

Annex 6: Interview guide – Procuring entities

Indicators	Topics to be covered
Background	
Interviewees	<ul style="list-style-type: none"> • Name • Educational background • Professional background • Years of service (in organisation) • Key tasks and responsibilities
The Department/SPU	<ul style="list-style-type: none"> • What is the procurement setup of the organisation? • Description of the entire procurement cycle from needs identification to contract management etc.
Pillar I – Legislative and Regulatory Framework	
Indicator 1: Public procurement legislative and regulatory framework achieves the agreed standards and complies with applicable obligations	
Sub-indicator 1(a) - Scope of application and coverage of the legislative and regulatory framework	<ul style="list-style-type: none"> • Do you have access to the Act, Regulations and Desk Instructions? • Are you aware of how you may acquire a new copy of the documents?
Sub-indicator 1(b) - Procurement methods	<ul style="list-style-type: none"> • How were the contracts of your organisation divided between different procurement methods (open / restricted / two stages / RFP for services / quotations / single source) in the financial year 2006/2007? • Please give reasons.
Sub-indicator 1(c) - Advertising rules and time limits	<ul style="list-style-type: none"> • How do you advertise tenders? <ul style="list-style-type: none"> ○ Types of tenders advertised? ○ Time limit? ○ Types of advertisement? ○ Scale of advertisement? • Do you ever experience obstacles to advertisement of tenders? • Which information do you usually include in your advertisements?
Sub-indicator 1(d) - Rules on participation and qualitative selection	<ul style="list-style-type: none"> • Do you ever make use of domestic price preferential? • If so, explain.
Sub-indicator 1(e) - Tender documentation and technical specifications	<ul style="list-style-type: none"> • How are tender documents developed in your organisation? • Do you experience any obstacles to the development of technical specifications?
Sub-indicator 1(f) - Tender evaluation and award criteria	<ul style="list-style-type: none"> • How is evaluation of tenders carried out? • To which extent are pass/fail selection criteria used? • How do you carry out evaluations of requests for proposals for consulting services evaluated? • Do you ever experience irregularities in the evaluation process? • If so, what are they typically caused by?
Sub-indicator 1(g) - Submission, receipt and opening of tenders	<ul style="list-style-type: none"> • Describe the bid submission process. • How are bids kept during the evaluation process? • Describe the tender opening process (when, who, how) • Are records of proceedings retained?
Indicator 2: Existence of Implementing Regulations and Documentation	
Sub-indicator 2(a) - Implementing regulation that provides defined processes and procedures not included in higher-level legislation	<ul style="list-style-type: none"> • Do you have access to the Regulations issued by the ODPP? • Do you find that the Regulations adequately support your work? • If no, why not?

Indicators	Topics to be covered
Sub-indicator 2(b) - Model tender documents for goods, works, and services	<ul style="list-style-type: none"> • Does your organisation use the SBDs issued by the ODPP? • Do you find the SBDs adequately detailed to support your work? • If no, why not?
Sub-indicator 2(c) - Procedures for pre-qualification	<ul style="list-style-type: none"> • To which extent does your organisation apply pre-qualification procedures? • For which types of tenders is pre-qualification used?
Sub-indicator 2(d) - Procedures suitable for contracting for services or other requirements in which technical capacity is a key criterion	<ul style="list-style-type: none"> • To which extent does your organisation apply pre-qualification procedures? • For which types of tenders is pre-qualification used? • Is it clear to you when different modalities of selection (exclusively technical capacity OR combined price and quality) should be used?
Sub-indicator 2(e) - User's guide or manual for contracting entities	<ul style="list-style-type: none"> • Do you have access to the Desk Instructions issued by the ODPP? • Do you find the Desk Instructions adequately detailed to support your work? • If no, why not?
Sub-indicator 2(f) - General Conditions of Contracts (GCC) for public sector contracts covering goods, works and services consistent with national requirements and, when applicable, international requirements	<ul style="list-style-type: none"> • Do you have access to the General Conditions of Contract issued by the ODPP? • Do the GCC adequately support your work? • If no, why not?
Pillar II – Institutional Framework and Management Capacity	
Indicator 3: The public procurement system is mainstreamed and well integrated into the public sector governance system	
Sub-indicator 3(a) - Procurement planning and data on costing are part of the budget formulation process and contribute to multiyear planning	<ul style="list-style-type: none"> • Has a multiyear plan been prepared for your organisation? • If yes, describe. • If no, give reasons. • Does a procurement plan exist for your organisation? • If no, give reasons. • If yes: <ul style="list-style-type: none"> ○ Describe the procurement plan development process. ○ Describe the content of the procurement plan (costs, timeframe, etc.) ○ Describe the linkages between the procurement plan and the budget formulation.
Sub-indicator 3(b) - Budget law and financial procedures support timely procurement, contract execution, and payment	<ul style="list-style-type: none"> • Are budget funds committed or appropriated within a week from the award of the contract? • If yes, does it cover the full amount of the contract? • If no, why not? • Are invoices processed to ensure timely payment? • If not, why not? • Are payments authorised within four weeks following approval of invoices? • If not, explain why?
Sub-indicator 3(c) - No initiation of procurement actions without existing budget appropriations	<ul style="list-style-type: none"> • Is certification of availability of funds a precondition of solicitation of tenders? • If yes, is there a mechanism in place in your organisation to support certification (e.g. IFMIS)? • If so, is this working optimally?
Sub-indicator 3(d) – Systematic completion reports are prepared for certification of budget execution and for reconciliation of	<ul style="list-style-type: none"> • Are completion reports prepared for certification of budget execution? • If yes, please describe the mechanism.

