

PROCUREMENT RISK ASSESSMENT

I. INTRODUCTION

1. After the successful implementation of the first and second Urban Governance and Infrastructure Improvement (Sector) Project (UGIIP-1 and UGIIP-2) in 78 *pourashavas* (municipalities), Local Government Engineering Department (LGED) with the financial assistance of Asian Development Bank (ADB) have been implementing UGIIP-3 in selected 30 *pourashavas* over a period of 6 years (2014 to 2020). The on-going UGIIP-3 (current project) supports strengthening of urban governance and improvement of urban infrastructure and service delivery in *pourashavas* by providing investment support to *pourashavas* based on their governance performance.¹ The additional financing will expand the current project, which is performing well, by supporting (i) additional priority infrastructure and governance improvements in *pourashavas* covered by the current project, and (ii) infrastructure and governance improvements in five more *pourashavas*.² With additional financing the project implementation period is proposed to be extended for one year to 2021.

2. The additional financing is included in the Country Operations Business Plan for Bangladesh (2016-2018) and ADB Board Approval is targeted for Q3 2017. As part of due diligence, procurement risk assessment of executing agency and implementing agencies (IAs) is required and the assessment has been prepared by the consultants' team for preparation of additional financing of UGIIP-3 and in accordance with the Guidelines for Assessing Country, Sector, and Project Procurement Risks (August 2015). Accordingly the consultant team collected information and data from the five new *pourashavas* to be included under additional financing for assessing the procurement risks. The consultant team also held meetings with the respective procurement personnel at the Local Government Engineering Department (LGED), the executing agency of the overall project (current project including additional financing) and the Department of Public Health Engineering (DPHE), co-executing agency for water and sanitation subprojects, as well as with respective procurement personnel of the five new *pourashavas* to perceive their understanding and views about the challenges they faced during the last foreign-assisted projects, and as they approach this project. The consultant team also reviewed master bidding documents collected from the project management unit (PMU), and focussed on the standings (strong and weak) of the procuring units of the *pourashavas*.

3. The consultant team assessed the strength and weak areas of the procurement unit of the *pourashavas*. Accordingly the Procurement Risk Assessment and Risk Management Plan (P-RAMP) have been suggested in this report.

II. PROJECT PROCUREMENT RISK ASSESSMENT

A. Overview

4. The "Project Procurement Risk Assessment Questionnaire" based on Appendix 11 of ADB's Guide 2015 on Assessing Procurement Risks, has been prepared for detailed assessment. The questionnaire with responses and risk ratings for each of the five new

¹ Under UGIIP-3 the Urban Governance Improvement Action Program covers the areas (i) citizen awareness and participation, (ii) urban planning, (iii) gender equality and social inclusion, (iv) local resource mobilization, (v) financial management and accountability, (vi) administrative transparency, and (vii) keeping essential *pourashava* services functional.

² *Pourashavas* to be included under additional financing are Cox's Bazar, Faridpur, Gopalganj, Kushtia, and Mymensingh.

pourashava to be included under additional financing is in **Attachment 1**.

B. Organization and Staff Capacity

5. The LGED and DPHE, both under the Local Government Division (LGD) of the Ministry of Local Government, Rural Development and Cooperatives, are the EAs of the overall project. Both have extensive experience in managing urban and water supply projects financed by ADB. LGED is responsible for providing support and guidance to *pourashavas* concerning performance criteria and *pourashava* development planning. DPHE, as co-executing agency will provide support in water supply and sanitation schemes. Both, LGED and DPHE are proven executing agencies (EAs) with highly experienced staff. Implementation activities will be overseen by a project management unit (PMU).

6. Participating *pourashavas* are the implementing agencies (IA), with a project implementation unit (PIU) within the *pourashava* structure.

7. Consultant teams, composed of Management Design and Supervision (MDS) and Governance Improvement and Capacity Development (GICD) consultants, supporting PMU and PIUs will provide (i) detailed engineering design, contract documents preparation and safeguards facilitation; (ii) project management and administration support; (iii) assistance in supervising construction; (iii) strengthening of local governance, conducting required studies/surveys and (iv) awareness raising on behavioral change in water, sanitation and solid waste management activities.

8. The PIU will carry out the responsibilities of preparing bidding documents, invitation for bids, receiving bids, bid evaluations, obtaining approval of the ADB through the PMU, award and sign of contracts³ to the successful bidders, supervision of the construction works/ supplies, making payments to the contractors, and submission of the physical and financial progress reports and project completion report to the PMU and ADB.

9. Pourashavas have their own Procurement Units comprising of regular staff and headed by its Mayor as per government standard procedure. Each of the five pourashavas has fulltime staff. There are at least one Executive Engineer, one Assistant Engineer and two Sub-Assistant Engineers along with surveyors and Work Assistants, including office assistants, computer operators and other ancillary staff. Project consultants will provide both technical and capacity development supports.

10. The five pourashavas to be included under additional financing, comparatively larger than the pourashavas covered by the current project, have enhanced capacities in terms of staff strength and experience in managing the Procurement Units. Some of the engineers are already trained in electronic-government procurement (e-GP) by the Engineering Staff College of Bangladesh. Three pourashavas (Gopalganj, Kushtia, and Mymensingh) have practiced e-GP system for procuring works under their own funds. All five pourashavas have their information technology (IT) facilities including computers, printers, and broadband internet connections to meet current needs. The project will, however, provide additional facilities if required.

11. To enhance the pourashava engineers' capacity on procurement, PMU has already been provided one-week basic training on Public Procurement Rules (PPR) and on ADB Guidelines on works procurement to the staff of the five new pourashavas. They were also given four-days

³ Contract will be signed between the Mayor and the contractor.

hands-on training at LGED's e-GP Lab in Dhaka by e-GP trainers. The government particularly the Local Government Division (LGD) has issued a circular dated 14 January 2016 to follow electronic procurement method. PMU has prepared a roadway towards goods contracts at PMU in Dhaka and works contracts at PIUs at pourashavas using e-GP. The roadway has been shared with ADB and obtained no objection.

C. Information Management

12. Each of the pourashavas has its own information management system gradually shifting from manual to IT-based. Full automation may require some time due to inadequate staff skill and limited IT facilities. To comply with the project's performance targets they are expected make substantial progress. Special training will also be provided by the PMU.

