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PPRA M&E Manual

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List of abbreviations

Advs	Advertisements
API	Audit Paras Index
APQI	Annual Procurement Plan Quality Index
ARs	Audit Reports
BoD	Board of Directors
CCI	Completed Contracts Index
CI	Competition Index
CIDA	Canadian International Development Agency (CIDA
CPI	Cost Performance Index
CSI	Contractor Satisfaction Index
DAGP	Department of Auditor General of Pakistan
DD	Deputy Director
DG	Director General
ER	Evaluation Report
GDP	Gross Domestic product
GoP	Government of Pakistan
GRC	Grievances Redressal Committee
HRMIS	Human resource Management Information System
ICA	Index of complaints addressed
ICR	Index of complaints received
IP	Index of Payment
LMS	Learning Management System
MD	Managing Director
M&E	Monitoring and Evaluation
M&ES	Monitoring and Evaluation Section
MIS	Management Information System
NL	Newsletter
NPS	National Procurement Strategy
O	Ordinance – the PPRA Ordinance 2002
P	Principle – referring to five principles of procurement
PA	Procurement Agency
PEFA	Public Expenditure and Financial Accountability
PGI	Procurement Governance Index
PP	Procurement Plans
PPRA	Public Procurement Regulatory Authority
PTI	Rules Violation Index
QPRs	Quarterly Progress Reports
R	Rules – The Public Procurement Rules 2004
RVI	Rules Violation Index
SPI	Schedule Performance Index
TI	Transparency International

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Chapter 1

1. Introduction

1.1. Background

Federal Public Procurement Regulatory Authority (PPRA) is a federal regulatory authority entrusted with the role of regulating the matters of public procurement of goods, services and works in the public sector at federal level. The Authority was constituted under the Ordinance No. XXII of 2002 (titled as *Public Procurement Regulatory Authority Ordinance, 2002*) promulgated by the President in May 2002. Functions and powers of the Authority are given in *Public Procurement Regulatory Authority Ordinance, 2002* which are reproduced in Box 1.

Box 1: Functions and Powers of the PPRA

5(1) Subject to other provisions of this Ordinance, the Authority may take such measures and exercise such powers as may be necessary for improving governance, management, transparency, accountability and quality of public procurement of goods, services and works in the public sector.

(2) Without prejudice to the generality of the powers conferred by sub-section (1), the Authority may

a. monitor application of the laws, rules, regulations, policies and procedures in respect of, or relating to, procurement;

b. monitor the implementation of and evaluate laws, rules, regulations, policies and in respect of, or relating to, inspection or quality of goods, services and

c. recommend to the Federal Government revisions in or formulation of new laws, rules and policies in respect of or related to public procurement;

d. make regulations and lay down codes of ethics and procedures for public procurement, inspection or quality of goods, services and works;

e. monitor public procurement practices and make recommendations to improve governance, transparency, accountability and quality of public procurement;

f. monitor overall performance of procuring agencies and make recommendations for improvements in their institutional set up;

g. provide and coordinate assistance to procuring agencies for developing and improving their institutional framework and public procurement activities;

h. submit reports to the Government in respect of public procurement activities of procuring agencies;

i. call any functionary of procuring agencies to provide assistance in its functions and call for any information from such agencies in pursuance of its objectives and functions;

j. perform any other function assigned to it by the Federal Government or that is incidental or consequential to any of the aforesaid functions.

Source: PPRA Ordinance 2002

1.2. Need of the M&E System

Government procurement accounts for about 15% of the world's GDP. In Pakistan too, government procurement consists of billions of rupees each year. By improving the efficiency and effectiveness of the public procurement system through effective monitoring and evaluation practices, substantial savings and value for public money can be achieved. The PPRA Act provides sufficient mandate to PPRA to monitor and evaluate the overall procurement process in the country and inform stakeholders on the state of transparency, accountability and value for money of public procurements. It is however, not possible without placement of an effective M&E system within the Authority having a clear framework to gather, analyze and report critical information regarding procurement practices by the agencies. The need of such a system has been raised many times by the senior management of PPRA on modern lines. This result-based M&E system is expected to help the Authority to improve its efficiency and effectiveness as a regulator, set targets for its own performance and achieve higher levels of effectiveness.

1.3. Approach

Results based management approach has a strategic orientation, aiming at strategic goals of the organizations. It helps to put in place a mechanism for ensuring accountability. In RBM, inputs and the activities are considered a means for achieving desirable end results. The approach helps us to develop a causal chain:

- How activities would transform into outputs
- How outputs would transform into outcomes
- How outcomes would transform into impact (goal)

In case of PPRA, the goal is to achieve procurement governance. The goal has been derived from the Section 5.1 of the PPRA Ordinance 2002. The mandate given to the PPRA under the afore-mentioned Ordinance, has been transformed into outcomes or results and in order to achieve these results, the activities being carried out by the PPRA have been taken as outputs.

M&E Framework is different from the Public Expenditure and Financial Accountability (PEFA) rating on account of following reasons:

- Emphasis of the PEFA rating is on the assessment of a country, where as M&E Framework of the PPRA focuses on the monitoring of the procuring agencies with respect to public procurement governance
- Scope of the PEFA Rating lays stress on the reforms while PPRA M&E Framework is a results based hierarchical framework.

- PEFA Rating does not takes into account the value chain of the interventions whereas, PPRA M&E Framework is structured around vertical logic i.e. Activities – Outputs – Outcomes – Impact.

1.4. Overview of the Manual

This manual contains an overview of the proposed M&E system for the PPRA in Pakistan. Goal of the proposed M&E system of PPRA is to achieve higher level of procurement governance, as is defined in the Section 5.1 of the PPRA Ordinance 2002.

The manual consists of eleven (11) chapters:

- Chapter 1: Introduction
- Chapter 2: Glossary of Terms
- Chapter 3: Foundations of the M&E Framework
- Chapter 4: M&E Framework and the Indicators
- Chapter 5: Sources and Instrument of Data Collection
- Chapter 6: Template for Estimation of PGI
- Chapter 7: MIS of PPRA
- Chapter 8: M&E Indicators Sheets
- Chapter 9: Reporting Formats
- Chapter 10: Flow Process and Responsibilities
- Chapter 11: Additional Suggestions

1.5. Who will use this manual?

Officials and officers of the PPRA, assigned on the tasks relating to M&E will use this manual in collection, analysis and reporting of M&E data. **Figure *3*** contains all those positions at the levels this manual will be extensively used.

This manual is not a static document. It is a dynamic document. It will need review and updation on regular basis. At the end of year, when annual report has been presented and discussed in the Board of PPRA, it would be appropriate to review the manual in light of the discussions made in the meeting and lessons learned by the PPRA M&E Section. The Authority will evolve a mechanism for updating it on regular basis. A version control mechanism will be established.

1.6. Owner of the Manual

Director will be owner of the manual. He/she will keep record of all previous versions of the manual, proposals for the amendments and the latest approved version.

Chapter 2

2. Glossary of Terms

2.1. Definitions

Definitions of important terms are given below

- **Competition Index** (CI): It relates to the degree of variation among lowest three bids. Higher variation implies weaker competition and lower variation is an indication of stronger competition.

- Effectiveness: The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance[1].

- Evaluation: Evaluation refers to "…the process of determining the worth or significance of an activity, policy or program" (Kusek & Rist, 2004). Basic purpose of the evaluation is to assess the extent to which goals have been achieved.

- Goal: The higher-order objective to which a development intervention is intended to contribute[2].

- Impact: Positive and negative, primary and secondary, long-term effects produced by a development intervention, directly or indirectly, intended or unintended[3].

- Indicator: Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor[4].

- Lessons Learned: Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact

[1] Kusek & Rist (2004)
[2] Kusek & Rist (2004)
[3] Kusek & Rist (2004)
[4] Kusek & Rist (2004)

- **Monitoring**: Kusek & Rist (2004) have defined it as, "*A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds*". Basic purpose of the monitoring is to keep the activities and processes of the organization on the track.

- **Outcome**: Outcomes refer to results of the project/program/organization. It often relates to the use of the outputs of the organization

- **Outputs**: Outputs refer to products (goods or works) or services produced in consequence of activities/operations of the project/program/organization

- **Procurement governance index (PGI)** refers to the level of the maturity of the overall systems and procedural arrangements

- **Results Based Management (RBM)**: It is "a management strategy that focuses on performance and its achievement of results (outputs, outcomes and impacts)"[5]. The Canadian International Development Agency (CIDA) has described it as[6] *"RBM is a program/project life-cycle approach to management that integrates strategy, people, resources, processes and measurements to improve decision-making, transparency, and accountability. The approach focuses on achieving outcomes, implementing performance measurement, learning, and adapting, as well as reporting on performance."*

NOTE: For definitions of terms relating to procurement law, rules and regulations, please consult PPRA Ordinance 2002 and Public Procurement Rules 2004

[5] ICRC (2008). Programme/project management: The results-based approach. Available at https://www.icrc.org/eng/assets/files/publications/icrc-001-0951.pdf
[6] CIDA - http://www.international.gc.ca/development-developpement/partners-partenaires/bt-oa/rbm-gar.aspx?lang=en

Chapter 3

3. Foundations of the M&E Framework

3.1. Foundation of the framework

The M&E framework was prepared in line with the vision and mission statements of the PPRA[7].

- Vision

Strengthening Public Procurement systems at the federal and provincial levels

- Mission

Facilitate national economic development through ensuring value for money in Public Procurement

- Goal: Goal of the proposed M&E system of PPRA is to achieve the higher level of procurement governance, as is defined in the Section 5.1 of the PPRA Ordinance 2002.

- Outcomes: Outcomes of the proposed M&E system are proposed to be based on the specific goals as indicated in the National Procurement Strategy, which include:

    a. Outcome 1: Improved and updated laws, rules and regulations (5.2c, d & e)
    b. Outcome 2: Increased compliance of laws, rules and regulations (5.2a&b)
    c. Outcome 3: Effective competition ensured (5.2f)
    d. Outcome 4: Capacities enhanced in public procurement (5.2g)
    e. Outcome 5: Stakeholders more satisfied (5.1)

3.2. Five Principles of Procurement

Rule 4 of the Public Procurement Rules defines principles of procurement as follows:

[7] As stated in the National Procurement Strategy

> *"Procuring agencies, while engaging in procurements, shall ensure that the procurements are conducted in a fair and transparent manner [fairness and transparency; equity; and accountability], the object of procurement brings value for money [value for money] to the agency and the procurement process is efficient and economical [open and effective competition]."*

In nutshell, following are the principles of public procurement extracted (stated in parentheses above) from the above statement:

- Principle 1: Value for Money
- Principle 2: Open and Effective Competition (efficient and economical)
- Principle 3: Fairness and transparency
- Principle 4: Accountability and Reporting
- Principle 5: Equity

Hence, the proposed M&E system is based on the above five principles of procurement.

3.3. Limitations of the framework

The framework is based on existing law, rules and regulations of the PPRA. An updation or review in the law, rules and regulations might require updation of this framework too.

Chapter 4

4. M&E Framework and the Indicators

Public Procurement M&E Framework is described as below:

4.1. Goal

Goal: Procurement Governance Improved. This goal is in accordance with the Section 5.1 (function of the PPRA) of the PPRA Ordinance 2002, which is reproduced as below:

> *5(1) Subject to other provisions of this Ordinance, the Authority may take such measures and exercise such powers as may be necessary for improving governance, management, transparency, accountability and quality of public procurement of goods, services and works in the public sector.*

Moreover, it is also in alignment with the goals given in the National Procurement Strategy (NPS) 2013-16, as stated below.

> *a) Harmonization of procurement laws, rules and procedures including nomenclatures;*
> *b) Improving and updating laws, rules and procedures and making use of technology to facilitate transparency, fairness, competition and achieve value for money;*
> *c) Improving governance and institutional capacity of PPRAs and procuring agencies;*
> *d) Strengthening monitoring and oversight capacity of procurement regulatory authorities;*
> *e) Capacity building of procuring entities and suppliers.*

The UNESCAP defines the term governance as[8], "the process of decision-making and the process by which decisions are implemented (or not implemented)". It has identified eight characteristics of good governance:

1. participatory
2. consensus oriented
3. accountable
4. transparent
5. responsive
6. effective and efficient
7. equitable and inclusive and

[8] The UNESCAP [United Nations Economic and Social Commission for Asia and the Pacific] (u.d). *What is good governance*. Retrieved 4 November 2014, from http://www.unescap.org/sites/default/files/good-governance.pdf

8. follows the rule of law

The procurement governance efficiency of Government of Pakistan (GoP) institutions will be measured through two indicators i.e.:

- % of organizations achieving improved procurement governance as per Procurement Governance Index (PGI) ranking
- % change in Corruption Perception Index (CPI)
- % change in Competition Index (CI)
- % change in the Contractors' satisfaction level

Here CI relates to the degree of variation among lowest three bids. Higher variation implies weaker competition and lower variation is an indication of stronger competition.

