



Republic of the Philippines
OFFICE OF THE PRESIDENT
COMMISSION ON HIGHER EDUCATION

March 31, 2017

ATTY. DENNIS S. SANTIAGO
Executive Director V
Government Procurement Policy Board
Unit 2506 Raffles Corporate Center
F. Ortigas Jr. Road, Ortigas Center
Pasig City

Dear **Atty. Santiago**:

This is to submit the 2016 Agency Procurement Compliance and Performance Indicator (APCPI) Self Assessment Report of the Commission on Higher Education (CHED), as follows:

1. Self Assessment Form (Annex A)
2. Consolidated Procurement Monitoring Report (Annex B)
3. Action Plan (Annex D)
4. APCPI Confirmation Questionnaire

We hope you find the report in order.

Very truly yours,

MINELLA C. ALARCON, Ph.D.
Commissioner
Officer-in-Charge
Office of the Chairperson

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

Name of Agency: COMMISSION ON HIGHER EDUCATION

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
	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 PHIGEPS	No. of Contract Award Posted at PHIGEPS	
1. Public Bidding*											
1.1. Goods	178,081,720.26	36	18	50,755,171.35	12	62	56	43	39	18	
1.2. Works	15,102,468.41	5	3	5,935,556.09	1	9	8	4	3	3	
1.3. Consulting Services	76,974,100.00	3	1	6,595,120.00	2	3	2	2	1	0	
Sub-Total	270,158,288.67	44	22	63,285,847.44	15	74	66	49	43	21	
2. Alternative Modes											
2.1.1 Shopping (S2.1 b above 50K)											
2.1.2 Shopping (Others)	260,000.00	15	15	170,985.00							
2.2. Direct Contracting	102,144,804.50	50	45	48,135,973.35							
2.3. Repeat Order	50,000.00	1	1	45,057.60							
2.4. Limited Source Bidding											
2.5.1 Negotiation (Common-Use Supplies)	18,477,353.10	10	9	6,448,108.10							
2.5.2 Negotiation (TFB 53.1)											
2.5.3 Negotiation (SVP 53.9 above 50K)	115,688,909.56	445	244	41,672,452.10					349		
2.5.4 Negotiation (Others)	37,868,247.78	312	317	35,319,474.51							
Sub-Total	274,489,314.94	833	631	131,792,050.66					349	0	
3. Foreign Funded Procurement**											
3.1. Publicly-Bid											
3.2. Alternative Modes											
Sub-Total	0.00	0	0	0.00							
4. Others, specify:											
TOTAL	544,647,603.61	877	653	195,077,898.10							

* 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

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Name of Agency: COMMISSION ON HIGHER EDUCATION

Period Covered: CY 2016

	Column 12 Total No. Of Contracts that incurred negative slippage	Column 13 Total No. of contracts with amendments to order or variation orders	Column 14 Ave. No. of Days for Approval of Resolution/Issuance of Notice of Award	Column 15 No. of Contracts with Observers Attending	Column 16 No. of Contracts with COA Observers Attending	Column 17 Ave. No. of Days to Resolve Requests for Reconsiderations / Protests	Column 18 No. of Contracts Awarded within prescribed timeframes
1. Public Bidding*							
1.1. Goods			3	21	21	7	21
1.2. Works			3	3	3	7	3
1.3. Consulting Services			3	1	1	7	1
Sub-Total	0	0	N/A	25	25	7.00	25
2. Alternative Modes							
2.1.1 Shopping (S2.1 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

Neilson E. Espina
Neilson E. Espina
APCPI Ad Hoc Committee Head

Minella C. Alarcon
MINELLA C. ALARCON, Ph.D.
Commissioner
Office-In-Charge
Office of the Chairperson

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

Name of Agency: **COMMISSION ON HIGHER EDUCATION**
 Date of Self Assessment: **March 31, 2017**

Name of Evaluator: **Nelson E. Espina**
 Position: **SAO**

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and SubIndicators	Supporting Information/Documentation (Not to be Included in the Evaluation Form)
22	(b) Percentage of total number of contracts awarded against total number of procurement activities done through public bidding	50.00%	0.00		APP (including Supplemental amendments, if any) and PMRs
23	(c) Percentage of failed biddings and total number of procurement activities conducted	34.09%	0.00		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	116.67%	3.00		PMRs
25	(b) Percentage of contracts awarded within prescribed procurement time frames to procure infrastructure projects as indicated in Annex "C" of the IRR	100.00%	3.00		PMRs
26	(c) Percentage of contracts awarded within prescribed procurement time frames to procure consulting services as indicated in Annex "C" of the IRR	100.00%	3.00		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	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					
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	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	2.29		
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	113.64%	3.00		PMRs and Abstract of Bids
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)	Substantially Compliant	2.00		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	Below 60% compliance	0.00		Verify COA Annual Audit Report on Action on Prior Year's Audit Recommendations