13. The pourashavas retain all necessary documents including procurement related ones for future reference and auditing purpose following government standard procedure. PMU also keeps copies of important procurement documents until the project completion is done both by ADB and the government.

D. Procurement Practices

14. **Goods and works.** Despite it being new and challenging, all procurements under the project will be done following e-GP procedure. Both the EAs and IAs expressed their keen interest to use e-GP. PMU will be responsible for goods and PIUs will be for works. PMU has gained adequate experience in adapting e-GP and they are in practice now. The five new PIUs have vast experience of procuring goods and works using national standard bidding documents. They expressed their commitment to adopt e-GP for all procurement under this project for the first time. The project will ensure additional support to overcome any challenges the pourashavas may encounter.

15. **Consulting services.** Usually project consultants are recruited centrally by executing agency based on the needs by all participating pourashavas. PMU has already made an assessment of the consultant requirements and the consulting services are being recruited for these PIUs. The pourashavas will not be involved in consultants' selection process.

16. **Payments.** Payments for works contracts will be the responsibility of the pourashavas. Pourashavas will be required to follow the contractual obligation for timely payments. PMU will closely monitor and provide necessary guidance.

E. Effectiveness

17. The pourashavas monitor contractual performances and submit reports to the appropriate authorities. They also track contractual payment obligations. They are aware of annual audit requirements.

18. Each pourashava has a complaints resolution mechanism as described in national procurement documents, and there is a formal non-judicial mechanism for dealing with complaints.

F. Accountability Measures

19. The pourashavas have standard statement of ethics and these are involved in

procurement required to formally commit to it.

20. There is no commencement of procurement in the pourashava without PMU approval. All payments have to be certified by project consultants and cleared by the PMU.

21. Different officials are responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets.

III. STRENGTHS

22. Strengths of the pourashavas are the following:

- (i) The pourashavas follow the national procurement law and uses the national procurement processes, guidelines, bidding documents;
- (ii) Competitive bidding in the pourashava is in practice. Bids are always published in the national dailies and other websites including CPTU's website;
- (iii) There are no restrictions on nationality of bidders or origins of goods, and there is no domestic preference scheme, and an effective pre-registration processes is rigorously followed;
- (iv) Several bidders are available and now familiar with e-GP procedure. They have capacity to participate and no shortage;
- (v) There is a mechanism in the pourashava to receive and handle observations, complaints and protests;
- (vi) Pourashavas have a formal control and audit framework;
- (vii) The pourashava has ethics and anticorruption measures in place;
- (viii) In the recent past the pourashava key staff already learned and/or trained on e-GP method; and
- (ix) Very active participation of pourashava citizens' forum plays an important role in subproject selection, implementation and construction supervision help improve quality of works. The pourashavas can refer also to PMU for guidance and assistance.

IV. WEAKNESSES

23. Weaknesses of the pourashavas are as follows:

- (i) The proposed e-GP procurement method is new to the pourashavas and may require extensive and hands-on support in some cases. Some potential bidders may also start using e-GP for the first time and find it very challenging to manage; and
- (ii) Inadequate staff resources not in proportion to increased work-load might be a challenge for some pourashavas.

V. PROCUREMENT RISK ASSESSMENT AND MANAGEMENT PLAN (P-RAMP)

24. Based on the procurement risks and weaknesses as identified with the pourashavas, a Procurement Risks Management Plan is prepared. The Procurement Risk Assessment and Management Plan (P-RAMP) is shown in **Attachment 2**.

ATTACHMENT 1: PROCUREMENT RISK ASSESSMENT FORMS

(As per Appendix 11 of *Guide on Assessing Procurement Risks and Determining Project Procurement Classification*)

Implementing Agency – Cox’s Bazar Pourashava

Implementing Agency – Faridpur Pourashava

Implementing Agency – Gopalganj Pourashava

Implementing Agency – Kushtia Pourashava

Implementing Agency – Mymenshingh Pourashava

**PROJECT PROCUREMENT RISK ASSESSMENT QUESTIONNAIRE – COX’S BAZAR
POURASHAVA**

Implementing Agency: Cox’s Bazar Pourashava

Address: District – Cox’s Bazar, Bangladesh

Ref: Appendix-3 of ADB Guideline 2015 - Identify and assess procurement risks, on the basis of degree of impact and likelihood of occurrence using the following scale:

High: likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

QUESTION	RESPONSE	RISK
A. ORGANIZATION AND STAFF CAPACITY		
PROCUREMENT DEPARTMENT/UNIT		
A.1.Does the agency or Government have a Procurement Committee that is independent from the head of the agency?	Yes, there is a Procurement Committee in each PS formed by Local Government Division, which is for PS's own procurement. LGED will form procurement Committee for the Pourashava including Municipal Engineer of the MDS consultants for this Project.	Low
A.2.Does the agency has a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee?	There is a procurement unit comprised by Executive Engineer (XEN), Assistant Engineers (AE), Sub-Assistant Engineers and other technical and non-technical staff within the Pourashava	Low
A.3.If yes, what type of procurement does it undertake?	Yearly maintenance, construction and rehabilitation works of the municipal infrastructures under the Pourashava	Low
A.4.How many years' experience does the head of the procurement department/unit have in a direct procurement role?	Mayor is the head of the procurement unit of the Pourashava. The current Mayor has 3 years' experience	Low
A.5.How many staff in the procurement department/unit is: i. Full Time? ii. Part Time? iii. Seconded?	5 Nos. nil 3 Nos.	Low
A.6.Does the procurement staff has a high level of English language proficiency (verbal and written)?	XEN and AEs are good in English and others are fair	Low
A.7.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Number and qualifications are sufficient for their own fund. However, one ME will be deputed from MDS consultants to strengthen procurement capacity of ADB funded project.	Low
A.8.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to	The Pourashava has limited facilities, such as 15 Desktops, 2 Laptops, 12 printers, internet connection, and photocopier to undertake the planned procurement.	Moderate

