

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

Name of Agency: APO Production Unit, Inc.
 Date of Self Assessment: 8 March 2019

Name of Evaluator: _____
 Position: _____

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. LEGISLATIVE AND REGULATORY FRAMEWORK					
Indicator 1. Competitive Bidding as Default Method of Procurement					
1.a	Percentage of competitive bidding and limited source bidding contracts in terms of amount of total procurement	36.71%	0.00		PMRs
1.b	Percentage of competitive bidding and limited source bidding contracts in terms of volume of total procurement	1.54%	0.00		PMRs
Indicator 2. Limited Use of Alternative Methods of Procurement					
2.a	Percentage of shopping contracts in terms of amount of total procurement	0.94%	3.00		PMRs
2.b	Percentage of negotiated contracts in terms of amount of total procurement	49.20%	0.00		PMRs
2.c	Percentage of direct contracting in terms of amount of total procurement	13.15%	0.00		PMRs
2.d	Percentage of repeat order contracts in terms of amount of total procurement	0.00%	3.00		PMRs
2.e	Compliance with Repeat Order procedures	n/a	n/a		Procurement documents relative to conduct of Repeat Order
2.f	Compliance with Limited Source Bidding procedures	n/a	n/a		Procurement documents relative to conduct of Limited Source Bidding
Indicator 3. Competitiveness of the Bidding Process					
3.a	Average number of entities who acquired bidding documents	0.89	0.00		Agency records and/or PhilGEPS records
3.b	Average number of bidders who submitted bids	0.78	0.00		Abstract of Bids or other agency records
3.c	Average number of bidders who passed eligibility stage	0.67	0.00		Abstract of Bids or other agency records
3.d	Sufficiency of period to prepare bids	Fully Compliant	3.00		Agency records and/or PhilGEPS records
3.e	Use of proper and effective procurement documentation and technical specifications/requirements	Fully Compliant	3.00		Cost Benefit Analysis, Work Plans, Technical Specifications included in bidding documents
		Average	1.09		
PILLAR II. AGENCY INSTITUTIONAL FRAMEWORK AND MANAGEMENT CAPACITY					
Indicator 4. Presence of Procurement Organizations					
4.a	Creation of Bids and Awards Committee(s)	Fully Compliant	3.00		Verify copy of Order creating BAC; Organizational Chart; and Certification of Training
4.b	Presence 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					
5.a	An approved APP that includes all types of procurement	Compliant	3.00		Copy of APP and its supplements (if any)
5.b	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	Fully Compliant	3.00		APP, APP-CSE, PMR
5.c	Existing Green Specifications for GPPB-identified non-CSE items are adopted	Compliant	3.00		ITBs and/or RFQs clearly indicate the use of green technical specifications for the procurement activity
Indicator 6. Use of Government Electronic Procurement System					
6.a	Percentage of bid opportunities posted by the PhilGEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records
6.b	Percentage of contract award information posted by the PhilGEPS-registered Agency	100.00%	3.00		Agency records and/or PhilGEPS records
6.c	Percentage of contract awards procured through alternative methods posted by the PhilGEPS-registered Agency	85.30%	3.00		Agency records and/or PhilGEPS records

