



# **PUBLIC PROCUREMENT AUTHORITY GHANA**

## **2021 NATIONAL PUBLIC PROCUREMENT ASSESSMENT REPORT**

*MAY 2025*

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# **EXECUTIVE SUMMARY**

## **A. INTRODUCTION**

In fulfilment of its mandate stated in Sections 3(d) and 3(h) of the Public Procurement Act, 2003 (Act 663) as amended, the Public Procurement Authority assessed the procurement activities undertaken in the year 2021 by Public Procurement Entities in Ghana.

The assessment of the procurement performance of the Entities was done using the Public Procurement Model of Excellence (PPME) Tool. The PPME Tool analysed data collected from seven hundred and eighty-seven (787) Entities using the Evaluation Grid and Contracts Data Sheets. Two reports, namely the qualitative Performance Assessment System (PAS) Report and the quantitative Performance Measurement Indicators (PMI) Report were generated from the analysis of the data.

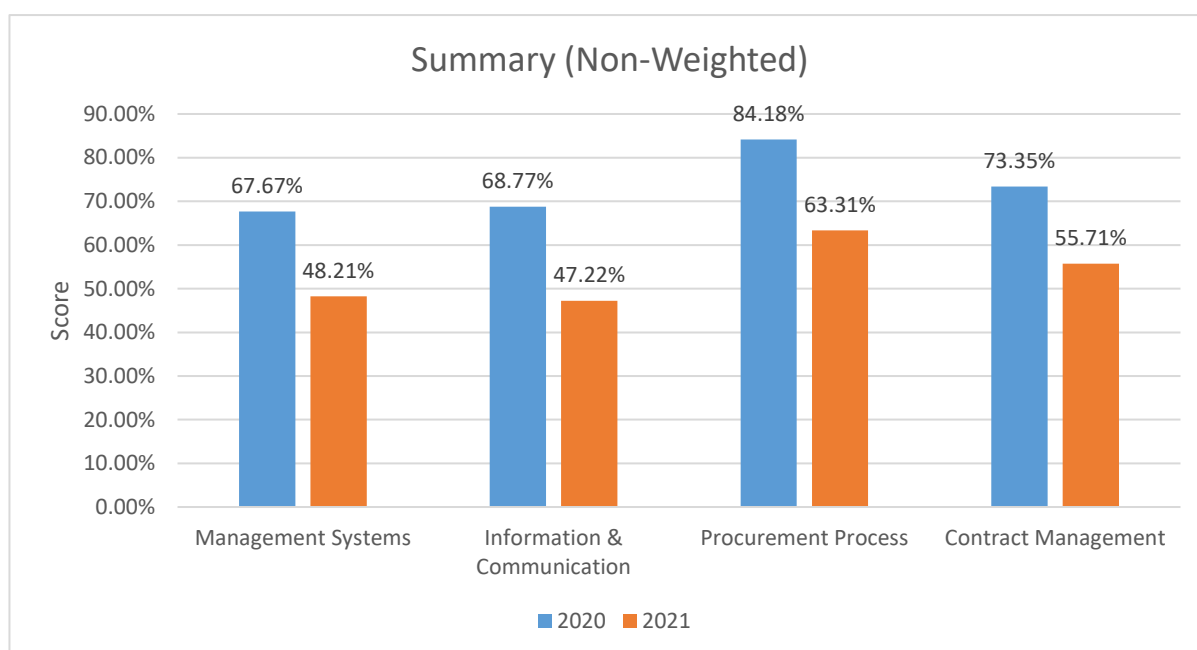
## **B. PERFORMANCE ASSESSMENT SYSTEM (PAS) REPORT**

The Performance Assessment System Report covers four main areas:

- Management System;
- Information and Communication;
- Procurement Process; and
- Contract management

Chart A presents the overall scores obtained under each of these four categories in 2021 displayed alongside those for 2020.

**CHART A: PERFORMANCE ASSESSMENT SYSTEM SCORES**



1. Under the **MANAGEMENT SYSTEMS**, the score for 2021 was 48.21% compared to 67.67% in 2020. There was an overall decline in the sub-indicators under Management Systems. Some Entities did not implement capacity development programmes for Procurement Officers and Internal Auditors to enable them to properly play their respective roles in the conduct of the procurement activities of Entities. However, evidence showed improvement in the complaints, Appeals and Disputes Mechanism sub-category. It means that some Entities received more complaints in 2021 than in 2020.
2. The **INFORMATION AND COMMUNICATION** category recorded 47.22% in 2021 compared to 68.77% for 2020. There was a decline in the performance in all the three sub-categories. There was a decline in the engagement of Service Providers to improve their responsiveness which were the requirements of improving the Marketplace sub-category. Data gathered showed a decline in the use of the PPA Standard Tender Documents and the PPA website by some Entities.
3. **PROCUREMENT PROCESS** which sought information on the Entities' knowledge of the procurement cycle recorded 63.31% in 2021 compared to 84.18% in 2020. All the indicators recorded a decline in performance. Posting of notices of contracts

awarded on the PPA website still remains a challenge as well as informing the unsuccessful tenderers of the outcomes of the tender processes. Some Entities did not post their Procurement plans on PPA website, while others did not advertise their Tenders. These shortcomings work against increasing the levels of transparency associated with the award of contracts.

4. The **CONTRACT MANAGEMENT** category looked at Entities' ability to follow through the performance of the contracts they awarded. The overall score was 55.71% in 2021 compared to the 2020 score of 73.35% indicating an overall decline for the category. Some Entities had issues with supervision of contracts as well as record keeping especially as related to management of their Stores.

### **C. PERFORMANCE MEASUREMENT INDICATORS**

There are 11 Performance Measurement Indicators (PMIs). These indicators provide the means of measuring the performance of the activities they cover. The scores for 2021 are shown in Table A and compared with those for 2020.

**TABLE A: PERFORMANCE MEASUREMENT INDICATORS FOR 2021**

INDICATOR	METRICS	CRITERIA	RESULTS	
			2021	2020
1. Advertisement of Tender Opportunities	a) % of open tendering procedures publicly advertised	Percentage	<b>97.96%</b>	<b>97.02%</b>
	b) % of open tendering procedures opened publicly and recorded	Percentage	<b>94.62%</b>	<b>95.35%</b>
2. Publication of Awards	% of contracts awards published	Percentage	<b>13.04%</b>	<b>10.66%</b>
3. Time for tender invitation and opening	Average number of days between invitation to tender and tender opening	Number	<b>16 DAYS</b>	<b>17 DAYS</b>
4. Tenderer Participation	Average number of Tenderers per notice	Number	<b>7</b>	<b>6</b>
5. Responsive tenders	% of responsive tenders per notice	percentage	<b>94.78%</b>	<b>92.67%</b>
6. Method of Procurement	% of tenders using each of the procurement methods	INTERNATIONAL COMPETITIVE TENDERING	<b>0.10%</b>	<b>0.05%</b>
		RESTRICTED TENDERING	<b>2.19%</b>	<b>2.87%</b>
		SINGLE SOURCE	<b>3.90%</b>	<b>4.89%</b>
		NATIONAL COMPETITIVE TENDERING	<b>17.74%</b>	<b>27.62%</b>
		PRICE QUOTATION	<b>74.31%</b>	<b>62.97%</b>
		LOW/MINOR VALUE PROCUREMENT	<b>1.75%</b>	<b>1.60%</b>
7. Tender Processing lead-time	Average number of days between tender opening and contract award	number	<b>33 DAYS</b>	<b>27 DAYS</b>
8. Cancelled tendering Procedures	% of tendering procedures cancelled per the provisions of ACT 663 as amended.	percentage	<b>-</b>	<b>-</b>
9. Protests	a) Tendering procedures with protests	number	<b>305</b>	<b>20</b>
	b) % Protests resolved	percentage	<b>20%</b>	<b>35%</b>
10. Resolution of Contract Disputes	a) Contracts with disputes	number	<b>75</b>	<b>23</b>
	b) % of contracts with resolved disputes	percentage	<b>-</b>	<b>-</b>
11. Contract Completion	a) % of contracts completed fully with acceptable performance	percentage	<b>95.81%</b>	<b>94.95%</b>
	b) % of contracts with completion reports	percentage	<b>82.98%</b>	<b>92.45%</b>



The breakdown, shown in Table B, gives the ratio for each of the methods of procurement based on the total number of tenders put out in 2021. In 2021, Price Quotation was the predominant method used as it was in 2020.

**TABLE B: PROCUREMENT METHODS BASED ON THE TOTAL NUMBER OF TENDERS**

PROCUREMENT METHOD	PERCENTAGE	
	2021	2020
INTERNATIONAL COMPETITIVE TENDER	0.10%	0.05%
RESTRICTED TENDER	2.19%	2.87%
SINGLE SOURCE	3.90%	4.89%
NATIONAL COMPETITIVE TENDER	17.74%	27.62%
PRICE QUOTATION	74.31%	62.97%
LOW/MINOR VALUE PROCUREMENT	1.75%	1.60%

In terms of the values of the transactions captured, Table C gives the distribution per procurement methods and shows the Single Source Method is the highest value of procurement in 2021 compared to 2020 which had the National Competitive Tendering Method as the predominant method.

Though in 2021 the frequent method used was the Price Quotation Method, in terms of values it was the Single Source Method that recorded the highest score of 46.58%. This was because the Price Quotation threshold was limited to smaller amounts while the Single Source Method had no threshold limitation. The Single Sourced Contracts were large contracts with higher values.

**TABLE C: DISTRIBUTION OF PROCUREMENT METHODS BASED ON TENDER VALUES**

PROCUREMENT METHOD	PERCENTAGE	
	2021	2020
INTERNATIONAL COMPETITIVE TENDER	0.93%	0.01%
RESTRICTED TENDER	23.81%	9.51%
SINGLE SOURCE	46.58%	32.58%
NATIONAL COMPETITIVE TENDER	21.85%	45.70%
PRICE QUOTATION	6.79%	11.03%
LOW/MINOR VALUE PROCUREMENT	0.03%	1.17%

#### **D. CONCLUSION AND LESSONS LEARNT**

As in all previous assessment exercises, the Public Procurement Model of Excellence (PPME) Tool was used to analyse the data collected in 2021 from 787 Entities. These Entities covered the low to high spend spectrum throughout the Country. This gave the data the national characteristic making the results reflect the national levels of compliance with the requirements of the Public Procurement Act, 2003 (Act 663) as amended.

All the factors used in the Assessment Exercise showed that nationally, in 2021 there had been an overall decline in the conduct of public procurement relative to 2020.

## **E. RECOMMENDATIONS**

There had been an overall decline in the conduct of the procurement activities and measures needs to be put in place to improve on performance on a sustainable basis.