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delivery within budget programming	<ul style="list-style-type: none"> If no, why not?
Indicator 4: The country has a functional normative/regulatory body	
<p>Sub-indicator 4(b) - The body has a defined set of responsibilities that include but are not limited to the following:</p> <ul style="list-style-type: none"> providing advice to contracting entities; drafting amendments to the legislative and regulatory framework and implementing regulations; monitoring public procurement; providing procurement information; managing statistical databases; reporting on procurement to other parts of government; developing and supporting implementation of initiatives for improvements of the public procurement system; and providing implementing tools and documents to support training and capacity development of implementing staff. 	<ul style="list-style-type: none"> Are you aware of ODPP's role as advisory body to your organisation? Have you taken advantage of this function? If yes, how? If no, why not? Have ODPP provided training, sensitisation, information etc. to your organisation? If yes, please describe the types of activities. What was the outcome of these activities? If no, state the reasons.
Indicator 5: Existence of institutional development capacity	
<p>Sub-indicator 5(d) - Quality control standards are disseminated and used to evaluate staff performance and address capacity development issues</p>	<ul style="list-style-type: none"> Have the procurement processes of your organisation been monitored? If yes, describe the process. If no, why not? Does your organisation evaluate procurement staff performance? If yes, how is this being done? If no, why not? Have any of the procurements carried out by your organisation been audited? If yes, describe the process. If no, why not?
Pillar III – Procurement Operations and Market Practices	
Indicator 6: The country's procurement operations and practices are efficient	
<p>Sub-indicator 6(a) - The level of procurement competence among government officials within the entity is consistent with their procurement responsibilities</p>	<ul style="list-style-type: none"> How are new procurement staff recruited in your organisation (describe the recruitment process)? Do job profiles exist for procurement jobs? If yes, please describe the different stages of the procurement process (from need to contract). How many staff members in your organisation have to undertake procurements on an ad-hoc basis? Do these staff members have adequate information about procurement issues? Or do they have access to professional staff who can provide this knowledge? If no, why not?
<p>Sub-indicator 6(b) - The procurement training and information programmes for government officials and for private sector participants are consistent with demand</p>	<ul style="list-style-type: none"> How many procurement staff members in your organisation have received formal training? What kind of training have they undertaken? Did the training fulfil the needs of your organisation? If no, why not? Do you find that the procurement training offered meets the needs of your organisation?

