

SUPPLY/LOGISTICS ASSESSMENT CHECKLISTS

TABLE OF CONTENTS

INTRODUCTION:	3
1 ASSESSMENT:	3
1.1 Government Counterpart:	3
1.2 Partners:	4
1.3 UNICEF:.....	4
1.4 Private Sector:	4
1.5 Infrastructure.....	4
1.5.1 Road Transport Assessment	5
1.5.2 Rail Transport Assessment	6
1.5.3 Airfield Assessment	7
1.5.4 Seaport Assessment	7
1.5.5 River port Assessment	8
2 PLANNING:	9
2.1 Project Plans of Action/Work plans.....	9
2.2 Supply Planning	9
2.3 Distribution Plan.....	10
2.4 Emergency Response Plan	10
3 RECEIPT of SUPPLIES	11
3.1 Port/Airport Management.....	11
3.2 Customs.....	11
4 WAREHOUSING:	12
4.1 Warehouse Selection.....	12
4.2 Warehouse operation.....	13
5 TRANSPORT/DISTRIBUTION:	13
5.1 Government Counterpart/Third Party Provider	14
5.2 What to look for in a freight forwarder.....	14
6 MONITORING:	15
7 EVALUATION:	16

INTRODUCTION:

The primary criteria considered by country offices for UNICEF's involvement in in-country logistics (ICL), according to a survey completed in May 2003, is the effective and efficient delivery of necessary supplies to children when the government does not have the capacity to do so.

A supply/logistics infrastructure assessment (SLIA) and a supply/logistics counterpart assessment (SLCA) are comprehensive exercises.

a) SLIAs provide a fundamental understanding of a country or region's infrastructure. Existing reports for 83 countries are available from WFP who have shared their template for this report with UNICEF.

b) SLCAs provide a general overview of supply/logistic resources and competencies of government and third-party providers (including international organizations, NGOs and private sector) and UNICEF.

A supply/logistics assessment checklist is a collection of different checklists covering the whole supply chain from assessment to supply tracking and monitoring. It is a tool to help programme, supply and logistics officers to identify what information is already available and what information is lacking in the process of undertaking either an SLIA or SLCA.

A participatory, systematic and transparent approach by programme, supply and logistics officers to these exercises is essential as the quality of a supply/logistics capacity assessments determines the success of all subsequent steps – planning, implementation, monitoring and evaluation – of an in-country logistics (ICL) system.

Value-added input to the supply chain contributing to programme supplies reaching targeted children - right quality, right time, right place and right cost - is the objective of supply/logistics assessments.

1 ASSESSMENT:

1.1 Government Counterpart:

- Has the Government allocated/budgeted funds for in-country logistics – goods receipt, warehousing, inland transport and end user monitoring?
- What capabilities does the Government have for ICL? Refer to Checklists:
- How well does the Government plan and manage ICL?
- Which Ministry is responsible for tax and duty exemption?
- Who are the key people in the Ministry?
- What routines/procedures are followed for tax and duty exemptions in the Ministry?
- What is the general processing time?
- What causes delays?
- What are the potential bottlenecks?

1.2 Partners:

- What are the local/international NGO's and UN agencies operating in the country?
- What are their priorities?
- What are their capabilities?
- In what areas do we want to collaborate?
- Which organizations would be suitable partners in the areas identified?
- How do we want to collaborate? Agencies identify their specific role and niche and consider what others are doing or are planning to do
- Do we have collaborative agreements with them?
- Who are our contacts in these organizations?
- Who is responsible for coordinating partner inputs?

1.3 UNICEF:

- What available in-house staff does the country office have to undertake ICL?
- What roles/responsibilities does country office want to assume for ICL? Where can we provide value-added input?
- Does in-house staff need additional training for ICL?

1.4 Private Sector:

- What are the existing market conditions? Is market regulated?
- Has a market evaluation been undertaken of companies for ICL?
- Is there a market certification system (e.g. ISO2000)?
- Are there companies used by other UN agencies where Country Office can avail of favourable terms?
- What key performance indicators are used to measure private sector performance?

