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|  | USAID Global Health Supply Chain Program  Technical Assistance, National Supply Chain Assessment Task Order  Capability Maturity Module Questionnaire for All Levels  NSCA 2.0 |  |



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| --- | --- |
| **Date of Visit:** | [\_\_|\_\_] [\_\_|\_\_] [\_\_|\_\_|\_\_|\_\_]  Day Month Year |
| **Starting time:** | [\_\_|\_\_] [\_\_|\_\_] am/pm (circle one)  Hour Minutes |
| **Finishing time** | [\_\_|\_\_] [\_\_|\_\_] am/pm (circle one)  Hour Minutes |
| **Name(s) of Assessor(s)** |  |
|  |

# Introduction

[Information for the Data Collector]

This tool is used to conduct the Capability Maturity Model questionnaire as part of the National Supply Chain Assessment (NSCA) of a public health supply chain. The descriptions below are intended to support the team in introducing the NSCA to the site that will be interviewed. These descriptions focus on the Capability Maturity Model (CMM) modules; however, the time estimates for data collection include the amount of time needed to also capture the Key Performance Indicators (KPI). Data collection teams may collect CMM and KPI data jointly, or teams may choose to split up with one person conducting the Capability Maturity interviews and the other collecting data for the KPIs.

[Data Collector – Read the following information to the interviewee]

This site has been selected to be included in a National Supply Chain Assessment (NSCA), with the aim of assessing the overall capability and performance of the health supply chain. Today, we will ask you to respond to a number of questions about the public health supply chain.

We are collecting this information today on behalf of the Ministry of Health to help inform future investments in the supply chain to strengthen it and increase performance. Your honest responses today are crucial so that we truly understand how the supply chain operates today. It is important to note that your individual responses **will not be shared with anyone inside or outside of the Ministry of Health**.

Your responses will remain anonymous, and answers will not be attributed to you specifically. Additionally, all data captured during this assessment will only be presented as an aggregated value, meaning no individual scores are shown, only nationwide averages. We want to respect your time and willingness to participate by ensuring that your answers remain confidential and will not be able to identify you in the final report.

There are many questions included in this interview, but you will only be asked to respond to items related to your facility. Information on the capability of the site will be collected through a combination of interviews, observation, and review of documents.

Have you already received the list of documents we plan to review?

[Wait for answer and respond appropriately.]

We will also collect data on supply chain performance at this site by collecting data on a series of standard indicators.

# Scope

[Information for the Data Collector]

If using the paper version of this tool, be sure to only ask questions for the relevant modules (the SurveyCTO version of the questionnaire should only prompt you with the relevant modules). Further, be sure to note which levels of service should be asked each question; not all levels of services are asked all of the questions (the SurveyCTO version should also only prompt you with the relevant questions within each module). The start of each module has guidance on the appropriate staff position(s) to interview for that module; be sure to identify the right person(s) to interview before starting the module.

[Data Collector – Read the following information to the interviewee]

Several technical areas will be covered in this interview. As they relate to your level of service, we will ask questions about the following functional areas of the public health supply chain:

* Strategic Planning and Management
* Human Resources
* Financial Sustainability
* Policy and Governance
* Quality and Pharmacovigilance
* Forecasting and Supply Planning
* Procurement and Customs Clearance
* Warehousing and Storage
* Distribution
* Logistics Management Information Systems
* Waste Management

Different members of the staff at this site will be the most appropriate for describing different functional areas. At the beginning of each functional area, we will discuss the best staff members to interview for that topic.

# Expected Length of Interview

[Information for Data Collectors]

Interviews will vary in length of time required because different questions are required for interviews at different levels of service and because the questions depend on the supply chain functions carried out at each site. Total time spent at a site also depends on whether the Capability and KPI aspects of the tool are conducted simultaneously, by different data collectors, or one after the other. Interviews are estimated to take roughly the following length of time by level of service:

* MOH – Interviewees are likely to be spread across different departments of the MOH, which are likely to require separately scheduled interviews. Each interview could take one to several hours.
* Warehouse – Approximately 1-1.5 days, including KPIs.
* Referral Hospitals – Approximately 6-8 hours, including KPIs.
* SDP – Approximately 4-6 hours, including KPIs.

[Data Collector – Read the following information to the interviewee]

Conducting the full questionnaire will take several hours to a full day, and will involve several different staff at the site. It will also require moving to different areas in the facility. We will do our best to minimize the burden for you, your staff, and your clients/patients. If an appropriate person is not available, we can skip to the next area and come back to that person later today, or another day if necessary.

Do you have any questions before we proceed?

[Wait for answer and respond appropriately.]

**FACILITY DETAILS**

|  |  |  |
| --- | --- | --- |
| **Facility Name:** |  | |
| **GPS Reading:** | **Latitude: \_\_\_\_\_\_\_\_\_\_\_0S** | **Longitude: \_\_\_\_\_\_\_\_\_\_ 0E** |
| **Ownership:** |  | |
| **Physical Address:** |  | |
| **Telephone (1):** |  | |
| **Telephone (2):** |  | |
| **Email Address:** |  | |
| **District:** |  | |
| **Province:** |  | |
| **Revisit required?**  If manager is busy or not present, please set up a time when the schedule permits. | **Date:**  [\_\_|\_\_] [\_\_|\_\_] [\_\_|\_\_|\_\_|\_\_]  Day Month Year | **Time:**  [\_\_|\_\_] [\_\_|\_\_] am/pm *(circle one)*  Hour Minutes |

**RESPONDENT’S DETAILS**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Name** | **Position** | **Telephone Contact** | **Email Address** |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |

# Module 1: Strategic Planning and Management

**CENTRAL/MOH LEVEL:** For this module, interview the head of the Ministry of Health department that is responsible for the overall management of the supply chain nationally, if available. If not, interview the deputy head or another person (such as the head of the strategic planning or similar if such a post exists) knowledgeable about overall national supply chain management.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the warehouse manager, if available. If not, interview the deputy warehouse manager or another person knowledgeable about overall supply chain management at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the hospital director, if available. If not, interview the deputy hospital director or another person knowledgeable about overall supply chain management at the facility.

**SERVICE DELIVERY POINTS:** Not Applicable.

| **MODULE 1 – STRATEGIC PLANNING AND MANAGEMENT** | | | | |
| --- | --- | --- | --- | --- |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-100: Strategic Plan** | | | | |
| **SPM-101**  Ask:  MOH  Warehouse  Referral Hospital | Do you have an approved supply chain strategic plan?  NOTE: At the level of the MOH, this would be a national supply chain strategic plan. For OTHER levels - Central or Intermediate Warehouse, or Referral Hospitals - the question is whether they have developed a strategic plan for their own site/facility, to support their specific supply chain needs.  **[VERIFY with SPM-701]** | Yes |  | If “**Yes**”, continue,  Otherwise  **go to next section**  **[SPM-200]** |
| No |  |
| I don’t know |  |
| **SPM-102**  Ask:  MOH  Warehouse | Does the supply chain strategic plan include the following areas?  **[READ CHOICES – MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH SPM-702]** | Human Resource |  |  |
| LMIS |  |
| Finance |  |
| Policy and Governance |  |
| Forecasting & Quantification |  |
| Procurement |  |
| QA/QC |  |
| Distribution |  |
| Warehousing |  |
| Waste management |  |
| M&E |  |
| Coordination |  |
| Product Selection |  |
| None of the Above |  |
| I Don’t Know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-103**  Ask:  Referral Hospital | Does the supply chain strategic plan include the following areas?  **[READ CHOICES – MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH SPM-703]** | Human Resources |  |  |
| LMIS |  |
| Finance |  |
| Forecasting & Quantification |  |
| Procurement/Ordering |  |
| Quality assurance / quality control |  |
| Warehousing/Storage |  |
| Waste management |  |
| Monitoring and Evaluation |  |
| None of the above |  |
| I don't know |  |
| **SPM-104**  Ask:  MOH  Warehouse  Referral Hospital | Has the Organization gone through an exercise to identify important stakeholders (stakeholder mapping)?  NOTE: Mapping is part of the strategic planning process. The final mapping should be used in developing the strategic plan but does not have to be included in the same document.  **[VERIFY WITH SPM-704]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-105**  Ask:  MOH  Warehouse  Referral Hospital | How often is the supply chain strategic plan newly developed or formally updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |
| Every 3 years |
| Every 4 years or less often |
| Never |
| I don’t know |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-106**  Ask:  MOH  Warehouse  Referral Hospital | Does the Supply Chain Strategic Plan contain contents and themes that are aligned with the National Health Sector Strategic Plan and/or Pharmaceutical Sector Strategic Plan?  **[VERIFY with SPM-705]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-200: Supply Chain Implementation Plan** | | | | |
| **SPM-201**  Ask:  MOH  Warehouse  Referral Hospital | Do you have a supply chain implementation plan?  NOTE: An implementation plan is a detailed listing of activities, costs, expected difficulties, and schedules that are required to achieve supply chain objectives. It is often the "operational plan" that accompanies a strategic plan.  **[VERIFY with SPM-706]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section**  **[SPM-300]** |
| No |  |
| I Don’t Know |  |
| **SPM-202**  Ask:  MOH  Warehouse  Referral Hospital | What is the timeframe of the supply chain implementation plan?  NOTE: For answers in between the choices, round up. For example, if the timeframe is 15, 18 or 21 months, select "2 years" | 1 year or less |  |  |
| 2 years |  |
| 3 years |  |
| 4 or 5 years |  |
| More than 5 years |  |
| I don’t know |  |
| **SPM-203**  Ask:  MOH  Warehouse  Referral Hospital | Is the supply chain implementation plan monitored?  **[VERIFY with SPM-707]** | Yes |  | If **"Yes**", continue;  Otherwise, **go to next section**  **[SPM-300]** |
| No |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-204**  Ask:  MOH  Warehouse  Referral Hospital | How often is the supply chain implementation plan monitored? | Quarterly or more often |  |  |
| Bi-annually (twice per year) |  |
| Annually |  |
| Less frequently than annually |  |
| Never |  |
| I don't know |  |
| **SPM-205**  Ask:  MOH  Warehouse  Referral Hospital | What actions are taken based on the results from monitoring the implementation plan?  **[MULTIPLE RESPONSES ALLOWED]** | Finance and resource mobilization |  |  |
| Promote efficiencies in the supply chain |  |
| Identification of additional human resources |  |
| Improve supply chain management and leadership |  |
| Improve partnerships and collaborations |  |
| Others  Please specify: |  |
| None |  |
| I don’t know |  |
| **SPM-300: Strategy and/or Implementation Plan Components** | | | | |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-301**  Ask:  MOH  Warehouse  Referral Hospital | Which of the following elements are included in the supply chain strategic plan or implementation plan?  **[MULTIPLE RESPONSES POSSIBLE]**  **[VERIFY with SPM-708]** | Mission/Vision Statement |  | Skip this section if the answer to **[SPM-101] AND [SPM-201]** were **“No”** or **“I don’t know”**  To skip this section, **go to [SPM-400]** |
| Long-term Goals/Objectives |  |
| Roles & responsibilities for specific internal units/positions |  |
| Stakeholder map |  |
| SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis |  |
| Strategic partnerships |  |
| Engagement with private sector |  |
| Specific activities |  |
| Funding required for each activity |  |
| Funding available for each activity |  |
| Milestones/Deliverables |  |
| None of the above |  |
| I don't know |  |
| **SPM-302**  Ask:  MOH  Warehouse  Referral Hospital | Does the strategic plan or implementation plan allocate clear roles and responsibilities to external stakeholders for specific supply chain activities?  **[VERIFY with SPM-709]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-303**  Ask:  MOH  Warehouse  Referral Hospital | Does the strategic plan or implementation plan include actions to reform the supply chain design and system?  PROBE: For example, optimizing the distribution network, reducing the number of supply chain tiers, going to 3PL or 4PL (outsourced) systems for warehousing and distribution, etc.  NOTE: These actions should represent significant reforms, not minor modifications such as changing min/max set points or frequency of delivery.  **[VERIFY with SPM-710]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [SPM-305]** |
| No |  |
| I don’t know |  |
| **SPM-304**  Ask:  MOH  Warehouse  Referral Hospital | Are these supply chain design reforms being implemented?  **[VERIFY with SPM-711]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-305**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Has the cost/budget to implement the strategy been estimated and included in either the strategic or implementation plan?  **[VERIFY with SPM-712]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section**  **[SPM-400]** |
| No |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-306**  Ask:  MOH  Warehouse  Referral Hospital | Considering the anticipated costs and available resources, have you documented any funding gaps?  **[VERIFY with SPM-713]** | Yes |  |  |
| We have documented that there are no funding gaps |  |
| Funding gaps have not been documented |  |
| I don't know |  |
| **SPM-400: Monitoring Supply Chain Performance** | | | | |
| **SPM-401**  Ask:  MOH  Warehouse  Referral Hospital | Is there a performance monitoring plan (PMP) or monitoring framework for tracking supply chain performance at this site/health system level?  **[VERIFY with SPM-714]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section**  **[SPM-500]** |
| No |  |
| I don’t know |  |
| **SPM-402**  Ask:  MOH  Warehouse  Referral Hospital | Is there a formal structure (e.g., Committee, Working Group) in place to monitor the supply chain performance at this site/health system level? | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-403**  Ask:  MOH  Warehouse  Referral Hospital | Which stakeholders participate in the review of the supply chain performance?  NOTE: This question asks about which stakeholders specifically review performance at this site/organization  **[MULTIPLE RESPONSES ALLOWED]** | Board of directors |  |  |
| Donors |  |
| Central level Staff (including but not limited to the Ministries of Health, Finance, Labor and others) |  |
| District/Regional/Provincial level staff |  |
| Implementing Partners |  |
| Others  Please specify: |  |
| None |  |
| I don't know |  |
| **SPM-404**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How often do these stakeholder groups meet to review this site's supply chain performance?  NOTE: For answers in between the choices, round up. For example, if meetings are held every two months, select "Quarterly" | Monthly or more often |  |  |
| Quarterly |  |
| Bi-annually (twice per year) |  |
| Annually |  |
| Less frequently than annually |  |
| Never |  |
| I don't know |  |
| **SPM-500: Risk Management** | | | | |
| **SPM-501**  Ask:  MOH  Warehouse  Referral Hospital | Is there a risk management and mitigation/prevention plan?  **[VERIFY with SPM-715]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-502**  Ask:  MOH  Warehouse  Referral Hospital | How often are supply chain risks formally assessed?  NOTE: For answers in between the choices, round up. For example, if risk assessments are done every 15, 18 or 21 months, select "Every 2 years" | Continuously |  |  |
| Quarterly or bi-annually (twice per year) |  |
| Annually |  |
| Every 2 years |  |
| Every 3 years or less often |  |
| Never |  |
| I don't know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-503**  Ask:  MOH  Warehouse  Referral Hospital | What are the top 3 types of risk experienced in the supply chain?  Note: Examples of social risks may include reputational losses, human welfare and safety, working conditions, human rights violations  **[MULTIPLE RESPONSES ALLOWED]** | Financial |  |  |
| Operational |  |
| Human Resources (e.g., Leadership & Turnover) |  |
| Economic (e.g., exchange rate) |  |
| Technology |  |
| Environmental |  |
| Political |  |
| Social Aspects |  |
| Legal |  |
| Donor Issues |  |
| Others  Please Specify: |  |
| None of the above |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-504**  Ask:  MOH  Warehouse  Referral Hospital | Do you have mitigation measures for any of the following risks?  **[MULTIPLE RESPONSES ALLOWED]** | Inaccurate forecasting data |  |  |
| Non-competitive prices |  |
| Fraud |  |
| Prolonged delays in procurement process |  |
| Inaccurate ordering of commodities by facilities |  |
| Delay in submission of LMIS reports |  |
| Supply of inferior quality medicines |  |
| Loss of inbound and outbound goods in transit |  |
| Others  Please Specify: |  |
| No mitigation measures in place |  |
| I don’t know |  |
| **SPM-600: Private Sector Partnerships** | | | | |
| **SPM-601**  Ask:  MOH  Warehouse | Does the current MOH and supply chain leadership identify coordination or engagement with private sector companies as a means of improving the supply chain? | Yes |  |  |
| No |  |
| I don’t know |  |
| **SPM-602**  Ask:  MOH  Warehouse | Has there been coordination or engagement with private sector companies to improve the supply chain in the last one year?  **[VERIFY with SPM-716]** | Yes |  | If **"Yes",** continue;  Otherwise, **go to next section**  **[SPM-700]** |
| No |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-603**  Ask:  MOH  Warehouse | Is there a formal or informal strategy or approach for utilizing public private partnerships to improve supply chain performance? | Formal (e.g., policy, official strategy, written agreements) |  |  |
| Informal (e.g., public statements, informal relationships, internal memos or discussions) |  |
| Formal and Informal |  |
| I don't know |  |
| **SPM-604**  Ask:  MOH  Warehouse | In which of the following ways do public private partnerships help the government with supply chain management?  **[MULTIPLE RESPONSES ALLOWED]** | Training or access to training materials |  |  |
| Coaching/Mentorship |  |
| Secondments |  |
| Other technical assistance |  |
| In kind provision of resources |  |
| Financial resources |  |
| Strengthen private sector health services (e.g., at retail outlets for commodities) |  |
| Information sharing (e.g., long term forecast) |  |
| National/community insurance scheme to pay for private services |  |
| Provision of specific supply chain services |  |
| 3PL or 4PL (broad supply chain services) |  |
| Others  Please specify: |  |
| None |  |
| I don’t know |  |
| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| **SPM-605**  Ask:  MOH  Warehouse | Which supply chain functions does the public/private partnership focus on?  **[MULTIPLE RESPONSES ALLOWED]** | LMIS |  |  |
| Waste Management |  |
| Quality Assurance |  |
| Pharmacovigilance |  |
| Warehousing and storage |  |
| Procurement |  |
| Supply Planning and Forecasting |  |
| Financing |  |
| Human Resources |  |
| Distribution |  |
| Other  Please specify: |  |
| None of these |  |
| I don’t know |  |

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| **SPM-700: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances, the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **SPM-701**  Ask:  MOH  Warehouse  Referral Hospitals | Verify the existence of an approved supply chain strategic plan.  **[VERIFIES SPM-101]** | Physically verified |  | **SKIP** this question if **[SPM-101]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-702**  Ask:  MOH  Warehouse | Verify from the Supply chain strategic plan that the following areas are included  **[VERIFIES SPM-102]** | Human Resource |  | **SKIP** this question if **[SPM-102]** is **"None of the above"** or **"I don't know"** |
| LMIS |  |
| Finance |  |
| Policy and Governance |  |
| Forecasting & Quantification |  |
| Procurement |  |
| Quality Assurance/Quality Control |  |
| Distribution |  |
| Warehousing |  |
| Waste Management |  |
| Monitoring and Evaluation |  |
| Coordination |  |
| Product Selection |  |
| None of the Above |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

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| **SPM-703**  Ask:  Referral Hospitals | Verify from the Supply chain strategic plan that the following areas are included  **[VERIFIES SPM-103]** | Human Resource |  | **SKIP** this question if **[SPM-103]** is **"None of the above"** or **"I don't know"** |
| LMIS |  |
| Finance |  |
| Policy and Governance |  |
| Forecasting & Quantification |  |
| Procurement |  |
| Quality Assurance/Quality Control |  |
| Distribution |  |
| Warehousing |  |
| Waste Management |  |
| Monitoring and Evaluation |  |
| Coordination |  |
| Product Selection |  |
| None of the Above |  |
| **SPM-704**  Ask:  MOH  Warehouse  Referral Hospitals | Verify the existence of a stakeholder map.  **[VERIFIES SPM-104]** | Physically verified |  | **SKIP** this question if **[SPM-104]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-705**  Ask:  MOH  Warehouse  Referral Hospitals | Verify that the Supply Chain Strategic Plan contains contents & themes that are aligned with the National Health Sector Strategic Plan and/or Pharmaceutical Sector Strategic Plan  **[VERIFIES SPM-106]** | Physically verified |  | **SKIP** this question if **[SPM-106]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

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| **SPM-706**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether the organization has a supply chain implementation plan in place  **[VERIFIES SPM-201]** | Physically verified |  | **SKIP** this question if **[SPM-201]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-707**  Ask:  MOH  Warehouse  Referral Hospitals | Verify monitoring of the implementation plan, for example with meeting minutes or a progress report that documents progress with the implementation plan.  **[VERIFIES SPM-203]** | Physically verified |  | **SKIP** this question if **[SPM-203]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-708**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether the following elements are included in the supply chain strategic plan or implementation plan.  **[VERIFIES SPM-301]** | Timeframe |  | **SKIP** this question if **[SPM-301]** is **"None of the above"** or **"I don't know"** |
| Mission/Vision Statement |  |
| Long-term Goals/Objectives |  |
| Roles & Responsibilities for specific internal units/positions |  |
| Stakeholder map |  |
| SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis |  |
| Strategic partnerships |  |
| Engagement with private sector |  |
| Specific activities |  |
| Funding required for each activity |  |
| Funding available for each activity |  |
| Milestones/Deliverables |  |
| None of the above |  |
| **SPM-709**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether the strategic plan or implementation plan allocate clear roles and responsibilities to external stakeholders for specific supply chain activities.  **[VERIFIES SPM-302]** | Physically verified |  | **SKIP** this question if **[SPM-302]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-710**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether the strategic plan or implementation plan include actions to significantly reform the supply chain design and system  **[VERIFIES SPM-303]** | Physically verified |  | **SKIP** this question if **[SPM-303]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-711**  Ask:  MOH  Warehouse  Referral  Hospitals | Verify that the supply chain design reforms described above are being implemented, for example with meeting minutes or a progress report that documents progress with the reforms.  **[VERIFIES SPM-304]** | Physically verified |  | **SKIP** this question if **[SPM-304]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-712**  Ask:    MOH  Warehouse  Referral Hospitals | Verify that the cost/budget to implement the strategy been estimated and included in either than strategic or implementation plan  **[VERIFIES SPM-305]** | Physically verified |  | **SKIP** this question if **[SPM-305]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
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| **SPM-713**  Ask:  MOH  Warehouse  Referral Hospitals | Verify that funding gaps, or the lack of funding gaps, for the strategic plan or implementation plan have been documented  **[VERIFIES SPM-306]** | Physically verified |  | **SKIP** this question, if **[SPM-306]** is **"Funding gaps have not been documented"** or **"I don't know”** |
| Could Not be physically verified |  |
| **SPM-714**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of a performance monitoring plan (PMP) or monitoring framework for tracking supply chain performance at this site/health system level  **[VERIFIES SPM-401]** | Physically verified |  | **SKIP** this question if **[SPM-401]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-715**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether there is a risk management and mitigation/prevention plan  **[VERIFIES SPM-501]** | Physically verified |  | **SKIP** this question if **[SPM-501]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **SPM-716**  Ask:  MOH  Warehouse | Verify if there has been engagement between the Ministry of Health and private sector companies to improve the supply chain in the last one year  **[VERIFIES SPM-602]** | Physically verified |  | **SKIP** this question if **[SPM-602]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

## Physical Verification List: Module 1 – Strategic Planning and Management

1. A copy of the Supply Chain strategic plan. [MOH, Warehouse, Referral Hospitals]
2. A copy of the stakeholder map. [MOH, Warehouse, Referral Hospitals]
3. A copy of the National Health Sector Strategic Plan and Pharmaceutical Sector Strategic Plan. [MOH, Warehouse, Referral Hospitals]
4. A copy of the supply chain implementation plan. [MOH, Warehouse, Referral Hospitals]
5. Evidence that the supply chain design reforms are being implemented. For example, with meeting minutes or a progress report that documents progress with the reforms. [MOH, Warehouse, Referral Hospitals]
6. A copy of the performance monitoring plan (PMP) or monitoring framework for tracking supply chain performance. [MOH, Warehouse, Referral Hospitals]
7. A copy of the risk management and mitigation/prevention plan. [MOH, Warehouse, Referral Hospitals]
8. Evidence of engagement between the Ministry of Health and private sector companies to improve the supply chain in the last one year. [MOH, Warehouse]

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| --- | --- | --- |
|  | Ending Time | End: [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

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| Any notes about interview: |

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| **END OF MODULE 1 – STRATEGIC PLANNING AND MANAGEMENT** |

# Module 2: Human Resources

**CENTRAL/MOH LEVEL:** For this module, interview the head of the MOH human resources department or the head of the Ministry of Health department responsible for the overall management of the supply chain nationally, if available. If not, interview the deputy head or another person knowledgeable about human resources management for supply chain personnel throughout the country.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of human resources for the warehouse, if available. If not, interview the warehouse manager or another senior person in the management team knowledgeable about human resources management in the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the head of human resources for the hospital, if available. If not, interview the head of pharmacy or the storeroom, or another person knowledgeable about human resources management of supply chain personnel in the hospital.