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Indicator 7. System for Disseminating and Monitoring Procurement Information					
7.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
7.b	Preparation of Procurement Monitoring Reports using the GPPB-prescribed format, submission to the GPPB, and posting in agency website	Fully Compliant	3.00		Copy of PMR and received copy that it was submitted to GPPB
		Average II	3.00		
PILLAR III. PROCUREMENT OPERATIONS AND MARKET PRACTICES					
Indicator 8. Efficiency of Procurement Processes					
8.a	Percentage of total amount of contracts signed within the assessment year against total amount in the approved APPs	82.55%	3.00		APP (including Supplemental amendments, if any) and PMRs
8.b	Percentage of total number of contracts signed against total number of procurement projects done through competitive bidding	50.00%	0.00		APP(including Supplemental amendments, if any)and PMRs
8.c	Planned procurement activities achieved desired contract outcomes and objectives within the target/allotted timeframe	Not Compliant	0.00		Agency Procedures/Systems for the conduct of needs analysis or market research, monitoring of timely delivery of goods, works, or services Contracts with amendments and variations to order amount to 10% or less
Indicator 9. Compliance with Procurement Timeframes					
9.a	Percentage of contracts awarded within prescribed period of action to procure goods	100.00%	3.00		PMRs
9.b	Percentage of contracts awarded within prescribed period of action to procure infrastructure projects	n/a	n/a		PMRs
9.c	Percentage of contracts awarded within prescribed period of action to procure consulting services	n/a	n/a		PMRs
Indicator 10. Capacity Building for Government Personnel and Private Sector Participants					
10.a	There is a system within the procuring entity to evaluate the performance of procurement personnel on a regular basis	Not Compliant	0.00		Samples of forms used to evaluating procurement performance on top of or incorporated within the regular assessment for Procurement Personnel
10.b	Percentage of participation of procurement staff in procurement training and/or professionalization program	100.00%	3.00		Ask for copies of Office Orders, training modules, list of participants, schedules of actual training conducted
10.c	The procuring entity has open dialogue with private sector and ensures access to the procurement opportunities of the procuring entity	Compliant	3.00		Ask for copies of documentation of activities for bidders
Indicator 11. Management of Procurement and Contract Management Records					
11.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.
11.b	Implementing Units has and is implementing a system for keeping and maintaining complete and easily retrievable contract management records	Fully Compliant	3.00		Verify actual contract management records and time it took to retrieve records should be no more than two hours
Indicator 12. Contract Management Procedures					
12.a	Agency has defined procedures or standards in such areas as quality control, acceptance and inspection, supervision of works and evaluation of contractors' performance	Fully Compliant	3.00		Verify copies of written procedures for quality control, acceptance and inspection; CPES evaluation formsz
12.b	Timely Payment of Procurement Contracts	On or before 30 days	3.00		Ask Finance or Accounting Head of Agency for average period for the release of payments for procurement contracts
		Average III	2.18		

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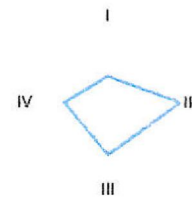
Name of Evaluator: _____
 Position: _____

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PILLAR IV. INTEGRITY AND TRANSPARENCY OF AGENCY PROCUREMENT SYSTEM					
Indicator 13. Observer Participation in Public Bidding					
13.a	Observers are invited to attend stages of procurement as prescribed in the IRR	Fully 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.)
Indicator 14. Internal and External Audit of Procurement Activities					
14.a	Creation and operation of Internal Audit Unit (IAU) that performs specialized procurement audits	Not Compliant	0.00		Verify copy of Order or show actual organizational chart showing IAU, audit reports, action plans and IAU recommendations
14.b	Audit Reports 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					
15.a	The Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements	Partially Compliant	1.00		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					
16.a	Agency has a specific anti-corruption program/s related to procurement	Fully Compliant	3.00		Verify documentation of anti-corruption program
			Average IV	1.80	
GRAND TOTAL (Average I + Average II + Average III + Average IV / 4)				2.02	

Summary of APCPI Scores by Pillar

APCPI Pillars	Ideal Rating	Agency Rating
I Legislative and Regulatory Framework	3.00	1.09
II Agency Institutional Framework and Management Capacity	3.00	3.00
III Procurement Operations and Market Practices	3.00	2.18
IV Integrity and Transparency of Agency Procurement Systems	3.00	1.80
Total (Pillar I+Pillar II+Pillar III+PillarIV)/4	3.00	2.02

Agency Rating



ANNEX B
GOVERNMENT PROCUREMENT POLICY BOARD
CONSOLIDATED PROCUREMENT MONITORING REPORT

Name of Agency: APO Production Unit, Inc.