1.5 Infrastructure

- Geographical area and location – country, bordering states and natural features
- Divisions within the geographical area – states, provinces, districts
- Type of operating conditions – security, stability, climate, main socio-economic indicators, basic infrastructure
- Population – numbers, distribution, density

1.5.1 Road Transport Assessment

TRANSPORT ROUTES

- What routes are available? At what points are transshipments necessary? Have particular routes been designated UN/ humanitarian assistance routes?
- What particular constraints are there on each route: weight limits on damaged and other bridges – ferry capacities – restricted depths (rivers) – adverse weather (aircraft operations)?
- What was the volume of traffic previously? What is present capacity? Will emergency traffic be in addition to or in place of normal traffic?
- What seasonal/weather factors must be considered? Will any routes become impassable? During what periods?
- Are there significant security risks on any of the routes? Are there movement restrictions after daylight hours? What means of communication is available?
- What type and size of cart/truck/wagon/boat/aircraft can be used on each route? How long do round trips take, including loading and unloading? What is the cost of each round trip?
- Provide a map and or sketch, indicating major routes, border points, railheads, town-names, bridge types, locations and capacities, overhangs, steep hills (%), river crossing and or ferries, tolls, etc.;
- What bottlenecks exist? What possibilities are there for re-opening routes and/or increasing movement capacities? What materials, equipment, expertise would be required? What would it cost? How long would it take?

AVAILABLE TRANSPORT

- What trucks are available in running order? How many of each type/capacity? Is refrigerated transport available? Who controls them? What is the cost?
- What quantities of different types of cargo can each unit carry? Where? Who owns/controls them?
- What other demands will there be for the use of these units? What can realistically be expected to be available for the programme?
- What additional units are on hand but out-of-service? What parts and expertise would be needed to repair them? What cost? How long?
- Which types of light support vehicles are best suitable for staff transport¹, and are such vehicles locally available for rent. Give the approximate rates².

FUEL AND MAINTENANCE

- Are supplies of fuel available at all locations? What stocks of petrol and diesel are held? Is replenishment assured? What is the cost? What is the payment method, cash, currency, etc?

¹ 4WD, hi-clearance, pick-up, etc.

² Day, week and month.

- Where are fuel depots? How could supplies be obtained directly, transported and stored in field locations?
- What maintenance facilities exist? For what types of vehicles? What range of spare parts is available?

1.5.2 Rail Transport Assessment

- Give a brief description of the general rail cargo operations. Describe whether the movement of cargo via rail is of any significance. Provide a map/sketch of rail network and terminals;
- What rail wagons and locomotives are available in running order? How many of each type/capacity? Is refrigerated transport available? Who controls them? What is the cost?
- What quantities of different types of cargo can each unit carry? Where? Who owns/controls them?
- What other demands will there be for the use of these units? What can realistically be expected to be available for the programme?
- What additional units are on hand but out-of-service? What parts and expertise would be needed to repair them? What cost? How long?
- Describe load and discharge operations of rail transport; Indicate off-days³ and indicate whether or not handling equipment operates on those days;
- Describe whether inland terminals have container-handling facilities, and describe the condition;
- List any other equipment – in working condition – available at the rail terminal. If not available, advise what equipment would facilitate and speed up discharge;
- List storage facilities and their condition at the rail terminal site?
- List any fees and documentation required;
- Availability of manual labour; size of the labour force; working hours; shifts and reliability;
- Links to other inland transport facilities; waterways and access roads on or near the platform;
- State of repair of facilities and potential to increase capacity;
- Describe any potential security matters, concerns, or potential bottlenecks;
- Operational constraints; terminal congestion; weather conditions; seasonal congestion;
- Provide any other suggestions, advantages, disadvantages and comments with regard to rail cargo operations

³ i.e. weekends, holidays, Ramadan, frequent strikes, etc.