4.2. Outcomes and outputs

4.2.1. Outcome 1

<u>Outcome 1</u>: Improved and updated laws, rules and regulations

Outcome 1 is critical as PPRA is responsible for updating the laws, rules and regulations of procurement. These three i.e. laws, rules and regulations constitute the legal framework of the PPRA. While monitoring violations and other aspects, the need of new laws, new rules and new regulations will be addressed by PPRA. This outcome is in accordance with the Sub-sections 5.2c, d & e of the PPRA Ordinance 2002. Moreover, this outcome is to contribute to the achievement of procurement governance in general and the Goals 'a' and 'b' of the NPS in particular. Outcome 1 will be achieved through two outputs:

- Output 1.1: New areas identified, laws, rules or regulations drafted or amended
- Output 1.2: Consultations held

As a result of the activities, the PPRA will identify areas for improvement in laws, rules and regulations, and draft new rules or amend existing rules. Hence, Output 1.1 will relate to development of new laws, rules or regulations amendment of existing rules. It will be measured by using following indicator:

- Number of new laws, rules and regulations drafted and shared in Board of Directors (BoD)
- Number of instructions drafted

Output 1.2 is a measure of internal performance of PPRA, which pertains to making the law making process open, transparent and participatory. It is expected that engagement of stakeholders will improve the effectiveness of the rule making process. Consultation efforts will be measured by using three indicators:

- Number of meetings/workshops with stakeholders
- Number of drafts of laws, rules and regulations circulated for input
- Number of board meetings held for considering legal drafts

4.2.2. Outcome 2

Outcome 2: Increased compliance of laws, rules and regulations. It is in accordance with the sub-sections 5.2a & b of the PPRA Ordinance 2002. It will contribute to the achievement of the Goal 'c' of the National Procurement Strategy (NPS). It also relates with all five principles for procurement. Outcome will be measured by using following indicators:

- Violations rate
- % change in the Violations in the tender notices (O 5.2f)
- % increase in uploading Procurement Plans (R8, R9)
- % increase in uploading Tenders (R12)
- % increase in uploading Evaluation results (R35)
- % increase in compliance against notices issued (O5.2f)
- % change in unplanned procurements (O 5.2a)
- Number of blacklisted firms notified (R 19)
- Number of PAs adhering to Code of Ethics (O 5.2a) [Futuristic]
- Number of integrity pacts signed (R 7)
- %age of cases, in which payments made within 30 days as per R43 or within 60 days as per R45(2)
- Number of contracts in which standard bid documents followed (O5.2a)

Outcome 2 will be achieved through two outputs:

- Output 2.1: Effective review mechanism in place
- Output 2.2: Compliance requirements communicated

Output 2.1: Compliance of the laws, rule and regulations will be ensured through placing an effective review mechanism. Review mechanism's effectiveness will be measured through following indicators:

- Number of tenders/cases reviewed
- Number of audit reports reviewed

- Number of contracts in which standard bid/tender documents followed
- Number of violations identified

Output 2.2 relates to communication of compliance requirements. It will be measured by using following indicators:

- Number of violations communicated to PAs
- Number of issues highlighted in Annual reports and Newsletters

4.2.3. Outcome 3

Outcome 3: Effective competition ensured. It is in accordance with the sub-section 5.2f of the PPRA Ordinance 2002 (i.e. *monitor overall performance of procuring agencies and make recommendations for improvements in their institutional set up*). It also relates with all five principles of procurement. It will be measured with following indicator:

- % of contracts in accordance with approved methods
- % change in audit paras on procurement issues
- % of contracts awarded through open competitive bidding
- %age increase in value of contracts awarded through open competitive bidding

Outcome 3 will be achieved through two outputs:

- Output 3.1: Approved Procurement methods followed
- Output 3.2: Competition analysis conducted by PPRA

Output 3.1 relates to the methods of procurement followed by the procuring agencies. Ideally, all procurements should follow the open competitive bidding. However, in certain cases, rules allow the procuring agencies to follow other methods of procurement too, in certain situations. Hence, Output 3.1 is meant to ensure that all procurements are conducted in accordance with the approved methods. In this respect, two indicators will be used, which include:

- Number of contracts awarded with approved method
- Number of draft audit paras on procurement methods

Output 3.2 pertains to the Competition analysis conducted by the PPRA. Multiple indicators will be used to measure it.

- Number of contracts reviewed

- Number of exemptions awarded
- Number of evaluation reports analyzed
- Number of news items having procurement issues, identified

4.2.4. Outcome 4

Outcome 4: Capacities enhanced in public procurement (5.2g). It is in accordance with the sub-section 5.2g of the PPRA Ordinance 2002 (*provide and coordinate assistance to procuring agencies for developing and improving their institutional framework and public procurement activities*). Besides, this outcome is expected to contribute to Goal 'e' of the NPS. Outcome 4 will be measured with two indicators:

- % trainees with acceptable level of knowledge & skills
- % increase in knowledge of trainees
- Number of new approaches identified or shared through provincial coordination
- Number of PAs having developed procurement manuals/guidelines

Main source of data on these indicators will be the Learning Management Module of the MIS.

Outcome 4 will be achieved through three outputs:

- Output 4.1: Capacity building interventions initiated
- Output 4.2: Awareness on public procurement increased
- Output 4.3: Provincial, regional harmonization ensured

Output 4.1 relates to initiation of capacity building interventions. It will be measured through multiple indicators, which are:

- Number of trainings conducted (O 5.2g)
- Number of participants completing training (O 5.2g)
- Number of successful trainees through LMS (O 5.2g)
- Number of lectures delivered by PPRA faculty in other institutes (O 5.2g)
- Number of queries of PAs addressed (O5.2g)
- Number of PAs assisted by PPRA in developing procurement manuals (O5.2g)

Output 4.2 is relating to the creation of awareness on public procurement, which is another way for capacity building. Awareness can be created through, in addition to training, workshops, seminars and communication products like newsletters, brochures,

leaflets. Besides, website is also a powerful way for creating awareness. In view of these dimensions, multiple indicators will be used to measure output 4.2, which include:

- Number of sensitization workshops, seminars & orientations conducted
- Number of communication products developed (e.g. newsletter)
- Number of viewers accessing information through PPRA website

Output 4.3 pertains to the efforts done for harmonization of provincial/regional rules of procurement. Efforts include workshops organized for such purposes and the visits of the PPRA officials to the provincial forums. Hence, Output 4.3 will be measured by two indicators which are:

- Number of workshops engaging provincial and regional stakeholders (O 5.2g)
- Number of PPRA officials' visits to provincial and regional forums

4.2.5. Outcome 5

Outcome 5: Stakeholders more satisfied. It is in accordance with the Section 5.1 of the PPRA Ordinance 2002. This outcome relates to three (of five) principles of procurement (ethics and fair dealing, accountability and reporting and equity). Outcome 5 will be measured by using two indicators, which are:

- % grievance cases redressed by Complaint Redressal Committee
- % change in the Contractors' satisfaction level
- % grievance cases redressed by the review committee
- % of court cases settled
- % decrease in time taken to get a case settled in the court
- %age of cases decided against the PAs

Outcome 5 will be achieved through one output:

- Output 5.1: Complaint System established

Complain system establishment will be measured through following indicators:

- Number of complaints registered
- Number of PAs which have notified Complaint Redressal Committee
- Number of departmental grievance redressal meetings
- Number of Court cases attended

4.3. Relevance of Indicators with Rules and Principles of Procurement

In total 50 indicators have been identified for the M&E framework – for all three levels (i.e. goal, outcome and output). List of indicators are given in **Table 1**. The indicators are either based on the legal framework of the PPRA (Public Procurement Rules 2004 and PPRA Ordinance 2002) and theory i.e. five principles of procurement. 'O' refers to PPRA Ordinance 2002. Relevant sections of the ordinance is given with 'O' against an indicator whichever is grounded in the Ordinance. Similarly, 'R' denotes Public Procurement Rules 2004. In this case too, wherever any indicator is related with Rules, relevant rule number with 'R' has been placed.

As far as theory is concerned (i.e. five principles), P1 denotes Value for Money, P2 for Open and Effective Competition, P3 for Ethics and Fair Dealing, P4 for Accountability and Reporting and P5 for Equity. Besides, it is also stated that these five principles are also extracted (as explained in Section 3.2 of this report) from the Rule 4 of Public Procurement Rules 2004.

Table 1 : List of indicators with relevance to rules and theory

	Indicator	Legal foundation	Theoretical foundation
	Goal: Procurement Governance Improved		
1.	% of organizations achieving improved procurement governance as per PGI ranking	O 5.2f	P 1-5
2.	% change in the Corruption Perception Index	O 5.2f	P 1-5
3.	% change in the Competition Index	O 5.2f	P 1-5
4.	% change in the contractors' satisfaction level	O 5.2f	P3, 5
	Outcome 1: Improved and updated laws, rules and regulations (5.2c, d & e)		
5.	Number of new laws issued	O 5.2C	P 1-5
6.	Number of new rules and regulations issued	(O 5.2d, O24(2), R7, R9, R23(4)	P 1-5
7.	Number of new instructions issued	O5.2d	P 1-5
	Output 1.1: New areas identified, rules drafted		
8.	Number of new laws/rules/regulations drafted and shared in BoD	O 5.2d	P 1-5
9.	Number of instructions drafted	O 5.2d	P 1-5
	Output 1.2: Consultations held		
10.	Number of meetings/workshops with stakeholders	O 5.2g	P 1-5
11.	Number of drafts circulated for input	O 5.2c	P 1-5
12.	Number of board meetings held for considering legal drafts	O7	P 1-5
	Outcome 2: Increased compliance of laws, rules and regulations (5.2a&b)		
13.	% change in the violations in the tender notices	O 5.2f	P 1
14.	% increase in uploading Procurement Plans	R8, R9	P 2
15.	% increase in uploading Tenders	R12	P 2
16.	% increase in uploading Evaluation Reports	R35	P 2
17.	% increase in compliance against notices issued	O5.2f	P 2
18.	% change in unplanned procurements	O 5.2a	P 2
19.	Number of blacklisted firms notified	R19	P 4

	Indicator	Legal foundation	Theoretical foundation
20.	Number of PAs adhering to Code of Ethics	O 5.2a	P 3
21.	Number of integrity pacts signed	R7	P 3
22.	%age of cases, payments made within 30 days as per R43 or within 60 days as per R45(2)	R 43 & R45(2)	P 2,5
23.	Number of contracts, standard bid documents followed	O 5.2a	P 2
	Output 2.1: Effective review mechanism in place		
24.	Number of tenders/cases reviewed	O 5.2a	P 1-2
25.	Number of audit reports reviewed	O 5.2a, b	P 4
26.	Number of violations identified	O 5.2f	P 1
	Output 2.2: Compliance requirements communicated		
27.	Number of violations communicated to PAs	O 5.2a	P 4
28.	Number of issues in Annual reports and Newsletters	O17	P 1-5
	Outcome 3: Effective competition ensured (5.2f)		
29.	% of contracts in accordance with approved methods	O5.2f	P 1-2
30.	% change in audit paras on procurement issues	O5.2a	P 4
31.	% of contracts awarded through open competitive bidding	O5.2a	P2
32.	%age increase in value of contracts awarded through open competitive bidding	O5.2a	P2
	Output 3.1: Competition analysis conducted by PPRA		
33.	Number of contracts reviewed	O 5.2a	P1-5
34.	Number of exemptions awarded	O5.2b	P 2
35.	Number of Evaluation reports uploaded	R35	P 2
36.	Number of news items having procurement issues	O5.2a	P 2,5
	Outcome 4: Capacities enhanced in public procurement (5.2g)		
37.	% trainees with acceptable level of knowledge	O 5.2g	P 1-5

	Indicator	Legal foundation	Theoretical foundation
	& skills		
38.	% increase in knowledge of trainees	O 5.2g	P 1-5
39.	Number of new approaches identified or shared through provincial coordination	O 5.2d&f	P 1-5
40.	Number of PAs having developed procurement manuals/guidelines	O 5.2g	P 1-5
	Output 4.1: Capacity building interventions initiated		
41.	Number of trainings conducted	O 5.2g	P 1-5
42.	Number of participants completing training	O 5.2g	P 1-5
43.	Number of successful trainees through LMS	O 5.2g	P 1-5
44.	Number of lectures delivered by PPRA faculty in other institutes	O 5.2g	P 1-5
45.	Number of queries of PAs addressed	O 5.2g	P 1-5
46.	Number of PAs assisted by PPRA in developing procurement manuals	O5.2g	P 1-5
	Output 4.2: Awareness on public procurement increased		
47.	Number of sensitization workshops, seminars and orientations conducted	O 5.2g	P 1-5
48.	Number of communication products developed	O 5.2g	P 1-5
49.	Number of viewers accessing information through PPRA website	O 5.2g	P 2,5
	Output 4.3: Provincial, regional harmonization ensured		
50.	Number of workshops for provincial stakeholders	O 5.2g	P 1-5
51.	Number of PPRA officials' visits to provincial forums	O 5.2g	P 1-5
	Outcome 5: Stakeholders more satisfied		
52.	% grievance cases redressed by the Grievances Redressal Committees	R48.3	P5
53.	% of court cases settled	R48.5	P5
54.	% decrease in time taken to get a case settled in the court	R48.5	P5

	Indicator	Legal foundation	Theoretical foundation
55.	%age of cases decided against the PAs	R 48.5	P5
	Output 5.1: Complaint System established		
56.	Number of complaints registered	R 48.2	P 5
57.	Number of PAs which have notified Grievances Redressal Committee	R 48.1	P 5
58.	Number of departmental grievance redressal meetings	R 48.3	P 5
59.	Number of court cases attended	R 48.5	P 5