**SERVICE DELIVERY POINTS:** For this module, interview the facility head if available. If not, interview the deputy facility head or another person knowledgeable about human resources management in the facility.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **HR-100: Workforce planning** | | | | |
| **HR-101**  Ask:  MOH  Warehouse  Referral Hospital | Is there a human resource workforce plan that projects future needs for supply chain personnel at this site/health system level?  NOTE: A human resource workforce plan projects the number of workers needed per cadre in the future, at least for the next year. For this question, supply chain personnel should be explicitly addressed.  **[VALIDATE WITH HR-701]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-102**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is budget for supply chain personnel included in the Government budget, at the national or subnational level? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [HR-200]** |
| No |  |
| I don’t know |  |
| **HR-103**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What proportion of required positions have funding in the Government budget, at the national or subnational level?  NOTE: percentages are given as a guide; the exact percentage is not needed. | All (100%) |  |  |
| Most (51 - 99%) |  |
| Some (26-50%) |  |
| Minimal (1 - 25%) |  |
| None |  |
| I don't know |  |
| **HR-200: Recruiting** | | | | |
| **HR-201**  Ask:  MOH  Warehouse  Referral Hospital | Is there a staff recruitment policy in place for supply chain personnel?  PROMPT: A recruitment policy is a course or principle of action adopted or proposed by an organization to recruit personnel.  **[VERIFY WITH HR-702]** | Yes, general staff recruitment policies, which are applied to supply chain personnel |  |  |
| Yes, recruitment policies specific to supply chain roles |  |
| No |  |
| I don't know |  |
| **HR-202**  Ask:  MOH | Is there a job description with appropriate qualifications for the head of logistics at the central level?  **[VERIFY WITH HR-703]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-203**  Ask:  Warehouse | Is there a job description with appropriate qualifications for the warehouse head?  **[VERIFY WITH HR-704]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-204**  Ask:  Referral Hospital  SDP | Are there job descriptions with appropriate qualifications for pharmacy and stores personnel?  **[VERIFY WITH HR-705]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section** **[HR-300]** |
| No |  |
| I don’t know |  |
| **HR-205**  Ask:  MOH  Warehouse | Which of the following supply chain functions are included in the job descriptions for at least some supply chain personnel?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH HR-706]** | Forecasting & Quantification |  |  |
| Product Selection |  |
| Procurement |  |
| Supply planning |  |
| Warehousing & inventory management |  |
| Distribution |  |
| LMIS |  |
| Ordering & reporting |  |
| Waste management |  |
| Quality & Pharmacovigilance |  |
| None of the above |  |
| I don't know |  |
| **HR-206**  Ask:  Referral Hospital | Which of the following supply chain functions are included in the job descriptions for at least some pharmacy and stores personnel?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH HR-707]** | Forecasting & Quantification |  |  |
| Procurement |  |
| Storage & inventory management |  |
| LMIS |  |
| Ordering & reporting |  |
| Waste management |  |
| Quality & Pharmacovigilance |  |
| None of the above |  |
| I don't know |  |
| **HR-207**  Ask:  SDP | Which of the following supply chain functions are included in the job descriptions for at least some pharmacy and stores personnel?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH HR-708]** | Storage & inventory management |  |  |
| LMIS |  |
| Ordering & reporting |  |
| Waste management |  |
| Medicine quality assurance |  |
| None of the above |  |
| I don't know |  |
| **HR-300: Workforce Capacity Building** | | | | |
| **HR-301**  Ask:  MOH  Warehouse | Which capacity building programs are available for staff in country?  NOTE: Programs can be funded by MOH or Donor  **[MULTIPLE RESPONSES ALLOWED]** | "Classroom" training that does not provide any formal supply chain degree or certification (including stand alone classroom training or a module in a larger pharmacy or public health course) |  |  |
| Mentorship |  |
| Coaching |  |
| Structured on the job training |  |
| E-Learning programs in supply chain |  |
| Certificate Programs in supply chain |  |
| Diploma programs in supply chain |  |
| Bachelor's/undergraduate degree program in supply chain |  |
| Master's Program in supply chain |  |
| None of the above |  |
| I don't know |  |
| **HR-302**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is there a unified supply chain capacity building plan or staff development plan for current employees?  NOTE: This is a single plan for all supply chain staff at the facility or health system level, not a specific professional development plan for each employee.  **[VERIFY WITH HR-709]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [HR-304]** |
| No |  |
| I don’t know |  |
| **HR-303**  Ask:  MOH  Warehouse | Do donors and partners align their capacity building offerings with the above plan?  NOTE: percentages are given as a guide; the exact percentage is not needed. | All (100%) |  |  |
| Most (51-99%) |  |
| Some (26-50%) |  |
| Minimal (1-25%) |  |
| None |  |
| I don't know |  |
| **HR-304**  Ask:  MOH  Warehouse  Referral Hospital | Which of the following areas were covered under the capacity building sessions in the last 1 year?  **[MULTIPLE RESPONSES ALLOWED]** | Forecasting & Quantification |  |  |
| Procurement |  |
| Warehousing & inventory management |  |
| Distribution |  |
| LMIS |  |
| Ordering & reporting |  |
| Medicine quality assurance |  |
| Pharmacovigilance |  |
| Treatment Guidelines |  |
| Changes in National policy |  |
| None of the above |  |
| I don't know |  |
| **HR-305**  Ask:  SDP | Which of the following areas were covered under the capacity building sessions in the last 1 year?  **[MULTIPLE RESPONSES ALLOWED]** | Stores & inventory management |  |  |
| LMIS |  |
| Ordering & reporting |  |
| Waste management |  |
| Medicine quality assurance |  |
| Treatment Guidelines |  |
| Changes in National policy |  |
| None of the above |  |
| I don't know |  |
| **HR-306**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Do the following types of capacity building materials and/or tools for supply chain exist at this site?  **[MULTIPLE ANSWERS ALLOWED]** | Standard Operating Procedures |  |  |
| Training guides or materials |  |
| Other job aids. Please specify: |  |
| None of the above |  |
| I don't know |  |
| **HR-307**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is the outcome of the capacity building evaluated?  NOTE: Acceptable forms of evaluation include proficiency testing, an evaluation program, or a national capacity building monitoring system. | Yes |  |  |
| No |  |
| I Don’t Know |  |
| **HR-308**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is there a database to keep track of staff that have had capacity building sessions in supply chain management?  NOTE: The database may be a file, paper or electronic, that is accessible by staff.  **[VERIFY WITH HR-710]** | Yes |  |  |
| No |  |
| I Don’t Know |  |
| **HR-309**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What proportion of staff participated in capacity building sessions/opportunities in the last two years?  NOTE: The denominator should be number of technical staff  NOTE: Percentages are given as a guide; the exact percentage is not needed. | None |  |  |
| Minimal (1 - 25%) |  |
| Some (26-50%) |  |
| Most (51 - 99%) |  |
| All (100%) |  |
| I don't know |  |
| **HR-310**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What are the critical barriers to supply chain management capacity building programs?  **[MULTIPLE RESPONSES ALLOWED]** | Finances |  |  |
| Workload |  |
| Skilled Trainers |  |
| Materials |  |
| Language |  |
| Perceptions |  |
| Lack of Interest |  |
| Time |  |
| Others  Please Specify: |  |
| No barriers to report |  |
| I don’t know |  |
| **HR-400: Performance Reviews** | | | | |
| **HR-401**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How often is staff performance reviewed?  NOTE: This question refers to one-on-one performance reviews between supervisors and supervisees. The performance review should be formalized in some way. If the staff performance review is informal, this should be answered "Never". Please ask questions to clarify.  NOTE: For answers in between the choices, round up. For example, if reviews are done every 9 months, select "Annually" | Quarterly or more often |  | If **"Never"**, go to **[HR-501]**;  Otherwise, continue. |
| Bi-annually (twice per year) |  |
| Annually |  |
| Less frequently than annually |  |
| Never |  |
| I don't know |  |
| **HR-402**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What actions are taken after staff performance reviews?  NOTE: Incentives are not necessarily monetary. | Provision of incentives |  |  |
| Implementation of Performance Development Plans |  |
| Others  Please Specify: |  |
| None |  |
| I don’t know |  |
| **HR-500: Supportive Supervision** | | | | |
| **HR-501**  Ask:  Warehouse  Referral Hospital  SDP | Have the facility's supply chain staff received supportive supervision within the last year?  NOTE: Supportive supervision is supervision that includes some aspect of mentorship / problem-solving. It is supervision from outside of the organization.  NOTE: Supportive supervision should be scheduled, and should have occurred within the last year to answer "yes" to this question. | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [HR-506]** |
| No |  |
| I Don’t Know |  |
| **HR-502**  Ask:  Warehouse  Referral Hospital  SDP | Who has provided supply chain supportive supervision to this site within the last year?  **[MULTIPLE RESPONSES ALLOWED]** | MOH/government staff (from any health system level) |  |  |
| Development partners |  |
| Others  Please specify: |  |
| I don't know |  |
| **HR-503**  Ask:  Warehouse  Referral Hospital  SDP | Which of the following is responsible for providing supportive supervision to this site?  **[MULTIPLE RESPONSES ALLOWED]** | MOH staff- central |  |  |
| Central warehouse staff |  |
| Intermediate level health office staff (e.g., district or regional health authority) |  |
| Regional/ Intermediate Warehouse staff |  |
| Development partners |  |
| Others  Please specify: |  |
| I don't know |  |
| **HR-504**  Ask:  Warehouse  Referral Hospital  SDP | Do supply chain staff receive immediate feedback after supportive visits? | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-505**  Ask:  Warehouse  Referral Hospital  SDP | Are corrective actions taken following supervision visits to this facility/organization? | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-506**  Ask:  MOH | Does this facility provide supportive supervision to any the following?  **[MULTIPLE RESPONSES ALLOWED]** | Lower level warehouses/storerooms |  | If **"Lower level warehouses/storerooms"** or **"Health facilities"** continue;  Otherwise, **go to next section** **[HR-600]** |
| Health facilities |  |
| None of the above |  |
| I don't know |  |
| **HR-507**  Ask:  MOH | Does the MOH provide supportive supervision specific to supply chain to lower level sites?  NOTE: Supportive supervision is supervision that includes some aspect of mentorship / problem-solving. It is supervision from outside of the organization.  NOTE: Supportive supervision should be scheduled, and should have occurred within the last year to answer "yes" to this question. | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [HR-600]** |
| No |  |
| I don’t know |  |
| **HR-508**  Ask:  MOH  Warehouse  Referral Hospital | Are guidelines for supportive supervision, that explicitly refer to supply chain supervision, available at this site?  **[VERIFY WITH HR-711]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **HR-600: Budget for Human Resource** | | | | |
| **HR-601**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Who is responsible for funding the human resource budget for supply chain?  NOTE: This question is specific to the human resources working in the supply chain.  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | If **"Government" or "facility revenue/cost recovery",** continue;  Otherwise, **go to next section [HR-700]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **HR-602**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How much is government budget or facility revenue/cost recovery contributing to recurring human resource costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |

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| **HR-700: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **HR-701**  Ask:  MOH  Warehouse  Referral Hospitals | Verify the existence of a human resource workforce plan that projects future needs for supply chain personnel at this site/health system level  **[VERIFIES HR-101]** | Physically verified |  | **SKIP** this question if **[HR-101]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **HR-702**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether staff recruitment policies exist and if they make specific reference to supply chain personnel  **[VERIFIES HR-201]** | Physically verified that general staff recruitment policies exist (no reference to supply chain roles) |  | **SKIP** this question if **[HR-201]** is **"No"** or **"I don't know"** |
| Physically verified that recruitment policies exist and make specific reference to supply chain roles |  |
| Could Not be physically verified |  |
| **HR-703**  Ask:  MOH | Verify existence of a job description for the head of logistics at the central level, which includes appropriate supply chain qualifications  **[VERIFIES HR-202]** | Physically verified |  | **SKIP** this question if **[HR-202]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
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| **HR-704**  Ask:  Warehouse | Verify existence of a job description for the warehouse head, which includes appropriate supply chain qualifications  **[VERIFIES HR-203]** | Physically verified |  | **SKIP** this question if **[HR-203]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **HR-705**  Ask:  Referral Hospitals  SDP | Verify existence of a job description for pharmacy and stores personnel, which includes appropriate supply chain qualifications  **[VERIFIES HR-204]** | Physically verified |  | **SKIP** this question if **[HR-204]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **HR-706**  Ask:  MOH  Warehouse | Verify whether the following supply chain functions are included in the Job descriptions for supply chain personnel  **[VERIFIES HR-205]** | Forecasting & Quantification |  | **SKIP** this question if **[HR-205]** is **"None of the above"** or **"I don't know"** |
| Product Selection |  |
| Procurement |  |
| Supply Planning |  |
| Warehousing and Inventory Management |  |
| Distribution |  |
| LMIS |  |
| Ordering and Reporting |  |
| Waste Management |  |
| Quality and Pharmacovigilance |  |
| None of the above |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

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| **HR-707**  Ask:  Referral Hospitals | Verify whether the following supply chain functions are included in the Job descriptions for supply chain personnel  **[VERIFIES HR-206]** | Forecasting & Quantification |  | **SKIP** this question if **[HR-206]** is **"None of the above"** or **"I don't know"**  OR  if **[HR-705]** is **"Could Not be physically verified"** |
| Procurement |  |
| Storage & Inventory Management |  |
| LMIS |  |
| Ordering and Reporting |  |
| Waste Management |  |
| Quality and Pharmacovigilance |  |
| None of the above |  |
| **HR-708**  Ask:  SDP | Verify whether the following supply chain functions are included in the Job descriptions for Pharmacy and Stores personnel  **[VERIFIES HR-207]** | Storage & inventory management |  | **SKIP** this question if **[HR-207]** is **"None of the above"** or **"I don't know"**  OR  if **[HR-705]** is **"Could Not be physically verified"** |
| LMIS |  |
| Ordering & Reporting |  |
| Waste Management |  |
| Medicine Quality Assurance |  |
| None of the above |  |
| **HR-709**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify whether there is a unified supply chain capacity building plan or staff development plan for current employees  **[VERIFIES HR-302]** | Physically verified |  | **SKIP** this question if **[HR-302]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

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| --- | --- | --- | --- | --- |
| **HR-710**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify if there is a database to keep track of staff that have had capacity building sessions in supply chain management  **[VERIFIES HR-308]** | Physically verified |  | **SKIP** this question if **[HR-308]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **HR-711**  Ask:  MOH  Warehouse  Referral Hospitals | Verify if guidelines for supportive supervision, that explicitly refer to supply chain supervision, are available at this site  **[VERIFIES HR-508]** | Physically verified |  | **SKIP** this question if **[HR-508]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

## Physical Verification List: Module 2 – Human Resources

1. A copy of a human resource workforce plan that projects future needs for supply chain personnel. [MOH, Warehouse, Referral Hospitals]
2. A copy of staff recruitment policies that make specific reference to supply chain personnel. [MOH, Warehouse, Referral Hospitals]
3. Job descriptions for supply chain, pharmacy, and stores personnel. [MOH, Warehouse, Referral Hospitals, SDP]
4. A copy of a supply chain management capacity building plan or staff development plan for current employees. [ MOH, Warehouse, Referral Hospitals, SDP]
5. Database that keeps track of staff that have had capacity building sessions in supply chain management. [MOH, Warehouse, Referral Hospitals, SDP]
6. Supportive supervision guidelines that explicitly refer to supply chain supervision. [MOH, Warehouse, Referral Hospitals]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

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| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 2 – HUMAN RESOURCES** |

# Module 3: Financial Sustainability

**CENTRAL/MOH LEVEL:** For this module, interview the head of the Ministry of Health department that is responsible for the overall management of the supply chain nationally, if available. If not, interview the deputy head or another senior person knowledgeable about donor relations, financing and financial management of the supply chain throughout the country.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the warehouse manager, if available. If not, interview the deputy warehouse manager, financial/accounts manager, or another person knowledgeable about financing and financial management at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the hospital director if available. If not, interview the deputy hospital director, financial/accounts manager, or another person knowledgeable about financing and financial management at the hospital.

