

AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI)
CONFIRMATION QUESTIONNAIRE

Name of Agency: CAREER EXECUTIVE SERVICE BOARD
Name of Respondent: JOCELYN P. LACHICA

Date: December 1, 2016
Position: CHIEF, FINANCE AND ADMIN. DIV.

Instruction: Put a check (✓) mark inside the box beside each condition/requirement met as provided below and then fill in the corresponding blanks with numerical values only.

1. Do you prepare an Annual Procurement Plan for all types of procurement? (5a)

Yes No

2. Do you prepare an Annual Procurement Plan for Common-Use Supplies and Equipment (APP-CSE) and Procure your Common-Use Supplies and Equipment from the Procurement Service? (2f)

Yes No

3. In giving your prospective bidders sufficient period to prepare their bids, which of these conditions is/are met? (3d)

Bidding documents are available at the time of advertisement/posting at the PhilGEPS website or Agency website;

Supplemental bid bulletins are issued at least seven (7) calendar days before bid opening;

Minutes of pre-bid conference are readily available within three (3) days.

4. In creating your BAC and BAC Secretariat which of these conditions is/are present?

For BAC: (4a)

Office Order creating the Bids and Awards Committee;

There are at least five (5) members of the BAC;

Members of BAC meet qualifications; and/or

Majority of the members of BAC are trained on R.A. 9184

For BAC Secretariat: (4b)

Office Order creating of Bids and Awards Committee Secretariat or designing Procurement Unit to act as BAC Secretariat

The Head of the BAC Secretariat meets the minimum qualifications

Majority of the members of BAC Secretariat are trained on R.A. 9184

5. In determining whether you provide up-to-date procurement information easily accessible at no cost, which of these conditions is/are met? (7a)

Agency has a working website

Procurement information is up-to-date

Information is easily accessible at no cost

6. In complying with the preparation, posting and submission of your agency's Procurement Monitoring Report, which of these conditions is/are met? (7b)

Agency prepares the PMRs

PMRs are promptly submitted to the GFPB

PMRs are posted in the agency website

PMRs are prepared using the prescribed format

AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI)
CONFIRMATION QUESTIONNAIRE

7. In evaluating the performance of your procurement personnel, which of these conditions is/are present? (10a)

- There is a written procedure within the procuring entity in evaluating the performance of procurement personnel
- Procuring entity communicates standards of evaluation to procurement personnel
- Procuring entity acts on the results and takes corresponding action

8. Have all of your procurement staff participated in annual procurement training? (10b)

- Yes No

If no, please indicate the how many of your procurement staff participated in annual procurement training: _____ out of _____

9. Do you conduct dialogue to inform and update bidders on the procurement regulations? (10c)

- Yes No

If yes, how often? 4 times/year

10. In determining whether the BAC Secretariat has a system for keeping and maintaining procurement records, which of these conditions is/are present? (11a)

- There is a list of contract management related documents that are maintained for a period of at least five years
- The documents are kept in a duly designated and secure location with hard copies kept in appropriate filing cabinets and soft copies in dedicated computers
- The documents are properly filed, segregated, easy to retrieve and accessible to authorized users and audit personnel

11. In determining whether the Implementing Units has a system for keeping and maintaining procurement records, which of these conditions is/are present? (11b)

- There is a list of contract management related documents that are maintained for a period of at least five years
- The documents are kept in a duly designated and secure location with hard copies kept in appropriate filing cabinets and soft copies in dedicated computers
- The documents are properly filed, segregated, easy to retrieve and accessible to authorized users and audit personnel

12. In determining if the agency has well defined and written procedures for quality control, acceptance and inspection of goods, works and services, which of these conditions is/are present? (12a)

- Agency has written procedures for quality control, acceptance and inspection of goods, services and works
- Supervision of civil works is carried out by qualified construction supervisors
- Agency implements CPES for its works projects and uses results to check contractors' qualifications (applicable for works only)

13. In determining whether your agency complies with the thresholds prescribed for amendments to order, variation orders, advance payment, and setpage in publicly bid contracts, which of these conditions is/are met? (12b)