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	<ul style="list-style-type: none"> • If no, how should the training supply be improved? • Have your organisation's staff members experienced waiting time to get into a course? • If yes, what was the waiting time? • If yes, what caused the waiting time?
Sub-indicator 6(c) - There are established norms for the safekeeping of records and documents related to the transactions and contract management	<ul style="list-style-type: none"> • How are procurement records kept in your organisation? • Are they available for public inspection? • Which documents are included in a typical procurement file? • How long do you keep records of procurements? • Have any measures been taken to protect the procurement records kept in your office? • If yes, explain how. • If no, why not?
Sub-indicator 6(d) - There are provisions for delegating authority to others who have the capacity to exercise responsibilities	<ul style="list-style-type: none"> • Has your organisation established a Specialised Procurement Unit (SPU)? • If no, why not? • Who carries out procurements in your organisation? • Do procurements take place which are not channelled through the SPU/IPC? • If so, why?
Indicator 7: Functionality of the public procurement market	
Sub-indicator 7(a) - There are effective mechanisms for partnerships between the public and private sector.	<ul style="list-style-type: none"> • Is your organisation actively involved in dialogue (fora, etc.) with the private sector? • If yes, please describe. • If no, have such fora been considered? • Does your organisation participate in capacity building initiatives with the private sector, including SMEs? • If yes, please describe. • If no, have capacity building been considered? • Do public-private partnerships exist for your organisation? • If yes, please describe. • If no, have partnerships been considered?
Indicator 8: Existence of contract administration and dispute resolution provisions	
Sub-indicator 8(a) - Procedures are clearly defined for undertaking contract administration responsibilities that include inspection and acceptance procedures, quality control procedures, and methods to review and issue contract amendments in a timely manner.	<ul style="list-style-type: none"> • What are your procedures for acceptance of final products and for issuance of contract amendments? • Do you have a mechanism in place for quality control for goods? • If yes, describe the mechanism (who, what, how)? • If no, why not? • Who carries out supervision of civil works? • Are you able to process final payments promptly? • If not, why not?
Pillar IV – Integrity and Transparency of the Public Procurement System	
Indicator 9: The country has effective control and audit systems	
Sub-indicator 9(a) - A legal framework, organisation, policy, and procedures for internal and external control and audit of public procurement operations are in place to provide a functioning control framework	<ul style="list-style-type: none"> • Have the procurements of your organisation been subject to external control and audit? • If yes, please explain the process. • If no, do you expect this to happen in the near future? • Does your organisation carry out internal audits? • If yes, please describe the process. • If no, why not?
Sub-indicator 9(b) - Enforcement and follow-up on findings and recommendations	<ul style="list-style-type: none"> • How often are internal and external audits carried out? • How many recommendations from external and

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of the control framework provide an environment that fosters compliance	<ul style="list-style-type: none"> • internal auditors have been received? • How have these been handled? • What is the timeframe of responding to recommendations?
Sub-indicator 9(e) - Auditors are sufficiently informed about procurement requirements and control systems to conduct quality audits that contribute to compliance.	<ul style="list-style-type: none"> • Are auditors sufficiently informed about procurement to produce quality audits? • If no, please describe the level of procurement competence among auditors.
Indicator 10: Efficiency of appeals mechanism	
Sub-indicator 10(a) - Decisions are deliberated on the basis of available information, and the final decision can be reviewed and ruled upon by a body (or authority) with enforcement capacity under the law	<ul style="list-style-type: none"> • Have you ever received a complaint related to a procurement? • If yes, what is typically complained about? • How are complaints typically being handled? • Are complaints ever being settled verbally?
Sub-indicator 10(b) - The complaint review system has the capacity to handle complaints efficiently and a means to enforce the remedy imposed	<ul style="list-style-type: none"> • Are you aware of the specified timeframes for review of complaints? • Are complaints handled on time? • Do you find that your organisation has sufficient capacity to handle complaints? • If no, what are the main deficiencies?
Sub-indicator 10(d) - Decisions are published and made available to all interested parties and to the public	<ul style="list-style-type: none"> • Are complaint decisions made publicly available? • If yes, how is this ensured? • If no, why not?
Indicator 12: The country has ethics and anti-corruption measures in place	
Sub-indicator 12(f) - The country should have in place a secure mechanism for reporting fraudulent, corrupt, or unethical behaviour	<ul style="list-style-type: none"> • If corrupt practices or unethical behaviour is detected in the procurement process, how may this be reported? • Is the existing reporting mechanism adequate? • If not, how should it be improved?
Additional indicators	
The procurement process – and particularly the needs identification phase – is free of political interference	<ul style="list-style-type: none"> • Have you ever experienced political interference in a procurement process? • If so, at which stage of the procurement process did it happen? • Please give details.