



APPLICATION FOR RECOGNITION AS AN HUMANITARIAN PROCUREMENT CENTRE¹

PART I – QUESTIONNAIRE

1 GENERAL INFORMATION ABOUT THE ORGANISATION	
1.1 Official Name:	<i>(answer to question)</i>
1.2 Acronym or short name:	<i>(answer to question)</i>
1.3 Country of establishment:	<i>(answer to question)</i>
1.4 Postal Address:	<i>(answer to question)</i>
1.5 Web-site address:	<i>(answer to question)</i>
1.6 Contact Person for Application process & contact details (including e-mail address):	<i>(answer to question)</i>

¹Any personal data contained in this application form and its supporting documents shall be processed in accordance with Regulation (EC) No 45/2001 of the European Parliament and of the Council on the protection of individuals with regard to the processing of personal data by the EU's institutions and bodies and on the free movement of such data. Such data shall be processed solely in connection with the implementation and follow-up of the application procedure for recognition as a Humanitarian Procurement Centre, without prejudice to the possibility of passing the data to the bodies responsible for inspection and audit in accordance with EU legislation. Any questions or requests for corrections regarding the data submitted in connection with this application form may be addressed to: ECHO-FINANCE-LEGAL-AFFAIRS@ec.europa.eu

2 ORGANISATION				
2.1.Please specify the organisation's legal personality and indicate the authority which registered the organisation.				
<i>(answer to question)</i>				
2.2.Please present your organisation and its field of activity.				
<i>(free text, 1 page)</i>				
2.3.In which country(ies) are based your warehouse facilities, if relevant? Do you have any branch in the field?				
<i>(answer to question)</i>				
2.4.Are you a non for profit organisation?			yes	no
2.5.Please indicate the address of your website.				
<i>http://www.</i>				

3 GOOD GOVERNANCE				
3.1.Do you follow a specific model of internal control standards? (for instance COSO ²)				
<i>(answer to question)</i>				
3.2.Please specify the different institutional and functional structures in your organisation containing the following				
• Core values and/or objectives of your organisation.				
• General overview of the management model, administrative entities, committees and possible field offices.				
• The responsibilities and duties of the board of directors and its policies.				

² COSO refers to guidelines set by the Committee of Sponsoring Organizations (<http://www.coso.org/>).

• The responsibilities and duties of the administrative entities.				
• Identify the stakeholders and their relation with the management.				
<i>(free text 1 page)</i>				
3.3.Do you have a specific code of ethics?	yes		no	
3.4.Do you have a specific anti-fraud and corruption policy?	yes		no	
3.5.Do you have a plan for how a suspected fraud will be investigated? How do you gather and process complaints from personnel and clients? Do you have a "whistle blowing policy"?				
<i>(answer to question)</i>				
3.6.Please specify your risk management methodology (financial and operational). Do you have a procedure to select the organisations that request your services?				
<i>(answer to question)</i>				
3.7.Are key procedures (tender selection process, etc.) identified and formalised? How long is the information kept available?				
<i>(answer to question)</i>				
3.8.Do you have a procedure ensuring segregation of duties?				
<i>(answer to question)</i>				
3.9.How many people give their approval before signing a contract/ executing a purchase and a payment? Are staff position rotated and if yes how often.				
<i>(answer to question)</i>				
3.10.Do you have clear accountability procedures? Are delegation rules defined? At what value does your organisation require written authorisation of senior management for a purchase?				
<i>(answer to question)</i>				

3.11.Are exceptions to procedures documented and sent to management for approval? Are the exceptions periodically analysed and corrective actions taken?				
<i>(answer to question)</i>				
3.12.Do you have an internal audit department?	yes		no	

4 PROCUREMENT				
4.1.Do you have written procurement procedures?	yes		no	
4.2.Do the procurement procedures and templates of contracts integrate reference to the ethical procurement principles stated in the Principles and Procedures applicable to Procurement Contracts ³ and to the non-applicability of the exclusion situations listed in Article 106 of the Financial Regulation ⁴ ?	yes		no	
4.3.Please illustrate your tender procedure specifying the different procurement procedures, related thresholds, and the methodology for the assessment of tenders.				
<i>(free text, 1 page)</i>				
4.4.Do you have a procurement committee?	yes		no	
4.5.How do you proceed in case of conflict of interest?				
<i>(answer to question)</i>				
4.6.How do you secure equal treatment of clients and suppliers and transparency of procedures?				
<i>(answer to question)</i>				
4.7.Who are your main clients?				

³ Text is available at the following link: http://ec.europa.eu/echo/files/partners/humanitarian_aid/fpa/2014/FPA_Principles_Procedures_en.pdf.

⁴ Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002, available at the following link <http://ec.europa.eu/budget/library/biblio/publications/finreg/KV3112815ENC.pdf>.

(answer to question)

5 OPERATIONAL CAPACITY AND SPECIALISATION

5.1.What kind of activities/ services do you provide?