- Amendments to order or variation orders, if any, are within ten percent (10%) of the original contract price
- Advance payment(s) made does/do not exceed fifteen percent (15%) of the contract amount
- Goods, works and services are timely delivered

AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI)
CONFIRMATION QUESTIONNAIRE

14. How long it will take for your agency to release the final payment to your supplier/service provider, contractor/consultant? (12c) 3 days

15. Do you invite Observers in all stages of procurement? (13a)

Yes No

(please mark all applicable stages)

- Ads/Post of IAEB
- Pre-bid Conference
- Eligibility Check
- Submission/Opening of Bids
- Bid Evaluation
- Post Qualification
- Notice of Award
- Contract Signing/Approve Purchase Order
- Notice to Proceed

16. In creating and operating your Internal Audit Unit as prescribed by the DBM (Circular Letter No. 2008-5, April 14, 2008), which set of conditions were present? (14a)

- Office Order creating the Internal Audit Unit as prescribed by the DBM (Circular Letter No. 2008-5, April 14, 2008)
- Conduct of regular audit of procurement processes and transactions by internal audit unit
- Internal audit recommendations on procurement-related matters are implemented within 6 months of the submission of the auditor's report

17. Are COA recommendations responded to or implemented within six months of the submission of the auditors' report? (14b)

Yes

If yes, percentage of COA recommendations responded to or implemented within six months
 %

No procurement related recommendations received

18. In determining whether the Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements, which of conditions is/are present? (15a)

- The BAC and the HOPE resolved Requests for Reconsideration and Protests within seven (7) calendar days as per Section 55 of the IRR and decisions
- Decisions on Protests are submitted to GPPB
- Procuring entity acts upon and adopts specific measures to address procurement-related complaints, referrals, subpoenas by the Omb, COA, GPPB or any quasi-judicial/quasi-administrative body

19. In determining whether agency has a specific anti-corruption program/s related to procurement, which of these conditions is/are present? (16a)

- Agency has a specific good governance program including anti-corruption and integrity development;
- Agency has a specific office responsible for the implementation of good governance programs;
- Agency has specific policies and procedures in place for detection and prevention of corruption associated with procurement.

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ANNEX A
GOVERNMENT PROCUREMENT POLICY BOARD
 Agency Procurement Compliance and Performance Indicator (APCPI) Self-Assessment Form

Name of Agency: CAREER EXECUTIVE SERVICE BOARD
 Date of Self Assessment: NOVEMBER 16, 2016

Name of Evaluator: JOCELYN P. LACHICA
 Position: CHIEF, FINANCE AND ADMIN.
 DIVISION