**SERVICE DELIVERY POINTS:** For this module, interview the facility head if available. If not, interview the accountant or another person knowledgeable about financing and financial management at the facility.

| **Q#** | **QUESTIONS** | **RESPONSES** | | | **SKIPS** | |
| --- | --- | --- | --- | --- | --- | --- |
| **FS-100: Budgets** | | | | | | | |
| **FS-101**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What are your sources of funding for supply chain operations?  NOTE: Funding in this case makes reference to all supply chain operations, but does NOT include the cost of health commodities  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | | | If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to [FS-104]** |
| Donor/Implementing Partners |  | | |
| Facility revenue/cost recovery |  | | |
| Others  Please specify: |  | | |
| I don't know |  | | |
| **FS-102**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How much is government budget or facility revenue/cost recovery contributing to the total supply chain operations budget at this level of the supply chain system?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  | | |  |
| Some (25-50%) |  | | |
| Most (51-99%) |  | | |
| All (100%) |  | | |
| I don't know |  | | |
| **Q#** | **QUESTIONS** | **RESPONSE** |  | | | **SKIPS** |
| **FS-103**  Ask:  MOH  Warehouse  Referral Hospital  SDP | In the past year, what proportion of identified total financial NEED for supply chain operations was supported by funds allocated by the government budget or facility revenue/cost recovery?  NOTE: While FS-102 asked about the proportion of the total supply chain operations budget that was provided by government, this asks what percent of the total NEED was actually funded by government. The actual need may be larger than the total budget.  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  | | |  |
| Some (25-50%) |  | | |
| Most (51-99%) |  | | |
| All (100%) |  | | |
| I don't know |  | | |
| **FS-104**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is donor/implementing partner funding consistent with your supply chain operations budget needs and priorities?  NOTE: percentages are given as a guide; the exact percentage is not needed. | All the time (100%) |  | | | Skip this question if **[FS-101]** did not include **"Donor/Implementing Partners"**  Go to **[FS-105]** |
| Most of the time (51-99%) |  | | |
| Sometimes (25-50%) |  | | |
| Minimally (less than 25% of the time) |  | | |
| I don't know |  | | |
| **FS-105**  Ask:  MOH  Warehouse  Referral Hospital  SDP | What are your sources of funding for health commodities?  NOTE: Funding in this case makes reference to the landed cost of all health commodities, including pharmaceuticals, medical devices, lab supplies, and medical supplies.  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | | | If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to [FS-107]** |
| Donor/Implementing Partners |  | | |
| Facility revenue/cost recovery |  | | |
| Others  Please specify: |  | | |
| I don't know |  | | |
| **FS-106**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How much is government budget or facility revenue/cost recovery contributing to the total budget for health commodities at this level of the supply chain system?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  | | |  |
| Some (25-50%) |  | | |
| Most (51-99%) |  | | |
| All (100%) |  | | |
| I don't know |  | | |
| **FS-107**  Ask:  MOH  Warehouse  Referral Hospital  SDP | In past year, was there a health commodities budget shortfall? | Yes |  | | | If **"Yes"**, continue;  Otherwise, **go to [FS-109]** |
| No |  | | |
| I don’t know |  | | |
| **Q#** | **QUESTIONS** | **RESPONSE** |  | | | **SKIPS** |
| **FS-108**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How was the budget shortfall addressed?  **[MULTIPLE RESPONSES ALLOWED]** | Internal allocation of funds |  | | |  |
| Donor funding |  | | |
| Donor in-kind donations |  | | |
| Government |  | | |
| Budgets cuts made |  | | |
| Other  Please Specify: |  | | |
| Not addressed |  | | |
| I don’t know |  | | |
| **FS-109**  Ask:  MOH | Is the amount of donor support routinely tracked by the MOH? | Yes |  | | | Skip this question if **NEITHER [FS-101] nor [FS-105]** included **"Donor/ Implementing Partners"**  Go to FS-110 |
| No |  | | |
| I don’t know |  | | |
| **FS-110**  Ask:  MOH  Warehouse  Referral Hospital | Is there an opportunity for different stakeholders (e.g. donors, implementing partners, other government entities, etc.) to provide input into the budgeting process? | Yes |  | | |  |
| No |  | | |
| I don’t know |  | | |
| **Q#** | QUESTION | RESPONSE |  | | | SKIPS |
| **FS-111**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How often are budgets prepared or updated? | Annually or more often |  | | |  |
| Less often than every year |  | | |
| I don't know |  | | |
| **FS-200: Budget Reallocation** | | | | | | | |
| **FS-201**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Can funding be reallocated at the management level, for example to allow for flexibility in the use of budget resources? | Yes | |  | |  |
| No | |  | |
| I don’t know | |  | |
| **FS-202**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Does the budget include miscellaneous funds - money that can be used to address unexpected issues that arise during the year? | Yes | |  | |  |
| No | |  | |
| I don’t know | |  | |
| **Q#** | **QUESTIONS** | **RESPONSE** | |  | | **SKIPS** |
| **FS-203**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is there a process for submitting unbudgeted requests? | Yes | |  | |  |
| No | |  | |
| I don’t know | |  | |
| **FS-300: Cost Tracking** | | | | | | | |
| **FS-301**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Are supply chain costs recorded and records maintained (e.g. products, warehousing, distribution, personnel, overhead, service delivery etc.)?  **[VERIFY WITH FS-801]** | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-302**  Ask:  MOH  Warehouse | Has a supply chain costing study been completed within the last 5 years? | Yes |  | |  | |
|  |  | |
|  |  | |
| No |  | |
| I don’t know |  | |
| **FS-400: Funding Strategy** | | | | | | | |
| **Q#** | **QUESTIONS** | **RESPONSE** |  | | **SKIPS** | |
| **FS-401**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Does your facility/entity have a funding strategy that explicitly includes supply chain costs?  NOTE: For example, the funding strategy may be part of an overall business plan/strategic plan  **[VERIFY WITH FS-802]** | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-500: Cost Tracking** | | | | | | | |
| **FS-501**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Is there a cost sharing policy/plan in place with donors for the supply chain?  Cost share refers to the resources a recipient contributes to the total cost of an agreement.  **[VERIFY WITH FS-803]** | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-600: Financial Management** | | | | | | | |
| **FS-601**  Ask:  Warehouse | Does your unit regularly prepare and submit Financial Reports? | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **Q#** | **QUESTIONS** | **RESPONSE** | | | **SKIPS** | |
| **FS-602**  Ask:  Warehouse | Do you use an Income or Profit and Loss statement? | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-603**  Ask:  Warehouse | Do you measure Liabilities? (Long Term Debt, Short Term Loans, Accounts Payable) | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-604**  Ask:  Warehouse | Do you measure your Cash Cycle/Cash Flow? (How long it takes to collect Accounts Receivable versus incoming revenue) | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-605**  Ask:  Warehouse | Does the unit conduct annual accounts receivable, expense audits, and currency conversion transactions audits? | Yes |  | |
| No |  | |
| I don’t know |  | |
| **FS-606**  Ask:  Warehouse | Are Capital Assets inventoried at least yearly? | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **Q#** | **QUESTIONS** | **RESPONSES** | | | **SKIPS** | |
| **FS-607**  Ask:  Warehouse | Do you measure Depreciation? | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-700: Insurance Reimbursements** | | | | | | | |
| **FS-701**  Ask:  Referral Hospital  SDP | Does this site accept health insurance? | Yes |  | | If **"Yes"**, continue;  Otherwise, **go to next section [FS-800]** | |
| No |  | |
| I don’t know |  | |
| **FS-702**  Ask:  Referral Hospital  SDP | Do insurance reimbursements adequately cover costs for supplying health commodities (i.e., the commodity cost and supply chain costs)? | Yes |  | |  | |
| No |  | |
| I don’t know |  | |
| **FS-703**  Ask:  Referral Hospital  SDP | Are insurance reimbursements timely? | All the time |  | |  | |
| Some of the time |  | |
| Rarely or never |  | |
| I don’t know |  | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FS-800: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **FS-801**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify whether supply chain costs (e.g. products, warehousing, distribution, personnel, overhead, service delivery etc.) are recorded and records maintained  **[VERIFY WITH FS-301]** | Physically verified |  | **SKIP** this question if **[FS-301]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **FS-802**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify whether the facility/entity has a funding strategy – for example, as part of an overall business plan/strategic plan – that explicitly includes supply chain costs **[VERIFY WITH FS-401]** | Physically verified |  | **SKIP** this question if **[FS-401]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **FS-803**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify existence of a cost sharing policy/plan with donors **[VERIFY WITH FS-501]** | Physically verified |  | **SKIP** this question if **[FS-501]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

## Physical Verification List: Module 3 – Financial Sustainability

1. Documentation that supply chain cost records are maintained. [MOH, Warehouse, Referral Hospitals, SDP]
2. A copy of a funding strategy that includes funding for supply chain costs. [MOH, Warehouse, Referral Hospitals, SDP]
3. A copy of a cost sharing plan. [MOH, Warehouse, Referral Hospitals, SDP]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 3 – FINANCIAL SUSTAINABILITY** |

# Module 4: Policy and Governance

**CENTRAL/MOH LEVEL:** For this module, interview the head of the Ministry of Health department that is responsible for the overall management of the supply chain nationally, if available. If not, interview the deputy head or another person knowledgeable about policy and governance aspects of the national supply chain.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the warehouse manager, if available. If not, interview the deputy warehouse manager or another person knowledgeable about supply chain policies and governance at the warehouse.

**REFERRAL HOSPITAL**: For this module, interview the hospital director, if available. If not, interview the deputy hospital director or another person knowledgeable about supply chain policies and governance at the hospital.

Note: This module has only a few questions on policy and governance for referral hospitals.

**SERVICE DELIVERY POINTS:** For this module, interview the facility head if available. If not, interview another person knowledgeable about use of standard treatment guidelines at the facility.

Note: This module has only one question and one verification about standard treatment guidelines for service delivery points.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **PG-100: Strategies and Governance** | | | | |
| **PG-101**  Ask:  MOH | Has the MOH established a National Medicines Policy that includes objectives for supply chain management?  **[VERIFY WITH PG-401]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [PG-103]** |
| No |  |
| I don’t know |  |
| **PG-102**  Ask:  MOH | How often is the National Medicines Policy revised?  NOTE: For answers in between the choices, round up. For example, if updates are done every 2.5 years, select "3 or 4 years" | Every 2 years or more often |  |  |
| Every 3 or 4 years |  |
| Every 5 years |  |
| Less often than every 5 years |  |
| I don't know |  |
| **PG-103**  Ask:  MOH  Warehouse  Referral Hospital | Are there formally documented management policies or guidelines for the supply chain system?  **[VERIFY WITH PG-402]** | Yes |  | If **Yes**, continue;  Otherwise, **go to [PG-105]** |
| No |  |
| I don’t know |  |
| **PG-104**  Ask:  MOH  Warehouse  Referral Hospital | Do supply chain policies or guidelines cover the following functions?  PROBE: these may be policies issued by different institutions (e.g. financing may be issued by the Ministry of Finance)  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH PG-403]** | Waste management |  |  |
| Quality assurance |  |
| Storage |  |
| Procurement |  |
| Forecasting & Quantification |  |
| Supply Planning |  |
| Inventory Management |  |
| LMIS |  |
| Financing |  |
| Human Resources |  |
| None of the above |  |
| I don't know |  |
| **PG-105**  Ask:  MOH  Warehouse | Is there a formal, high-level body or committee that provides oversight and governance for the supply chain?  NOTE: This body might be a governing board, other governmental body, or oversight committee, and would be responsible for: driving forward the strategic direction for supply chain, setting government and/or business priorities for supply chain, ensuring performance of supply chain leadership, and managing risk and accountability in the supply chain | Yes |  | If **"Yes"**, continue; Otherwise, **go to next section [PG-200]** |
| No |  |
| I don’t know |  |
| **PG-106**  Ask:  MOH  Warehouse | Who appoints the members of this supply chain oversight and governance body/committee?  **[MULTIPLE RESPONSES ALLOWED]** | Central Government |  |  |
| Regional or Local Government bodies |  |
| Civil Society or Community groups |  |
| Donors |  |
| Owners/Shareholders (where this is a private sector entity) |  |
| Others  Please specify: |  |
| I don't know |  |
| **PG-107**  Ask:  MOH  Warehouse | How often does the supply chain oversight and governance body/committee meet to discuss supply chain issues?  NOTE: For answers in between the choices, round up. For example, if meetings are held every 9 months, select "Annually" | Quarterly or more often |  |  |
| Bi-annually (twice per year) |  |
| Annually |  |
| Less often than annually |  |
| I don't know |  |
| **PG-200: Standard Treatment Guidelines** | | | | |
| **PG-201**  Ask:  MOH  Referral Hospital  SDP | Are national standard treatment guidelines available at this site/facility (in electronic or paper copy)?  **[VERIFY WITH PG-404]** | Yes |  | If "Yes", continue; Otherwise, **go to next section [PG-300]** |
| No |  |
| I don’t know |  |
| **PG-202**  Ask:  MOH | Are the standard treatment guidelines adapted from universal clinical guidelines, such as those put forth by the World Health Organization (WHO)? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PG-203**  Ask:  MOH | How often are standard treatment guidelines revised?  NOTE: For answers in between the choices, round up. For example, if revisions are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **PG-300: Registration of New Products and Technologies** | | | | |
| **PG-301**  Ask:  MOH | Is there a process for registering new drugs, products and technologies? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [PG-400]** |
| No |  |
| I don’t know |  |
| **PG-302**  Ask:  MOH | Approximately how long does it take to register a new drug on average? | up to 3 months |  |  |
| more than 3 months, up to 6 months |  |
| more than 6 months, up to 1 year |  |
| Over 1 year |  |
| I don't know |  |
| **PG-303**  Ask:  MOH | Does the organization in charge of drug registration make a list of registered products available to the public? | Yes |  |  |
| No |  |
| I don’t know |  |
| No |  |
| I don’t know |  |

| **PG-400: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| --- | --- | --- | --- | --- |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **PG-401**  Ask:  MOH | Verify existence of a National Medicines Policy that includes objectives for supply chain management  **[VERIFIES PG-101]** | Physically verified |  | **SKIP** this question if **[PG-101]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **PG-402**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether there are formally documented management policies or guidelines for the supply chain system  **[VERIFIES PG-103]** | Physically verified |  | **SKIP** this question if **[PG-103]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **PG-403**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether supply chain policies cover the following functions  **[VERIFIES PG-104]** | Waste management |  | **SKIP** this question if **[PG-104]** is **"None of the above"** or **"I don't know"** |
| Quality Assurance |  |
| Storage |  |
| Procurement |  |
| Forecasting & Quantification |  |
| Supply Planning |  |
| Inventory Management |  |
| LMIS |  |
| Financing |  |
| Human Resources |  |
| None of the above |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **PG-404**  Ask:  MOH  Referral Hospitals  SDP | Verify existence of standard treatment guidelines at this site/facility  **[VERIFIES PG-201]** | Physically verified |  | **SKIP** this question if **[PG-201]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |

## Physical Verification List: Module 4 – Policy and Governance

1. Copy of the National Medicines Policy. [MOH]
2. Copies of formally documented management policies or guidelines for the supply chain system. [MOH, Warehouse, Referral Hospitals]
3. Copy of the Standard Treatment Guidelines. [MOH, Referral Hospitals, SDP]
4. Copy of National Essential Medicines List. [MOH]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 4 – Policy and Governance** |

# Module 5: Quality & Pharmacovigilance

**CENTRAL/MOH LEVEL:** For this module, interview the head of the pharmacy department and/or the head of the national regulatory authority, if available. If not, interview the technical leads for quality assurance and pharmacovigilance at Ministry of Health and/or the national regulatory authority.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of quality assurance at the warehouse, if available. If not, interview the pharmacist, warehouse manager, or another person knowledgeable about quality assurance at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the head of pharmacy at the hospital, if available. If not, interview the head of the storeroom or another person knowledgeable about quality assurance and pharmacovigilance at the hospital.

**SERVICE DELIVERY POINTS:** For this module, interview the head of pharmacy at the facility, if available. If not, interview the head of the facility, head of the storeroom, or another person knowledgeable about quality assurance and pharmacovigilance at the facility.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **QPV-100 Medicine Quality** | | | | |
| **QPV-101**  Ask:  MOH | Is there a formally approved Product Quality Assurance strategy or policy?  **[VERIFY WITH QPV-801]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **QPV-102**  Ask:  MOH | Are there a formally approved Product Quality Assurance guidelines or manual?  **[VERIFY WITH QPV-802]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to QPV-104** |
| No |  |
| I don’t know |  |
| **QPV-103**  Ask:  MOH | How often is the Product Quality Assurance guidelines or manual updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **QPV-104**  Ask:  MOH  Warehouse | Are Certificates of Analysis & Certificates of Conformance recorded for medicines received from international sources?  NOTE: percentages are given as a guide; the exact percentage is not needed.  **[VERIFY WITH QPV-803]** | All medicines (100%) |  |  |
| Most medicines (51-99%) |  |
| Some medicines (26-50%) |  |
| Minimal medicines (1-25%) |  |
| No medicines |  |
| I don't know |  |
| **QPV-105**  Ask:  MOH  Warehouse | Are Certificates of Analysis & Certificates of Conformance recorded for medicines received from domestic sources?  NOTE: percentages are given as a guide; the exact percentage is not needed.  **[VERIFY WITH QPV-804]** | All medicines (100%) |  |  |
| Most medicines (51-99%) |  |
| Some medicines (26-50%) |  |
| Minimal medicines (1-25%) |  |
| No medicines |  |
| I don't know |  |
| **QPV-200 Laboratory Quality Control** | | | | |
| **QPV-201**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Are samples of received pharmaceutical products taken for quality control testing?  **[VERIFY WITH QPV-805]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [QPV-300]** |
| No |  |
| I don’t know |  |
| **QPV-202**  Ask:  MOH  Warehouse | Where is quality control testing conducted?  **[MULTIPLE RESPONSES ALLOWED]** | In-house Lab (e.g., belonging to MOH/government) |  |  |
| Outsourced Lab (i.e., private sector) |  |
| I don't know |  |
| **QPV-203**  Ask:  MOH  Warehouse | Are all laboratories that conduct quality control testing accredited by a competent body, such as the World Health Organization (WHO)? | Yes |  | If **"Yes"** continue;  Otherwise, **go to [QPV-205]** |
| No |  |
| I don’t know |  |
| **QPV-204**  Ask:  MOH  Warehouse | How often is the laboratory that conducts quality control testing evaluated by the accrediting body in the previous question?  NOTE: For answers in between the choices, round up. For example, if evaluations are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **QPV-205**  Ask:  MOH  Warehouse | How long does it usually take for quality assurance results to be shared by the lab after testing is complete? | Up to one week |  |  |
| More than one week, up to two weeks |  |
| More than two weeks, up to a month |  |
| More than a month, up to 3 months |  |
| More than 3 months |  |
| I don't know |  |
| **QPV-206**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | If the product quality is compromised, as determined through the quality assurance process, is there a standard operating procedures (SOP) to quarantine and/or recall the product available at this site/facility (in electronic or paper copy)?  **[VERIFY WITH QPV-806]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **QPV-207**  Ask:  Warehouse  Referral Hospitals  SDP | How often are quality control samples taken from your site | Quarterly or more often |  |  |
| At least annually, but less than quarterly |  |
| Less than annually or never |  |
| I don't know |  |
| **QPV-300 Pharmacovigilance Strategy & Guidelines** | | | | |
| **QPV-301**  Ask:  MOH | Is there a pharmacovigilance strategy/guideline in place? | Yes |  | If **"Yes",** continue;  Otherwise, **go to next section [QPV-400]** |
| No |  |
| I don’t know |  |
| **QPV-302**  Ask:  MOH | Is there a department/unit responsible for implementing the pharmacovigilance strategy/procedure? | Yes – Dedicated Staff |  |  |
| Yes – with part-time responsibility |  |
| No |  |
| I don't know |  |
| **QPV-400 Pharmacovigilance System** | | | | |
| **QPV-401**  Ask:  Warehouse  Referral Hospitals  SDP | Are there data collection tools for pharmacovigilance?  NOTE: Tools could be forms or registers that are paper or electronic  **[VERIFY WITH QPV-807]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [QPV-407]** |
| No |  |
| I don’t know |  |
| **QPV-402**  Ask:  Referral Hospitals  SDP | Are data collection tools for pharmacovigilance (e.g. reporting forms) available at this facility? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [QPV-407]** |
| No |  |
| I don’t know |  |
| **QPV-403**  Ask:  MOH | Are these tools shared with lower levels of the health system? | Yes |  |  |
| No |  |
| I don’t know |  |
| **QPV-404**  Ask:  MOH | Is data routinely collected for pharmacovigilance? | Yes |  |  |
| No |  |
| I don’t know |  |
| **QPV-405**  Ask:  Referral Hospitals  SDP | Is collected data shared with central or higher-level authorities? | Yes |  |  |
| No |  |
| I don’t know |  |
| **QPV-406**  Ask:  MOH | Is collected data shared with the international pharmacovigilance center? | Yes |  |  |
| No |  |  |
| I don’t know |  |  |
| **QPV-407**  Ask:  MOH  Referral Hospitals  SDP | Are there action protocols based on pharmacovigilance results? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [QPV-500]** |
| No |  |
| I don’t know |  |
| **QPV-408**  Ask:  MOH  Referral Hospitals  SDP | In the event of an adverse drug reaction (ADR), what action protocols are implemented?  NOTE: Freeze (an act of holding commodities at a fixed level/state with restrictions on issuance or sale)  **[MULTIPLE RESPONSES ALLOWED]** | Freeze |  |  |
| Quarantine |  |
| Recall |  |
| Notify NRA |  |
| Halt Procurements |  |
| Stoppage of Issuance of Products |  |
| Others  Please Specify: |  |
| None |  |
| I don’t know |  |
| **QPV-500: Pharmacovigilance SOPs** | | | | |
| **QPV-501**  Ask:  MOH  Referral Hospitals  SDP | Are there standard operating procedures (SOPs) for pharmacovigilance available at this site/facility (in electronic or paper copy)?  NOTE: this may include SOPs for ADR receipt, or follow up on ADR complaints  **[VERIFY WITH QPV-808]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [QPV-600]** |
| No |  |
| I don’t know |  |
| **QPV-502**  Ask:  MOH | How often are SOPs for pharmacovigilance updated?  NOTE: For answers in between the choices, round up. For example, if the timeframe is 15, 18 or 21 months, select "2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **QPV-600: Product or Medicines Quality Assurance SOPs** | | | | |
| **QPV-601**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Are there standard operating procedures for product quality assurance/quality control available at this site/facility (in electronic or paper copy)?  **[VERIFY WITH QPV-809]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [QPV-700]** |
| No |  |
| I don’t know |  |
| **QPV-602**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How often are standard operating procedures for product quality assurance/quality control updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **QPV-700: Quality Control & Pharmacovigilance Budgets** | | | | |
| **QPV-701**  Ask:  MOH  Warehouse  Referral Hospitals | Who is responsible for funding the Quality Control & Pharmacovigilance budget?  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to next section [QPV-800]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **QPV-702**  Ask:  MOH  Warehouse  Referral Hospitals | How much is government budget or facility revenue/cost recovery contributing to recurring Quality Control & Pharmacovigilance costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **QPV-800: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **QPV-801**  Ask:  MOH | Verify existence of a formally approved Product Quality Assurance strategy or policy  **[VERIFIES QPV-101]** | Physically verified |  | **SKIP** this question if **[QPV-101]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-802**  Ask:  MOH | Verify existence of a formally approved Product Quality Assurance guidelines or manual  **[VERIFIES QPV-102]** | Physically verified |  | **SKIP** this question if **[QPV-102]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-803**  Ask:  MOH  Warehouse | Verify existence of Certificates of Analysis & Certificates of Conformance recorded for medicines received from international sources  **[VERIFIES QPV-104]** | Physically verified |  | **SKIP** this question if **[QPV-104]** is **"No medicines"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-804**  Ask:  MOH  Warehouse | Verify existence of Certificates of Analysis & Certificates of Conformance recorded for medicines received from domestic sources  **[VERIFIES QPV-105]** | Physically verified |  | **SKIP** this question if **[QPV-105]** is **"No medicines"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-805**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify documentation that samples of received pharmaceutical products are taken for quality control testing  **[VERIFIES QPV-201]** | Physically verified |  | **SKIP** this question if **[QPV-201]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **QPV-806**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify existence at this site/facility of standard operating procedures (in electronic or paper copy) to quarantine and/or recall a product if the product quality is compromised, as determined through the QA process.  **[VERIFIES QPV-206]** | Physically verified |  | **SKIP** this question if **[QPV-206]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-807**  Ask:  MOH | Verify existence of data collection tools for pharmacovigilance  **[VERIFIES QPV-401]** | Physically verified |  | **SKIP** this question if **[QPV-401]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-808**  Ask:  MOH  Referral Hospitals  SDP | Verify existence of standard operating procedures (SOPs) for pharmacovigilance at this site/facility (in electronic or paper copy)  **[VERIFIES QPV-501]** | Physically verified |  | **SKIP** this question if **[QPV-501]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **QPV-809**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify the existence of standard operating procedures for product quality assurance/quality control at this site/facility (in electronic or paper copy).  **[VERIFIES QPV-601]** | Physically verified |  | **SKIP** this question if **[QPV-601]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |

## Physical Verification List: Module 5– Quality & Pharmacovigilance

1. A formally approved Product Quality Assurance strategy or policy. [MOH]
2. A formally approved Product Quality Assurance guidelines or manual. [MOH]
3. Copies of Certificates of Analysis for medicines received from international sources. [MOH, Warehouse]
4. Copies of Certificates of Analysis for medicines received from domestic sources. [MOH, Warehouse]
5. Documentation that samples of received pharmaceutical products are taken for quality control testing. [MOH, Warehouse, Referral Hospitals, SDP]
6. Copy of standard operating procedures to quarantine and/or recall a product if the product quality is compromised. [MOH, Warehouse, Referral Hospitals, SDP]
7. Data collection tools for pharmacovigilance. [MOH]
8. Standard operating procedures (SOPs) for pharmacovigilance. [MOH, Referral Hospitals, SDP]
9. Standard operating procedures for medicine quality assurance/quality control. [MOH, Warehouse, Referral Hospitals, SDP]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 5 – QUALITY & PHARMACOVIGILANCE** |

# Module 6: Forecasting and Supply Planning

**CENTRAL/MOH LEVEL:** For this module, interview the lead technical expert for medicines forecasting and supply planning for the Ministry of Health, if available. If not, interview the head of the Ministry of Health supply chain department or another person knowledgeable about the national forecasting and supply planning processes.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of forecasting and supply planning at the warehouse, if available. If not, interview the warehouse manager or another person knowledgeable about the forecasting and supply planning processes at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the head of forecasting and supply planning at the hospital, if available. If not, interview the head of hospital procurement, the hospital’s senior pharmacist, or another senior member of the hospital management team knowledgeable about the forecasting and supply planning processes at the hospital.