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

Name of Agency: COMMISSION ON HIGHER EDUCATION
 Date of Self Assessment: March 31, 2017

Name of Evaluator: Nelson E. Espina
 Position: SAO

No.	Assessment Conditions	Agency Score	APCPI Rating*	Comments/Findings to the Indicators and Subindicators	Supporting Information/Documentation (Not to be Included in the Evaluation Form)
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	32.44%	0.00		PMRs
2	(b) Percentage of public bidding contracts in terms of volume of total procurement	3.37%	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	0.09%	3.00		PMRs
4	(b) Percentage of Negotiated Procurement in terms of amount of total procurement	42.77%	0.00		PMRs
5	(c) Percentage of Direct Contracting in terms of amount of total procurement	24.68%	0.00		PMRs
6	(d) Percentage of Repeat Order contracts in terms of amount of total procurement	0.02%	3.00		PMRs
7	(e) Percentage of Limited Source contracts in terms of amount of total procurement	0.00%	3.00		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	1.68	0.00		Agency records and/or PhilGEPS records
10	(b) Average number of bidders who submitted bids	1.50	0.00		Abstract of Bids or other agency records
11	(c) Average number of bidders who passed eligibility stage	1.11	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	1.93		
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	80.16%	1.00		Agency records and/or PhilGEPS records
17	(b) Percentage of contract award information posted by the Phil-GEPS-registered Agency	95.45%	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	0.00%	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	2.48		
PILLAR III. PROCUREMENT OPERATIONS AND MARKET PRACTICES					
Indicator 8. Efficiency of Procurement Processes					
21	(a) Percentage of total amount of contracts awarded against total amount of approved APPs	35.82%	0.00		APP (including Supplemental amendments, if any) and PMRs

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Agency Procurement Compliance and Performance Indicator (APCPI) Self-Assessment Form

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Name of Evaluator: Nelson E. Espina
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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 Form)
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	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					
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	2.00		
GRAND TOTAL (Average I + Average II + Average III + Average IV / 4)			2.00		


* 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	1.33
Pillar II: Agency Institutional Framework and Management Capacity	3.0000	2.38
Pillar III: Procurement Operations and Market Practices	3.0000	2.29
Pillar IV: Integrity and Transparency of Agency Procurement Systems	3.0000	2.00
Total (Pillar I+Pillar II+Pillar III+ PillarIV)/4	3.0000	2.00


 NAPOLEON B. IMPERIAL, CESO III
 Deputy Executive Director IV



 MINELLA C. ALARCON, Ph.D.
 Commissioner
 Officer-in-Charge
 Office of the Chairperson


PROCUREMENT CAPACITY DEVELOPMENT ACTION PLAN TEMPLATE

Name of Agency: COMMISSION ON HIGHER EDUCATION

Period: January 1 to December 31, 2016

Indicators	Key Area for Development	Proposed Actions to Address Key Areas	Responsible Entity	Timetable	Resources Needed
10 (b)	Enhancement/Update of knowledge/information on Republic Act No. 9184 and its revised implementing Rules and Regulations	Updating of concerned procurement personnel on amendments on the Revised Implementing Rules and Regulations of Republic Act No. 9184 be incorporated during the regular Annual Workshop on the Budget Preparation specifically the preparation of the individual Project Procurement Management Plans (PPMPs) of end-users	HOPE, BAC, BAC Secretariat, TWG, Procurement Coordinators, Procurement Unit, End-Users	within six months	additional budget for the conduct of workshop/training; resource person from GPPB and PhilGEPS
11 (b)	Maintenance of Procurement Records by the End users	Updating of end-users on effective file management system aligned to the BAC Secretariat be incorporated during the regular Annual Workshop on the Budget Preparation specifically the preparation of the individual Project Procurement Management Plans (PPMPs) of end-users	HOPE, BAC, BAC Secretariat, TWG, Procurement Coordinators, Procurement Unit, End-Users	within six months	additional budget for the conduct of workshop/training; resource person from GPPB and PhilGEPS


NAPOLEON B. IMPERIAL, CESO III
 Deputy Executive Director IV


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AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI)

CONFIRMATION QUESTIONNAIRE

Name of Agency: COMMISSION ON HIGHER EDUCATION

Date of Interview: March 31, 2017

Name of Respondent: Nelson E. Espina

Position: SAO

Instruction: *Please put a check (✓) in the given boxes if each condition is met.*

1. Do you prepare an Annual Procurement Plan for all types of procurement? (5a)

Yes

No

2. Do you prepare an Annual Procurement Plan for Common-Use Supplies and Equipment (APP-CSE) and Procure your Common-Use Supplies and Equipment from the Procurement Service? (2f)

Yes

No

3. In giving your prospective bidder sufficient period to prepare their bids, which set of conditions were met? (3d)

Bidding documents are available at the time of advertisement/posting at the PhilGEPS website or Agency website;

Supplemental bid bulletins are issued at least seven (7) calendar days before bid opening;

Minutes of pre-bid conference are readily available within three (3) days.