These recommendations are made therefore with the aim of improving on the performance of the 2021 Assessment Exercise:

1. Entities should encourage their staff involved in procurement, viz. Procurement Officers and Engineers to acquire appropriate professional procurement or allied qualifications.
2. The training of the Procurement staff and Internal Auditors should be expanded to include training on Contract Management and Sustainable Public Procurement.
3. Entities should engage Contract Administrators to effectively supervise the contracts awarded.
4. As a matter of urgency, PPA should include slots in all Training Programmes for instructing Entities on how to post notices of contracts awarded on the PPA website. This will ensure that Entities become more transparent with the contract awards and also inform the Tenderers on the outcomes of tenders they participated in.
5. The results of the 2021 Assessment Exercise showed there were challenges associated with the handling of procurement related disputes and complaints. Entities should be trained on dispute resolutions and put structures in place to resolve issues when they occur.
6. As part of PPA's training programmes, there should always be practical sessions on how to post tender notices on PPA website.
7. PPA should ensure that all Entities post their Procurement Plans on PPA website.
8. Entities should train the private Sector and Service Providers on how to effectively respond to tender invitations; and
9. PPA should ensure that Entities keep records in accordance with Section 28 of Act 663 as amended.

# **MAIN REPORT**

# **2021 NATIONAL PROCUREMENT ASSESSMENT REPORT**

## **1. INTRODUCTION**

As part of its functions, the Public Procurement Authority (PPA) is mandated to periodically assess the conduct of public procurement in Ghana to ensure that it is being done in accordance with the provisions of the Public Procurement Act, 2003 (ACT 663) as amended. The relevant sections of the Public Procurement Act, 2003 (ACT 663) as amended, which support this are quoted here for emphasis:

*Section 3 (d) monitor and supervise public procurement and ensure compliance with statutory requirements; and*

*Section 3 (h) assess the operations of the public procurement processes and submit proposals to the Board for improvement of the processes.*

In fulfilment of these requirements, the Public Procurement Authority carried out an assessment of the procurement activities undertaken by selected Procurement Entities in the year 2021 which is the subject matter of this report.

The Assessment Exercises are conducted one year in arrears. As such even though the data was collected in 2024, it covered the procurement activities of the Entities for the year 2021. The ideal time for the collection of data is at the end of the first quarter of the year following the year under review. This is to allow the Entities to use the first quarter of the current year to put all their records on the procurement activities together to ensure a successful exercise. However, due to the timing of the release of funds, this assessment exercise was undertaken in the last quarter of 2024.

## **2. SELECTION OF ENTITIES**

The Entities for the 2021 Assessment Exercise were selected from six broad groupings which characterize the composition of the public Procurement Entities in Ghana. Seven hundred and eighty-seven (787) Entities were assessed and the number from each category is as follows:

Central Management Agencies/Ministries/Sub-vented Agencies	-	139
Regional Coordinating Councils	-	16
Metropolitan/Municipal/District Assemblies	-	261
State Owned Enterprises	-	38
Tertiary Institutions (including the Colleges of Education)	-	167
Hospitals and Health Institutions	-	161
Financial Institutions	-	5

### **3. METHOD OF ASSESSMENT**

The assessment of the procurement performance of the Entities was done using the Public Procurement Model of Excellence (PPME) Tool.

#### **3.1.0 THE PPME TOOL**

The PPME Tool is a web- and data-based software package which is used to analyse the data collected from the assessed Entities. It generates two main reports, namely:

1. Performance Assessment System (PAS) Report; and
2. Performance Measurement Indicators (PMI) Report.

#### **3.2.0 DATA COLLECTION**

The PPME Tool is an evidence-based tool and uses documentary evidence in the form of data collected from the Entities as the basis for generating its outputs. It has two main formats for the collection of data, which are:

- Evaluation Grid; and
- Contract Data Sheets.

#### **3.2.1 EVALUATION GRID**

The Evaluation Grid is a matrix of rows and columns which sets out the key performance criteria which are to be used for the assessment of the Procurement Entities. This Grid was used to collect data on the conduct of procurement activities from all the Entities. Deploying this same Grid for all the Entities puts them on the same platform for the purposes of comparison. The qualitative data collected is used to generate the Performance Assessment System (PAS) Report.

The Evaluation Grid is made up of nine (9) columns. The information contained in each of these columns is as described in Table 1.

**TABLE 1: COMPONENTS OF THE EVALUATION GRID**

<b>COLUMN NUMBER</b>	<b>COLUMN NAME</b>	<b>COLUMN DESCRIPTION</b>
<b>1</b>	Key Performance Criteria (KPC)	These are qualitative conditions that show how an Entity is operating in terms of carrying out its procurement activities. They are developed from international best procurement and performance management standards which have been adapted to suit the public procurement environment in Ghana. Currently, there are 59 Key Performance Criteria.
<b>2</b>	National Legal Framework	This provides the list of the Documents to which the particular KPC relates. These include: 1. The Public Procurement Act 2003 (Act 663) as amended; 2. The Internal Audit Agency Act 2003 (Act 658); 3. The Public Financial Management Act 2016 (Act 921); 4. The Public Financial Management Regulations 2019, LI 2378;
<b>3</b>	Key Objective	Describes the main aim or intention for each of the key Performance Criteria
<b>4</b>	Evidence	This column gives suggested pieces of documentary evidence that indicate the compliance with the KPC by the Entities.
<b>5</b>	Proof of Evidence	Whiles Column 4 lists pieces of evidence the Assessors are to look out for, Column 5 further guides the Assessor on the Items that the Entity has to show as proof of having complied with the criterion under review. Each proof is assigned a maximum rating that the Assessor may award to show the level of compliance.
<b>6</b>	Total Rating	A Rating system is used to show the Entity's level of achievement with regards to compliance with the Key Performance Criteria. The scores are assigned based on evidence provided by the Entity. The total rating for each criterion is 9.
<b>7</b>	Area/ Purpose of Improvement	This column is for the Assessors to flag those Key Performance Criteria the Entity needs to work on in order to improve the conduct of its procurement activities. Any rating from 0 - 7 must necessarily have an "area of improvement."
<b>8</b>	Level of Priority	This column is linked to the areas of improvement listed in Column 6 by assigning priority levels to the suggested areas of improvement. There are three priority levels viz. HIGH, MEDIUM and LOW.
<b>9</b>	Deadlines	The Deadlines are associated to the Levels of Priority and assign the period of time within which the Entity has to put in measures to address the identified areas of improvement. The deadlines are: "High" which means that the improvement measure must be dealt with within 3 months from the date of the Report. "Medium" which requires improvement in 6 months. "Low" which requires the Entity to correct its shortcomings within 12 months.

A sample of the Evaluation Grid is attached to this Report as Appendix 1.

### 3.2.2 Contract Data Sheet

The Contract Data Sheet are used to capture quantitative data on actual procurement transactions that Entities undertook during 2021, the period under review. Assessors enter the necessary contract details in the fields provided on the Sheet. The PPME Tool generates Performance Measurement Indicators (PMIs) out of the data collected. A sample of the Contracts Data Sheet is attached to this Report as Appendix 2.

### 3.3.0 DATA COLLECTION APPROACH

Data collection was carried out by selected Staff of PPA who had been trained on the use of the Evaluation Grid and the Contract Data Sheets.

#### 3.3.1 Field Data Collection

Data collection was done through actual visits to each of the Procurement Entities by the Assessors. The Entities had been informed in advance of the visits of the Assessors through Advertiser's Announcements placed in the Daily Graphic and Ghanaian Times newspapers (copies attached as Appendix 4) and formal letters from the PPA. The letters explained the essence of the Exercise and what was expected from the Entities in terms of the information to be provided by them. The Entities were also to make available for inspection, all documentation covering their procurement activities undertaken in 2021 to achieve the aim of basing the assessment on DOCUMENTARY evidence. Using the Evaluation Grids, Assessors were tasked to rate the performance of the Entities, on the strength of evidence they had seen, verified and collected. Assessors used the Contracts Data Sheets to collect quantitative data on procurement transactions.

### 3.4.0 DATA ENTRY AND ANALYSIS

This section of the Report describes the entry of the data collected by the Assessors and how the analysis was undertaken.

#### 3.4.1 Data Entry

Data Entry was also seen as an important step in the quality assurance cycle. Therefore, the Data Entry Clerks were equipped not only with the skills of inputting the information brought by the Assessors but were also exposed to the rationale behind the Evaluation Grid and Contracts Data Sheet. This was to enable them to identify

Evaluation Grids that had not been properly completed. Such Grids were verified by the Data Entry Supervisors before being returned to the concerned Assessors for correction and resubmission. The same was done for the Contracts Data Sheets. All these checks were aimed at safeguarding the quality of the data on which the analysis by the PPME Tool was based.

#### 3.4.2 Data Analysis

The PPME Tool was used for the analysis of all the data collected during the field assessments. As stated earlier in the Report, the PPME Tool generates two main Reports. These are:

1. the Qualitative Report, and
2. the Quantitative Report.

The qualitative report is the **PERFORMANCE ASSESSMENT SYSTEM (PAS)** Report while the quantitative report comes in the form of **PERFORMANCE MEASUREMENT INDICATORS (PMI)** Report. The national figures achieved for the Performance Assessment System and Performance Measurement Indicators for 2021 are presented in this Report. The 2021 achievements are compared with the 2020 levels to show whether or not progress has been made in the areas assessed. Figures for the individual Entities will be given in the respective Entity Reports. These are issued to the assessed Entities to show what must be done to improve the conduct of their procurement activities.

##### 3.4.2.1 Performance Assessment System (PAS) Report

The Performance Assessment System looks at the importance Entities attach to their procurement activities through the expected deployment of qualified personnel to man their Procurement Units as well as putting out their procurement related information in such a form as to ensure the receipt of good responses from well-informed Providers. It also checks if the contracts resulting from the procurement processes are properly managed. The PAS Report presents the national average scores of the procurement performance of all the Entities assessed. It brings out the strong points as well as the areas that need to be improved on to ensure that public procurement is carried out properly in Ghana.



There are Four (4) main areas under the Performance Assessment System. These are:

1. Management Systems;
2. Information and Communication;
3. Procurement Process; and
4. Contract Management.

Each of these also has sub-categories which contribute to the results achieved. The sub-categories are:

**1. Management Systems**

- Leadership
- Human Resources
- Monitoring and Control System
- Ethics and Compliance with Regulatory Framework
- Complaints, Appeals and Dispute Mechanism

**2. Information and Communication**

- Information
- Market Place
- Data Analysis

**3. Procurement Process**

- Procurement Planning
- Notice
- Preparation of Tender Documents
- Invitation to Tender
- Submission of Tender
- Tender Opening
- Tender Evaluation
- Contract Award

**4. Contract Management**

- Planning and Mobilization
- Implementation
- Supervision
- Inspection
- Inventory Control and Disposal
- Reporting

### **3.4.2.2 Performance Measurement Indicators (PMI) Report**

The quantitative report generated from the information collected using the Contracts Data Sheets by the PPME Tool is the Performance Measurement Indicators (PMI)

Report. The PMIs are quantifiable indicators that show how well the Entities are performing in relation to eleven (11) critical factors that cover their procurement processes and contract management practices. Based on the levels of achievement, the Entities can gauge whether they are meeting the set targets or have to put in the necessary corrective measures to address shortcomings identified in the previous assessment exercises.

