the UN Operational Rates of Exchange, according to FAO's procedures.

Please note, that the scheme presents only the indicative amounts available for contribution by the FAO to the selected Institution(s), and those may be changed as necessary, at FAO ESN's sole discretion subject to applicable approvals, particularly if the funding available changes during the implementation process or the demand for the Institution(s) so requires.

Table 1. The LoA allocation of funds scheme*

Harmonization of food list			
	Funds allocation key	Minimum	Maximum
FoodEx2 mapping of food items	The amount will be determined based on the number of unique food items on the food list	\$1,600	\$2,800
	Funds allocation key	Minimum	Maximum
FoodEx2 mapping of recipe items	The amount will be determined based on the number of unique recipe items on the food list	\$500	\$3,700
Preparation of harmonization report**		\$1,000	
Food Composition Table information***			
	Funds allocation key	Minimum	Maximum
Documentation of nutrient composition information used and respective bibliographic sources (according to GIFT template)	The amount will be determined based on the number of unique food items on the food list	\$1,200	\$2,000
Disaggregation of mixed dishes/recipes***			
	Funds allocation key	Minimum	Maximum
Disaggregation of mixed dishes/recipes	The amount will be determined based on the number of unique mixed dishes/recipes on the food list	\$1,000	\$4,000
Application of yield factor (YF) and nutrient retention factor (RF) to recipe ingredients			
	Funds allocation key	Minimum	Maximum
Preparation of a list of ingredient YF and RF***	The amount will be determined based on the number of unique recipe ingredients on the food list	\$600	\$1,000
Application of YF and RF to consumption dataset		\$600	\$1,000
Additional activities			
Preparation of data cleaning and analysis report**		\$1,000	
Overhead (max 10%)		Max. 10%	
Total estimated value of the LoA	Funds allocation key	Minimum	Maximum
	The estimates are done based on the assumption that compilation of FCT information and disaggregation of the recipes is done under the agreement, and considering the maximum value of the overhead	\$8,250	\$18,150

* FAO decides on the funds to be allocated. The values apply for each dataset included in the LoA, apart from the reports

**The amount of the reports are per LoA, not per dataset

***If already available, minimum of USD 500 could be provided for formatting file to the FAO/WHO GIFT template

It is important to note, that during the implementation process FAO will pay only the actual expenditures to perform the activities as stated in the certified financial reported that will be submitted periodically by the Institution.

Over the duration of the LoA, the Institution will need to provide an official certification of the salary of the staff involved in the LoA in order for the LoAs payments to be approved. For this reason, all staff involved in **the LoA tasks should be a part of the usual workforce of the Institutions.**

2.3. Service Provider Capacity Self-Assessment form

Institutions which are not registered in the FAO system as a Service Provider will be asked to fill in the Service Provider's Capacity Self-Assessment Form, which is enclosed herewith as the Appendix 3. Based on the information provided in this form, FAO will be able to confirm the eligibility of the Institution to sign the LoA.

Obtaining some of the documents requested in the Service Provider's Capacity Self-Assessment Form may require time on the Institution's side. Firstly, all the institutions with status other than Academia and Governmental institutions will be required to provide Non-for-profit registration certificate issued by the country where they are registered. Some of those documents requested at this step are related to the

financial management of the institution. The Institution will be also asked to provide the bank account information, which should be registered under the same name as the Institution itself.

2.4. Signing of the Letter of Agreement

A Letter of Agreement is a standard FAO document, which describes the agreement between FAO and the Service Provider (the Institution). It states the objective, outputs and activities of the agreement and sets, among other provisions, the conditions of the agreement.

The Letter of Agreement will be prepared by FAO and shared with the Institution for their feedback before signing.

Signing of the LoA marks the beginning of the contract between FAO and the Institution.

3. ANNEXES

- Annex 1. Application form
- Annex 2. The quality assessment criteria system of appraisal
- Annex 3. Service Provider's Capacity Self-Assessment Form

APPLICATION FORM

Name of institution:**Address:****Telephone number, including country code:****Contact email:****Name and title of contact person:****Contact email of the contact person:****Name and title of signatory for institution:****Part I: The institution**

1. Please confirm whether your institution complies with the eligibility criteria listed below:

Is the institution legally registered as a not-for-profit entity?	Yes	No
Is the institution registered and operating in a low or middle-income country? Check the country here	Yes	No
Does the institution own an eligible dataset (see the requirements below) or have access to an eligible dataset owned by another institution?	Yes	No
Is the institution able to perform data harmonization activities, which include, but are not limited to, data coding with the FoodEx2 data classification and description system, recipe disaggregation, and documentation of food composition data used in the dataset? ³	Yes	No
Are the institution staff able to participate in online trainings and meetings with the FAO/WHO GIFT team to receive necessary guidance and technical support in data harmonization?	Yes	No
Does the institution have sufficient human resources available to perform the work? ⁴	Yes	No
Are the institution staff equipped with the necessary IT infrastructure, skills and technical support needed to carry out the work?	Yes	No
Are the institution staff able to communicate with the FAO/WHO GIFT team in English, French or Spanish?	Yes	No
Is the institution in a position to obtain the appropriate signature on the License to Redistribute Contribution to allow FAO to disseminate the data in the most disaggregated format through its dissemination platforms?	Yes	No

2. Please describe briefly (Max 200 words) why you believe your institution is qualified to carry out the required activities.