**SERVICE DELIVERY POINTS:** Not Applicable.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **FSP-100 Forecasting Structure** | | | | |
| **FSP-101**  Ask:  MOH  Warehouse  Referral Hospitals | Does this facility forecast its health commodity requirements? | Yes |  | If **"Yes"** continue;  Otherwise, **go to [FSP-600]** |
| No |  |
| I don’t know |  |
| **FSP-102**  Ask:  MOH | Is there a dedicated unit within the MOH responsible for forecasting and supply planning of health commodities? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-103**  Ask:  MOH  Warehouse  Referral Hospitals | Who leads the forecasting process?  NOTE: only one answer can be chosen for "leading" the process. The next question will ask who participates. | MOH forecasting and supply planning unit |  |  |
| Development partners |  |
| CMS (Central Medical Stores) |  |
| Vertical Programs |  |
| Consultants |  |
| Lower level/Local staff |  |
| Others  Please specify: |  |
| I don't know |  |
| **FSP-104**  Ask:  MOH  Warehouse  Referral Hospitals | Who is involved in the forecasting process?  **[MULTIPLE RESPONSES ALLOWED]** | MOH forecasting and supply planning unit |  |  |
| Other MOH supply chain staff |  |
| Vertical programs representatives |  |
| CMS (Central Medical Stores) |  |
| Development partners |  |
| Consultants |  |
| Lower level warehouses/storeroom staff |  |
| Lower level Hospital/SDP staff |  |
| Others  Please specify: |  |
| I don't know |  |
| **FSP-200: Forecasting Methodology** | | | | |
| **FSP-201**  Ask:  MOH  Warehouse  Referral Hospitals | For how long into the future are forecasts developed?  NOTE: For answers in between the choices, round up. For example, if forecasts are done for 15, 18 or 21 months, select "2 years" | 1 year or less |  |  |
| 2 years |  |
| 3 years or more |  |
| I don't know |  |
| **FSP-202**  Ask:  MOH  Warehouse  Referral Hospitals | Are there set timelines or deadlines for when a national forecast is conducted? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-203**  Ask:  MOH  Warehouse  Referral Hospitals | Which of the following methodologies is used during forecasting?  **[MULTIPLE RESPONSES POSSIBLE]** | Morbidity based |  |  |
| Consumption-based |  |
| Demographic projections |  |
| Service Statistic-based |  |
| Others  Please specify: |  |
| None |  |
| I don't know |  |
| **FSP-204**  Ask:  MOH  Warehouse  Referral Hospitals | Are the MOST RECENT methodology, data sources, and assumptions, that were used in forecasting documented?  **[VERIFY WITH FSP-1001]** | Yes, all are documented |  |  |
| No, at least one is not documented |  |
| I don't know |  |
| **FSP-205**  Ask:  MOH  Warehouse  Referral Hospitals | Are forecasts used to mobilize funding from government and donor sources? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-206**  Ask:  MOH  Warehouse  Referral Hospitals | Are forecasts used to inform health commodity procurement? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-300: SOPs for Forecasting** | | | | |
| **FSP-301**  Ask:  MOH  Warehouse  Referral Hospitals | Are there standard operating procedures (SOPs) or guidelines for forecasting available at this site/facility (in electronic or paper copy)?  **[VERIFY WITH FSP-1002]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [FSP-400]** |
| No |  |
| I don’t know |  |
| **FSP-302**  Ask:  MOH  Warehouse  Referral Hospitals | How often are SOPs for forecasting updated?  NOTE: For answers in between the choices, round up. For example, if the timeframe is 15, 18 or 21 months, select "2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **FSP-400: Consumption Data** | | | | |
| **FSP-401**  Ask:  MOH  Warehouse  Referral Hospitals | Does the consumption data used for the forecast include the following information?  **[MULTIPLE RESPONSES POSSIBLE]** | Wastage |  | **Skip** this section if the response to **[FSP-203] did not include "consumption-based"**  **Go to section [FSP-500]** |
| Adjusted consumption/missed demand (e.g., adjusting reported consumption for stock outs) |  |
| None of the above |  |
| I don't know |  |
| **FSP-402**  Ask:  MOH  Warehouse  Referral Hospitals | Is the quality of the consumption data assessed? | Yes |  | If **"Yes"** continue;  Otherwise, **go to [FSP-404]** |
| No |  |
| I don’t know |  |
| **FSP-403**  Ask:  MOH  Warehouse  Referral Hospitals | When was the last assessment of consumption data quality? | Within past quarter |  |  |
| Within past year (but not the last quarter) |  |
| More than a year ago |  |
| I don't know |  |
| **FSP-404**  Ask:  MOH  Warehouse  Referral Hospitals | How recent was the consumption data that was used in the current forecast?  NOTE: State how recent the consumption data at the time of the forecast was conducted.  **[VERIFY WITH FSP-1003]** | less than 3 months old |  |  |
| 3-6 months old |  |
| 6-12 months old |  |
| older than 1 year |  |
| I don't know |  |
| **FSP-500: Forecast Accuracy** | | | | |
| **FSP-501**  Ask:  MOH  Warehouse  Referral Hospitals | Is forecast accuracy measured at least annually?  **[VERIFY WITH FSP-1004]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [FSP-600]** |
| No |  |
| I don’t know |  |
| **FSP-502**  Ask:  MOH  Warehouse  Referral Hospitals | Are there performance standards or benchmarks against which forecast accuracy is assessed? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-503**  Ask:  MOH  Warehouse  Referral Hospitals | Are action plans generated based on forecast accuracy? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-600: Supply Plan** | | | | |
| **FSP-601**  Ask:  MOH  Warehouse  Referral Hospitals | Does this facility conduct supply planning for health commodity procurements?  **[VERIFY WITH FSP-1005]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [FSP-800]** |
| No |  |
| I don’t know |  |
| **FSP-602**  Ask:  MOH  Warehouse  Referral Hospitals | How often is the supply plan monitored and updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 2 days, select "weekly" | continuously or daily |  |  |
| weekly |  |
| monthly |  |
| quarterly |  |
| Bi-annually (twice per year) |  |
| annually |  |
| Less often than annually |  |
| I don't know |  |  |
| **FSP-603**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a defined procedure for collecting the data for the supply plan?  **[VERIFY WITH FSP-1006]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-604**  Ask:  MOH  Warehouse  Referral Hospitals | What data is used to inform the supply plan?  **[MULTIPLE RESPONSES POSSIBLE]** | Forecast |  |  |
| Stock on hand |  |
| Consumption |  |
| Shipment status |  |
| Financial cycles |  |
| Lead times |  |
| Others  Please specify: |  |
| None |  |
| I don't know |  |
| **FSP-605**  Ask:  MOH  Warehouse  Referral Hospitals | Are data assumptions documented as part of the supply plan?  **[VERIFY WITH FSP-1007]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-606**  Ask:  MOH  Warehouse  Referral Hospitals | Is the supply plan shared with external partners?  NOTE: Examples of external partners might be donors, outsourced logistics providers, suppliers, health delivery personnel? | Yes, all external partners |  |  |
| Yes, some external partners |  |
| No |  |
| I don't know |  |
| **FSP-700: Supply Chain Modification** | | | | |
| **FSP-701**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a formal procedure (e.g., SOP) for adjusting or updating the supply plan?  **[VERIFY WITH FSP-1008]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-702**  Ask:  MOH  Warehouse  Referral Hospitals | Are potential supply interruptions/delays communicated to facilities to which you deliver products? | Yes |  |  |
| No |  |
| I don’t know |  |
| **FSP-800: Hardware and Software Forecasting** | | | | |
| **FSP-801**  Ask:  MOH  Warehouse  Referral Hospitals | Is the forecasting process computerized? | Yes |  | **Skip** this section if **[FSP-101]** is **"No"** or **"I don't know"**  If **"Yes"**, continue;  Otherwise, **go to next section [FSP-900]** |
| No |  |
| I don’t know |  |
| **FSP-802**  Ask:  MOH  Warehouse  Referral Hospitals | Which software is used for forecasting? | Specialized forecasting software that uses machine learning or advanced algorithms to determine future need |  |  |
| Standardized health forecasting software (e.g., Pipeline, Quantimed, LabEquip, commercial sector solutions) |  |
| Excel or a general database program |  |
| Other  Please specify: |  |
| None |  |
| I don't know |  |
| **FSP-900: Budget** | | | | |
| **FSP-901**  Ask:  MOH  Warehouse  Referral Hospitals | Who is responsible for funding the forecasting and supply planning budget, including personnel, tools, etc.  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | **Skip** this section if **[FSP-101] AND [FSP-601]** **are BOTH "No"** or **"I don't know"** and go to next section.    If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to next section [FSP-1000]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **FSP-902**  Ask:  MOH  Warehouse  Referral Hospitals | How much is the government contributing to recurring forecasting and supply planning costs?  NOTE: Percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **FSP-1000: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | | **SKIPS** |
| **FSP-1001**  Ask:  MOH  Warehouse  Referral Hospitals | Verify that the methodology, data sources, and assumptions used in the MOST RECENT forecast are ALL documented  **[VERIFIES FSP-204]** | Physically verified that ALL are documented |  | |  |
| At least one could Not be physically verified |  | |
| **FSP-1002**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of standard operating procedures (SOPs) or guidelines for forecasting at this site/facility (in electronic or paper copy)  **[VERIFIES FSP-301]** | Physically verified | |  | **SKIP** this question if **[FSP-301]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |
| **FSP-1003**  Ask:  MOH  Warehouse  Referral Hospitals | Verify how recent the consumption data is that was used in the current forecast (NOTE: Verify how recent the consumption data at the time of the forecast was conducted.)  **[VERIFIES FSP-404]** | less than 3 months old | |  | **SKIP** this question if **[FSP-404]** is **"older than 1 year"** or **"I don't know"** |
| 3-6 months old | |  |
| 6-12 months old | |  |
| Older than 1 year | |  |
| Could NOT be physically verified | |  |
| **FSP-1004**  Ask:  MOH  Warehouse  Referral Hospitals | Verify that forecast accuracy has been measured within the last year  **[VERIFIES FSP-501]** | Physically verified | |  | **SKIP** this question if **[FSP-501]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |
| **FSP-1005**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of a supply plan  **[VERIFIES FSP-601]** | Physically verified | |  | **SKIP** this question if **[FSP-601]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |
| **FSP-1006**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of a procedure to collect data for the supply plan  **[VERIFIES FSP-603]** | Physically verified | |  | **SKIP** this question if **[FSP-603]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |
| **FSP-1007**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether data assumptions are documented as part of the supply plan  **[VERIFIES FSP-605]** | Physically verified | |  | **SKIP** this question if **[FSP-605]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |
| **FSP-1008**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether there is a formal procedure (e.g., SOP) for adjusting or updating the supply plan  **[VERIFIES FSP-701]** | Physically verified | |  | **SKIP** this question if **[FSP-701]** is **"No"** or **"I don't know"** |
| Could NOT physically verify | |  |

## Physical Verification List: Module 6– Forecasting & Supply Planning

1. Report from most recent forecast that documents the methodology, data sources, and assumptions. [MOH, Warehouse, Referral Hospitals]
2. Standard operating procedures for forecasting. [MOH, Warehouse, Referral Hospitals]
3. A report or other document that documents measurement of forecast accuracy. [MOH, Warehouse, Referral Hospitals]
4. A copy of the supply plan. [MOH, Warehouse, Referral Hospitals]
5. A copy of the procedure for collecting the data for the supply plan. [MOH, Warehouse, Referral Hospitals]
6. Documentation of the data assumptions in the supply plan. [MOH, Warehouse, Referral Hospitals]
7. A copy of the procedure for adjusting and updating the supply plan. [MOH, Warehouse, Referral Hospitals]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 6 – FORECASTING & SUPPLY PLANNING** |

# Module 7: Procurement and Customs Clearance

**CENTRAL/MOH LEVEL:** For this module, interview the head of the procurement department for the Ministry of Health, if available. If not, interview the deputy head of the procurement department or another person knowledgeable about national procurement and customs clearance processes. If the MOH does not have a procurement department, interview the head or deputy head of the department that regulates and oversees procurement of health commodities (e.g., the pharmacy department or national regulatory authority).

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of procurement at the warehouse, if available. If not, interview the warehouse manager or another member of the senior management team, e.g. pharmacist, knowledgeable about procurement and customs clearance processes at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the head of procurement at the hospital, if available. If not, interview the head of the hospital or another member of the senior management team at the hospital, e.g. senior pharmacist, knowledgeable about the procurement processes at the hospital.

**SERVICE DELIVERY POINTS:** Not Applicable.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **PRO-100: Procurement Control** | | | | |
| **PRO-101**  Ask:  MOH  Warehouse  Referral Hospitals | Does this location procure drugs/medical supplies from the private sector? | Yes |  | If **"Yes"** continue;  Otherwise, go to next module **[WS Module]** |
| No |  |
| I don’t know |  |
| **PRO-102**  Ask:  MOH | Which entity(ies) are responsible for implementing health commodity procurements?  NOTE: Procurement refers to acquisition of pharmaceutical products and medical supplies  **[MULTIPLE RESPONSES ALLOWED]** | Central government |  |  |
| Decentralized government |  |
| Procurement parastatal |  |
| Outsourced to private sector |  |
| Outsourced to non-government organization |  |
| Development partners |  |
| No entity in place |  |
| I don't know |  |
| **PRO-103**  Ask:  MOH | Which entity is responsible for regulation and oversight of the overall procurement process?  NOTE: Procurement refers to acquisition of pharmaceutical products and medical supplies  **[MULTIPLE RESPONSES ALLOWED]** | Central government |  |  |
| Decentralized government |  |
| Procurement parastatal |  |
| Outsourced to private sector |  |
| Outsourced to non-government organization |  |
| Development partners |  |
| No entity in place |  |
| I don't know |  |
| **PRO-104**  Ask:  MOH  Warehouse  Referral Hospitals | Are procurements approved by authorized personnel/stakeholders?  **[VERIFY WITH PRO-1401]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-105**  Ask:  MOH  Warehouse  Referral Hospitals | What internal control systems are in place for procurement?  **[MULTIPLE RESPONSES POSSIBLE]** | Value thresholds (procurements of different values need different approval procedures) |  |  |
| Formally enforced order & approval protocols |  |
| Contracts Committee |  |
| Procurement & Adjudication committee/Tender committee |  |
| Contract management |  |
| Separation of roles |  |
| Legal Review |  |
| None of the above |  |
| I don't know |  |
| **PRO-106**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a procurement ethics or anticorruption program in place? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-200: Procurement Audits** | | | | |
| **PRO-201**  Ask:  MOH  Warehouse  Referral Hospitals | How often do formal EXTERNAL audits of the procurement system take place?  NOTE: For answers in between the choices, round up. For example, if the timeframe is 15, 18 or 21 months, select "2 years" | Annually or more often |  | If **"Never"** or **"I don't know"**, go to next section  Otherwise, continue **[PRO-300]** |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **PRO-202**  Ask:  MOH  Warehouse  Referral Hospitals | Are procurement audit results used to develop a procurement action plan? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-300: Procurement Procedures** | | | | |
| **PRO-301**  Ask:  MOH | Are there policies and guidelines that specifically guide decentralized units - such as warehouses, hospitals and service delivery points - for purchase of their own medicines from the private sector? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-302**  Ask:  MOH  Warehouse  Referral Hospitals | Are there procedures in the form of guidelines, manuals or standard operating procedures (SOPs) for procurement available at this site/facility (in electronic or paper copy)?  NOTE: this might include SOPs for receipt of bids, bid opening, and bid evaluations.  **[VERIFY WITH PRO-1402]** | Yes |  | If **"Yes**", continue;  Otherwise, **go to next section [PRO-400]** |
| No |  |
| I don’t know |  |
| **PRO-303**  Ask:  MOH  Warehouse  Referral Hospitals | How often are procurement guidelines, manuals or procedures (e.g., SOPs) updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **PRO-400: Product Specifications** | | | | |
| **PRO-401**  Ask:  MOH  Warehouse  Referral Hospitals | During sourcing and procurement (prequalification or bidding), is reference made to the following?  **[MULTIPLE RESPONSES ALLOWED]** | National treatment guidelines |  |  |
| Essential medicines list |  |
| Medical and Lab supplies list |  |
| User department specifications |  |
| Forecasts |  |
| None of the above |  |
| I don't know |  |
| **PRO-500: Identifying and Qualifying Vendors** | | | | |
| **PRO-501**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a documented process in place for identifying and qualifying vendors?  **[VERIFY WITH PRO-1403]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-502**  Ask:  MOH  Warehouse  Referral Hospitals | Is there an approved vendor list? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-503**  Ask:  MOH  Warehouse  Referral Hospitals | Is vendor information maintained in a database (can be electronic or paper based)?  **[VERIFY WITH PRO-1404]** | Yes |  |  |
| No |  |
| I don’t know |  |
|  |  |
| **PRO-504**  Ask:  MOH  Warehouse  Referral Hospitals | Do you provide potential vendors and/or the public access to current, up-to-date information about procurement processes, procedures and policies? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-505**  Ask:  MOH  Warehouse  Referral Hospitals | Do you maintain a procurement website accessible to external stakeholders?  **[VERIFY WITH PRO-1405]** | Yes |  | If **"YES"** continue;  Otherwise, **go to [PRO-507]** |
| No |  |
| I don’t know |  |
| **PRO-506**  Ask:  MOH  Warehouse  Referral Hospitals | Which information does this procurement website make available?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH PRO-1406]** | Current bid opportunities |  |  |
| Bid results |  |
| Current contracts |  |
| Solicitation schedules |  |
| None of the above |  |
| I don’t know |  |  |
| **PRO-507**  Ask:  MOH  Warehouse  Referral Hospitals | Where is the master information on upcoming and completed procurements maintained?  **[PROMPT IF NECESSARY]**  **[MULTIPLE RESPONSES ALLOWED]** | Enterprise Resource Planning program (ERP) |  |  |
| Procurement Software |  |
| Other electronic file directory (e.g., Excel) |  |
| Manual/paper based |  |
| Not centrally filed |  |
| I don't know |  |
| **PRO-508**  Ask:  MOH  Warehouse  Referral Hospitals | Is detailed feedback provided to vendors and other stakeholders after the qualification process is completed?  **[VERIFY WITH PRO-1407]** | Yes |  | Skip this question if **[PRO-501]** is **"No"** or **"I don't know"**  **Go to [PRO-601]** |
| No |  |
| I don’t know |  |
| **PRO-600: Fair Competition & Cost Effectiveness** | | | | |
| **PRO-601**  Ask:  MOH  Warehouse  Referral Hospitals | Do the tenders include terms and conditions?  **[VERIFY WITH PRO-1408]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-602**  Ask:  MOH  Warehouse  Referral Hospitals | What percentage of procurements require vendor competition for tenders?  NOTE: percentages are given as a guide; the exact percentage is not needed. | All (100%) |  | If **"All"**, **go to [PRO-604]**;  Otherwise, continue. |
| Most (51-99%) |  |
| Some (25-50%) |  |
| Minimally (less than 25% of the time) |  |
| None |  |
| I don't know |  |
| **PRO-603**  Ask:  MOH  Warehouse  Referral Hospitals | If a tender is not competed, do you document these exceptions? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-604**  Ask:  MOH  Warehouse  Referral Hospitals | Which measures do tender evaluations include?  **[PROMPT BY READING CHOICES]**  **[MULTIPLE RESPONSES ALLOWED]** | Price |  | **Skip** this question if **[PRO-602]** is **"None"**  Go to PRO-605 |
| Quality |  |
| Service |  |
| Past performance |  |
| Lead time |  |
| Other  Please specify: |  |
| None of the above |  |
| I don't know |  |
| **PRO-605**  Ask:  MOH  Warehouse  Referral Hospitals | Are there formal processes in place to maintain vendors' proprietary information as confidential? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-606**  Ask:  MOH  Warehouse  Referral Hospitals | Are formal notifications sent to both successful AND unsuccessful bidders?  NOTE: Both successful and unsuccessful bidders must be notified in order to score "Yes'.  **[VERIFY WITH PRO-1409]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-607**  Ask:  MOH  Warehouse  Referral Hospitals | Does this location benchmark or compare its purchase prices against market indices? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-700: Vendor Performance Evaluation** | | | | |
| **PRO-701**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a system with documented criteria and processes in place to evaluate vendor performance? | Yes |  | If **"Yes"**, continue;  Otherwise**, go to next section [PRO-800]** |
| No |  |
| I don’t know |  |
| **PRO-702**  Ask:  MOH  Warehouse  Referral Hospitals | When assessing vendor performance, which of the following criteria are used?  **[PROMPT BY READING CHOICES]**  **[MULTIPLE RESPONSES ALLOWED]** | Timeliness |  |  |
| In full delivery |  |
| Value for Money |  |
| Quality |  |
| Responsiveness |  |
| Others  Please specify: |  |
| I don't know |  |
| **PRO-703**  Ask:  MOH  Warehouse  Referral Hospitals | Are the vendor performance results communicated to the vendors? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-800: Procurement Appeals Process** | | | | |
| **PRO-801**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a formal, documented procurement appeals process?  **[VERIFY WITH PRO-1410]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [PRO-900]** |
| No |  |
| I don’t know |  |
| **PRO-802**  Ask:  MOH  Warehouse  Referral Hospitals | How long does the appeals process take to complete? | up to 6 months |  |  |
| more than 6 months, up to 12 months |  |
| more than 12 months |  |
| I don't know |  |
| **PRO-803**  Ask:  MOH  Warehouse  Referral Hospitals | Are procurement appeal decisions made publicly available? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-900: Order and Delivery Management Processes** | | | | |
| **PRO-901**  Ask:  MOH  Warehouse  Referral Hospitals | Is there a contract management or an order and delivery management system in place? | Yes |  | If **"Yes"**, continue.  Otherwise, **go to [PRO-903]** |
| No |  |
| I don’t know |  |
| **PRO-902**  Ask:  MOH  Warehouse  Referral Hospitals | Is the data in the contract management system updated in real time or daily? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-903**  Ask:  MOH  Warehouse  Referral Hospitals | Are there penalties for vendors that do not fulfill contracts? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-904**  Ask:  MOH  Warehouse  Referral Hospitals | Is insurance coverage provided for products in transit?  PROMPT: Do the INCO terms used require insurance for products in transit be purchased/provided by either the seller or the buyer?  **[VERIFY WITH PRO-1411]** | Yes (for all of them) |  |  |
| Yes (for some of them) |  |
| No |  |
| I don't know |  |
| **PRO-1000: Procurement KPIs** | | | | |
| **PRO-1001**  Ask:  MOH  Warehouse  Referral Hospitals | Are procurement metrics used to measure procurement performance? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1100: Customs Clearance** | | | | |
| **PRO-1101**  Ask:  MOH  Warehouse | Does this unit/warehouse play a role in customs clearance? | Yes |  | If **"Yes"**, continue.  Otherwise, **skip to next section [PRO-1200]** |
| No |  |
| I don’t know |  |
| **PRO-1102**  Ask:  MOH  Warehouse | Is there a procedure that guides customs clearance specifically for health commodities? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1103**  Ask:  MOH  Warehouse | Is there an entity responsible for coordinating the customs clearance process for health commodities? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1104**  Ask:  MOH  Warehouse | Are relevant parties notified in advance of expected shipment arrival?  NOTE: percentages are given as a guide; the exact percentage is not needed. | All the time (100%) |  |  |
| Most of the time (51-99%) |  |
| Sometimes (25-50%) |  |
| Minimally (less than 25% of the time) |  |
| I don't know |  |
| **PRO-1105**  Ask:  MOH | Are all health commodity imports under full exemption of customs duties and taxes? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [PRO-1107]** |
| No |  |
| I don’t know |  |
| **PRO-1106**  Ask:  MOH | Is there a formal procedure in place to obtain the exemptions? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1107**  Ask:  MOH  Warehouse | Is customs clearance done in-house or outsourced? | In-house only |  | If **"In-house only"** or **"I don't know"**, **go to [PRO-1109]** ;  Otherwise, continue |
| Outsourced only |  |
| Both In-house and Outsourced |  |
| I don’t know |  |
| **PRO-1108**  Ask:  MOH  Warehouse | Is there an approved contract for customs clearance services? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1109**  Ask:  MOH  Warehouse | How long does removal of products typically take from the airport when that is the port of entry? | 1 day |  |  |
| 2 days |  |
| 3 days to 1 week |  |
| more than 1 week, up to 2 weeks |  |
| more than two weeks |  |
| I don't know |  |
| **PRO-1110**  Ask:  MOH  Warehouse | How long does removal of products typically take from the port of entry when the port of entry is not the airport (e.g., via sea or road)? | 1 day |  |  |
| 2 days |  |
| 3 days to 1 week |  |
| more than 1 week, up to 2 weeks |  |
| more than two weeks |  |
| I don't know |  |
| **PRO-1111**  Ask:  MOH  Warehouse | Is the customs clearance process monitored using standardized metrics? | Yes |  |  |
| No |  |
| I don’t know |  |
| **PRO-1200: Budget** | | | | |
| **PRO-1201**  Ask:  MOH  Warehouse  Referral Hospitals | Who is responsible for funding the budgets associated with procurement processes and/or customs clearance for program related commodities?  NOTE: This should NOT include the cost of commodities themselves, just the costs for the procurement process and customs clearing process, duties and fees.  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | If **"Government budget"** or **"facility revenue/cost recovery",** continue;  Otherwise, **go to next section [PRO-1300]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **PRO-1202**  Ask:  MOH  Warehouse  Referral Hospitals | How much is government budget or facility revenue/cost recovery contributing to recurring procurement processes and/or customs clearance costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |
| **PRO-1300: Computerization** | | | | |
| **PRO-1301**  Ask:  MOH  Warehouse  Referral Hospitals | Do you use an electronic procurement (e-procurement) process?  NOTE: E-procurement is the electronic purchase and sale of goods and services through an Internet-based or other electronic platform. It is designed to improve transparency and efficiency in the procurement process. | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [PRO-1400]** |
| No |  |
| I don’t know |  |
| **PRO-1302**  Ask:  MOH  Warehouse  Referral Hospitals | Are there staff trained on the use of e-procurement? | Yes |  |  |
| No |  |
| I don’t know |  |

