**Appendix C – NUPAS Report Table**

**Name of Organization: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Proposed Activity/Amount: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Survey Conducted by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

| **No.** | **Criterion** | **Average score** |
| --- | --- | --- |
| 1 | Legal Structure |  |
| 2 | Financial Management and Internal Control Systems |  |
| 3 | Procurement Systems |  |
| 4 | Human Resources Systems |  |
| 5 | Project Performance Management |  |
| 6 | Organization Sustainability |  |
|  | **Overall Score** |  |

1. **Legal Structure**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 1.1 Local Organization Definition |  |  |
| 1.2 Legal Requirements |  |  |
| 1.3 Organizational Structure |  |  |
| 1.4 Governance |  |  |
| 1.5 Control Environment |  |  |

1. **Financial Management and Internal Control Systems**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 2.1 Banking Relationship and Accounts |  |  |
| 2.2 Accounting/Bookkeeping system |  |  |
| 2.3 Chart of Accounts, General Ledger and Financial Statements |  |  |
| 2.4 Variance Analysis (Budget to Actual Costs) |  |  |
| 2.5 Allowable and Unallowable Cost |  |  |
| 2.6 Direct and Indirect Costs |  |  |
| 2.7 Payments – Segregation of Duties |  |  |
| 2.8 Accounting Cycle |  |  |
| 2.9 Financial Records Management |  |  |
| 2.10 Sources of Funding |  |  |
| 2.11 Financial Reporting |  |  |
| 2.12 Audit and Review of Financial Statements |  |  |
| 2.13 Financial Management Personnel |  |  |

1. **Procurement Systems**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 3.1 Procurement Policies, Procedures and Practices |  |  |
| 3.2 Compliance with Policies and Procedures – Reasonableness of Price |  |  |
| 3.3 Procurement and Sub-awards |  |  |

1. **Human Resources Systems**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 4.1 Overall HR Policies and Procedures |  |  |
| 4.2 Staff Time Management |  |  |
| 4.3 Payroll System |  |  |
| 4.4 Travel Policies and Procedures |  |  |

1. **Project Performance Management**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 5.1 Technical Evaluation Criteria |  |  |
| 5.2 Project Management Capacity |  |  |

1. **Organizational Sustainability**

| **Risk Areas Reviewed** | **Observations and Findings** | **Score** |
| --- | --- | --- |
| 6.1 Cash Flow Management |  |  |
| 6.2 Absorptive Capacity |  |  |