Answer:

3. Please describe briefly (Max 200 words) the role of your institution in the survey(s) planning, implementation and data management.

Answer:

³ FAO will provide required training and guidance to support the technical aspects of the tasks

⁴ it is not permitted to sub-contract or use funds to hire additional personnel to perform the work

4. Are the person(s) identified to perform the activities under this contract involved in the survey(s) planning, implementation and data management?

Yes

No

5. If the answer to the question 4. is “yes” please specify what tasks they were involved in.

Answer:

Part II: The survey

6. Please provide the title of the survey(s).

Answer:

7. Please state which institution(s) is/are the owner(s) of this survey data.

Answer:

8. Please complete the information on the survey⁵:

Country surveyed	
Geographical/administrative coverage of the data collection	National Subnational
Name of the institution who performed the field work	
Is the survey part of a rolling programme ⁶ ?	Yes No
Language of the dataset	
Access link to the online resource (if available) ⁷	
Dietary assessment method	
Data collection start date (mm/yyyy)	
Data collection end date (mm/yyyy)	
Number of rounds of data collection ⁸	
Repeated dietary recall/record	Yes Yes, on a sub-sample No

⁵ If you are applying with more than 1 dataset, please copy the table and fill the information for each dataset separately

⁶ If the survey is implemented periodically, every certain number of years as a part of a long-term programme

⁷ An online resource could be any publication related to your survey or the survey data already available for download from other databases

⁸ If the data was collected multiple times on the same population over different seasons or clear separated time, each data collection is considered one round

Survey population (<i>e.g. children, pregnant women</i>)	
Survey population: were there any special selection criteria such as medical conditions, people who eat in the same place, etc.	Yes, please describe No
Type of area covered by the survey (<i>e.g. rural, urban, peri-urban</i>)	
Total sample size	
Number of different food items in the food list	
Number of unique recipes and mixed dishes	
Capture of all foods and beverages consumed within 24 hours	Yes No
If the answer to the question above was “No”, please list those foods and beverages which were not captured by the survey	
Management of recipes and mixed dishes (<i>Please provide details, e.g. use of standard recipes, data on ingredients collected</i>)	
Presence of compulsory variables (please tick the box next to those which are in your dataset)	Country name Type of area in which the subject is living (Rural/urban/peri-urban) Unique subject identifier (anonymized, if possible) Sex Age (years) Age (months) (if children under 5 years old) Body weight (kg) Method used to measure body weight (Measured/self-reported) Number of survey days Date (year) of consumption Food name Food amount (grams) Energy (Kcal) Macronutrients and micronutrients

Annex 2. The quality assessment criteria system of appraisal

	Question	Score	Description
Institution's compliance with the eligibility criteria for the call			
1	Please confirm whether your institution comply with the eligibility criteria for this call	Accept	Complies with each of the listed criteria
		Reject	Does not comply with one or more criteria
Relevance and capacity of the proposer			
2	Please describe briefly (Max 200 words) why you believe your institution is qualified to carry out the required activities.	0	The reported qualifications are not relevant
		1	The reported qualifications are to some extend relevant
		2	The reported qualifications are relevant
		3	The institution did the data collection, analysis or other work that gives them knowledge about the data
3	Please describe briefly (Max 200 words) the role of your institution in the survey(s) planning, implementation and data management.	0	No role
		1	The institution did some parts of work
		2	The institution did all or majority of work
4	Are the person(s) identified to perform the activities under this contract involved in the survey(s) planning, implementation and data management?	0	No
		1	Yes
5	If the answer to the question 4. is “yes” please specify what tasks they were involved in.	0	if the answer to 3. is no
		1	The reported tasks are partly relevant
		2	The reported tasks are relevant
The survey			
7	Please state which institution(s) is/are the owner(s) of this survey data.	0	Data owning institution is different than the applying institution
		1	The applying institution is the data owner
8	Country surveyed	0	Country where we have more than 1 dataset already
		1	BMGF priority country where we have maximum 1 survey already
		2	Country with no surveys so far
		3	BMGF priority country with no surveys