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and Subindicators	Supporting Information/Documentation (Not to be Included in the Evaluation)
PILLAR I. COMPLIANCE WITH LEGISLATIVE AND REGULATORY FRAMEWORK					
Indicator 1. Competitive Bidding as Default Procurement Method					
1	(a) Percentage of public bidding contracts in terms of amount of total procurement	27.70%	0.00		PMRs
2	(b) Percentage of public bidding contracts in terms of volume of total procurement	0.71%	0.00		PMRs
Indicator 2. Limited Use of Alternative Methods of Procurement					
3	(a) Percentage of Shopping contracts in terms of amount of total procurement	18.28%	0.00		PMRs
4	(b) Percentage of Negotiated Procurement in terms of amount of total procurement	11.13%	1.00		PMRs
5	(c) Percentage of Direct Contracting in terms of amount of total procurement	42.89%	0.00		PMRs
6	(d) Percentage of Repeat Order contracts in terms of amount of total procurement	0.00%	3.00		PMRs
7	(e) Percentage of Limited Source contracts in terms of amount of total procurement	0.00%	3.00		PMRs
8	(f) Preparation of Annual Procurement Plan for Common-Use Supplies and Equipment (APP-CSE) and Procurement of Common-Use Supplies and Equipment from the Procurement Service	Compliant	3.00		APP, APP-CSE, PMR
Indicator 3. Competitiveness of the Bidding Process					
9	(a) Average number of entities who acquired bidding documents	0.83	0.00		Agency records and/or PhilGEPS records
10	(b) Average number of bidders who submitted bids	0.83	0.00		Abstract of Bids or other agency records
11	(c) Average number of bidders who passed eligibility stage	0.50	0.00		Abstract of Bids or other agency records
12	(d) Sufficient period to prepare bids	Fully Compliant	3.00		Agency records and/or PhilGEPS records
			Average I	1.08	
PILLAR II. AGENCY INSTITUTIONAL FRAMEWORK AND MANAGEMENT CAPACITY					
Indicator 4. Presence of Procurement Organizations					
13	(a) Creation of Bids and Awards Committee(s)	Fully Compliant	3.00		Verify copy of Order creating BAC; Organizational Chart; and Certification of Training
14	(b) Creation of a BAC Secretariat or Procurement Unit	Fully Compliant	3.00		Verify copy of Order creating BAC Secretariat; Organizational Chart; and Certification of Training
Indicator 5. Procurement Planning and Implementation					
15	(a) APP is prepared for all types of procurement	Compliant	3.00		Copy of APP and its supplements (if any)
Indicator 6. Use of Philippine Government Electronic Procurement System (PhilGEPS)					
16	(a) Percentage of bid opportunities posted by the Phil-GEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records
17	(b) Percentage of contract award information posted by the Phil-GEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records
18	(c) Percentage of contract awards procured through alternative methods posted by the Phil-GEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records
Indicator 7. System for Disseminating and Monitoring Procurement Information					
19	(a) Presence of website that provides up-to-date procurement information easily accessible at no cost	Fully Compliant	3.00		Identify specific procurement-related portion in the agency website and specific website links
20	(b) Preparation of Procurement Monitoring Reports using the prescribed format, prompt submission to GPPB, and posting in agency website	Fully Compliant	3.00		Copy of PMR and received copy that it was submitted to GPPB
			Average II	3.00	
PILLAR III. PROCUREMENT OPERATIONS AND MARKET PRACTICES					
Indicator 8. Efficiency of Procurement Processes					

GOVERNMENT PROCUREMENT POLICY BOARD
Agency Procurement Compliance and Performance Indicator (APCPI) Self-Assessment Form

Name of Agency: _____
 Date of Self Assessment: _____

Name of Evaluator: _____
 Position: _____

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and Subindicators	Supporting Information/Documentation (Not to be Included in the Evaluation)
38	(b) Agency Action on Prior Year's Audit Recommendations (APYAR) on procurement related transactions	Above 90-100% compliance	3.00		Verify COA Annual Audit Report on Action on Prior Year's Audit Recommendations
Indicator 15. Capacity to Handle Procurement Related Complaints					
39	(a) The Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements	Fully Compliant	3.00		Verify copies of BAC resolutions on Motion for Reconsiderations, Protests and Complaints; Office Orders adopting measures to address procurement-related complaints
Indicator 16. Anti-Corruption Programs Related to Procurement					
40	(a) Agency has a specific anti-corruption program/s related to procurement	Fully Compliant	3.00		Verify documentation of anti-corruption program
		Average IV	3.00		
GRAND TOTAL (Average I + Average II + Average III + Average IV / 4)			2.46		

* APCPI Rating is based on the APCPI Rating System found in Annex C of the User's Guide. Please use this rating system for the self-assessment. After completing the assessment, identify those indicators with ratings of between 0 to 2 and formulate a procurement capacity development plan called the APCPI Action Plan based on the attached format and submit to GPPB for monitoring.

* For sub-indicators that are not applicable to your specific agency, please write the word Not Applicable in the second column and do not put a rating

Summary of APCPI Scores by Pillar

APCPI Pillars	Ideal Rating	Agency Rating
Pillar I: Compliance with Legislative and Regulatory Framework	3.0000	1.08
Pillar II: Agency Institutional Framework and Management Capacity	3.0000	3.00
Pillar III: Procurement Operations and Market Practices	3.0000	2.77
Pillar IV: Integrity and Transparency of Agency Procurement Systems	3.0000	3.00
Total (Pillar I+Pillar II+Pillar III+ PillarIV)/4	3.0000	2.46

