

MONITORING MATRIX OF PROCUREMENT IN LOCAL GOVERNMENT AUTHORITIES

FOR USE BY REGIONAL SECRETARIAT FOR SUPERVISION AND FOLLOW-UP TO PROCUREMENT IN LGA'S

| Outcome | Output | Indicators | Sources of Information | RS/LGAMSS Monitoring | RS/LGAMSS Follow-up / Action |
|--|---|---|---|---|---|
| 1. Institutional Procurement Requirements in Place and Functional | 1.1 CTB established and functional | <ul style="list-style-type: none"> - CTB duly approved - PPRA notified on composition and qualifications | <ul style="list-style-type: none"> - Minutes - PMIS - CTB records | <ul style="list-style-type: none"> ➤ Follow up to CTB functionality to ensure their capacity in adjudicating procurements | <ul style="list-style-type: none"> - If weaknesses noted, propose arrangement for capacity building to AO or other appropriate action |
| | 1.2 PMU established and fully functional | <ul style="list-style-type: none"> - PMU staffed as per Establishment - PMU Sub-Vote in place - PMU budget allocated as planned - Required Procurement Reports provided - Procurement Records complete - Contract Records complete - PMIS maintained - PMU manages procurement module in Epicor (LPOs; MVP) - Contractors & Supplier's database in place; performance regularly reviewed | <ul style="list-style-type: none"> - Minutes - PMIS - PMU Reports - Procurement files - Contract Files - External boards' comments - PMU records | <ul style="list-style-type: none"> ➤ Follow up to PMU functionality and capacity in management of procurements for their LGA (staff, budget, expenses) ➤ Check on basic PMU outputs including: <ul style="list-style-type: none"> - Procurement reports - Procurement records - Use of PMIS - Use of Epicor - Contractor monitoring | <ul style="list-style-type: none"> - If weaknesses noted, propose arrangements to AO for capacity building or other appropriate actions related to staff, resources, use of systems, etc - Assist with and/or arrange for coaching in critical areas - Assist LGAs to review contractors and suppliers performance |
| | 1.3 Risk based internal audit in place | <ul style="list-style-type: none"> - Audit plan approved by audit committee - LGA procurement audited as per plan - Procurement recommendations implemented - IA reports shared with PPRA - Internal audit Charter in place | <ul style="list-style-type: none"> - Quarterly Reports - Report of Audit charter - Audit plan | <ul style="list-style-type: none"> ➤ Quarterly Audit reports review for: <ul style="list-style-type: none"> - assessing risks - compliance - follow-up to recommendations - concurrence with external audit reports | <ul style="list-style-type: none"> - If weaknesses noted, Auditors LGAMSS to make follow up, supervise the rectifications and monitor the implementation - Assist with and/or arrange for coaching in critical areas |
| | 1.4 Procurement Capacity Building in place, implemented and monitored | <ul style="list-style-type: none"> - Previous' year APP implementation reviewed and lessons learned extracted - Procurement training and coaching conducted in priority areas for intended job families - Procurement training monitored and evaluated | <ul style="list-style-type: none"> - MTEF - HR reports - PSDP - APP review reports - Conducted TNA - Capacity building and Training reports | <ul style="list-style-type: none"> ➤ Review of CDR and HR reports on procurement training | <ul style="list-style-type: none"> - If not well addressed or not addressing priority gaps, propose to AO to make required changes - Assist with review of APP implementation, assess gaps and issues for improvement |

