

Annex 2: Capacity Development Strategies Worksheet

| Capacity gap | CD strategy | Output indicators | Outcome indicator/ Baseline/target | Responsible | Stakeholders | Priority/ Timeframe |
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| Pillar I: Legislative and Regulatory framework | | | | | | |
| i. Few procuring entities use the Standard Bidding Documents | <ul style="list-style-type: none"> a. Develop detailed guidelines for PEs on use of SBDs b. Continue training and sensitisation of private sector and PEs on use of SBDs c. Develop SBDs for routine services d. Undertake review of need for Regulations targeting local level PEs e. Establish helpdesk for PEs | <ul style="list-style-type: none"> a. Detailed guidelines developed and disseminated to PEs b. Training and sensitisation for private sector and PEs delivered c. SBDs for routine services developed d. Review conducted and strategy for handling problems related to SBDs at local level developed e. Helpdesk for PEs established | <p><i>Outcome Indicator</i></p> <ul style="list-style-type: none"> • % of procurements carried out using the appropriate SBDs <p><i>Baseline</i></p> <ul style="list-style-type: none"> • <10% of procurements carried out use appropriate SBDs (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> • 90% of all procurements use appropriate SBDs | <ul style="list-style-type: none"> a. ODPP RAR b. ODPP PD c. ODPP RAR d. ODPP ME e. ODPP RAR | <ul style="list-style-type: none"> a. – b. – c. – d. – e. – | <ul style="list-style-type: none"> a. High (qw) b. High c. High (qw) d. Medium e. Medium |
| ii. Many procuring entities do not have a copy of the Regulations and Desk Instructions | <ul style="list-style-type: none"> a. Upload Regulations to the ODPP website for free download b. Continue sensitisation campaign for PEs on the Regulations and Desk Instructions | <ul style="list-style-type: none"> a. Regulations can be downloaded free of charge from the ODPP website b. Sensitisation campaign implemented | <p><i>Outcome Indicator</i></p> <ul style="list-style-type: none"> • % of PEs that have copies of the Regulations according to Institution Compliance Assessment • %of PEs that have copies of the Desk Instructions according to Institution Compliance Assessment <p><i>Baseline</i></p> <ul style="list-style-type: none"> • <50% of PEs have copies of the Regulations (estimate) • <50% of PEs have copies of the Desk Instructions (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> • 95% of PEs in the Institution Compliance | <ul style="list-style-type: none"> a. ODPP PRO b. ODPP PD | <ul style="list-style-type: none"> a. – b. – | <ul style="list-style-type: none"> a. High (qw) b. High |

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| | | | <p>Assessment have copies of the Regulations</p> <ul style="list-style-type: none"> 95% of PEs in the Institution Compliance Assessment have copies of the Desk Instructions | | | |
| iii. The quality of technical specifications is often poor | <p>a. Conduct training targeting (i) technical staff in PE user departments; (ii) procurement officers; and (iii) staff at specialised advisory institutions on how to develop technical specifications</p> <p>b. Create simple guidelines on how to develop technical specifications</p> <p>c. Develop standard specifications for common user items</p> <p>d. Establish a helpdesk for staff developing technical specifications</p> <p>e. Monitor and follow-up on the status on technical specifications</p> | <p>a. Training on how to develop technical specifications delivered</p> <p>b. Simple guidelines developed</p> <p>c. Standard specifications for common user items developed</p> <p>d. Helpdesk established</p> <p>e. Monitoring and follow-up ongoing</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of procurements carried out include adequate technical specifications according to Institution Compliance Assessment <p><i>Baseline</i></p> <ul style="list-style-type: none"> <5% of procurements carried out include adequate technical specifications (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> 50% of procurements carried out include adequate technical specifications | <p>a. ODPP PD</p> <p>b. ODPP RAR</p> <p>c. ODPP RAR</p> <p>d. ODPP PD</p> <p>e. ODPP ME</p> | <p>a. –</p> <p>b. –</p> <p>c. –</p> <p>d. –</p> <p>e. –</p> | <p>a. High</p> <p>b. High (qw)</p> <p>c. High (qw)</p> <p>d. Medium</p> <p>e. Medium (qw)</p> |
| iv. Evaluation criteria are often poorly specified | <p>a. Conduct training targeting (i) technical staff in PE user departments; (ii) procurement officers; and (iii) staff at specialised advisory institutions on how to develop appropriate evaluation criteria</p> <p>b. Create simple guidelines on how to develop appropriate evaluation criteria</p> | <p>a. Training on how to develop evaluation criteria delivered</p> <p>b. Simple guidelines developed</p> <p>c. Monitoring and follow-up ongoing</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of procurements carried out include adequate evaluation criteria according to Institution Compliance Assessment <p><i>Baseline</i></p> <ul style="list-style-type: none"> <50% of procurements carried out include adequate evaluation criteria (estimate) | <p>a. ODPP PD</p> <p>b. ODPP RAR</p> <p>c. ODPP ME</p> | <p>a. –</p> <p>b. –</p> <p>c. –</p> | <p>a. High</p> <p>b. High (qw)</p> <p>c. Medium</p> |