O = PPRA Ordinance 2004, R = Public Procurement Rules 2004

4.4. M&E Framework

The M&E framework is presented in the following diagram. At the end of each indicator, relevant reference is provided:

- R denotes Public Procurement Rules 2004
- O denotes PPRA Ordinance 2002

Goal: Procurement Governance improved (5.1)

- Indicator 1: % change in the Procurement Governance Index (PGI) **(O 5.**
- Indicator 2: % change in the Corruption Perception Index **(O 5.2f)**
- Indicator 3: % change in the Competition Index **(O 5.2f)**
- Indicator 4: % change in the Contractors' satisfaction level **(O 5.2f)**

Outcome 1: Improved laws, rules and regulations (5.2c, d & e)

- Number of new laws issued **(O5.2C)**
- Number of new rules and regulations issued **(O 5.2d, O24(2), R7, R9, R23(4)**
- Number of new instructions issued **(O 5.2d)**

Output1.1: New regulations drafted

- Number of new laws/regulations drafted and shared in BoD **(O5.2d)**
- **Number of instructions drafted (O5.2d)**

Output 1.2: Consultations held

Outcome 2: Increased compliance of laws, rules and regulations (5.2a&b)

- % change in the Violations in the tender notices **(O 5.2f)**
- % increase in uploading Procurement Plans **(R8, R9)**
- % increase in uploading Tenders **(R12)**
- % increase in uploading evaluation reports **(R35)**
- **% increase in compliance against notices issued (O5.2f)**
- % change in unplanned procurements **(O 5.2a)**
- Number of blacklisted firms notified **(R 19)**
- Number of PAs adhering to Code of Ethics **(O 5.2a) [Futuristic]**
- Number of integrity pacts signed **(R 7)**
- %age of cases, in which payments made within 30 days **as per R43 or within 60 days as per R45(2)**
- Number of contracts in which standard bid documents followed (O5.2a)

Output 2.1: Effective review mechanism in

Outcome 3*: Effective competition ensured (5.2f)*

- % of contracts in accordance with approved methods **(O5.2a)**
- % change in audit paras on procurement issues **(O 5.2a)**
- **% of contracts awarded through open competitive bidding (5.2a)**
- **%age increase in value of contracts awarded through open competitive bidding (5.2a)**
- Number of exemptions awarded **(O 5.2b)**
-

Output 3.1: Competition analysis

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Chapter 5

5. Source and Instruments of Data Collection

Major source of data for the M&E will be the MIS of the PPRA. However, instrument used for collecting data may differ from indicator to indicator as described in the following sections:

5.1. Indicators of framework

Major source of data for the M&E indicators will be the MIS. The M&E Section of the PPRA will extract data from the MIS and will use for analysis and preparation of M&E reports. However, different indicators may have different sources of data. **Table *2*** contains information on source of data for each indicator. Since PGI (first indicator) is a composite indicator, information on the source of data for its sub-constituent indicators is given in **Table *2***.

Table 2 : Source of data for indicators

	Indicator	Source	Instrument of data collection
	Goal: Procurement Governance Improved		
1.	Procurement Governance Index (PGI)	M&ES	Template[9]
2.	% change in the Corruption Perception Index	TI	Review of website of TI
3.	% change in the Competition Index	M&ES	Template
4.	% change in the Contractors' satisfaction level	Contractors	Survey
	Outcome 1: Improved and updated laws, rules and regulations (5.2c, d & e)		
5.	Number of new laws issued	Legal Deptt	QPRs[10]
6.	Number of laws, rules and regulations issued	Legal Deptt	QPRs
7.	Number of new instructions issued	Legal Deptt	QPRs
	Output1.1: New areas identified, laws, rules and regulations drafted		
8.	Number of new laws/regulations drafted and shared in BoD	Legal Deptt	QPRs

[9] Chapter 6 and Annexes 1-11 provide procedures for calculating PGI
[10] Departments of PPRA will submit Quarterly Progress Reports (QPRs)

9.	Number of instructions drafted	Legal Deptt	QPRs
	Output 1.2: Consultations held		
10.	Number of meetings/workshops with stakeholders	Legal Deptt	QPRs
11.	Number of rules circulated for input	Legal Deptt	QPRs
12.	Number of board meetings held	Legal Deptt	QPRs
	Outcome 2: Increased compliance of laws, rules and regulations (5.2a&b)		
13.	% change in the Violations in the tender notices	M&ES	MIS
14.	% increase in uploading Procurement Plans	M&ES	MIS
15.	% increase in uploading Tenders	M&ES	MIS
16.	% increase in uploading Evaluation reports	M&ES	MIS
17.	% increase in compliance against notices issued	M&ES	MIS
18.	% change in unplanned procurements	M&ES	MIS
19.	Number of blacklisted firms notified	M&ES	MIS
20.	Number of PAs adhering to Code of Ethics	PAs	Report
21.	Number of integrity pacts signed	PAs	Report
22.	%age of cases, payments made within 30 days as per R43 or within 60 days as per R45(2)	PAs	Report
23.	Number of contracts, standard bid documents followed	M&ES	MIS
	Output 2.1: Effective review mechanism in place		
24.	Number of tenders/cases reviewed	M&ES	MIS
25.	Number of audit reports reviewed	M&ES	Reports
26.	Number of violations identified	M&ES	MIS
	Output 2.2: Compliance requirements communicated		
27.	Number of violations communicated to PAs	Director	Report
28.	Number of issues in Annual reports and Newsletters	DG	NLs
	Outcome 3: Effective competition ensured (5.2f)		
29.	% of contracts in accordance with approved methods	PAs	ER/MIS
30.	% change in audit paras on procurement	M&ES/DAGP	ARs

	issues		
31.	% of contracts awarded through open competitive bidding	PAs	ER/MIS
32.	%age increase in value of contracts awarded through open competitive bidding	PAs	ER/MIS
	Output 3.1: Competition analysis conducted by PPRA		
33.	Number of contracts reviewed	M&ES	MIS
34.	Number of exemptions awarded	Legal Deptt	QPRs
35.	Number of Evaluation reports uploaded	PAs	MIS
36.	Number of news items having procurement issues	M&ES	NPs
	Outcome 4: Capacities enhanced in public procurement (5.2g)		
37.	% trainees with acceptable level of knowledge & skills	PAs	LMS
38.	% increase in knowledge of trainees	PAs	LMS
39.	Number of new approaches identified or shared through provincial coordination	Legal Section	Report
40.	Number of PAs having developed procurement manuals/guidelines	Legal Deptt	QPRs
	Output 4.1: Capacity building interventions initiated		
41.	Number of trainings conducted	Trg Section	Report
42.	Number of participants completing training	Trg Section	Report
43.	Number of successful trainees through LMS	Trg Section	Report
44.	Number of lectures delivered by PPRA faculty in other institutes	Trg Section	Report
45.	Number of queries of PAs addressed	PAs	MIS
46.	Number of PAs assisted by PPRA in developing procurement manuals	Legal Deptt	QPRs
	Output 4.2: Awareness on public procurement increased		
47.	Number of sensitization workshops, seminars and orientations conducted	DG	Report
48.	Number of communication products developed	DG	Report

49.	Number of viewers accessing information through PPRA website	Website	Counter
	Output 4.3: Provincial, regional harmonization ensured		
50.	Number of workshops for provincial stakeholders	DG	Report
51.	Number of PPRA officials' visits to provincial forums	DG	Report
	Outcome 5: Stakeholders more satisfied		
52.	% grievance cases redressed by Grievances Redressal Committee	PAs/PPRA	Proforma
53.	% of court cases settled	PAs/PPRA	Proforma
54.	% decrease in time taken to get a case settled in the court	PAs	Proforma
55.	%age of cases decided against the PAs	PAs	Proforma
	Output 5.1: Complaint System established		
56.	Number of complaints registered	PAs	MIS
57.	Number of PAs which have notified Grievances Redressal Committee	PAs	MIS
58.	Number of departmental grievance redressal meetings	PAs	Proforma
59.	Number of court cases attended	Legal Deptt	Report

NPs = Newspapers, TI = Transparency International; Advs = advertisements; QPRs = Quarterly Progress Reports submitted by the departments of PPRA; PP = Procurement Plans; ER = Evaluation Report; M&ES = M&E Section; DAGP = Department of Auditor General of Pakistan; ARs = Audit Reports; NL = Newsletter

Note:

Emails of the focal persons of the PAs will be available in the MIS of the PPRA. M&E Section of the PPRA will be able to contact the contact persons for collecting any data not available on the system.

5.2. PGI

The Procurement Governance Index has been developed by the PPRA to assess and rate a particular procuring agency at the Goal level. This is based on key aspects of the Public procurement Rules and the Principles of Procurement. The data on the indicator will be

gathered from different sources. This index will measure and rate organizations in different levels. The indicator will be applied on a sample as part of evaluation. It is a composite indicator and provides evidence from different perspectives etc.

PGI is a composite index based on 10 different indices. Source of data for each indicator and instrument for data collection are stated in **Table *3***.

Table 3 : Indicators for PGI - source and instrument

	Indicator	Source	Instrument
1	Rules Violation Index (PTI)		
	• No. of violation identified	NPs/ MIS	Ads
2	Contractor satisfaction index (CSI)	Contractors	Survey
3	Cost Performance Index (CPI)		
	• Budgeted Cost	PAs	PP
	• Actual cost	PAs	ER
4	Schedule Performance Index (SPI)		
	• Planned Duration	PAs	PP
	• Actual Duration	PAs	ER
5	Index of complaints received (ICR)	PAs	MIS
6	Index of complaints addressed (ICA)	PAs	Pas
7	Index of payments (IP)	PAs	MSI
8	Competition Index (CI)		
	• Degree of dispersion among lowest three bids	PAs	ER
9	Annual Procurement Plan Quality Index (APQI)	PAs	PP
10	Completed Contracts Index (CCI)	PAs	MIS
11	Audit Paras Index (API)	DAGP	Review

NPs = Newspapers; Ads = Advertisements; MIS = Management Information System; PA = Procuring Agency; ER = Evaluation Report; PP = Procurement Plan; DAGP = Department of the Auditor General of Pakistan

Chapter 6

6. Template for Estimation of PGI

6.1. Aggregation of PGI

S. No.	Indicator	Score	
		Min	Max
1	Rules Violation Index (RVI)	1	10
2	Contractor satisfaction index (CSI)	1	10
3	Cost Performance Index (CPI)	1	10
4	Schedule Performance Index (SPI)	1	10
5	Index of complaints received (ICR)	1	10
6	Index of complaints addressed (ICA)	1	10
7	Index of payments (IP)	1	10
8	Competition Index (CI)	1	10
9	Annual Procurement Plan Quality Index (APQI)	1	10
10	Completed Contracts Index (CCI)	1	10
11	Audit Paras Index	1	10

Brief Description

RVI = 10-[No. of violations identified by PPRA through review of tender notices/ads]
CSI = Score of satisfaction on scale of 10
CPI = BC/AC*10 ... max 10 points
SPI = Planned duration/Actual duration*10
ICR = 10-[No. of complaints received/no. of contracts*10]
ICA = No. of complaints addressed/no. of contracts*10
IP = Value of payments made in 30 days/total payment*10
CI = Degree of dispersion among lowest three bids
APQI = Time, coverage and quality, assessment by PPRA
CCI = Completed Contracts Index
API = Audit Paras Index

6.2. Overall scoring sheet for the PGI

		Score	10	10	10	10	10	10	10	10	10	10	10
			1	2	3	4	5	6	7	8	9	10	11
Code	**Procuring Agency**	**PGA**	**RVI**	**CSI**	**CPI**	**SPI**	**ICR**	**ICA**	**IP**	**CI**	**APQI**	**CCI**	**API**
1.02	Alpha	66.76	3.10	4.92	9.56	8.79	4.25	4.25	2.22	7.50	6.67	7.50	8.00
2.54	Beta	88.55	9.52	6.67	9.52	10.00	9.67	9.67	10.00	7.05	8.67	7.78	0.00
2.42	Gamma	22.89	0.00	2.08	1.19	1.00	0.00	0.00	-4.00	5.95	0.00	6.67	10.00
3.12	A2	99.85	10.00	10.00	10.00	10.00	10.00	10.00	10.00	9.85	10.00	10.00	0.00

Classification of PAs on the basis of PGI score

<40	Unsatisfactory
41 to 55	Marginally satisfactory
56 to 70	Satisfactory
71 to 85	Highly satisfactory
85+	Excellent

6.3. Overall scheme of the indicators

As discussed earlier, the PGI will be calculated on the basis of 10 indicators, which are listed in **Table 4**. How will values of these indicators be calculated? Examples for calculating values of all these indicators are given in annexes (**Table 4**).

Table 4 : Constituents of PGI

S. No.	Indicator	Annex
1	Rules Violation Index (RVI)	Annex-1
2	Contractor satisfaction index (CSI)	Annex-2
3	Cost Performance Index (CPI)	Annex-3
4	Schedule Performance Index (SPI)	Annex-4
5	Index of complaints received (ICR)	Annex-5
6	Index of complaints addressed (ICA)	Annex-6
7	Index of payments (IP)	Annex-7
8	Competition Index (CI)	Annex-8
9	Annual Procurement Plan Quality Index (APQI)	Annex-9
10	Completed Contracts Index (CCI)	Annex-10
11	Audit Paras Index (API)	Annex-11

Chapter 7

7. MIS of PPRA

7.1. Overview of the MIS

MIS of PPRA is an integrated management information system (MIS). Basic purpose of the MIS is to improve efficiency, accuracy and improvement in Public PPRA's functions. It is a dynamic web-based application having provision for management of multiple data sets with multiple sources. The system also allows managing office operations through using office support systems, instead of using traditional file.

