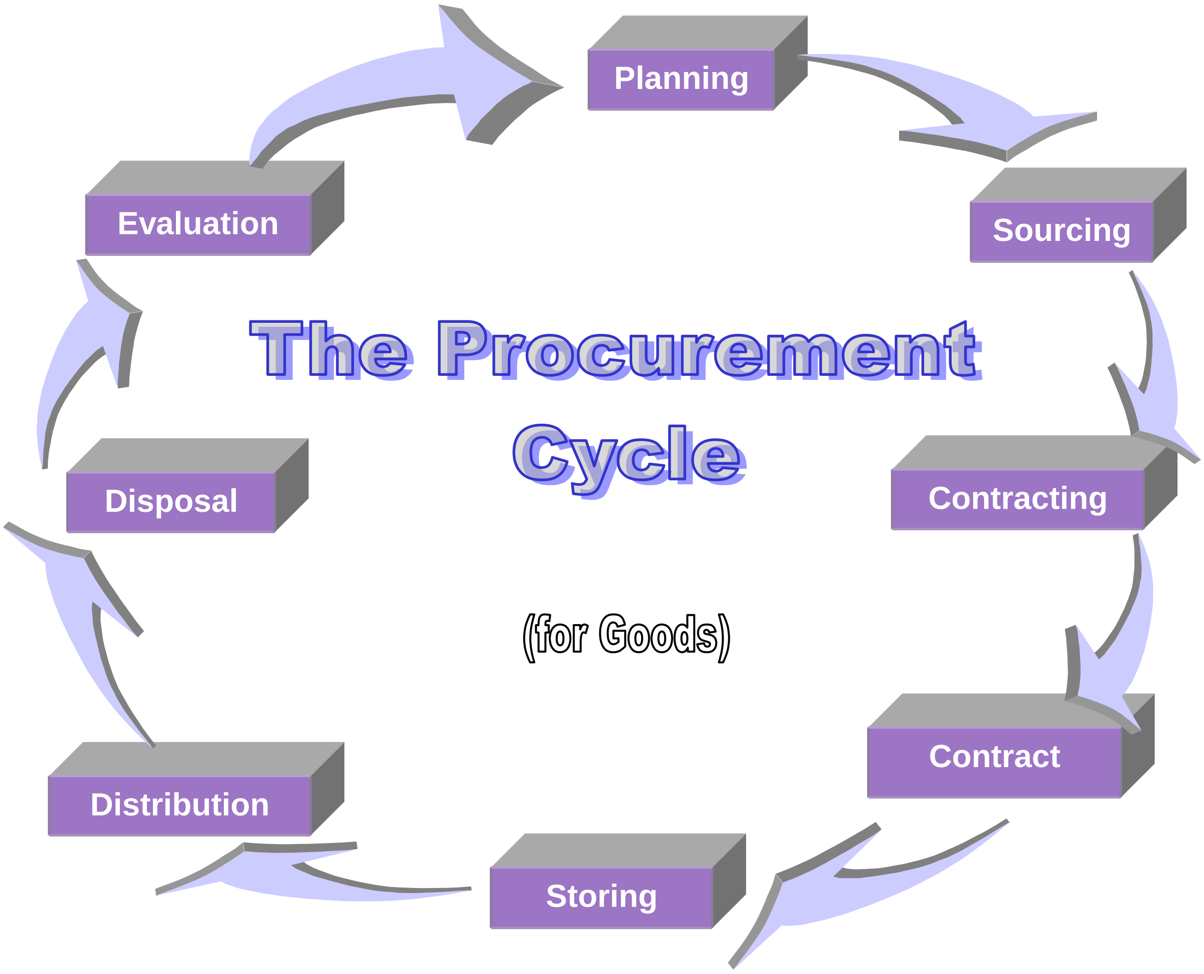
Sierra Leone Coalition for Transparency and Accountability in the Education Sector

Procurement Monitoring Manual



By Transparency International Sierra Leone in collaboration with the Monitoring and Evaluation Department of the National Public procurement Authority

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1.1. PURPOSES AND DEFINITIONS

1.1,1. PURPOSES OF MONITORING AND EVALUATION

Monitoring and evaluation help improve performance and achieve results. More precisely, the overall purpose of procurement monitoring and evaluation is the measurement and assessment of compliance and performance in order to more effectively manage the outcomes and outputs known as development results. Performance is progress towards and achievement of desired results. Compliance is progress towards and achievement of laid down procedures and processes. The need to demonstrate compliance and performance is placing higher demands on monitoring and evaluation in public procurements.
Traditionally, monitoring and evaluation focused on assessing inputs and implementation processes. To day, the focus is on assessing the contributions of various factors to a given action.

1.1.2. DEFINITIONS OF MONITORING AND EVALUATION

1.1.2.1 MONITORING is defined as a continuous activity that aims primarily at providing relevant information to management and main stakeholders of an ongoing action with early indications of progress, or lack thereof, in the achievement of predetermined results. An ongoing intervention might be a project, programme or other kind of support to an outcome.

1.1.2.2 EVALUATION is considered as a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations need to be linked to outcomes as opposed to only implementation or immediate outputs

2. TOOLS, APPROACHES & METHODS IN MONITORING.

Monitoring and evaluation (M&E) of various and varied activities provides public officials, development managers, and civil society with better means for learning from past experience, improving service delivery, planning and allocating resources, and demonstrating results as part of accountability to key stakeholders.
Within the public sector community there is a strong focus on *results*— this helps explain the growing interest in M&E. There is however confusion regarding what M&E requires. This manual is aimed at strengthening awareness and interest in M&E, and to clarify what it entails. The methods, and approaches are outlined here, including their purpose and use; advantages and disadvantages; costs, skills, and time required. Included here are several data collection methods, analytical frameworks, and types of evaluation and review. The choice of which is appropriate for any given context will depend on a range of considerations. These include the uses for which M&E is intended, the main stakeholders who have an interest in the M&E findings, the speed with which the information is needed, and the cost.

2.1. **PERFORMANCE INDICATORS** - measure inputs, processes, outputs, outcomes, and impacts. It is used to track progress, demonstrate results, and take corrective action to improve service delivery.

WHEN USED

- Setting performance targets and assessing progress toward achieving them.
- Identifying problems via an early warning system to allow corrective action to be taken.
- Indicating whether an in-depth evaluation or review is needed.

ADVANTAGES:

- Effective means to measure progress toward objectives.
- Facilitates benchmarking comparisons between different organizational units, districts, and over time.

DISADVANTAGES:

- Poorly defined indicators are not good measures of success.
- Tendency to define too many indicators, or those without accessible data sources, making system costly, impractical, and likely to be underutilized.
- Often a trade-off between picking the optimal or desired indicators and having to accept the indicators which can be measured using existing data.

COST:

- Can be low or high, depending on number of indicators collected, the frequency and quality of information required, and the comprehensiveness of the system.

SKILLS REQUIRED:

- A number of days of training are recommended to develop skills for defining practical indicators. Data collection, analysis and reporting skills, and management information system (MIS) skills are required to implement performance monitoring systems.

TIME REQUIRED:

- Several days to several months, depending on extent of participatory process used to define indicators and program complexity. Implementing performance monitoring systems may take 6–12 months.

2.2. **THE LOGICAL FRAMEWORK APPROACH** - helps to clarify objectives. It assists in the identification of the expected causal links—the “program logic”—in the following results chain: inputs, processes, outputs (including coverage or “reach” across beneficiary groups), outcomes, and impact. It leads to the identification of performance indicators at each stage in this chain, as well as risks which might impede the attainment of the objectives. The LogFrame is also a vehicle for engaging partners in clarifying objectives and designing activities. During implementation the LogFrame serves as a useful tool to review progress and take corrective action.