ANNEX C
APCPI Revised Scoring and Rating System

No.	Assessment Conditions	Pass/Not Compliant (0)	Acceptable (1)	Satisfactory (2)	Very Satisfactory/Compliant (3)
		0	1	2	3
PILLAR I: COMPLIANCE WITH LEGISLATIVE AND REGULATORY FRAMEWORK					
Indicator 1. Competitive Bidding as Default Procurement Method					
1	(a) Percentage of public bidding contracts in terms of amount of total procurement		0.70	0.87	0.94
2	(b) Percentage of public bidding contracts in terms of volume of total procurement		0.20	0.40	0.50
Indicator 2. Alternative Methods of Procurement					
3	(a) Percentage of shopping contracts in terms of amount of total procurement		0.05	0.05	0.05
4	(b) Percentage of Restricted Procurement in terms of amount of total procurement		0.11	0.08	0.03
5	(c) Percentage of Direct Contracting in terms of amount of total procurement		0.03	0.05	0.01
6	(d) Percentage of Request Offer contracts in terms of amount of total procurement		0.04	0.03	0.01
7	(e) Percentage of Loaded Source contracts in terms of amount of total procurement		0.04	0.03	0.01
8	(f) Preparation of Annual Procurement Plan for Common-Use Supplies and Equipment (APPCSE) and Procurement of Common-Use Supplies and Equipment from the Procurement Service	Not Compliant			Compliant
Indicator 3. Competitiveness of the Bidding Process					
9	(a) Average number of bidders who submitted bidding documents		3	4.00	0.60
10	(b) Average number of bidders who submitted bids		7	3.00	3.00
11	(c) Average number of bidders who passed eligibility stage		1	2.50	3.00
12	(d) Sufficient period to prepare bids	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
PILLAR II: AGENCY INSTITUTIONAL FRAMEWORK AND MANAGEMENT CAPACITY					
Indicator 4. Presence of Procurement Organizations					
13	(a) Creation of Bids and Awards Committees (BACs)	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
14	(b) Creation of a BAC Secretariat or Procurement Unit	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
Indicator 5. Procurement Planning and Implementation					
15	(a) APP is prepared for all types of procurement	Not Compliant			Compliant
Indicator 6. Use of Philippine Government Electronic Procurement System (PhilGEPS)					
16	(a) Percentage of bid opportunities posted by the Phil-GEPS-registered Agency		0.71	0.81	0.91
17	(b) Percentage of contract award information posted by the Phil-GEPS-registered Agency		0.20	0.51	0.80
18	(c) Percentage of contract awards procured through alternative methods posted by the Phil-GEPS-registered Agency		0.20	0.51	0.80
Indicator 7. System for Disseminating and Monitoring Procurement Information					
19	(a) Presence of website that provides up-to-date procurement information easily accessible at no cost	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
20	(b) Preparation of Procurement Monitoring Reports using the prescribed format, prompt submission to DPPM, and posting to agency website	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
PILLAR III: PROCUREMENT OPERATIONS AND MARKET PRACTICES					
Indicator 8. Efficiency of Procurement Processes					
21	(a) Percentage of total amount of procurement awarded against total amount of approved APP	1.00	0.40	0.61	0.80
22	(b) Percentage of total number of contracts awarded against total number of procurement activities done through public bidding		0.50	0.93	0.99
23	(c) Percentage of failed biddings and total number of procurement activities conducted		0.10	0.03	0.03
Indicator 9. Compliance with Procurement Thresholds					
24	(a) Percentage of contracts awarded within the prescribed period to procure goods as indicated in Annex "C" of the IRR		0.00	0.04	1.00
25	(b) Percentage of contracts awarded within the prescribed period to procure information services as indicated in Annex "C" of the IRR		0.00	0.98	1.00
26	(c) Percentage of contracts awarded within the prescribed period to procure consulting services as indicated in Annex "C" of the IRR		0.00	0.04	1.00
Indicator 10. Capacity Building for Government Personnel and Private Sector Participants					
27	(a) There is a system with the procuring entity to evaluate the performance of procurement personnel	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
28	(b) Percentage of participation of procurement staff in actual procurement training	Less than 60.00% Trained	Between 60.00-75.00% Trained	Between 76.00-90.00% Trained	Between 91.00-100% Trained
29	(c) Agency has activities to inform and update entities on public procurement	Not Compliant			Compliant
Indicator 11. Management of Procurement and Contract Management Records					
30	(a) The BAC Secretariat has a system for keeping and maintaining procurement records	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
31	(b) Implementing Units has and is implementing a system for keeping and maintaining contract management records	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
Indicator 12. Contract Management Procedures					
32	(a) Agency has well defined procedures and standards for quality control, acceptance and inspection, supervision of works and evaluation of contractor's performance	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
33	(b) Agency complies with the thresholds prescribed for amendment to order, variation orders, advance payments, and delays in publicly bid contracts	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
34	(c) Timely payment of procurement contracts	After 45 days	Between 30-45 days	Between 15-30 days	On or before 30 days
PILLAR IV: INTEGRITY AND TRANSPARENCY OF AGENCY PROCUREMENT SYSTEMS					
Indicator 13. Observer Participation in Public Bidding					
35	(a) Observers are invited to all stages of every public bidding activity	Not Compliant			Compliant
36	(b) Attendance of Observers in public bidding activities		0.70	0.60	0.90
Indicator 14. Internal and External Audit of Procurement Activities					
37	(a) Creation and operation of internal audit unit as prescribed by DSM (Circular Letter No. 2002-3, April 14, 2002)	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
38	(b) Agency Action on Prior Year's Audit Recommendations (APYAR) on procurement related transactions	Below 60% compliance	Between 61-70.00% compliance	Between 71-80.00% compliance	Above 80-100% compliance
Indicator 15. Capacity to Handle Procurement Related Complaints					
39	(a) The Procuring Entity has an efficient procurement complaints system and has the capacity to resolve with procedural requirements	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
Indicator 16. Anti-Corruption Programs Related to Procurement					
40	(a) Agency has a strictly anti-corruption program/s related to procurement	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant