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| 2. Pre-tender Requirements adequately Implemented | 2.1 Annual Procurement Plan adequately prepared and disseminated | <ul style="list-style-type: none"> - APP prepared in full collaboration with User Departments - Existence of comprehensive linkage between budget and APP - APP approved in CMT and Full Council - APP disseminated for internal, external and GPN - APP prepared by using PPRA templates and systems | <ul style="list-style-type: none"> - APP - PMIS - CMT minutes - Council Minutes - Minutes of Council Finance and Planning Committee | <ul style="list-style-type: none"> ➤ Review of Annual Procurement Plans for each LGA in the region on adequate and comprehensive link with budget, proposed procurement methods and dissemination ➤ Compile Regional procurement plan on basis of LGAs' APPs (RS PMU) ➤ Monitor and follow up of the implementation of LGA annual procurement plans | <ul style="list-style-type: none"> - If not well linked, methods not well selected or not disseminated, propose to AO to make required changes - Assist with and/or arrange for coaching in critical areas |
| 3. Tender Process well-Managed | 3.1 Tender documents prepared, approved and advertised in line with APP and legal requirements | <ul style="list-style-type: none"> - Tender process in line with APP - Adequate use of standard tender documents - Tender opportunities duly advertised | <ul style="list-style-type: none"> - Minutes CTB - Copy of adverts - Procurement records - Procurement Reports - PMIS - DIA reports | <ul style="list-style-type: none"> ➤ Review of monthly reports submitted by AO / PMUs | <ul style="list-style-type: none"> - If major deviations are observed from APP, discuss with AO and propose remedial measures - Assist with and/or arrange for coaching in critical areas |
| | 3.2 Tenders received, opened and evaluated as per requirement | <ul style="list-style-type: none"> - Opening of bids in public attended by bidders and observers - Evaluation criteria properly set - Evaluation Committee duly appointed with required expertise - Tenders evaluated on criteria of tender document | <ul style="list-style-type: none"> - Minutes CTB - EC appointment letters - Evaluation Reports + attachments - Procurement Records - Procurement Reports - DIA reports - Minutes of opening | <ul style="list-style-type: none"> ➤ Review of monthly reports submitted by AO / PMUs | <ul style="list-style-type: none"> - If major deviations are observed from legal and technical requirements, discuss with AO and propose remedial measures - Assist with and/or arrange for coaching in critical areas |
| | 3.3 Specifications of Contract and award as per legal requirements | <ul style="list-style-type: none"> - CTB approval of Evaluation report recommendations - Letter of Intent for award, notification of award, contract signature and legal vetting as per regulations - Standard Contract Documents are comprehensive (GCC, SCC, negotiations, appendices) - Negotiations duly conducted (if applicable) | <ul style="list-style-type: none"> - Minutes CTB - Evaluation Reports + attachments - Procurement Records - Procurement Reports - DIA reports - Attorney General vetting correspondence | <ul style="list-style-type: none"> ➤ Review of monthly reports submitted by AO / PMUs - Suitability of response and follow-up by AO in case of complaints from unsuccessful Bidders - Award was made during tender validity period - Contract was signed by Council Director and Council Chairman | <ul style="list-style-type: none"> - If major deviations are observed from legal and technical requirements, discuss with AO and propose remedial measures - If there was amendment in the report was made prior to approval by CTB. - Assist with and/or arrange for coaching in critical areas |