| **PRO-1400: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| --- | --- | --- | --- | --- |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **PRO-1401**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether procurements are approved by authorized personnel/stakeholders. For example, review the Procurement manual/regulations or procurement documentation.  **[VERIFIES PRO-104]** | Physically verified |  | **SKIP** this question if **[PRO-104]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **PRO-1402**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of guidelines, manuals or standard operating procedures (SOPs) for procurement at this site/facility (in electronic or paper copy)  **[VERIFIES PRO-302]** | Physically verified |  | **SKIP** this question if **[PRO-302]** is **"No"** or **"I don't know**" |
| Could Not be physically verified |  |
| **PRO-1403**  Ask:  MOH  Warehouse  Referral Hospitals | Verify from prequalification documents that there is a documented process in place for identifying and qualifying vendors  **[VERIFIES PRO-501]** | Physically verified |  | **SKIP** this question if **[PRO-501]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **PRO-1404**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of a database for vendor information (paper or electronic)  **[VERIFIES PRO-503]** | Physically verified |  | **SKIP** this question if **[PRO-503]** is **"No"** or **"I don't ]know"** |
| Could NOT physically verify |  |
| **PRO-1405**  Ask:  MOH  Warehouse  Referral Hospitals | Verify existence of a procurement website accessible to external stakeholders  **[VERIFIES PRO-505]** | Physically verified |  | **SKIP** this question if **[PRO-505]** is **"No"** or **"I don't know"** |
| Could Not be physically verified |  |
| **PRO-1406**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether the procurement website has the following information  **[VERIFIES PRO-506]** | Current bid opportunities |  | **SKIP** this question if **[PRO-506]** is **"None of the above"** or **"I don't know"** |
| Bid results |  |
| Current contracts |  |
| Solicitation schedules |  |
| None of the above |  |
| **PRO-1407**  Ask:  MOH  Warehouse  Referral Hospitals | Verify if detailed feedback is provided to vendors and other stakeholders after the qualification process is completed  **[VERIFIES PRO-508]** | Physically verified |  | **SKIP** this question if **[PRO-508]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **PRO-1408**  Ask:  MOH  Warehouse  Referral Hospitals | Verify if tenders include terms and conditions, with a copy of a tender document  **[VERIFIES PRO-601]** | Physically verified |  | **SKIP** this question if **[PRO-601]** is **"No"** or "I don't know" |
| Could NOT physically verify |  |
| **PRO-1409**  Ask:  MOH  Warehouse  Referral Hospitals | Verify from documented communication that formal notifications are sent to both successful AND unsuccessful bidders  **[VERIFIES PRO-606]** | Could NOT physically verify |  | **SKIP** this question if **[PRO-606]** is **"No"** or **"I don't know"** |
| Physically verified |  |
| **PRO-1410**  Ask:  MOH  Warehouse  Referral Hospitals | Verify that a formal procurement appeals process is appropriately documented  **[VERIFIES PRO-801]** | Could NOT physically verify |  | **SKIP** this question if **[PRO-801]** is **"No"** or **"I don't know"** |
| Physically verified |  |
| **PRO-1411**  Ask:  MOH  Warehouse  Referral Hospitals | Verify whether insurance coverage is provided for products in transit. For example, request for copies of insurance certificates or verify that INCO terms requires the seller to insure products in transit.  **[VERIFIES PRO-904]** | Could NOT physically verify |  | **SKIP** this question if **[PRO-904]** is **"No"** or **"I don't know"** |
| Physically verified |  |

## Physical Verification List: Module 7– Procurement & Customs Clearance

1. Documentation that procurements are approved by authorized personnel/stakeholders, for example procurement manual/regulations or procurement records. [MOH, Warehouse, Referral Hospitals]
2. A copy of guidelines, manuals, or standard operating procedures (SOPs) for procurement. [MOH, Warehouse, Referral Hospitals]
3. A copy of a prequalification document. [MOH, Warehouse, Referral Hospitals]
4. A database for vendor information. [MOH, Warehouse, Referral Hospitals]
5. Access to the site’s procurement website. [MOH, Warehouse, Referral Hospitals]
6. Copies of communications to vendors sharing feedback after the qualification process is completed. [MOH, Warehouse, Referral Hospitals]
7. A copy of a tender document that includes terms and conditions. [MOH, Warehouse, Referral Hospitals]
8. Copies of notifications to both successful AND unsuccessful bidders after procurement evaluations. [MOH, Warehouse, Referral Hospitals]
9. Copies of a documented procurement appeals process. [MOH, Warehouse, Referral Hospitals]
10. Copies of insurance coverage for products in transit. [MOH, Warehouse, Referral Hospitals]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 7 – PROCUREMENT** |

# Module 8: Warehousing & Storage

**CENTRAL/MOH LEVEL:** For this module, interview the head of the Ministry of Health department that is responsible for the overall management of the supply chain nationally, if available. If not, interview the deputy head or another person knowledgeable about national warehousing policies and processes.

Note: For this module, you will be expected to verify documents during the interview. This is the only module where verification will be done during the interview, as opposed to at the end of the module.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the warehouse manager, if available. If not, interview deputy warehouse manager or another person knowledgeable about or responsible for general warehouse operations.

Note: For this module, you will be expected to go into the warehouse and verify information during the interview. This is the only module where verification will be done during the interview, as opposed to at the end of the module.

**REFERRAL HOSPITAL:** For this module, interview the storeroom manager if available. If not, interview the deputy storeroom manager or another person responsible for or knowledgeable about general storage operations, e.g. senior pharmacist.

Note: For this module, you will be expected to go to the storeroom(s) and verify information during the interview. This is the only module where verification will be done during the interview, as opposed to at the end of the module.

**SERVICE DELIVERY POINTS:** For this module, interview the storeroom manager if available. If not, interview a storeroom clerk or another person responsible for general storage operations. At smaller health posts responsibility for stores management may be combined with other roles, or be the responsibility of the head of the SDP, pharmacist, or senior nurse.