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| | c. Monitor and follow-up on the use of relevant evaluation criteria | | <p><i>Target</i></p> <ul style="list-style-type: none"> 95% of procurements carried out include adequate evaluation criteria | | | |
| v. Incorrect procurement methods frequently applied | <p>a. Scale up monitoring and follow-up on procurement methods</p> <p>b. Review of tender periods in Standard Bidding Documents</p> | <p>a. Monitoring ongoing</p> <p>b. Review conducted and tender periods revised</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of procurement cases in Institution Compliance Assessment applying correct procurement method <p><i>Baseline</i></p> <ul style="list-style-type: none"> No data <p><i>Target</i></p> <ul style="list-style-type: none"> Correct procurement method used in 95% of cases | <p>a. ODPP ME</p> <p>b. ODPP RAR</p> | <p>a. –</p> <p>b. –</p> | <p>a. High (qw)</p> <p>b. High (qw)</p> |
| vi. Awareness of procedures for review is very limited | <p>a. Issue instructions for PEs on how to handle complaints</p> <p>b. Provide sensitisation training for procurement officers on the complaint review framework</p> | <p>a. Instructions issued</p> <p>b. Sensitisation training delivered</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of PEs in Institution Compliance Assessment aware of procedures for review <p><i>Baseline</i></p> <ul style="list-style-type: none"> <25% of PEs are aware of procedures for review (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> 95% of PEs aware of procedures for review | <p>a. ODPP PD</p> <p>b. ODPP PD</p> | <p>a. –</p> <p>b. –</p> | <p>a. High (qw)</p> <p>b. High</p> |
| vii. Many procuring entities have experienced political interference in the procurement process | <p>a. Sensitisation of leaders of PEs, politicians and parliamentary committees on good practice in procurement</p> <p>b. Engage in dialogue with audit function and other relevant stakeholders about how to strengthen compliance and enforce sanctions for</p> | <p>a. Sensitisation materials and workshop conducted</p> <p>b. Dialogue established and plan developed</p> <p>c. Dialogue established and plan developed</p> <p>d. Guidelines developed and issued</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of PEs reporting to have experienced political interference according to Institution Compliance Assessment <p><i>Baseline</i></p> <ul style="list-style-type: none"> 50% of PEs report political interference <p><i>Target</i></p> <ul style="list-style-type: none"> <25% of PEs report | <p>a. ODPP PD</p> <p>b. ODPP RAR</p> <p>c. ODPP PD</p> <p>d. ODPP PD</p> | <p>a. -</p> <p>b. NAO</p> <p>c. ACB</p> <p>d. ACB</p> | <p>a. Medium</p> <p>b. Medium</p> <p>c. Medium</p> <p>d. High (qw)</p> |