WHEN USED

- Improving quality of project and program designs—by requiring the specification of clear objectives, the use of performance indicators, and assessment of risks.
- Summarizing design of complex activities.
- Assisting the preparation of detailed operational plans.
- Providing objective basis for activity review, monitoring, and evaluation.

ADVANTAGES:

- Allows decision-makers to ask fundamental questions and analyze assumptions and risks.
- Engages stakeholders in the planning and monitoring process.
- When used dynamically, it is an effective management tool to guide implementation, monitoring and evaluation.

DISADVANTAGES:

- If managed rigidly, stifles creativity and innovation.

- If not updated during implementation, it can be a static tool that does not reflect changing conditions.
- Training and follow-up are often required.

COST:
Low to medium, depending on extent and depth of participatory process used to support the approach.

SKILLS REQUIRED:
About 3–5 days training for facilitators; additional facilitation skills required for use in participatory planning and management.

TIME REQUIRED:
- Several days to several months, depending on scope and depth of participatory process.

2.3. **THEORY-BASED EVALUATION -** It has similarities with the LogFrame approach but allows a much more in-depth understanding of the workings of a program or activity—the “program theory” or “program logic.” In particular, it need not assume simple linear cause-and effect relationships. For example, the success of a government program to improve literacy levels by increasing the number of teachers might depend on a large number of factors. These include, among others, availability of classrooms and textbooks, the likely reactions of parents, school principals and schoolchildren, the skills and morale of teachers, the districts in which the extra teachers are to be located, the reliability of government funding, and so on. By mapping out the determining or causal factors judged important for success, and how they might interact, it can then be decided which steps should be monitored as the program develops, to see how well they are in fact borne out. This allows the critical success factors to be identified. And where the data show these factors have not been achieved, a reasonable conclusion is that the program is less likely to be successful in achieving its objectives.

WHEN USED
- Mapping design of complex activities.
- Improving planning and management.

ADVANTAGES:
- Provides early feedback about what is or is not working, and why.
- Allows early correction of problems as soon as they emerge.
- Assists identification of unintended side-effects of the program.
- Helps in prioritizing which issues to investigate in greater depth, perhaps using
- more focused data collection or more sophisticated M&E techniques.
- Provides basis to assess the likely impacts of programs.

DISADVANTAGES:
- Can easily become overly complex if the scale of activities is large or if an exhaustive list of factors and assumptions is assembled.
- Stakeholders might disagree about which determining factors they judge important, which can be time-consuming to address.

COST:
- Medium—depends on the depth of analysis and especially the depth of data collection undertaken to investigate the workings of the program.

SKILLS REQUIRED:

- Minimum 3–5 days training for facilitators.

TIME REQUIRED:

- Can vary greatly, depending on the depth of the analysis, the duration of the program or activity, and the depth of the M&E work undertaken.

2.4. **FORMAL SURVEYS -** It could be used to collect standardized information from a carefully selected sample of a population. Surveys often collect comparable information for a relatively large population in particular target groups.

WHEN USED

- Providing baseline data against which the performance of the strategy, program, or project can be compared.
- Comparing different groups at a given point in time.
- Comparing changes over time in the same group.
- Comparing actual conditions with the targets established in a program or project design.
- Describing conditions in a particular population or group.
- Providing a key input to a formal evaluation of the impact of a program or project.
- Assessing levels of poverty as basis for preparation of *poverty reduction strategies*.

ADVANTAGES:

- Findings from the sample of people interviewed can be applied to the wider target group or the population as a whole.
- Quantitative estimates can be made for the size and distribution of impacts.

DISADVANTAGES:

- Results are often not available for a long period of time.
- The processing and analysis of data can be a major bottleneck for the larger surveys even where computers are available.
- Some surveys are expensive and time-consuming.
- Many kinds of information are difficult to obtain through formal interviews.

COST:

- Costs will be significantly higher if there is no master sampling frame.

SKILLS REQUIRED:

- Sound technical and analytical skills for sample and questionnaire design, data analysis, and processing.

TIME REQUIRED:

- Depends on sample size.

2.5. **RAPID APPRAISAL METHODS** - These are quick, low-cost ways to gather the views and feedback of beneficiaries and other stakeholders, in order to respond to decision-makers' needs for information.

WHEN USED

- Providing rapid information for management decision-making, especially at the project or program level.

- Providing qualitative understanding of complex socioeconomic changes, highly interactive social situations, or people's values, motivations, and reactions.
- Providing context and interpretation for quantitative data collected by more formal methods.

ADVANTAGES:
- Low cost.
- Can be conducted quickly.
- Provides flexibility to explore new ideas.

DISADVANTAGES:
- Findings usually relate to specific communities or localities—thus difficult to generalize from findings.
- Less valid, reliable, and credible than formal surveys.

COST:
- Low to medium, depending on the scale of methods adopted.

SKILLS REQUIRED:
- Non-directive interviewing, group facilitation, field observation, note-taking, and basic statistical skills.

TIME REQUIRED:
Four to six weeks, depending on the size and location of the population interviewed and the number of sites observed.

2.6. **PARTICIPATORY METHODS** – These methods provide active involvement in decision-making for those with a stake in a project, program, or strategy and generate a sense of ownership in the M&E results and recommendations.

WHEN USED
- Learning about local conditions and local people's perspectives and priorities to design more responsive and sustainable interventions.
- Identifying problems and trouble-shooting problems during implementation.
- Evaluating a project, program, or policy.
- Providing knowledge and skills to empower poor people.

ADVANTAGES:
- Examines relevant issues by involving key players in the design process.
- Establishes partnerships and local ownership of projects.
- Enhances local learning, management capacity, and skills.
- Provides timely, reliable information for management decision-making.

DISADVANTAGES:
- Sometimes regarded as less objective.
- Time-consuming if key stakeholders are involved in a meaningful way.
- Potential for domination and misuse by some stakeholders to further their own interests.

COST:
- Low to medium. Costs vary greatly, depending on scope and depth of application and
- On how local resource contributions are valued.

SKILLS REQUIRED:

- Minimum several days' training for facilitators.

TIME REQUIRED:

- Varies greatly, depending on scope and depth of application.

2.7. **PUBLIC EXPENDITURE TRACKING SURVEYS** - (PETS) track the flow of public funds and determine the extent to which resources actually reach the target groups. The surveys examine the manner, quantity, and timing of releases of resources to different levels of government, particularly to the units responsible for the delivery of social services such as health and education. PETS are often implemented as part of larger service delivery and facility surveys which focus on the quality of service, characteristics of the facilities, their management, incentive structures, etc.

WHEN USED

- Diagnosing problems in service delivery quantitatively.
- Providing evidence on delays, "leakage," and corruption.

ADVANTAGES:

- Supports the pursuit of accountability when little financial information is available.
- Improves management by pinpointing bureaucratic bottlenecks in the flow of funds for service delivery.

DISADVANTAGES:

- Government agencies may be reluctant to open their accounting books.
- Cost is substantial.

COST:

- Can be high until national capacities to conduct them have been established.

SKILLS REQUIRED:

- Sound technical and analytical skills for sample and questionnaire design, data analysis and processing, and good understanding of sector to be assessed.

TIME REQUIRED:

- Five to six months (survey alone takes 1–2 months).

