



CHECKLIST 1: SELF-ASSESSMENT CHECKLIST

ADB Loan/Grant No.	
Project Name	
Prepared By	
Date	
Reviewed/Noted By	
Date	

Guidance:

Project management provides a framework to help accomplish goals. Initiating, planning, executing, monitoring/controlling and closing out every project requires knowledge and expertise on how the accountable offices are performing. The desired output will more likely be achieved with appropriate internal controls in place and trained key project staff.

The purpose of this checklist is to assist the executing agency, implementing agency, project management unit, and/or project implementation unit, as applicable, assess project management capabilities, including staffing adequacy.

Ideally, this checklist should be accomplished by the key project staff of the executing agency, implementing agency or the project management unit before any procurement takes place and continuously updated whenever there are changes in procedures, key personnel or reorganization.

No.	Questions	Y/N/NA	Remarks/For Action
A. Control Environment			
1	Do we have an organizational chart in relation to ADB project management?		
	<ul style="list-style-type: none"> Is the organization structure in place based on the implementation arrangements specified in the Loan/Financing Agreement? 		
	<ul style="list-style-type: none"> Are roles and responsibilities of each staff assigned to the ADB project made clear to everyone through documented job descriptions and/or adequate staff orientation? 		
	<ul style="list-style-type: none"> Do personnel assigned to this ADB project all work full-time for the project? 		
	<ul style="list-style-type: none"> Are there unfilled positions in regard to ADB project 		

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	management?		
2	Do we have a project procedures manual or documented instructions for staff handling the project to follow?		
	<ul style="list-style-type: none"> Are the key processes for procurement, including contract award, financial management, and contract management sufficiently and clearly described? 		
3	Do we have adequate project records management procedures?		
	<ul style="list-style-type: none"> Do we store/file original and photocopies of project source documents for easy retrieval? 		Document which office (EA, IA, PMU, PIU) maintains procurement, disbursements, certificates of inspection, acceptance, completion, general communication files, progress reports and other contract management documents.
4	Do we maintain a list of names (positions) of authorized signatories and their related specimen signatures to withdrawal applications as well as interim progress payments, certificates of inspection, acceptance and completion?		
	<ul style="list-style-type: none"> Do we specify the level of required approving authority for payment thresholds? 		
5	Do we have qualified and experienced engineers to supervise and inspect the construction works?		
	<ul style="list-style-type: none"> Do our engineers periodically inspect project sites? 		Indicate how often engineers inspect project sites.
	<ul style="list-style-type: none"> Do we prepare reports during site inspection? 		

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6	Do we maintain an asset register for goods purchased out of the Project funds?		
	<ul style="list-style-type: none"> Does the asset register contain adequate information (e.g., description of goods, date purchased, amount, custodian, location/ disposition, etc.)? 		
	<ul style="list-style-type: none"> Do we conduct periodic inventory of goods purchased out of the Project funds and update the asset register, as applicable? 		Indicate who conducts the periodic inventory.
	<ul style="list-style-type: none"> Are physical inventories of goods documented, signed and noted by appropriate authority? 		Indicate the following: <ul style="list-style-type: none"> date of the latest inventory taken; name of person who conducted the inventory name of person who noted the inventory document
B. Procurement Process			
7	Do we have the latest ADB (a) Procurement Guidelines, (b) Guidelines on Use of Consultants, and (c) Evaluation Guide to assist the evaluation committee?		
	<ul style="list-style-type: none"> Did key project staff, specifically those handling project procurement receive training on ADB procurement process? 		Indicate date(s) of ADB trainings/workshops and names of project staff who attended.
8	Do we have a copy of the national procurement guidelines (in case we apply the same for procurement)?		
9	Are bids received prior to deadline securely kept?		
	<ul style="list-style-type: none"> Do we have a written approval and recording system for accessing unopened bids? 		Indicate who has access to unopened bids.

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10	<p>Do we have a bid evaluation committee (BEC) formed solely for the entire duration of the procurement process of this project?</p> <ul style="list-style-type: none"> • Is the BEC formed on a per procurement basis? • Has the BEC been trained to evaluate bids for ADB-financed contracts? • Does the BEC include a member with accounting/finance background to appropriately evaluate the financial requirements of the bids? • Do we have consultants to assist the BEC evaluate the bids and prepare bid evaluation reports? 		<p>Indicate the composition of the bid evaluation committee</p> <p>Indicate the composition of the bid evaluation committee</p>
C. Due Process System			
11	Do we have an ethical code of conduct?		
12	Are we subject to possible penalties from a higher authority for offences (e.g., mis-procurement, deviation from guidelines, misappropriation of funds, diversion of funds, or use of project funds for non-project-related activities)?		
13	Do we have written instructions for handling internal and/or external complaints including unethical behavior?		
14	Do we have a system to record associations and related parties to staff (e.g., potential conflict of interest)?		In case of existing association and relationship, indicate how these are handled.

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D. Financial Management and Accounting System			
15	Is the composition of the project's financial management team adequate (e.g., with full-time qualified accountant)?		
16	Do we use accrual basis of accounting in recording transactions?		If not, indicate type of accounting system used (e.g., cash).
	<ul style="list-style-type: none"> • Do we have a back-up of our financial records? 		Indicate back-up procedures in place.
	<ul style="list-style-type: none"> • Do we have access controls in our financial records to ensure this is free from manipulation? 		Indicate access controls in place.
17	Do we have the latest ADB Loans Disbursement Handbook?		
	<ul style="list-style-type: none"> • Did key project staff, specifically handling project disbursements receive training on ADB disbursement processes? 		Indicate date(s) of ADB trainings/workshops and names of project staff who attended.
17	Do we have adequate separation of duties (e.g., staff who accounts for invoices does not approve invoices, pay contractors, or perform bank reconciliations)?		Indicate who (i) accounts for invoices received, (ii) approves checks for payment, (iii) issues checks, and (iv) performs bank reconciliations.
18	Do we require certifications to confirm delivery of goods/services or certificate of inspection to certify physical progress of works before processing payments?		
	<ul style="list-style-type: none"> • Do we require dual authorization for payments? 		Indicate authorities required to issue payments.
	<ul style="list-style-type: none"> • Do we pay contractors/suppliers through checks? 		If not, indicate payment mode used.
	<ul style="list-style-type: none"> • Are unused checks safely kept? 		Indicate custodian of unused checks.

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19	Do we periodically perform bank reconciliation of imprest account(s)?		
	<ul style="list-style-type: none"> Do we resolve outstanding reconciling items in the reconciliation statement in a timely manner? 		Indicate "age" of outstanding reconciling items and reasons for not resolving them.
20	Do we reconcile our disbursements records with ADB's disbursement reports (in LFIS) periodically?		
	<ul style="list-style-type: none"> Are there outstanding reconciling items? 		Note "age" of outstanding reconciling items and reasons for not resolving them.
21	Do we have recommendations in the audited project accounts?		State year of audited project accounts
	<ul style="list-style-type: none"> Have we implemented all the recommendations in the audited project accounts? 		List recommendations not yet implemented and indicate plans to implement them.
	<ul style="list-style-type: none"> Did we document the actions taken to implement the recommendations? 		