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| | <p>c. non-compliance Engage in dialogue with Anti-Corruption Bureau about how to strengthen independence to procurement officers</p> <p>d. Develop and provide guidelines for procurement officers on how to deal with political interference</p> | | political interference | | | |
| Pillar II: Institutional framework and management capacity | | | | | | |
| i. Procurement is not integrated in budget formulation process | a. Establish face-to-face dialogue between ODPP and the Ministry of Finance to develop mechanism for integration of procurement plans in budget formulation process. | a. Dialogue established and mechanism developed | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Improved score in BLI sub-indicator 3(a) <p><i>Baseline</i></p> <ul style="list-style-type: none"> Score 0 in 2007 <p><i>Target</i></p> <ul style="list-style-type: none"> Score 3 in 2009 | a. ODPP Director | a. Ministry of Finance | a. Medium |
| ii. Significant number of PEs still do not have procurement plans | <p>a. Upscale training of procurement staff in PEs on how to prepare a procurement plan</p> <p>b. Sensitisation of leaders of PEs, MoF and politicians on value and advantages of procurement planning</p> <p>c. Establish dialogue with the Ministry of Finance on the cash-flow mechanism</p> | <p>a. Training of PEs delivered</p> <p>b. Sensitisation material and workshops conducted</p> <p>c. Dialogue established</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of PEs with procurement plans <p><i>Baseline</i></p> <ul style="list-style-type: none"> <10% of PEs have procurement plans (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> 95% of PEs have procurement plans | <p>a. ODPP PD</p> <p>b. ODPP PD</p> <p>c. ODPP Director</p> | <p>a. –</p> <p>b. –</p> <p>c. Ministry of Finance</p> | <p>a. High</p> <p>b. High</p> <p>c. High</p> |
| iii. Major challenge for most PEs to undertake procurement in accordance with procurement plan | <p>a. Develop and issue clear guidelines for procurement planning including how to deal with unexpected procurements</p> <p>b. Initiate monitoring of the use of exceptions to competitive tendering including “emergency procurement”</p> | <p>a. Guidelines issued</p> <p>b. System for monitoring the area in place, and monitoring ongoing procurements</p> <p>c. Dialogue established</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> % of procurements not in accordance with procurement plans <p><i>Baseline</i></p> <ul style="list-style-type: none"> No data <p><i>Target</i></p> <ul style="list-style-type: none"> 75% of all procurements carried out are in accordance | <p>a. ODPP PD</p> <p>b. ODPP ME</p> <p>c. ODPP Director</p> | <p>a. –</p> <p>b. –</p> <p>c. Ministry of Finance</p> | <p>a. High (qw)</p> <p>b. Medium (qw)</p> <p>c. High</p> |

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| | c. Establish dialogue with the Ministry of Finance on the cash-flow mechanism | | with previously defined procurement plans | | | |
| iv. No feedback mechanism providing completion reports on the execution and completion of major contracts | a. Establish dialogue between ODPP and the Ministry of Economic Planning and Development on development of a feedback mechanism b. Initiate monitoring of completion rates | a. Dialogue established and mechanism developed b. Monitoring of completion established | <i>Outcome indicator</i> • Score in BLI sub-indicator 3(d) <i>Baseline</i> • Score 0 in 2007 <i>Target</i> • Score 3 in 2009 | a. ODPP Director b. ODPP ME | a. Ministry of Economic Planning and Development b. – | a. Low b. Low (qw) |
| v. The capacity of the ODPP to carry out its functions is constrained by lack of staff | a. Review and adjust requirements of current vacancies and re-advertise vacancies b. Ensure existing staff performance appraisal mechanism is operational c. Identify ODPP “learning manager” to upscale focus on learning | a. Vacancy profiles reviewed and vacancies re-advertised b. Performance appraisal mechanism is fully operational c. Learning manager has been appointed | <i>Outcome indicator</i> • % of established ODPP positions that are vacant <i>Baseline</i> • Approx. 50% of ODPP posts are vacant <i>Target</i> • <10% of ODPP posts are vacant | a. ODPP Director b. ODPP Director c. ODPP Director | a. – b. – c. – | a. High (qw) b. Medium c. Medium |
| vi. The ODPP prior review function constitutes a potential conflict of interest | a. Develop detailed strategy to phase out prior review, including a robust post facto review mechanism | a. Phase out plan developed and post facto review mechanism in place | <i>Outcome indicator</i> ▪ Level of phasing out of ODPP prior review function <i>Baseline</i> ▪ ODPP prior review for procurements over established thresholds <i>Target</i> ▪ ODPP prior review function fully replaced by post facto review function | a. ODPP Director | a. ODPP ME b. ODPP PD c. ODPP RAR | a. High (qw) |
| vii. The system in place for dissemination and collection of procurement information is not operational | a. Review mechanism b. Develop guidelines on how to upload procurement c. Continue awareness training for PEs on requirements and how | a. Review conducted and improved functionality introduced b. Guidelines developed and disseminated to all | <i>Outcome indicator</i> • % of procurement plans, procurement notices and contract awards on ODPP website | a. ODPP PRP b. ODPP PD c. ODPP PD d. ODPP ME | – – – – | a. High (qw) b. High (qw) c. High (qw) d. High |