Figure 1 shows interface of the software for the administrator. The software has following modules:

- Monitoring and Performance Measurement Module
- Human Resource Management System (Payroll System is a part of the HR System)
- Financial Management System
- Learning Management System

7.2. Monitoring and Procurement Module

As mentioned earlier, the MIS is a web-based system. It will be linked with the PPRA website. The MIS will be mainly controlled by the PPRA. However, data will come into it from sources including:

- PPRA
- Procuring Agencies
- Others like bidders/suppliers/contractors

The procuring agencies will be provided limited authorization to access the system (login), enter data and access information to a limited extent. They can feed in procurement plans, tenders and evaluation reports. More specifically, PAs would be able to perform following functions on the MIS:

- Manage their planning (procurement)
- Manage their tenders
- Manage their evaluation reports
- Manage their online queries
- Manage payments
    - Payment to suppliers
    - Tender Fee

The MIS contains a dashboard for the PAs which shows following information:

- Latest Tenders
- Evaluation Reports
- Tender Cycle Statistics
- Outstanding Tender Fees
- Outstanding Supplier Payments
- Online Query Statistics

Suppliers and other users will also be able to use the MIS. They would be able to feed information into and access information from the MIS, however, upto a limited extent. The registered suppliers will be given control on:

- Dashboards
- Their complaints
- Their queries

What kind of monitoring related data will be available in the MIS? The module of monitoring and performance measurement covers data related to following areas:

- Procuring agencies and Procuring officials
- Time based Procurement Plans of Procuring agencies
- Technical Specifications and Pricing of the commonly procured items
- Notices for Invitation to Tenders (NITs)
- Tender Closure
- 'Report Card' data on bidders upon completion of each procurement
- Online Tenders and Evaluations/Contracts Submission.
- Public Procurement Rules Violations Indication.
- Online Certification of Suppliers
- Bidders/Suppliers/Contractor Profiles having:
    - Technical Capability of Bidders
    - Blacklisted and Excluded Parties (Search for this Check Built-in into the system)
- Procurements undertaken through non-competitive procedures
- Complaint Management System
- Discussion Forum for exchanging experiences, questions, procurement related discussions, file sharing, collaborate on documents etc.
- Suppliers registration for tenders advertisement alerts.
- Online Query System.

MIS is to provide output level data. The module supports retrieval of information relating to the following areas:

- Search for Vendor(s)
- Check a Vendor's Performance
- Retrieving Business opportunities by Suppliers
- Compliance related checks, including (and generate alerts, flags & auto-generated communications in case of non-compliance):
    - Timely posting of Procurement Plans, Pre-Qualification notices; NITs, Bidding Documents; Bid Evaluations, Bill of Quantities, Contract Award Documents, Cancellation notices etc.
    - Compliance of response time; award of contract within the prescribed timeframe
    - Compliance of contract requirements (Integrity Pact; Performance Security, Price Adjustment; Completion/delivery time; payment efficiency etc.
- Procuring agency wise compliance and non-compliance reports
- Bidders related to buying bidding documents, participating and qualifying/non-qualifying
- Price variation among different bidders; comparison with agency estimates and with similar procurements by other agencies
- Item wise details (description, price, total amount involved, method used; approval authority, frequency; delivery time) for procurements through non-competitive procedures
- Details on complaints (time taken to resolve; compliance of the decision by the procuring agency; posting of decisions on the website)
- A particular item/service in comparison to different procuring agencies:
    - Price paid, specifications designed, evaluation criteria/RFP designed, time taken for completion
- Rank the agencies and procurement officials on the basis of their performance
- Public access through Search and retrieval of:
    - Government's buying (search options of Number of days, city, country, agency in category, category on agency, tender type (EOI, RFP, Sales, Auctions etc.)/nature (national or international) of procurements and key words)
    - Category/Product wise (infrastructure, energy, health, agriculture etc.) detailed reports of completed and ongoing procurements
- Government agencies doing business with other government agencies
- Integration with current system entities.
- Off line data entry templates.
- Online/offline receipt generation for tender fee payments.
- Email alters generation to procuring agencies for non-payment of tender fee
- Computerization of legal Section Court cases, PP rules Clarification, MOU, agreements, frame works.
- Reports generation of court cases, Clarification.

7.2.1. Human resource Management Information System

Human resource Management Information System (HRMIS) deals with the HRM processes of PPRA. It covers following areas:

- Employees' Profiles
- Family member information
- GP fund Beneficiaries
- Loan & Advance management
- Payment / deductions process Management
- Annual Appraisal System
- Recruitment & Selection process

7.2.2. Financial Management System

The module of Financial Management System allows management of operations of financial management including maintenance of record, preparation of accounts and preparation of reports. The module covers:

- Appropriation/Control over register management (Budget vs expenditure)
- Accrual based accounting System.
- Procurements
- Repair and Maintenance
- E-Tracking System.
- Paper free environment of procurements.
- Fixed Asset Management System

7.2.3. Learning Management System

The learning management system covers processes of training management. More specifically, it covers:

- Management of various types of training programs
- Trainees/users accounts and profile creation
- Bio-data and training application forms i.e. online registration for training
- Trainings contents management
- Resource persons/lecturers profile management
- Attendance management of the trainees
- Audio/video lectures and handouts for download
- Post training evaluations and scoring
- Training fee module
- Reports from different angles

- Online registration system for training

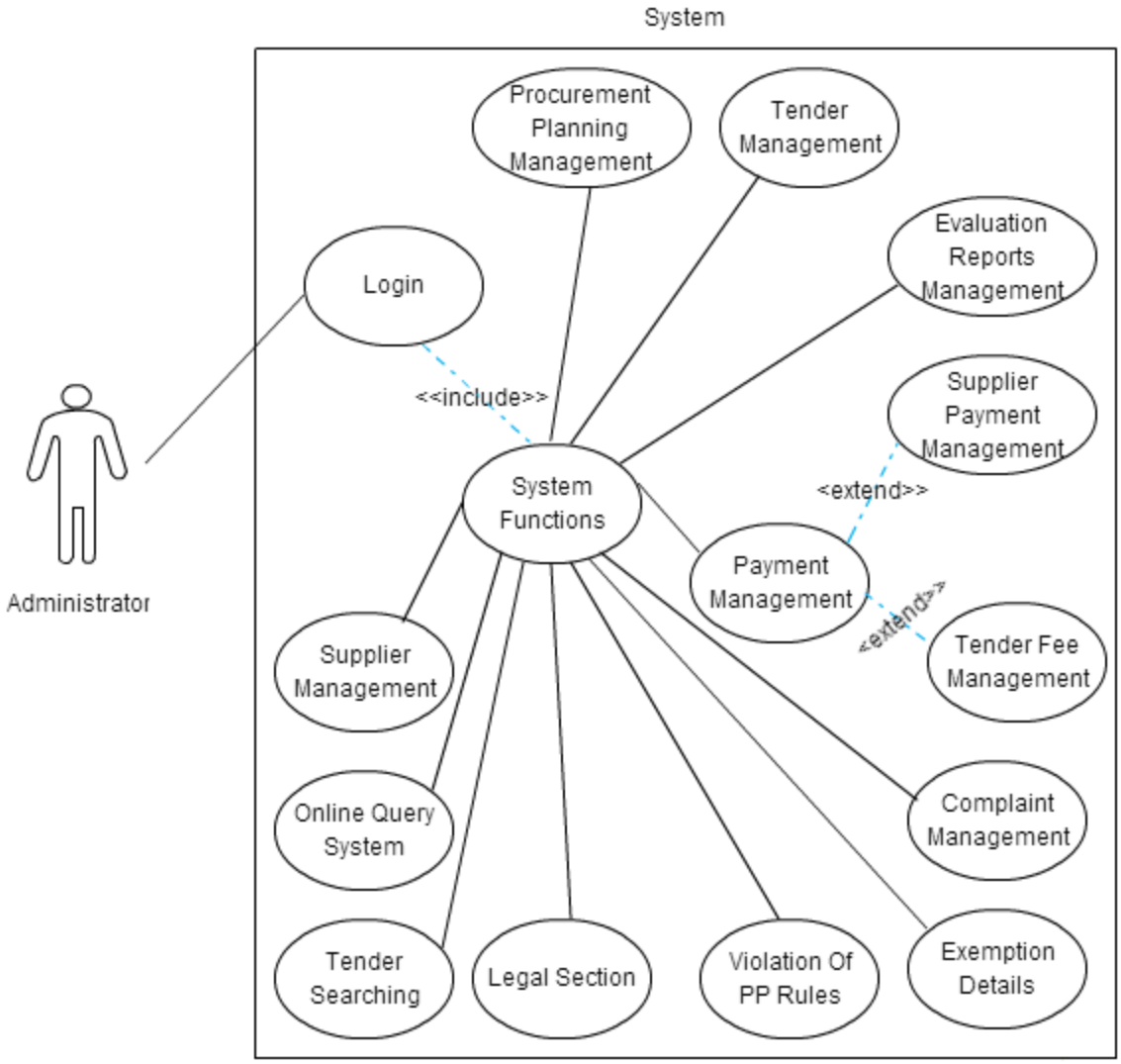

Figure 1 : Administrator case diagrams

Chapter 8

8. M&E Indicators Sheets

Goal: Procurement Governance Improved

Indicator 1: Procurement Governance Index (PGI)

- Indicator description: The indicator is a composite measure of the procurement governance. It is based on 10 sub-indicators which include:
    - Rules Violation Index (RVI)
    - Audit paras index (wrt procurement for the PA) (API)
    - Contractor satisfaction index (CSI)
    - Cost Performance Index (CPI)
    - Schedule Performance Index (SPI)
    - Index of complaints received (ICR)
    - Index of complaints addressed (ICA)
    - Index of payments (IP)
    - Competition Index (CI)
    - Annual Procurement Plan Quality Index (APQI)
    - Completed Contracts Index (CCI)

- A template has been developed in the Excel for estimation of PGI. This indicator will be aggregated on the completion of each year based. Template is given at **Annex – 1.**

- Unit of Measure: %
- Category: Evaluation
- Type of Indicator: Goal
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection

    - Responsibility of data collection: DD-I (M&E)
    - ;9Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: Multiple data sources
- Data analysis: Simple counting, points

Indicator 2: % change in the Corruption Perception Index

- Indicator description: This is a macro-level indicator. It measures change in perception about corruption in the country.
- Unit of Measure: Number
- Type of Indicator: Impact
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: year wise
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Transparency International

  Data analysis: Simple counting, points

Indicator 3: % change in the Competition Index

- Indicator description: This is a measure of competition in any sector. If there is high variation among the bids values, then it shows there is less competition. On the other hand, if variation among the bids is low, which shows degree of competition is high. The Competition Index (CI) is to be calculated by measuring coefficient of variation among the lowest three bids in case of any contract.

- Unit of Measure: Number (on scale of 10)
- Type of Indicator: Impact
- Category: Evaluation
- Desired Direction: Change in status (-)
- Disaggregation: year wise
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Evaluation Reports

- Data analysis: Following steps are needed in calculating CI:
    - Estimate CoV by using following formula in MS Excel
      =(STDEV.P(J7:L7))/(AVERAGE(J7:L7))
    - Take average of all CoVs
    - Now calculate CI by using following formula:
      =(1 – Average CoV) x 10

Indicator 4: % change in the Contractors' satisfaction level (Contractor Satisfaction Index)

- Indicator description: Contractors are also among the key stakeholders of public procurement management i.e. contractor satisfaction index (CSI). CSI is a composite measure of 12 sub-indicators (dimensions) which include:

    1. Advertisement was widely **published**
    2. **Advertisement** clearly stated specifications of products/services needed
    3. **Adequate time** was provided for the bid/proposal submission
    4. All needed **information** was easily **available** to all bidders
    5. **Bids/proposals** were **opened** at specified time
    6. **Bids/proposals** were opened in the **presence** of bidders
    7. No bidder was **discriminated** or given preference
    8. **Payments** were made within stipulated time
    9. How would you rate the **professionalism** of the staff of procuring agency?
    10. How would you rate the **attitude** of the staff of procuring agency?
    11. Are the staff members of procuring agency **easy to get in touch** with?
    12. How would you rate **reputation** of the procurement agency

    Contractors will be asked to rate the above items on scale of 10. Average value will make CSI. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number / scale
- Type of Indicator: Impact
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey (through questionnaire)
- Data analysis: Simple counting, number

Outcome 1: Improved and updated regulations (5.2 c, d & e)

Indicator 5: Number of new and updated laws, rules and regulations issued (after approval)

- Indicator description: The indicator measures the number of new relating to public procurement, issued by the government. This indicator will be aggregated on yearly basis
- Unit of Measure: Number of laws
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status (+) [However, it is expected to change only in the long run]
- Disaggregation: new, updated
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board

  Data analysis: Simple counting

Indicator 6: Number of new and updated rules and regulations issued (after approval)