1.5.3 Airfield Assessment

- Give a brief description of the airfield, size, location, average monthly activity, and potential weather constraints⁴. Provide map/sketch with coordinates;
- Name of the main airport: Airport code (i.e. Copenhagen = CPH) if international;
- Provide details on runway length, width, surface, orientation;
- Details on availability of: customs; immigration; cargo storage facilities; airport security;
- Details on airport operating hours; Potential weather conditions;
- Passenger disembarkation and embarkation and cargo receipt procedures;
- Location and height of obstructions along the runway; Location and height of obstructions in the approach and/or departure zone.
- Provide taxi and parking data⁵; Describe ground movement and taxi access to fuel, maintenance and unloading areas; Describe available navigation aids and support;
- Provide information regarding the aircraft types which can be operated from the airfield, number of aircraft (by type) which can be parked on site and level of sustainable activity;
- Describe the general security situation at the airport, including perimeter strength, location, presence of guards, baggage check/controls, customs and alert procedures⁶;
- Confirm and describe availability of the following facilities: Base Operating Room or Building; Control Tower; Weather facilities; Cargo Terminal; Cargo Handling Equipment; Loading Ramps; Fire Protection Equipment; Passenger Terminal; Amenities; Passenger/Cargo Transport to the airfield; Aircraft Support services; Latrine and Disposal Servicing; De-Icing Equipment; Ground Power and Starter Units; Fuelling Capacity;
- Describe the level of weather forecasting support provided and information flow;
- List secondary/inland airports. List name, runway length, width, surface and orientation. Indicate location on a map;
- Availability of manual labour; size of the labour force; working hours; shifts and reliability;
- Airport documentation requirements and procedures for clearing shipments;
- Any additional comments related to air cargo/passenger transport and handling.

1.5.4 Seaport Assessment

- Briefly describe the main port location, provide map and/or sketch;
- Number of quays/berths, their maximum length and depth;

⁴ i.e. snow, ice, fog, etc.

⁵ General dimensions, surface strength, lighting, tie down facilities and markings.

⁶ Arrival/departure area inside and outside cargo terminal.

- Number, size and type of vessels which can be handled; average monthly activity;
- Indicate vessel waiting time and discharge rates for bulk and containerized cargo.
- Note difference for discharge into port warehouse, trucks, rail-wagons or barges for further transport;
- Indicate port cargo handling equipment, numbers and capacity⁷;
- Indicate the availability of container handling equipment and state the handling rate for resp. 20' and 40' CU's? Give a price indication of each type of units 20' and 40';
- Indicate the port costs for bulk cargo vessels⁸
- Facilities for RO/RO ships (roll on, roll off of vehicles);
- Availability of transit storage facilities;
- Availability of manual labour; size of the labour force; working hours; shifts and reliability;
- Port documentation requirements and procedures for clearing shipments;
- Operational constraints; port congestion; weather conditions; seasonal congestion;
- Inland transport facilities; rail lines on or near the quay; access roads; barges for inland waterways; loading equipment;
- State of repair of facilities and potential to increase capacity;
- Provide any additional comments with regard to the port operations.

1.5.5 River port Assessment

- Give a brief description of the general river cargo operations. Describe whether the movement of cargo via river transport is of any significance. Provide a map/sketch of river location and draught;
- List and describe major river transport corridors. Indicate routes, permissible draught, length (m), trans-loading points and locations (provide map);
- What barges, tugs, boats, etc. are available in running order? How many of each type/capacity? Is refrigerated transport available? Who controls them? What is the cost?
- What quantities of different types of cargo can each unit carry? Where? Who owns/controls them?
- What other demands will there be for the use of these units? What can realistically be expected to be available for the programme?
- What additional units are on hand but out-of-service? What parts and expertise would be needed to repair them? What cost? How long?

⁷ i.e. shore cranes, mobile cranes and available storage).

⁸ i.e. for 10,000mt, 17,000mt, 22,000mt and 30,000 mt.