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| | d. to upload information to the ODPP webpage Initiate regular review of Quarterly Procurement Reports for consistency with uploaded information | c. PEs Training conducted for all PEs d. Review of Quarterly Procurement Reports systematically taking place | <i>Baseline</i> • < 5% of procurement plans, procurement notices and contract awards on website <i>Target</i> • 95% of procurement plans, procurement notices and contract awards on website | | | |
| viii. Monitoring tools in place do not facilitate development of procurement statistics | a. Review how best to acquire competencies to aggregate and analyse existing data b. Undertake staff development and/or recruitment to acquire competencies c. Establish system for aggregation and analysis of data | a. Review complete b. Data aggregation and analysis competencies acquired c. System for aggregation and analysis of data established | <i>Outcome indicator</i> • Data from Institution Compliance Assessment and Quarterly Procurement Reports aggregated, analysed and disseminated <i>Baseline</i> • No data being aggregated, analysed and disseminated <i>Target</i> • All data aggregated, analysed and disseminated | ODPP ME ODPP ME ODPP ME | a. – b. – c. – | High (qw) High (qw) High (qw) |
| ix. There are no quality control standards or system for monitoring procurement performance in place | a. Undertake a study on good practice in procurement performance with a view to developing a policy and mechanism for procurement performance management | a. Study completed and policy developed | <i>Outcome indicators</i> • Performance Management Policy in place with implementation plan <i>Baseline</i> • No policy for performance management <i>Target</i> • Performance Management Policy in place with implementation plan | a. ODPP ME | a. – | a. Medium |
| x. No mechanism for evaluation of procurement officers' | a. Dialogue between ODPP and DHRMD on rolling out | a. Dialogue established and system rolled out | <i>Outcome indicators</i> • Number of procurement officers | a. ODPP PD | a. DHRMD | a. Low |

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| staff performance in place | performance management system to procurement officers as a matter of priority | | covered by performance management system <i>Baseline</i> <ul style="list-style-type: none">No procurement officers covered <i>Target</i> <ul style="list-style-type: none">95% of procurement officer covered | | | |
| Pillar III: Procurement operations and market practices | | | | | | |
| i. Inadequate procurement competence in PEs | a. Conduct training and sensitisation for procurement officers on core issues such as the legal framework, use of SBDs, how to apply evaluation criteria, contract execution, etc. b. Conduct outreach activities targeting PEs | a. Training and sensitisation delivered b. Outreach activities undertaken | <i>Outcome indicator</i> <ul style="list-style-type: none">See Pillar I, item i, iii, iv, v and vi. <i>Baseline</i> <ul style="list-style-type: none">See Pillar I, item i, iii, iv, v and vi. <i>Target</i> <ul style="list-style-type: none">See Pillar I, item i, iii, iv, v and vi. | a. ODPP PD b. ODPP PD | a. – b. – | a. High b. High |
| ii. Procurement training is not consistent with demand | a. Scale up short-term and long-term training activities offered and/or sponsored by ODPP b. Continue collaboration with educational institutions and adjust curricula based on feedback | a. Additional training activities delivered b. Collaboration ongoing and curricula regularly adjusted | <i>Outcome indicator</i> <ul style="list-style-type: none">Score in BLI sub-indicator 6(b) <i>Baseline</i> <ul style="list-style-type: none">Score of 0 in BLI sub-indicator 6(b) <i>Target</i> <ul style="list-style-type: none">Score of 2 in BLI sub-indicator 6(b) | a. ODPP PD b. ODPP PD | a. – b. MIM, SDI, Polytechnic, etc. | a. High b. High |
| iii. Procedures for recruitment of procurement officers are unclear | a. Establish formalised dialogue between ODPP, DHRMD, OPC and the Treasury with a view to defining a joint future strategy for the development of a procurement career path b. Disseminate job descriptions for procurement officers and instructions on | a. Clear definition of responsibilities between ODPP and DHRMD established b. Job descriptions disseminated to all PEs | <i>Outcome indicator</i> <ul style="list-style-type: none">Number of procurement positions established at PE level% of established positions filled <i>Baseline</i> <ul style="list-style-type: none">76 procurement positions established at PE level< 10% of established positions filled | a. ODPP PD b. ODPP PD | a. DHRMD; OPC; Treasury b. – | a. High b. High (qw) |