- Indicator description: The indicator measures the number of new rules and regulations or updated regulations issued by PPRA. This indicator will gauge the effectiveness of PPRA as a regulator and its role in making rules of the game. This indicator will be aggregated on yearly basis
- Unit of Measure: Number of rules and regulations
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status (+) [However, it is not expected to change only in the short run]
- Disaggregation: new, updated
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board

  Data analysis: Simple counting

Indicator 7: Number of new instructions issued

- Indicator description: The indicator measures the number of new instructions issued by the PPRA. This indicator will gauge the effectiveness of PPRA as a regulator and its role in making rules of the game. This indicator will be aggregated on yearly basis
- Unit of Measure: Number of instructions
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: no of instructions approved by the PPRA
- Disaggregation: new, updated
- Data Collection

    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board

  Data analysis: Simple counting

Output 1.1: New areas identified, laws, rules, regulations and instructions drafted

Indicator 8: Number of new laws/rules/regulations drafted and shared in BoD

- Indicator description: The indicator measures the number of new rules and regulations or updated regulations drafted by the PPRA. This indicator will be aggregated on yearly basis
- Unit of Measure: Number of laws, rules and regulations drafted
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status (+) [However, it is not expected to change only in the short run]
- Disaggregation: new, updated
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board

  Data analysis: Simple counting

Indicator 9: Number of new instructions drafted

- Indicator description: The indicator measures the number of new instructions drafted by the PPRA. This indicator will be aggregated on yearly basis
- Unit of Measure: Number of instructions drafted
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status (+) [However, it is not expected to change only in the short run]
- Disaggregation: new, updated
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: yearly
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board

  Data analysis: Simple counting

Output 1.2: Consultations held

Indicator 10: Number of meetings/workshops with stakeholders

- Indicator description: The indicator measures intensity of consultations held with the stakeholders for developing regulations. It is expected that there would be improvement in the preparation of regulations aiming at enhancement of the procurement governance. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of meetings/workshops
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: Minutes of the meetings/workshop reports
- Data analysis: Simple counting, %age

Indicator 11: Number of draft laws, rules and regulations circulated for input

- Indicator description: The indicator measures intensity of consultations held with the stakeholders for developing regulations. It is expected that quality of regulations will be improved through feedback of the stakeholders. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of drafts circulated
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, stakeholders, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: PPRA Office Record
- Data analysis: Simple counting, %age

Indicator 12: Number of board meetings held for considering legal drafts

- Indicator description: The indicator measures intensity of consultations held with the stakeholders for developing regulations. It is expected that more board meetings will help in improvement in the number and quality of regulations to be issued. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of board meetings
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: Minutes of the meetings of the Board
- Data analysis: Simple counting, %age

Outcome 2: Increased compliance of laws, rules and regulations (5.2a&b)

Indicator 13: % change in the Violations in the tender notices

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that number of violations per contract will decline with passage of time. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of violations per contract
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number, %age

Indicator 14: % increase in uploading Procurement Plans

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that uploading of Procurement Plans will attract larger number of bidders, which in turn will improve competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of PAs uploading the Annual Procurement Plans
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, %age

Indicator 15: % increase in uploading Tenders

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that uploading of tenders (by PAs) will improve competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % increase in uploaded tenders
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, %age

Indicator 16: % increase in uploading Evaluation reports

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that uploading of evaluation reports will improve transparency and competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % increase in uploaded evaluation reports
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, %age

Indicator 17: % increase in compliance against notices issued

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that greater percentage of compliance of the notices issued will improve transparency and competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % increase in uploaded evaluation reports
- Type of Indicator: Outcome
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, %age

Indicator 18: % change in unplanned procurements

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that discouragement of unplanned procurement will improve transparency and competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % change in unplanned procurement
- Category: Both Monitoring and Evaluation
- Type of Indicator: Outcome
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, %age

Indicator 19: Number of firms blacklisted

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that blacklisting of certain firms (through legal process) will improve procurement governance. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of firms black listed
- Type of Indicator: Outcome
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Indicator 20: Number of PAs adhering to Code of Ethics

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that adherence to code of ethics will improve transparency and competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of PAs adhering to Code of Ethics
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Indicator 21: Number of integrity pacts signed

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that signing of the integrity pacts will help in achieving procurement governance. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of integrity pacts signed
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Indicator 22: %age of cases, in which payments made within 30 days as per R43 or within 60 days as per R45(2)

- Indicator description: The indicator measures increase in compliance of the Rule 43 and Rule 45(2) of the Public Procurement Rules 2004. It is expected that improvement in this indicator will help improvement in the competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of cases, in which payments made within 30 days
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Indicator 23: % of contracts, standard bid documents followed

- Indicator description: The indicator measures the compliance of regulations. It is expected that more the standard bid documents are followed, higher will be procurement governance. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of contracts, standard bid documents followed
- Type of Indicator: Outcome
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Fortnightly
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Output 2.1: Effective review mechanism in place

Indicator 24: Number of tenders/cases reviewed

- Indicator description: The indicator measures the placement of an effective mechanism for review. It is expected that more the number of tenders/cases reviewed by the PPRA, more improvement will take place in the compliance of rules and regulations. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of tenders/cases reviewed
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Fortnightly
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Indicator 25: Number of audit reports reviewed

- Indicator description: The indicator measures increase in compliance of laws, rules and regulations. It is expected that number of audit reports reviewed will help identification of areas where compliance of laws, rules and regulations is lacking. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of audit reports reviewed
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: AGP
- Data analysis: Simple counting, number

Indicator 26: Number of violations identified

- Indicator description: This indicator is a measure of increase in compliance of laws, rules and regulations. It is expected that number of violations identified will help in improving compliance of laws, rules and regulation. Moreover, it will also help in reviewing the designs of training conducted at National Institute of Procurement. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of violations identified
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Fortnightly
    - Budget Implications: None
    - Source of data: MIS
- Data analysis: Simple counting, number

Output 2.2: Compliance requirements communicated

Indicator 27: Number of violations communicated to PAs

- Indicator description: The indicator measures output of review activities of the PPRA monitoring team. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of compliance notices
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Fortnightly
    - Budget Implications: None
    - Source of data: Director
- Data analysis: Simple counting, number

Indicator 28: Number of issues in Annual report and Newsletters

- Indicator description: The indicator measures output of review activities of the PPRA monitoring team. Annual report and the newsletters are effective means of communication with the stakeholders. Number of issues of procurement highlighted in the Annual Report and the Newsletters are expected to improve compliance of laws. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of compliance notices
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly and Annually
    - Budget Implications: None
    - Source of data: Newsletters and Annual Report
- Data analysis: Simple counting, number

Outcome 3: Effective competition ensured (5.2f)

Indicator 29: % of contracts awarded in accordance with the approved method

- Indicator description: The indicator measures improvement in the competition, as approved methods are meant to promote competition with few exceptions. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Points on scale of 10
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Type of procurement method, Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Fortnightly
    - Budget Implications: None
    - Source of data: PAs
- Data analysis: Simple counting, number

Indicator 30: Number of audit paras on procurement methods

- Indicator description: Audit paras on procurement will help in estimation of the non-adoption of approved methods of procurement. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Audit Reports
- Data analysis: Simple counting, number

Indicator 31: % of contracts awarded through open competitive bidding

- Indicator description: Higher percentage of contracts (in terms of number) awarded through open competitive bidding is a desirable phenomenon. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Audit Reports
- Data analysis: Simple counting, number

Indicator 32: %age increase in value of contracts awarded through open competitive bidding

- Indicator description: Higher percentage of contracts (in terms of value) awarded through open competitive bidding is a desirable phenomenon. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Outcome
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Audit Reports
- Data analysis: Simple counting, number

Output 3.2: Competition analysis conducted by PPRA

Indicator 33: Number of contracts reviewed

- Indicator description: Number of contracts reviewed is an output level of performance measure of the PPRA. Higher number is desirable. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding, as percentage of contracts
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: PA
- Data analysis: Simple counting, number

Indicator 34: Number of exemptions awarded

- Indicator description: This indicator is a measure of tendency towards competition. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: Audit Reports
- Data analysis: Simple counting, number

Indicator 35: Number of Evaluation reports uploaded

- Indicator description: This indicator is a measure of the competition. The M&E team of PPRA will monitor the website and record the numbers. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Category: Both Monitoring and Evaluation
- Type of Indicator: Output
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Website
- Data analysis: Simple counting, number

Indicator 36: Number of news items having procurement issues

- Indicator description: This indicator is a measure of the competition, as per perception of the media reporters and their source. The M&E team of PPRA will monitor the newspapers for identification of such news items. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Daily
    - Budget Implications: None
    - Source of data: Newspapers
- Data analysis: Simple counting, number

Outcome 4: Capacities enhanced in public procurement (5.2g)

Indicator 37: % trainees with acceptable level of knowledge & skills

- Indicator description: The indicator measures number of trained resources available with PAs. It will be estimated through LMS module of the MIS of PPRA. The PPRA will have to set a pass percentage in the pre and post training tests. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Trainees
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Pre and post training scores (LMS)
- Data analysis: Simple counting, number, %age

Indicator 38: % increase in knowledge of trainees

- Indicator description: The indicator measures degree of capacity of the PAs enhanced. It will be estimated through LMS module of the MIS of PPRA. Simple comparison of pot training score with pre-training scores will help in determining percent increase in knowledge of trainees. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Score of trainees
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Pre and post training scores (LMS)
- Data analysis: Simple counting, number, %age

Indicator 39: Number of new approaches identified or shared through provincial coordination

- Indicator description: The indicator measures degree of sharing of practices through provincial coordination. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of events
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: Director Legal
- Data analysis: Simple counting, number, %age

Indicator 40: Number of PAs having developed procurement manuals/guidelines

- Indicator description: Under Section 5.2g of the PPRA Ordinance, PPRA is required to "provide and coordinate assistance to procuring agencies for developing and improving their institutional framework and public procurement activities". The indicator measures achievement towards this requirement. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of PAs with manuals
- Type of Indicator: Outcome
- Category: Monitoring and Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: Director Legal
- Data analysis: Simple counting, number, %age

Output 4.1: Capacity building interventions initiated

Indicator 41: Number of trainings conducted

- Indicator description: National Institute Procurement (NIP) organizes trainings on public procurement ion regular basis. This indicator will measure number of training initiatives in a year. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Training record of NIP, LMS
- Data analysis: Simple counting, number

Indicator 42: Number of participants completing training

- Indicator description: This indicator will measure number of participants attending trainings on procurement conducted by NIP. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Training record of NIP, LMS
- Data analysis: Simple counting, number

Indicator 43: Number of successful trainees through LMS

- Indicator description: This indicator will also measure number of participants attending trainings on procurement, through LMS. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Training record of NIP, LMS
- Data analysis: Simple counting, number

Indicator 44: Number of lectures by PPRA in other institutes

- Indicator description: This indicator measures capacity building efforts of PPRA outside the NIP. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of hours of training
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Officers of PPRA
- Data analysis: Simple counting, number

Indicator 45: Number of queries of PAs addressed

- Indicator description: This indicator measures indirect efforts of capacity building measures of PPRA. PAs enhance their capacity through asking questions and seeking clarifications from PPRA. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of queries
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Officers of PPRA
- Data analysis: Simple counting, number

Indicator 46: Number of PAs assisted in developing procurement manuals/guidelines

- Indicator description: Under Section 5.2g of the PPRA Ordinance, PPRA is required to "provide and coordinate assistance to procuring agencies for developing and improving their institutional framework and public procurement activities. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of PAs assisted in developing manuals
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Quarterly
    - Budget Implications: None
    - Source of data: Director Legal
- Data analysis: Simple counting, number, %age

Output 4.2: Awareness on public procurement increased

Indicator 47: Number of sensitization workshops, seminars and orientation conducted

- Indicator description: This indicator measures number of workshops/seminars on procurement conducted by PPRA. PAs enhance their capacity through asking questions and seeking clarifications from PPRA. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of workshops/seminars
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: Record of PPRA
- Data analysis: Simple counting, number

Indicator 48: Number of communication products developed

- Indicator description: Communication products of PPRA include newsletters, the Annual Reports and FAQs posted on the website. These products might prove to be potential source of learning for the PAs. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of newsletters, annual reports and FAQs
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: Record of PPRA, review of website
- Data analysis: Simple counting, number

Indicator 49: Number of viewers accessing information through PPRA website

- Indicator description: It is an indirect (though crude) measure of number of beneficiaries who visit PPRA website to gain some learning. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of visitors
- Type of Indicator: Output
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Review of website statistics
- Data analysis: Simple counting, number

Output 4.3: Provincial, regional harmonization ensured

Indicator 50: Number of workshops for provincial stakeholders

- Indicator description: This indicator measures number of workshops for the provincial stakeholders. Provincial harmony is one of the approaches of developing capacity of the PAs. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of workshops
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: PPRA record
- Data analysis: Simple counting, number

Indicator 51: Number of PPRA officials' visits to provincial forums

- Indicator description: This indicator measures number of participants of the provincial forums. It is also an indicator of developing provincial harmony. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of participants
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annual
    - Budget Implications: None
    - Source of data: PPRA record
- Data analysis: Simple counting, number

Outcome 5: Stakeholders more satisfied

Indicator 52: % grievance cases redressed by the Grievances Redressal Committees

- Indicator description: This indicator will estimate %age of complaints resolved by the Grievances Redressal Committees (GRCs) constituted by the PAs. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: %age
- Type of Indicator: Outcome
- Category: Both Monitoring and Evaluation
- Desired Direction: Change in status
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number, %age