This Report presents the national average scores for each of the procurement compliance/performance indicators. As in the case of the Performance Assessment System, the PPME Tool generates a PMI report for each of the assessed Entities.

The eleven (11) Indicators for which results are generated by the PPME Tool are:

- Advertisement of Tender Opportunities
- Publication of Contract Awards
- Time for Tender Invitation and Opening
- Tenderer Participation
- Responsive Tenders
- Method of Procurement
- Tender Processing Lead-time
- Cancelled Tendering procedures
- Protests
- Resolution of Contract Disputes
- Contract Completion

#### **4. FINDINGS AND DISCUSSIONS**

The findings of the 2021 Assessment Exercise are presented in this section and will be done under the headings of:

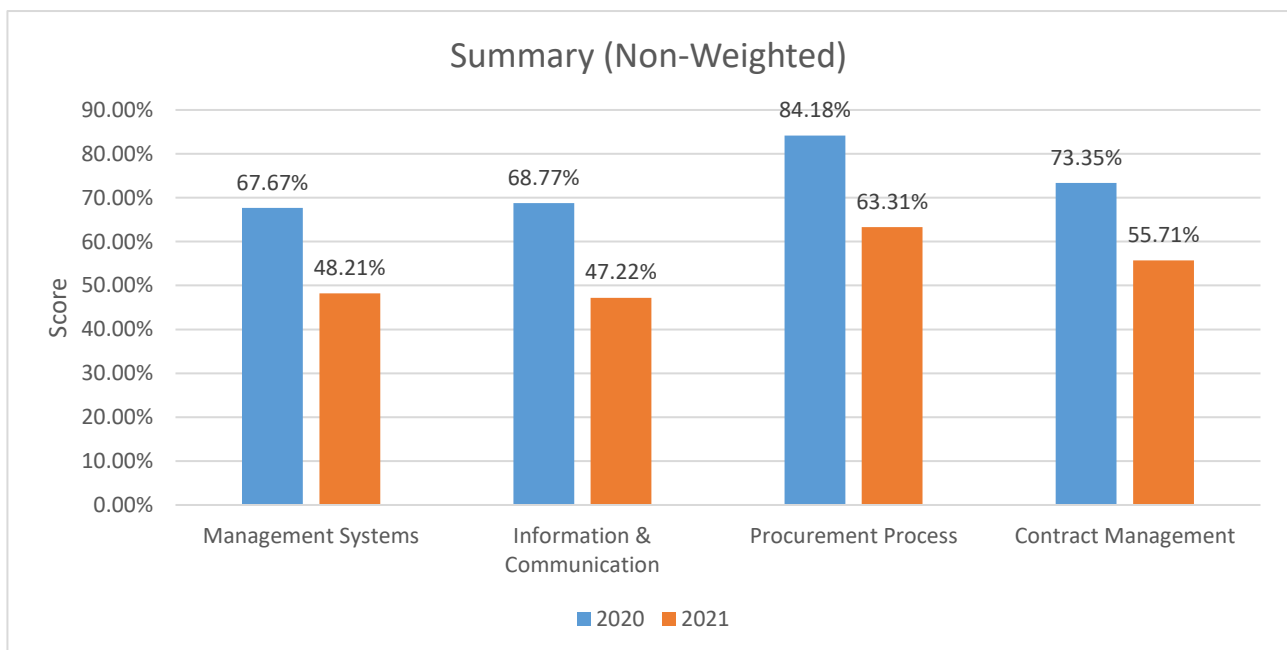
- the Performance Assessment System, and
- the Performance Measurement Indicators.

The performance levels achieved in the 2021 Assessment Exercise are compared to those of 2020. The necessary commentary will be made to contextualize the progress or otherwise made in each category.

#### 4.1 Performance Assessment System Report

The Performance Assessment System Report aggregates the scores of all the assessed Entities to give the overall national performance level. As explained in Section 3.4.2.1, the Performance Assessment System has four (4) categories and the findings are presented under those headings. Chart 1 is a graphical presentation of the National scores for 2021 achieved for each of the four categories under the Performance Assessment System set against those for 2020. The Chart shows that, in 2021, there was a decline in all the four categories compared to 2020 indicating that overall progress was not made in the conduct of public procurement in Ghana. The scores for each of the categories are discussed under the respective headings in the ensuing Sections alongside the scores of their respective sub-categories as the Report looks at the National performance into greater detail.

**CHART 1: NATIONAL ACHIEVEMENTS FOR THE PERFORMANCE ASSESSMENT SYSTEM**

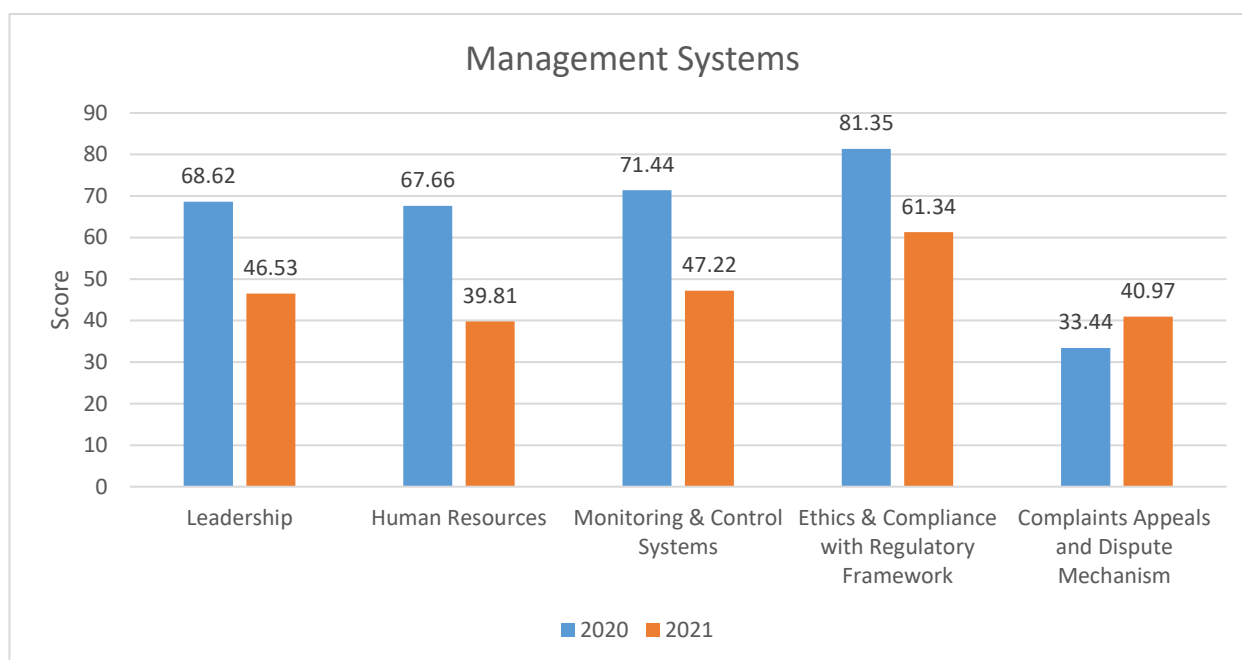


##### 4.1.1 Management Systems

The Management Systems Category looked at the extent of support provided by the Management of Entities in the establishment of the necessary structures to ensure the proper handling of the procurement activities in the Entities. Additionally, this category looked at the deployment of properly qualified Procurement Officers with enough supporting personnel as well as adequate resources to undertake the procurement activities. The existence of a framework for the handling of procurement related disputes and complaints was also examined. The overall score in 2021 for this Category was 48.21% compared to 67.67% for 2020 which is a decline in the level of Management support for the procurement activities of the Entities.

Chart 2 shows the levels of achievement for each of the sub-categories under Management Systems.

**CHART 2: COMPONENTS OF THE MANAGEMENT SYSTEMS**



Though most of the Entities had Procurement Units which were generally functional, the Procurement Officers mostly had academic qualifications in Procurement and Supply Chain but lacked the appropriate professional qualifications. Some of the Procurement Officers did not attend procurement training programmes. There was evidence that some Entities had no capacity development programmes for the Procurement Staff and training programmes for Internal Auditors to improve their knowledge base in procurement.

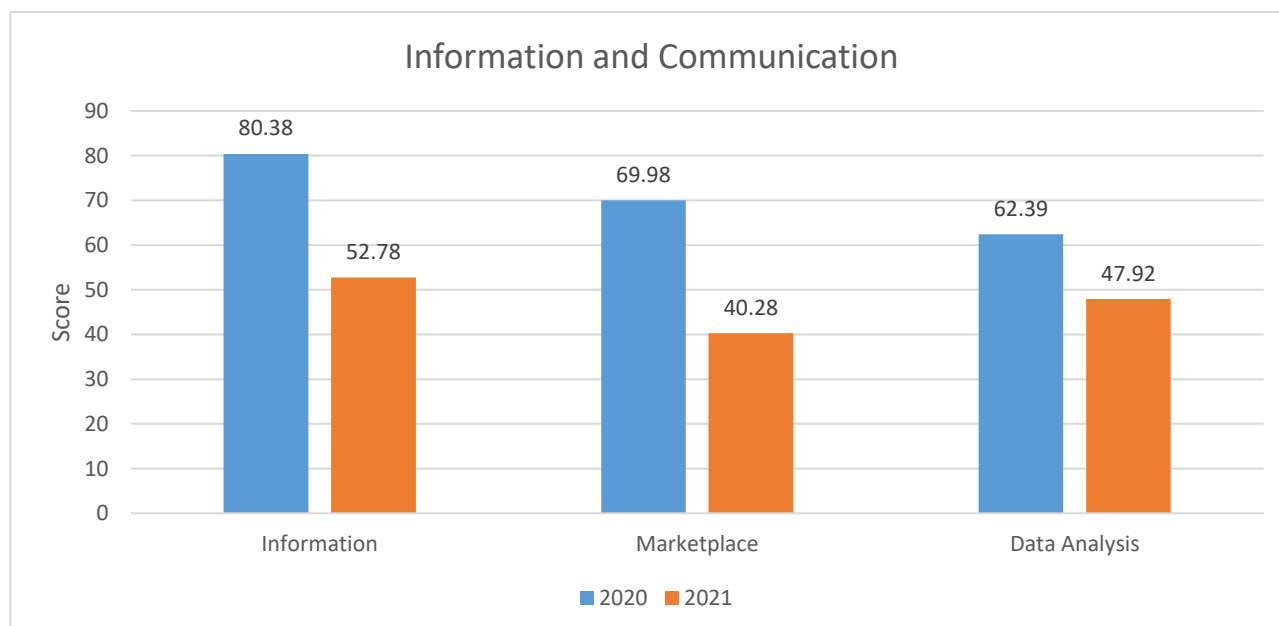
Handling of complaints and appeals was a problem as evidenced by the score of 40.97% in 2021 compared to the 2020 score of 33.44% which shows an improvement in performance. However, some Entities did not have structures in place to handle Complaints and Disputes when such issues come up. Incidentally, this was the only sub-category which recorded an improvement in performance in 2021. Most of the Entities ascribed their performance to the fact that there were more complaints received in 2021 than in 2020.