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| | the recruitment process to all PEs | | (estimate) <i>Target</i> <ul style="list-style-type: none"> ▪ 400 procurement positions established at PE level ▪ 80% of established positions filled | | | |
| iv. Most PEs are unable to attract qualified procurement officers | <ul style="list-style-type: none"> a. Continue development of long-term procurement training options in collaboration with educational institutions b. Establish formalised dialogue between ODPP, DHRMD, OPC and the Treasury with a view to defining a joint future strategy for the development of a procurement career path c. Conduct public information campaign with a view to improving the image of the public procurement profession | <ul style="list-style-type: none"> a. Adequate long-term procurement training options have been established b. Joint strategy for the development of a procurement career path is in place c. Public information campaign has been conducted | <i>Outcome indicator</i> <ul style="list-style-type: none"> ▪ See Pillar III, item iii. <i>Baseline</i> <ul style="list-style-type: none"> ▪ See Pillar III, item iii. <i>Target</i> <ul style="list-style-type: none"> ▪ See Pillar III, item iii. | <ul style="list-style-type: none"> a. ODPP PD b. ODPP PD c. ODPP PD | <ul style="list-style-type: none"> a. Educational institutions b. DHRMD; OPC; Treasury c. ODPP PRO | <ul style="list-style-type: none"> a. High b. High c. High |
| v. Limited training supply available for the private sector | <ul style="list-style-type: none"> a. Scale up workshops targeting the private sector b. Develop a simple supplier guideline on how to handle SBDs in the bidding process c. Scale up existing SME initiative led by ODPP | <ul style="list-style-type: none"> a. Private sector workshops delivered b. Supplier guideline produced and disseminated c. Four meetings held in the SME forum | <i>Outcome indicator</i> <ul style="list-style-type: none"> ▪ Score in BLI sub-indicator 6(b) <i>Baseline</i> <ul style="list-style-type: none"> ▪ Score of 0 in BLI sub-indicator 6(b) <i>Target</i> <ul style="list-style-type: none"> ▪ Score of 3 in BLI sub-indicator 6(b) | <ul style="list-style-type: none"> a. ODPP PD b. ODPP PD c. ODPP Director | <ul style="list-style-type: none"> a. – b. – c. SMEs; Private sector associations | <ul style="list-style-type: none"> a. High b. High (qw) c. Medium |
| vi. Unclear procurement setups at decentralised levels | <ul style="list-style-type: none"> a. Review procurement setups at PE level with a view to developing a strategy for optimisation of setups | <ul style="list-style-type: none"> a. Review conducted and strategy developed | <i>Outcome indicator</i> <ul style="list-style-type: none"> ▪ % of procurement functions in Institution Compliance Assessment placed at an adequate level in | <ul style="list-style-type: none"> a. ODPP RAR | <ul style="list-style-type: none"> a. - | <ul style="list-style-type: none"> a. Low |