Indicator 53: % of court cases settled

- Indicator description: % of court cases settled means more satisfied stakeholders. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of court cases settled
- Type of Indicator: Outcome
- Category: Monitoring and Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Indicator 54: % decrease in time taken to get a case settled in the court

- Indicator description: It is generally stated that it takes very long time to get cases settled in the court. This indicator will help in monitoring time taken to settle a case. It will help the PPRA in reviewing the root causes of the conflicts and in identification of any changes in the law, rules, regulations and instructions in reducing the number of conflicts and time taken for settling an issue. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of court cases settled
- Type of Indicator: Outcome
- Category: Monitoring and Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Indicator 55: % of court cases decided against the PAs

- Indicator description: This indicator measures issues on the part of PAs. It will help the PPRA in reviewing the rules, regulations and instructions and in reviewing its training programmes. PPRA will also assess the degree to which decisions against the PAs are attributed to the capacity issues. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: % of court cases settled
- Type of Indicator: Outcome
- Category: Monitoring and Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Output 5.1: Complaint System established

Indicator 56: Number of complaints registered

- Indicator description: This indicator will count number of complaints received by the PAs, for redressal by the GRCs. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: %age
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status (-)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Monthly
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Indicator 57: Number of PAs with Grievances Redressal Committee

- Indicator description: Under Rule 48.1, it is required by the PAs to notify committees for the redressal of the complaints of bidders. This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of PAs
- Type of Indicator: Output
- Category: Evaluation
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Indicator 58: Number of departmental grievance redressal meetings

- Indicator description: Number of meetings of the GRC will be an indication of the complaints. Moreover, it also refers to the Principle of Equity (fairness). This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of meetings/PA/Annum
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Indicator 59: Number of court cases attended

- Indicator description: In many court cases relating to procurement, PPRA has to make representation and present Authority's views on some legal points. It is also reflects performance of the PPRA, as it is a contribution towards achievement of justice (the Principle of Equity (fairness)). This indicator will be aggregated on the completion of each year based.

- Unit of Measure: Number of meetings/PA/Annum
- Type of Indicator: Output
- Category: Monitoring
- Desired Direction: Change in status (+)
- Disaggregation: Sector, PA, Type of Organization, Source of funding
- Data Collection
    - Responsibility of data collection: DD-I (M&E)
    - Frequency and timing of data collection: Annually
    - Budget Implications: None
    - Source of data: Survey of the PAs
- Data analysis: Simple counting, number

Chapter 9

9. Reporting Formats

9.1. Format 1: Procuring agency-wise reporting format for any indicator

Indicator _____

Unit of indicator: _____

Reporting Period: _____

SNumber	Procuring Agency	Code	Current Value (Month 'N')	Aggregate Value (July-N)
1				
2				
3				

Reported by: _____

Verified by: _____

9.2. Format 2 Format for showing values of all indicators – consolidated values

SNumber	Indicator	Unit	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun

Reported by: _____

Verified by: _____

9.3. Formats of Reports

Three types of reports will be prepared:

- Monthly M&E reports
- Quarterly M&E reports
- Annual M&E reports

9.3.1. Monthly M&E Reports

Scope of the Monthly reports will be relatively limited. The reports will be confined to the reporting of outcomes 2, 3 and 4, as it is not possible to make the data of Outcome 1 and 5 available on monthly basis. Broad outline of the Monthly Report will be:

- Chapter 1: Introduction
- Chapter 2: Compliance of laws, rules and regulations
- Chapter 3: Effectiveness of competition
- Chapter 4: Capacities building
- Chapter 5: Issues and recommendations

Chapters Number 2, 3 and 4 are based on Outcomes Number 2, 3 and 4.

9.3.2. Quarterly M&E Reports

Scope of the Quarterly M&E reports will be relatively broader. Broad outline of the Quarterly Report will be:

- Chapter 1: Introduction
- Chapter 2: Improvement and updation of laws, rules and regulations
- Chapter 3: Compliance of laws, rules and regulations
- Chapter 4: Effectiveness of competition
- Chapter 5: Capacities building
- Chapter 6: Issues and recommendations

9.3.3. Annual M&E reports:

Broad outline of the Annual Report will be:

- Chapter 1: Introduction
- Chapter 2: Procurement Governance Index

- Chapter 3: Improvement and updation of laws, rules and regulations
- Chapter 4: Compliance of laws, rules and regulations
- Chapter 5: Effectiveness of competition
- Chapter 6: Capacities building
- Chapter 7: Satisfaction of Stakeholders
- Chapter 8: Issues and recommendations

9.4. Use of reports

Monthly reports will be used reviewed by the Directors and will submit their recommendations to the DG for approval. DG may take certain decisions or may recommend the Managing Director (MD) for approval of any decisions. Some portions of the monthly reports would be published in the monthly newsletters for creating awareness. Areas to be emphasized may include:

- Rule-wise frequency of violations
- Trend in the violations
- Number of PAs that have uploaded Procurement Plans and Evaluation Reports
- Capacity building

Quarterly reports will be finalized by the DG and submit them, along with recommendations to the MD for approval. Some portions of the quarterly reports would be published in the monthly newsletters for creating awareness.

Annual M&E reports will be presented before the Board of the PPRA. Besides, some pats will be published in the Annual Report of the PPRA meant for wider circulation.

Chapter 10

10. Flow Process and Responsibilities

10.1. Flow Process

Flow of information is mapped in **Figure** *2*.

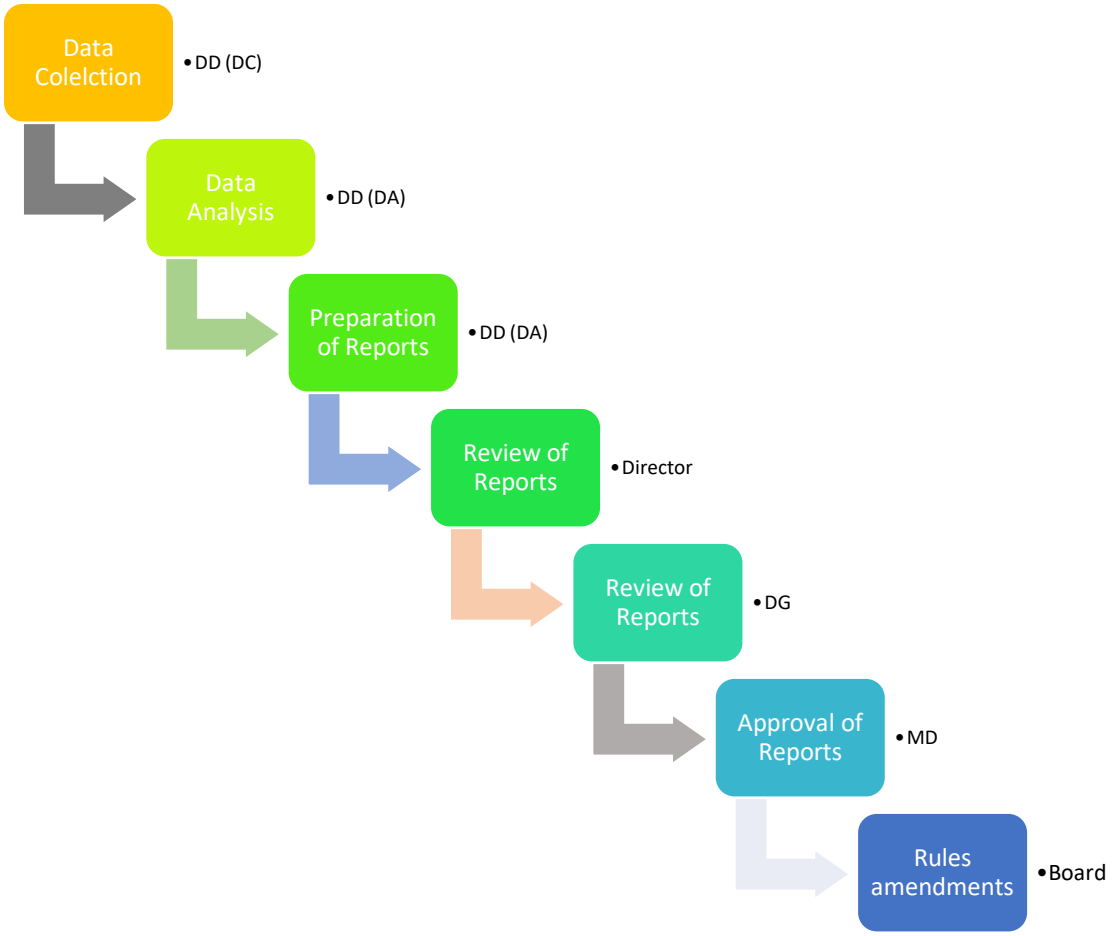

Figure 2 : Flow chart of the processes and responsibilities

10.2. Organization

It is proposed that the proposed M&E unit should be manned with three Deputy Directors, each one for MIS, data collection and data analysis. Their positioning in the hierarchy of the organization is given in **Figure *3***.

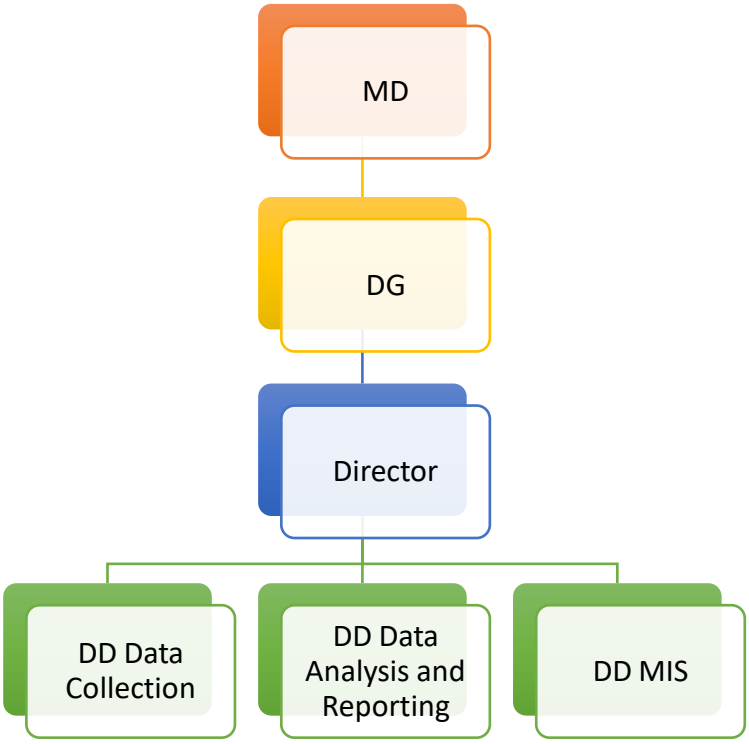

Figure 3 : Positioning of M&E Officials in Organizational hierarchy

However, the Authority will make appropriate changes in the design and structure of the organization to institutionalize the framework of M&E.

10.3. Capacity building of PPRA staff in M&E

A two-day training course is suggested to be organized for the key staff members of the PPRA, who would be assigned on the roles relating to M&E. Proposed program is given below:

- Day 1
    - Session 1: Concepts of M&E
    - Session 2: Brief orientation MIS Software
    - Session 3: Framework of M&E for PPRA

- Day 2
    - Session 1: Measurement and Data Collection
    - Session 2: Exercises of data collection
    - Session 3: Reporting

Chapter 11

11. Additional Suggestions

Following are the additional suggestions for higher effectiveness of the M&E system:

11.1. Organizational structure

It is suggested that three positions of officers for M&E should be created in the hierarchy of the organization:

- Deputy Director (Data Collection)
- Deputy Director (Data Analysis)
- Deputy Director (MIS)

11.2. Capacity building

It is suggested that

- Members of the parliament especially the members of the PAC should be given training in public procurement system
- Members of the civil society (selected NGOs) should be given training in public procurement system
- Exam-based certification should be introduced. Special certificates should be awarded to those candidates who qualify the exams – conducted biannually.
- On-line training courses – lectures should be placed on the learning portal of the PPRA. On line courses should be offered on regular basis. They can be provided options to appear in the exams – conducted biannually.

11.3. Data sources

Other databases of the government which can be used for strengthening MIS are:

- PMES – The Project Monitoring and Evaluation System. This database contains detailed information about projects – their plans (cashplans/workplans) and monitoring reports. It can provide information about the procurement plans of a procuring agency and about progress on procurement.

- **PIFRA** – The Project to Improve Financial Reporting and Auditing: The database is being controlled by the Controller General of Accounts (CGA)

11.4. Monitoring of the M&E System

It is proposed that a committee should be constituted under the chairmanship of DG, PPRA to monitor the implementation and effectiveness of the M&E system.

11.5. Risk monitoring

It is further proposed that risk monitoring/assessment (relating to public procurement) should be made a continuous process. It is proposed that a committee should be constituted under the chairmanship of DG, which may be entrusted with the tasks of:

- Identification of risks in public procurement
- Assessment of the impact and probability of the occurrence of risks
- Monitoring of risks
- Development of strategies to manage risks

11.6. Operational issues

DD Data Collection should be assigned to collect process of major items being procured and placed on the website of PPRA for the information of procuring agencies.