Geographical/administrative coverage of the data collection	0	Sub-national
	5	National
Is the survey part of a rolling programme?	0	No
	2	Yes
Language of the dataset	0	Other language
	1	Language spoken by someone in the team
	2	English
Relevant sources	0	No links or links to irrelevant resources
	5	Links to already published dataset
Dietary assessment method	1	24-h dietary recall
	2	24-h weighted record
	Reject	Another method
Data collection start and end date	Reject	Year of assessment \geq 1980
	0	year of assessment 1980-2000
	2	Year of assessment 2000-2010
	4	Year of assessment 2010-2020
Number of rounds of data collection	0	1 round
	1	2 rounds
	2	more than 2 rounds
Repeated dietary recall/record	0	No
	1	yes, on a sub-sample
	2	yes

Survey population	0	one group of special condition (e.g. pregnant women)
	1	More than one group covered
	2	Adult males covered
	3	Elderly covered
Survey population: were there any special selection criteria such as medical conditions, people who eat in the same place, etc.	Reject	if the answer is "yes" and lists no or disqualifying selection criteria
	Accept	if the answer is "no" or if the answer is "yes" but lists irrelevant selection criteria
Total sample size	Reject	<100
	0	100-200
	1	200-500
	2	500-1500
	3	1500-3000
	4	>3000
Number of different food items in the food list	Reject	<50
	Accept	>50
Capture of all foods and beverages consumed within 24 hours	Reject	if the answer is "no" and the answer to the following question lists foods and beverages for which must be captured in the recall
	Accept	if the answer is "yes" or the answer is "no" but the answer to the following question lists foods and beverages for which it can be accepted that they were not captured in the recall
Presence of compulsory variables	Reject	Confirms presence of all the compulsory variables
	Accept	Indicates lack of one or more compulsory variables

Annex 3. Service Provider's Capacity Self-Assessment Form

CAPACITY SELF-ASSESSMENT OF POTENTIAL LoA SERVICE PROVIDERS

(To be filled in by the Service Provider)

1	ELIGIBILITY	YES	NO
1.1	Please confirm that there are no pending legal actions against your organization. If there are, please provide more details in the Comments box below (question 1.7).		
1.2	Does your organization have a bank account in its name?		
1.3	<p>Is the organization a state authority or legally registered with state authorities, or recognized by international treaties as one of the following? If yes, please tick the appropriate answer below.</p> <p>a governmental institution;</p> <p>an inter-governmental institution (e.g. other United Nations agency);</p> <p>a non-governmental organization;</p> <p>a legally registered community/ civil society organization;</p> <p>an academic or public research institution;</p> <p>a charitable foundation.</p> <p>Please provide the legal registration date, place, and registration number in the Comments box below (question 1.7).</p>		
1.4	Do you declare that your organization is NOT currently suspended or debarred by FAO, any other UN organization, the EU or the World Bank? If yes, please provide details in the Comments box below (question 1.7).		
1.5	Do you declare that your organization is not connected in any way to and does not provide support to individuals or entities associated with terrorism, as included in the list maintained by the Security Council Committee established pursuant to its Resolutions 1267 (1999) and 1989 (2011)?		
1.6	<p>Can you please confirm that, to the best of your knowledge, your organization does not have any personal or professional relationships with FAO?</p> <p>If the answer is YES, please provide all relevant details under point 1.7 below. Please note that the disclosure must include, but not be limited to:</p>		

	- ANY current or past employment relationship with FAO of your organization's representatives and employees; - ANY current or past relationship with any FAO staff member (family members, spouses, etc.) of your organization's representatives and employees.		
1.7	Please provide any explanations, comments and qualifications to the answers provided above regarding the eligibility criteria:		
2	GOVERNANCE	YES	NO
2.1	Does your organization have internal statutes and bylaws that govern your policies, procedures, ownership and management?		
2.2	If the answer to the previous question is yes, do the statutes and bylaws foresee that a governing body controls the management?		
2.3	Does the governing body meet on a regular basis and perform oversight functions?		
2.4	Does your organization have statutory reporting requirements (e.g.: on financial results and management actions)?		
2.5	If the answer to the previous question is yes, is your organization in compliance with such requirements for the previous three fiscal years?		
2.6	Does your organization have anti-fraud and corruption policy with clear sanction and rules?		
2.7	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on governance:		
3	ORGANIZATIONAL STRUCTURE AND STAFFING	YES	NO
3.1	Does your organization have a manual with clearly defined policies for transparent and competitive recruitment and personnel management?		
3.2	Are the job descriptions for the staff in your organization clearly defined?		
3.3	Does your organization have professional staff employed on full time basis dedicated to the following areas?		
	Accounting and finance		
	Internal audit		