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| | | | <p>the organisational hierarchy</p> <p><i>Baseline</i></p> <ul style="list-style-type: none"> Few PEs have a separate procurement function <p><i>Target</i></p> <ul style="list-style-type: none"> 90% of procurement functions are placed at an adequate level in the organisational hierarchy | | | |
| vii. The Central Government Stores has not regained its status as sole provider of common items to government institutions | a. Establish dialogue with a view to defining a joint strategy for the phasing out of CGS | a. Strategy for phasing out CGS agreed among stakeholders | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Phasing out of the CGS <p><i>Baseline</i></p> <ul style="list-style-type: none"> CGS existing but not operational <p><i>Target</i></p> <ul style="list-style-type: none"> CGS activities phased out and staff reemployed | a. ODPP Director | a. CGS; OPC | a. Medium |
| viii. Inadequate mechanisms for partnerships between the public and private sector | a. Scale up existing SME initiative led by ODPP | a. Four meetings held in the SME forum | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Score in BLI sub-indicator 7(a) <p><i>Baseline</i></p> <ul style="list-style-type: none"> Score of 1 in BLI sub-indicator 7(a) <p><i>Target</i></p> <ul style="list-style-type: none"> Score of 2 in BLI sub-indicator 7(a) | a. ODPP Director b. ODPP Director | a. Private sector ass; OPC; representatives of main PEs b. Various stakeholders | a. Low b. Medium |
| ix. Low capacity and systemic constraints inhibit SME access the procurement market | a. Scale up workshops targeting the private sector b. Develop a simple supplier guideline on how to handle SBDs in the bidding process c. Continue SME forum initiated by ODPP | a. Workshops delivered b. Supplier guideline developed and disseminated c. Formalised dialogue established and strategy developed d. Four meetings held in the SME forum | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Score in BLI sub-indicator 7(b) and 7(c) <p><i>Baseline</i></p> <ul style="list-style-type: none"> Score of 2 in BLI sub-indicator 7(b) Score of 1 in BLI sub-indicator 7(c) <p><i>Target</i></p> | a. ODPP PD b. ODPP PD c. ODPP Director d. ODPP Director | a. – b. – c. Private sector ass; OPC; representatives of main PEs d. Various stakeholders | a. High b. Medium c. Low d. Medium |

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| | | | <ul style="list-style-type: none"> ▪ Score of 3 in BLI sub-indicator 7(b) ▪ Score of 2 in BLI sub-indicator 7(c) | | | |
| x. Inappropriate procurement filing and record keeping | <p>a. Establish dialogue between ODPP and relevant PE functions to establish agreed practices for record filing</p> <p>b. Issue instructions to PEs on how to properly file records</p> <p>c. Provide follow-up training to procurement officers at PE level</p> <p>d. Initiate monitoring and follow-up on record keeping practices</p> | <p>a. Dialogue established</p> <p>b. Instructions issued</p> <p>c. Procurement officers trained in good record keeping practices</p> <p>d. Monitoring of compliance ongoing</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> ▪ % of PEs in Institution Compliance Assessment using adequate filing systems <p><i>Baseline</i></p> <ul style="list-style-type: none"> ▪ <5% of PEs have proper filing systems (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> ▪ 50% of PEs have proper filing systems | <p>a. ODPP RAR</p> <p>b. ODPP PD</p> <p>c. ODPP PD</p> <p>d. ODPP ME</p> | <p>a. Ministry of Finance; Accountant General</p> <p>b. –</p> <p>c. –</p> <p>d. –</p> | <p>a. High (qw)</p> <p>b. High (qw)</p> <p>c. High</p> <p>d. High (qw)</p> |
| xi. Lack of follow-up on contract execution | <p>a. Develop training strategy on contract execution for PEs</p> <p>b. Develop guideline for PEs on contract execution</p> <p>c. Include contract execution as Key Performance Indicator in performance management system (see also Pillar II, item ix)</p> | <p>a. Training delivered</p> <p>b. Guideline developed</p> <p>c. Key Performance Indicator on contract execution established</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> ▪ Score in CPI sub-indicator 8(a) <p><i>Baseline</i></p> <ul style="list-style-type: none"> ▪ Score of 1 in 2007 <p><i>Target</i></p> <ul style="list-style-type: none"> ▪ Score of 2 in 2009 | <p>a. ODPP PD</p> <p>b. ODPP PD</p> <p>c. ODPP Director</p> | <p>a. –</p> <p>b. –</p> <p>c. –</p> | <p>a. Medium</p> <p>b. Low (qw)</p> <p>c. Low</p> |
| Pillar IV: Integrity and transparency of the procurement system | | | | | | |
| i. Auditors lack procurement proficiency | <p>a. Establish formalised dialogue between ODPP, NAO and IAU with the purpose of defining desired procurement proficiency level among auditors</p> <p>b. Establish a coordinated strategy for short-term training on procurement for</p> | <p>a. Formalised dialogue established and desired procurement proficiency defined</p> <p>b. Strategy for short-term training developed and training delivered</p> <p>c. Procurement related topics integrated in the auditor</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> • % of auditors having undertaken short-term procurement training <p><i>Baseline</i></p> <ul style="list-style-type: none"> • 0% of auditors have undertaken procurement training <p><i>Target</i></p> <ul style="list-style-type: none"> ▪ 50% of auditors have | <p>a. ODPP PD</p> <p>b. ODPP PD</p> <p>c. ODPP PD</p> | <p>a. NAO IAU</p> <p>b. NAO IAU</p> <p>c. NAO IAU MCA</p> | <p>a. High</p> <p>b. High</p> <p>c. High</p> |

