

AGRICULTURE CONTRACTS MONITORING TOOL

FOREWORD

The issue of accountability and anti-corruption is on the global, continental, national and sector agenda to enhance good governance. The challenge to strengthen citizens' monitoring of public procurement is a shared cause and responsibility.

This is the reason for a joint effort between the development partners, state and non-state actors. The collaborative approach promises positive change both at policy and implementation level.

Uganda Contracts Monitoring Coalition through the Agriculture Contracts Monitoring Cluster led by INFOC Uganda; supported by the World Bank Institute has invested into development of the Agriculture contracts monitoring tool under NAADs programme.

This will add value to the quality of input by the 3rd party monitors making use of the available political space and feedback to Government of Uganda.



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AGRICULTURE CONTRACTS MONITORING CLUSTER (ACMC)

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LIST OF ACRONYMS

- | | | | |
|-----|-----------|---|---|
| 1. | ACMC | - | Agriculture Contracts Monitoring Cluster |
| 2. | ATAAS | - | Agricultural Technology and agribusiness
Advisory Services |
| 4. | CAO | - | Chief Administrative Officer |
| 5. | CBSC | - | Community Based Selection Committee |
| 6. | CC | - | Contracts Committee |
| 7. | ICT | - | Information Communication Technology |
| 8. | INFOC (U) | - | International Network of Faith Based
Organizations Fighting Corruption |
| 9. | LG FAR | - | Local Government Finance and Accounting
Regulation |
| 10. | LGPPDR | - | Local Government Public Procurement and
Disposal Regulations |
| 12. | LLG | - | Lower Local Government |
| 13. | M&E | - | Monitoring and Evaluation |
| 14. | NAADS | - | National Agricultural Advisory Services |
| 15. | NARO | - | National Agricultural Research Organization |
| 16. | PDE | - | Procurement and disposal Entity |
| 17. | PDU | - | Procurement and Disposal Unit |
| 18. | PPDA | - | Public Procurement and Disposal of Assets |
| 19. | SCPC | - | Sub County Procurement Committee |
| 20. | SNC | - | Sub County NAADs Coordinator |
| 21. | SOR | - | Statement of Requirements |
| 22. | TPC | - | Technical Planning Committee |
| 23. | UCMC | - | Uganda Contracts Monitoring coalition |
| 24. | ULG | - | Upper Local Government |

1.0. Introduction

The Agriculture Contracts Monitoring Coalition (ACMC) is a non-partisan multi-stakeholders' initiative established to promote contract performance through promoting transparency, participatory approaches and accountability in the planning, bidding, awarding, implementation, monitoring and evaluation of agriculture Contracts. ACMC is a voluntary, charitable and not for profit loose network of 8 civil society Organisations. It is a part of an Africa-wide movement to promote transparency and accountability in the development and implementation of development contracts.

ACMC is a member of Uganda Contracts Monitoring Coalition (UCMC) a loose network of 22 (twenty two) civil society organizations that aspire to promote contract performance and value for money for the people of Uganda. It works through clusters – which are subgroupings of members on areas of interest. Currently, UCMC has six clusters focusing on Education, Health, Agriculture, Water and Environment, Extractive Industries and Public infrastructure.

This tool was specifically developed by the agriculture cluster with INFOC Uganda being the lead Agency. It was designed to monitor and evaluate agriculture contracts though can be applied in other contracts. The tool can be used on contracts both at national level and local level by community based organisations.

1.0.1. Objectives of ACMC

- To enhance Agriculture contracts performance at Central and Local Governments in Uganda.
- o strengthen community based contracts monitoring.
- To strength accountability for stake holders actions in agriculture public contracts implementation and ensure reduction of poverty and real life changing solutions in poor communities
- To ensure collaborative engagement among stake holders in implementation of public contracts and achieve joint value addition in community developed.
- To empower civil society of their responsibilities and entitlements in public contracts implementation, and strengthen their capacity to hold stake holders accountable to secure their entitlements.
- To strengthen the relationship between donor agencies, governments and citizens and ensure, citizens' needs are proactively reacted to.
- To keep track of agriculture public contracts and ensure that the aims of these contracts are achieved as planned.

1.1. Purpose and Objective

- This toolkit has been developed for use primarily for the Agriculture Contracts Monitoring Cluster members. This can, however be used by other stakeholders since it is generic tool that may be modified to suit specific contracts.
- The purpose of this toolkit is to guide the 3rd party monitors tracking the contracting process under the Agriculture sector by checking consistence to agreed terms and conditions between the 1st and 2nd parties to the contract.

2.0. Contracts Monitoring and Evaluation Overview

Contract Monitoring and evaluation is a periodic and systematic examination of contracts to assess the quantitative and qualitative progress in accordance with the agreed terms and conditions, benchmarks and indicators between 1st and 2nd parties to the public transaction.

Contract monitoring and evaluation begins with understanding the aims and requirements of a project, project design, set rules to follow during implementation, clarity on the nature of contract (i.e.) whether services, goods or works.

Contracting has three phases – the pre-contract period, contract period, and post-contract period. The pre-contract phase is the preparation stage and most significant to effective contract monitoring because corruption is protected through masterminded need and inflated budgeting to serve private interests than during the contract performance period causing massive public resources wastage; loss of value for public money. Post-contract period is a final evaluation of the contractor and the state agency's compliance to contracts.