Period Covered: CY 2018

	Total Amount of Approved APP	Total Number of Procurement Activities	No. of Contracts Awarded	Total Amount of Contracts Awarded	No. of Failed Biddings	Total No. of Entities who Acquired Bid Docs	Total No. of Bidders who Submitted Bids	Total No. of Bidders who passed Eligibility Stage	No. of Bid Opportunities Posted at PhilGEPS	No. of Contract Award Posted at PhilGEPS	Total No. Of Contracts that Incurred negative slippage	Total No. of contracts with amendments to order or variation orders	No. of Contracts Awarded within prescribed timeframes
Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9	Column 10	Column 11	Column 12	Column 13	Column 14
1. Public Bidding*													
1.1. Goods	207,327,500.00	18	9	139,044,248.79	9	16	14	12	18	9	0	4	9
1.2. Works													
1.3. Consulting Services													
Sub-Total	207,327,500.00	18	9	139,044,248.79	9	16	14	12	18	9	0	4	9
2. Alternative Modes													
2.1.1 Shopping (52.1 a above 50K)	180,000.00	2	2	176,610.00						0			
2.1.2 Shopping (52.1 b above 50K)	1,716,000.00	17	17	1,550,452.50					17	17			
2.1.3 Other Shopping	2,016,667.50	85	85	1,821,319.00						0			
2.2.1 Direct Contracting (above 50K)	51,460,200.00	27	27	49,512,242.02						15			
2.2.2 Direct Contracting (50K or less)	302,783.63	16	16	287,796.63						0			
2.3.1 Repeat Order (above 50K)	0.00	0	0	0.00						0			
2.3.2 Repeat Order (50K or less)	0.00	0	0	0.00						0			
2.4. Limited Source Bidding	0.00	0	0	0.00						0			
2.5.1 Negotiation (Common-Use Supplies)	0.00	0	0	0.00									
2.5.2 Negotiation (Recognized Government Printers)	0.00	0	0	0.00									
2.5.3 Negotiation (TFB 53.1)	15,870,000.00	3	3	13,343,700.00					3	3			
2.5.4 Negotiation (SVP 53.9 above 50K)	41,316,800.00	138	138	38,107,994.40					138	125			
2.5.5 Other Negotiated Procurement (Others above 50K)	134,360,662.92	92	92	130,923,112.22						65			
2.5.6 Other Negotiated Procurement (50K or less)	4,254,915.68	194	194	3,960,698.22						0			
Sub-Total	251,478,029.73	574	574	239,683,924.99					158	225			
3. Foreign Funded Procurement**													
3.1. Publicly-Bid													
3.2. Alternative Modes													
Sub-Total	0.00	0	0	0.00									
4. Others, specify:													
TOTAL	458,805,529.73	592	583	378,728,173.78									

* 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


MA. MERLA D. ESCOBAR
 Head, BAC Secretariat


KARL PAULO C. DAMIAN
 Chairperson, BAC


MICHAEL J. DALUMPINES
 Chairman and President

Annex D

PROCUREMENT CAPACITY DEVELOPMENT ACTION PLAN TEMPLATE

Name of Agency: APO Production Unit, Inc.

Period: 2018-2019

Sub-Indicators	Key Area for Development	Proposed Actions to Address Key Areas	Responsible Entity	Timetable	Resources Needed
1.a	Percentage of competitive bidding and limited source bidding contracts in terms of amount of total procurement	The Operations Group shall conduct extensive and thorough procurement planning (3 month projection) by considering the following factors: (1) nature of the goods to be procured, (2) availability in the market, (3) precise technical specifications of the goods and services to be procured	Operation Group (Sales, PPC, Supply Chain, and BAC)	Second Quarter of 2019	n/a
1.b	Percentage of competitive bidding and limited source bidding contracts in terms of volume of total procurement	The Operations Group shall conduct extensive and thorough procurement planning (3 month projection) by considering the following factors: (1) nature of the goods to be procured, (2) availability in the market, (3) precise technical specifications of the goods and services to be procured	Operation Group (Sales, PPC, Supply Chain, and BAC)	Second Quarter of 2019	n/a
2.a	Percentage of shopping contracts in terms of amount of total procurement				
2.b	Percentage of negotiated contracts in terms of amount of total procurement	The Operations Group shall conduct extensive and thorough procurement planning (3 month projection) by considering the following factors: (1) nature of the goods to be procured, (2) availability in the market, (3) precise technical specifications of the goods and services to be procured	Operation Group (Sales, PPC, Supply Chain, and BAC)	Second Quarter of 2019	n/a
2.c	Percentage of direct contracting in terms of amount of total procurement	The Operations Group shall conduct extensive and thorough procurement planning (3 month projection) by considering the following factors: (1) nature of the goods to be procured, (2) availability in the market, (3) precise technical specifications of the goods and services to be procured	Operation Group (Sales, PPC, Supply Chain, and BAC)	Second Quarter of 2019	n/a
2.d	Percentage of repeat order contracts in terms of amount of total procurement				
2.e	Compliance with Repeat Order procedures				
2.f	Compliance with Limited Source Bidding procedures				
3.a	Average number of entities who acquired bidding documents	Improvement on conducting Market Study in preparation of Technical Specifications/Terms of Reference and Approved Budget	Operation Group (Sales, PPC, Supply Chain, BAC and TWG)	Second Quarter of 2019	n/a
3.b	Average number of bidders who submitted bids	Improvement on conducting Market Study in preparation of Technical Specifications/Terms of Reference and Approved Budget	Operation Group (Sales, PPC, Supply Chain, BAC and TWG)	Second Quarter of 2019	n/a
3.c	Average number of bidders who passed eligibility stage	Improvement on conducting Market Study in preparation of Technical Specifications/Terms of Reference and Approved Budget	Operation Group (Sales, PPC, Supply Chain, BAC and TWG)	Second Quarter of 2019	n/a
3.d	Sufficiency of period to prepare bids				
3.e	Use of proper and effective procurement documentation and technical specifications/requirements				
4.a	Creation of Bids and Awards Committee(s)				