2.8. **COST-BENEFIT AND COST-EFFECTIVENESS ANALYSIS -** are tools for assessing whether or not the costs of an activity can be justified by the outcomes and impacts.

Cost-benefit analysis measures both inputs and outputs in monetary terms.

Cost-effectiveness analysis estimates inputs in monetary terms and outcomes in non-monetary quantitative terms (such as improvements in student reading scores).

WHEN USED

- Informing decisions about the most efficient allocation of resources.
- Identifying projects that offer the highest rate of return on investment.

ADVANTAGES:

- Good quality approach for estimating the efficiency of programs and projects.
- Makes explicit the economic assumptions that might otherwise remain implicit or overlooked at the design stage.
- Useful for convincing policy-makers and funders that the benefits justify the activity.

DISADVANTAGES:

- Fairly technical, requiring adequate financial and human resources available.
- Requisite data for cost-benefit calculations may not be available, and projected results may be highly dependent on assumptions made.
- Results must be interpreted with care, particularly in projects where benefits are difficult to quantify.

COST:

- Varies greatly, depending on scope of analysis and availability of data.

SKILLS REQUIRED:

- The procedures used in both types of analyses are often highly technical. They require skill in economic analysis and availability of relevant economic and cost data.

TIME REQUIRED:

- Varies greatly depending on scope of analysis and availability of data.

2.9. **IMPACT EVALUATION -** is the systematic identification of the effects – positive or negative, intended or not – on individual households, institutions, and the environment caused by a given development activity such as a program or project. Impact evaluation helps us better understand the extent to which activities reach the poor and the magnitude of their effects on people's welfare. Impact evaluations can range from large scale sample surveys in which project populations and control groups are compared before and after, and possibly at several points during program intervention; to small-scale rapid assessment and participatory appraisals where estimates of impact are obtained from combining group interviews, key informants, case studies and available secondary data.

WHEN USED

- Measuring outcomes and impacts of an activity and distinguishing these from the influence of other, external factors.
- Helping to clarify whether costs for an activity are justified.
- Informing decisions on whether to expand, modify or eliminate projects, programs or policies.
- Drawing lessons for improving the design and management of future activities.
- Comparing the effectiveness of alternative interventions.
- Strengthening accountability for results.

ADVANTAGES:

- Provides estimates of the magnitude of outcomes and impacts for different demographic groups, regions or over time.
- Provides answers to some of the most central development questions – to what extent are we making a difference? What are the results on the ground? How can we do better?
- Systematic analysis and rigor can give managers and policy-makers added confidence in decision-making.

DISADVANTAGES:

- Some approaches are very expensive and time-consuming, although faster and more economical approaches are also used.
- Reduced utility when decision-makers need information quickly.
- Difficulties in identifying an appropriate counter-factual.

COST:

- High and depends on program size, complexity and data collection

SKILLS REQUIRED:

- Strong technical skills in social science research design, management, analysis and reporting. Ideally, a balance of quantitative and qualitative research skills on the part of the evaluation team.

TIME REQUIRED:

- Can take up to 2 years or more. Rapid assessment evaluations can often be conducted in less than 6 months.

3. PROCUREMENT MONITORING

3.1. AN OVERVIEW

Procurement in the public sector is of prime importance. This is because the fundamental role of a governance system is to deliver facilities to the people that lead overall development. This is done principally through the procurement of goods, works and services that are needed by the populace.

Sierra Leone has a decentralised public procurement system. In this system, the legislative frame work for procurement includes:

- Public Procurement Act, 2004
- Public Procurement Regulations, 2006
- Standard Tender Documents
- Public Procurement Manual

The procurement structures within the decentralised system at the National level are:

- The National Public Procurement Authority (NPPA)
- Entity Procurement Committee
- Entity Procurement Unit
- Independent Procurement Review Panel (IPRP)

At the entity level, the structures include:

- Procurement Committee
- Evaluation Committees
- Procurement Units
- User Departments

Each of the structures has specific roles and responsibilities (see sections 18 and 19 of the PPA 2004)

4. PROCUREMENT COMMITTEE MONITORING FORM

Is there a procurement committee in this entity? (If yes, list of members) 1. yes 2.no	**Position on Committee**
FUNCTIONING OF THE COMMITTEE	
How many times did the committee meet in 2011(request for evidence)	
Are there evidences of decisions? 1.yes 2.no	
Are all procurement records available 1=yes, 0=no. If yes name them	
Procurement plan 1=yes, 0=no	
Specific Procurement Forms (SPF) 1=yes, 0=no	
Invitation For Bid (IFB) 1=yes, 0=no.	
Bidding Documents 1=yes, 0=no.	
Bids 1=yes, 0=no.	
Bid Evaluation Reports 1=yes, 0=no.	
Notification of award 1=yes, 0=no.	
Signed Contracts 1=yes, 0=no.	
Contract Completion Reports 1=yes, 0=no.	
Are they signed by appropriate officers? 1. yes 2. no	
Procurement plan to Notification of Award by Chairman PC/PO 1=yes, 0=no.	
Contact byHead of Institution 1=yes, 0=no.	

5. PROCUREMENT UNIT MONITORING FORM

Is there a procurement unit in this entity? (If yes, list of members) 1. yes 2.no	**Position in the unit**
FUNCTIONING OF THE UNIT	
How many chairs are there in the unit	
How many tables are there in the unit	
How many computers are there in the unit	
Are there shelves/cupboards for records on procurements? 1.yes 2.no	
Are all procurement records in order? 1=yes, 0=no	
Are there any interference with procurement unit operations? 1=yes, 0=no	
Has unit members any Professional procurement training?1=yes, 0=no	

Monitoring public procurement is one of the ways in which Government can ensure the proper use of public funds. Sound public procurement monitoring strategies offer the following opportunities:

• assist ministries/departments/agencies to reduce transaction costs associated with purchasing;

• contribute to effective risk management;

• contribute towards the development of strategic relationships with the private sector;

• assist in developing supplier capability;

• assist in the development of public procurement management strategies; and

• improve supplier and purchaser performance.

6. WHAT CATEGORIES OF PUBLIC PROCUREMENT SHOULD BE MONITORED?

The extent to which it is necessary to monitor and evaluate public procurement should be determined on the basis of risk management and cost benefit assessments. Monitoring and evaluating public procurement should be a priority when purchasing goods, works and services that are high relative expenditure and for which “supply is difficult to secure”.

7. AT WHAT STAGE OF THE PROCUREMENT SHOULD MONITORING OCCUR?

The process of monitoring and evaluation occurs generally at every stage of the procurement cycle. It is however most crucial for civil societies during the implementation phase of the contract which is when the goods, works and/or services procured are delivered to the beneficiaries.

8. WHAT TO MONITOR AND EVALUATE

Some examples of the dimensions of procurement that the interested party may want to monitor include:

- procurement structures in the entities
- procurement processes and procedures
- contractor performance;
- public complaints;
- benchmarking of performance with other providers and other comparative performance activities;
- involvement of stakeholders in the process;
- financial management aspects

9. WHO SHOULD MONITOR PUBLIC PROCUREMENT

The statutory responsibility for monitoring public procurement lies with the National Public Procurement Authority (NPPA).

It is however important to note that all stake holders including the civil society has the responsibility to ensure that the target beneficiaries receive correctly the things government send to them. They as such have the right to monitor and raise RED FLAGS so that the appropriate bodies can come in to carry out a thorough investigation. Hence the civil society has a synergy role in the PUBLIC PROCUREMENT MONITORING PROCESS.