Pre-Contract Period – Includes the procurement planning, budgeting, bidding, negotiation and contract awarding.

Contract Period – Involves cross checking validity of dates and deliverables stated in the contract.

Post-Contract Period – Final phase presents payment phase, contracts performance evaluation challenge and dispute resolution in case of any mismatch.

Agriculture contract monitoring is a process of ensuring that services contracted under Agriculture sector enhance effectiveness and efficiency in service delivery.

3.0. Contracts Monitoring and Evaluation Training to ACMC

As a lead agency of contracts monitoring and evaluation of agricultural contracts cluster. INFOC Uganda spearheaded the empowerment and training of all members of ACMC by organising, facilitating and hosting a contracts monitoring and evaluation training for Future Trainers and Monitors facilitated by an external procurement consultant from Planet Systems Limited Uganda. The training was carried out on the 12th July 2013 for 5 working days.

The central objectives of ACMC are to enhance agriculture contracts performance at Central and Local Governments in Uganda and to strengthen community based contracts monitoring. It is assumed that after empowering future trainers and monitors, those trained can train other monitors regionally and actively participate in contracts monitoring and evaluation independently as mandated.

Upon completion of training, INFOC Uganda then developed a draft agriculture contracts monitoring and evaluation tool on behalf of ACMC with the help of the procurement consultant and ensuring active participation and involvement of all ACMC members throughout the whole process.

4.0. Agriculture Contracts monitoring and Evaluation Tool

PRE – CONTRACT PERIOD					
	Area of Monitoring	Agreement		Compliance	Remarks
	What is stated in the procurement requisition?				
	- works to be undertaken,				
	- services or supplies required				
	- Is the estimated value the same as market value?	Yes	No		
	- If answer above is no; what is the profit/interest margin?				
	- specific reference number				
	Is there a statement of requirement? (SOR)	Yes	No		
	What are the descriptions of the requirements?	item	indicator		
	Are the specifications in the bid document consistent with the SOR?	Yes	No		
	Is the contracts committee in place?	Yes	No		
	Was the invitation for bids advertised publically?	Yes	No		
	Who signed the contract?				
	Were the contract funds allocated and released?	Yes	No		
	Are there contract implementation plans?	Yes	No		
	Who signed the contract?				
	Is the contract consistent with the procurement plan?	Yes	No		

CONTRACT PERIOD	GUIDING QUESTIONS	CONTRACT DETAILS	VALIDATED	VARIANCE	REMARKS
Service Provider – Institution/Department The 1st Party	Name:				
	Title:				
	Phone :				
	E-mail: Address				
Contractors' name The 2nd party	Name:				
	Title:				
	Phone :				
	E-mail: Address				
Contract Monitoring Agency The 3rd party	Name:				
	Title:				
	Phone :				
	E-mail: Address				
Program / Project Title	Which program/project is under review?				
Contract duration	Which contract? When did it commence?	Contract No.			
		Start date			
Contract value	How much is the value of the contracted services?	Gross amount			
		Amount paid			
		% of Gross paid			
Service Delivery Center	Which part of the supply chain has been visited?	Name:			
		Location:			
Activity Date	Date of monitoring				

CONTRACT PERIOD	GUIDING QUESTIONS	CONTRACT DETAILS		VALIDATED	VARIANCE	REMARKS
Contract Manager	Who is responsible for ensuring that all contractual obligations are met?	Name:				
		Title:				
Purchase order number	When did the service provider engage the contractor/consultant?					
Type of contract	Is the type of contract consistent with the procurement plan?	Yes	No			
Contractors details	Are the registered contractors details matching the validated actual?	Name				
		Contacts				
		Location				
Service/Works or Goods	Is the description of the delivered service, works or goods matching the order?	Service/Item				Ranking
	Ranking 1. Compliant - 3 2. Acceptable - 2 3. Unacceptable - 1					

CONTRACT PERIOD	GUIDING QUESTIONS	CONTRACT DETAILS		VALIDATED	VARIANCE	REMARKS
		Specification	Yes			
Specifications for Works, Service or Goods	Are the specifications of deliverables consistent with the contracts' quotes? Ranking 1. Compliant - 3 2. Acceptable - 2 3. Unacceptable - 1	Model/Origin				Ranking
		Size				
		Height				
		Width				
		Diameter				
		Color				
		Age				
		Sex				
		Composition				
		Length				
		Qualifications				
		Experience				
		Deliverables	Has the schedule of deliverables been met?	Date		
Quality						
Quantity						

CONTRACT PERIOD	GUIDING QUESTIONS	CONTRACT DETAILS		VALIDATED	VARIANCE	REMARKS
Contract prices	Is the contract price the same as that quoted in the market price catalogue? If no; what is the profit/interest margin?	Contract price	Market Price			Profit/Interest Margin
Outputs	What are the agreed outputs?	Outputs Indicators				Ranking
Outcomes	What are the agreed outcomes?	Outcomes Indicators				Ranking
Special Conditions	Have the conditions set for each party been met? 1st, 2nd and 3rd Parties	Yes	No			
Termination clauses	When is the contract closing?					
	Have the certificates of completion been issued?					
Payment	Gross Amount					
	Taxes					
	Balance of payment					

