

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

Name of Agency: Eulogio "Amang" Rodriguez Institute of Science and Technology
 Date of Self Assessment: May 24, 2017

Name of Evaluator: Grant B. Cornell
 Position: BAC Chairman

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and SubIndicators	Supporting Information/Documentation (Not to be included in the Evaluation)		
PILLAR I. COMPLIANCE WITH LEGISLATIVE AND REGULATORY FRAMEWORK							
Indicator 1. Competitive Bidding as Default Procurement Method							
1	(a) Percentage of public bidding contracts in terms of amount of total procurement	33.63%	0.00		PMRs		
2	(b) Percentage of public bidding contracts in terms of volume of total procurement	4.24%	0.00		PMRs		
Indicator 2. Limited Use of Alternative Methods of Procurement							
3	(a) Percentage of Shopping contracts in terms of amount of total procurement	45.12%	0.00		PMRs		
4	(b) Percentage of Negotiated Procurement in terms of amount of total procurement	13.74%	0.00		PMRs		
5	(c) Percentage of Direct Contracting in terms of amount of total procurement	6.17%	0.00		PMRs		
6	(d) Percentage of Repeat Order contracts in terms of amount of total procurement	1.34%	2.00		PMRs		
7	(e) Percentage of Limited Source contracts in terms of amount of total procurement	n/a	n/a		PMRs		
8	(f) Preparation of Annual Procurement Plan for Common-Use Supplies and Equipment (APP-CSE) and Procurement of Common-Use Supplies and Equipment from the Procurement Service	Compliant	3.00		APP, APP-CSE, PMR		
Indicator 3. Competitiveness of the Bidding Process							
9	(a) Average number of entities who acquired bidding documents	1.38	0.00		Agency records and/or PhilGEPS records		
10	(b) Average number of bidders who submitted bids	1.38	0.00		Abstract of Bids or other agency records		
11	(c) Average number of bidders who passed eligibility stage	1.38	1.00		Abstract of Bids or other agency records		
12	(d) Sufficient period to prepare bids	Fully Compliant	3.00		Agency records and/or PhilGEPS records		
		Average I	0.82				
PILLAR II. AGENCY INSTITUTIONAL FRAMEWORK AND MANAGEMENT CAPACITY							
Indicator 4. Presence of Procurement Organizations							
13	(a) Creation of Bids and Awards Committee(s)	Fully Compliant	3.00		Verify copy of Order creating BAC; Organizational Chart; and Certification of Training		
14	(b) Creation of a BAC Secretariat or Procurement Unit	Fully Compliant	3.00		Verify copy of Order creating BAC Secretariat; Organizational Chart; and Certification of Training		
Indicator 5. Procurement Planning and Implementation							
15	(a) APP is prepared for all types of procurement	Compliant	3.00		Copy of APP and its supplements (if any)		
Indicator 6. Use of Philippine Government Electronic Procurement System (PhilGEPS)							
16	(a) Percentage of bid opportunities posted by the Phil-GEPS-registered Agency	8.33%	0.00		Agency records and/or PhilGEPS records		
17	(b) Percentage of contract award information posted by the Phil-GEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records		
18	(c) Percentage of contract awards procured through alternative methods posted by the Phil-GEPS-registered Agency	1.14%	0.00		Agency records and/or PhilGEPS records		
Indicator 7. System for Disseminating and Monitoring Procurement Information							
19	(a) Presence of website that provides up-to-date procurement information easily accessible at no cost	Fully Compliant	3.00		Identify specific procurement-related portion in the agency website and specific website links		
20	(b) Preparation of Procurement Monitoring Reports using the prescribed format, prompt submission to GPPB, and posting in agency website	Fully Compliant	3.00		Copy of PMR and received copy that it was submitted to GPPB		
		Average II	2.25				
PILLAR III. PROCUREMENT OPERATIONS AND MARKET PRACTICES							
Indicator 8. Efficiency of Procurement Processes							