#### **4.1.2 Information and Communication**

The capacity of Entities to give out and receive information in the right format is the main focus of the Information and Communication Category. The Category also reviewed their ability to make use of the information they received, especially those relating to the structure and quality of the supply market and how they used such information to improve the ability of Providers to meet their procurement needs. The Entities were to show evidence of undertaking capacity development initiatives such as knowing their Providers and exposing them to the specific needs of the Entities and helping them to properly put their responses or tenders together. All these were aimed at assessing the initiatives put in place to make the Providers more responsive

to the needs of the Entities and ultimately improve the overall conduct of public procurement in Ghana. The overall score for 2021 was 47.22% compared to 68.77% achieved in 2020.

### **CHART 3: INFORMATION AND COMMUNICATION**



There was a decline in the performance levels for all the three (3) sub-indicators. The Entities did not have the capacity, to encourage the Providers to participate in the specialized training workshops organized by the PPA for Consultants, Contractors and Suppliers to acquire the necessary skill to enable them respond properly to the needs of the Entities.

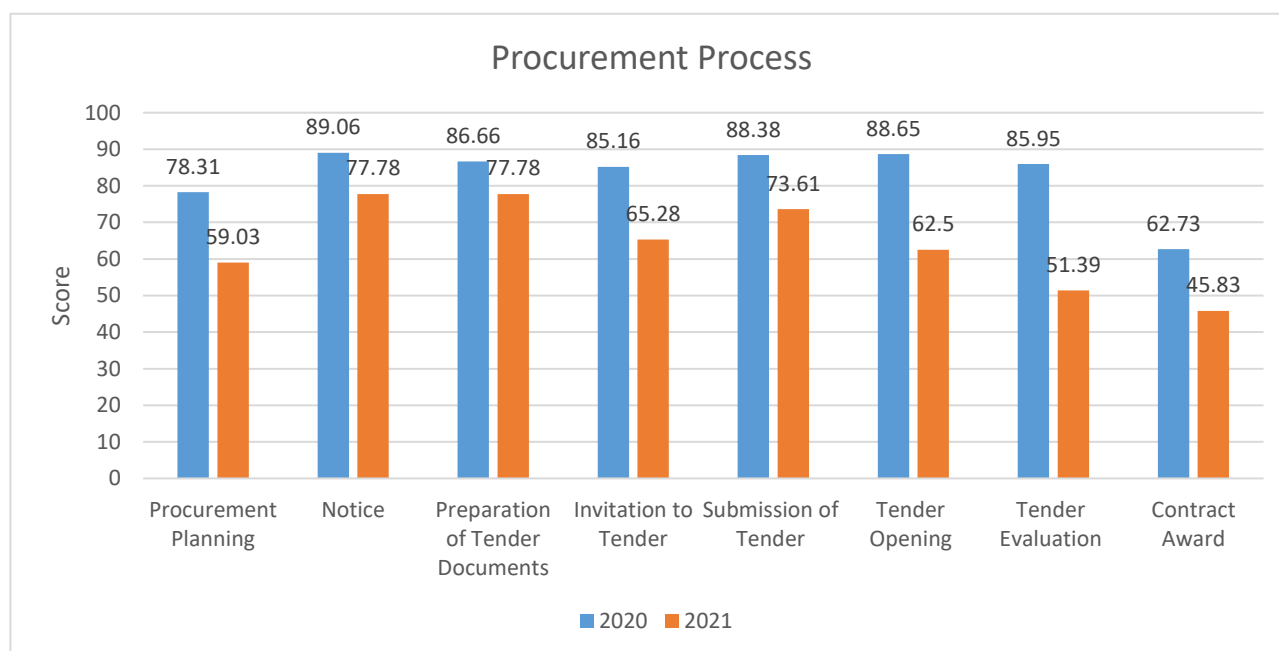
Some of the Entities did not use the PPA website or their internal notice boards in the dissemination of procurement information. The score of 40.28% for the Marketplace sub-category in 2021 indicates that there is the need for further improvement in the interaction with the Providers as a means to making them more responsive to the requirement of the Entities.

#### **4.1.3 Procurement Process**

The Procurement Process Category sought information on the Entities' knowledge of the Procurement Cycle and how they were conducting their activities at each stage. The handling of each stage of the Procurement Cycle is of utmost importance to the success or otherwise of any procurement transaction. Entities were to show that they had planned their procurement activities and that whatever they had procured was from their Procurement Plans for 2021. Tender notices were expected to be issued in accordance with the requirements associated with the procurement methods in their Procurement Plans which should have been posted on the PPA website. Evidence on the fair and transparent conduct of the procurement activities were sought for in addition. It was important that not only were the winners of tenders notified of contract awards, but the losers too were also to be informed of the outcome of the tendering processes.

The overall score for the Procurement Process in 2021 was 63.31% compared to 84.18% in 2020. Chart 4 shows that there was an overall decline for all the components under this category relative to the 2020 scores.

**CHART 4: PROCUREMENT PROCESS**



The score of 45.83% for the Contract Award sub-category which is lower than the 2020 score of 62.73% shows that it needs to be worked on, as Entities were failing to inform the unsuccessful tenderers of the outcomes of the tender processes and post notices of contracts awarded on the PPA website.

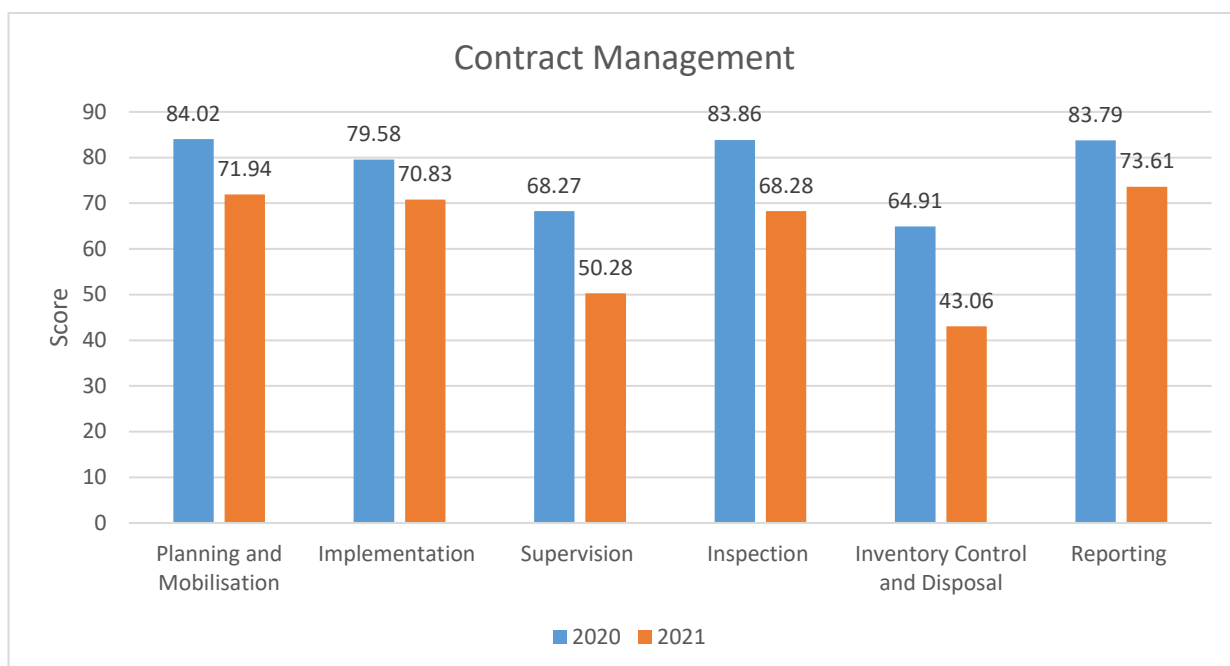
Some Entities did not also post their Procurement Plans and notice of tenders on PPA website and did not inform unsuccessful tenderers on tender outcome.

#### **4.1.4 Contract Management**

This Category measured how Entities follow through the execution of the contracts they award. This very critical Category was often ignored as the procurement process was erroneously perceived to have ended once the contract was signed and so Entities were paying very little attention to Contract Management/Administration. The Entities were to demonstrate their appreciation of contract execution from the planning and mobilisation stage through implementation and supervision to contract closure or disposal stages. The Entities were to show evidence of all the Reports that were required to be issued at each of these stages.

In 2021, the overall score was 55.71% for this Category compared with 73.35% in 2020.

**CHART 5: CONTRACT MANAGEMENT**



From Chart 5, there was a decline in all the performance levels for the sub-categories those for Supervision and Inventory Control and Disposal were considerably low and not at par with the others. Entities had issues with their commitment to ensuring that the Providers completed their contracts on time. Stores management was an issue with the Entities as records were not properly kept on the movement of items from the Stores.

### 4.3.0 PERFORMANCE MEASUREMENT INDICATORS (PMI)

There are 11 Performance Measurement Indicators (PMIs). These indicators provide the means of measuring the performance of the activities they cover. Findings and Discussions will be done under the headings or names of the various indicators. The scores for 2021 are shown in Table 2 and compared with those for 2020.