**4.1 SPECIFIC AGRICULTURE CONTRACTS MONITORING AND EVALUATION TOOL
CONTRACTS INITIATION AND IMPLEMENTATION DETAILS**

PROJECT TITLE	CONTRACT REF NO	AGREED CONTRACT LIFE TIME	START DATE	END DATE	CONTRACTOR	SUPPLIER	ITEM DESCRIPTION	BENEFICIARY	FINDINGS	VARIANCES	REMARKS

MONITOR'S NAME:

SIGNATURE:

DATE:

ADDITIONAL CONTRACTS INFORMATION

INTERVIEW DETAILS

DATE	NAME OF INTERVIEWEE	INTERVIEWEE TITLE	INTERVIEW TIME	INTERVIEW DETAILS	INTERVIEWEE SIGNATURE	FINDINGS	VARIANCES	REMARKS

MONITOR'S NAME:

SIGNATURE:

DATE:

OBSERVATION/TESTIMONIAL EVIDENCE ANALYSIS

DATE	DETAILS OF OBSERVATIONS / TESTIMONIES	FINDINGS	VARIANCES	REMARKS

GIVE DETAILS OF EVIDENCE ATTACHED

TYPE OF EVIDENCE	TICK	SPECIFY DETAILS	REMARKS
PICTORIAL EVIDENCE			
COPIED DOCUMENTATION			
SAMPLES COLLECTED			
ANY OTHER RELEVANT ATTACHMENTS			

MONITOR'S NAME:

SIGNATURE:

DATE:

4.2. Information Source Documents in Contracts Monitoring and Evaluation

Post Contract Period-What Monitors need to look out For to Validate Contracts Performance

a) Procurement plan

- Expression of need / party interested in service or goods
- Specifications of the goods / service to be provided (what)
- Source of goods / services
- Price tagged to the goods or service / works
- Source of funds
- Time frame / delivery schedule (when)

b) Local purchase order form

- Specification of the goods, services, works
- Quantity /number in question
- Price of the goods / services / works
- Delivery date and place

c) Certification by subject matter specialist

- Existence of the certificate
- Specifications on the certificate
- Quantity / number of goods/ services or works on the certificate of completion

d) Delivery form / goods received note

- Delivery date
- Quantity of goods delivered
- Specifications of the goods, services and works

e) Payment sheet / vouchers

- Amount paid
- Price per unit quantity /volume
- Quantity of goods paid for
- Quality of services paid for
- Date of payment
- Necessary attachments

f) Distribution forms

- Targeted beneficiaries
- Signatures of beneficiaries
- Physical location of beneficiaries
- Quantity received
- Date when received

g) Client's satisfaction assessment

- What change have the outputs caused?

Agriculture Contracts Monitoring Tool

POST NAADS CONTRACTS MONITORING CHECKLIST / FEEDBACK REPORT FORM

Sub county	Name of monitor.....date.....				
Item	Time to monitor	Planned	Remarks		
Local purchase order	Continuous All quarters	Specifications of goods / services and price on local purchase order vis-à-vis procurement plan			
Certification	Continuous All quarters	Existence of certificate	YES / NO		
	Continuous All quarters	Content on certificate vis-à-vis procurement plan and local purchase order	<u>Planned</u>	<u>Actual</u>	<u>Remarks</u>
Delivery forms	Continuous All quarters	Quantity/ numbers delivered vis-à-vis procurement plan and local purchase orders			
	Continuous All quarters	Date / time of delivery vis-à-vis procurement plan and local purchase order			
Payment sheet / voucher	Continuous All quarters	Amount paid vis-à-vis local purchase order and delivery forms.			
Distribution lists	Continuous All quarters	Number and name of beneficiaries			
	Continuous All quarters	Physical location of beneficiaries			
	Continuous All quarters	Names and Signatures of beneficiaries' vis-à-vis what exists on application forms/ expression of interest.			
	Continuous All quarters	Date when received			
FIELD VERIFICATION					
Item	Remarks				
Beneficiary	End of any quarter	Physical existence			
	End of any quarter	Quantity received vis-à-vis distribution list and procurement plan			
	End of any quarter	Quality of goods / service vis-à-vis certificate made and procurement plan			

SIGNATURE OF MONITOR.....

DATE.....

5.0. Review Notes

5.1. Relevant Governing Public Procurement Policies in Uganda

Public procurement in Uganda has undergone tremendous reforms and changes. Until 1990, the Central Tender Board was the main overseer of the public procurement process.

In 1990 the government made key procurement reforms leading to the set-up of the PPDA Act and Regulations 2003, (revised) with the objectives of ensuring fair procurement and disposal standards and practices, setting standards, monitoring compliance and building procurement capacity.

Until the 1990's at district level, local governments used tender boards as agencies for procurement of goods and services for local governments. The tender board is responsible for district and sub-county level procurements.

- a) NAADS Regulatory Framework
- b) NAADS Act 2001
- c) NAADS Implementation Guidelines October 2010/2011
- d) Public Procurement and Disposal of Public Assets Authority (PPDA), 2003- formulate policy and regulate practices.
- e) Local Government (Amendment) Act 2006 and the Local Government Procurement and Disposal of Public Assets Regulations, 2006.

The revised Local Government Procurement and disposal of public assets authority Regulations 2006 (Cap 15 – 3) provide for establishment of a contracts committee which is constituted by technical officers in the district proposed by the Chief Administrative Officer (CAO) and approved by the Secretary to Treasury in the Ministry of Finance.