QUESTION	RESPONSE	RISK
undertake the planned procurement?		
A.9.Does the agency has, or has ready access to, a procurement training program?	There are options to participate in training program under CPTU and the Project has options to provide procurement training.	Moderate
A.10.At what level does the department/unit report (to the head of agency, deputy etc.)?	Mayor who is at the highest level of the Pourashava and he is to report to the PMU, LGED for the planned work	Low
A.11.Do the procurement positions in the agency have job descriptions, which outline specific roles, minimum technical requirements and career routes?	Yes	Low
A.12.Is there a procurement process manual for goods and works?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.13.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated and major areas are covered by the manual and in some cases ADB Procurement Guidelines are used.	Low
A.14.Is there a procurement process manual for consulting services?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.15.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated. However, for foreign assisted projects, Consultancy Guidelines are followed. Pourashava is normally not involved with procurement of Consultancy Services.	Low
PROJECT MANAGEMENT UNIT (LGED, HQ)		
A.16.Is there a fully (or almost fully) staffed PMU for this project currently in place?	Yes	Low
A.17.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Yes	Low
A.18.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	Yes	Low
A.19.Are there standard documents in use, such as Standard Procurement Documents/Forms, and have they been approved for use on ADB funded projects?	Yes	Low
A.20.Does the agency follows the national procurement law, procurement processes, and guidelines?	Yes	Low
A.21.Do ToRs for consulting services follow a standard format such as background, tasks, inputs, objectives and outputs?	Yes	Low
A.22.Who drafts the procurement specifications?	PMU, LGED	Low
A.23.Who approves the procurement specifications?	PMU, LGED and the f the Development Partner (DP) in case of foreign-assisted projects	Low
A.24.Who in the PMU has experience in drafting bidding documents?	Project Managers, Senior Assistant Engineers, Assistant Engineers	Low

QUESTION	RESPONSE	RISK
A.25.Are records of the sale of bidding documents immediately available?	Yes	Low
A.26.Who identifies the need for consulting services requirements?	Pre-feasibility and Feasibility Reports identify requirement of the consulting services.	Low
A.27.Who drafts the terms of reference (ToR)?	PMU, LGED with assistance from consultants and incorporating comments and suggestions from the DP	Low
A.28.Who prepares the request for proposals (RFPs)?	PMU, LGED	Low
B. INFORMATION MANAGEMENT (IA)		
B.1.Is there a referencing system for procurement files?	Yes	Low
B.2.Are there adequate resources allocated to record keeping infrastructure, which includes the record keeping system, space, equipment and personnel to administer the procurement records management functions within the agency?	Yes	Low
B.3.Does the agency adheres to a document retention policy (i.e. for what period are records kept)?	Pourashava has record retention policy normally for 5 years	Low
B.4.Are copies of bids or proposals retained with the evaluation?	Yes, in Pourashava as well as with PMU, LGED	Low
B.5.Are copies of the original advertisements retained with the pre-contract papers?	Yes	Low
B.6.Is there single contracts file with a copy of the contract and all subsequent contractual correspondence?	Yes	Low
B.7.Are copies of invoices included with the contract papers?	Yes	Low
B.8.Is the agency's record keeping function supported by IT?	Pourashava has record keeping in manual filing system and computer as well.	Low
C. PROCUREMENT PRACTICES		
GOODS AND WORKS		
C.1.Has the agency undertaken procurement of goods or works related to foreign assistance recently (last 12 months or last 36 months)? If yes, indicate the names of the development partner/s and project/s	Pourashava has undertaken works related procurement but GOODS are not procured by Pourashava. Yes, the development partners were BMDF, World Bank (MGSP) and ADB (UGIIP-2). The agency was involved during execution stage only.	Low
C.2.If the answer is yes, what were the major challenges faced by the agency?	Major challenges faced by Pourashava were in design and supervision of the works	Moderate
C.3.Is there a systematic process to identify procurement requirements (for a period of one year or more)?	Pourashava has system to take approval of annual program from citizens' forum and Poura Parishad and also it has Pourashava Development Plan	Low
C.4.Is there a minimum period for the	For ICB minimum 42 days; and for NCB	Low

QUESTION	RESPONSE	RISK
preparation of bids and if yes, how long?	minimum 30 days.	
C.5.Are all queries from bidders replied to in writing?	Not in the Government funded projects, but yes in the foreign-assisted projects	Low
C.6.Does the bidding document state the date and time of bid opening?	Yes	Low
C.7.Are bids opened in public?	Yes	Low
C.8.Can late bids be accepted?	No	Low
C.9.Can bids (except late bids) be rejected at bid opening?	No	Low
C.10.Are minutes of the bid opening taken?	Yes	Low
C.11.Are bidders provided a copy of the minutes?	Yes	Low
C.12.Are the minutes provided free of charge?	Yes	Low
C.13.Who undertakes the evaluation of bids (individual(s), permanent committee, ad-hoc committee)?	Tender Evaluation Committee (TEC)	Low
C.14.What are the qualifications of the evaluators with respect to procurement and the goods and/or works under evaluation?	The evaluators are ex-officio members of various Government departments having finance/ engineering background and also with procurement experiences	Low
C.15.Is the decision of the evaluators final or is the evaluation subject to additional approvals?	Decision of the evaluators are not final and are subject to additional approvals	Low
C.16.Using the three 'worst-case' examples in the last year, how long from the issuance of the invitation for bids can the contract be awarded?	Ten weeks	Low
C.17.Are there processes in place for the collection and clearance of cargo through ports of entry?	Not relevant	Not Applicable
C.18.Are there established goods receiving procedures?	Not relevant	Not Applicable
C.19.Are all goods that are received recorded as assets or inventory in a register?	Not relevant	Not Applicable
C.20.Is the agency/procurement unit familiar with letters of credit?	For works procurement no Letters of Credit is required	Not Applicable
C.21.Does the procurement unit registers and track warranty and latent defects liability periods?	Yes	Low
CONSULTING SERVICES (PMU)		
C.22.Has the agency undertaken foreign-assisted procurement of consulting services recently (last 12 months, or last 36 months)? (If yes, please indicate the names of the development partner/s and the Project/s.)	Pourashava was not involved with Services Procurement and It was Procured by PMU, LGED	Low
C.23.If the above answer is yes, what were the major challenges?	If the size of the package is large in that case, approval of CCGP is required and PMU assist in sending proposal to CCGP	Moderate