**TABLE 2: PERFORMANCE MEASUREMENT INDICATORS FOR 2021 COMPARED TO 2020**

INDICATOR	METRICS	CRITERIA	RESULTS	
			2021	2020
1. Advertisement of Tender Opportunities	a) % of open tendering procedures publicly advertised	Percentage	<b>97.96%</b>	<b>97.02%</b>
	b) % of open tendering procedures opened publicly and recorded	Percentage	<b>94.62%</b>	<b>95.35%</b>
2. Publication of Awards	% of contracts awards published	Percentage	<b>13.04%</b>	<b>10.66%</b>
3. Time for tender invitation and opening	Average number of days between invitation to tender and tender opening	Number	<b>16 DAYS</b>	<b>17 DAYS</b>
4. Tenderer Participation	Average number of Tenderers per notice	Number	<b>7</b>	<b>6</b>
5. Responsive tenders	% of responsive tenders per notice	Percentage	<b>94.78%</b>	<b>92.67%</b>
6. Method of Procurement	% of tenders using each of the procurement methods	INTERNATIONAL COMPETITIVE TENDERING	<b>0.10%</b>	<b>0.05%</b>
		RESTRICTED TENDERING	<b>2.19%</b>	<b>2.87%</b>
		SINGLE SOURCE	<b>3.90%</b>	<b>4.89%</b>
		NATIONAL COMPETITIVE TENDERING	<b>17.74%</b>	<b>27.62%</b>
		PRICE QUOTATION	<b>74.31%</b>	<b>62.97%</b>
		LOW/MINOR VALUE PROCUREMENT	<b>1.75%</b>	<b>1.60%</b>
7. Tender Processing lead-time	Average number of days between tender opening and contract award	Number	<b>33 DAYS</b>	<b>27 DAYS</b>
8. Cancelled tendering Procedures	% of tendering procedures cancelled per the provisions of ACT 663 as amended.	Percentage	<b>-</b>	<b>-</b>
9. Protests	a) Tendering procedures with protests	Number	<b>305</b>	<b>20</b>
	b) % Protests resolved	Percentage	<b>20%</b>	<b>35%</b>
10. Resolution of Contract Disputes	a) Contracts with disputes	Number	<b>75</b>	<b>23</b>
	b) % of contracts with resolved disputes	Percentage	<b>-</b>	<b>-</b>
11. Contract Completion	a) % of contracts completed fully with acceptable performance	Percentage	<b>95.81%</b>	<b>94.95%</b>
	b) % of contracts with completion reports	Percentage	<b>82.98%</b>	<b>92.45%</b>



KEY: <b>I. C. T.</b>	- INTERNATIONAL COMPETITIVE TENDER
<b>N. C. T.</b>	- NATIONAL COMPETITIVE TENDER
<b>L/MVP</b>	- LOW/MINOR VALUE PROCUREMENT

### **PMI 1: Advertisement of Tender Opportunities**

The Public Procurement Act 2003 (Act 663) as amended, in Section 47, enjoins that the notices for National Competitive Tenders (NCT) and International Competitive Tenders (ICT) which are open competitive methods, should be advertised publicly. The notices shall be published in at least ONE (1) daily newspaper of wide national circulation and the PPA website. The invitation may also be published in a newspaper, relevant trade publication, technical or professional journal of wide international circulation. Furthermore, the tenders were required to be opened publicly with signed records of all the read-out information.

97.96% of all tenders for NCT and ICT were advertised as required in 2021 compared to 97.02% in 2020. Additionally, 94.62% were opened publicly in 2021 compared with 95.35% in 2020. This is the result of the Entities failing to fully comply with the requirement of advertising tenders on BOTH the PPA website and a newspaper of wide national circulation.

### **PMI 2: Publication of Awards**

Section 31 (1) of Act 663 as amended, requires Entities to publish notices of procurement contract awards on the PPA website.

In 2021, 13.04% of the tenders posted on the PPA website had notices for contracts awarded as compared to 10.66% in 2020. Entities are not complying with this requirement of Act 663 as amended.

### **PMI 3: Time for Tender Invitation and Opening**

This is the time the tenderers are allowed to put together their tenders. It is measured as the difference between the date the tender notice first appeared in the newspaper and the date of the tender opening.

The average time given to Tenderers, irrespective of the procurement method used, in 2021 was 16 days and 17 days in 2020. This is more than the minimum period of 14 days required for National Competitive Tendering. PMI 6 shows that Price Quotation, which requires a minimum of 7 days, was the predominant method of procurement for both years. Thus, the Entities, on the average, gave the Tenderers enough time to submit their tenders.

### **PMI 4: Tenderer Participation**

This indicator records the level of responses Entities receive to their tender notices. This is a measure of the responsiveness of the marketplace to meet the needs of the Entities.

An average of 7 Tenderers responded to each tender notice in 2021 compared to 6 in 2020. This is more than the minimum of 3 tenders needed to guarantee effective competitive tendering based on the predominant procurement method in 2021.

#### **PMI 5: Responsive Tenders**

This indicator gives a measure of the ratio of responsive tenders that are received for each tender notice put out by the Entities.

In 2020, an average of 92.67% of tenders received were responsive to the requirements of the Entities which increased to 94.78% in 2021. Applying this ratio to the average number of tenders received shows that for each tender notice, approximately all seven (7) tenderers recorded in 2021 as shown in PMI 4 were responsive thus making the overall tendering process in 2021 competitively conducted.

#### **PMI 6: Method of Procurement**

This indicator showed the ratio of each of the recognised procurement methods bore to the number of tenders captured in the 2021 Assessment Exercise. The breakdown, shown in Table 3, gives the ratios based on the total number of tenders put out in 2021 and shows that Price Quotation was the predominant procurement method as it was in 2020.

**TABLE 3: PROCUREMENT METHODS BASED ON THE TOTAL NUMBER OF TENDERS**

PROCUREMENT METHOD	PERCENTAGE	
	2021	2020
INTERNATIONAL COMPETITIVE TENDER	<b>0.10%</b>	<b>0.05%</b>
RESTRICTED TENDER	<b>2.19%</b>	<b>2.87%</b>
SINGLE SOURCE	<b>3.90%</b>	<b>4.89%</b>
NATIONAL COMPETITIVE TENDER	<b>17.74%</b>	<b>27.62%</b>
PRICE QUOTATION	<b>74.31%</b>	<b>62.97%</b>
LOW/MINOR VALUE PROCUREMENT	<b>1.75%</b>	<b>1.60%</b>

In terms of the values of the transactions captured, Table 4 gives the distributions per procurement method and shows the Single Source Method as the predominant method of procurement in 2021 compared to 2020 which had the National Competitive Tendering as the predominant method. This shows that the Non-Competitive method was the preferred procurement route in 2021. Though the Single Source Method was the most used in terms of value in 2021, it was observed that the score of 46.58% in 2021 was less than 50% of the competitive methods. Additionally, the Open Competition was the preferred method in 2020.

**TABLE 4: DISTRIBUTION OF PROCUREMENT METHODS BASED ON TENDER VALUES**

PROCUREMENT METHOD	PERCENTAGE	
	2021	2020
INTERNATIONAL COMPETITIVE TENDER	0.93%	0.01%
RESTRICTED TENDER	23.81%	9.51%
SINGLE SOURCE	46.58%	32.58%
NATIONAL COMPETITIVE TENDER	21.85%	45.70%
PRICE QUOTATION	6.79%	11.03%
LOW/MINOR VALUE PROCUREMENT	0.03%	1.17%

**PMI 7: Tender Processing Lead-Time**

This is the time period between the date of tender opening and the date of contract award. This period covers the period for evaluation, the period for seeking approvals and the signing of the contract.

The turnaround time increased from the 2020 figure of twenty-seven (27) to thirty-three (33) days in 2021. This is an indication of a delay in the delivery of the processes leading to the award of contracts from the invitation of tenders.

**PMI 8: Cancelled Tendering Procedure**

This indicator looks at the number of tendering procedures that were cancelled by the Entities. There was no record of cancelled tenders in 2020 and 2021.

**PMI 9: Protests**

This indicator captures the number of protests received and the ratio resolved. Three hundred and five tendering procedures had protest recorded compared to the 2020 score of twenty (20) tenders. The ratio of cases resolved satisfactorily also decreased from 35% in 2020 to 20% in 2021.

**PMI 10: Contract Dispute Resolution**

This indicator shows the number of contracts with disputes and how many of them were resolved using the provisions of the conditions of contract.

Twenty-three (23) contracts had disputes in 2020 compared to seventy-five (75) contracts in 2021. However, there was no evidence recorded of any of them being resolved in the year under review.

**PMI 11: Completion Rate**

The timely and acceptable completion of projects is measured by this indicator.

In 2020, 94.95% of contracts were completed with acceptable performance compared with 95.81% in 2021 and 82.98% had completion reports indicating a decrease over the 2020 score of 92.45%

## **5. LESSONS LEARNT**

The Assessors had a meeting with all the representatives of the Entities in a “conference” or group setting. Entities broadly cooperated with the Assessors in the provision of the required data.

It must however be noted that in nearly all the Entities, the Assessors met mostly the Procurement Officers with a few management staff present. The only exception to this was with the Metropolitan/Municipal/District Assemblies where either the Chief Executive or the Coordinating Directors were always present.

The ease with which information was retrieved was a major concern as the Entities had not significantly improved on their record keeping regimes. This made the period for data collection longer than planned.

## **6. CONCLUSION**

As in all previous assessment exercises, the Public Procurement Model of Excellence (PPME) Tool was used to analyse the data collected in 2021 from 787 Entities. These Entities covered the low to high spend spectrum throughout the Country. This gave the data the national characteristic making the results reflect the national levels of compliance with the requirements of the Public Procurement Act, 2003 (Act 663) as amended.

All the factors used in the Assessment Exercise showed that nationally, in 2021 there had been an overall decline in the conduct of public procurement relative to 2020.

## 7. RECOMMENDATIONS

There had been an overall decline in the conduct of the procurement activities and measures need to be put in place to improve on performance on a sustainable basis.

These recommendations are therefore made with the aim of improving on the performance of the 2021 Assessment Exercise:

1. Entities should encourage their staff involved in procurement, viz. Procurement Officers and Engineers to acquire appropriate professional procurement or allied skills and qualifications.
2. The training of the Procurement staff and Internal Auditors should be expanded to include training on Contract Management, Standardized Procurement Audit Framework and Sustainable Public Procurement (SPP).
3. Entities should engage Contract Administrators to effectively supervise contracts awarded.
4. As a matter of urgency, PPA should include slots in all Training Programmes for instructing Entities on how to post notices of contracts awarded on the PPA website. This will ensure that Entities become more transparent with the contract awards and also inform the Tenderers on the outcomes of tenders they participated in.
5. The results of the 2021 Assessment Exercise showed there were challenges associated with the handling of procurement related disputes and complaints. Entities should be trained on dispute resolutions and put structures in place to resolve issues when they occur.
6. As part of PPA's training programmes, there should always be practical sessions on how to post tender notices on PPA website.
7. PPA should ensure that all Entities post their Procurement Plans on PPA website.
8. Entities should interact and also train the private Sector and Service Providers on how to effectively respond to tender invitations.
9. PPA should ensure that Entities keep records in accordance with Section 28 of Act 663 as amended.