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Name of Evaluator: Grant B. Cornell
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No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and Subindicators	Supporting Information/Documentation (Not to be Included in the Evaluation)
21	(a) Percentage of total amount of contracts awarded against total amount of approved APPs	22.94%	0.00		APP (including Supplemental amendments, if any) and PMRs
22	(b) Percentage of total number of contracts awarded against total number of procurement activities done through public bidding	62.50%	0.00		APP (including Supplemental amendments, if any) and PMRs
23	(c) Percentage of failed biddings and total number of procurement activities conducted	0.00%	3.00		APP (including Supplemental Amendments, if any) and PMRs

Indicator 9. Compliance with Procurement Timeframes

24	(a) Percentage of contracts awarded within prescribed procurement time frames to procure goods as indicated in Annex "C" of the IRR	0.00%	0.00		PMRs
25	(b) Percentage of contracts awarded within prescribed procurement time frames to procure infrastructure projects as indicated in Annex "C" of the IRR	0.00%	0.00		PMRs
26	(c) Percentage of contracts awarded within prescribed procurement time frames to procure consulting services as indicated in Annex "C" of the IRR	n/a	n/a		PMRs

Indicator 10. Capacity Building for Government Personnel and Private Sector Participants

27	(a) There is a system within the procuring entity to evaluate the performance of procurement personnel	Fully Compliant	3.00		Ask BAC Secretariat Head, verify Office Orders on training of Procurement Staff
28	(b) Percentage of participation of procurement staff in annual procurement training	Between 91.00-100%	3.00		Ask for copies of Office Orders, training modules, list of participants, schedules of actual training conducted
29	(c) Agency has activities to inform and update entities on public procurement	Compliant	3.00		Ask for copies of documentation of activities for bidders

Indicator 11. Management of Procurement and Contract Management Records

30	(a) The BAC Secretariat has a system for keeping and maintaining procurement records	Fully Compliant	3.00		Verify actual procurement records and time it took to retrieve records (should be no more than two hours) Refer to Section 4.1 of User's Manual for list of procurement-related documents for record-keeping and maintenance.
31	(b) Implementing Unit has and is implementing a system for keeping and maintaining contract management records	Substantially Compliant	2.00		Verify actual contract management records and time it took to retrieve records should be no more than two hours

Indicator 12. Contract Management Procedures

32	(a) Agency has well defined procedures and standards for quality control, acceptance and inspection, supervision of works and evaluation of contractors' performance	Substantially Compliant	2.00		Verify copies of written procedures for quality control, acceptance and inspection; CPES evaluation forms
33	(b) Agency complies with the thresholds prescribed for amendment to order, variation orders, advance payment, and slippage in publicly bid contracts.	Fully Compliant	3.00		Specific procurement contract with amendment to order, variation order or with negative slippage
34	(c) Timely payment of procurement contracts	Between 31-37 days	2.00		Ask Finance or Accounting Head of Agency for average period for the release of payments for procurement contracts

Average III

1.85

PILLAR IV. INTEGRITY AND TRANSPARENCY OF AGENCY PROCUREMENT SYSTEM

Indicator 13. Observer Participation in Public Bidding

35	(a) Observers are invited to all stages of every public bidding activity	Compliant	3.00		Verify copies of Invitation Letters to CSOs and professional associations and COA (List and average number of CSOs and PAs invited shall be noted.)
36	(b) Attendance of Observers in public bidding activities	n/a	n/a		PMRs and Abstract of Bids

Indicator 14. Internal and External Audit of Procurement Activities

GOVERNMENT PROCUREMENT POLICY BOARD
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Name of Agency: Eulogio "Amang" Rodriguez Institute of Science and Technology
 Date of Self Assessment: May 24, 2017