QUESTION	RESPONSE	RISK
C.24.Are assignments and invitations for expressions of interest (EOIs) advertised?	Yes, by PMU LGED	Moderate
C.25.Is a consultants' selection committee formed with appropriate individuals, and what is its composition (if any)?	Consultants' selection committee is formed by PMU, LGED as per prevailing rules of the GOB and acceptable to ADB	Low
C.26.What criterion is used to evaluate EOIs?	As per Procurement Guidelines of ADB	Low
C.27.Historically, what is the most common method used (QCBS, QBS, etc.) to select consultants?	QCBS	Low
C.28.Do firms have to pay for the RFP document?	No	Low
C.29.Does the proposal evaluation criteria follow a pre-determined structure and is it detailed in the RFP?	Yes	Low
C.30.Are pre-proposal visits and meetings arranged?	Yes, by LGED	Low
C.31.Are minutes prepared and circulated after pre-proposal meetings?	Yes	Low
C.32.To whom are the minutes distributed?	To the Short-listed consulting firms	Low
C.33.Are all queries from consultants answered/ addressed in writing?	Yes, by LGED	Low
C.34.Are the technical and financial proposals required to be in separate envelopes and remain sealed until the technical evaluation is completed?	Yes	Low
C.35.Are proposal securities required?	No	Low
C.36.Are technical proposals opened in public?	Yes	Low
C.37.Are minutes of the technical opening distributed?	Yes	Low
C.38.Who determines the final technical ranking and how?	Proposal Evaluation Committee determines the ranking as per provisions provided with the RFPs and recommends for approval by the competent authority.	Low
C.39.Are the technical scores sent to all firms?	No, but these are only declared during opening of the financial proposals	Low
C.40.Are the financial proposal opened in public?	Yes, but only before representatives of the technically qualified firms	Low
C.41.Are minutes of the financial opening distributed?	Yes	Low
C.42.How is the financial evaluation completed?	Bid Evaluation Committee completed financial evaluation as per criteria/ formula provided with the RFP documents, and forwards for approval by the PMU and Donor	Low
C.43.Are face to face contract negotiations held?	Yes	Low
C.44.How long after financial evaluation is	After completion of financial evaluation and	Low

QUESTION	RESPONSE	RISK
negotiation held with the selected firm?	due approval thereto, negotiation with the selected firm takes about 1-2 weeks.	
C.45.What is the usual basis for negotiation?	On Methodology of the technical proposals, Scope of services, Key Personnel and elaborating Lump Sum Items, if any, etc. But no negotiations are held on the rates quoted in the financial proposal	Low
C.46.Are minutes of negotiation taken and signed?	Yes	Low
C.47.How long after negotiation is the contract signed, on average?	About 1(one) Month	Low
C.48.Is there an evaluation system for measuring the outputs of consultants?	Yes, but only with LGED	Low
PAYMENTS		
C.49.Are advance payments made?	Yes, mobilization advance to the Consulting Firm and to the contractors of the ICB contracts	Low
C.50.What is the standard period for payment included in contracts?	28 days	Low
C.51.On average, how long is it between receiving a firm's invoice and making payment?	28 days for NCB contracts and 56 days for ICB contracts	Low
C.52.When late payment is made, are the beneficiaries paid interest?	For NCB contracts, there was no evidence of paying interest for delayed payments. For ICB contracts interests are paid, if it is mentioned in the contracts	Low
D. EFFECTIVENESS		
D.1.Is contractual performance systematically monitored and reported?	Yes	Low
D.2.Does the agency monitor and track its contractual payment obligations?	Yes	Low
D.3.Is a complaints resolution mechanism described in national procurement documents?	Yes	Low
D.4.Is there a formal non-judicial mechanism for dealing with complaints?	Yes	Low
D.5.Are procurement decisions and disputes supported by written narratives such as minutes of evaluation, minutes of negotiation, notices of default/withheld payment?	Yes	Low
E. ACCOUNTABILITY MEASURES		
E.1.Is there a standard statement of ethics and are those involved in procurement required to formally commit to it?	Yes	Low
E.2.Are those involved with procurement required to declare any potential conflict of interest and remove them from the procurement process?	Yes	Low
E.3.Is the commencement of procurement dependent on external approvals (formal or	No	Low

QUESTION	RESPONSE	RISK
de-facto) that are outside of the budgeting process?		
E.4. Who approves procurement transactions, and do they have procurement experience and qualifications?	Head of Procuring Entity (HOPE)/PMU, and they have procurement experience and qualifications	Low
E.5. Which of the following actions requires approvals outside the procurement unit or the evaluation committee, as the case may be, and who grants the approval?	After prior concurrence taken from ADB, HOPE grants the approval.	Low
E.6. Bidding document, invitation to pre-qualify or RFP	For NCB Works, Bidding Document is prepared by Pourashava and reviewed by PMU, LGED and Development Partner. Pourashava is not involved with Services Procurement and RFP is prepared by PMU and reviewed by ADB,	Low
E.7. Advertisement of an invitation for bids, pre-qualification or call for EOIs	Advertisements for NCB works by Pourashava and Notice for EOIs by PMU, LGED	Low
E.8. Evaluation reports	Evaluation Reports are Prepared by Pourashava Procurement Evaluation Committee and reviewed by PMU, LGED and ADB	Low
E.9. Notice of award	Notifications of Awards are issued by Pourashava for NCB works packages. And for GOODS and Services Notice of awards are issued by PMU, LGED.	Low
E.10 Invitation to consultants to negotiate	PMU, LGED for Packages under Credit/Loan	Low
E.11. Contracts	Contracts are signed by the Mayor of the Pourashava for NCB Works and for GOODS & Services, contracts are signed by PMU, LGED	Low
E.12. Is the same official responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets?	No	Low
E.13. Is there a written auditable trail of procurement decisions attributable to individuals and committees?	No	Low

PROJECT PROCUREMENT RISK ASSESSMENT QUESTIONNAIRE – FARIDPUR POURASHAVA

Implementing Agency: Faridpur Pourashava

Address: District -Faridpur, Bangladesh

Ref: Appendix-3 of ADB Guideline 2015 - Identify and assess procurement risks, on the basis of degree of impact and likelihood of occurrence using the following scale:

High: likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

QUESTION	RESPONSE	RISK
A. ORGANIZATION AND STAFF CAPACITY		
PROCUREMENT DEPARTMENT/UNIT		
A.1.Does the agency or Government has a Procurement Committee that is independent from the head of the agency?	Yes, there is a Procurement Committee in each PS formed by Local Government Division, which is for PS's own procurement. LGED will form Procurement Committee for the Pourashava including Municipal Engineer of the MDS consultants for foreign aided Project.	Low
A.2.Does the agency has a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee?	There is a procurement unit comprised by Executive Engineer (XEN), Assistant Engineers (AE), Sub-Assistant Engineers and other technical and non-technical staff within the Pourashava	Low
A.3.If yes, what type of procurement does it undertake?	Yearly maintenance, construction and rehabilitation works of the municipal infrastructures under the Pourashava	Low
A.4.How many years' experience does the head of the procurement department/unit have in a direct procurement role?	Mayor is the head of the procurement unit of the Pourashava. The current Mayor has 2 years experiences	Low
A.5.How many staff in the procurement department/unit is: i. Full Time? ii. Part Time? iii. Seconded?	5 Nos. nil 2 Nos.	Low
A.6.Does the procurement staff has a high level of English language proficiency (verbal and written)?	XEN and AEs are good in English and others are fair	Low
A.7.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Number and qualifications are sufficient for their own fund. However, one ME will be deputed from MDS consultants to strengthen procurement capacity of ADB funded	Low

QUESTION	RESPONSE	RISK
	project.	
A.8.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	The Pourashava has limited facilities, such as 16 Desktops, 1 Laptops, 10 printers, internet connection, and photocopier to undertake the planned procurement.	Moderate
A.9.Does the agency has, or has ready access to, a procurement training program?	There are options to participate in training program under CPTU and the Project has options to provide procurement training.	Moderate
A.10.At what level does the department/ unit report (to the head of agency, deputy etc.)?	Mayor who is at the highest level of the Pourashava and he is to report to the PMU, LGED for the planned work	Low
A.11.Do the procurement positions in the agency have job descriptions, which outline specific roles, minimum technical requirements and career routes?	Yes	Low
A.12.Is there a procurement process manual for goods and works?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.13.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated and major areas are covered by the manual and in some cases ADB Procurement Guidelines are used.	Low
A.14.Is there a procurement process manual for consulting services?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.15.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated. However, for foreign assisted projects, Consultancy Guidelines of DP are followed. Pourashava is normally not involved with procurement of Consultancy Services.	Low
PROJECT MANAGEMENT UNIT (LGED, HQ)		
A.16.Is there a fully (or almost fully) staffed PMU for this project currently in place?	Yes	Low
A.17.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Yes	Low
A.18.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	Yes	Low
A.19.Are there standard documents in use, such as Standard Procurement Documents/Forms, and have they been approved for use on ADB funded projects?	Yes	Low
A.20.Does the agency follows the national procurement law, procurement processes, and guidelines?	Yes	Low
A.21.Do ToRs for consulting services follow a standard format such as background, tasks, inputs, objectives and outputs?	Yes	Low
A.22.Who drafts the procurement specifications?	PMU, LGED	Low

QUESTION	RESPONSE	RISK
A.23. Who approves the procurement specifications?	PMU, LGED and the concerned Development Partner (DP) in case of foreign assisted projects	Low
A.24. Who in the PMU has experience in drafting bidding documents?	Project Managers, Senior Assistant Engineers, Assistant Engineers	Low
A.25. Are records of the sale of bidding documents immediately available?	Yes	Low
A.26. Who identifies the need for consulting services requirements?	Pre-feasibility and Feasibility Reports identify requirement of the consulting services.	Low
A.27. Who drafts the terms of reference (ToR)?	PMU, LGED with assistance from consultants and incorporating comments and suggestions from the DP	Low
A.28. Who prepares the request for proposals (RFPs)?	PMU, LGED	Low
B. INFORMATION MANAGEMENT (IA)		
B.1. Is there a referencing system for procurement files?	Yes	Low
B.2. Are there adequate resources allocated to record keeping infrastructure, which includes the record keeping system, space, equipment and personnel to administer the procurement records management functions within the agency?	Yes	Low
B.3. Does the agency adhere to a document retention policy (i.e. for what period are records kept)?	Pourashava has record retention policy normally for 5 years	Low
B.4. Are copies of bids or proposals retained with the evaluation?	Yes, in Pourashava as well as with PMU, LGED	Low
B.5. Are copies of the original advertisements retained with the pre-contract papers?	Yes	Low
B.6. Is there single contracts file with a copy of the contract and all subsequent contractual correspondence?	Yes	Low
B.7. Are copies of invoices included with the contract papers?	Yes	Low
B.8. Is the agency's record keeping function supported by IT?	Pourashava has record keeping in manual filing system and computer as well.	Low
C. PROCUREMENT PRACTICES		
GOODS AND WORKS		
C.1. Has the agency undertaken procurement of goods or works related to foreign assistance recently (last 12 months or last 36 months)? If yes, indicate the names of the development partner/s and project/s	Pourashava has undertaken works related procurement but GOODS are not procured by Pourashava. Yes, NCB Works of UGIP 2 funded by ADB, KFW and Works Packages funded by BMDF	Low
C.2. If the answer is yes, what were the major challenges faced by the agency?	Major challenges faced by Pourashava were in design and	Low