(answer to question)

5.2.Does your organisation maintain stocks of products?

yes

no

5.3.In case your organisation holds stocks:

(for pharmaceutical products and medial devices see below)

• If so, please specify the stocked items

• On what basis do you manage your stocks?

• Describe the stock keeping policy and management tools used.

• How do you control your stocks and how do you carry out stock counts?

• How often are stocks reviewed for obsolescence?

(answer to question)

5.4.What quality assurance procedures do you apply?

(answer to question)

5.5.What are the measures taken to ensure the security of the warehouse?

(answer to question)

5.6.Please explain your Standard Operational Procedures (starting with the processing of orders from clients).

(free text, 1 page)

5.7.Have you concluded framework agreements (FA)/long term agreements (LTA) with suppliers?

yes

no

5.8. In case of having FA/LTA with suppliers, please describe the selection procedure for contract awards and the duration for these.				
<i>(answer to question)</i>				
5.9. Do you apply a pre-qualification system for potential suppliers?	yes		no	
5.10. In case of pre-qualification of suppliers, how do you assess potential suppliers?				
<i>(answer to question)</i>				
5.11. Do you maintain a data base with your suppliers, products and past orders?	yes		no	
5.12. Do you set up a supplier performance report? If so, please specify the process of the evaluation.				
<i>(answer to question)</i>				
5.13. Please provide the key figures (numbers and percentage) concerning the nationality of your suppliers:				
• National/local companies	<i>(numbers and percentage)</i>			
• European companies	<i>(numbers and percentage)</i>			
• Other nationalities, please specify	<i>(numbers and percentage)</i>			
Medical Supplies and Devices				
5.14. Is there a pharmacist in charge of the purchase and storage of pharmaceuticals and medical devices?	yes		no	
5.15. Is your organisation licensed by the national authority of the country of registration as wholesaler of pharmaceuticals products and medical devices?	yes		no	
5.16. If you hold stocks of Medical Supplies and Devices:				
• Please specify the storage conditions.				
<i>(answer to question)</i>				
• Do you have a manual or guidelines for storage of Medical Supplies and Devices?	yes		no	

• How do you ensure proper follow up of use-by dates?				
<i>(answer to question)</i>				
5.17.Do you have specific written procurement procedures for Medical Supplies and Devices? Are your procedures in line with the Principles and Procedures applicable to Procurement Contracts?	yes		no	
5.18.What quality assurance procedures are in place for Medical Supplies and Devices?				
<i>(answer to question)</i>				
5.19.Please specify the assessment procedure of prequalification of suppliers. Does it comply with WHO standards? How do you proceed with generic medicines?				
<i>(answer to question)</i>				
5.20.Do you verify the existence of a marketing authorisation of the medical products in the country it will be delivered?	yes		no	
Food Procurement				
5.21.Do you have specific written procurement procedures for food?				
5.22.What quality assurance procedures are in place for food items? How do you ensure proper storage condition for perishables as well as proper management of the use-by dates?				
<i>(answer to question)</i>				
5.23.Do you use the services of a certification agency for price, quality, quantity and phytosanitary control?	yes		no	
6 FINANCIAL CAPACITY				
6.1.Are your Organisation's annual statutory accounts certified by professional external auditor?	yes		no	
6.2.Please describe your accounting standards, and accounting systems (general accounting and cost accounting).				
<i>(answer to question)</i>				

6.3.What kind of general and cost accounting software do you use? How do you prevent alteration by non authorised personnel?				
<i>(answer to question)</i>				
6.4.Do you have an internal accounting and financial manual?	yes		no	
6.5.Management of accounting system: what technical capacity is available in the organisation for handling the accounting transactions (full time accountants, accounts management subcontracted, etc.)				
<i>(answer to question)</i>				
6.6.Fallback network guarantee: Is the organisation integral part of a larger organisation/family/network from which they get unconditional support? If yes, please indicate the name and the type of support (organisational, financial, etc.).				
<i>(answer to question)</i>				
6.7.Does your organisation have internal rules regarding the amount of reserves which must be maintained?				
<i>(answer to question)</i>				
6.8.How often is the analysis and reconciliation of accounts formally reviewed by management?				
<i>(answer to question)</i>				
6.9.Does your organisation prepares formal cash flow projections and how frequently?				
<i>(answer to question)</i>				
6.10.How often does your organisation have a formal bad debt review?				
<i>(answer to question)</i>				
6.11.Do you have delegation rules of the financial responsibilities defined? If yes, please specify them.				
<i>(answer to question)</i>				
6.12. Financial data: please fill in the amount of your organisation's following data for last year				

a) turnover (Total annual operational income in EUR, excluding movements in provisions/depreciation)	<i>answer</i>
b) percentage of your organisation's income from (a) the Commission as a whole and (b) DG ECHO alone	<i>answer</i>
c) net income (Result)	<i>answer</i>
d) net equity (Equity and reserves, excluding for the calculation restricted funds, to be considered as current liabilities for the purpose of analysis, and designated funds, to be considered as long-term provision, when relevant.)	<i>answer</i>
e) short term accounts receivable excluding inventory	<i>answer</i>
f) inventory	<i>answer</i>
g) current liabilities (including restricted funds, if relevant)	<i>answer</i>
h) loans (long term/ short term)	<i>answer</i>
6.13. Please specify your cost accounting system and pricing policy. (costs, administrative fees, overheads) How are the sales prices calculated? (concrete example)	
<i>(answer to question)</i>	
6.14. Please describe the followed procedure to deal with financial surpluses. How are the bonuses received from suppliers taken into account when establishing the sales price?	
<i>(answer to question)</i>	