Name of Evaluator: Grant B. Cornell
 Position: BAC Chairman

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and SubIndicators	Supporting Information/Documentation (Not to be included in the Evaluation)
37	(a) Creation and operation of internal audit unit as prescribed by DBM (Circular Letter No. 2008-5, April 14, 2008)	Fully Compliant	3.00		Verify copy of Order or show actual organizational chart showing IAU, audit reports, action plans and IAU recommendations
38	(b) Agency Action on Prior Year's Audit Recommendations (APYAR) on procurement related transactions	Between 71-89.99% compliance	2.00		Verify COA Annual Audit Report on Action on Prior Year's Audit Recommendations
Indicator 15. Capacity to Handle Procurement Related Complaints					
39	(a) The Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements	Fully Compliant	3.00		Verify copies of BAC resolutions on Motion for Reconsiderations, Protests and Complaints; Office Orders adopting measures to address procurement-related complaints
Indicator 16. Anti-Corruption Programs Related to Procurement					
40	(a) Agency has a specific anti-corruption program/s related to procurement	Fully Compliant	3.00		Verify documentation of anti-corruption program
		Average IV	2.80		
GRAND TOTAL (Average I + Average II + Average III + Average IV / 4)			1.93		

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

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

Summary of APCPI Scores by Pillar

APCPI Pillars	Ideal Rating	Agency Rating
Pillar I: Compliance with Legislative and Regulatory Framework	3.0000	0.82
Pillar II: Agency Institutional Framework and Management Capacity	3.0000	2.25
Pillar III: Procurement Operations and Market Practices	3.0000	1.85
Pillar IV: Integrity and Transparency of Agency Procurement Systems	3.0000	2.80
Total (Pillar I+Pillar II+Pillar III+ PillarIV)/4	3.0000	1.93

ANNEX B
GOVERNMENT PROCUREMENT POLICY BOARD
CONSOLIDATED PROCUREMENT MONITORING REPORT
(Page 1 of 2)

Name of Agency: Eulogio "Amang" Rodriguez Institute of Science and

Period Covered: **CY 2016**

	Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10	Column 11
1. Public Bidding*											
1.1. Goods	16,872,293.00	4	4	3,816,600.00	0	8	8	4	8	4	4
1.2. Works	43,845,000.00	4	1	1,591,000.00	0	3	3	1	3	1	1
1.3. Consulting Services											
Sub-Total	60,717,293.00	8	5	5,407,600.00	0	11	11	5	11	5	5
2. Alternative Modes											
2.1.1 Shopping (52.1 b above 50K)											
2.1.2 Shopping (Others)			84	7,255,366.96							
2.2. Direct Contracting			19	992,496.00							
2.3. Repeat Order			6	215,904.00							
2.4. Limited Source Bidding											
2.5.1 Negotiation (Common-Use Supplies)				1,026,878.00							
2.5.2 Negotiation (TFB 53.1)											
2.5.3 Negotiation (SVP 53.9 above 50K)	6,097,925.36	4	4	1,183,076.00				3		3	1
2.5.4 Negotiation (Others)											
Sub-Total	6,097,925.36	113	113	10,673,720.96						3	1
3. Foreign Funded Procurement**											
3.1. Publicly-Bid											
3.2. Alternative Modes											
Sub-Total	0.00	0	0	0.00							
4. Others, specify:	3,290,027.00										
TOTAL	70,105,245.36	121	118	16,081,320.96							

* Should include foreign-funded publicly-bid projects per procurement type

** All procurement using Foreign Funds excluding National Competitive Bidding (NCB) contracts; conversion to peso will be at BSP rates at the time the bids/quotations were submitted

0.011363636

ANNEX B
GOVERNMENT PROCUREMENT POLICY BOARD
CONSOLIDATED PROCUREMENT MONITORING REPORT
(Page 2 of 2)

Name of Agency: Eulogio "Amang" Rodriguez Institute of Science and

Period Covered: CY **2016**

	Total No. Of Contracts that incurred negative slippage	Total No. of contracts with amendments to order or variation orders	Ave. No. of Days for Approval of Resolution/Issuance of Notice of Award	No. of Contracts with Observers Attending	No. of Contracts with COA Observers Attending	Ave. No. of Days to Resolve Requests for Reconsiderations / Protests	No. of Contracts Awarded within prescribed timeframes
1. Public Bidding*	Column 12	Column 13	Column 14	Column 15	Column 16	Column 17	Column 18
1.1. Goods							
1.2. Works							
1.3. Consulting Services							
Sub-Total	0	0	N/A	0	0	#DIV/0!	0
2. Alternative Modes							
2.1.1 Shopping (\$2.1 b above 50K)							
2.1.2 Shopping (Others)							
2.2. Direct Contracting							
2.3. Repeat Order							
2.4. Limited Source Bidding							
2.5.1 Negotiation (Common-Use Supplies)							
2.5.2 Negotiation (TFB 53.1)							
2.5.3 Negotiation (SVP 53.9 above 50K)							
2.5.4 Negotiation (Others)							
Sub-Total							
3. Foreign Funded Procurement**							
3.1. Publicly-Bid							
3.2. Alternative Modes							
Sub-Total							
4. Others, specify:							
TOTAL							