QUESTION	RESPONSE	RISK
	supervision of the works	
C.3.Is there a systematic process to identify procurement requirements (for a period of one year or more)?	Pourashava has system to take approval of annual program from TLCC and Poura Parishad and also it has Pourashava Development Plan	Moderate
C.4.Is there a minimum period for the preparation of bids and if yes, how long?	For ICB minimum 42 days; and for NCB minimum 30 days.	Low
C.5.Are all queries from bidders replied to in writing?	Not in the Government funded projects, but yes in the foreign-assisted projects	Low
C.6.Does the bidding document state the date and time of bid opening?	Yes	Low
C.7.Are bids opened in public?	Yes	Low
C.8.Can late bids be accepted?	No	Low
C.9.Can bids (except late bids) be rejected at bid opening?	No	Low
C.10.Are minutes of the bid opening taken?	Yes	Low
C.11.Are bidders provided a copy of the minutes?	Yes	Low
C.12.Are the minutes provided free of charge?	Yes	Low
C.13.Who undertakes the evaluation of bids (individual(s), permanent committee, ad-hoc committee)?	Tender Evaluation Committee (TEC)	Low
C.14.What are the qualifications of the evaluators with respect to procurement and the goods and/or works under evaluation?	The evaluators are ex-officio members of various Government departments having finance/ engineering background and also with procurement experiences	Low
C.15.Is the decision of the evaluators final or is the evaluation subject to additional approvals?	Decision of the evaluators are not final and are subject to additional approvals	Low
C.16.Using the three 'worst-case' examples in the last year, how long from the issuance of the invitation for bids can the contract be awarded?	Ten weeks	Low
C.17.Are there processes in place for the collection and clearance of cargo through ports of entry?	Not relevant	Not Applicable
C.18.Are there established goods receiving procedures?	Not relevant	Not Applicable
C.19.Are all goods that are received recorded as assets or inventory in a register?	Not relevant	Not Applicable
C.20.Is the agency/procurement department familiar with letters of credit?	For works procurement no Letters of Credit is required	Not Applicable
C.21.Does the procurement department registers and track warranty and latent defects liability periods?	Yes	Low
CONSULTING SERVICES		
C.22.Has the agency undertaken foreign-assisted procurement of consulting services recently (last 12 months, or last 36 months)? (If yes, please indicate the names of the development partner/s and the Project/s.)	Pourashava was not involved with Services Procurement and It was Procured by PMU, LGED	Low
C.23.If the above answer is yes, what were the	If the size of the package is large in	Moderate

QUESTION	RESPONSE	RISK
major challenges?	that case, approval of CCGP is required and PMU assist in sending proposal to CCGP	
C.24.Are assignments and invitations for expressions of interest (EOIs) advertised?	Yes, by PMU LGED	Moderate
C.25.Is a consultants' selection committee formed with appropriate individuals, and what is its composition (if any)?	Consultants' selection committee is formed by PMU, LGED as per prevailing rules of the GOB and acceptable to ADB	Low
C.26.What criterion is used to evaluate EOIs?	As per Procurement Guidelines of ADB	Low
C.27.Historically, what is the most common method used (QCBS, QBS, etc.) to select consultants?	QCBS	Low
C.28.Do firms have to pay for the RFP document?	No	Low
C.29.Does the proposal evaluation criteria follow a pre-determined structure and is it detailed in the RFP?	Yes	Low
C.30.Are pre-proposal visits and meetings arranged?	Yes, by LGED	Low
C.31.Are minutes prepared and circulated after pre-proposal meetings?	Yes	Low
C.32.To whom are the minutes distributed?	To the Short-listed consulting firms	Low
C.33.Are all queries from consultants answered/addressed in writing?	Yes, by LGED	Low
C.34.Are the technical and financial proposals required to be in separate envelopes and remain sealed until the technical evaluation is completed?	Yes	Low
C.35.Are proposal securities required?	No	Low
C.36.Are technical proposals opened in public?	Yes	Low
C.37.Are minutes of the technical opening distributed?	Yes	Low
C.38.Who determines the final technical ranking and how?	Proposal Evaluation Committee determines the ranking as per provisions provided with the RFPs and recommends for approval by the competent authority.	Low
C.39.Are the technical scores sent to all firms?	No, but these are only declared during opening of the financial proposals	Low
C.40.Are the financial proposal opened in public?	Yes, but only before representatives of the technically qualified firms	Low
C.41.Are minutes of the financial opening	Yes	Low

QUESTION	RESPONSE	RISK
distributed?		
C.42.How is the financial evaluation completed?	Bid Evaluation Committee completed financial evaluation as per criteria/ formula provided with the RFP documents, and forwards for approval by the PMU and Donor	Low
C.43.Are face to face contract negotiations held?	Yes	Low
C.44.How long after financial evaluation is negotiation held with the selected firm?	After completion of financial evaluation and due approval thereto, negotiation with the selected firm takes about 1-2 weeks.	Low
C.45.What is the usual basis for negotiation?	On Methodology of the technical proposals, Scope of services, Key Personnel and elaborating Lump Sum Items, if any, etc. But no negotiations are held on the rates quoted in the financial proposal	Low
C.46.Are minutes of negotiation taken and signed?	Yes	Low
C.47.How long after negotiation is the contract signed, on average?	About 1(one) Month	Low
C.48.Is there an evaluation system for measuring the outputs of consultants?	Yes, but only with LGED	Low
PAYMENTS		
C.49.Are advance payments made?	Yes, mobilization advance to the Consulting Firm and to the contractors of the ICB contracts	Low
C.50.What is the standard period for payment included in contracts?	28 days	Low
C.51.On average, how long is it between receiving a firm's invoice and making payment?	28 days for NCB contracts and 56 days for ICB contracts	Low
C.52.When late payment is made, are the beneficiaries paid interest?	For NCB contracts, there was no evidence of paying interest for delayed payments. For ICB contracts interests are paid, if it is mentioned in the contracts	Low
D. EFFECTIVENESS		
D.1.Is contractual performance systematically monitored and reported?	Yes	Low
D.2.Does the agency monitor and track its contractual payment obligations?	Yes	Low
D.3.Is a complaints resolution mechanism described in national procurement documents?	Yes	Low
D.4.Is there a formal non-judicial mechanism for dealing with complaints?	Yes	Low
D.5.Are procurement decisions and disputes supported by written narratives such as minutes of evaluation, minutes of negotiation, notices of default/withheld payment?	Yes	Low