- Procurement monitoring and evaluation is a process that must be routinely conducted by Procuring Entities, other stakeholders and by the National Public Procurement Authority to:

- Check to verify the existence and functioning of the procurement structures in procuring entities.

- Ensure that procurements carried out are within the annual procurement plan of the Procuring Entity;

- Identify weaknesses and delays in the procurement process;

- Compare prices against market standards;

- Assess performance of Procurement Units and Committees;
- Assess performance of suppliers, contractors and consultants; and to
- Identify any necessary remedial action.
- The National Public Procurement Authority will co-ordinate and lead the monitoring and evaluation process through the following methodologies.
- Procurement monitoring and evaluation information is obtained from:
- Requests for deviation from procurement procedures submitted by Procuring Entities;
- Quarterly Reports of Procurement on Form SPF 6;
- Regular meetings with stakeholders (including representatives of the Private Sector);
- Routine review and certification of Procuring Entities for decentralised procurement;
- Reports of the Auditor General and the Internal Audit Department of the Ministry of Finance;
- Reports of specialist external procurement audits;
- Bidder and supplier complaints made to Procuring Entities;
- Complaints by bidders referred to the Independent Procurement Review Panel (IPRP);
- Routine sampling of Procurement Dossiers for individual procurements; and
- Examination of the Procurement Dossier for any procurement to check for the level of compliance with the Regulations and performance according to contract.

Some of the loop holes that offer room for manipulation and fraud in procurement consist of:

- **Planning stage:** Absence of clear criteria for project selection; stimulating demand for personal benefits; short cutting bidding process by misrepresenting urgency
- **Preparation Stage:** Weak technical specifications leading to favored bidders; lack of public participation in project design/bidding specifications, tailor fitting favored bidders
- **Advertisement Stage:** Limited/insufficient advertising; published in paper with limited circulation
- **Pre-qualifications:** Bias requirement to a favored bidder or contractor, lengthy process leading to opportunities for bribe solicitation, contract sharing among the bribing companies

It is because of the foregoing that monitoring of procurement is a must in the financial management process.

The effect of procurement monitoring on services delivered at local level are therefore as flows:

- It ensures that the correct quantity and scope are completely delivered.

- Quality is not watered down in the services delivered
- The appropriate needs are acquired.
- Limited resources available are properly used for more actions.
- It encourages competition, fairness, transparency and professionalism.
- A lot of Government funds are going down the drain through bad procurement are saved leading to more development in the communities.

10. PLANNING FOR MONITORING AND EVALUATION

Monitoring and evaluation should be part of your planning process. It is very difficult to go back and set up monitoring and evaluation systems once things have begun to happen. You need to begin gathering information about performance and in relation to targets from the word go. The first information gathering should, in fact, take place when you do your needs assessment.

This will give you the information you need against which to assess improvements over time.

When you do your planning process, you will set indicators. These indicators provide the framework for your monitoring and evaluation system. They tell you **what** you want to know and the kinds of information it will be useful to collect. In this section we look at:

What do we want to know? This includes looking at indicators for both internal issues and external issues.

Different kinds of information.

How will we get information?

Who should be involved?

10.1 WHAT DO WE WANT TO KNOW?

What we want to know is linked to what we think is important. In public Procurement process, what we think is important is linked to our value (compliance with processes and procedures, specifications of the items and contract performance).

Most work in civil society organisations is underpinned by a value framework. It is this framework that determines the standards of acceptability in the work we do. The central values on which most development work is built are:

_ Serving the disadvantaged;

_ Empowering the disadvantaged;

_ Changing society, not just helping individuals;

_ Sustainability;

_ Efficient use of resources.

So, the first thing we need to know is: Is what we are doing and how we are doing it meeting the requirements of these values? In order to answer this question, our monitoring and evaluation system must give us information about:

_ Who is benefiting from what we do? How much are they benefiting?

_ Are beneficiaries passive recipients or does the process enable them to have some control over their lives?

_ Are there lessons in what we are doing that have a broader impact than just what is happening on our project?

_ Can what we are doing be sustained in some way for the long-term, or will the impact of our work cease when we leave?

_ Are we getting optimum outputs for the least possible amount of inputs?

Should public Procurement be evaluated in terms of the process (the way in which the process is done) or the product (what the process produces)? Often, this debate is more about excusing inadequate performance than it is about a real issue. Process and product are not separate in public Procurement. What we achieve and how we achieve it are often the very same thing. If the goal is development, based on development values, then sinking a well without the transfer of skills for maintaining and managing the well is not enough. Saying: “It was taking too long that way. We couldn’t wait for them to sort themselves out. We said we’d sink a well and we did” is not enough. But neither is: “It doesn’t matter that the well hasn’t happened yet. What’s important is that the people have been empowered.”

Both process and product should be part of your monitoring and evaluation system.

But how do we make process and product and values measurable? The answer lies in the setting of indicators and this is dealt with in the sub-section that follows.

10.2 WHAT DO WE WANT TO KNOW?

Indicators

Indicators are measurable or tangible signs that something has been done or that something has been achieved. In some studies, for example, construction of schools in a community has been used as an indicator that an education assistance project has been undertaken in that community. An indicator of supply of stationery might be the availability of stationery to carry out the stationery related activities in a department. If one were interested in quality paper, for example, the specification made for the paper supply and the use made of the paper is used as an indicator.

Common indicators for something like good procurement performance in an entity are the timely delivery, appropriate quantity and quality etc. You could also look at less direct indicators such as the source of the goods, the appropriate supplier and so on. Indicators are an essential part of a monitoring and evaluation system because they are what you measure and/or monitor. Through the indicators you can ask and answer questions such as:

_ Who?

_ How many?

_ How often?

_ How much?

But you need to decide early on what your indicators are going to be so that you can begin collecting the information immediately. You cannot use the number of television aerials in a community as a sign of improved standard of living if you don't know how many there were at the beginning of the process.

Some people argue that the problem with measuring indicators is that other variables (or factors) may have impacted on them as well. Community members may be participating more in meetings because a number of new people with activist backgrounds have come to live in the area. Women may have more time for development projects because the men of the village have been attending a gender workshop and have made a decision to share the traditionally female tasks. And so on. While this may be true, within a project it is possible to identify other variables and take them into account. It is also important to note that, if nothing is changing, if there is no improvement in the measurement of the key indicators identified, then your strategy is not working and needs to be rethought.

11. DEVELOPING INDICATORS

Step 1: Identify the problem situation you are trying to address. The following might be problems:

_ Compliance situation (procurement structures, procurement planning etc)

_ Bidding situation (bid preparation, invitation to bid, bid evaluation etc)

_ Contract award situation (notification, contract preparation, contract preparation, contract signature etc)

_ Political or organisational situation (ineffective local government, faction fighting etc)

There will be other situations as well.

Step 2: Develop a vision for how you would like the problem areas to be/look.

This will give you impact indicators.

What will tell you that the vision has been achieved? What signs will you see that you can measure that will "prove" that the vision has been achieved? For example, if your vision was that the procurement structures are in place and functional, then you can use compliance indicators to measure how well you are doing. Has all entities got trained procurement staff? Is procurement function still undertaken by administrative staff/accountants? Has the quality of procurement plans increased? If you can answer “yes” to these questions then progress is being made.

Step 3: Develop a process vision for how you want things to be achieved. This will give you process indicators.

If, for example, you want success to be achieved through community efforts and participation, then your process vision might include things like community health workers from the community trained and offering a competent service used by all; community organises clean-up events on a regular basis, and so on.

Step 4: Develop indicators for effectiveness.