4.b	Presence of a BAC Secretariat or Procurement Unit				
5.a	An approved APP that includes all types of procurement				
5.b	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				
5.c	Existing Green Specifications for GPPB-identified non-CSE items are adopted				
6.a	Percentage of bid opportunities posted by the PhilGEPS-registered Agency				
6.b	Percentage of contract award information posted by the PhilGEPS-registered Agency				
6.c	Percentage of contract awards procured through alternative methods posted by the PhilGEPS-registered Agency				
7.a	Presence of website that provides up-to-date procurement information easily accessible at no cost				
7.b	Preparation of Procurement Monitoring Reports using the GPPB-prescribed format, submission to the GPPB, and posting in agency website				
8.b	Percentage of total number of contracts signed against total number of procurement projects done through competitive bidding	To ensure that competitive bidding is the general mode of procurement to be used when it comes to public procurement	BAC, TWG and End-User	Second Quarter of 2019	n/a
8.c	Planned procurement activities achieved desired contract outcomes and objectives within the target/allotted timeframe	To establish procedure for needs analysis and/or market research	BAC, TWG and End-User	Second Quarter of 2019	n/a
9.a	Percentage of contracts awarded within prescribed period of action to procure goods				
9.b	Percentage of contracts awarded within prescribed period of action to procure infrastructure projects				
9.c	Percentage of contracts awarded within prescribed period of action to procure consulting services				
10.a	There is a system within the procuring entity to evaluate the performance of procurement personnel on a regular basis	To ensure that a system has been put into place within the procuring entity to evaluate the performance of procurement personnel and to create activities to inform and update entities on public procurement	BAC and HRAD	Second Quarter of 2019	n/a
10.b	Percentage of participation of procurement staff in procurement training and/or professionalization program				
10.c	The procuring entity has open dialogue with private sector and ensures access to the procurement opportunities of the procuring entity				
11.a	The BAC Secretariat has a system for keeping and maintaining procurement records				

11.b	Implementing Units has and is implementing a system for keeping and maintaining complete and easily retrievable contract management records				
12.a	Agency has defined procedures or standards in such areas as quality control, acceptance and inspection, supervision of works and evaluation of contractors' performance				
12.b	Timely Payment of Procurement Contracts				
13.a	Observers are invited to attend stages of procurement as prescribed in the IRR				
14.a	Creation and operation of Internal Audit Unit (IAU) that performs specialized procurement audits	Implementation of ISO Certification	ISO Committee and Operations Group	Second Quarter of 2019	n/a
14.b	Audit Reports on procurement related transactions	Immediate implementation of COA's recommendation	Operation Group (Sales, PPC, Supply Chain, Finance, BAC and TWG)	Second Quarter of 2019	n/a
15.a	The Procuring Entity has an efficient procurement complaints system and has the capacity to comply with procedural requirements	Implementation of ISO Certification	ISO Committee and Operations Group	Second Quarter of 2019	n/a
16.a	Agency has a specific anti-corruption program/s related to procurement				