7 ADMINISTRATIVE CAPACITY
7.1. How many permanent staff does your organisation have and how are they assigned to the different administrative entities/departments?
<i>(answer to question)</i>
7.2. How many temporary staff does your organisation have and how are they assigned to the different administrative entities/departments? (e.g.

trainees, volunteers,...)				
<i>(answer to question)</i>				
7.3.Are all staff given written employment contracts?				
<i>(answer to question)</i>				
7.4.Please explain the recruitment procedure.				
<i>(answer to question)</i>				
7.5.Do you establish individual job descriptions and task assignments for your staff?	yes		no	
7.6.How are staff appraised?				
<i>(answer to question)</i>				
7.7.Do you check references of all staff?	yes		no	
7.8.How are salary levels approved?				
<i>(answer to question)</i>				
7.9.For practical reasons, DG ECHO applies a restricted working language policy (English and French) in order to speed up the procedure for the assessment and implementation of humanitarian operations. Do you accept to provide translation in one of these languages of all requested documents?	yes		no	

8 RIGHT OF ACCESS
8.1.Do you give the European Commission, or persons mandated by the European Commission, including the European Anti-Fraud Office (OLAF), and the Court of Auditors the right to exercise their powers of control in accordance with the relevant regulatory provisions, on documents and on the spot?
<i>(answer to question)</i>

Questionnaire established by	<i>(name)</i>
on behalf of	<i>(name of the organisation)</i>
Date:	
Signature:	

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PART II – SUPPORTING DOCUMENTS

For practical reasons, DG ECHO applies a restricted working policy (English and French) in order to speed up the procedure for the assessment and implementation of humanitarian operations. Therefore the documents listed below should be provided in English or French. Please note that the translation do not have to be certified.

A. LIST OF MANDATORY DOCUMENTS

Document	Check
1. Completed questionnaire	
2. Certified Copy of the act of legal registration with the national authorities or act of incorporation	
3. Statute/ bylaws of your organisation.	
4. Free text for the presentation of your organisation and its activities	

5. Organisation chart covering all administrative (sub-)entities of headquarters and field offices.	
6. Up-to-date list of Directors/ Management Board	
7. Annual Activity Reports for the three previous calendar years.	
8. Annual accounts including balance sheet, income statements and notes to the accounts, certified by a professional external auditor covering the previous 2 calendar or financial years.	
9. Manual or guidelines of the organisation's procurement procedures	
10. Example of an open tender procedure launched by the organisation, or standard open tender dossier established by the organisation	
11. Link for website	
12. Up-to-date list of services and products	
13. Up-to-date list of all the organisations/institutions that have used the services of the organisation during the last twelve months.	
14. Up-to-date list of the 20 most important suppliers	
15. Standard contract with suppliers	
16. Manual or guidelines for storage of pharmaceutical products and medical devices	
17. Copy of University degree and the licence or equivalent of the pharmacist(s).	
18. Specific procurement guidelines or manual for pharmaceutical products and medical devices	
19. Specific procurement guidelines or manual for food	
20. Free text of accounting standards and accounting system	

B. LIST OF FURTHER COMPULSORY DOCUMENTS

Documents	Check
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21. Up-to-date list of field offices	
22. Manual or guidelines of the organisation's internal and external control and audit procedures	
23. Internal audit reports of the previous 2 financial years	
24. Code of conduct/ ethics	
25. Anti-fraud and corruption guidelines	
26. Investigation plan of fraud and corruption/ whistle blowing policy	
27. Catalogue of stocked items	
28. Manual or guidelines for stock management	
29. Manual or guidelines of pre-qualification procedure	
30. Up-to-date list of all suppliers pre-qualified by the organisation	
31. Manual or guidelines for the performance evaluation of suppliers	
32. Up-to-date list of all concluded Framework Agreements/ Long Term Agreements in force	
33. Manual or guidelines for the procedure of awarding Framework Agreements/ Long Term Agreements	
34. Example of a Framework Agreements/ Long Term Agreements	
35. Copy of contract with certification agencies	
36. List of all certifications received from national and/or international authorities/organisations, if applicable, together with proof of certification.	
37. Manual or guidelines of the organisation's accounting and financial procedures	
38. Manual or guidelines of administrative procedures	
39. Manual or guidelines of recruitment	