Note: For this module, you will be expected to go to the storeroom(s) and verify information during the interview. This is the only module where verification will be done during the interview, as opposed to at the end of the module.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- |
| **WS-100: Warehousing Standard Operating Procedures** | | | | |
| **WS-101**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Are there standard operating procedures (SOPs) for Warehousing & Storage available at this site/facility (in electronic or paper copy)?  NOTE: For example, SOPs for order picking & verification, order processing, order dispatch & loading  **[VERIFY DOCUMENT AVAILABLE]** | Yes |  | If **"Yes, Physically Verified"** or "**Yes, but NOT Physically Verified:,** continue;  Otherwise, **go to next section [WS-200]** |
| Physically Verified |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-102**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How often are standard operating procedures for Warehousing & Storage updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **WS-200: Commodity Receipt** | | | | |
| **WS-201**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following checks are made for inbound shipments (shipments received)?  **[MULTIPLE ANSWERS ALLOWED]** | Quantity (number of units) |  | If **"They are not checked"** or **"I don't know"**, go to **[WS-203]**;  Otherwise, continue |
| Shelf-life remaining |  |
| Quality (beyond external packaging, e.g. sampling for pharmaceutical quality testing) |  |
| Carton count/pallet count |  |
| Documentation |  |
| Correct currency and pricing |  |
| None of the above are checked |  |
| I don't know |  |
| **WS-202**  Ask:  Warehouse  Referral Hospitals  SDP | What actions do you take when there is a discrepancy in the commodities received?  **[MULTIPLE RESPONSES ALLOWED]** | Notify the warehouse/supplier that issued the product |  |  |
| Reject the products |  |
| Fill in a discrepancy form |  |
| Re- order |  |
| Quarantine the products |  |
| None of the above |  |
| I don't know |  |
| **WS-203**  Ask:  Referral Hospitals  SDP | Do you receive a distribution schedule in advance from the Issuing Warehouse or Supplier? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-204**  Ask:  Referral Hospitals  SDP | Do you maintain proof of delivery (POD) records for product received? If so, in what format? | Yes, Paper copies |  | If **"Yes"**, continue;  Otherwise, **go to [WS-206]** |
| Yes, Electronic copies (e.g., PDFs, digital photos) |  |
| Yes, Via an automated system (e.g., barcoding scans to computerized system) |  |
| No |  |
| I don't know |  |
| **WS-205**  Ask:  Referral Hospitals  SDP | If PODs are maintained, how long are they kept? | up to 3 months |  |  |
| more than 3 months, up to 6 months |  |
| more than 6 months, up to 12 months |  |
| more than 12 months |  |
| **WS-206**  Ask:  Referral Hospitals  SDP | What are the challenges faced by this facility related to last mile delivery (at receipt of commodities)?  **[MULTIPLE RESPONSES ALLOWED]** | Late deliveries |  |  |
| Uncommunicated deliveries |  |
| Uncertainty of when deliveries will arrive |  |
| Damaged commodities |  |
| Partial deliveries |  |
| Excess commodities |  |
| Delivery of near expiry commodities |  |
| Others  Please Specify: |  |
| None |  |
| I don’t know |  |
| **WS-300: Warehouse Design & Layout** | | | | |
| **WS-301**  Ask:  Warehouse | Does the store meet the following minimum acceptable design, layout and construction requirements for storage of pharmaceutical products?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Permanent and leak-free roofing |  |  |
| Insulated and leak-free ceiling |  |
| Adequate ventilation |  |
| Smooth and non-porous floor |  |
| Bulk storage area |  |
| Designated quarantine area |  |
| Receiving and dispatch storage areas |  |
| Cold chain storage |  |
| Designated area for storage of hazardous substances |  |
| Designated area for storage of controlled substance |  |
| Office area |  |
| Products stored on pallets, away from walls (i.e. products not stored on the floor or against the walls) |  |
| None of the above |  |
| **WS-302**  Ask:  Referral Hospitals  SDP | Does the store meet the following minimum acceptable design, layout and construction requirements for storage of pharmaceutical products?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Permanent and leak-free roofing |  |  |
| Insulated and leak-free ceiling |  |
| Adequate ventilation |  |
| Smooth and non-porous floor |  |
| Designated quarantine area |  |
| Cold chain storage |  |
| Designated area for storage of hazardous substances |  |
| Designated area for storage of controlled substance |  |
| None of the above |  |
| **WS-303**  Ask:  Warehouse  Referral Hospitals  SDP | Are the following in place for the Quarantine area?  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Access restricted to authorized personnel (E.g., locks on doors/cabinets) |  | **Skip** this question if **[WS-301]** or **[WS-302]** did not include **"Designated Quarantine area"**  Go to **[WS-304]** |
| Appropriate signage/labels indicating quarantine area |  |
| Segregation of different batches of quarantined product |  |
| None |  |
| **WS-304**  Ask:  Warehouse | Do receiving and dispatch storage areas have separate docks?  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Yes |  | **Skip** this question if **[WS-301]** did not include **"Receiving and dispatch storage areas"**  Go to **[WS-400]** |
| No |  |
| I don’t know |  |
| **WS-400: Warehouse Utilities** | | | | |
| **WS-401**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following utilities are in place in the warehouse / stores area?  **[MULTIPLE RESPONSES ALLOWED]** | Electric Lighting |  | If **"Electric Lighting"** continue;  Otherwise, **go to next section [WS-500]** |
| Telephone |  |
| None of the above |  |
| I don't know |  |
| **WS-402**  Ask:  Warehouse  Referral Hospitals  SDP | What backup systems do you use for electric power at this facility?  **[MULTIPLE RESPONSES ALLOWED]** | Generator |  |  |
| Inverters |  |
| Solar Power |  |
| Others  Please specify: |  |
| No backup available |  |
| I don't know |  |
| **WS-500: Warehouse Equipment** | | | | |
| **WS-501**  Ask:  Warehouse | Is the following material handling equipment available?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Shelves |  |  |
| Cabinets |  |
| Pallets |  |
| Hand truck |  |
| Trollies or carts |  |
| Pallet truck or pallet jack |  |
| Pallet racks |  |
| Fork lifts |  |
| Automatic systems (robotic) |  |
| None of the above |  |
| **WS-502**  Ask:  Referral Hospitals | Is the following material handling equipment available?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Shelves |  |  |
| Cabinets |  |
| Pallets |  |
| Trollies or carts |  |
| Hand truck |  |
| Pallet truck or pallet jack |  |
| Pallet racks |  |
| Fork lifts |  |
| None of the above |  |
| **WS-503**  Ask:  SDP | Is the following material handling equipment available?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Shelves |  |  |
| Cabinets |  |
| Trollies or carts |  |
| Hand truck |  |
| None of the above |  |
| **WS-600: Repair & Maintenance Programs** | | | | |
| **WS-601**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Is there a repair and maintenance plan in place for all equipment and utilities?  **[VERIFY DOCUMENT AVAILABLE]** | **Yes** |  |  |
| Physically Verified |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-602**  Ask:  Warehouse  Referral Hospitals  SDP | Are there equipment maintenance logs?  **[VERIFY DOCUMENT AVAILABLE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-700: Safety & Security** | | | | |
| **WS-701**  Ask:  Warehouse  Referral Hospitals  SDP | What safety equipment is available in this facility today?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Sprinkler system |  | If **"Fire extinguishers"** continue;  Otherwise, **go to [WS-704]** |
| Fire extinguishers |  |
| Heat, flame or smoke detectors |  |
| Heavy duty Gloves |  |
| Spill kits (these contain absorbent pads, acid/base neutralizers, goggles etc.) |  |
| Masks |  |
| Lab coats |  |
| Reflectors |  |
| Helmets |  |
| Safety boots |  |
| Safety knives |  |
| Others  Please specify: |  |
| None of the above |  |
| I don't know |  |
| **WS-702**  Ask:  Warehouse  Referral Hospitals  SDP | How long ago were the fire extinguishers inspected/serviced?  **[VERIFY INSPECTION LABEL. RECORD ONLY WHAT IS VERIFIED.]** | Inspection label (tag) is within one year |  |  |
| Inspection is older than 1 year |  |
| No inspection tag |  |
| I don't know |  |
| **WS-703**  Ask:  Warehouse  Referral Hospitals  SDP | Are operators trained in the safe use of the material handling AND firefighting equipment? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-704**  Ask:  Referral Hospitals  SDP | What security measures are in place and currently operational?  **[MULTIPLE ANSWERS POSSIBLE]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Controlled access (e.g., limited access to keys) |  |  |
| Locks on main doors |  |
| Locks on product cabinets |  |
| Burglar bars |  |
| Staff ID cards |  |
| Control of vehicles entering premises |  |
| Record of all people entering and exiting the storeroom |  |
| Security guards |  |
| Alarm (local to facility) |  |
| Alarm (connected to police) |  |
| CCTV recordings kept on file |  |
| Biometric control of entry to the storeroom |  |
| None of the above |  |
| I don't know |  |
| **WS-705**  Ask:  Warehouse | What security measures are in place and currently operational?  **[MULTIPLE ANSWERS POSSIBLE]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Controlled access (e.g., limited access to keys) |  |  |
| Locks on main doors |  |
| Locks on product cabinets |  |
| Burglar bars |  |
| Staff ID cards |  |
| Control of vehicles entering premises |  |
| Record of all people entering and exiting the warehouse |  |
| Security guards |  |
| Alarm (local to facility) |  |
| Alarm (connected to police) |  |
| CCTV recordings kept on file |  |
| Biometric control of entry to the storage areas |  |
| None of the above |  |
| I don't know |  |
| **WS-800: Picking and Shipping Operations** | | | | |
| **WS-801**  Ask:  MOH | What is the national policy / SOP / etc. for determining which stock for a given item to issue first?  **[READ CHOICES – MULTIPLE RESPONSES ALLOWED]**  **[REQUEST A COPY OF THE POLICY AND VERIFY. RECORD ONLY WHAT IS VERIFIED]** | FEFO (First Expiry First Out)  FIFO principles (First in, first out) implemented for products without expiration dates or products with the same expiration dates  Neither of these were verified |  |  |
|  |  |
|  |  |
| **WS-802**  Ask:  Warehouse  Referral Hospitals  SDP | How do you determine which stock for a given item to issue out first?  **[DO NOT READ RESPONSE OPTIONS]**  NOTE: Have the respondent explain how they determine which stock to issue first, then the interviewer should score appropriately based on whether the answer incorporated FEFO and/or FIFO principles | FEFO (First Expiry First Out) requirements adhered to |  |  |
| FIFO principles (First in, first out) implemented for products without expiration dates or products with the same expiration dates |  |
| Neither of these |  |
| I don't know |  |
| **WS-803**  Ask:  Warehouse | What aspects do you check for during dispatch of outbound orders? | Quantity |  |  |
| Quality |  |
| Documentation |  |
| Not checked |  |
| I don't know |  |
| **WS-804**  Ask:  Warehouse | Which of the following measures are in place to ensure commodity loss prevention?  **[MULTIPLE RESPONSES ALLOWED]** | Shipping Package is weighed before shipping and confirmed at receipt |  |  |
| Shipping package is wrapped and securely sealed |  |
| Physical Verification (Double checking) of picked quantities |  |
| Issuance of authorization to take out goods |  |
| Others  Please specify: |  |
| No measures in place |  |
| I don't know |  |
| **WS-805**  Ask:  Warehouse | How are shipments and orders confirmed between the sender and receiver?  **[MULTIPLE RESPONSES ALLOWED]** | Confirmation is provided manually via telephone |  |  |
| Confirmation is provided manually through paper documentation |  |
| Confirmation is provided manually via email |  |
| Confirmation is electronically through PDAs/mobile phones |  |
| Confirmation is automatically sent from the WMS (Warehouse Management System) |  |
| They are not confirmed |  |
| I don't know |  |
| **WS-806**  Ask:  Warehouse | Is the delivery process traceable?  **[MULTIPLE RESPONSES ALLOWED]** | Yes - Manual tracking of orders with established delivery dates |  |  |
| Yes - Inbound/outbound visibility available electronically, such as in the WMS (Warehouse Management System), with established delivery dates |  |
| No |  |
| I don't know |  |
| **WS-807**  Ask:  Warehouse | Is delivery confirmation documented?  **[VERIFY DOCUMENT AVAILABLE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-808**  Ask:  Warehouse | Are picking and shipping operations monitored using standardized metrics? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-900: Environmental Monitoring and Control** | | | | |
| **WS-901**  Ask:  Warehouse  Referral Hospitals  SDP | Is the warehouse room temperature recorded on the appropriate log or register and up to date?  NOTE: Up to date means updated within the last 2 days  **[VERIFY EXISTENCE OF THE REGISTER AND WHETHER UP TO DATE]** | Yes, register Physically Verified and up to date (within last 2 days) |  |  |
| Register Physically Verified but NOT up to date |  |
| Yes, but register NOT Physically Verified |  |
| No register |  |
| I don't know |  |
| **WS-902**  Ask:  Warehouse  Referral Hospitals  SDP | Are the warehouse humidity levels recorded on the appropriate log or register and up to date?  NOTE: Up to date means updated within the last 2 days  **[VERIFY EXISTENCE OF THE REGISTER AND WHETHER UP TO DATE]** | Yes, register Physically Verified and up to date (within last 2 days) |  |  |
| Register Physically Verified but NOT up to date |  |
| Yes, but register NOT Physically Verified |  |
| No register |  |
| I don't know |  |
| **WS-903**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following temperature control systems do you have in place?  **[MULTIPLE RESPONSES ALLOWED]** | Heating system |  |  |
| Cooling/Air Conditioning system |  |
| Neither of the above |  |
| I don't know |  |
| **WS-1000: Product Organization** | | | | |
| **WS-1001**  Ask:  Warehouse | In case of stock overflow, where does the excess stock go?  **[MULTIPLE RESPONSES ALLOWED]** | Hallways |  |  |
| Supplier’s Warehouse |  |
| Partner’s Warehouse |  |
| Another facility’s store |  |
| Secondary Storage-Space Outside the Store |  |
| Staff Offices |  |
| Pushed Out Immediately Down Supply Chain |  |
| Rent Out Extra Space |  |
| Other  Please Specify: |  |
| No overflow stock |  |
| I don’t know |  |
| **WS-1002**  Ask:  Warehouse | Which of the following does the Warehouse Management System (WMS) capture?  **[MULTIPLE RESPONSES ALLOWED]** | Volume of items |  |  |
| Weight of items |  |
| Pallet sizes/numbers |  |
| Carton sizes/numbers |  |
| Unit price/Value of product |  |
| None of the above are captured by WMS system |  |
| No WMS in place |  |
| I don't know |  |
| **WS-1100: Cold Chain Management** | | | | |
| **WS-1101**  Ask:  Warehouse  Referral Hospitals  SDP | Which cold chain infrastructure is available at this facility?  **[PROMPT AND CHECK ALL THAT APPLY]**  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Free-standing refrigerator |  | If **"None"** or **"I don't know”**, **go to [WS-1106];**  Otherwise, continue |
| Extra cold coolers for potential overflow |  |
| Cold rooms |  |
| Others  Please specify: |  |
| None |  |
| I don't know |  |
| **WS-1102**  Ask:  Warehouse  Referral Hospitals  SDP | Is cold chain equipment maintained according to schedule?  **[VERIFY MAINTENANCE RECORDS]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-1103**  Ask:  Warehouse  Referral Hospitals  SDP | How is temperature monitored in the cold chain storage areas?  **[MULTIPLE RESPONSES ALLOWED]** | Temperature is monitored using digital/bulb thermometers |  |  |
| Temperature is monitored electronically using automatic devices e.g., electronic temperature loggers |  |
| Temperature is electronically monitored and linked to audible alarms when temperature is outside established range |  |
| Temperature is electronically monitored and sends alarms directly to management on or off-site when temperature is outside established range |  |
| None of the above |  |
| I don't know |  |
| **WS-1104**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following contingency systems are in place to maintain the cold chain in the event of a power or equipment failure? | Generators |  |  |
| Other secondary/tertiary power source, e.g., inverters |  |
| Standby cold chain trucks |  |
| Outsourced cold chain system |  |
| None of the above |  |
| I don't know |  |
| **WS-1105**  Ask:  Warehouse | Is there a person who is responsible for monitoring the temperature of cold chain infrastructure? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-1106**  Ask:  Warehouse | How are cold chain requirements monitored from manufacturer to service delivery point?  NOTE: if multiple methods are used, choose the most common method.  **[MULTIPLE RESPONSES ALLOWED]** | Color changing markers |  |  |
| Temperature monitoring devices |  |
| Electronic temperature tracking devices WITHOUT remote temperature monitoring |  |
| Electronic temperature tracking devices with remote temperature monitoring |  |
| Others  Please specify: |  |
| They are not monitored |  |
| I don't know |  |
| **WS-1200: Controlled Substances & High Value Products** | | | | |
| **WS-1201**  Ask:  Warehouse  Referral Hospitals  SDP | Is a lockable cage or cabinet in place for storing controlled and high-value products?  NOTE: Product examples include diazepam, morphine, pethidine etc.  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Yes |  | If **"Yes"**, continue;  Otherwise, go to **[WS-1203]** |
| No |  |
| I don’t know |  |
| **WS-1202**  Ask:  Warehouse  Referral Hospitals  SDP | Is access to controlled and high-value products limited to designated personnel?  NOTE: Example, limited access to keys or combination.  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-1203**  Ask:  Warehouse  Referral Hospitals  SDP | Are SOPs for handling controlled substances and high value products available at this site/facility (in electronic or paper copy)?  **[VERIFY DOCUMENT AVAILABLE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-1204**  Ask:  Warehouse  Referral Hospitals  SDP | How are receipts and issues of controlled substances and high-value commodities tracked? | Manual register or ledger |  |  |
| Electronic register (e.g., excel) |  |
| Automated system (e.g., barcode scanning to computerized system) |  |
| They are not tracked |  |
| **WS-1300: Inventory Management** | | | | |
| **WS-1301**  Ask:  Warehouse  Referral Hospitals  SDP | What tools do you use to track and manage inventory?  **[MULTIPLE RESPONSES ALLOWED]**  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Manual e.g. stock cards |  |  |
| Electronic e.g. excel sheets |  |
| Advanced tool Warehouse Management System (WMS) |  |
| None of the above |  |
| I don't know |  |
| **WS-1302**  Ask:  Warehouse  Referral Hospitals  SDP | Do products have assigned locations on shelves?  **[VERIFY DOCUMENTS, INFORMATION SYSTEM, OR LABELING ON SHELVES AS APPROPRIATE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-1303**  Ask:  Warehouse  Referral Hospitals  SDP | Is there a single register that is used to monitor and track expiration dates for all products?  NOTE: This is can be a paper register or automated register, such as LMIS or WMS  **[VERIFY DOCUMENT AVAILABLE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-1304**  Ask:  Warehouse  Referral Hospitals  SDP | How do you calculate re-ordering quantities?  NOTE: if multiple methods are used, select the most common method | Min/max process |  |  |
| Economic Quantity Reordering (EQR) |  |
| Other software based process |  |
| Order same quantity as past consumption |  |
| Intuition |  |
| Not done |  |
| I don't know |  |
| **WS-1305**  Ask:  Warehouse  Referral Hospitals  SDP | Does your inventory management system include buffer stock/security stock?  NOTE: Buffer stock is reserve stock that reduces the probability of stockout if deliveries are delayed or consumption is higher than expected. | Yes.  Please specify how many months of buffer/security stock: |  |  |
| No |  |
| I don’t know |  |
| **WS-1306**  Ask:  Warehouse  Referral Hospitals  SDP | Does your inventory management system include min-max set points? | Yes, for all or most products |  |  |
| Yes, for some or a few products |  |
| No |  |
| I don't know |  |
| **WS-1307**  Ask:  Warehouse  Referral Hospitals  SDP | Is warehousing and storage data and information backed-up off site?  NOTE: These could be paper or electronic back-up files. | Yes |  |  |
| No |  |
| I don’t know |  |
| **WS-1308**  Ask:  Warehouse  Referral Hospitals  SDP | Do you have a computerized inventory management system?  **[OBSERVE & PHYSICALLY VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Yes, specialized software |  |  |
| Yes, spreadsheet (Excel) based or similar |  |
| No |  |
| I don't know |  |
| **WS-1400: Warehouse Audits** | | | | |
| **WS-1401**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following audits are performed annually or more often?  **[REQUEST DOCUMENTATION TO VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Internal |  |  |
| External |  |
| Both Internal & External |  |
| None |  |
| I don't know |  |
| **WS-1500: Warehouse Licensing** | | | | |
| **WS-1501**  Ask:  Warehouse | Is the warehouse licensed for the storage of pharmaceutical products by the National Regulatory Authority or other competent body?  **[VERIFY EXISTENCE OF THE LICENSE]** | Yes, Physically Verified |  |  |
| Yes, but NOT Physically Verified |  |
| No |  |
| I don’t know |  |
| **WS-1600: Warehouse Performance** | | | | |
| **WS-1601**  Ask:  MOH  Warehouse | Which of the following indicators are regularly measured and tracked at the warehouse?  **[MULTIPLE RESPONSES POSSIBLE]**  **[REQUEST DOCUMENTATION TO VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Stocked according to plan (the percentage of commodities between the established minimum and maximum stock levels) |  |  |
| Stock out rates (the percentage of commodities that experienced a stockout during a defined period) |  |
| Stock accuracy (comparison between the stock quantity on a stock card and/or in an inventory management software with the quantity counted in a physical inventory ) |  |
| Order fill rate (comparison between the quantity in accepted orders to the quantity delivered) |  |
| Stock turn per annum (the number of times the warehouse issues and replaces its inventory during the period under review) |  |
| Cost of warehousing operations (cost of the operation of the warehouse, which may be expressed as a percentage of the total value of the commodities managed by the warehouse) |  |
| Wastage from damage (measurement of the total value or quantity of stock that was lost due to damage during a defined period) |  |
|  | Wastage from theft (measurement of the total value or quantity of stock that was lost to theft during a defined period) |  |
|  | Wastage from expiry (measurement of the total value or quantity of stock that was lost to expiry during a defined period) |  |
|  | Order turnaround time (the time taken by the warehouse to fulfill orders from lower level hospitals, hospitals or SDPs) |  |
|  | Number or duration of temperature excursions (the number of days in which there was a temperature excursion or percentage of time that the cold storage facility was not at the required temperature) |  |
| Percentage of in-coming batches tested for quality (the percentage of product batches received from suppliers and tested by a quality assurance laboratory) |  |
| None of the above |  |
| Others  Please specify: |  |
| I don't know |  |
| **WS-1602**  Ask:  Referral Hospitals  SDP | Which of the following indicators are regularly measured and tracked for the storeroom?  **[MULTIPLE RESPONSES POSSIBLE]**  **[REQUEST DOCUMENTATION TO VERIFY. RECORD ONLY WHAT IS VERIFIED]** | Stocked according to plan (the percentage of commodities between the established minimum and maximum stock levels) |  |  |
| Stock out rates (the percentage of commodities that experienced a stockout during a defined period) |  |
| Stock accuracy (comparison between the stock quantity on a stock card and/or in an inventory management software with the quantity counted in a physical inventory ) |  |
| Order fill rate (comparison between the quantity in accepted orders to the quantity delivered) |  |
| Wastage from damage (measurement of the total value or quantity of stock that was lost due to damage during a defined period) |  |
| Wastage from theft (measurement of the total value or quantity of stock that was lost to theft during a defined period) |  |
| Wastage from expiry (measurement of the total value or quantity of stock that was lost to expiry during a defined period) |  |
| Order turnaround time (the time taken by the warehouse to fulfill orders from lower level hospitals, hospitals or SDPs) |  |
| Number or duration of temperature excursions (the number of days in which there was a temperature excursion or percentage of time that the cold storage facility was not at the required temperature) |  |
| None of the above |  |
| Others  Please specify: |  |
| I don't know |  |
| **WS-1700: Budgets** | | | | |
| **WS-1701**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Who is responsible for funding the budgets associated with warehousing & storage?  NOTE: Such as personnel, equipment, operating costs, etc.  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to next section [DIS-101]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **WS-1702**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How much is government budget or facility revenue/cost recovery contributing to recurring warehousing & storage costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |

## Physical Verification List: Module 8 – Warehousing & Storage

1. Copies of Standard Operating Procedures (SOPs) for operations of the Warehouse. [MOH

Warehouse, Referral Hospitals, SDP]

1. Copy of a repair and maintenance plan for storage equipment and utilities. [MOH, Warehouse, Referral Hospitals, SDP]
2. Copy of equipment maintenance logs. [Warehouse, Referral Hospitals, SDP]
3. The national policy / SOP / etc. for determining which stock for a given item to issue first. [MOH]
4. Copies of delivery confirmation. [Warehouse]
5. Copies of cold chain equipment maintenance records. [Warehouse, Referral Hospitals, SDP]
6. Copies of SOPs for handling controlled substances and high value products. [Warehouse, Referral Hospitals, SDP]
7. Copy of a register used to monitor and track expiration dates (paper or electronic).[Warehouse, Referral Hospitals, SDP]
8. Copies of internal or external audit records. [Warehouse, Referral Hospitals, SDP]
9. Copies of license for the storage of pharmaceutical products. [Warehouse]
10. Monitoring plans or reports that document indicators used to monitor warehousing and storage. [MOH, Warehouse, Referral Hospitals, SDP]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 8 – WAREHOUSING & STORAGE** |

# Module 9: Distribution

**CENTRAL/MOH LEVEL:** For this module, interview the lead technical expert for medicines distribution for the Ministry of Health, if available. If not, interview the head of the Ministry of Health supply chain department or another person knowledgeable about national distribution processes.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of distribution at the warehouse, if available. If not, interview the warehouse manager or another senior person responsible for or knowledgeable about the distribution processes at the warehouse.