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| | 3.4 Tender process started and completed as planned | - % of tenders completed within foreseen tender timelines | - Letter of award - Extension letter (if applicable) - Letter of acceptance - Procurement Reports - DIA reports | ➤ Review of monthly and annual reports submitted by AO / PMUs | |
| 4. Post Tender Process well-Managed and Quality Assurance Standards Adhered | 4.1 General contracts administration is adequate | - projects/contracts managers appointed - Completeness of contract files - appropriate management of performance securities, insurances, advance payment guarantees as per contract provisions - contract management meetings held and timely issuance of instructions | - Site handing over reports - Monthly and Quarterly Procurement Reports - Project Manager's reports - Site meeting reports - Contract documents - Inspection reports | ➤ Review of procurement reports submitted by AO / PMUs ➤ Review of contract file and documents | - If major shortcomings are observed from legal and technical requirements, discuss with AO and propose remedial measures. - Assist with and/or arrange for coaching in critical areas |
| | 4.2 Good management of time control | - % of contracts completed within foreseen period - Use of appropriate procedures for contract time extension (justification) - Appropriate procedures used for remedy to delays on delivery or completion (mediation; liquidated damages). - Quality of project programme, adherence of project programme and whether progress reports were prepared | - Contract Progress Reports - Procurement Reports - Project Consultant reports - Site ledgers and minutes - CTB minutes - PMIS | ➤ Review of procurement reports submitted by AO / PMUs ➤ Review of selected work plans and/or programmes | - If major shortcomings are observed from legal and technical requirements, discuss with AO and propose remedial measures. - Assist with and/or arrange for coaching in critical areas |
| | 4.3 Management of quality control is good | - Availability of quality specifications (not ambiguous) - Inspection and acceptance committees appointed with appropriate qualifications - Availability and quality of inspection reports - Adherence to quality assurance plans (Client; Contractor) - Adequate frequency of site meetings | - Contract Reports - Procurement Reports - Material testing reports - Environmental Assessment reports - PMIS - Inspection reports - CTB reports - Finance Committee approvals | ➤ Review of procurement reports submitted by AO / PMUs. ➤ Review of CTB minutes, ➤ Review of appointment letters and reports | - If major shortcomings are observed from legal and technical requirements, discuss with AO and propose remedial measures. - Assist with and/or arrange for coaching in critical areas |

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| | 4.4 Management of scope well-controlled | <ul style="list-style-type: none"> - Justifications for variations are adequate - Appropriate procedures in issuing variations used with CTB approved; AO granted | <ul style="list-style-type: none"> - Contract Progress Reports - Procurement Reports - Approvals of variations - CTB minutes - PMIS | <ul style="list-style-type: none"> ➤ Review of procurement reports submitted by AO / PMUs. | <ul style="list-style-type: none"> - If major shortcomings are observed from legal and technical requirements, discuss with AO and propose remedial measures - Assist with and/or arrange for coaching in critical areas |
| | 4.5 Well-Managed cost control | <ul style="list-style-type: none"> - Payment made on time as per contract provisions (schedule; approvals) - Payment certificates are attached with inspection reports - measurement sheets and claims are paid justifiably and after getting necessary approvals | <ul style="list-style-type: none"> - Contract Progress Reports - Inspection Reports - Payment Certificates - Procurement Reports - Handing-over certificates - EPICOR | <ul style="list-style-type: none"> ➤ Review of procurement reports submitted by AO / PMUs ➤ Triangulation with PMIS and IA Reports ➤ Minutes of mediation (if any) ➤ Review of inspection reports and approved measurement sheets | <ul style="list-style-type: none"> - If major shortcomings are observed from legal and technical requirements, discuss with AO and propose remedial measures - Assist with and/or arrange for coaching in critical areas |
| 5. Effective Follow-Up and Action To Reports from External Oversight bodies | 5.1 External LGA audit reports reviewed and follow-up action plans agreed upon | <ul style="list-style-type: none"> - Copies of all external audit reports timely received by RAS/RS and analysed on common procurement gaps and issues - LGA Action plans in place and implementation monitored by LGAs and Region (follow-through) - Procurement CB gaps harmonized with LGAs at regional level and addressed in LGA plans - LGA procurement processes and reports monitored through PMIS | <ul style="list-style-type: none"> - External Audit Reports - Audit analysis reports - Action Plans - PMIS | <ul style="list-style-type: none"> ➤ Review and analyse external audit reports on procurement ➤ Review and provide feedback to LGAs on action plans ➤ Meeting with all LGAs to agree on common procurement gaps and CB issues and integration in LGA plans ➤ Review implementation of audit action plans and CB plans | <ul style="list-style-type: none"> - If major deviations are observed from agreed action plans, discuss with AO and propose remedial measures. - If material continued non-compliance liaise with Parent Ministry (PMO-RALG) and Authority - Assist with and/or arrange for coaching in critical areas |