4. In creating your BAC and BAC Secretariat which set of conditions were present?

For BAC: (4a)

Office Order creating the Bids and Awards Committee;

There are at least five (5) members of the BAC;

Members of BAC meet qualifications; and/or

Majority of the members of BAC are trained on R.A. 9184

For BAC Secretariat: (4b)

Office Order creating of Bids and Awards Committee Secretariat or designated Procurement Unit to act as BAC Secretariat

The Head of the BAC Secretariat meets the minimum qualifications

Majority of the members of BAC Secretariat are trained on R.A. 9184

5. In determining whether you provide up-to-date procurement information easily accessible at no cost, which set of conditions were met? (7a)

- Agency has a working website
- Procurement information is up-to-date
- Information is easily accessible at no cost

6. In complying with the preparation, posting and submission of your agency's Procurement Monitoring Report, which set of conditions were met? (7b)

- Agency prepare the PMRs
- PMRs are promptly submitted to the GPPB
- PMRs are posted in the agency website
- PMRs are prepared using the prescribed format

7. In evaluating the performance of your procurement personnel, which set of conditions were present? (10a)

- There is a written procedure within the procuring entity in evaluating the performance of procurement personnel
- Procuring entity communicates standards of evaluation to procurement personnel
- Procuring entity acts on the results and takes corresponding action

8. Are all of your procurement staff participated in annual procurement training? (10b)

- Yes No

If no, please indicate the how many of your procurement staff participated in annual procurement training _____

9. Do you conduct dialogue to inform and update bidders on the procurement regulations? (10c)

- Yes No

If yes, how often? _____

10. In determining whether the BAC Secretariat has a system for keeping and maintaining procurement records, which set of conditions were present? (11a)

- There is a list of contract management related documents that are maintained for a period of at least five years
- The documents are kept in a duly designated and secure location with hard copies kept in appropriate filing cabinets and soft copies in dedicated computers
- The documents are properly filed, segregated, easy to retrieve and accessible to authorized users and audit personnel

11. In determining whether the Implementing Units has a system for keeping and maintaining procurement records, which set of conditions were present? (11b)

- There is a list contract management related documents that are maintained for a period of at least five years
- The documents are kept in a duly designated and secure location with hard copies kept in appropriate filing cabinets and soft copies in dedicated computers.
- The documents are properly filed, segregated, easy to retrieve and accessible to authorized users and audit personnel

12. In determining if the agency has well defined and written procedures for quality control, acceptance and inspection of good, works and services, which set of conditions were present? (12a)

- Agency has written procedures for quality control, acceptance and inspection of goods, services and works
- Supervision of civil works is carried out by qualified construction supervisor
- Agency implements CPES for its works projects and uses results to check contractors' qualifications (applicabel for works only)

13. In determining whether your agency complies with the thresholds prescribed for amendments to order, variation orders, advance payment, and slippage in publicly bid contracts, which set of conditions were met? (12b)

- Amendments to order or variation orders, if any, are within ten percent (10%) of the original contract price
- Advance payment(s) made does/do not exceed fifteen percent (15%) of the contract amount
- Goods, works and services are timely delivered

14. How long it will take for your agency to release the final payment to your supplier/service provider, contractor/consultant? 5 (12c)

15. Do you invite Observers in all stages of procurement? (13a)

- Yes No

16. In creating and operating your Internal Audit Unit as prescribed by the DBM (Circular Letter No. 2008-5, April 14, 2008), which set of conditions were present? (14a)

- Office Order creating the Internal Audit Unit as prescribed by the DBM (Circular Letter No. 2008-5, April 14, 2008)
- Conduct regular audit of procurement processes and transactions by internal audit unit
- Internal audit recommendations on procurement-related matters are implemented within 6 months of the submission of the auditor's report

17. Are COA recommendation responded to or implemented within six months of the submission of the auditors' report (14b)

Yes

No

18. In determining whether the Procuring Entity has an efficient procurement complaints system and has the capacity to comply with the procedural requirements, which set of conditions were present? (15a)

The BAC and the HOPE resolved Request for Reconsideration and Protests within seven (7) calendar days as per Section 55 of the IRR and decisions

Decision on Protests are submitted to GPPB

Procuring entity acts upon and adopts specific measures to address procurement-related complaints, referrals, subpoenas by the OMB, COA, GPPB or any quasi-judicial/quasi-administrative body

19. In determining whether agency has a specific anti-corruption program/s related to procurement, which set of conditions were present? (16a)

Agency has a specific good governance program including anti-corruption and integrity

Agency has a specific office responsible for the implementation of good governance programs;

Agency has specific policies and procedures in place for detection and prevention of corruption associated with procurement.