



European Bank
for Reconstruction and Development

Institutional Capacity Assessment & Client Training and Outreach Programme (ICB & CTOP) Special Shareholders Fund

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Version 3.0 of the toolkit consists of 62 items out of which 51 items are dedicated to assess the project procurement implementation. The toolkit is a multipurpose application: it can be used as an institutional assessment tool, as project assessment questionnaire, as both or as a simplified risk determination tool.

62 items in nine categories

- Project Assessment
51 items in 9 categories
- Client Assessment
52 items in 8 categories
- Project and Client
37 items in common



CAPACITY ASSESSMENT										
CLICK FOR CHART LOCATIONS										
(1)	(2)	(3)	(4)				(5)	(6)	(7)	(8)
COUNTRY:							ACHIEVED PERCENTAGE		TOTAL POSSIBLE POINTS	ACHIEVED SCORE
CLIENT:		NAME OF CLIENT								
DATE OF ASSESSMENT		ICA TOOLKIT VERSION 3.1								
ASSESSOR NAME:		PROCUREMENT RISK ASSESSMENT				0		0	0	
		HIGH								
LEGAL FRAMEWORK										
Priority	No.	A	Y	N	NA	Y	N	NA	SCORE	
	1	A.1	The Client holds legal status (i.e., government department, state corporation, registered society) and is accountable to the government.			C				2 0 0
	2	A.2	Legal framework is clear, comprehensive and conducive of a competitive procurement environment.			C				2 0 0
	3	A.3	Legal or regulatory requirements mandate the disclosure of procurement decisions.			D				1 0 0
	4	A.4	There are regulations to allow for suspension or debarment of tenderers.			D				1 0 0
	5	A.5	The conditions for use of various procurement methods are clearly established and there is an explicit requirement that open competitive tendering is the preferred or default method.			C				2 0 0

CAPACITY ASSESSMENT									
(1)									
Procurement standard: generally defined by OECD-DAC Country Systems Methodology. If Standard was not available, one was specifically developed for the item.									
LEGAL FRAMEWORK									
There is no available standard. Assessor should record the legal status of the Client.									
The legislative and regulatory body of norms (or legal framework) complies with all the following conditions: (a) is adequately recorded and organized hierarchically (laws, decrees, regulations, procedures) and precedence is clearly established; (b) All laws and regulations are published and easily accessible to the public at no cost; (c) Covers goods and works for all procurement usd in national									
Provisions exist to respond to a request for review (a) at the procuring/Client level; (b) with administrative review by another body independent from the procuring Client that has the authority to grant remedies; and (c) includes the right for judicial review.									
Provisions exist for exclusions of criminal or corrupt activities; administrative debarment under the law adheres to due process or prohibition of commercial relations.									
Legal Framework meets all the following conditions: (a) procurement methods are established unambiguously at an appropriate hierarchical level along with the associated conditions under which each method may be used, including a requirement for approval by an official that is held accountable; (b) competitive procurement is the default method of public procurement; (c) appropriate standards for international competitive tendering are specified and are consistent with international standards; (d) fractioning of contracts to limit competition is prohibited.									

The toolkit is a questionnaire in which the responses are “yes” or “no” or “not applicable.” A score is given or subtracted in a tally by categories. The total score defines the risk category of the Client. In general, Clients achieving less than the minimum score are high risk, scores between 50% and 65% are potentially high risk or moderate high risks;

scores above 65% and below 85% will be considered moderate low risk; agencies achieving more than 85% of the maximum score will be considered low risk.



The ICA is an integral part of the Institutional Capacity Building (ICB) and Outreach Programme (CTOP) launched by the Bank in early 2010. The ICA toolkit guidance note provides the Bank and the qualified assessors with a manual to apply the assessment mechanism. The manual includes explanations of each one of the fields of the toolkit. The manual will be useful as guidance for the information system associated to the toolkit that is under development by the Bank.

The Clients to which the toolkit was applied are:

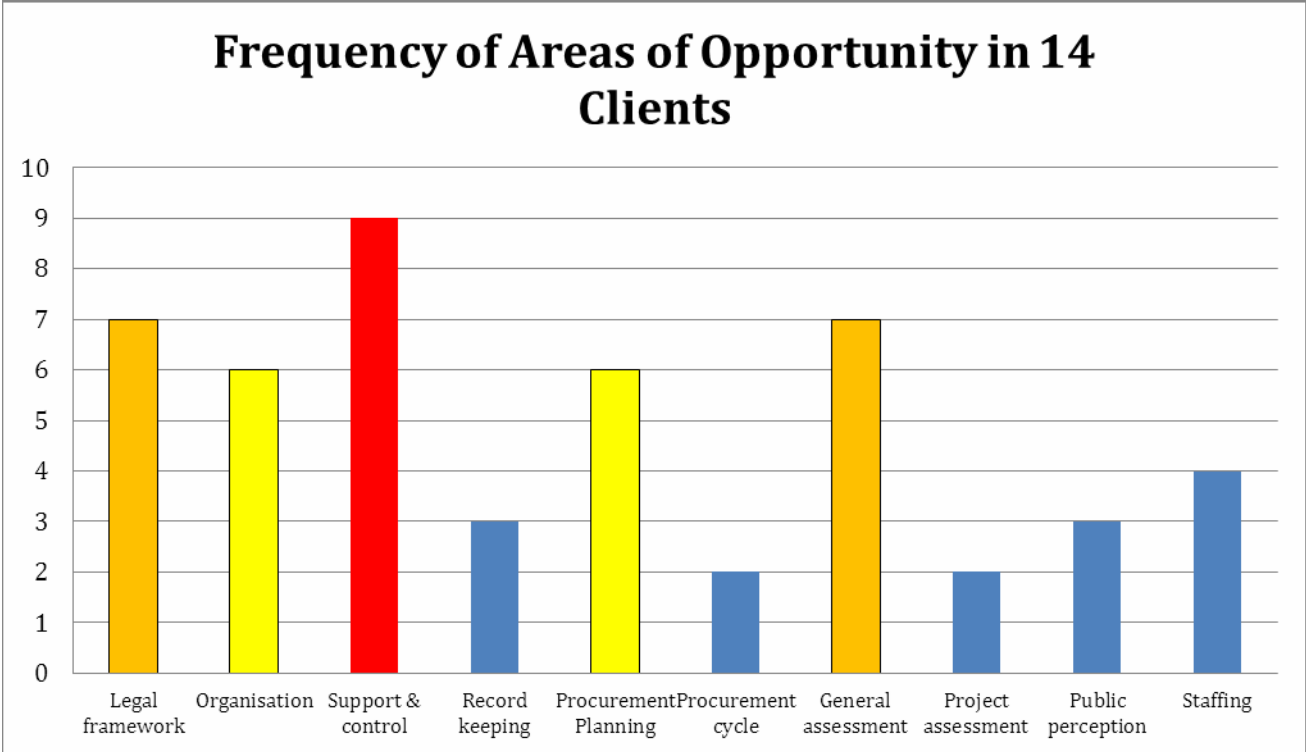
- Electrical Power Utility (Serbia)
- Municipality of Belgrade Agency (Serbia)
- District Heating Novi Sad, (Serbia)
- Natural Resources Agency (Serbia)
- Electrical Transmission Co. (Albania)
- Municipality of Tirana Agency (Albania)
- Roads Authority (Albania)
- Electrical Gen. (Ukraine)
- Power Utility (Ukraine)
- Power Utility (Kazakhstan)
- Electrical Gen. (Kazakhstan)

First batch in June 2010

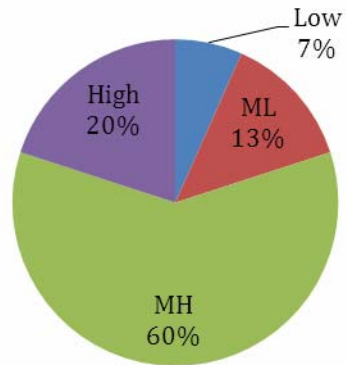
Second batch in June 2011

The OL of the Programme applied the toolkit to four other Clients: one in Ministry of Communications and Information of Serbia, one in the Russian Federation, one in a District Heating Company in Ukraine and one to a Power Generation Agency in Bulgaria as part of a Readiness Index Toolkit being developed by the Bank. A third batch of applications is planned for September 2011.

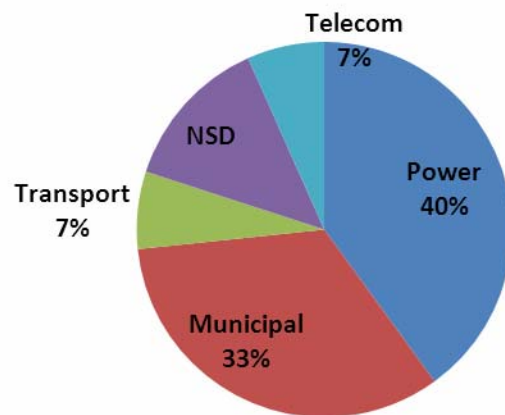
The information gathered in the field work is stored in a database accessible through the Bank’s intranet. The following charts are based on 15 applications already available in the database. Preliminary analysis indicates that majority of Clients classify in the Moderately High Risk category and the most frequent area of opportunity is “Support & control” category followed by “Legal framework” and “General assessment” categories. A third tier of frequent areas of opportunity includes “Organisation” and “Procurement planning.” Overall, there is adequate information to characterise the reasons for recorded frequencies that can be used to formulate and propose remedies and corresponding capacity development.



Risk classification of 15 applications



Number of applications by sector



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