	Agency Score
Sub-indicator 1a	27.70%
Sub-indicator 1b	0.71%
Sub-indicator 2a	18.28%
Sub-indicator 2b	11.13%
Sub-indicator 2c	42.89%
Sub-indicator 2d	0.00%
Sub-indicator 2e	0.00%
Sub-indicator 3a	0.83
Sub-indicator 3b	0.83
Sub-indicator 3c	0.50
Sub-indicator 6a	100.00%
Sub-indicator 6b	100.00%
Sub-indicator 6c	100.00%
Sub-indicator 8a	94.46%
Sub-indicator 8b	100.00%
Sub-indicator 8c	33.33%
Sub-indicator 9a	100.00%
Sub-indicator 9b	100.00%
Sub-indicator 9c	#DIV/0!
Sub-indicator 13b	100.00%

Annex D

PROCUREMENT CAPACITY DEVELOPMENT ACTION PLAN TEMPLATE

Name of Agency: CAREER EXECUTIVE SERVICE BOARD (CESB)

Period: CY 2016

Indicators	Key Area for Development	Proposed Actions to Address Key Areas	Responsible Entity	Timetable	Resources Needed
PPMP	Preparation and Submission of PPMP	The total amount of PPMP of each Division must equal to the Proposed or Approved Budget for the year with regards to MOOE and Capital Outlay.	End-User	January	Supplies
PMR	Maintenance of Procurement Monitoring Report	Issuance of Policy on the implementation and preparation	Procurement Unit	Monthly	Supplies Laptop
Training	Workshop and Training for Procurement Focal Persons	Conduct of Training Workshop on Procurement Laws and Processes		March	Supplies Training Fees and other expenses
Procurement System	Formulation of Manual of Authorities and Internal Guidelines on Procurement	Issuance of Manual of Authorities and Internal Guidelines on Procurement	Procurement/FAD	February	Supplies
	Implementation of Integrated Procurement Mngt. System	Procurement of Services for the implementation of Integrated Procurement Management System	FAD	March	Services/Fees Computer Desktop