5.2. DISTRICT PROCUREMENT PROCESS

5.2.1. Roles and Responsibilities of key players

The procurement activities involve various players with different roles to achieve procurement objectives.

a) The District council

This is the supreme body in a district and is responsible for ensuring implementation and compliance with government policy and good governance, approval of budgets and Procurement plans.

b) The Chief Administrative Officer (CAO)

The CAO is the head of the administration of the district council and the Accounting officer of the district as stipulated in section (65) of the LGA. He/She is responsible for signing contracts, communication of award decisions, confirmation of availability of funds and administrative reviews in the procurement process.

c) The Contracts Committee (CC)

The contracts committee (CC) is responsible for approval of all procurement procedures which includes approval of contract documents, appointment of members of evaluation committees and approval of procurement methods. It is also responsible for award of contracts and monitoring procurement activities and ensuring that the PPDA Act and best practices in procurement are complied with.

d). The Public Procurement and Disposal Unit

The PDU is responsible for the management of all procurement and disposal activities of a Procuring and disposing entity (PDE). Its main activities include implementation of the decisions of the contracts committee, planning the procurement and disposal activities of a PDE, preparation of bid documents and management of the bidding process, preparing reports to relevant authorities and maintenance and archiving of records of the procurement and disposal process.

e). The User Departments

The user departments include all the departments in the districts and the lower local governments which are the final consumers of goods and services. The users make and submit work plans to the PDU. They initiate all procurement and disposal requirements and Recommend statements of requirements to the Procuring and Disposal Unit (PDU). They are also responsible for the preparation of contract implementation plans and contract management.

f) Process Description

Needs Assessment Regulation 62 of the LGPPDR and Regulation 22 of the Local Government Financial and Accounting Regulations (LGFAR) 2007 require the preparation of procurement work plans based on identified user needs. To identify user needs, the users need to be involved in the assessment. This should be followed by feasibility studies and the cost benefit analysis, before the procurement planning process begins. The needs assessment, when properly done provides the required input for specification of requirements that are necessary to initiate a procurement process. It also ensures that goods, works and services procured serve the intended purpose of the end users as earlier identified in the needs assessment.

g) Procurement Planning

Procurement planning is mandatory under section (58) of the PPDA Act and Regulation 96 of PPDA. A PDE is required to plan its procurements and disposal in a rational manner to avoid Emergency procurements and to aggregate its requirements. Planning involves drawing annual work plans by user departments and the Lower Local Governments (LLGs), based on approved budgets and submitting them to the PDU so that the procurement budgets are integrated into the overall expenditure program of the district. All procurements or disposals are approved by the AO prior to the commencement of any procurement or disposal process as per section 59(3) of the Act.

h) Procurement Requisitioning

Procurement requisitions are initiated by the user departments. Section 59(2) of the PPDA Act and Regulation 65 (1) provides that a procurement or disposal, should only be initiated or continued on the confirmation that funding is available at the time the contract commitment is made. The requisitions should include a clear indication of the works to be undertaken, services or supplies required and the estimated value and a specific reference number.

i) Budgeting

The planning process is guided by the LG planning and budgeting cycle. The Council is required to have annual work plans and estimates for the forthcoming year approved by 15th June. The Council is also required to submit its budget framework paper (BFP) to the Ministry of Finance, Planning and Economic Development (MoFPED) by 15th January. MoFPED and the district are required to disseminate policy and planning guidelines to LLGs by 30th September. Formal submission of approvals and recommendations to Upper Local Governments (ULGs) and LLGs by the technical planning committee (TPC) should be done by 30th June.

The lower local governments (LLGs) and departments draw up work plans and budgets and submit them to the PDU. The PDU aggregates the plans and budgets into the district budget. The draft budget which is based on Indicative Planning Figures (IPFs) is approved by the district council by 15th June, subject to approval by MoFPED. The MoFPED approves the budgets and after adjusting the IPFs, advises districts to revise their budgets to fit within the approved provisions.

j) Development of Specifications/Terms of Reference/Statement of works

It is the role of the PDU to prepare the statement of requirements (SOR) and terms of reference with input from users. The SORs is a document that contains a full and complete description of the requirements that are the subject of procurement.

k) Pre-qualification

It is a requirement under Regulation 22 of the PPDA Act that the authority maintains a register of providers of works, services and supplies. The purpose of the register is to offer PDE reliable and up to date information about the contractors.

l) Preparation of Bid documents

The preparation of bids is done by bidders and the associated costs of bid preparation are borne by them. The bidder receives and checks bids documents for correctness and completeness. The bid documents comprise parts 1, 2 and 3, detailing bidding procedures, SORs and the contract, respectively.

m) Invitation of Bids

The PDE through the PDU invites bids for the provision of supplies and related services specified in the SORs. The methods of selection of a bidder to be invited to bid are either by publication of a bid notice in a newspaper of wide circulation, or through a pre-qualification exercise or by development of a short-list as per Regulation 142 of the PPDA. Bids remain open for the specified period of advertisement which is four and eight working days for open domestic bidding and open international bidding, respectively. For a bidder to participate in public procurement they must meet the eligibility criteria set out in Regulation 45 (1).The CC is required to verify the authenticity of the eligibility documents provided by a bidder [Regulation 45 (4)].