- Describe load and discharge operations of river transport; Indicate off-days⁹ and indicate whether or not ports operate on those days;
- Describe whether inland ports have container-handling facilities, and describe the condition;
- List any other port equipment – in working condition – available at the river port. If not available, advise what equipment would facilitate and speed up discharge;
- List storage facilities and their condition at the river port site?
- List any fees and documentation required;
- Availability of manual labour; size of the labour force; working hours; shifts and reliability;
- Links to other inland transport facilities; rail lines on or near the quay;
- State of repair of facilities and potential to increase capacity;
- Describe any potential security matters, concerns, or potential bottlenecks;
- Operational constraints; port congestion; weather conditions; seasonal congestion;
- Provide any other suggestions, advantages, disadvantages and comments with regard to river port operations.

2 PLANNING:

Use the following list of areas that should be assessed, and check off each when the necessary information has been gathered.

2.1 Project Plans of Action/Work plans

- What additional resources - staffing, facilities, and services - for ICL are required as project inputs?
- In what areas can we share resources wrt staffing, facilities and services for ICL with our partners?
- What resources can we jointly source with/through partners?
- What are the cost estimates for additional ICL staffing, facilities, services?
- When and where is additional ICL staff, facilities, services required?
- Who is responsible for coordinating partner inputs and accountabilities wrt ICL resource requirements?

2.2 Supply Planning

- Have top 10-20 products that determine success of country programme been identified?

⁹ i.e. weekends, holidays, Ramadan, frequent strikes, etc.

- Does UNICEF and/or UN family of partners have an updated supplier database that all can access?
- What kinds of common agreements (e.g. LTA) does UN family have with third party providers that can be used for purchasing goods and services at favourable terms?
- Does the supply plan have an accompanying distribution plan?

2.3 Distribution Plan

- What types of supplies are being transported?
- What quantities of supplies are being transported?
- Where are supplies being transported?
- How are supplies being transported?
- When are supplies being transported?
- When do supplies have to be in end destination?

2.4 Emergency Response Plan

- Anticipated supplies and equipment
 - What kinds of supplies and equipment are required? Quantity/Location/Timeframe
 - What supplies and equipment are readily available? Quantity/Location/Timeframe
 - What supplies/services need to be sourced? Quantity/Location/Timeframe
 - Have emergency stockpiles been pre-positioned?
 - Have key supplies been ordered?
 - How much will supplies/services cost?
- Logistics
 - What is the current logistics infrastructure in the country?
Assessment of existing national resources, including national policies, programmes, services and strategic actors.
 - Have key partners been mobilized?
 - Who will deliver supplies/equipment?
 - How will supplies/equipment be delivered?
 - What impact would emergency situation have on the transporting of supplies?
 - What alternative corridors/routes can be used for transporting supplies?
 - What alternative transport can be used?
- Staffing and Training
 - What are the ICL staffing requirements?
 - Where will ICL staff come from:
 - What additional ICL training, if any, is required for staff? E.g. Training of government officials, partners and resource persons/organizations on collaborative working during emergency and relief
- Other Resource Requirements

- Who will provide required supplies/services? Govt/UNICEF/Third Party
- Identify key relevant components of the regular programme of cooperation and resource partners in support of an eventual emergency.
- What collaborative agreements are in place with government authorities (MPOs), other international organizations like WFP (global MPOs, NGOs (local MOUs), Community leaders and field level resource persons and organizations (Letters of Agreement)
- Who will monitor supply/service delivery?
- Framework of communications established to ensure that parties are fully informed of emergency situations and actions taken.
- Review model of local agreements with NGOs and adapt it to emergency context, in collaboration with EMOPS and DFAM
- Work towards overall framework agreement between key actors highlighting respective and complementary commitments.

3 RECEIPT OF SUPPLIES

3.1 Port/Airport Management

- Who is the government authority in-charge of port/airport management?
- Who are the key contact persons? What are their coordinates?
- What are the necessary forms and accompanying documentation that have to be completed before vessel arrives?
- To whom and when do necessary forms and documentation have to be submitted?
- What charges must be paid at port/airport?
- What are the local procedures and customs that will help avoid costly delays and storage charges?