* Should include foreign-funded publicly-bid projects per procurement type

** All procurement using Foreign Funds excluding National Competitive Bidding (NCB) contracts; conversion to peso will be at BSP rates at the time the bids/quotations were submitted


JOSE P. CORNELIO JR.
Chief, PROCUREMENT SERVICE


DR. GRANT B. CORNELL
BAC CHAIRMAN


DR. EDITHA V. PILLO
President

	Agency Score
Sub-indicator 1a	33.63%
Sub-indicator 1b	4.24%
Sub-indicator 2a	45.12%
Sub-indicator 2b	13.74%
Sub-indicator 2c	6.17%
Sub-indicator 2d	1.34%
Sub-indicator 2e	0.00%
Sub-indicator 3a	1.38
Sub-indicator 3b	1.38
Sub-indicator 3c	1.38
Sub-indicator 6a	8.33%
Sub-indicator 6b	100.00%
Sub-indicator 6c	0.88%
Sub-indicator 8a	22.94%
Sub-indicator 8b	62.50%
Sub-indicator 8c	0.00%
Sub-indicator 9a	0.00%
Sub-indicator 9b	0.00%
Sub-indicator 9c	#DIV/0!
Sub-indicator 13b	0.00%

ANNEX C

APCPI Revised Scoring and Rating System

(12 April 2012)

No.	Assessment Conditions	Poor/Not Compliant (0)	Acceptable (1)	Satisfactory (2)	Very Satisfactory/ Compliant (3)
		0	1	2	3

PILLAR I. COMPLIANCE WITH LEGISLATIVE AND REGULATORY FRAMEWORK**Indicator 1. Competitive Bidding as Default Procurement Method**

1	(a) Percentage of public bidding contracts in terms of amount of total procurement		0.70	0.81	0.91
2	(b) Percentage of public bidding contracts in terms of volume of total procurement		0.20	0.40	0.50

Indicator 2. Alternative Methods of Procurement

3	(a) Percentage of Shopping contracts in terms of amount of total procurement		0.06	0.05	0.03
4	(b) Percentage of Negotiated Procurement in terms of amount of total procurement		0.12	0.08	0.03
5	(c) Percentage of Direct Contracting in terms of amount of total procurement		0.04	0.03	0.01
6	(d) Percentage of Repeat Order contracts in terms of amount of total procurement		0.04	0.03	0.01
7	(e) Percentage of Limited Source contracts in terms of amount of total procurement		0.04	0.03	0.01
8	(f) Preparation of Annual Procurement Plan for Common-Use Supplies and Equipment (APP-CSE) and Procurement of Common-Use Supplies and Equipment from the Procurement Service	Not Compliant			Compliant

Indicator 3. Competitiveness of the Bidding Process

9	(a) Average number of entities who acquired bidding documents		3	4.00	6.00
10	(b) Average number of bidders who submitted bids		2	3.00	5.00
11	(c) Average number of bidders who passed eligibility stage		1	2.00	3.00
12	(d) Sufficient period to prepare bids	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant

PILLAR II. AGENCY INSTITUTIONAL FRAMEWORK AND MANAGEMENT CAPACITY**Indicator 4. Presence of Procurement Organizations**

13	(a) Creation of Bids and Awards Committees (BACs)	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
14	(b) Creation of a BAC Secretariat or Procurement Unit	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant

Indicator 5. Procurement Planning and Implementation

15	(a) APP is prepared for all types of procurement	Not Compliant			Compliant
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Indicator 6. Use of Philippine Government Electronic Procurement System (PhilGEPs)