**REFERRAL HOSPITAL:** Not Applicable.

**SERVICE DELIVERY POINTS:** Not Applicable.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **Skips & observations** |
| --- | --- | --- | --- | --- |
| **DIS-100: Distribution planning** | | | | |
| **DIS-101**  Ask:  MOH  Warehouse | Is there an approved distribution plan?  NOTE: A distribution plan defines when products will be delivered to different clients.  **[VERIFY WITH DIS-1001]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-102**  Ask:  Warehouse | Do you have a data management system that captures distribution plans and operations?  **[VERIFY WITH DIS-1002]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-103**  Ask:  Warehouse | Are the distribution schedules included in the communication to health facilities? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-104**  Ask:  Warehouse | Are distribution routes pre-planned?  NOTE: Pre-planned distribution routes specify the specific order that clients will be visited in, and which roads will be utilized.  **[VERIFY WITH DIS-1004]** | Yes |  | If **"Yes"**, continue;  Otherwise **go to [DIS-107]** |
| No |  |
| I don’t know |  |
| **DIS-105**  Ask:  Warehouse | How often are the distribution routes reviewed?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years"  **[VERIFY WITH DIS-1005]** | Bi-annually (twice per year) or more often |  |  |
| Annually |  |
| Every 2 years |  |
| Every 3 years or less often |  |
| I don't know |  |
| **DIS-106**  Ask:  Warehouse | Which of the following do routing plans take into consideration?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH DIS-1006]** | Truck capacity |  |  |
| Product volumes (or number of pallets) |  |
| Weights of individual products |  |
| Geographic location |  |
| None of the above |  |
| I don't know |  |
| **DIS-107**  Ask:  MOH  Warehouse | Are products from different programs and partners distributed in an integrated manner, to the extent that product requirements allow? Or is it segregated per program or by implementing partner?  NOTE: Integration doesn't mean ALL products must be distributed on the same truck; certain product may have special characteristics (e.g., cold chain requirement, high value, short expiry date) that necessitate different treatment for distribution. | Distribution is done in an integrated manner wherever product characteristics allow. |  |  |
| Most programs or partners integrate distribution. |  |
| Most or all programs/partners conduct separate, vertical distribution. |  |
| I don't know |  |
| **DIS-200: Distribution and transportation policies and procedures** | | | | |
| **DIS-201**  Ask:  MOH  Warehouse | Are there polices that cover distribution and transportation of commodities?  **[VERIFY WITH DIS-1007]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [DIS-300]** |
| No |  |
| I don’t know |  |
| **DIS-202**  Ask:  MOH  Warehouse | Do the policies and procedures that cover distribution and transportation include the following aspects about commodities? | Transportation of cold chain commodities |  |  |
| Transportation of expired commodities |  |
| Security |  |
| Storage conditions during transport |  |
| Documentation |  |
| Re-distribution |  |
| Reverse logistics |  |
| I don't know |  |
| **DIS-203**  Ask:  MOH  Warehouse | Do the policies and procedures that cover distribution and transportation include the following aspects about fleet management? | Repair & preventative maintenance |  |  |
| driver briefing and debriefing |  |
| driver logs |  |
| system to track vehicle status (in/out) with their expected return date |  |
| Vehicle schedules for future deployments |  |
| Accidents & emergencies |  |
| GPS tracking |  |
| I don't know |  |
| **DIS-300: Distribution Budget** | | | | |
| **DIS-301**  Ask:  MOH  Warehouse | Who is responsible for funding the distribution budget?  **[MULTIPLE RESPONSES ALLOWED]** | Government budget (central or decentralized level) |  | If **"Government budget"** or **"facility revenue/cost recovery"**, continue,  Otherwise, **go to next section [DIS-400]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **DIS-302**  Ask:  MOH  Warehouse | How much is government budget or facility revenue/cost recovery contributing to recurring distribution costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |
| **DIS-303**  Ask:  MOH  Warehouse | Are there SOPs or documented procedures in place for accessing funds for distribution? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-400: Transportation** | | | | |
| **DIS-401**  Ask:  MOH  Warehouse | What mechanism does this entity use to transport commodities?  **[MULTIPLE RESPONSES ALLOWED]**  NOTE: Outsourced transportation services refers to hiring a private company to transport the commodities, whereas Rented Vehicles refers to temporary hire of vehicles (e.g., trucks) only. | Own fleet |  | If **"Outsourced transportation services"**, continue;  Otherwise, **go to [DIS-403]** |
| Rented vehicles (operated by this facility) |  |
| Outsourced transportation services |  |
| I don’t know |  |
| **DIS-402**  Ask:  MOH  Warehouse | How often did this entity use outsourced transportation services for the transport of commodities in the last 12 months?  NOTE: Denominator should be overall number of trips for commodity delivery or pickup in the year  Numerator should be number of times transport services were outsourced to achieve commodity delivery or pickup in the year | Less than one third |  |  |
| One third to two thirds |  |
| More than two thirds |  |
| I don’t know |  |
| **DIS-403**  Ask:  MOH  Warehouse | Are there documented procedures (such as SOPs) for managing transportation assets available at this site/facility (in electronic or paper copy)?  **[MULTIPLE RESPONSES ALLOWED]**  PROBE: by reading response options.  **[VERIFY WITH DIS-1008]** | Yes, for Own fleet |  |  |
| Yes, for Outsourced fleet |  |
| No |  |
| I don't know |  |
| **DIS-404**  Ask:  MOH  Warehouse | Are there systems in place for capturing and maintaining transportation data?  NOTE: Examples include distance travelled, fuel consumption  **[VERIFY WITH DIS-1009]** | Manual systems |  | If **"No"** or **"I don't know"**, go to **[DIS-407]**;  Otherwise, continue |
| Electronic system |  |
| No |  |
| I don't know |  |
| **DIS-405**  Ask:  MOH  Warehouse | How often is transportation data captured?  NOTE: For answers in between the choices, round up. For example, if meetings are held every two months, select "Quarterly" | Daily or real time |  |  |
| Weekly or Monthly |  |
| Quarterly |  |
| Less frequently than quarterly |  |
| I don't know |  |
| **DIS-406**  Ask:  MOH  Warehouse | Are there systems in place to capture timely and accurate data from commercial providers (for outsourced transportation services)?  **[VERIFY WITH DIS-1010]** | Yes |  | **Skip** this question if **[DIS-401]** did not include **"Outsourced transportation services"**  **Go to [DIS-407]** |
| No |  |
| I don’t know |  |
| **DIS-407**  Ask:  MOH  Warehouse | Are transportation-related KPIs monitored?  NOTE: Examples include running cost per km, vehicle availability, vehicle utilization, Fuel utilization in km/Liter, fleet idle days, number of days vehicle spends at workshop, percentage needs satisfaction etc.  **[VERIFY WITH DIS-1011]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-500: Distribution costing** | | | | |
| **DIS-501**  Ask:  MOH  Warehouse | Do you collect distribution cost data?  **[VERIFY WITH DIS-1012]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [DIS-600]** |
| No |  |
| I don’t know |  |
| **DIS-502**  Ask:  MOH  Warehouse | What information is included in distribution cost data?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH DIS-1013]** | Asset depreciation |  |  |
| Human resources |  |
| Maintenance |  |
| Transportation outsourcing or vehicle rental |  |
| Per diems |  |
| Fuel |  |
| None of the above |  |
| I don't know |  |
| **DIS-503**  Ask:  MOH  Warehouse | What system is used to monitor distribution cost? | An Excel, Access (or equivalent) based system |  |  |
| A TMS (transport management system) |  |
| Other electronic systems |  |
| Manual systems |  |
| None |  |
| I don’t know |  |
| **DIS-504**  Ask:  MOH  Warehouse | Is total cost data used to minimize operating costs? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-505**  Ask:  MOH  Warehouse | Have specific interventions been made for the purpose of reducing transport operating costs?  NOTE: Examples include making routes efficient (bundling sites in the same region), distributing different product groups together, conducting preventative maintenance of vehicles, outsourcing transportation.  **[VERIFY WITH DIS-1014]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-506**  Ask:  MOH  Warehouse | Is the total cost of using your own fleet versus outsourced transportation services calculated and reviewed at least annually? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-600: Distribution of Specialized Products** | | | | |
| **DIS-601**  Ask:  Warehouse | Is there infrastructure for cold-chain transportation? E.g., refrigerated trucks, cooler boxes for transport.  **[VERIFY WITH DIS-1015]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [DIS-603]** |
| No |  |
| I don’t know |  |
| **DIS-602**  Ask:  Warehouse | How are cold chain commodities transported?  **[MULTIPLE RESPONSES ALLOWED]** | In cooler boxes |  |  |
| In refrigerated trucks |  |
| In regular transportation (no temp control) |  |
| None of the above |  |
| I don't know |  |
| **DIS-603**  Ask:  Warehouse | Are temperature monitoring devices used to track temperature excursions during transportation? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-604**  Ask:  MOH  Warehouse | At what points are temperatures recorded during transportation of cold chain commodities?  **[MULTIPLE RESPONSES ALLOWED]** | At departure |  |  |
| In transit |  |
| At arrival |  |
| None of the above |  |
| I don't know |  |
| **DIS-700: Distribution security** | | | | |
| **DIS-701**  Ask:  MOH  Warehouse | What security management measures are in place for distribution activities?  **[MULTIPLE RESPONSES POSSIBLE]** | RFID tags |  |  |
| Video surveillance/monitoring |  |
| GPS Monitoring |  |
| 2-way radio access |  |
| Integrated audit procedures at front and back ends of delivery |  |
| Bar code scanning |  |
| Performing unannounced inspections |  |
| Partnerships developed with local police security forces |  |
| Security guards |  |
| None of the above |  |
| I don't know |  |
| **DIS-702**  Ask:  MOH  Warehouse | Are there documented security requirements for truck and personnel? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-703**  Ask:  MOH  Warehouse | Is there a process to record loss incidents? | Yes |  |  |
| No |  |
| I don’t know |  |
| **DIS-800: Product Tracking** | | | | |
| **DIS-801**  Ask:  Warehouse | How are outbound shipments tracked?  **[MULTIPLE RESPONSES ALLOWED]** | Manual tracking |  |  |
| Through electronic tracking |  |
| Not tracked |  |
| I don't know |  |
| **DIS-802**  Ask:  Warehouse | In every step as commodities move through the supply chain, what methods are used to document who has ‘ownership' of the commodities? (What procedures are in place to track ownership throughout the chain of custody?)  NOTE: Chain of custody is the unbroken path a product takes during distribution from the first stage in the chain to the end, showing custody at each stage.  **[MULTIPLE RESPONSES ALLOWED]** | Manual tracking |  |  |
| Transportation Management System (TMS) with shipment tracking |  |
| A fully automated TMS deployed throughout the distribution chain and integrated into the WMS (Warehouse Management System) |  |
| None |  |
| I Don't know |  |
| **DIS-803**  Ask:  MOH  Warehouse | Do you maintain proof of delivery (POD) records for outbound (delivered) products?  NOTE: Outbound stock: refers to stock moving out of the district pharmacy / warehouse  **[VERIFY WITH DIS-1016]** | Yes, manually |  |  |
| Yes, electronically, with manual entry or document scanning |  |
| Yes, electronically, via an automated process (e.g. barcoding) |  |
| No |  |
| I don't know |  |
| **DIS-804**  Ask:  MOH  Warehouse | Are quantities of outbound stock (deliveries) reconciled with proof of delivery?  **[VERIFY WITH DIS-1017]** | Yes  No  I don’t know |  |  |
|  |
|  |
| **DIS-900: Distribution MIS** | | | | |
| **DIS-901**  Ask:  MOH  Warehouse | Is distribution planning and monitoring computerized? | Yes |  | If **"Yes"**, continue;  Otherwise, **go to next section [DIS-1000]** |
| No |  |
| I don’t know |  |
| **DIS-902**  Ask:  MOH  Warehouse | What software is used for distribution planning and monitoring? | Excel/Access based system |  |  |
| TMS (Transport Management System) |  |
| electronic LMIS |  |
| None |  |
| I don't know |  |

| **DIS-1000: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| --- | --- | --- | --- | --- |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **DIS-1001**  Ask:  MOH  Warehouse | Verify the existence of an approved distribution plan  **[VERIFIES DIS-101]** | Physically verified |  | **SKIP** this question if **[DIS-101]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1002**  Ask:  Warehouse | Verify the existence of a data management system that captures distribution plans and operations  **[VERIFIES DIS-102]** | Physically verified |  | **SKIP** this question if **[DIS-102]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1003**  Ask:  Warehouse | Verify from copies of communication to health facilities whether distribution schedules are included  **[VERIFIES DIS-103]** | Physically verified |  | **SKIP** this question if **[DIS-103]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1004**  Ask:  Warehouse | Verify from documented evidence that distribution routes are pre-planned  **[VERIFIES DIS-104]** | Physically verified |  | **SKIP** this question if **[DIS-104]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1005**  Ask:  Warehouse | Verify how often distribution routes are reviewed. E.g. from minutes of distribution meetings, dates on latest route plans  **[VERIFIES DIS-105]** | Bi-annually (twice per year) or more often |  | **SKIP** this question if **[DIS-105]** is **"Every 3 years or less often"** or **"I don't know"** |
| Annually |  |
| Every 2 years |  |
| Every 3 years or less often |  |
| Could not be Physically Verified |  |
| **DIS-1006**  Ask:  Warehouse | Verify whether the routing plans take the following into consideration  **[VERIFIES DIS-106]** | Truck capacity |  | **SKIP** this question if **[DIS-106]** is **"None of the above"** or **"I don't know"** |
| Product volumes (or number of pallets) |  |
| Weights of individual products |  |
| Geographic Location |  |
| None of the above |  |
| **DIS-1007**  Ask:  MOH  Warehouse | Verify existence of policies that cover distribution and transportation of commodities  **[VERIFIES DIS-201]** | Physically verified |  | **SKIP** this question if **[DIS-201**] is **"No"** **or "I don't know"** |
| Could NOT physically verify |  |
| **DIS-1008**  Ask:  MOH  Warehouse | Verify the existence of procedures for managing transportation assets at this site/facility (in electronic or paper copy)  **[VERIFIES DIS-403]** | Physically verified for Own fleet |  | **SKIP** this question if **[DIS-403]** is **"No"** or **"I don't know"** |
| Physically verified for outsourced fleet |  |
| Could NOT be physically verified |  |
| **DIS-1009**  Ask:  MOH  Warehouse | Verify that the organization captures and maintains transportation data (such as Distance travelled or fuel consumption) and whether this is captured via manual or electronic systems  **[VERIFIES DIS-404]** | Physically verified for Manual systems |  | **SKIP** this question if **[DIS-404]** is **"No"** or **"I don't know"** |
| Physically verified for electronic system |  |
| Could Not be physically verified |  |
| **DIS-1010**  Ask:  MOH  Warehouse | Verify that timely and accurate data is captured from commercial providers (for outsourced transportation services)  **[VERIFIES DIS-406]** | Physically verified |  | **SKIP** this question if **[DIS-406]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1011**  Ask:  MOH  Warehouse | Verify from documented evidence whether transportation-related KPIs are monitored. Examples include running cost per km, vehicle availability, vehicle utilization, Fuel utilization in km/Liter, fleet idle days, number of days vehicle spends at workshop, percentage needs satisfaction etc.  **[VERIFIES DIS-407]** | Physically verified |  | **SKIP** this question if **[DIS-407]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1012**  Ask:  MOH  Warehouse | Verify from documented evidence that distribution cost data is collected  **[VERIFIES DIS-501]** | Physically verified |  | **SKIP** this question if **[DIS-501]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1013**  Ask:  MOH  Warehouse | Verify which of the following information is included in the distribution cost data  **[VERIFIES DIS-502]** | Asset depreciation |  | **SKIP** this question if **[DIS-502]** is **"None of the above"** or **"I don't know"** |
| Human resources |  |
| Maintenance |  |
| Transportation outsourcing or vehicle rental |  |
| Per Diems |  |
| Fuel |  |
| None of the above |  |
| **DIS-1014**  Ask:  MOH  Warehouse | Verify from documented evidence that specific interventions have been made for the purpose of reducing transport operating costs  **[VERIFIES DIS-505]** | Physically verified |  | **SKIP** this question if **[DIS-505]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1015**  Ask:  Warehouse | Verify existence of infrastructure for cold chain transportation  **[VERIFIES DIS-601]** | Physically verified |  | **SKIP** this question if **[DIS-601]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **DIS-1016**  Ask:  MOH  Warehouse | Verify how proof of delivery (POD) records are maintained  **[VERIFIES DIS-803]** | Manually |  | **SKIP** this question if **[DIS-803]** is **"No"** or **"I don't know"** |
| Electronically with manual entry or document scanning |  |
| Electronically via an automated process (e.g., barcoding) |  |
| Could Not be physically verified |  |
| **DIS-1017**  Ask:  MOH  Warehouse | Verify whether quantities of outbound stock (deliveries) are reconciled with proof of delivery. For example, verify with reconciliation reports  **[VERIFIES DIS-804]** | Physically verified |  | **SKIP** this question if **[DIS-804]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |

## Physical Verification List: Module 9 – Distribution

1. Copy of an approved distribution plan. [MOH, Warehouse]
2. Evidence of a data management system that captures distribution plans and operations. [Warehouse]
3. Copies of communication with health facilities about the distribution plan. [Warehouse]
4. Evidence that distribution routes are pre-planned and how often they are reviewed, such as minutes from distribution meetings or maps of distribution routes at different points in time. [Warehouse]
5. Documented description of factors taken into consideration when route planning is done (such as route planning SOPs, guidelines, reports). [Warehouse]
6. Copies of policies that cover distribution and transportation of commodities. [MOH, Warehouse]
7. Evidence of procedures for managing transportation assets. [MOH, Warehouse]
8. Evidence that transportation data are captured and maintained. [MOH, Warehouse]
9. Evidence that timely and accurate data is captured from commercial providers for outsourced transportation services. [MOH, Warehouse]
10. Documents regarding any supply chain indicators regularly tracked for transportation operations. [MOH, Warehouse]
11. Documents demonstrating what distribution cost data is collected. [MOH, Warehouse]
12. Evidence that specific interventions have been made for the purpose of reducing transport operating costs. [MOH, Warehouse]
13. Evidence of how POD records are maintained. [MOH, Warehouse]
14. Evidence that quantities of outbound stock (deliveries) are reconciled with proof of delivery, for example, reconciliation reports. [MOH, Warehouse]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 9 – DISTRIBUTION** |

# Module 10: Logistics Management Information System

**CENTRAL/MOH LEVEL:** For this module, interview the lead technical expert for LMIS at the Ministry of Health, if available. If not, interview the head of the Ministry of Health supply chain department, information systems department, or another person knowledgeable about the national LMIS system.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the head of LMIS at the warehouse, if available. If not, interview the warehouse manager or another senior person responsible for or knowledgeable about the LMIS processes at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the storeroom manager if available. If not, interview the deputy storeroom manager, data/information systems manager, or another person responsible for or knowledgeable about the LMIS processes at the hospital.

**SERVICE DELIVERY POINTS:** For this module, interview the storeroom manager if available. If not, interview the deputy storeroom manager, data entry person, or another person knowledgeable about the LMIS processes at the facility. At smaller health posts responsibility for LMIS may be combined with other roles, or be the responsibility of the head of the SDP, pharmacist, or senior nurse.