## **APPENDIX 1 – METHODS OF PROCUREMENT 2012 – 2020**

<b>DISTRIBUTION OF PROCUREMENT METHODS BASED ON TENDER VALUES</b>											
<b>METHOD OF PROCUREMENT</b>		<b>% OF TENDERS USING EACH OF THE PROCUREMENT METHODS</b>									
		<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>
	<b>INTERNATIONAL COMPETITIVE TENDER</b>	<b>10.30%</b>	<b>0.27%</b>	<b>0.89%</b>	<b>0.1%</b>	<b>0.98%</b>	<b>0.53%</b>	<b>0.03%</b>	<b>0.02%</b>	<b>0.01%</b>	<b>0.93%</b>
	<b>RESTRICTED TENDERING</b>	<b>47.55%</b>	<b>19.65%</b>	<b>31.07%</b>	<b>9.19%</b>	<b>51.62%</b>	<b>30.26%</b>	<b>27.45%</b>	<b>46.1%</b>	<b>9.51%</b>	<b>23.81%</b>
	<b>SINGLE SOURCE</b>	<b>4.44%</b>	<b>39.90%</b>	<b>19.93%</b>	<b>10.37%</b>	<b>8.13%</b>	<b>19.6%</b>	<b>3.79%</b>	<b>6.51%</b>	<b>32.58%</b>	<b>46.58%</b>
	<b>NATIONAL COMPETITIVE TENDER</b>	<b>30.07%</b>	<b>34.44%</b>	<b>45.48%</b>	<b>67.16%</b>	<b>31.52%</b>	<b>34.09%</b>	<b>61.64%</b>	<b>38.95%</b>	<b>45.7%</b>	<b>21.85%</b>
	<b>PRICE QUOTATION</b>	<b>7.51%</b>	<b>5.64%</b>	<b>2.29%</b>	<b>11.77%</b>	<b>3.28%</b>	<b>15.16%</b>	<b>6.44%</b>	<b>8.05%</b>	<b>11.03%</b>	<b>6.79%</b>
	<b>LOW/MINOR VALUE PROCUREMENT</b>	<b>0.12%</b>	<b>0.10%</b>	<b>0.34%</b>	<b>0.13%</b>	<b>4.47%</b>	<b>0.36%</b>	<b>0.65%</b>	<b>0.37%</b>	<b>1.17%</b>	<b>0.03%</b>

<b>DISTRIBUTION OF PROCUREMENT METHODS BASED ON THE TOTAL NUMBER OF TENDERS</b>											
<b>METHOD OF PROCUREMENT</b>		<b>% OF TENDERS USING EACH OF THE PROCUREMENT METHODS</b>									
		<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>
	<b>INTERNATIONAL COMPETITIVE TENDER</b>	<b>0.15%</b>	<b>0.07%</b>	<b>0.09%</b>	<b>1.22%</b>	<b>0.17%</b>	<b>0.12%</b>	<b>0.21%</b>	<b>0.29%</b>	<b>0.05%</b>	<b>0.1%</b>
	<b>RESTRICTED TENDERING</b>	<b>4.16%</b>	<b>2.85%</b>	<b>4.32%</b>	<b>3.46%</b>	<b>4.81%</b>	<b>3.72%</b>	<b>4.92%</b>	<b>4.13%</b>	<b>2.87%</b>	<b>2.19%</b>
	<b>SINGLE SOURCE</b>	<b>1.01%</b>	<b>1.71%</b>	<b>2.23%</b>	<b>2.72%</b>	<b>3.42%</b>	<b>1.53%</b>	<b>1.78%</b>	<b>2.74%</b>	<b>4.89%</b>	<b>3.9%</b>
	<b>NATIONAL COMPETITIVE TENDER</b>	<b>25.68%</b>	<b>24.13%</b>	<b>35.02%</b>	<b>39.45%</b>	<b>39.37%</b>	<b>23.17%</b>	<b>30.95%</b>	<b>32.01%</b>	<b>27.62%</b>	<b>17.74%</b>
	<b>PRICE QUOTATION</b>	<b>66.45%</b>	<b>66.45%</b>	<b>55.66%</b>	<b>52.76%</b>	<b>49.79%</b>	<b>69.52%</b>	<b>60.46%</b>	<b>58.79%</b>	<b>62.69%</b>	<b>74.31%</b>
	<b>LOW/MINOR VALUE PROCUREMENT</b>	<b>2.55%</b>	<b>4.90%</b>	<b>2.68%</b>	<b>1.5%</b>	<b>2.43%</b>	<b>1.94%</b>	<b>1.68%</b>	<b>2.04%</b>	<b>1.65%</b>	<b>1.75%</b>

## **APPENDIX 2 – EVALUATION GRID**



KEY PERFORMANCE CRITERIA (KPC)	Key Objective	Evidence	Proof of Evidence	sub ratings	Total Rating	Area of Improvement	Level of Priority
<b>MANAGEMENT SYSTEMS</b>							
<b>1A - Leadership</b>							
1A1 - Procurement Entity responds to the required training advice to develop sustainable training strategy and capacity to manage their procurement operations	Capacity Development Strategy	- Staff Training Programme - Training Unit/Providers Evaluation Report	Entity has a training programme (3)  Entity Implements training programme(4)  Entity Evaluates training programme(2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
1A2 Procurement Entity appreciates the Sustainable Public Procurement (SPP) policy and management is committed to it.	Increased awareness of SPP policy	SPP Policy Availability	<ul style="list-style-type: none"> <li>• Entity has priority statements on SPP policy (2)</li> <li>• Entity has clear SPP policy initiatives (4)</li> <li>-Entity sets SPP policy initiatives targets (3)</li> </ul>				
1A3 • Procurement Entity develops sustainability strategy in line with sector priorities with resources allocated to them.	Management infusion of sustainability principles in sector priorities or goals	Availability of Sustainability Strategy	<ul style="list-style-type: none"> <li>- Copies of sustainability strategy (4)</li> <li>- Entity has dedicated sustainability function and resources (5)</li> </ul>				

1A4 - Management implementation of procurement reforms based on Internal Audit reports suggesting improvement	Management Compliance & Performance Improvement	<ul style="list-style-type: none"> <li>- Internal Audit Report</li> <li>- Institutional organogramme</li> <li>- Internal Audit procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Copies of Internal Auditor's report(s) (4)</li> <li>• Audit Committee Report (5)</li> </ul>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
1A5 Management complies with procurement audit reports and suggested improvement	Management initiation of procurement reforms based on procurement audit reports	Procurement Audit Report	<b>Has a Procurement Audit been Conducted at the Entity?(YES/NO)</b> Copy of the Procurement Audit Report (3) Management Response to Procurement Audit Report (2) Copy of Implementation plan of Recommendations of Procurement Audit Report (4)				
1A6 - Procurement Entity keeps records for all phases of procurement activities	Good record keeping	Project Files (current/archived)	1. Entity has separate files for every transactions (3) 2. Entity keeps records in accordance with Section 28 of the Public Procurement Act 2003 (Act 663) as amended (2) 3. Ease of retrieving information from files(4)	<input type="checkbox"/> <input type="checkbox"/>			
<b>1B - Human Resources</b>							

1B1 - Procurement Entity ensures that Procurement staff have the required professional procurement qualification and/or competence for the intended role	Professional Procurement Qualification / Competence	- Skills and Competence in Procurement - Professional Procurement Qualification or equivalent	1. Entity has a functional Procurement Unit (6), 2. Entity has a minimum of one qualified Procurement Professional (1) 3. CIPS qualification/ Allied Professional (2)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
1B2 - Procurement Entity ensures a clear career progression for Procurement staff	Motivation and systematic career progression of procurement staff	Institutional Organogramme Procurement Unit Organogramme	Copies of Institutional Organogramme (2) Copies of Procurement Unit Organogramme (5) Copies of promotional letters (2)				
1B3 - Procurement Entity implements programmes to enhance and inform private sector participation in public procurement.	Continuous improvement in procurement capacity of private sector	Frequency of Programme & Programme Documents Reports on training programmes	<b><i>IS PROGRAMME FOR PRIVATE SECTOR ENHANCEMENT IN PLACE (YES / NO)</i></b> Copies of attendance sheet or records of private sector training programme (4) Copies of training modules or materials for private sector training programme (2) Entity undertakes such activities frequently (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			

1B4.Entity builds capacity of staff in Sustainability or Sustainable Public Procurement (SPP) issues.	Development of capacity in Sustainability concepts to support the SPP drive	Staff sponsorship policy on certified SPP training	<ul style="list-style-type: none"> <li>• Certificate of Trained personnel (3)</li> <li>• Details of Institution (2)</li> <li>• Duration of Training (4)</li> </ul>				
1B5 - Procurement Entity has Internal Auditors trained in procurement processes to assist in monitoring compliance	Internal Auditors Trained in Procurement processes	Regular Procurement Training Programmes for Internal Audit Staff	Internal Auditors unit in Place (2) Copies of Training modules for Internal Auditors(3) Copies of attendance sheets or records of training for Internal Auditors in new procurement dimensions (4)	<input type="checkbox"/>  <input type="checkbox"/>			
1B6 - Procurement Entity has a standard procedure to evaluate performance of procurement staff and address capacity development issues	Staff Performance Evaluation	Existence of Standard Job Evaluation Procedures and Staff Appraisal Reports Staff job descriptions	Entity has general standard staff appraisal system (3)  Entity has specific appraisal system for procurement staff (2) Copies of procurement staff annual work plan (2) Copies of appraisal reports available (2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			

<b>Monitoring &amp; Control Systems</b>							
<b>1C</b>							
1C1 - Procurement Entity sets payment periods taking cognisance of the payment procedures of the Ministry of Finance	Effective Payment Systems	Review invoices in line with contract payment terms Interest paid on delayed payments Quarterly Cash Plans related to Contract	1 Commencement certificate/warrant from Ministry of Finance (3) 2. Review of invoices in line with contract payment terms(2)  3. Records of Interest paid on delayed payments (2) 4. Copies of Quarterly Cashflow plans related to contracts (2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
1C2 - Procurement Entity ensures that all contracts are captured in the approved budget and compared with actual contract sum	Effective Contract Cashflow Management Systems	Commencement Certificate Cash Plan and Cash Ceiling Commitment Control Register	All procurement transactions captured from approved budget (3) • Actuals Captured on Procurement Plan (3) Copies of variance analysis done to compare actuals with bugdeted cost(3)	<input type="checkbox"/>  <input type="checkbox"/>			