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| | c. auditors Initiate dialogue with Malawi College of Accountants (MCA) to consider possibilities for adding procurement related topics to the training curriculum | education as agreed in the dialogue | undertaken short-term procurement training | | | |
| ii. Weak enforcement of audit recommendations | a. Establish dialogue between ODPP, NAO and the Treasury with a view to developing a joint strategy for enforcement of financial audit recommendations | a. Strategy on enforcement of financial audit recommendation in place and being implemented | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Percentage of audit recommendations being enforced <p><i>Baseline</i></p> <ul style="list-style-type: none"> Very few audit recommendations are enforced <p><i>Target</i></p> <ul style="list-style-type: none"> 50% of all audit recommendations are enforced | a. ODPP PD | a. NAO; Treasury | a. Low |
| iii. Internal Audit Committees are not yet established | a. Establish dialogue between ODPP and IAU with a view to developing a joint strategy and action plan for establishment of Internal Audit Committees | a. Strategy and action plan for establishment of Internal Audit Committees is in place and being implemented | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Number of PEs with an Internal Audit Committee <p><i>Baseline</i></p> <ul style="list-style-type: none"> Only 6-7 PEs have established Internal Audit Committees <p><i>Target</i></p> <ul style="list-style-type: none"> At least 30 PEs have established Internal Audit Committees | a. ODPP Director | a. IAU | a. Medium |
| iv. Few bidders use the formal complaint mechanism | <p>a. Continue ongoing sensitisation and awareness campaign targeting bidders</p> <p>b. Establish hotline for bidders within ODPP</p> <p>c. Issue instructions for PEs on how to handle complaints</p> <p>d. Provide sensitisation training for</p> | <p>a. Sensitisation and awareness campaign targeting bidders completed</p> <p>b. Hotline established</p> <p>c. Instructions issued</p> <p>d. Sensitisation training delivered</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Number of written complaints received at PE level according to Institution Compliance Assessment <p><i>Baseline</i></p> <ul style="list-style-type: none"> Surveyed PEs receive <5 written complaints per year (estimate) | <p>a. ODPP PD</p> <p>b. ODPP PD</p> <p>c. ODPP PD</p> <p>d. ODPP PD</p> | <p>a. –</p> <p>b. –</p> <p>c. –</p> <p>d. –</p> | <p>a. High</p> <p>b. Medium</p> <p>c. High (qw)</p> <p>d. Medium</p> |

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| | procurement officers on the complaint review framework | | <i>Target</i> <ul style="list-style-type: none"> PEs on average receive at least 10 written complaints per year | | | |
| v. Complaint decisions are not published and made available to the public | a. Develop a mechanism electronic collection and publication of complaint decisions made at PE and Review Committee level b. Provide training for procurement officers in applying the mechanism | a. Mechanism for collection and publication complaint decisions made at PE and Review Committee level has been established b. Training for procurement officers in applying the mechanism delivered | <i>Outcome indicator</i> <ul style="list-style-type: none"> % of complaint decisions published <i>Baseline</i> <ul style="list-style-type: none"> 0% of complaint decisions are published <i>Target</i> <ul style="list-style-type: none"> 70% of complaint decisions are published | a. ODPP RAR b. ODPP PD | a. – b. – | a. Low b. Low |
| vi. The public does not have access to complete procurement information | a. Establish procedures for which information should be uploaded to the ODPP website b. Clearly assign the responsibility of ensuring complete procurement information on the ODPP website c. Include maintenance of the ODPP webpage (including uploading key information) as a Key Performance Indicator in the assessment of the responsible staff member | a. The responsibility of maintaining the ODPP webpage has been clearly assigned b. The responsibility is included as a key indicator in the performance assessment for the responsible staff member | <i>Outcome indicator</i> <ul style="list-style-type: none"> Level of completeness of procurement information available from the ODPP webpage <i>Baseline</i> <ul style="list-style-type: none"> The ODPP webpage is not updated regularly Key procurement documents are not available <i>Target</i> <ul style="list-style-type: none"> The ODPP webpage is updated monthly All relevant key procurement documents are accessible and downloadable to the public from the ODPP webpage | a. ODPP Director b. ODPP Director | a. – b. – | a. High (qw) b. High (qw) |
| vii. Limited civil society capacity to shape the procurement agenda | a. Upscale procurement awareness campaign targeting media, civil society and the public at large | a. Procurement awareness campaign conducted b. Sensitisation | <i>Outcome indicator</i> <ul style="list-style-type: none"> Number of NGOs involved in monitoring of procurement related issues | a. ODPP PRO b. ODPP PD | – – | a. Medium b. Medium |