For example, if you believe that you can increase the secondary school pass rate by upgrading teachers, then you need indicators that show you have been effective in upgrading the teachers e.g. evidence from a survey in the schools, compared with a baseline survey.

Step 5: Develop indicators for your efficiency targets.

Here you can set indicators such as: planned workshops are run within the stated timeframe, costs for workshops are kept to a maximum of US$ 2.50 per participant, no more than 160 hours in total of staff time to be spent on organising a conference; no complaints about conference organisation etc.

With this framework in place, you are in a position to monitor and evaluate efficiency, effectiveness and impact.

12. DIFFERENT KINDS OF INFORMATION – QUANTITATIVE AND QUALITATIVE

Information used in monitoring and evaluation can be classified as:

_ Quantitative; or

_ Qualitative.

Quantitative measurement tells you “how much or how many”. How many restricted methods were used, how many misprocurement occurred, how much a contract cost,

Contracts have been completed, how many open is the method used and so on. Quantitative measurement can be expressed in absolute numbers (3241 procurement actions were under taken) or as a percentage (50% of entities have functional procurement units).

One way or another, you get quantitative (number) information by counting or measuring.

Qualitative measurement tells you how people feel about a situation or about how things are done or how people behave. So, for example, although you might discover that 50% of the thresholds are above shopping, about the assessment criteria used, this is still qualitative information, not quantitative information. You get qualitative information by asking, observing, interpreting.

Some people find quantitative information comforting – it seems solid and reliable and "objective". They find qualitative information unconvincing and "subjective". It is a mistake to say that "quantitative information speaks for itself". It requires just as much interpretation in order to make it meaningful as does qualitative information. It may be a "fact" that enrolment of girls at schools in some developing countries is dropping – counting can tell us that, but it tells us nothing about why this drop is taking place. In order to know that, you would need to go out and ask questions – to get qualitative information. Choice of indicators is also subjective, whether you use quantitative or qualitative methods to do the actual measuring. Researchers choose to measure school enrolment figures for girls because they believe that this tells them something about how women in a society are treated or viewed.

The monitoring and evaluation process requires a combination of quantitative and qualitative information in order to be comprehensive. For example, we need to know what the school enrolment figures for girls are, as well as why parents do or do not send their children to school. Perhaps enrolment figures are higher for boys than for girls because a particular community sees schooling as a luxury and prefers to train boys to do traditional and practical tasks such taking care of animals. In this case, the higher enrolment of girls does not necessarily indicate higher regard for girls.

13. HOW WILL WE GET INFORMATION?

Your methods for information collecting need to be built into your action planning. You should be aiming to have a steady stream of information flowing into the project or organisation about the work and how it is done, without overloading anyone. The information you collect must mean something: don't collect information to keep busy, only do it to find out what you want to know, and then make sure that you store the information in such a way that it is easy to access.

Usually you can use the reports, minutes, attendance registers, financial statements that are part of your work anyway as a source of monitoring and evaluation information.

However, sometimes you need to use special tools that are simple but useful to add to the basic information collected in the natural course of your work. Some of the more common ones are:

_ Case studies

_ Recorded observation

_ Diaries

_ Recording and analysis of important incidents (called "critical incident analysis")

_ Structured questionnaires

_ One-on-one interviews

_ Focus groups

_ Sample surveys

_ Systematic review of relevant official statistics.

14. **METHODOLOGY**.

14.1. DESIGNING A MONITORING SYSTEM

When you design a monitoring system, you are taking a formative view point and establishing a system that will provide useful information on an ongoing basis so that you can improve what you do and how you do it.

Below is a step-by-step process you could use in order to design a monitoring system for

your organisation or project.

Step 1: At a workshop with appropriate staff and/or volunteers, and run by you or a

consultant:

_ Introduce the concepts of efficiency, effectiveness and impact

_ Explain that a monitoring system needs to cover all three.

_ Generate a list of **indicators** for each of the three aspects.

_ Clarify what variables need to be linked. So, for example, do you want to be able to link the procurement action with procurement planning in order to answer the question: Are procurement procedures in accordance with the plan?

_ Clarify what information the project or organisation is already collecting.

Step 2: Turn the input from the workshop into a brief for the questions your monitoring system must be able to answer. Depending on how complex your requirements are, and what your capacity is, you may decide to go for a computerised data base or a manual one. If you want to be able to link many **variables** across many cases (e.g. structures, evaluation, resources, etc), you may need to go the computer route. If you have a few variables, you can probably do it manually. The important thing is to begin by knowing what variables you are interested in and to keep data on these variables. Linking and analysis can take place later.

From the workshop you will know what you want to monitor. You will have the indicators of efficiency, effectiveness and impact that have been prioritised. You will then choose the variables that will help you answer the questions you think are important.

So, for example, you might have an indicator of impact which is that “bid evaluation” as an indicator that “procurement procedures are followed”. The variables that might affect the indicator include:

_ procurement committee

_ procurement unit

_ evaluation committee

_ head of entity

_ amount involved

_ response to invitation for bid

By keeping the right information you will be able to answer questions such as:

_ Does threshold make a difference to the way method is selected?

_ Does evaluation committee have any significance in compliance?

_ Does the training level of procurement officer make a difference to the impact?

Answers to these kinds of questions enable a project or organisation to make decisions about what they do and how they do it, to make informed changes to programmes, and to measure their impact and effectiveness. Answers to questions such as:

_ Does time line have any compliance implication.?

_ Are evaluation criteria set at the time of bid preparation?

_ Does it cost less when competition in bidding process is encouraged?

Step 3: Decide how you will collect the information you need and where it will be kept (on computer, in manual files).

Step 4: Decide how often you will analyse the information – this means putting it together and trying to answer the questions you think are important.

Step 5: Collect, analyse, report.

14.2. EVALUATION

Designing an evaluation process means being able to develop Terms of Reference for such

a process (if you are the project or organisation) or being able to draw up a sensible proposal to meet the needs of the project or organisation (if you are a consultant).

The main sections in Terms of Reference for an evaluation process usually include:

_ Background: This is background to the procurement process, something about the problem identified, what you do, how long you have existed, why you have decided to do an evaluation.

_ Purpose: Here you would say what it is the organisation or project wants the evaluation to achieve.

_ Key evaluation questions: What the central questions are that the evaluation must address.

_ Specific objectives: What specific areas, internal and/or external, you want the evaluation to address. So, for example, you might want the evaluation to include a review of finances, or to include certain specific programme sites.

_ Methodology: here you might give broad parameters of the kind of approach you favour in evaluation. You might also suggest the kinds of techniques you would like the evaluation team to use.

_ Logistical issues: These would include timing, costing, requirements of team composition and so on.

For more on some of the more difficult components of Terms of Reference, see the following pages.

14.3. Purpose

The purpose of an evaluation is the reason why you are doing it. It goes beyond what you want to know to why you want to know it. It is usually a sentence or, at most, a paragraph.

It has two parts:

_ What you want evaluated;

_ To what end you want it done.

14.4. Key evaluation questions

The key evaluation questions are the central questions you want the evaluation process to answer. They are not simple questions. You can seldom answer “yes” or “no” them. A useful evaluation question is:

_ Thought provoking

_ Challenges assumptions.

_ Focuses inquiry and reflection.

_ Raises many additional questions.

Some examples of key evaluation questions related to a project purpose:

The purpose of the evaluation is to assess how efficient the project is in delivering benefits to

the identified community in order to inform Board decisions about continuity and replicability.

Key evaluation questions:

_ Who is currently benefiting from the project and in what ways?

_ Do the inputs (in money and time) justify the outputs and, if so/if not, on what basis is

this claim justified?