3.2 Customs

- Who is the government authority in-charge of customs clearance? tax and duty exemptions?
- Who are the key contact persons? What are their coordinates?
- What are the necessary forms and accompanying documentation that have to be completed before vessel arrives?

Exemption certificate, if any

Original Bill of Lading/Airway Bill

Proforma Invoice/Packing List from Supply Division, Copenhagen and/or

Commercial Invoice from Supplier

Packing List

Pre-Inspection Certificate (optional)

The above-mentioned documents are minimum requirements. Please note that required documents may vary from country to country.

- What type of tax and duty exemption is requested? Blanket exemptions are preferred, but a large number of governments are not willing to provide these for fear of misuse. Therefore, it is increasingly the norm for Governments to issue individual shipment exemptions.
- By when do necessary forms and documentation have to be submitted?
- Where are copies of necessary forms and documents filed? Maintenance of delivery/receipt registers
- What charges/fees must be paid at port/airport?
- What are the local cultural and business practices, as well as legal implications that impact speedy customs clearance, the avoidance of demurrage charges, and in the worst case scenario the auctioning of UNICEF supplies>
- If, for whatever reason, demurrage is charged what is the procedure for applying for the waiving of these charges?

4 WAREHOUSING:

Use the following list of areas that should be assessed, and check off each when the necessary information has been gathered

4.1 Warehouse Selection

Determine availability of warehouse space:

- Government stores
- Others that may be requisitioned, rented or improvised
- Shared with other agencies/organisations

Determine suitability of these warehouses:

- Sufficient storage capacity available
- What quantities of different items can the warehouses hold
- Proximity to transport infrastructure/routes
- Availability over a specific period of time
- Determine cost per square meter
- Suitable access and egress for trucks
- Truck parking area
- Surrounding social environment – security

Check the adequacy of each of the warehouses' construction:

- Ventilation
- Lighting
- Hard floor
- Fireproofing
- Loading docks
- Condition of roof (check during rain or at least during daytime)
- Risk of flooding

Check availability of facilities at each warehouse location:

- Electricity
- Water
- Telecommunications
- Generator
- Toilet

Check condition of warehouse:

- Stacking methods
- Spacing system between rows
- Cleanliness
- Quality of facilities

Check whether loading/unloading equipment is available:

- Pallets
- Pallet trucks
- Forklifts and fuel for them
- Ramps
- Limits on the size and weight of individual items able to be handled
- Rate that cargo can be received and handled

Check that adequate security exists:

- Telecommunications
- Lockable doors
- Window guards
- Separate secure cage for high value items
- Perimeter fence
- Gate(s)
- External lighting
- Security guards

Check if cold storage facilities are available

- Freezer/refrigerator
- Capacity
- Condition

What arrangements could be made to improvise other/additional storage?

- What would it cost?
- How long would it take
- What alternatives are there?
- What particular constraints are there on capacity and operations and what improvements could be made?

4.2 Warehouse operation

- Is warehouse sufficiently staffed?
- How qualified is the staff?
- Does staff require additional training?
- What are the accounting and record keeping procedures
- Bin/stock cards on piles (they must match the warehouse register)
- Physical inventory checks at random intervals
- Use of waybills
- Commodity handling system
- Prompt disposal of damaged goods
- First in/first out system

5 TRANSPORT/DISTRIBUTION:

Use the following list of areas that should be assessed, and check off each when the necessary information has been gathered.