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| | b. Conduct sensitisation workshops for civil society organisations and media with a view to strengthening procurement awareness | workshops conducted for civil society and media | <p><i>Baseline</i></p> <ul style="list-style-type: none"> 1-2 NGOs are involved in monitoring of procurement related issues <p><i>Target</i></p> <ul style="list-style-type: none"> At least 5 NGOs are involved in monitoring of procurement related issues | | | |
| viii. Weak enforcement of rulings and penalties | a. Speed up the coordination mechanism already established among oversight institutions | a. At least 4 coordination meetings held with participation of ACB and ODPP | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> A clear strategy for the enforcement of ruling and penalties with regards to corruption in procurement has been elaborated and agreed by the ACB and the ODPP <p><i>Baseline</i></p> <ul style="list-style-type: none"> No strategy in place <p><i>Target</i></p> <ul style="list-style-type: none"> Detailed strategy with activities, milestones and timeframes developed | a. ODPP Director; ODPP ME | ACB | a. Low |
| ix. The mechanism in place for reporting cases of corruption is not being used | <p>a. Initiate dialogue between ODPP and ACB with a view to establish a secure reporting mechanism and agreeing on the division of work between ODPP and ACB in handling reported cases of corruption</p> <p>b. Phase out the corruption reporting mechanism administered by ODPP</p> | <p>a. Dialogue initiated and secure reporting mechanism established</p> <p>b. ODPP mechanism for reporting of corruption in procurement phased out</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Number of cases of corruption reported through the reporting mechanism <p><i>Baseline</i></p> <ul style="list-style-type: none"> An average of 30 yearly cases of corruption in procurement are reported through the reporting system (estimate) <p><i>Target</i></p> <ul style="list-style-type: none"> At least 100 yearly cases of corruption in | <p>a. ODPP Director</p> <p>b. ODPP Director</p> | ACB ODPP PRO | <p>a. High</p> <p>b. High</p> |

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| | | | procurement are reported through the reporting system | | | |
| x. No Code of Conduct for civil servants in place | <p>a. Disseminate Standards of Ethics already developed by ODPP</p> <p>b. Establish cooperation between ODPP, DHRMD, ACB and MoF for the purpose of ensuring that the Code of Conduct includes provisions for those involved in public financial management/ procurement and that accountabilities and consequences are clearly defined</p> | <p>a. Standards of Ethics disseminated to all PEs and other stakeholders to the procurement system</p> <p>b. Provision for those involved in public financial management/ procurement exist, and accountabilities and consequences are clearly defined</p> | <p><i>Outcome indicator</i></p> <ul style="list-style-type: none"> Score in BLI assessment 12(g) Score in CPI assessment 12(g) <p><i>Baseline</i></p> <ul style="list-style-type: none"> Score 1 in the 2009 BLI assessment of sub-indicator 12(g) Score 0 in the 2009 CPI assessment of sub-indicator 12(g) <p><i>Target</i></p> <ul style="list-style-type: none"> Score 3 in the 2009 BLI assessment of sub-indicator 12(g) Score 2 in the 2009 CPI assessment of sub-indicator 12(g) | <p>a. ODPP PD</p> <p>b. ODPP Director</p> | ODPP PRO ODPP PRO; DHRMD; ACB; OPC; MoF | High (qw) Low Low Low |