_ What would improve the efficiency, effectiveness and impact of the current project?

_ What are the lessons that can be learned from this project in terms of replicability?

Note that none of these questions deals with a specific element or area of the internal or external functioning of the project or organisation. Most would require the evaluation team to deal with a range of project or organisational elements in order to answer them.

Other examples of evaluation questions might be:

_ What are the most effective ways in which a project of this kind can address the problem identified?

_ To what extent does the internal functioning and structure of the organisation impact positively on the programme work?

_ What learnings from this project would have applicability across the full development spectrum?

Clearly, there could be many, many examples. Our experience has shown us that, when an evaluation process is designed with such questions in mind, it produces far more interesting insights than simply asking obvious questions such as: Does the Board play a useful role in the organisation? Or: What impact are we having?

15. Methodology

"Methodology" as opposed to "methods" deals more with the kind of approach you use in your evaluation process. You could, for example, commission or do an evaluation process that looked almost entirely at written sources, primary or secondary: reports, data sheets, minutes and so on.

Or you could ask for an evaluation process that involved getting input from all the key stakeholder groups. Most terms of reference will ask for some combination of these but them may also specify how they want the evaluation team to get input from stakeholder groups for example:

_ Through a survey;

_ Through key informants;

_ Through focus groups.

Here too one would expect to find some indication of reporting formats: Will all reporting be written? Will the team report to management, or to all staff, or to staff and Board and beneficiaries? Will there be interim reports or only a final report? What sort of evidence does the organisation or project require to back up evaluator opinions? Who will be involved in analysis?

The methodology section of Terms of Reference should provide a broad framework for how the project or organisation wants the work of the evaluation done.

16. METHODS

In this section we are going to give you a "shopping list" of the different kinds of methods that can be used to collect information for monitoring and evaluation purposes. You need to select methods that suit your purposes and your resources. Do not plan to do a comprehensive survey of 100 000 households if you have two weeks and very little money!

Use sampling in this case.

16.1 Sampling is another important concept when using various tools for a monitoring or evaluation process. Sampling is not really a tool in itself, but used with other tools it is very useful. Sampling answers the question: Who do we survey, interview, include in a focus group etc? It is a way of narrowing down the number of possible respondents to make it manageable and affordable. Sometimes it is necessary to be comprehensive. This means looking at every contract, each minute of procurement committee meeting etc. In an evaluation, you might well use all the information collected in every case during the monitoring process in an overall analysis. Usually, however, unless numbers are very small, for in-depth exploration you will use a sample. Sampling techniques include:

_ Random sampling (In theory random sampling means doing the sampling on a sort of lottery basis where, for example all the names go into a container, are tumbled around and then the required number are drawn out. This sort of random sampling is very difficult to use in the kind of work we are talking about. For practical purposes you are more likely to, for example, select every seventh household or every third person on the list. The idea is that there is no bias in the selection.);

_ Stratified sampling (e.g. every seventh household in the upper income bracket, every third household in the lower income bracket);

_ Cluster sampling (e.g. only those people who have been on the project for at least two years).

It is also usually best to use **triangulation.** This is a fancy word that means that one set of data or information is confirmed by another. You usually look for confirmation from a number of sources saying the same thing.

_ INTERVIEWING SKILLS

Some do's and don'ts for interviewing:

_ DO test the interview schedule beforehand for clarity, and to make sure questions cannot be misunderstood.

_ DO state clearly what the purpose of the interview is.

_ DO assure the interviewee that what is said will be treated in confidence.

_ DO ask if the interviewee minds if you take notes or tape record the interview.

_ DO record the exact words of the interviewee as far as possible.

_ DO keep talking as you write.

_ DO keep the interview to the point.

_ DO cover the full schedule of questions.

_ DO watch for answers that are vague and probe for more information.

_ DO be flexible and note down everything interesting that is said, even if it isn't on the schedule.

_ DON'T offend the interviewee in any way.

_ DON'T say things that are judgmental.

_ DON'T interrupt in mid-sentence.

_ DON'T put words into the interviewees mouth.

_ DON'T show what you are thinking through changed tone of voice.

17. ANALYSING INFORMATION

Whether you are looking at monitoring or evaluation, at some point you are going to find yourself with a large amount of information and you will have to decide how to make sense of it or to analyse it. If you are using an external evaluation team, it will be up to this team to do the analysis, but, sometimes in evaluation, and certainly in monitoring, you, the organisation or project, have to do the analysis.

Analysis is the process of turning the detailed information into an understanding of patterns, trends, interpretations. The starting point for analysis in a project or organisational context is quite often very unscientific. It is your intuitive understanding of the key themes that come out of the information gathering process. Once you have the key themes, it becomes possible to work through the information, structuring and organising it. The next step is to write up your analysis of the findings as a basis for reaching conclusions, and making recommendations.

So, your process looks something like this:

Determine key indicators for the evaluation/monitoring process

Collect information around the indicators

Develop a structure for your analysis, based on your intuitive understanding of emerging themes and concerns, and where you suspect there have been variations from what you had hoped and/or expected.

Go through your data, organising it under the themes and concerns.

Identify patterns, trends, possible interpretations.

Write up your findings and conclusions. Work out possible ways forward (recommendations).

18. TAKING ACTION

Monitoring and evaluation have little value if the organisation or project does not act on the information that comes out of the analysis of data collected. Once you have the findings, conclusions and recommendations from your monitoring and evaluation process, you need to:

_ Report to your stakeholders;

_ Learn from the overall process;

_ Make effective decisions about how to move forward; and, if necessary,

_ Deal with resistance to the necessary changes within the organisation or project, or

even among other stakeholders.

19. REPORTING

Whether you are monitoring or evaluating, at some point, or points, there will be a reporting process. This reporting process follows the stage of analysing information. You will report to different stakeholders in different ways, sometimes in written form, sometimes verbally and, increasingly, making use of tools such as Power point presentations, slides and videos.

Below is a table, suggesting different reporting mechanisms that might be appropriate for different stakeholders and at different times in project cycles. For writing tips, go to the toolkit on effective writing for organisations.

19.1. OUTLINE OF AN EVALUATION REPORT

EXECUTIVE SUMMARY (Usually not more than five pages – the shorter the better – intended to provide enough information for busy people, but also to tease people's appetite so that they want to read the full report.)

PREFACE (Not essential, but a good place to thank people and make a broad comment about the process, findings etc.)

CONTENTS PAGE (With page numbers, to help people find their way around the report.)

SECTION 1:

INTRODUCTION: (Usually deals with background to the project/organisation, background to the evaluation, the brief to the evaluation team, the methodology, the actual process and any problems that occurred.)

SECTION 2:

FINDINGS: (Here you would have sections dealing with the important areas of findings, e.g. efficiency, effectiveness and impact, or the themes that have emerged.)

SECTION 3:

CONCLUSIONS: (Here you would draw conclusions from the findings – the interpretation, what they mean. It is quite useful to use a SWOT

SECTION 4:

RECOMMENDATIONS: (This would give specific ideas for a way forward in terms of addressing weaknesses and building on strengths.)

APPENDICES: (Here you would include Terms of Reference, list of people interviewed, questionnaires used, possibly a map of the area and so on.)

20. PROCUREMENT MONITORING INDICATORS

Please note that these are just examples – they may or may not suit your needs but they should give you some idea of the kind of indicators you can use..