16	(a) Percentage of bid opportunities posted by the Phil-GEPs-registered Agency		0.71	0.81	0.91
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17	(b) Percentage of contract award information posted by the Phil-GEPS-registered Agency		0.20	0.51	0.80
18	(c) Percentage of contract awards procured through alternative methods posted by the Phil-GEPS-registered Agency		0.20	0.51	0.80

Indicator 7. System for Disseminating and Monitoring Procurement Information

19	(a) Presence of website that provides up-to-date procurement information easily accessible at no cost	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
20	(b) Preparation of Procurement Monitoring Reports using the prescribed format, prompt submission to GPPB, and posting in agency website	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant

PILLAR III. PROCUREMENT OPERATIONS AND MARKET PRACTICES

Indicator 8. Efficiency of Procurement Processes

21	(a) Percentage of total amount of procurement awarded against total amount of approved APPs	1.00	0.40	0.61	0.80
22	(b) Percentage of total number of contracts awarded against total number of procurement activities done through public bidding		0.90	0.93	0.95
23	(c) Percentage of failed biddings and total number of procurement activities conducted		0.10	0.08	0.05

Indicator 9: Compliance with Procurement Timeframes

24	(a) Percentage of contracts awarded within the prescribed period to procure goods as indicated in Annex "C" of the IRR		0.90	0.96	1.00
25	(b) Percentage of contracts awarded within the prescribed period to procure infrastructure projects as indicated in Annex "C" of the IRR		0.90	0.96	1.00
26	(c) Percentage of contracts awarded within the prescribed period to procure consulting services as indicated in Annex "C" of the IRR		0.90	0.96	1.00

Indicator 10. Capacity Building for Government Personnel and Private Sector Participants

27	(a) There is a system within the procuring entity to evaluate the performance of procurement personnel	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
28	(b) Percentage of participation of procurement staff in annual procurement training	Less than 60.00% Trained	Between 60.00-75.99% Trained	Between 76.00-90.99% Trained	Between 91.00-100%
29	(c) Agency has activities to inform and update entities on public procurement	Not Compliant			Compliant

Indicator 11. Management of Procurement and Contract Management Records

30	(a) The BAC Secretariat has a system for keeping and maintaining procurement records	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
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31	(b) Implementing Units has and is implementing a system for keeping and maintaining contract management records	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
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Indicator 12. Contract Management Procedures

32	(a) Agency has well defined procedures and standards for quality control, acceptance and inspection, supervision of works and evaluation of contractors' performance	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
33	(b) Agency complies with the thresholds prescribed for amendment to order, variation orders, advance payment, and slippage in publicly bid contracts.	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
34	(c) Timely payment of procurement contracts	After 45 days	Between 38-45 days	Between 31-37 days	On or before 30 days

PILLAR IV. INTEGRITY AND TRANSPARENCY OF AGENCY PROCUREMENT SYSTEMS

Indicator 13. Observer Participation in Public Bidding

35	(a) Observers are invited to all stages of every public bidding activity	Not Compliant			Compliant
36	(b) Attendance of Observers in public bidding activities		0.70	0.80	0.90

Indicator 14. Internal and External Audit of Procurement Activities

37	(a) Creation and operation of internal audit unit as prescribed by DBM (Circular Letter No. 2008-5, April 14, 2008)	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
38	(b) Agency Action on Prior Year's Audit Recommendations (APYAR) on procurement related transactions	Below 60% compliance	Between 61-70.99% compliance	Between 71-89.99% compliance	Above 90-100% compliance

Indicator 15. Capacity to Handle Procurement Related Complaints

39	(a) The Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
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Indicator 16. Anti-Corruption Programs Related to Procurement

40	(a) Agency has a specific anti-corruption program/s related to procurement	Not Compliant	Partially Compliant	Substantially Compliant	Fully Compliant
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PROCUREMENT CAPACITY DEVELOPMENT ACTION PLAN TEMPLATE

Period: 2016

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Prepared by:

Dr. GRANT B. CORNELL
BAC Chairman