	Procurement		
	Human Resources		
	Communication		
3.4	Please confirm that your organization is able to provide the required services satisfactorily without recruiting additional resource persons; if not, please specify the expertise that would be outsourced and the activities for which it would be required in the Comments box below (question 3.11).		
3.5	Does the organization have a formal policy for record keeping and document management?		
3.6	Are there structured internal reporting formats and procedures established to facilitate reporting the performance of externally financed activities?		
3.7	Does your organization document its performance through annual or periodic reports which are made public?		
3.8	Does your organization have a documented internal control framework which is distributed and made available to staff and updated periodically?		
3.9	Does the organization have a code of conduct or any other official guidelines regarding ethical behavior and administrative sanctions procedures for employees?		
3.10	Is the organization's staff trained to maintain their basic safety and security during humanitarian field operations?		
3.11	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on organizational structure and staffing:		
4	ACCOUNTING POLICIES AND PROCEDURES	YES	NO
4.1	Does your organization have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?		
4.2	Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?		
4.3	Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?		
4.4	Are the functions of ordering, receiving, accounting for and paying for goods and services segregated?		

4.5	Are bank reconciliations prepared by individuals other than those who make or approve payments?		
4.6	Does your organization have in place controls for the preparation and approval of payroll expenditures?		
4.7	Does your organization have a system for controlling that direct staff salary costs reflect the actual amount of staff time spent on a project?		
4.8	Does your organization have specific controls for authorizing the actions and approving the reimbursement or payment of travel and hospitality costs?		
4.9	Does your organization have specific controls over cash payments?		
4.10	Does your organization have published rates for hospitality expenses?		
4.11	Does your organization take out insurance for health and/or repatriation of the staff working in field locations?		
4.12	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on accounting policies and procedures:		
5.	OPERATIONAL CAPACITY	YES	NO
5.1	Does the organization have at least 3 full-time staff?		
5.2	Does your organization have previous experience in the target area for the requested activities?		
5.3	Does your organization have in-country core resources such that can maintain continuing field presence and basic operations?		
5.4	Do you maintain full-time year-round offices in the area(s) of the proposed operations?		
5.5	Do you have external collaborators residing full time in the area(s) of the proposed operations?		
5.6	Does your organization own and operate in the area vehicles that can provide adequate transport capacity for the required operations?		
5.7	Does your organization own and operate in the area warehouse facilities that can provide adequate storage for the required operations?		
5.8	If the answer to the previous question is yes, do any such required warehouse facilities have adequate physical security?		

5.9	Does your organization own and operate in the area IT equipment and resources that can provide adequate connectivity and electronic support for the required operations?		
5.10	If applicable, does your organization have the necessary training and facilitation skills for providing training to the beneficiaries in the target area(s)?		
5.11	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on operational capacity:		
6.	FINANCIAL REPORTING AND ASSET MANAGEMENT	YES	NO
6.1	Does your organization have established financial reporting procedures that specify what reports are to be prepared, the source system for key reports, the frequency of preparation, what they are to contain and how they are to be used?		
6.2	Are your organization's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please provide the name of the auditor in the Comments box below (question 6.9).		
6.3	Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports over the past three years? If yes, please provide more details in the Comments box below (question 6.9).		
6.4	Does your organization have a computerized financial management system?		
6.5	If the answer to the previous question is yes, can the computerized financial management system produce financial reports on cash-basis accounting?		
6.6	Does your organization have in place a policy and procedures to protect assets from fraud, waste and abuse?		
6.7	Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?		
6.9	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on financial reporting and asset management:		
7.	PROCUREMENT AND CONTRACT ADMINISTRATION	YES	NO
7.1	Does your organization have written procurement policies and procedures?		
7.2	Are exceptions to procurement procedures approved by management and documented?		

7.3	Does your organization have a computerized procurement system with adequate access controls and segregation of duties between entering purchase orders, approval and receiving of goods?		
7.4	Does your organization have a structured procurement unit with defined reporting lines?		
7.5	Do your organization procedures require written or ERP-based authorizations for purchases?		
7.6	Does your organization apply formal guidelines and procedures to identify, monitor and deal with potential conflicts of interest with potential suppliers/procurement agents?		
7.7	Does your organization follow well-defined rules and procedures for sourcing suppliers (e.g.: wide broadcasting of tenders)?		
7.8	Does your organization follow well-defined rules and procedures to ensure a secure and transparent bid and evaluation process?		
7.9	Does your organization have rules and procedures on management / administration of major contracts?		
7.10	Does your organization have specifically designated personnel to monitor expiration of performance securities, warranties, liquidated damages and other risk management instruments?		
7.11	Please provide any explanations, comments and qualifications to the answers provided above regarding the questions on procurement and contract administration:		