n) Receipt and opening of offers

The methods of receipt of bids are defined in Regulation 70 of the LGPPDR Regulation and include receipt of bids in person and issue of a receipt, or use of a bid box. A PDU is required to keep a record of all bids received. Bidding should close at the precise time on the last day/date specified in the advertisement. A bid received after the latest time and date for submission is declared late, labeled as such and returned unopened to the bidder. The bid closing process is managed by the PDU and witnessed by a representative of the CC.

o) Opening of Bids

Opening of bids by open and selective bidding should take place in a public session, managed by the PDU and witnessed by the CC. The bid box in which bids are kept is unlocked at the appointed time and venue stipulated in the bid documents in the presence of the members of the CC and the bidders and kept in a secure location until evaluation begins.

p) Evaluation of Bids

Evaluation of bids is the responsibility of the Evaluation Committee, an ad hoc committee constituted for every procurement. The committee is approved by the Contracts Committee (CC) and it reports to the PDU. Unless stated otherwise in the bid solicitation document, an evaluation is conducted in three stages: the preliminary examination to determine the eligibility of a bidder and administrative compliance (Regulation 185), a detailed evaluation to determine the commercial and technical responsiveness of the eligible and compliant bid and financial evaluation to compare costs of the eligible, compliant, responsive bids received to determine the best evaluated bidder.

The process aims at determining the best evaluated bid. The outcome of the evaluation process is the Evaluation Report in accordance with section 37 (1) of the PPDA Act and Regulation 168 (1). The evaluation is conducted in accordance with the methodology and criteria stated in the bid solicitation documents. An evaluation criterion is used to assess compliance with the statement of requirements

q) Procedures Approval

All procurement and disposal procedures should be approved before commencement of procurement. The procurement plan is approved by the district council; other approvals are done by the Contracts committee (CC). The powers and functions of the CC are spelt out in section 28 and 29 and include among others, approval of bid and contract documents, authorization of procurement and disposal Procedures and methods of approval of solicitation documents and evaluation requirements.

r) Award of contract

Contracts are awarded by the contracts committee following evaluation and selection of bidders. An award is confirmed by a written contract signed by both the service provider and the PDE after the period specified by the PPDA regulations lapses and confirmation of funding by the Accounting Officer is made.

s) Communication of award

A PDE is required under Regulation 85 to display a notice of the best evaluated bidder within five days of the decision of the CC to award a contract. A notice of best evaluated bidder should be displayed on a PDE's notice-board or website and sent to all bidders who participated, and remains open for a minimum of ten working days prior to the award of contract.

t) Contract Management

PPDA Regulation 258 provides that after a contract has been placed, contract management shall pass from a PDU to a user department. A contract manager shall prepare a contract management plan using Procurement Plan (PP) Form 60 and submit a copy to the PDU for monitoring purpose. The functions of a contract manager as outlined in Regulation 260 (2) and are: to ensure that a provider meets all performance or delivery obligations and submits all required documents; to ensure that the PDE meets all payment and other obligations; and ensures that there is adequate cost, quality and time control.

u) Monitoring and Evaluation

Contract monitoring and evaluation is the responsibility of all interested parties and includes the users, the accounting officer, the PDU and the CC. Monitoring is done throughout the contract implementation stage.

5.3. NAADS Community Based Procurement System

The new NAADS policy empowers local service users to directly command procurement at village level as long as the technologies are available within the local area. Acquisition of farmer's technologies and inputs is done through a procurement cycle characterized by;

- a) Procurement Planning,
- b) Invitation for Quotation(s),
- c) Evaluation of Quotation(s),
- d) Contracting,
- e) Follow up of Contracts,
- f) Receipt of Goods, and
- g) Payment of Supplier(s).

FIGURE I: CATEGORY OF GOODS PROCURED AT COMMUNITY LEVEL AND COMMERCIAL LEVEL

Food Security Inputs	<ul style="list-style-type: none"> a. Seed such as maize, rice, millet, sorghum, beans, cowpeas, pigeon pea, field peas and inputs. b. Planting and materials e.g. vegetative planting materials such as cassava cuttings, sweet potato vines, banana suckers, Irish potatoes c. Stocking materials (livestock) such as goats, pigs; and poultry
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Technology Inputs for Agri - businesses	<ul style="list-style-type: none"> a. Milk Cooler and Maize Milling Plants b. Hatcheries c. Stocking materials (livestock) such as Fertilizers, Hi- Breed Cattle, goats, pigs; and poultry d. Valley Dams among other infra-structure
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APPENDIX I