1C3 Procurement Entity monitors the effective application of SPP in tender procedures and contract administration	Procurement Entity monitors the effective application of SPP in tender procedures and contract administration	Tender and Contract documents	<ul style="list-style-type: none"> <li>• Product Specifications address sustainability criteria (3)</li> <li>• Sustainability criteria used in the selection and evaluation process (3)</li> <li>• Performance clauses on sustainability in contract (3)</li> </ul>				
1C4 - Procurement Entity has defined methods of contract administration responsibilities which include inspection and acceptance procedures and methods to review and issue contract amendments in a timely manner	Contract Administration & Quality Control Mechanism	Check approval of Relevant approving Authorities, Contract Management Proceedings as outlined in conditions of contract - Review and amendments	<p>Contract document clearly indicates contract management procedures with clear cut responsibilities for review &amp; amendments (6)</p> <p>Approvals by relevant approving Authorities (3)</p>	<input type="checkbox"/>  <input type="checkbox"/>			

<b>Ethics and Compliance with Regulatory Framework</b>							
<b>1D</b>							
1D1 - Procurement Entity complies with the applicable regulations of the Public Procurement Act	Application of regulations	Formats and other relevant regulatory documentation on public procurement; Regulatory compliance review report(s)	<p>Appropriate methods used for appropriate thresholds in Procurement Plan (3)</p> <p>Evidence of using methods as stated in Plan (2)</p> <p>Evidence of non-responsive tenderers based on regulatory requirements (2)</p> <p>Evidence of regulatory compliance review conducted (2)</p>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
1D2 Procurement entity uses the Standard Tender Documents and includes SPP criteria in tender documents.	Procurement Entity uses the Standard Tender Documents and applies SPP criteria as appropriate	Tender Documents with adopted SPP criteria	<ul style="list-style-type: none"> <li>• Use of Standard Tender Documents (2)</li> <li>• Evidence of use of SPP Criteria in tender documents(3)</li> </ul> <p>Evidence of tender evaluation using SPP criteria (4)</p>				

1D3 - Procurement Entity applies appropriate procurement methods	Knowledge of Procurement Methods	Procurement Plans, Copies of advertisements for tenders, copies of Letters of Invitation	Evidence of right methods used in procurement plan (4) Copies of advertisements/ Letters of invitation corresponds with methods (5)	<input type="checkbox"/> <input type="checkbox"/>			
1D4 - Procurement Entity seeks approval from the Public Procurement Authority for the use of Restricted Tendering and Single Source procurement methods	Appropriate use of Restricted Tendering and Single Source procurement methods	Evidence of approval from the Public Procurement Authority	<b><i>Has Entity Undertaken Single Source or Restricted Tendering? (Yes/No)</i></b> Evidence of Restricted Tendering and Single Source Method captured in the plan (4) Evidence of approval letters of Single Source and Restricted Tendering from PPA(5)	<input type="checkbox"/>			
1D5 - Procurement Entity ensures that Entity Tender Committees performs their functions as set out in Act 663 as amended.	Effectiveness of the role or function required to be performed by Entity Tender Committees (ETC) as set out in Act 663 as amended	Minutes of ETC meetings Reports and recommendations of ETC	<ul style="list-style-type: none"> <li>• Time table for ETC meetings (1)</li> <li>• Evidence of recommendations conforming with the evaluation report (4)</li> <li>Minutes of ETC meetings (3)</li> <li>• Evidence of evaluation report duly signed by evaluation panel members (1)</li> </ul>				



1D6 - Procurement Entity ensures the inclusion of anticorruption provisions regarding conflict of interest, unethical behaviour, etc. in tender and contract documents	Anticorruption Measures Enforced	Copy of Code of Conduct for the Public Service and other anti-corruption documentation issued for use within the Public Service	Use of Standard Tender Documents issued by PPA (3)  Contract Data Sheets with specific anti-corruption provisions (3)  Tender Data Sheets with specific anti-corruption provisions (3)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
<b>Complaints, Appeals and Dispute Mechanism</b>							
<b>1E</b>							
1E1 - Procurement Entity handles complaints relating to procurements appropriately	Fair and Transparent Complaint and Remedy procedures	- list of complaints received - Complaints and Appeal Procedure - Records of complaints and subsequent resolution sent to all parties, - Minutes of meetings, reports etc.	<b>HAS ANY COMPLAINTS BEEN RECEIVED? (YES/NO)</b> Appeals procedures in place (3) List of complaints received (1) Evidence of records of complaints & subsequent resolutions sent to all parties (3) Minutes/reports of meetings (2)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			

1E2 - Procurement Entity has the capacity to handle lodged complaints and enforce decisions in a fair, efficient and transparent manner	Management Capacity to handle complaints	-Complaints lodged and timely treated/resolved - Enforcement mechanism - Decisions Report	Complaints lodged are timely treated/resolved(4)  Decisions taken to resolve complaints/appeals are enforced (3)  Decisions are communicated to all parties timely (2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
1E3 - Procurement Entity makes public the decisions on complaints	Scrutiny by general public	Report on Decisions Copies of Publications	Evidence of reporting on decisions especially to concerned parties (5)  • Decisions advertised publicly on Entity's Notice Boards, PPA's website etc (4)	<input type="checkbox"/>  <input type="checkbox"/>			
1E4 - Dispute resolution procedures exists and provide for an efficient and fair process to resolve disagreements amicably as well as to enforce the outcomes	Dispute Resolution Mechanism	- Dispute Resolution framework - Clauses in Contract Documents - Dispute resolution file	<b>HAVE THERE BEEN DISPUTES RELATING TO CONTRACT ADMINISTRATION? (YES/NO)</b> Dispute Resolution Framework exist (4) Clauses in contract documents are clear on disputes resolution (3) Disputes resolution file available (2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
<b>INFORMATION &amp; COMMUNICATION</b>							

<b>Information</b>							
<b>2A</b>							
2A1 - Procurement Entity makes use of available systems for timely dissemination of procurement information	Effectiveness in publication of procurement information	- Publication of advertisements - Tender and Contract award notices - Database of PPA, - Use of PPA's Website, etc	Use of PPA's Procurement Bulletin & Website (3)Use of newspaper advertisements / Letters of Price Quotation (4)Use of Internal Notice Boards (2)	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>			
<b>Marketplace</b>							
<b>2B</b>							

2B1 - Procurement Entity engages in frequent interactions with the Private Sector to improve their competitiveness and responsiveness and to promote sustainable products, works and service.	Knowledge of Marketplace	<ul style="list-style-type: none"> <li>- Programmes for interactions - training/workshop s/seminars for private sector</li> <li>- records of interactions</li> <li>- Criteria for sourcing for potential suppliers</li> <li>-Response from potential Tenderers to invitation to tender</li> <li>- Databases of registered consultants, contractors and suppliers on past and current performance</li> </ul>	<ul style="list-style-type: none"> <li>- Copies of attendance sheets or minutes of interactions with stakeholders (2)</li> <li>- Internal Database for : Suppliers/Contractors/Consultants (2)</li> <li>- Use of Supplier Database on PPA website (2)</li> <li>Copies of materials price lists or services cost or historical costs of works (3)</li> </ul>	<input type="checkbox"/>  <input type="checkbox"/>  <input type="checkbox"/>				
<b>Data Management</b>								
<b>2C</b>								
2C1 - Procurement Entity has a mechanism to ensure data quality, reliability and validity.	Promotion of data quality	<ul style="list-style-type: none"> <li>Availability of data quality policy</li> <li>Availability of data quality check procedure</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of random data quality checks (4)</li> <li>Copies of verified and validated data (5)</li> </ul>	<input type="checkbox"/>  <input type="checkbox"/>				

2C2 - Procurement Entity has a system to collect data related to performance of Consultants/Contractors/Suppliers and uses it to improve their performance.	Performance Data Collection System	- Data Recording System - procurement Monitoring Report - Project Files	Evidence of data collection system in place (1) Evidence of using data to do analysis to assess performance (2) Evidence of reporting on performance (3) Evidence of discussions of performance with Consultants/Contractors/Suppliers (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>PROCUREMENT PROCESS</b>							
<b>Procurement Planning</b>							
<b>3A</b>							
3A1 - Well defined Procurement Plan linked to the budget formulation process based on multi-year framework	MTEF Link to Procurement Plan	- Budget Document (Medium Term Expenditure Framework MTEF) - Procurement Plan	Copy of Annual Budget (4) - • Procurement Plan posted on PPA's Website (5)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
3A2 - Total value of planned packages against total value of executed packages in the Procurement Plan for the year	To ascertain the degree of adherence to the procurement plan.	Procurement plan Project files and records	Total number of procurement packages in the Procurement Plan for the year (2) Total number of actual packages executed as planned (3) Total value of procurement packages in the Procurement Plan for the year (2) Total value of actual packages executed as planned (2)				

<b>Notice</b>							
<b>3B</b>							
3B1 - Publication of notices are mandatory and publicly advertised in a timely manner according to respective procurement methods and thresholds, where applicable	Mandatory and Timely Publication of Notices	<ul style="list-style-type: none"> <li>- Publication of Notices in Procurement Bulletin</li> <li>- Advertisements in Newspapers of wide national and or international circulation</li> <li>- Advertisement on PPA's website</li> </ul>	<b>HAS ENTITY USED NCT/ICT BEFORE? (YES/NO)</b> Copies of Advertisements (3) Advertisements according to Procurement Plan (3) Advertisements posted on PPA's website (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>Preparation of Tender Documents</b>							
<b>3C</b>							
3C1 - Tender documents contain clear scope of work/services, neutral technical specifications and conditions (e.g. eligibility, evaluation criteria, etc.) to enable Tenderers to respond adequately	Clear & Objective Tender Documents	<ul style="list-style-type: none"> <li>- Tender Documents - Specifications (with no reference to a particular brand names, trademarks, etc.)</li> <li>- Terms of Reference</li> </ul>	Tender documents/Terms of reference based on PPA's Standard Tender Documents (4) Technical Specifications do not include brand names, trademarks, etc (5)	<input type="checkbox"/> <input type="checkbox"/>			
<b>Invitation to Tender</b>							
<b>3D</b>							

3D1 - Fair, transparent and non-discriminatory rules apply for the selection of Tenderers	Fair and Transparent selection criteria applied for qualification	Sample of tender documents - Prequalification dossiers - Requests for quotations/proposals - Invitation to Tender - etc.	• Subject Matter of Invitation to Tender conforms with contents of sample Invitations in the appropriate Standard Tender Document or Request for Proposal (9)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
3D2 - Procurement Entity ensures that Tender Specifications contain sustainability criteria	Promotion of sustainable purchases	Specification documents	• Specifications conform to the appropriate standards/label (4) • Specification clearly outlining sustainability requirements in the tender document (5)				
3D3 - Appropriate Margins of Preference are used in accordance with the Guidelines on Margins of Preference	Use of Margins of Preference	- Copy of Guidelines on Margins of Preference - Clauses on application of Margins of Preference in Tender Documents, Tender Evaluation Report	<b><i>Does Entity use Margin of Preference ( yes / no)</i></b> Copy of Guidelines for Margin of Preference (2) Use of Margin of Preference in tender documents (2) Check Evaluation Reports for the use of Margins of Preference (5)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>Submission of Tender</b>							
<b>3E</b>							