20.1. PROCUREMENT COMPLIANCE

20.1.1. PROCUREMENT STRUCTURES

Head of entity - signature of contracts

procurement committee – evidence of presence in entity

Procurement committee – minutes of meetings and decisions

procurement committee – membership composition

Procurement committee - evidence of review of technical evaluation committee recommendations.

procurement committee – evidence of award recommendation to head of entity

secretary to the procurement committee

committee may delegation to a procurement unit, authority to make contract award decisions

procurement committee membership –

A procurement committee shall consist of five members, as follows:-

(a). the vote controller, who shall act as the Chairman;

(b). one senior officials of the entity;

(c). the head of finance, accounts or any budget professional;

(d). the head of the procurement unit, who shall also be secretary to the committee;

(e). a representative of the concerned end-user department, who shall be a rotating member

Procurement committee - quorum for a meeting of a procurement committee

Procurement committee – appointment of technical evaluation committees and advisers

Procurement committee - supervision of procurement processes.

Existence of procurement unit

Functionality of procurement unit – resources, decision, activities

Evidence of appointment of evaluation committee for specific actions

Evidence of dispute resolution procedures

21. BASIC MONITORING TOOLS

21.1. BID EVALUATION MONITORING (look for the following in the evaluation report)

OBJECTIVE
SECURE GOODS/SERVICES AT MOST ECONOMICAL COST
Note: PRICE IS ONLY ONE FACTOR

OTHER FACTORS
TIME OF DELIVERY/COMPLETION
TERMS OF PAYMENT
TERMS OF GUARANTEE
TECHNICAL MERITS, CAPACITY, PRODUCTIVITY
OPERATING COST
MAINTENANCE COST
EFFICIENCY
RESALE VALUE

EVALUATION METHODOLOGY FOR COMMERCIAL FEATURES

PRICE
ADJUST BASIC PRICE FOR FEATURES, OPTIONS, ETC.TO MAKE BID PRICES COMPARABLE

PRICE ADJUSTMENT OVER CONTRACT PERIOD-IGNORE

DELIVERY POINT-ADD LOCAL TRANSPORTATION

TIME OF DELIVERY
Evaluate loss or gain by late or early delivery

WARRANTY
EVALUATE VARIATION
PAYMENT TERMS
EVALUATE VARIATIONS AT SPECIFIED INTEREST/DISCOUNT RATE

EVALUATION METHODOLOGY TECHNICAL FEATURES

- **OPERATING COST**
- **FUEL**
- **TRAINING**
- **MAINTENANCE COST**
- **STANDARDISATION**
- **RESALE VALUE /DEPRECIATED COST**
- **LIFE CYCLE COST**
- **OWNERSHIP COST**
- **CAPACITY**

- **PRODUCTIVITY**

EVALUATION METHODOLOGY Minimum Technical Specifications***PASS/FAIL CRITERIA***

- **MINIMUM REQUIREMENT**
- **BELOW MINIMUM: REJECTED**
- **NO CREDIT FOR BETTER SPEC**
- **RESPONSIVE = LEB**
- **MAXIMUM REQUIREMENT**
- **RANGE PARAMETERS (MAX <>min)**

LIFE CYCLE COST METHODS

- **COST TO OWN AND OPERATE ITEM**
- **DURING ITS USEFUL LIFE**
- **INITIAL PURCHASE PRICE**
- **ADJUSTED FOR EXTRAS, DELIVERY, VARIATIONS IN PAYMENT TERM, ETC.**
- **VALUE FOR ADJUSTMENTS ADDED TO BID PRICE**
- **OPERATING COST DURING LIFE OF ITEM**
- **FUEL, SPARE PARTS, MAINTENANCE (X YEARS)**
- **ANNUAL COST DISCOUNTED TO NPV**
- **OWNERSHIP COST DURING LIFE OF ITEM**
- **ECONOMICAL USEFUL LIFE (X YEARS)**
- **RESALE OR SCRAP VALUE DISCOUNTED TO NPV**

22. REGULAR INVITATION FOR BID/EXPRESSION OF INTEREST TRACKING FORM

REGULAR INVITATION FOR BID/EXPRESSION OF INTEREST TRACKING FORM									
Name of Institution	**Procurement Title**	**Procurement Number**	**Method of Procurement**	**Date of advert issue**	**Date of Bid Closing/ opening**	**Type / Category of Procurement**	**Source of Funding**	**Source of information**	**Remarks**

23. BID SOLICITATION MONITORING FORM

BID SOLICITATION MONITORING FORM										
Contract Title	REGION: 1.East 2.north 3.South 4.West	SECTOR: 1.Education 2.Others	Category of Procurement action: 1.goods 2.works 3.service	Funding Source: 1.SLG 2.Self 3.Donor	Procurement cost (Le), other state	Procurement Method used: 1.ICB 2.NCB 3.RFQ 4.Other	STATUS OF ACTION: 1.Planned 2.Not Planned	STATUS OF METHOD USED: 1.AS IN PLAN 2.NOT AS IN PLAN	Was IFB OPEN? 1=yes 0=no	Date of IFB

24. BID OPENING/EVALUATION/CONTRACT AWARD MONITORING FORM

BID OPENING/EVALUATION/CONTRACT AWARD MONITORING FORM										
Contract Title	Date of Bid closing	Date of Bid opening	Number of bids submitted	Number of late bids delivered	Number of non-responsive bids	Quality of evaluation criteria	Was bid contended? 1=yes, 0=no	Was contention resolved 1=yes, 0=no	What Biding documents were used? 1=nppa 2=donor 0=other	Contract award date

25. CONTRACT MONITORING FORM

CONTRACT MONITORING FORM	
ENTITY____	
MONITOR____________________________________	
DATE_________	
LOCALITY/ENTITY____	
CONTRACT DETAILS	
NAME OF CONTRACT:	
CONTRACT LOCATION:	
CONTRACT SCOPE/SPECIFICATION	
CONTRACT SIGNATURE DATE	
DURATION OF CONTRACT	
START UP DATE	
COMPLETION DATE	
CONTRACT STATUS	
COMPLETED	
ONGOING	
% completed	
% remaining	
ABANDONED	
% Done	
% Outstanding	
CONTRACT COST (Le)	

INITIAL	
FINAL	
PROCUREMENT METHOD USED FOR CONTRACT	
TYPE OF CONTRACT	
IS CONTRACT ON PROCUREMENT PLAN?	YES/NO
IS CONTRACT DONE THROUGH PROCUREMENT UNIT?	YES/NO
PAYMENT STATUS	
FULL	
% paid	
% retention	
PARTIAL	
% paid	
% remaining	
NONE	
FUNDING SOURCE	
SL GOVT	
Full	
Percentage	
DONOR	
Full	
Percentage	
SELF	
Full	
Percentage	

CONTRACTOR DETAILS	
NAME OF CONTRACTOR	
ADDRESS OF CONTRACTOR	
NAME OF SUB CONTRACTOR	
ADDRESS OF SUB CONTRACTOR	
NAME OF SERVICE PROVIDER	
ADDRESS OF SERVICE PROVIDER	
COMMENTS:	

26 .GUIDE TO THE PROCUREMENT MONITORING TOOLS

1. **NAME OF PROCUREMENT ACTION**:

This refers to the specific procurement undertaken by the procuring entity. E.g. construction of schools, water wells, stationery, computer and accessories etc.

Evidence of the procurement action can be found in the procurement documents used including invitation for bids, bidding documents, and evaluation reports etc. i.e. NCB or ICB or the RFQ.

NCB - National Competitive Bidding Process; it should be advertised in newspapers of wide coverage, on the web or on the notice boards of local councils.