| **Q#** | **QUESTIONS** | | **RESPONSES** | | **SKIPS** |
| --- | --- | --- | --- | --- | --- |
| **LM-100: LMIS Policies and guidelines** | | | | | |
| **LM-101**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Which type of Logistics Management Information System (LMIS) tools are used? | | Paper based LMIS only |  | If **"No"** or **"I don't know"**, go to **[LM-400]**;  Otherwise, continue |
| Electronic LMIS (eLMIS) only |  |
| Both Paper based LMIS & electronic LMIS |  |
| None |  |
| I don't know |  |
| **LM-102**  Ask:  MOH  Warehouse | Are there policies in place that guide the paper LMIS?  **[VERIFY WITH LM-701]** | | Yes |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  Go to **[LM-103]** |
| No |  |
| I don’t know |  |
| **LM-103**  Ask:  MOH  Warehouse | Are there policies in place that guide the electronic LMIS (eLMIS)?  **[VERIFY WITH LM-702]** | | Yes |  | **Skip** this question if **[LM-101]** is **"Paper based LMIS Only"** or **"I don't know"**  Go to **[LM-104]** |
| No |  |
| I don’t know |  |
| **LM-104**  Ask:  MOH  Warehouse | Are the LMIS tools standardized across the supply chain - across geographic regions, health programs and health system levels? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-105**  Ask:  MOH  Warehouse | Is the reporting frequency harmonized across the supply chain - across geographic regions and health programs and health system levels? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-106**  Ask:  MOH  Warehouse | Which program areas, sometimes called "vertical programs", have the same reporting cycles?  **[MULTIPLE RESPONSES ALLOWED]** | | HIV |  |  |
| TB |  |
| Family Planning |  |
| Malaria |  |
| Maternal and Child Health |  |
| Vaccines |  |
| Essential Medicines |  |
| Medical Supplies |  |
| Other  Please Specify: |  |
| None |  |
| I don’t know |  |
| **LM-107**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | What is the reporting frequency for paper LMIS data?  NOTE: For answers in between the choices, round up. For example, if reports are submitted every 2 weeks, select "monthly".  NOTE: If different LMIS reports have different frequencies, report the most common frequency for consumption and stock on hand data. | | Daily |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  Go to **[LM-108]** |
| Weekly |  |
| Monthly |  |
| Quarterly |  |
| Less than quarterly |  |
| No reporting |  |
| I don't know |  |
| **LM-108**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | What is the reporting frequency for electronic LMIS data?  NOTE: For answers in between the choices, round up. For example, if reports are submitted every 2 weeks, select "monthly".  NOTE: If different LMIS reports have different frequencies, report the most common frequency for consumption and stock on hand data. | | Real time/Daily |  |  |
| Weekly |  |
| Monthly |  |
| Quarterly |  |
| Less than quarterly |  |
| No reporting |  |
| I don't know |  |
| **LM-109**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Is there a standard process, such as scheduled, regular meetings, to review LMIS (paper or electronic LMIS) data and reports? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-110**  Ask:  MOH  Warehouse | Is there a formal system or mechanism for users to report issues with the system that require improvements? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-111**  Ask:  MOH  Warehouse | Is there a technical working group that addresses all technical input into the system? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-112**  Ask:  MOH  Warehouse | Is there a help desk or other mechanism for users to ask questions and request support with the system? | | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-200: Data Tools and Indicators** | | | | | |
| **LM-201**  Ask:  Warehouse  Referral Hospital  SDP | What challenges do you face when using electronic LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Internet connectivity |  | **Skip** this question if **[LM-101]** is **"Paper based LMIS Only"** or **"I don't know"**  **Go to [LM-202]** |
| Down time centrally (system failure) |  |
| Availability of computers |  |
| Delayed feedback from higher levels (MOH or warehouse) on system & reporting |  |
| Lack of time due to other tasks |  |
| Data Loss |  |
| Challenges in analysis of data |  |
| Challenges in retrieval of data |  |
| Use of different versions of the tool |  |
| Tools are not updated/revised often enough |  |
| Insufficient training or human resources capability |  |
| Insufficient number of staff |  |
| Data quality or data entry errors |  |
| Others  Please specify: |  |
| None |  |
| I don’t know |  |
| **LM-202**  Ask:  MOH | What challenges do you face when using electronic LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Internet connectivity |  | **Skip** this question if **[LM-101]** is **"Paper based LMIS Only"** or **"I don't know"**  **Go to [LM-203]** |
| Down time centrally (system failure) |  |
| Availability of computers |  |
| Lack of time due to other tasks |  |
| Data Loss |  |
| Challenges in Analysis of Data |  |
| Challenges in Retrieval of Data |  |
| Use of Different Versions of the Tool |  |
| Tools are not updated/revised often enough |  |
| Insufficient training or human resources capability |  |
| Insufficient number of staff |  |
| Data quality or data entry errors |  |
| Others  Please Specify: |  |
| None |  |
| I don’t know |  |
| **LM-203**  Ask:  Warehouse  Referral Hospitals  SDP | What challenges do you face when using paper based LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Stock out of tools |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  **Go to [LM-204]** |
| Data loss |  |
| Delayed feedback from higher levels (MOH or warehouse) on system & reporting |  |
| Difficulties in filing |  |
| Challenges in analysis of data |  |
| Challenges in sharing data |  |
| Challenges in retrieval of data |  |
| Use of different version of tools in the same system |  |
| Tools are not updated/revised often enough |  |
| Insufficient training or human resources capability |  |
| Insufficient number of staff |  |
| Data quality or data entry errors |  |
| Others  Please Specify: |  |
| None |  |
| I don’t know |  |
| **LM-204**  Ask:  MOH | What challenges do you face when using paper based LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Stock out of tools |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  **Go to [LM-205]** |
| Data loss |  |
| Difficulties in filing |  |
| Challenges in analysis of data |  |
| Challenges in sharing data |  |
| Challenges in retrieval of data |  |
| Use of different version of tools in the same system |  |
| Tools are not updated/revised often enough |  |
| Insufficient training or human resources capability |  |
| Insufficient number of Staff |  |
| Data quality or data entry errors |  |
| Others  Please specify: |  |
| None |  |
| I don’t know |  |
| **LM-205**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How many separate supply chain and commodity reports (whether electronic or paper) are submitted per facility during the reporting cycle?  NOTE: For example, are separate reports required for different programs or products, such as Lab, ART, malaria, family planning, MCH, vaccine program, essential medicines and health supplies. | | 1-3 |  |  |
| 4-6 |  |
| 7-10 |  |
| >10 |  |
| None |  |
| I don't know |  |
| **LM-206**  Ask:  Warehouse  Referral Hospitals  SDP | Which of the following paper LMIS tools have you had a stock out of in the last (1) year?  NOTE: If the facilities print the forms themselves and they have the available equipment and supplies, then this is considered to NOT be a stock out. However, if they were not able to print out, then there would be a stock out. For example, when you need a stock card, one is not available, that is a stock card stock out. The intent of this question is to assess if the tools needed to manage the stores are available.  **[MULTIPLE RESPONSES ALLOWED]** | | Stock Cards |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  **Go to [LM-207]** |
| Dispensing Logs |  |
| Report & Requisition |  |
| Supply Voucher |  |
| Other  Please Specify: |  |
| None (no stock outs of LMIS tools in the last year) |  |
| I don’t know |  |
| **LM-207**  Ask:  Referral Hospitals  SDP | How many different types of dispensing registers does the facility complete during issuing of supplies to patients?  For example, do different programs or products require different dispensing registers? | | 1-3 |  |  |
| 4-6 |  |
| 7-10 |  |
| >10 |  |
| None |  |
| I don't know |  |
| **LM-208**  Ask:  MOH | Which data-points are recorded in the electronic LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Stock on hand |  | **Skip** this question if **[LM-101]** is **"paper based LMIS Only"** or **"I don't know"**  **Go to [LM-209]** |
| Consumption |  |
| Adjustments |  |
| Losses and Expiry |  |
| Issues and receipts |  |
| Safety stock for each commodity |  |
| Frequency of reordering |  |
| Quantity of reordering |  |
| Expiration dates |  |
| Number of days out of stock |  |
| None of the above |  |
| I don't know |  |
| **LM-209**  Ask:  MOH | Which data-points are recorded in the Paper LMIS?  **[MULTIPLE RESPONSES ALLOWED]** | | Stock on hand |  | **Skip** this question if **[LM-101]** is **"electronic LMIS Only"** or **"I don't know"**  **Go to [LM-210]** |
| Consumption |  |
| Adjustments |  |
| Losses and Expiry |  |
| Issues and receipts |  |
| Safety stock for each commodity |  |
| Frequency of reordering |  |
| Quantity of reordering |  |
| Expiration dates |  |
| Number of days out of stock |  |
| None of the above |  |
| I don't know |  |
| **LM-210**  Ask:  MOH  Warehouse | Do you track the following LMIS indicators at least annually?  NOTE: for paper or electronic LMIS. An accurate report contains correct data and information as computed from the previous months report.  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH LM-703]** | | Timeliness of reporting (the percentage of facilities submitting their LMIS reports to the receiving facility (central or intermediary e.g. district) on time) |  |  |
| Completeness of reporting (the percentage of facilities submitting LMIS reports to the receiving facility with information for all required data elements, or the percentage of data elements that were completed) |  |
| Accuracy of reporting (the percentage of facilities submitting LMIS reports to the receiving facility with all data elements having correct values, or the percentage of data elements that were confirmed as correct) |  |
| None of the above |  |
| I don't know |  |
| **LM-211**  Ask:  MOH  Warehouse | Which tool does the central and intermediate levels of the health system use to track stock at individual service delivery points in their coverage area?  NOTE: This question is intended to ask, for example, how the Central Medical Stores or Regional Medical Stores track stock at health centers they supply or support. This question is NOT about how they track stock in their own stores.  **[MULTIPLE RESPONSES ALLOWED]** | | Paper LMIS or records |  |  |
| Electronic LMIS or other electronic system |  |
| Both Paper based & electronic records/LMIS |  |
| None |  |
| I don't know |  |
| **LM-212**  Ask:  MOH  Warehouse | Which supply chain management activities are informed by (electronic or paper) LMIS reports?  **[READ EACH. MULTIPLE RESPONSES ALLOWED]** | | Ordering & reporting |  |  |
| Supply planning |  |
| Forecasting |  |
| Procurement (emergency or scheduled) |  |
| Product selection |  |
| Inventory management |  |
| Reverse logistics |  |
| Re-distribution |  |
| Donor activities |  |
| Budgeting |  |
| Waste management |  |
| Transportation |  |
| None of the above |  |
| I don't know |  |
| **LM-213**  Ask:  Referral Hospitals | Which supply chain management Monitoring and Evaluation activities are informed by (electronic or paper) LMIS reports?  **[READ EACH. MULTIPLE RESPONSES ALLOWED]** | | Ordering & reporting |  |  |
| Supply planning |  |
| Forecasting |  |
| Procurement (emergency or scheduled) |  |
| Product selection |  |
| Inventory management |  |
| Reverse logistics |  |
| Re-distribution |  |
| Donor activities |  |
| Budgeting |  |
| Waste management |  |
| Systems Performance |  |
| None of the above |  |
| I don't know |  |
| **LM-214**  Ask:  SDP | Which supply chain management monitoring and evaluation activities are informed by (electronic or paper) LMIS reports?  **[READ EACH. MULTIPLE RESPONSES ALLOWED]** | | Ordering & reporting |  |  |
| Inventory management |  |
| Reverse logistics |  |
| Waste management |  |
| Systems Performance |  |
| None of the above |  |
| I don't know |  |
| **LM-300: LMIS Standard Operating Procedures** | | | | | |
| **LM-301**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Are there Standard Operating Procedures (SOPs) for the paper based LMIS available at this site/facility (in electronic or paper copy)?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH LM-704]** | | Yes |  | **Skip** this question and **[LM-302]** if **[LM-101]** was **"electronic LMIS only"** or **"I don't know"**  If answer is **"Yes"**, continue;  Otherwise, **go to [LM-303]** |
| No |  |
| I don’t know |  |
| **LM-302**  Ask:  MOH  Warehouse | | How often are SOPs for paper based LMIS updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don’t know |  |
| **LM-303**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Are there Standard Operating Procedures (SOPs) for the electronic LMIS available at this site/facility (in electronic or paper copy)?  **[VERIFY WITH LM-705]** | Yes |  | **Skip** this question and **[LM-304]** if **[LM-101]** was **"paper based LMIS only"** or **"I don't know"**  If answer is **"Yes"**, continue;  Otherwise, go to **[LM-400]** |
| No |  |
| I don’t know |  |
| **LM-304**  Ask:  MOH  Warehouse | | How often are SOPs for electronic LMIS updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **LM-400: Data Quality Assessments (DQAs)** | | | | | |
| **LM-401**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Does this site conduct internal data quality assessments (DQA)?  **[VERIFY WITH LM-706]** | Yes |  | If **"Yes"**, continue; Otherwise, **go to next section [LM-500]** |
| No |  |
| I don’t know |  |
| **LM-402**  Ask:  MOH  Warehouse | | At what level are data quality assessments – or DQAs – conducted?  **[MULTIPLE RESPONSES POSSIBLE]** | National |  |  |
| Central District |  |
| Health Facility |  |
| Other  Please Specify: |  |
| They are not done |  |
| I don’t know |  |
|  |  |
| **LM-403**  Ask:  Referral Hospitals  SDP | | Who conducts DQAs at this facility? | MOH |  |  |
| Regional/Intermediate Warehouses |  |
| Other District Authorities |  |
| Staff at this facility |  |
| Other  Please Specify: |  |
| I don’t know |  |
| **LM-404**  Ask:  Warehouse  Referral Hospitals  SDP | | Is feedback from the data quality assessments (DQAs) shared with this facility? | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-405**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Is feedback from the DQAs shared with external stakeholders?  Note: Stakeholders might include donors, Implementing partners or other government partners | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-406**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Has this site adjusted its systems or processes based on prior DQA results? | Yes |  |  |
| No |  |
| I don’t know |  |
| **LM-500: Hardware and Software** | | | | | |
| **LM-501**  Ask:  MOH  Warehouse | | Is the electronic LMIS run on a specialized LMIS software package/program?  NOTE: Examples are OpenLMIS, OneNetwork, Logistimo, or a locally developed LMIS software that works across multiple health system levels  Specialized LMIS software package/program indicates software designed specifically for LMIS, and should not include Excel, Access, or other generic software.  **[VERIFY WITH LM-707]** | Yes |  | **Skip** this section if **[LM-101]** was **"Paper based LMIS only"**, **"None"**, or **"I don't know".**  **Go to [LM-600]** |
| No |  |
| I don’t know |  |
| **LM-502**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Is there internet connectivity at this facility? | Yes, and internet always or almost always works |  | **Skip** this section if **[LM-101]** was **"Paper based LMIS only"**, **"None"**, or **"I don't know"**.  **Go to [LM-600]** |
| Yes, but internet frequently does not work |  |
| No |  |
| I don't know |  |
| **LM-503**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | | Does LMIS computing equipment include current virus protection?  **[VERIFY WITH LM-708]** | Yes – all computing equipment running LMIS |  |  |
| Yes – some equipment running LMIS (not all) |  |
| No |  |
| I don't know |  |
| **LM-504**  Ask:  MOH  Warehouse | | Does the electronic LMIS exchange data with other electronic health or supply chain systems?  NOTE: Examples of other systems include the health management information system (HMIS), warehouse management system (WMS), or procurement management system. | Yes, through electronic data interchange or interoperability with other health systems |  |  |
| Yes, only through manual export or import of data |  |
| No |  |
| I don't know |  |
| **LM-600: LMIS Budget** | | | | | |
| **LM-601**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Does this facility develop an LMIS budget as part of the overall organizational budget?  NOTE: This might include budget for capacity building, printing LMIS forms, internet costs, maintenance and antivirus costs, hardware costs, etc.  **[MULTIPLE RESPONSES ALLOWED]** | | Yes – for the paper based LMIS |  | **Skip** this section if **[LM-101]** was **"None"**, or **"I don't know".** |
| Yes – for the electronic LMIS |  |
| No |  |
| I don’t know |  |
| **LM-602**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Who is responsible for funding the paper based LMIS budget?  NOTE: This might include budget for capacity building, printing LMIS forms, etc.  **[MULTIPLE RESPONSES ALLOWED]** | | Government budget (central or decentralized level) |  | **Skip** this question and **[LM-603]** if **[LM-101]** was **"electronic LMIS only'** or **"I don't know"**  If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to [LM-604]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **LM-603**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How much is government budget or facility revenue/cost recovery contributing to recurring paper based LMIS costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |  |
| **LM-604**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Who is responsible for funding electronic LMIS budget?  NOTE: This might include budget for capacity building, internet costs, maintenance and antivirus costs, hardware costs, etc.  **[MULTIPLE RESPONSES ALLOWED]** | | Government budget (central or decentralized level) |  | **Skip** this question and **[LM-605]** if **[LM-101]** was **"paper based LMIS only"** or **"I don't know"**  If **"Government budget"** or **"facility revenue/cost recovery"**, continue;  Otherwise, **go to next section [LM-700]** |
| Donor/Implementing Partners |  |
| Facility revenue/cost recovery |  |
| I don't know |  |
| **LM-605**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | How much is government budget or facility revenue/cost recovery contributing to recurring electronic LMIS costs?  NOTE: percentages are given as a guide; the exact percentage is not needed. | | Minimal (less than 25%) |  |  |
| Some (25-50%) |  |
| Most (51-99%) |  |
| All (100%) |  |
| I don't know |  |

| **LM-700: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| --- | --- | --- | --- | --- |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **LM-701**  Ask:  MOH  Warehouse | Verify existence of policies that guide the paper LMIS?  **[VERIFIES LM-102]** | Physically verified |  | **SKIP** this question if **[LM-102**] is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **LM-702**  Ask:  MOH  Warehouse | Verify existence of policies that guide the electronic LMIS?  **[VERIFIES LM-103]** | Physically verified |  | **SKIP** this question if **[LM-103]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **LM-703**  Ask:  MOH  Warehouse | Verify which of the following LMIS indicators are tracked at least annually.  **[VERIFIES LM-210]** | Timeliness of reporting |  | **SKIP** this question if **[LM-210]** is **"None of the above"** or **"I don't know"** |
| Completeness of reporting |  |
| Accuracy of reports |  |
| None of the above |  |
| **LM-704**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify existence of Standard Operating Procedures (SOPs) for the paper based LMIS at this site/facility (in electronic or paper copy)  **[VERIFIES LM-301]** | Physically verified |  | **SKIP** this question if **[LM-301]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **LM-705**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify existence of Standard Operating Procedures (SOPs) for the electronic LMIS at this site/facility (in electronic or paper copy)  **[VERIFIES LM-303]** | Physically verified |  | **SKIP** this question if **[LM-303]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **LM-706**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify whether data quality assessments (DQA) are conducted at this site. For example, if they have a DQA report.  **[VERIFIES LM-401]** | Physically verified |  | **SKIP** this question if **[LM-401]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **LM-707**  Ask:  MOH  Warehouse | Verify that the electronic LMIS is run on a specialized LMIS software package/program  **[VERIFIES LM-501]** | Physically verified |  | **SKIP** this question if **[LM-501]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **LM-708**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify that LMIS computing equipment includes current virus protection  **[VERIFIES LM-503]** | Physically verified for all computers running LMIS |  | **SKIP** this question if **[LM-503]** is **"No"** or **"I don't know"** |
| Physically verified for some computers running LMIS |  |
| Could NOT be physically verified |  |

## Physical Verification List: Module 10– LMIS

1. Copy of policies that guide the paper LMIS - SOPs. [MOH, Warehouse]
2. Copy of policies that guide the electronic LMIS SOPs. [MOH, Warehouse]
3. Evidence of LMIS indicators tracked by the facility. [MOH, Warehouse]
4. Copy of paper LMIS Standard Operating Procedures (SOPs). [MOH, Warehouse, Referral Hospitals, SDP]
5. Copy of electronic LMIS SOPs. [MOH, Warehouse, Referral Hospitals, SDP]
6. Evidence that data quality assessments (DQA) are conducted at this site, such as a Data Quality Assessment report related to supply chain. [MOH, Warehouse, Referral Hospitals, SDP]
7. Access to computers running electronic LMIS at the facility. [MOH, Warehouse, Referral Hospitals, SDP]

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 10 – LMIS** |

# Module 11: Waste Management

**CENTRAL/MOH LEVEL:** For this module, interview the lead technical expert for waste management for the Ministry of Health, if available. If not, interview the head of the Ministry of Health supply chain department or pharmacy department, or another person knowledgeable about the national waste management policies and processes.

**CENTRAL OR INTERMEDIATE WAREHOUSE:** For this module, interview the warehouse manager or pharmacy specialist at the warehouse, if available. If not, interview another member of the management team knowledgeable about the waste management processes at the warehouse.

**REFERRAL HOSPITAL:** For this module, interview the storeroom manager or head of pharmacy at the hospital, if available. If not, interview another senior person knowledgeable about the waste management processes at the hospital.

**SERVICE DELIVERY POINTS:** For this module, interview the storeroom manager or head of pharmacy, if available. If not, interview another person knowledgeable about the waste management processes at the facility. In smaller SDPs, the responsible person is likely to be the head of the SDP.

| **Q#** | **QUESTIONS** | **RESPONSES** | | **Skips & observation** |
| --- | --- | --- | --- | --- |
| **WM-100: General Waste Management** | | | | |
| **WM-101**  Ask:  MOH | Are there formally approved national waste management and disposal regulations?  **[VERIFY WITH WM-401]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [WM-103]** |
| No |  |
| I don’t know |  |
| **WM-102**  Ask:  MOH | Is there a national regulatory agency or department in place for managing and enforcing such regulations? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-103**  Ask:  MOH | Are there other environmental regulations that affect waste treatment systems, such as air emission standards for incinerators? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-104**  Ask:  MOH | Does the MOH have approved guidelines for waste management and disposal?  NOTE: For example, guidelines for the storage and destruction of expired, damaged and obsolete products  **[VERIFY WITH WM-402]** | Yes |  | If **"Yes"**, continue;  Otherwise, **go to [WM-106]** |
| No |  |
| I don’t know |  |
| **WM-105**  Ask:  MOH | Which of the following waste types or categories are specifically covered and differentiated in the waste treatment guidelines?  **[MULTIPLE RESPONSES ALLOWED]**  **[VERIFY WITH WM-403]** | General or municipal type waste |  |  |
| Hazardous or chemical type waste |  |
| Infectious or medical type waste (or unusable medical products) |  |
| Pharmaceutical type waste (or unusable pharmaceutical products) |  |  |
| None of the above/All-inclusive (No specific waste type or category) |  |
| I don't know |  |
| **WM-106**  Ask:  MOH  Warehouse  Referral Hospital  SDP | Are approved standard operating procedures (SOPs) for waste management and disposal available at this site/facility (in electronic or paper copy)?  E.g. SOPs for storage and destruction of expired, damaged and obsolete products  **[VERIFY WITH WM-404]** | Yes |  | If **"Yes"**, Continue.  Otherwise, **go to [WM-108]** |
| No |  |
| I don’t know |  |
| **WM-107**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How often are guidelines and/or SOPs for waste management updated?  NOTE: For answers in between the choices, round up. For example, if updates are done every 15, 18 or 21 months, select "Every 2 years" | Annually or more often |  |  |
| Every 2 years |  |
| Every 3 years |  |
| Every 4 years or less often |  |
| Never |  |
| I don't know |  |
| **WM-108**  Ask:  Warehouse  Referral Hospital  SDP | For waste disposal events, is the disposal process authorized and documented?  **[VERIFY WITH WM-405]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-109**  Ask:  Warehouse  Referral Hospital  SDP | Are unusable pharmaceutical products stored separately?  **[VERIFY WITH WM-406]** | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-1**  **10**  Ask:  Warehouse  Referral Hospital  SDP | What means or methods are used for treating and/or disposing of pharmaceutical waste generated or in storage at the site or facility?  NOTE: Could be done via contract or by the facility itself.  **[MULTIPLE RESPONSES ALLOWED]** | Municipal landfill disposal |  | If **"None - disposal is not done"** or **"I don't know"** then go to **[WM-112]**;  Otherwise, continue. |
| Incineration (on-site) followed by landfill disposal of ash residues |  |
| Inertization or solidification followed by landfill disposal of treated waste residues |  |
| Steam autoclaving followed by landfill disposal of treated waste residues |  |
| Transport to higher level government facility or warehouse |  |
| Contract (third-party) pick-up, transport and disposal by certified waste management company |  |
| Other technology or method. Please specify: |  |
| None - disposal is not done |  |
| I don't know |  |
| **WM-1**  **11**  Ask:  Warehouse  Referral Hospital  SDP | Is the disposal supervised or certified by a regulatory authority?  NOTE: The regulatory authority attends during the destruction and/or they issue a certificate or similar document allowing the facility to conduct disposal. | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-1**  **12**  Ask:  Warehouse  Referral Hospital  SDP | Are unusable pharmaceutical waste products at the health facility/hospital/warehouse sorted by method of disposal?  **[VERIFY WITH WM-407]** | Yes |  | **Skip** this question if **[WM-109]** is **"No"** or **"I don't know"**  **Go to [WM-201]** |
| No |  |
| I don’t know |  |
| **WM-200: Monitoring & Waste Management** | | | | |
| **WM-201**  Ask:  MOH  Warehouse  Referral Hospital  SDP | How are waste management practices monitored?  **[MULTIPLE RESPONSES ALLOWED]** | Regular collection of KPIs |  |  |
| External audits |  |
| Internal audits |  |
| On-site monitoring |  |
| None of the above |  |
| I don't know |  |
| **WM-202**  Ask:  MOH  Warehouse  Referral Hospital | Do you identify and track corrective actions for waste disposal? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-300: Waste Management MIS** | | | | |
| **WM-301**  Ask:  MOH  Warehouse  Referral Hospital | Is the waste management system integrated with LMIS? | Yes |  |  |
| No |  |
| I don’t know |  |
| **WM-302**  Ask:  MOH  Warehouse  Referral Hospital | What software is used for waste management, including collection planning (scheduling, transportation, routing, etc.)?  **[MULTIPLE RESPONSES ALLOWED]** | Excel/Access based system |  |  |
| WMS (Warehouse Management System) |  |
| electronic LMIS |  |
| Other. Please specify: |  |
| None |  |
| I don't know |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **WM-400: PHYSICAL VERIFICATION:**  **The assessment requires me to verify some of your answers with physical inspection of the facility or review of relevant documents. In some instances the verifications will be a confirmation that something is/or is not available. As a reminder, this is not an audit and the results will not be used to judge the facility’s performance. These verifications will provide additional information regarding the system’s strengths and challenges.** | | | | |
| **Q#** | **VERIFICATION REQUIRED** | **RESPONSES** | | **SKIPS** |
| **WM-401**  Ask:  MOH | Verify existence of formally approved national waste management and disposal regulations  **[VERIFIES WM-101]** | Physically verified |  | **SKIP** this question if **[WM-101]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **WM-402**  Ask:  MOH | Verify existence of a formally approved MOH guidelines for waste management and disposal  **[VERIFIES WM-104]** | Physically verified |  | **SKIP** this question if **[WM-104]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **WM-403**  Ask:  MOH | Verify which of the following types of waste are explicitly covered and differentiated in the waste treatment guidelines  **[VERIFIES WM-105]** | General or municipal type waste |  | **SKIP** this question if **[WM-105]** is **"None of the above/All-inclusive"** or **"I don't know"** |
| Hazardous or chemical type waste |  |
| Infectious or medical type waste (or unusable medical products) |  |
| Pharmaceutical type waste (or unusable pharmaceutical products) |  |
| None of the above/All-inclusive (No specific waste type or category is differentiated) |  |

| **Q#** | **QUESTIONS** | **RESPONSES** | **SKIPS** |
| --- | --- | --- | --- |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **WM-404**  Ask:  MOH  Warehouse  Referral Hospitals  SDP | Verify the existence of approved SOPs for waste management and disposal at this site/facility (in electronic or paper copy)  **[VERIFIES WM-106]** | Physically verified |  | **SKIP** this question if **[WM-106]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **WM-405**  Ask:  Warehouse  Referral Hospitals  SDP | Verify that the disposal process for waste disposal events is authorized and documented  **[VERIFIES WM-108]** | Physically verified |  | **SKIP** this question if **[WM-108]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **WM-406**  Ask:  Warehouse  Referral Hospitals  SDP | Verify that unusable pharmaceutical products are stored in a separate location  **[VERIFIES WM-109]** | Physically verified |  | **SKIP** this question if **[WM-109]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |
| **WM-407**  Ask:  Warehouse  Referral Hospitals  SDP | Verify that unusable pharmaceutical waste products are sorted by method of disposal  **[VERIFIES WM-112]** | Physically verified |  | **SKIP** this question if **[WM-112]** is **"No"** or **"I don't know"** |
| Could NOT physically verify |  |

## Physical Verification List: Module 11 – Waste Management

1. Copy of formally approved national waste management and disposal regulations. [MOH]
2. Copy of formally approved MOH guidelines for waste management and disposal. [MOH]
3. Copies of any Standard Operating Procedures (SOPs) for waste management and disposal. [MOH, Warehouse, Referral Hospitals, SDP]
4. Copies of approvals of waste disposal process for disposal events. [Warehouse, Referral Hospitals, SDP]
5. Evidence of disposal/destruction events [MOH]

**Thank you and close interview**

|  |  |  |
| --- | --- | --- |
|  | Ending Time | End : [\_\_|\_\_] [\_\_|\_\_] am/pm  Hour Minutes |

|  |
| --- |
| Any notes about interview: |

|  |
| --- |
| **END OF MODULE 11 – WASTE MANAGEMENT** |