E. ACCOUNTABILITY MEASURES		
QUESTION	RESPONSE	RISK
E.1.Is there a standard statement of ethics and are those involved in procurement required to formally commit to it?	Yes	Low
E.2.Are those involved with procurement required to declare any potential conflict of interest and remove them from the procurement process?	Yes	Low
E.3.Is the commencement of procurement dependent on external approvals (formal or de-facto) that are outside of the budgeting process?	No	Low
E.4.Who approves procurement transactions, and do they have procurement experience and qualifications?	Head of Procuring Entity (HOPE)/PMU, and they have procurement experience and qualifications	Low
E.5.Which of the following actions requires approvals outside the procurement unit or the evaluation committee, as the case may be, and who grants the approval?	After prior concurrence taken from ADB, HOPE grants the approval.	Low
E.6.Bidding document, invitation to pre-qualify or RFP	For NCB Works, Bidding Document is prepared by Pourashava and reviewed by PMU, LGED and Development Partner. Pourashava is not involved with Services Procurement and RFP is prepared by PMU and reviewed by ADB,	Low
E.7.Advertisement of an invitation for bids, pre-qualification or call for EOIs	Advertisements for NCB works by Pourashava and Notice for EOIs by PMU, LGED	Low
E.8.Evaluation reports	Evaluation Reports are Prepared by Pourashava Procurement Evaluation Committee and reviewed by PMU, LGED and the official of ADB	Low
E.9.Notice of award	Notifications of Awards are issued by Pourashava for NCB works packages. And for GOODS and Services Notice of awards are issued by PMU, LGED.	Low
E.10.Invitation to consultants to negotiate	PMU, LGED for Packages under Credit/Loan	Low
E.11.Contracts	Contracts are signed by the Mayor of the Pourashava for NCB Works and for GOODS & Services, contracts are signed by PMU, LGED	Low
E.12.Is the same official responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets?	No	Low
E.13.Is there a written auditable trail of procurement decisions attributable to individuals and committees?	No	Low

**PROJECT PROCUREMENT RISK ASSESSMENT QUESTIONNAIRE – GOPALGANJ
POURASHAVA**

Implementing Agency: Gopalganj Pourashava

Address: District - Gopalganj, Bangladesh

Ref: Appendix-3 of ADB Guideline 2015 - Identify and assess procurement risks, on the basis of degree of impact and likelihood of occurrence using the following scale:

High: likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

QUESTION	RESPONSE	RISK
A. ORGANIZATION AND STAFF CAPACITY		
PROCUREMENT DEPARTMENT/UNIT		
A.1.Does the agency or Government has a Procurement Committee that is independent from the head of the agency?	Yes, there is a Procurement Committee in each PS formed by Local Government Division, which is for PS's own procurement. LGED will form. Procurement Committee for the Pourashava including Municipal Engineer of the MDS consultants for foreign aided Project.	Low
A.2.Does the agency has a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee?	There is a procurement unit comprised by Executive Engineer (XEN), Assistant Engineers (AE), Sub-Assistant Engineers and other technical and non-technical staff within the Pourashava	Low
A.3.If yes, what type of procurement does it undertake?	Yearly maintenance, construction and rehabilitation works of the municipal infrastructures under the Pourashava.	Low
A.4.How many years' experience does the head of the procurement department/unit have in a direct procurement role?	Mayor is the head of the procurement unit of the Pourashava. The current Mayor has 2 years experiences	Low
A.5.How many staff in the procurement department/unit is: i. Full Time? ii. Part Time? iii. Seconded?	5 Nos. nil 4 Nos.	Low
A.6.Does the procurement staff has a high level of English language proficiency (verbal and written)?	XEN and AEs are good in English and others are fair	Low
A.7.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Number and qualifications are sufficient for their own fund. However, one ME will be deputed from MDS consultants to strengthen procurement capacity of ADB funded project. Pourashava has also awarded 3 contracts	Low

QUESTION	RESPONSE	RISK
	through e-GP system under WB and BMDP projects.	
A.8.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	The Pourashava has limited facilities, such as 4 Desktops, 4printers, internet connection, photocopier to undertake the planned procurement.	Moderate
A.9.Does the agency has, or has ready access to, a procurement training program?	There are options to participate in training program under CPTU and the Project has options to provide procurement training.	Moderate
A.10.At what level does the department/ unit report (to the head of agency, deputy etc.)?	Mayor who is at the highest level of the Pourashava and he is to report to the PMU, LGED for the planned work	Low
A.11.Do the procurement positions in the agency have job descriptions, which outline specific roles, minimum technical requirements and career routes?	Yes	Low
A.12.Is there a procurement process manual for goods and works?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.13.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated and major areas are covered by the manual and in some cases ADB Procurement Guidelines are used.	Low
A.14.Is there a procurement process manual for consulting services?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.15.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated. However, for foreign assisted projects, Consultancy Guidelines are followed. Pourashava is normally not involved with procurement of Consultancy Services.	Low
PROJECT MANAGEMENT UNIT (LGED, HQ)		
A.16.Is there a fully (or almost fully) staffed PMU for this project currently in place?	Yes	Low
A.17.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Yes	Low
A.18.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	Yes	Low
A.19.Are there standard documents in use, such as Standard Procurement Documents/Forms, and have they been approved for use on ADB funded projects?	Yes	Low
A.20.Does the agency follows the national procurement law, procurement processes, and guidelines?	Yes	Low
A.21.Do ToRs for consulting services follow a standard format such as background, tasks, inputs, objectives and outputs?	Yes	Low
A.22.Who drafts the procurement specifications?	PMU, LGED	Low

QUESTION	RESPONSE	RISK
A.23. Who approves the procurement specifications?	PMU, LGED and the concerned official of the Development Partner (DP) in case of foreign assisted projects	Low
A.24. Who in the PMU has experience in drafting bidding documents?	Project Managers, Senior Assistant Engineers, Assistant Engineers	Low
A.25. Are records of the sale of bidding documents immediately available?	Yes	Low
A.26. Who identifies the need for consulting services requirements?	Pre-feasibility and Feasibility Reports identify requirement of the consulting services.	Low
A.27. Who drafts the terms of reference (ToR)?	PMU, LGED with assistance from consultants and incorporating comments and suggestions from the DP	Low
A.28. Who prepares the request for proposals (RFPs)?	PMU, LGED	Low
B. INFORMATION MANAGEMENT (IA)		
B.1. Is there a referencing system for procurement files?	Yes	Low
B.2. Are there adequate resources allocated to record keeping infrastructure, which includes the record keeping system, space, equipment and personnel to administer the procurement records management functions within the agency?	Yes	Low
B.3. Does the agency adhere to a document retention policy (i.e. for what period are records kept)?	Pourashava has record retention policy normally for 5 years	Low
B.4. Are copies of bids or proposals retained with the evaluation?	Yes, in Pourashava as well as with PMU, LGED	Low
B.5. Are copies of the original advertisements retained with the pre-contract papers?	Yes	Low
B.6. Is there single contracts file with a copy of the contract and all subsequent contractual correspondence?	Yes	Low
B.7. Are copies of invoices included with the contract papers?	Yes	Low
B.8. Is the agency's record keeping function supported by IT?	Pourashava has record keeping in manual filing system and computer as well.	Low
C. PROCUREMENT PRACTICES		
GOODS AND WORKS		
C.1. Has the agency undertaken procurement of goods or works related to foreign assistance recently (last 12 months or last 36 months)? If yes, indicate the names of the development partner/s and project/s	Pourashava has undertaken works related procurement but GOODS are not procured by Pourashava. Yes, UGIP 2 funded by ADB, and MGSP funded by World Bank	Low
C.2. If the answer is yes, what were the major challenges faced by the agency?	Major challenges faced by Pourashava were in design and supervision of the	Low