5.1 Government Counterpart/Third Party Provider

- What transport services does the government provide?
- Where does the government provide transport services – national, regional, provincial, state, district, urban, rural?
- Which government ministry/ies is responsible for transport/distribution in these areas?
- What does the government budget for transport of supplies?
Vehicles, fuel, maintenance, staffing, training, insurance, security
- What does the government spend for transport of supplies?
Vehicles, fuel, maintenance, staffing, training, insurance, security
- What is the government's vehicle inventory? Type, quantity, quality, location, major use, spare parts, safety equipment
- Which division is responsible for service provision, recruitment, training and management of transport users and maintainers, operation, authorization, maintenance, budgets, supplies and procurement of transport? How many people are employed?
- What government policies, procedures, guidelines are there with respect to transport?
- What transport management systems are used by the government? Processes, systems, forms, reports, statistics

5.2 What to look for in a freight forwarder

Because of the complexities involved in the receipt, Customs clearance and inland distribution of international consignments, particularly those arriving by sea, the UNICEF Supply Unit may choose to contract with a forwarding agent to handle these matters. This checklist may be of use in assessing potential freight forwarders prior to the tendering process. Be sure to also visit potential forwarders to personally view their offices, fleet, and warehouses.

Optimally, the freight forwarder will have these characteristics:

- Licensed by the government to conduct Customs clearance formalities and up-to-date on changes in Customs requirements. Make sure to obtain a copy of the following documents:
 - Customs clearing license
 - Transit license (East Africa – C65)
 - Bond coverage
 - 3rd part liability
 - Insurance certificate
 - Enlisted with the local Freight Forwarders Association
- Offer a wide variety of services, so that you do not need to contract with many different companies for different services (e.g. sea and air freight, re-packaging of damaged materials, etc.)
- Own or have access to a bonded warehouse to protect and control shipments in transit
- Own a trucking fleet for inland transport and have access to specialised vehicles when needed such as container trucks, low-bed trailers, tankers, etc.

- If trucks are subcontracted, which is quite normal, obtain a list of pre-qualified transporters, rated according to ISO specifications.
- Have trained, competent, experienced and trustworthy staff
- Insist on having a key contact person, who is familiar with the local rules and regulations in respect of relief rated shipments.
- Have a proven record of reliability, accuracy, and timeliness, as verified by references from other groups that have used their services
- Are flexible in their availability on short notice, also outside of office hours and on public holidays. In cooperation with your key contact person, establish a list of persons and contact numbers, to be available in respect of an emergency.
- Have an established reputation; have been in business for a number of years
- Have influence in the transport market, with port authorities, etc.
- Experienced in successfully handling duty exemption arrangements for humanitarian organisations
- Have an office in the port area or nearby
- Are experienced in verifying goods arriving in the port: discharge, storage and loading operations, checking weights and inspecting shipping packages for visible damage
- Have at least a country-wide, preferably a multi-country regional network
- Use technology effectively, including a good telecommunications system and, preferably, a computerised tracking system that allows visibility of where any shipment is at a given time

6 MONITORING:

Monitoring and evaluation (M&E) are integral and individually distinct parts of programme preparation and implementation. They are critical tools for forward-looking strategic positioning, organisational learning and for sound management.

In the supply/logistics context monitoring covers the tracking of goods along the supply chain.

Use the following list of areas that should be assessed, and check off each when the necessary information has been gathered.

- Does supply requisition (PGM) have an accompanying distribution plan before sign-off?
- Are supplies tracked along the supply chain?
- Who tracks supplies? How are they evaluated?
- What criteria are used to track supplies? Why? How will information be utilized?
 - What is end destination?

- Do supplies arrive on the targeted arrival date? What percentage of supplies arrives on-time/late/misdirected?
- What percentage of supplies is missing? Why? (pilfered, sent to wrong destination, poor labeling)
- Is quality of supplies evaluated along the supply chain? What percentage of supplies is delivered with inadequate specifications, damaged in transit/storage?
- What are actual vs. budgeted costs for goods receipt, warehousing, and inland transport of supplies?
- Where is supply tracking information recorded/updated?

7 EVALUATION:

In the supply context, evaluation measures the impact of supplies. Have relevant supplies been procured and delivered to the children who need them of the right quality, right cost at the right time and right place?

Use the following list of areas that should be assessed, and check off each when the necessary information has been gathered.

- Do supply specifications match the needs of the target audience?
- Do packaging, storage and transport of supplies take local conditions (weather, terrain, and infrastructure) into account?
- Where is information from field visits recorded? How is it used? Does information flow back for planning purposes?