11.7. Policy interventions

All PAs should be encouraged to develop organization specific manuals of procurement policies and procedures in line with the Public Procurement Rules 2004.

11.8. Scope of monitoring

There are about 600 procuring agencies falling under the domain of federal PPRA, however, about 90 percent of them are considered having smaller size of procurement. Hence, some requirements can be relaxed in such cases e.g. submission of Procurement Plans.

11.9. Others

In order to synchronize the MIS of PPRA with the other databases like PMES and the PIFRA, it is suggested that codes used in the CoA should be used for coding the:

- Procuring entities
- Items being procured

Annexes

Annex – 1: Scoring Sheet for Rules Violation Index (RVI)

							No. of violations		
Code	**Procuring Agency**	**RVI**	**Adv - 1**	**Adv -2**	**Adv -3**	**Adv -4**	**Adv-5**	**Adv-6**	**Adv-7**
1.02	Alpha	3.10	5	6	4	2	3	4	5
2.54	Beta	9.52	2	0	0	0	0	0	0
2.42	Gamma	0.00	6	6	6	6	6	6	6
3.12	A2	10.00	0	0	0	0	0	0	0

RVI = 10-[Average No. of violations / Highest no. of violations in all PAs x 10]

Sampling Strategy:

- Sample size: All advertisements published on the websites and in the newspapers

Annex – 2: Contractor Satisfaction Index (CSI)

Values on scale of 10

Code	Procuring Agency	CSI	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
1.02	Alpha	4.92	7	5	6	7	4	6	5	4	2	5	6	2
2.54	Beta	6.67	8	8	8	9	10	7	8	5	4	5	4	4
2.42	Gamma	2.08	2	2	2	2	2	2	2	2	2	2	3	2
3.12	A2	10.00	10	10	10	10	10	10	10	10	10	10	10	10

CSI = Contractor Satisfaction Index

CSI = Average of all ratings

Survey Questionnaire

	2 = Strongly disagree, 4 disagree, 6 = neutral, 8 = agree and 10 = strongly agree					
		2	4	6	8	10
Q1	Advertisement was widely **published**					
Q2	**Advertisement** contained adequate information					
Q3	**Tender documents** clearly stated specifications of products/services needed and other needed information					
Q4	**Adequate time** was provided for the bid/proposal submission					
Q5	All needed **information** was easily **available** to all bidders					
Q6	**Bids/proposals** were **opened** at specified time					
Q7	No bidder was **discriminated** or given preference					
Q8	**Payments** were made within stipulated time					

	1 = Very poor, 2 = poor, 3 = fair, 4 = good, 5 = Excellent					
		2	4	6	8	10
Q9	How would you rate the **professionalism** of the staff of procuring agency?					
Q10	How would you rate the **attitude** of the staff of procuring agency?					
Q11	Are the staff of procuring agency **easy to get in touch** with?					
Q12	How would you rate **reputation** of the procurement agency					

Sampling Strategy:

- **Sample size**: Minimum 30 suppliers/contracts for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 3: Cost Performance Index (CPI)

Code	Procuring Agency	CPI (Adj)	Score	Total Planned Cost	Total Actual Expenditure	Contract 1		Contract 2		Contract 3	
						Planned Cost	Actual Cost	Planned Cost	Actual Cost	Planned Cost	Actual Cost
1.02	Alpha	9.56	9.56	18930000	19800000	830,000	800,000	8,000,000	9,000,000	10,100,000	10,000,000
2.54	Beta	9.52	9.52	3376487	3545992	840,000	982,540	2,536,487	2,563,452		
2.42	Gamma	1.19	1.19	1000000	8400000	500,000	5,000,000	300,000	3,000,000	200,000	400,000
3.12	A2	10.00	12.50	1000000	800000	500,000	400,000	300,000	200,000	200,000	200,000

CPI = Cost Performance Index

How to estimate it?

- Step 1: Estimate score: Total budget for all contracts executed / Total payments on all contracts executed x 10
- Step 2: Adjust scores by using formula. All values exceeding 10 are converted into 10. Use following formula in Excel Sheet:

  =IF(D7>=10,10, IF(D7<10,D7))

Sampling Strategy:

- **Sample size**: Minimum 5 suppliers/contracts (each with cost exceeding PKR 1.0 million) for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 4: Schedule Performance Index (SPI)

Code	Procuring Agency	CPI (Adj)	Score	Total Planned Duration	Total Actual Duration	Contract 1		Contract 2		Contract 3	
						Planned Duration	Actual Duration	Planned Duration	Actual Duration	Planned Duration	Actual Duration
1.02	Alpha	8.79	8.79	29	33	12	13	8	7	9	13
2.54	Beta	10.00	10.00	20	20	5	5	7	7	8	8
2.42	Gamma	1.00	1.00	30	300	10	100	10	100	10	100
3.12	A2	10.00	10.00	30	30	10	10	10	10	10	10

SPI = Schedule Performance Index

How to estimate it?

- Step 1: Estimate score: Total planned duration for all contracts executed / Total actual duration of all contracts executed x 10
- Step 2: Adjust scores by using formula. All values exceeding 10 are converted into 10. Use following formula in Excel Sheet:

  =IF(D7>=10,10, IF(D7<10,D7))

Sampling Strategy:

- **Sample size**: Minimum 5 suppliers/contracts (each with cost exceeding PKR 1.0 million) for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 5: ICR - Index of Complaints Received

Code	Procuring Agency	ICR	No. of complaints	No. of all contracts
1.02	Alpha	4.25	23	40
2.54	Beta	9.67	1	30
2.42	Gamma	0.00	10	10
3.12	A2	10.00	0	10

ICR = Index of Complaints Received

ICR = 10 – [No. of complaints / No. of all contracts * 10]

Sampling Strategy:

- **Sample size**: All complaints received in each administrative Division

Annex – 6: ICA - Index of Complaints Addressed

Code	Procuring Agency	ICA	No.of complaints	No. of complaints addressed
1.02	Alpha	5.22	23	12
2.54	Beta	10.00	1	1
2.42	Gamma	0.00	10	0
3.12	A2	10.00	5	5

ICA = Index of Complaints Addressed

ICR = No. of complaints addressed / No. of complaints x 10

Sampling Strategy:

- **Sample size**: All complaints received and addressed in each administrative Division

Annex – 7: IP - Index of Payments

Code	Procuring Agency	IP	<30-days	in 60-days	in 90-days	in 180-days	in 365-days	> 365-days	Value/all contracts
1.02	Alpha	2.22	930,000	2,800,000	1,450,000	150,000	2,568,000	1,562,000	9,460,000
2.54	Beta	10.00	8,000,000						8,000,000
2.42	Gamma	-4.00	0					1,000,000	1,000,000
3.12	A2	10.00	1,000,000						1,000,000

IP = Index of Payments

All values to be multiplied by a factor (as per schedule given below) and then added up to arrive at a single score

Payment made within	Factor
30 days	10
60 days	6
90 days	4
180 days	3
365 days	2
>365 days	-4

Sampling Strategy:

- **Sample size**: Minimum 5 contracts (each with cost exceeding PKR 1.0 million) for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 8: CI – Competition Index

Code	Procuring Agency	Score	Av CoV	Contract 1				Contract 2			
				CoV1	Bid 1	Bid 2	Bid 3	CoV2	Bid 1	Bid 2	Bid 3
1.02	Alpha	7.502	0.250	0.216	400,000	450,000	650,000	0.3513	260,000	450,000	650,000
2.54	Beta	7.051	0.295	0.321	120,000	150,000	250,000	0.2176	250,000	150,000	250,000
2.42	Gamma	5.954	0.405	0.405	365326	565265	985442	0.4046	365326	565265	985442
3.12	A2	9.846	0.015	0.015	645256	655635	670000	0.0154	645256	655635	670000

CI = Competition Index

It is determined by using following steps:

- Estimate CoV by using following formula in MS Excel
  =(STDEV.P(J7:L7))/(AVERAGE(J7:L7))
- Take average of all CoVs
- Now calculate CI by using following formula:
  =(1 – Average CoV) x 10

Sampling Strategy:

- **Sample size**: Minimum 5 contracts (each with cost exceeding PKR 1.0 million) for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 9: APQI – Annual Procurement Plan Quality Index

Code	Procuring Agency	APQI	TS	Coverage	Quality
1.02	Alpha	6.667	6	8	6
2.54	Beta	8.667	9	9	8
2.42	Gamma	0.000	0	0	0
3.12	A2	10.000	10	10	10

Assessment has to be made by the PPRA officials on scale of 10 by assessing the Procurement Plans from three contexts i.e. Time of submission, Coverage i.e. completeness and Quality of information.

TS = Time of submission: July = 10, Aug = 8, Sep = 6, Oct = 4, Nov = 2, Dec = 0
Coverage: Complete = 10, totally incomplete = 1
Quality of information: Excellent quality = 10, Very poor quality = 1

Sampling Strategy:

- Sample size: All procuring agencies for each administrative Division. Zero score will be awarded to a ministry, in case no procurement plan is received from any of its procuring agency

Annex – 10: CCI – Completed Contracts Index

Code	Procuring Agency	CCI	No. of contracts initiated	No. of contracts successfully (scope) completed
1.02	Alpha	7.500	8	6
2.54	Beta	7.778	9	7
2.42	Gamma	6.667	3	2
3.12	A2	10.000	10	10

CCI = Completed Contracts (procurements) Index. It covers all procurements.

CCI = no. of successfully completed procurements / no. of procurements initiated x 10

Sampling Strategy:

- **Sample size**: Minimum 5 contracts (each with cost exceeding PKR 1.0 million) for each administrative Division
- **Sample technique**: Simple random sampling

Annex – 11: API – Audit Paras Index

Code	Procuring Agency	API	Value of contracts	Value of violations/paras
	Alpha	8.00	1,000,000	800,000
	Beta	0.00	1,000,000	0
	Gamma	10.00	1,000,000	1,000,000
	A2	0.00	1,000,000	0

Sampling Strategy:

- **Sample size**: Audit paras of only major PAs (with procurement spending exceeding Rs. 500 million) administrative Division

Annex – 12: Form A for training data

Training title	
Duration of training (in days)	
Duration of training (in hours)	
No. of participants	
PA-wise no. of participants	

List of participants is to be attached

Annex – 13: Form B Performance of the trainees

S. Number	Name	PA	Pre-training score	Post-training score

Annex – 14: Form C Training Evaluation

Training Course on
Public Procurement Management
Dates: _____

1. Gender: ☐ Female ☐ Male
2. Designation: _____
3. Organization: _____
4. District/City: _____/_____
5. Age group

< 25	25-34	35-44	45-54	55+

6. **Please indicate your agreement or disagreement with the following:**
1 = strongly disagree; 2 = disagree; 3 = neutral; 4 = agree; and 5 = strong agree

	Indicator	*1*	*2*	*3*	*4*	*5*
a	Overall, I am satisfied with this training					
b	Training was relevant to my organizational needs					
c	I found the training sessions useful					
d	Training included practical examples					
e	Trainer presented information and concepts clearly					
f	Trainer was very knowledgeable about the course content					
g	My questions were adequately and properly addressed					
h	I would recommend this workshop to others					

7. **After this *workshop*, how would you rate your level of understanding on the following topics:**
1 = Very low level; 2 = low; 3 = just satisfactory level; 4 = high level; and 5 = Expert level

Pre-training score						Post-training score				
1	*2*	*3*	*4*	*5*	Area of knowledge	*1*	*2*	*3*	*4*	*5*
					a. Principles of procurement					
					b. Integrity Pact					
					c. Procurement Planning					
					d. Specifications					
					e. Methods of procurement					
					f. Prequalification of suppliers and contractors					
					g. Disqualification of suppliers and contractors					
					h. Blacklisting of suppliers and contractors					
					i. Bidding documents					
					j. Bids evaluation and rejection of bids					
					k. Procedure for open competitive bidding					
					l. Acceptance of bids and award of contracts					
					m. Alternative methods of procurements					
					n. Closing of contract					
					o. Maintenance of record					

					p. Public access and transparency					
					q. Redressal of grievances by the procuring agency					

8. Your overall comments on the usefulness of the workshop?

.....

.....

.....

.....

9. How do you think you will use the learning accrued through this training?

.....

.....

.....

10. Any suggestions for improving usefulness of the training

.....

.....

.....