5.3 Access to Information – Source and Custodian.	3rd Party Monitors track the procurement process at pre – contract phase at sub county level.	
ACTIVITY & ACTOR	GUIDING QUESTIONS	
<p>PROCUREMENT PLANNING – By Community Based Selection Committee (CBSC)</p>	<p>Is the procurement demand driven or is induced to meet a private interest?</p> <p>Are the shortlisted contracts consistent with the development goals and priorities?</p> <p>Was the planning process compliant to the relevant policy?</p>	<p>Consult some community members and identify requirements, quantities, prices, procurement methods, and package contracts. Prepare procurement schedule. Access relevant current, policy, development plan, budget, reports and minutes.</p> <p>Access and Review of project design to establish expression of need; approved procurement plan/budget.</p> <p>Upon understanding the project design, the project monitor will have to review the procurement plan for that specific project to inform their decision in developing and designing both qualitative and quantitative performance deliverables of that project .Among thing to look out for include:</p> <p>Budget ceilings for a particular project per phase; Set time phrase in implementation and delivery; Goods/works/services to be contracted; Specification in terms of colour, brand, size; sex, units of measure; Set prices; Funder’s set rules.</p>
<p>ISSUE REQUEST FOR QUOTATIONS – Advertisement by Community Based Selection Committee (CBSC)</p>	<p>Was the advert consistent with the planned procurement contract?</p> <p>What checks are in place to prevent information leaks?</p>	<p>Review rules, policies and procedures to follow. Invitation of expression of interest - To At least 3 pre-qualified bidders for Shopping</p> <p>-To single bidder for Direct Purchase. - For complicated purchases, forward to SCPC - Access copies of adverts</p>
<p>Pre-qualification by Procurement contracts committee</p>	<p>Was the pre-qualification stage widely publicised? How independent are the interested companies?</p>	<p>Verify agencies and firms wishing to offer services and supplies and shortlist potential service providers. Access pre-qualification report and shortlist.</p>
<p>EVALUATE QUOTATIONS By Community Based Selection</p>	<p>Was the scoring process fair and free of conflict of interest?</p>	<p>Participate in the bid evaluation process to ensure integrity of the process if you have an understanding with the first and second parties. Analyze quotations; Select lowest realistic priced bidders. Recommend contract award to SCPC</p> <p>Access price catalogues, bid documents and score card - Access Winning bid documents. Review</p>

ACTIVITY & ACTOR	GUIDING QUESTIONS	3 rd Party Monitors track the procurement process at pre – contract phase at sub county level.
Committee (CBSC)		<p>LPO.</p> <p>This stage aims at confirming that the bidder awarded was best and realistic. Project monitors review bid documents of the winner, review Local Purchase Orders against market price catalogues.</p>
<p>AWARD CONTRACT</p> <p>By Sub-County NAADS Contracts Committee</p>	<p>What does the policy and rules say?</p> <p>(assess clarity and compliance)</p>	<p>Award to realistic lowest priced bidder. Access signed contracts agreement. Access tender award letters and acceptance letters.</p> <p>This stage validates the existence of the whole monitoring and evaluation process, the 3rd Party monitor looks out for terms and conditions in contracts agreements and confirms that both parties have agreed to the set terms and signed a contract in agreement before implementation and delivery of service. It's upon these terms and boundaries set in this agreement that most of the activities in the monitoring and evaluation process will be directed. In cases where there isn't a signed contract the monitor may continue monitoring upon funder request however this will be recorded as fraud. On the other hand the monitor may stop at this stage since there will be not existing contract to monitor. Documents to review include: Signed bid contract agreements.</p> <p>This is the stage for designing monitoring tools as per deliverables and indicators as per the contracts.</p>
<p>PLACE CONTRACT</p> <p>Implementation stage</p> <p>By Sub-County Chief</p>	<p>What are the terms and conditions in the contract?</p> <p>Are the specifications matching those detailed in the approved bid documents?</p> <p>What are the expected deliverables?</p>	<p>Review signed contracts agreement, issued Purchase Order for goods, Bid documents, Progress reports, Certificates of completion, Payment Vouchers and receipts.</p> <p>Monitoring and evaluation may have a generic standard process that can be used under different kinds of procurements for works, goods and services. However it's hard to have a generic monitoring and evaluation tool because different projects have different aims and objectives therefore different deliverables and performance indicators hence different monitoring and evaluation tool design. It's important to note that it's almost impossible for an evaluator to come-up with a monitoring tool design without detailed project information and agreements in place.</p> <p>Tools that can be designed at this level include: Questionnaires; Interview Questions; Data</p>

ACTIVITY & ACTOR	GUIDING QUESTIONS	3 rd Party Monitors track the procurement process at pre – contract phase at sub county level.
	<p>What is the timeframe?</p> <p>Are the items and description matching those stated in the contract agreement?</p>	<p>collection tables; Site visits; List of Sample documents for review.</p>
<p>RECEIVE GOODS By Sub/Accountant and CBSC Representative Relevant SMS</p>	<p>Do the specifications in the contract match those in requirements and bid documents?</p>	<ul style="list-style-type: none"> - Match specifications, quantity and quality of received goods and services. - Review the delivery note, goods received, invoice or supplier memo. - Witness delivery.
<p>PAY SUPPLIER By Sub/Accountant, Sub-county Chief, CBSC</p>	<p>Do the specifications in delivery and goods received notes match those described in the contract?</p>	<p>Data analysis and interpretation. (Evaluation Stage) - Access demand note. Using the data collected the monitor at this stage will analyse the data and come-up with viable interpretations upon which evaluation conclusions/decisions are taken. Activities at this stage include: Comparison of reports, agreements and documents to validate existence of contracts; Interpretation of answers as per questionnaires issued and coming up with viable relevant conclusions; Interpretation of quantitative reports; Comparison of actual procurements made and what is in reports(field visits); Validating word of say evidence against what is written in documents;</p>

APPENDIX II

Pilot Work Plan

	Government of the Republic of Uganda
Project Name	Agricultural Technology and agribusiness Advisory Services Project
Loan/Credit No.	47690
Project Implementing Agencies	National Agricultural Advisory Services Secretariat (NAADS) National Agricultural Research Organization (NARO) Local Governments

The ATAAS project will be co-implemented by National Agricultural Research Organization (NARO) and the National Agricultural Advisory Services Organization (NAADS).