ICB - International Competitive Bidding Process; this should be advertised on the web, newspapers of wide coverage and on the notice board of local councils

RFQ - request for quotation; this is not advertised nor place on the notice board of local councils but entities send bidding documents to selected contractors, suppliers or consultants using their data base of suppliers, contractors and consultants registered in their entity.

2. REGION: This refers to the province where the entity is located including: 1.East 2.north 3.South 4.West

3. SECTOR: This shows whether the procurement is related to education.

4. CATEGORY OF PROCUREMENT: this is the type of procurement undertaken. The three basic categories of procurement include Goods, Works and Services.

Goods are tangible items ready for consumption e.g. teaching and learningmaterials

Works entails the creation of tangibles. This type of procurement include: construction of schools, water wells, feeder roads, bridges etc.

Services are intangibles procured. It is often called consulting services procurement and include: Engineering consultancy, training consultancy, quantity surveys etc.

5. FUNDING SOURCE: The entities acquire the funds they use from various sources including: 1.SLG 2.Self 3.Donor. It is important that these sources are identified and the appropriate code entered.

6. PROCUREMENT COST: This refers to the actual cost of the specific procurement action. Enter the actual as at award stage.

7. PROCUREMENT METHOD USED: There are basically two methods in procurement. These are – open and restricted. However, in each of these types there are methods used. In the open method, National Competitive Bidding (NCB) and International Competitive Bidding (ICB) are the most common. The differences between the two are that in NCB, advertisement stops at national level and lasts for minimum of 28 days; documentation calls for fulfilment of national conditions for all bidders and financing uses the local currency. In the ICB, advertisement is for a minimum of 42 days and goes beyond national level; documentation does not mandate use of national conditions by every bidder and financing calls for currency of international acceptability and easy conversion. In the restricted type the most common method is Request For Quotation (RFQ) other methods include sole sourcing (SS) and limited international bidding (LIB). In consulting services, the open method, which is the default, is the quality and cost based selection (QCBS) other restricted methods include Quality based selection (QBS), fixed budget selection (FBS), sole source selection (SSS) least cost selection

(LCS) and consultant selection (CS). For services, fill in the questionnaire with the abbreviation.

8. STATUS OF ACTION: This is aimed at investigating whether this action was planned and is in the 2010 procurement plan or not. Check the plan to see whether the action is in the plan.

9. STATUS OF METHOD USED: This is aimed at finding out whether the method stated to be used in the plan is that used at the time of execution. Refer to the plan to ascertain this.

E.g. if in the procurement plan it was indicated that NCB methods will be applied and on the bidding document is an RFQ then the planned method was not used but if the two are the same then the planned method was used.

10. WAS INVITATION FOR BID/INVITATION TO BID OPEN: This is to verify to know whether the correct invitation method was used for participation in the bidding process by the bidders. Evidence can be seen in the newspaper adverts or the adverts on the notice board

11. DATE OF IFB: This refers to the date of first issue in the news paper of the IFB or as it is on the RFQ.

12. DATE OF BID OPENING: This refers to the date the bids were opened. The information can be got from the bid opening records.

13. NUMBER OF BIDS FOR ACTION: This is the number of bids recorded on bid opening day.

14. ANY DISQUALIFIED BIDS FOR REASON OUTSIDE BIDS: This is to find out whether bids were disqualified for the specific action. Ask for reasons and find out whether this is in the bidding document. Disqualified bids are bids that are rejected and are returned unopened.

15. NUMBER OF NON–RESPONSIVE BIDS: Non-responsive bids are bids submitted without the required technical requirements. The necessary information for this can be seen in the evaluation documents.

16. HAS ACTION NON QUANTIFIABLE EVALUATION CRITERIA? Check in the bidding document to see whether the criteria set for evaluation has conditions that do not have a direct answer.

17 WAS BID OPENED PUBLICLY?: Refer to bid opening records or bid opening minutes. See if records have attendance the include members of the public and the bidders. It is aimed at ensuring transparency.

18. WERE BIDS CONTENDED? Find out whether any red flags were raised for the bidding process

19. WAS CONTENTION RESOLVED? Find out to ascertain whether the issues raised were resoled and by who. Take not of the status at this stage in your note pads

20. **WHAT BIDDING DOCUMENTS WERE USED?** This is to find out whether NPPA issued bidding or other bidding document was used. Evidence is the bidding documents itself.

21. CONTRACT AWARD DATE: This refers to the date on which the contract was signed. Enter the date as it is in the contract.

PREAMBLE: Section 18.1 of the Public Procurement Act 2004 provides that all procuring entities must have a procurement committee. The procurement committee is the fundamental decision making body at the entity in terms of procurement. The procurement committee should comprise five persons and the Law is clear on who these five persons should be, but other professional members can be co-opted but do not voting rights.

The following shall be investigated in each entity as it relates to the formation and functioning of procurement committees.

1. **PROCUREMENT COMMITTEE**: Find out about the existence procurement committees in the entities and the composition of it. Probe into the position of the members on the committee and their designation in the entity.
2. **MEETING OF COMMITTEE**: Fin out the number of times the committee met during the course of the year. Evidence of this is found in the documents of the procurement committee minutes.

3. **EVIDENCE OF DECISION**: Are there evidence of decision: see minutes.
4. **PROCUREMENT RECORDS**: Are there procurements records available? In procurement, record keeping is very important Records for the stages of the process should be investigated together with quarterly reports.
5. **SIGNING OF PROCUREMENT DOCUMENT**: Are they signed by the appropriate officers? Check to see if reports are signed by the chairman of the procurement committee or not.
6. **INTERFERENCE:** Are there any interference with procurement operations from any source? THIS SHOULD BE STATED.
7. **TRAINING:** How many officers received formal procurement training since 2009 to date?

1. **PROCUREMENT UNIT**: Establish the presence of a procurement unit in each entity. If yes list the names of persons working in the unit with their position in the unit and official designation in the entity.
2. **CHAIRS**: How many chairs are there in the unit? Yes or No if yes how many
3. **TABLES:** How many table are there in the unit Yes or No if yes how many
4. **COMPUTERS:** How many computers are there in the unit? Yes or No if yes how many?
5. **SHELVES/ CABINET OR CUPBOARDS:** Are there shelves/ cabinet or cupboards for record keeping? Yes or No if yes how many
6. PROCUREMENT RECORDS: Are all procurement records kept properly? Yes or No if yes check to see how procurement records are kept
7. INTERFERENCES WITH PROCUREMENT: Are there any interferences with procurement unit operations Yes or No if yes how explain
8. **GENERAL EDUCATION LEVEL OF PROCUREMENT PERSONNEL**: 1. cert. 2. Diploma 3. Degree 4. None

27. SCHOOL LEVEL PROCUREMENT MONITORING FORM

INFRASTRUCTURE

Name of School	STATUS: 1=Govt 2=Govt Asst 3=Private	Adequacy Of School Infrastructure: 1=Adequate 2=Inadequate	Age of Latest Structure	Permanent Structures	Temporary Structures	Conditions Of Structures 1=Good 2=Poor	Maintenance on Structures 1=yes, 0=no.	Structures Under construction	Comments

TEACHING AND LEARNING MATERIALS/SCHOOL POPULATION

Name of School	STATUS: 1=Govt 2=Govt Asst 3=Private	Number of Teachers	Number of Pupils in school	Average number of pupils per Class	Teacher Pupil Ratio	Are Text Books Provided? 1=yes, 0=no.	Pupil Text Book Ratio	Book Source 1=Govt 2=Self 3=Other	Teaching Material Available 1=yes, 0=no.	Comments