3E1 - Procurement Entity ensures consistency in the quality of tenders submitted at the Entity.	Ensuring of Consistency & Quality of Tender submission	- Clarity of tendering instructions - Appropriate tendering documents.	Evidence of Invitation and Submission Dates (1) Evidence of Time of Tender Closing (1) Evidence of Venue of Tender Opening (1) Evidence of Contact Address of Entity (1) Evidence of use of Appropriate Tender Documents (5)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>Tender Opening</b>							
<b>3F</b>							
3F1 - Procurement Entity opens tenders at the same time as the deadline for the receipt of tenders	Tender Preparation Lead-time adherence	'- Minutes of tender opening process. - time for tender preparation	Specific Dates for Tender Opening - 4 Times for Tender Openings -3 Minutes of Tender Opening -2	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
3F2 - Opening of tenders is conducted publicly according to defined procedures specified in the tender documents	Promotion of Transparent Public Tender Opening Process	- Advertisements or invitation letters. - tender Documents - Signed Attendance Sheet for tender opening - Signed pages of tender documents - Signed minutes of tender openings	Evidence of Advertisements/Invitation Letters (3) Signed pages of Tender Documents (2) Signed Minutes of Tender Openings (2) Signed Attendance sheet for Tender Opening (2)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			



3F3 - Tenders received are registered, securely stored and kept confidential throughout the tendering process	Ensure Security & Confidentiality of Tenders	Secured Tender Box with evidence of responsibility - record of tender submissions	Secured tender box in place (5) Signed Record sheets for submission of tenders (4)	<input type="checkbox"/> <input type="checkbox"/>			
3F4 - Procurement Entity keeps records of tender opening procedures	Records of Tender Openings	- Records of procurement process - Tender registers - Minutes of tender openings	Tender opening Register for all tenders (4) Minutes of Tender Opening (5)	<input type="checkbox"/> <input type="checkbox"/>			
<b>Tender Evaluation</b>							
<b>3G</b>							
3G1 - Procurement Entity uses only the pre-disclosed criteria and clear methodology in Tender documents for evaluation	Ensure Objective Evaluation Criteria	Evaluation Criteria and Report consistent with provisions in Tender Documents	Evaluation report consistent with pre-disclosed Tendering requirements (9)	<input type="checkbox"/>			
<b>Contract Award</b>							
<b>3H</b>							
3H1 - All Tenderers are informed in a timely manner of tender results and contract award	Mandatory and Timely Publication of tender results	Notices/Notification of Procurement Contract Awards to all Tenderers, General Public	Notification of Contract Award (3) Publication of Contract Awards (3) Copies of Letters to Unsuccessful Tenderers (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>CONTRACT MANAGEMENT</b>							

<b>Planning &amp; Mobilisation</b>							
<b>4A</b>							
4A1 - Procurement Entity makes advance Payments on submission of acceptable guarantees	Compliance with Advance Mobilisation Payment	- Advance Payment Certificate - Copy of advance payment guarantee	<b>HAS ENTITY MADE AN ADVANCE PAYMENT? (YES/NO)</b> Advance Payment Certificate (5) Copy of Advance Payment Guarantee (4)	<input type="checkbox"/> <input type="checkbox"/>			
4A2 - Entity has guidelines for administration of contracts.	Ensuring effective contract implementation	existence of contract administration and quality control guidelines at the Entity	<b>HAS THE ENTITY APPOINTED A CONTRACT ADMINISTRATOR? (YES/NO)</b> Guidelines clearly indicate contract management proceedings with clear cut responsibilities for Contract Administrator (5) Expectations for each stage or milestone are clearly spelt out (2) Approval procedures and decision-making structures are available (2)				
4A3 - Outcomes and Milestones of contracts are clearly defined and reviewed	Definition of Project outcomes and milestones	Project/Work Plan	• Delivery Schedule/Contract or Project Work Plan (9)	<input type="checkbox"/>			
<b>Implementation</b>							
<b>4B</b>							

4B1 - Effective problem-solving and contract amendment systems in place.	Ensuring effectiveness in Problem-solving and Contract Amendment	- Minutes of Project Team Meetings	Project Monitoring / Progress Reports (6) Frequency of project or project team meeting (3)	<input type="checkbox"/>			
<b>Supervision</b>							
<b>4C</b>							
4C1 - Project outcomes are achieved in a timely manner as planned and within budget	Ensure Timely delivery of Project outcomes	Project delivery reports	Project Delivery Reports (3) Compare Project delivery reports with Project Work Plan (2 ) Evidence of project completing on time (4)	<input type="checkbox"/> <input type="checkbox"/>			
4C2 Procurement Entity ensures key social and environmental impacts are dressed on projects .	To ensure effective monitoring of sustainability impacts	Availability of Environmental Impact Statements on projects Availability of Social Impact Assessment Plan on Projects	• Evidence of EPA Certification (3) • Evidence of other regulatory Certification on social impact of projects (3) Evidence of EPA and other relevant regulatory bodies' monitoring reports (3)				
4C3 - Project implementation is undertaken with the active participation of suppliers, contractors and consultants	Enure effective project or contract implementation	Progress Report from suppliers, contractors and consultants	Minutes of Project or Contract Implementation meeting with stakeholders (6) Frequency of meetings with project or contract stakeholders during implementation (3)				

4C4 Procurement entity ensures that there are effective contract risk management schemes or mechanisms.	Identify all potential risks related to the contract	Availability of risk management plans on projects or contracts	<ul style="list-style-type: none"> <li>• Evidence of risk register and matrix (2)</li> <li>• Evidence of risk assessment on projects or contracts (2)</li> <li>• Evidence of risk mitigation or response measures on projects or contracts (2)</li> <li>• Resolve disputes amicably (3)</li> </ul>				
4C5 Procurement Entity ensures a fair and appropriate contract closure.	Ensure effective project or contract closure	Project or contract closure plan	Copy of contract or project closure checklist (3) Copy of contract or project closure letters/certificates (6)				
<b>Inspection</b>							
<b>4D</b>							
4D1 - Physical verification of delivered goods, inspection of the works or review of services is undertaken in compliance with the contract provisions.	Physical verification of goods and inspection of completed works	Field and/or spot-check Reports - Stores Receipt Voucher - Handing Over Certificates - Completion/Delivery Reports	Copy of Handing Over Certificates (2) Completion / Delivery Reports (2) Evidence of final inspection of project or contract deliverables by stakeholders (2) Evidence of acceptance of final project or contract deliverables by Procurement Entity (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>Inventory Control and Disposal</b>							
<b>4E</b>							

4E1 - Goods/materials are stored and issued in accordance with stock control policy	Enure adherence to Stock Control Policy	Stock Control Record Systems	Evidence and Use of Stores Receipt Advice (SRA) (2) Evidence and use of Stores Ledger Book (2) Records of Tally Cards (2) Evidence of Requisition and Issue Voucher (2) Return to Store Voucher (1)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
4E2 - Procurement Entity ensures that Suppliers have sustainable solutions for the disposal of goods and equipment	Ensure compliance with sustainable disposal solutions by suppliers	Goods and equipment disposal conditions and clauses	<ul style="list-style-type: none"> <li>• Contract contains Binding Disposal Condition (2)</li> <li>• Contract is properly signed by both parties (1) Report or certified document of appropriate goods or equipment disposal by suppliers (3) Evidence of recycled goods or refurbished equipment by suppliers (3)</li> </ul>				
4E3 Procurement entity ensures an effective sustainability performance reporting system.	To demonstrate results of sustainability initiatives	Sustainability performance report	<ul style="list-style-type: none"> <li>• Clear SPP Targets are contained in the sustainability performance report (2)</li> <li>Contract contains effective monitoring clauses (2)</li> <li>• Key Performance Indicators (KPI) used to check sustainability targets are clear, monitored and documented for Review (3)</li> <li>• Evidence of reported deviations and how it was addressed (2)</li> </ul>				

4E4 - Disposal of goods and equipment made in accordance with provisions of PPA guidelines.	Effective Store Disposal Procedures	Report from Board Survey Records of Disposal of items	<b>HAS ENTITY ENGAGED IN DISPOSAL OF ITEMS? (YES/NO)</b> Membership of the Board of Survey (3) Minutes of Board of Survey Meetings (3) Record of Disposed Items (3)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
<b>Reporting</b>							
4F							
4F1 - Effective monitoring and evaluation of contracts in place	Regular report on Project Implementation	Progress and/or Periodic Reports	Evidence of Report for contract monitoring and evaluation (9)	<input type="checkbox"/>			

## **APPENDIX 3 – CONTRACT DATA SHEET**

## **CONTRACT DATA SHEET**

CONTRACT NAME	PACKAGE NUMBER	CONTRACTOR / SUPPLIER / CONSULTANT	PROCUREMENT CATEGORY <sup>1</sup>	PROCUREMENT METHOD <sup>2</sup>	PRE – QUALIFICATION (Yes/No)	STANDARD TENDER DOCUMENT USED (Yes / No)	ADVERTISEMENT FOR TENDER (Yes / No)

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<sup>1</sup> Goods, Works, Services

<sup>2</sup> ICT – International Competitive Tendering, NCT – National Competitive Tendering, PQ – Price Quotations, RT – Restricted Tendering, SS – Single Source, L/MVP – Low/Minor Value Procurement



WAS TENDER ADVERTISED? (Yes/No)	DATE OF INVITATION TO TENDER	DATE OF CLOSING / OPENING OF TENDER	PUBLIC OPENING (Yes / No)	NUMBER OF TENDERS RECEIVED	NUMBER OF RESPONSIVE TENDERS	NUMBER OF COMPLAINTS / PROTESTS RECEIVED	NUMBER OF COMPLAINTS /PROTESTS SOLVED	OUTCOME CHANGED FOLLOWING COMPLAINTS / PROTESTS	BUDGETED CONTRACT AMOUNT GH¢	CONTRACT AMOUNT SIGNED GH¢

DATE OF CONTRACT AWARD	ADVERTISE- MENT OF AWARD <i>(Yes / No)</i>	ACTUAL CONTRACT AMOUNT (Completed Contracts) GH¢	AMOUNT OF ADVANCE PAYMENT (if any) GH¢	WAS ADVANCE PAYMENT GUARANTEED <i>(Yes / No)</i>	DISPUTES AFTER CONTRACT AWARD <i>(Yes/No)</i>	NUMBER OF INVOICES PAID WITHIN PERIOD OF PAYMENT	NUMBER OF INVOICES PAID AFTER PERIOD OF PAYMENT	AVAILABILITY OF CONTRACT COMPLETION REPORT (Yes / No)	CONTRACT COMPLETED WITH ACCEPTABLE PERFORMANCE