The objective of the project is to increase agricultural productivity and incomes of participating households by improving the performance of Uganda's agricultural research and advisory service systems.

The project will support key activities through five (5) components namely:

Component 1- Developing Agricultural Technologies and Strengthening the National Agricultural Research Systems (NARS).

This component which will be implemented by NARO will finance the development of agricultural technologies through research and strengthening the agricultural research institutions.

Consulting services will be procured include the following:

- a) Engineering services for construction and rehabilitation of laboratory and other facilities
- b) ISO certification of NARO processes
- c) National Seeds Certification
- d) Business development studies for the Public Agricultural Research Institutes

Goods to be procured include the following:

- a) Agricultural research workshop equipment
- b) Laboratory equipment and supplies
- c) Laboratory furniture
- d) Tractors & implements
- e) Generators
- f) Water pumps

Component 2- Enhancing partnerships between Agricultural Research, Advisory Services and other Stakeholders.

This component which will be implemented jointly by NARO and NAADS will finance activities that enhance the efficiency and effectiveness of technology development and dissemination by supporting closer linkages between NARO, NAADS & other stakeholders.

Consulting services to be procured include the following:

- a) ICT infrastructure needs assessment services
- b) Chief Information officer
- c) Impact Assessment study
- d) Feasibility study on provision of portal for internal and mobile applications.

Component 3- Strengthening the National Agricultural Advisory Services.

This component which will be implemented by NAADS will finance activities that support improved delivery of demand driven and market oriented advisory services to farmers to promote their progression from subsistence to market orientation.

1. Consulting services to be procured include the following:

- a) Quality assurance of farmer Institutional Development
- b) Development of content and translation of broadcasting of agricultural advisory services.
- c) Capacity development and training of district and sub county staff to support farmers in enterprise selection.
- d) Capacity development and accreditation of accreditation of input dealers.

2. Goods to be procured include the following:

- a) Motorcycles

Component 4- Supporting Agribusiness Services and Market Linkages

This component which will be implemented by NAADS will finance activities that promote integration of smallholders in value chains by supporting collaboration between agribusiness, farmers, advisors, and researchers to create viable, sustainable market and agribusiness linkages.

1. Consulting services to be procured include the following:

- a) Value chain analysis of various enterprises and establishing national level innovative platforms.
- b) Gross margin analysis.
- c) Generating and disseminating market information to guide farmers in markets.
- d) Management of selection process for NAADS Competitive Grants

Component 5 - Program Management

This component which will be implemented jointly by NARO and NAADS will finance activities that support the NARO and NAADS Secretariats to ensure:

- i. efficient execution of administrative, financial management, and procurement functions
- ii. Coordination of project activities among various stakeholders
- iii. Implementation of safeguard measures mandated by Government of Uganda and IDA.
- iv. An effective use of the joint M&E and ICT systems established under component 2.

Consulting services to be procured include the following:

- a) Annual Audit of NARO and NAADS project accounts
- b) Procurement training services
- c) Procurement audit services
- d) Annual Statutory audit for NAADS Secretariat, districts and sub counties
- e) Limited audit for districts and sub counties
- f) Performance /Value for money audits at district, sub county and farmer levels.

Goods to be procured include the following:

- a) Office furniture
- b) Motor vehicles
- c) Motorcycles

Agriculture Contracts Monitoring Tool

Package Number	NARO Contracts (Description)
IFB No. ATAS-GOODS-001	Laboratory and Workshop and equipment (Assorted items packaged in 23 lots)
IFB No. ATAS-GOODS-002	Motor Vehicles - Lot 1- Pick-Up's (40) ; Lot 2-Sedans (2); Lot 3- Station Wagons (18); Lot 4- Lorries (2); Lot 5- Vans (5); Lot 6- Motor Cycles (58 No)
IFB No. ATAS-GOODS-003	Tractors with Implements (11 No)
IFB No. ATAS-GOODS-004	Generators and Water equipment - Lot 1 -Generators (21); Lot 2- Water Pumps (4)
IFB No. ATAS-GOODS-005	Office Supplies and Consumables - Lots (20 No) of assorted items under framework contract for one year
IFB No. ATAS-GOODS-006	Furniture - Lot (1 No) of 130 sets of one(1) table, one(1) swivel chair, two (2) visitors chairs and one (1) book shelf (130)
IFB No. ATAS-GOODS-007	Fire Safety Equipment (Dry Chemical Powder, 5 Kg Carbon oxide, Fire Blankets, Smoke Alarms, Fire Signs) for 14 stations-Lot 1- Central Region (4); Lot 2-Eastern region (6); Lo 3- Northern Region (2); Lot 4 - Western Region (3)
IFB No. ATAS-SRVCS-008	Repair and Maintenance of Motor Vehicles -Different makes of Pick-Ups, Vans, Salons and Station Wagons, tractors and Motor cycles - 8 Lots of different makes and models under Framework contract
IFB No. ATAS-SRVCS-009	Repair and maintenance of Equipment Office and Laboratory equipment)- 10 Lots for various models and makes of equipment
IFB No. ATAS-SRVCS-010	Cleaning Services for Laboratories, offices and compound maintenance for one year for 16 stations-Lot 1- Central Region (5); Lot 2-Eastern region (6); Lo 3- Norther Region (2); Lot 4 - Western Region (3)
IFB No. ATAS-SRVCS-011	Security Services for one year for 16 stations-Lot 1- Central Region (5); Lot 2-Eastern region (6); Lo 3- Northern Region (2); Lot 4 - Western Region (3)
IFB No. ATAS-SRVCS-012	Laboratory chemicals, reagents and consumables (Assorted items packaged in 3 lots)
IFB No. ATAS-WRKS-002	Construction and rehabilitation of offices, laboratory, residential, incinerators, cold rooms, stores, animal infrastructure facilities, pier, water works, sewerage works and electrical works at eleven (11) stations
IFB No. ATAS-WRKS-002	Construction of screen houses at five (5) stations