Annex – 15: Template for Quarterly Report

Title Page

Glossary of Acronyms

All acronyms should be listed on the page glossary. Acronyms should be presented in alphabetical order. Template is given below:

M&E	Monitoring and Evaluation
PPRA	Public Procurement Regulatory Authority
TOC	Table of contents

Table of Contents

List all Chapters and headings. Sample Table of Contents is given below:

Chapter Number	Chapter	Page Number
1	Preface	1
2	Table of Contents	2
3	List of Tables	3
4	List of Figures	4
5	List of Annexes	5
6	Introduction	3
7	Compliance of laws, rules and regulations	
8	Effectiveness of competition	
9	Capacities building	
10	Issues and recommendations	
	Annexes	

Preface

A sample preface is as below:

> *This report covers period of July-September 2014. The report contains six chapters. Chapter 1 gives brief overview of the PPRA, its vision, mission and goals. Besides, it briefly introduces the M&E framework of the PPRA and defines objectives of this report. Chapters 2, 3, 4 and 5 present progress on the indicators of Outcome 2, 3 and 4 respectively. Last Chapter highlights issues and gives recommendations.*
>
> *It will be written by the DG*

Chapter 1: Introduction

This Chapter will contain

- Brief overview of the public procurement in Pakistan
- Need for improvement in the procurement governance
- Vision, mission and goals of the PPRA.
- Objectives of the M&E.
- Approach and methodology of the M&E
- Organization of the report

Chapter 2: Compliance of laws, rules and regulations

This Chapter will contain

- Brief overview of the need for compliance of laws, rules and regulations: This Section will contain following e.g.:
    - Compliance of laws, rules and regulations is needed to be achieved as per requirements defined in the sub-sections 5.2a & b of the PPRA Ordinance 2002. Goal 'c' of the National Procurement Strategy (NPS) also requires targeting higher level of governance.
- Status of the Compliance: This Section will report progress/change in following indicators:
    - Violations rate
    - % increase in uploading Procurement Plans
    - % increase in uploading Tenders
    - % increase in uploading Evaluation results
    - Number of violations communicated to PAs
    - % change in unplanned procurements
    - Number of firms blacklisted
    - Number of PAs adhering to Code of Ethics
    - Number of integrity pacts signed
    - %age of cases, payments made within 30 days
    - Number of contracts, standard bid documents followed

- Output 2.1: Effective review mechanism in place: This section will report progress on the first output of the outcome 2. It will report progress on the following indicators:
    - Number of tenders/cases reviewed
    - Number of audit reports reviewed
    - Number of violations identified

- Output 2.1: Compliance requirements communicated: This section will report progress on the second output of the outcome 2. It will report progress on the following indicators:

    - Number of compliance notices issued
    - Number of issues highlighted in the Newsletters

- Issues relating to Outcome 2
- Actions suggested
- Summary

Chapter 3: Effectiveness of competition

This Chapter will contain

- Brief overview of the need for effective competition in the public procurement: e.g. it may contain:
    - Effective competition is to be ensured as per sub-section 5.2f of the PPRA Ordinance 2002 (i.e. *monitor overall performance of procuring agencies and make recommendations for improvements in their institutional set up*).

- Progress on the status of competition
    - Frequency of the use of procurement methods
    - Value of procurements for different methods
    - % change in the Competition Index (CI)

- Output 3.1: Approved Procurement methods followed: This section will report progress on the first output of the outcome 3 (i.e. Output 3.1). It relates to the methods of procurement followed by the procuring agencies. Ideally, all procurements should follow the open competitive bidding. However, in certain cases, rules allow the procuring agencies to follow other methods of procurement too, in certain situations. Hence, Output 3.1 is meant to ensure that all procurements are done in accordance with the approved methods. This section will report progress on the status of following indicators:

    - Number of contracts awarded with approved method
    - Number of draft audit paras on procurement methods

- Output 3.2: Competition analysis conducted by PPRA. This section will report progress on the following indicators:

    - Number of procurements without newspaper advertisement
    - Number of exemptions applied
    - Number of exemptions awarded
    - Number of Evaluation reports uploaded

- Issues relating to Outcome 3
- Actions suggested
- Summary

Chapter 4: Capacities enhanced in public procurement

This Chapter will contain:

- Brief overview of the need for capacity building in public procurement

- Progress on the status of Outcome 4 with following indicators:
    - % trainees with improved knowledge & skills
    - % increase in knowledge of trainees

- Output 4.1: Capacity building interventions initiated. This section will highlight need for capacity building in public procurement, give overview of the National Institute of Procurement (NIP) and briefly state activities of the NIP during the Quarter under review. Besides, this section will report progress on the following indicators:
    - Number of trainings conducted
    - Number of participants completing training
    - Number of successful trainees through LMS
    - Number of lectures by PPRA in other institutes
    - Number of queries of PAs addressed

- Output 4.2: Awareness on public procurement increased. Creation of awareness is another way for capacity building. Awareness can be created through, in addition to training, workshops, seminars and communication products like newsletters, brochures, leaflets. Besides, website is also a powerful way for creating awareness. This section will report progress on the following indicators:
    - Number of workshops/seminars conducted
    - Number of communication products developed
    - Number of viewers visiting PPRA website

- Output 4.3: Provincial, regional harmonization ensured. This section will begin with highlighting the need for provincial/regional harmonization. This section will report efforts of the PPRA directed towards achievement of this output. It will report progress on the following indicators:
    - Number of workshops for provincial stakeholders
    - Number of PPRA officials' visits to provincial forums

- Issues relating to Outcome 4
- Actions suggested
- Summary

Chapter 5: Issues and recommendations

This Chapter will contain:

- Issues (relating to progress on outcome 2, 3 and 4) identified during the quarter
- Actions suggested

Annex – 16: Template for the Annual Report

Title Page

Glossary of Acronyms

All acronyms should be listed on the page glossary. Acronyms should be presented in alphabetical order. Template is given below:

M&E	Monitoring and Evaluation
PPRA	Public Procurement Regulatory Authority
TOC	Table of contents

Table of Contents

List all Chapters and sub-Chapter headings. Sample Table of Contents is given below:

Chapter Number	Chapter	Page Number
	Preface	1
	Table of Contents	2
	List of Tables	3
	List of Figures	4
	List of Annexes	5
1	Introduction	3
2	Goal of the PPRA	
3	Improved and updated laws, rules and regulations	
4	Compliance of laws, rules and regulations	
5	Effectiveness of competition	
6	Capacities building	
7	Stakeholders satisfaction	
8	Issues and recommendations	
	Annexes	

Preface

It will be written by the MD

Chapter 1: Introduction

This Chapter will contain

- Brief overview of the public procurement in Pakistan
- Need for improvement in the procurement governance
- Vision, mission and goals of the PPRA.
- Target for the year (under review)
- Objectives of the M&E.
- Approach and methodology of the M&E
- Organization of the report

Chapter 2: Goal of the PPRA

This Chapter will contain

- Brief overview of the goal of the PPRA i.e. procurement governance.
- Overview of the NPS
- Progress on the following indicator:
    - % of organizations achieving improved procurement governance as per PGI ranking
- Classification of the PAs wrt PGI
- Progress on the components of the PGI
    - Procurement Transparency Index (PTI)
    - Contractor satisfaction index (CSI)
    - Cost Performance Index (CPI)
    - Schedule Performance Index (SPI)
    - Index of complaints received (ICR)
    - Index of complaints addressed (ICA)
    - Index of payments (IP)
    - Competition Index (CI)
    - Annual Procurement Plan Quality Index (APQI)
    - Completed Contracts Index (CCI)

At the end of this Chapter, all five outcomes will be introduced.

Chapter 3: Improved and updated laws, rules and regulations

This Chapter will contain

- Brief overview of the need for new laws and regulations
- Progress on the following indicator
    - Number of regulations issued

- Output 1.1: New areas identified, rules drafted or amended: This section will report description of proposals for new rules and need for amendment in the existing rules. Besides, it will also state major activities relating to this output, carried out by the PPRA during currency of the year. More specifically, progress on the following indicator (quarter-wise) will be reported
    - Number of reports and summaries prepared

- Output 1.2: Consultations held. It will be highlighted that there is great importance for making the law making process open, transparent and participatory. Besides, it will also state major activities relating to this output, carried out by the PPRA during currency of the year. Progress will be reported on the following indicators (quarter-wise):
    - Number of meetings/workshops with stakeholders
    - Number of rules circulated for input
    - Number of board meetings held
- Issues relating to Goal
- Actions suggested
- Summary

Chapter 4: Compliance of laws, rules and regulations

This Chapter will contain

- Brief overview of the need for compliance of laws, rules and regulations: This section will contain following e.g.:
    - Compliance of laws, rules and regulations is needed to be achieved as per requirements defined in the sub-sections 5.2a & b of the PPRA Ordinance 2002. Goal 'c' of the National Procurement Strategy (NPS) also requires targeting higher level of governance.
- Status of the Compliance: This section will report progress/change in following indicators (quarter-wise):
    - Violations rate
    - % increase in uploading Procurement Plans
    - % increase in uploading Tenders
    - % increase in uploading Evaluation results
    - Number of violations communicated to PAs
    - % change in unplanned procurements
    - Number of firms blacklisted
    - Number of PAs adhering to Code of Ethics
    - Number of integrity pacts signed
    - %age of cases, payments made within 30 days
    - Number of contracts, standard bid documents followed

- Output 2.1: Effective review mechanism in place: This section will report progress on the first output of the outcome 2. Besides, it will also state major activities relating to this output, carried out by the PPRA during currency of the year. It will report progress on the following indicators (quarter-wise):
    - Number of tenders/cases reviewed
    - Number of audit reports reviewed
    - Number of violations identified

- Output 2.1: Compliance requirements communicated: This section will report progress on the second output of the outcome 2. Besides, it will also state major activities relating to this output, carried out by the PPRA during currency of the year. It will report progress on the following indicators (quarter-wise):

    - Number of compliance notices issued
    - Number of issues highlighted in the Newsletters

- Issues relating to Outcome 2
- Actions suggested
- Summary

Chapter 5: Effectiveness of competition

This Chapter will contain

- Brief overview of the need for effective competition in the public procurement: e.g. it may contain:
    - Effective competition is to be ensured as per sub-section 5.2f of the PPRA Ordinance 2002 (i.e. *monitor overall performance of procuring agencies and make recommendations for improvements in their institutional set up*).

- Progress on the status of competition (quarter-wise):
    - Frequency of the use of procurement methods
    - Value of procurements for different methods
    - % change in the Competition Index (CI)

- Output 3.1: Approved Procurement methods followed: This section will report progress on the first output of the outcome 3 (i.e. Output 3.1). It relates to the methods of procurement followed by the procuring agencies. Ideally, all procurements should follow the open competitive bidding.

However, in certain cases, rules allow the procuring agencies to follow other methods of procurement too, in certain situations. Hence, Output 3.1 is meant to ensure that all procurements are done in accordance with the approved methods. Besides, this section will also state major activities relating to this output, carried out by the PPRA during currency of the year. This section will report progress on the status of following indicators (quarter-wise):

  - Number of contracts awarded with approved method
  - Number of draft audit paras on procurement methods

- Output 3.2: Competition analysis conducted by PPRA. This section will describe achievements wrt output 3.2. Besides, it will also state major activities relating to this output, carried out by the PPRA during currency of the year. This section will report progress on the following indicators (quarter-wise):

  - Number of procurements without newspaper advertisement
  - Number of exemptions applied
  - Number of exemptions awarded
  - Number of Evaluation reports uploaded

- Issues relating to Outcome 3
- Actions suggested
- Summary

Chapter 6: Capacities enhanced in public procurement

This Chapter will contain:

- Brief overview of the need for capacity building in public procurement

- Progress on the status of Outcome 4 with following indicators (quarter-wise):
  - % trainees with improved knowledge & skills
  - % increase in knowledge of trainees

- Output 4.1: Capacity building interventions initiated. This section will highlight need for capacity building in public procurement, give overview of the National Institute of Procurement (NIP) and briefly state activities of the NIP during the Quarter under review. Besides, this section will report progress on the following indicators (quarter-wise):

    - Number of trainings conducted
    - Number of participants completing training
    - Number of successful trainees through LMS
    - Number of lectures by PPRA in other institutes
    - Number of queries of PAs addressed

- Output 4.2: Awareness on public procurement increased. Creation of awareness is another way for capacity building. Awareness can be created through, in addition to training, workshops, seminars and communication products like newsletters, brochures, leaflets. Besides, website is also a powerful way for creating awareness. This section will state major activities relating to this output, carried out by the PPRA during currency of the year. Besides, this section will report progress on the following indicators (quarter-wise):
    - Number of workshops/seminars conducted
    - Number of communication products developed
    - Number of viewers visiting PPRA website

- Output 4.3: Provincial, regional harmonization ensured. This section will begin with highlighting the need for provincial/regional harmonization. This section will report efforts of the PPRA directed towards achievement of this output. It will report progress on the following indicators (quarter-wise):
    - Number of workshops for provincial stakeholders
    - Number of PPRA officials' visits to provincial forums

- Issues relating to Outcome 4
- Actions suggested
- Summary

Chapter 7: Satisfaction of the stakeholders

This Chapter will contain:

- Brief overview of the need for stakeholders' satisfaction and its linkages with Section 5.1 of the PPRA Ordinance.

- Progress on the following indicators (quarter-wise):
    - % change in the Contractors' satisfaction level
    - % cases resolved by GRC

- Output 5.1. Complaint System established. This section will contain:
    - Description of the need for the complaint systems (as required under the Rule 48(1))
    - Major activities of the PPRA
    - Progress on the following indicators (quarter-wise):
        - Number of complaints registered
        - Number of PAs with Grievances Redressal Committee
        - Number of departmental grievance redressal meetings
- Issues relating to Outcome 4
- Actions suggested
- Summary

Chapter 8: Issues and recommendations

This Chapter will contain:

- Issues (relating to progress on outcome 2, 3 and 4) identified during the quarter
- Actions suggested

References

PPRA (2014). National Procurement Strategy. Islamabad: PPRA

Kusek, J.Z. & Rist, R.C. (2004). *Ten steps to a results-based monitoring and evaluation system*. Washington DC: The World Bank.

Government of Pakistan (2002). Public Procurement Rules 2004. Islamabad: Cabinet Division.

PPRA Ordinance 2002