APPEDIX III. SAMPLE SPECIFICATIONS

Generator

Place of Origin:	CN;CHO;
Output Type:	AC Single Phase;
Brand Name:	ZHAOTIAN;
Rated Power:	1.0KW;
Rated Current:	3.5A;
Rated Voltage:	220V;

Colour

Water Pumps - Submersible Pumps - Borehole pumps

The type of pump depends on the depth of the water, flow rate and pressure required. Differences in these variables will affect the model and the size. We can specify a suitable pump based on your requirements.

SCL Water specializes in the supply of 3", 4", 6" and larger pumps powered by single or 3-phase electricity. The Grundfos 3" SQ/SQE range is a good example of a flexible, high quality solution for domestic or light commercial use.



Massey Ferguson MF460

PERFORMANCE

Rated engine power @ 2200 rev/min *105 ISO hp (78.3 kW) 102 DIN PS (75kW)

Max engine torque @ 1400 rev/min Max PTO power @ rated engine speed *382 Nm 90.9 DIN PS (67.8kW)

*ISO Tr14396 DIN 70020

ENGINE

Type Perkins/P4000T
No. Of Cylinders 4
Injection Direct
Aspiration Turbocharge
Capacity 4.1 l
Air Cleaner Type Dual, dry element with under-bonnet air intake

Fuel filter With sedimenter
Exhaust Vertical

ELECTRICS

Alternator 55 Amp
Lights Headlights, sidelights brake lights, direction indicators, rear work lamp
Others Horn, 7 Pin trailer socket

CLUTCH

Type Dual clutch, Pedal operated
Diameter 305 x 254 mm
Lining Material Cerametallic

TRANSMISSION

12 Speed
Synchronesh 12 forward, 4 reverse Speeds, sideshift

POWER TAKE OFF

Live PTO 540@ 1900 engine rev/min
Shaft diameter 35 mm (13/8 in)
No. Of splines 6

LINKAGE and HYDRAULICS

Functions Draft control, Position control, Response control, 17 l/min 210 bar
Max oil flow Max PTO Max lift capacity at link ends links horizontal -Lower links 3200 kg
Swinging Drawbar Cat 2 fixed ball ends, with telescopic stabiliser
Lower Links Heavy Duty

AUXILIARY HYDRAULICS

Max oil flow 50 l / min @ 170 bar
Spool Valves 1 Double acting, with spring-to-neutral facility

STEERING

Type Hydrostatic

4WD FRONT AXLE

Axle type Centre drive
Max. Turning angle 55
Differenatial lock Automatic

REAR AXLE and BRAKES

Brake type Oil cooled, disc
Actuation Mechanical, independent or locked together
Parking Brake Foot operated
Differential Lock Mechanical

OPERATOR AREA

Type Semi-platform
Seat Spring suspension
Fender Flat top, with toolbox

INSTRUMENTATION

Guages Technometer, hourmeter
feul level, water temperature
Warning Lights Direction indicators, electric charge, headlight main beam, low engine oil pressure

WHEELS and TYRES

Front - 2WD 9.00-16 Pressed
4WD 14.9-24 Pressed
Rear 18.4-34 Pressed

TACK ADJUSTMENTS

Front - 2WD 1390 to 1990 mm
4WD 1730 to 2040 mm
Rear, in 102 mm increments 1625 to 2335 mm

WEIGHTS and DIMENSIONS

(Varies according to specification)

2WD

Weight 3575 kg
Overall length 4.25 m
Width - minimum 2.20 m
Height, Over: 2.80 m
-exhaust 2.64 m
-sun canopy 2.37 m
Wheel Base
Turning circles 8.00 m
-with brakes 8.80 m
-without brakes 8.80 m
Ground clearance 350 mm

4WD

Weight 3940 kg
Overall length 4.32 m
Width - minimum 2.20 m
Height, Over: 2.80 m
-exhaust 2.64 m
-sun canopy 2.46 m
Wheel Base
Turning circles 7.80 m
-with brakes 8.60 m
-without brakes 8.60 m
Ground clearance 350 mm
measured to font of weight frame

CAPACITIES

Fuel Tank 210 litre
Hydraulic system 45 litre (2WD) 47 litre (4WD)

OPTIONAL EQUIPMENT

Independetn PTO, quick attach front weights
rear wheel weights, safety frame, rigid or folding sun canopy, spring suspension seat with armrests and seatbelt (available with safety frame only) range of wheels and tyre options, exhaust aspirated air cleaner, 540 / 1000 PTO, mid-mounted work lights, 21 Spline PTO shaft, tool kit and grease gun.