QUESTION	RESPONSE	RISK
	works	
C.3.Is there a systematic process to identify procurement requirements (for a period of one year or more)?	Pourashava has system to take approval of annual program from TLCC and Poura Parishad and also it has Pourashava Development Plan	Low
C.4.Is there a minimum period for the preparation of bids and if yes, how long?	For ICB minimum 42 days; and for NCB minimum 30 days.	Low
C.5.Are all queries from bidders replied to in writing?	Not in the Government funded projects, but yes in the foreign-assisted projects	Low
C.6.Does the bidding document state the date and time of bid opening?	Yes	Low
C.7.Are bids opened in public?	Yes	Low
C.8.Can late bids be accepted?	No	Low
C.9.Can bids (except late bids) be rejected at bid opening?	No	Low
C.10.Are minutes of the bid opening taken?	Yes	Low
C.11.Are bidders provided a copy of the minutes?	Yes	Low
C.12.Are the minutes provided free of charge?	Yes	Low
C.13.Who undertakes the evaluation of bids (individual(s), permanent committee, ad-hoc committee)?	Tender Evaluation Committee (TEC)	Low
C.14.What are the qualifications of the evaluators with respect to procurement and the goods and/or works under evaluation?	The evaluators are ex-officio members of various Government departments having finance/ engineering background and also with procurement experiences	Low
C.15.Is the decision of the evaluators final or is the evaluation subject to additional approvals?	Decision of the evaluators are not final and are subject to additional approvals	Low
C.16.Using the three 'worst-case' examples in the last year, how long from the issuance of the invitation for bids can the contract be awarded?	Ten weeks	Low
C.17.Are there processes in place for the collection and clearance of cargo through ports of entry?	Not relevant	Not Applicable
C.18.Are there established goods receiving procedures?	Not relevant	Not Applicable
C.19.Are all goods that are received recorded as assets or inventory in a register?	Not relevant	Not Applicable
C.20.Is the agency/procurement department familiar with letters of credit?	For works procurement no Letters of Credit is required	Not Applicable
C.21.Does the procurement department registers and track warranty and latent defects liability periods?	Yes	Low
CONSULTING SERVICES		
C.22.Has the agency undertaken foreign-assisted procurement of consulting services recently (last 12 months, or last 36 months)? (If yes, please indicate the names	Pourashava was not involved with Services Procurement and It was Procured by PMU, LGED	Low

QUESTION	RESPONSE	RISK
of the development partner/s and the Project/s.)		
C.23.If the above answer is yes, what were the major challenges?	If the size of the package is large in that case, approval of CCGP is required and PMU assist in sending proposal to CCGP	Moderate
C.24.Are assignments and invitations for expressions of interest (EOIs) advertised?	Yes, by PMU LGED	Moderate
C.25.Is a consultants' selection committee formed with appropriate individuals, and what is its composition (if any)?	Consultants' selection committee is formed by PMU, LGED as per prevailing rules of the GOB and acceptable to ADB	Low
C.26.What criterion is used to evaluate EOIs?	As per Procurement Guidelines of ADB	Low
C.27.Historically, what is the most common method used (QCBS, QBS, etc.) to select consultants?	QCBS	Low
C.28.Do firms have to pay for the RFP document?	No	Low
C.29.Does the proposal evaluation criteria follow a pre-determined structure and is it detailed in the RFP?	Yes	Low
C.30.Are pre-proposal visits and meetings arranged?	Yes, by LGED	Low
C.31.Are minutes prepared and circulated after pre-proposal meetings?	Yes	Low
C.32.To whom are the minutes distributed?	To the Short-listed consulting firms	Low
C.33.Are all queries from consultants answered/ addressed in writing?	Yes, by LGED	Low
C.34.Are the technical and financial proposals required to be in separate envelopes and remain sealed until the technical evaluation is completed?	Yes	Low
C.35.Are proposal securities required?	No	Low
C.36.Are technical proposals opened in public?	Yes	Low
C.37.Are minutes of the technical opening distributed?	Yes	Low
C.38.Who determines the final technical ranking and how?	Proposal Evaluation Committee determines the ranking as per provisions provided with the RFPs and recommends for approval by the competent authority.	Low
C.39.Are the technical scores sent to all firms?	No, but these are only declared during opening of the financial proposals	Low
C.40.Are the financial proposal opened in public?	Yes, but only before representatives of the technically qualified firms	Low
C.41.Are minutes of the financial opening distributed?	Yes	Low
C.42.How is the financial evaluation completed?	Bid Evaluation Committee completed financial evaluation as per criteria/ formula provided with the RFP	Low

QUESTION	RESPONSE	RISK
	documents, and forwards for approval by the PMU and Donor	
C.43.Are face to face contract negotiations held?	Yes	Low
C.44.How long after financial evaluation is negotiation held with the selected firm?	After completion of financial evaluation and due approval thereto, negotiation with the selected firm takes about 1-2 weeks.	Low
C.45.What is the usual basis for negotiation?	On Methodology of the technical proposals, Scope of services, Key Personnel and elaborating Lump Sum Items, if any, etc. But no negotiations are held on the rates quoted in the financial proposal	Low
C.46.Are minutes of negotiation taken and signed?	Yes	Low
C.47.How long after negotiation is the contract signed, on average?	About 1(one) Month	Low
C.48.Is there an evaluation system for measuring the outputs of consultants?	Yes, but only with LGED	Low
PAYMENTS		
C.49.Are advance payments made?	Yes, mobilization advance to the Consulting Firm and to the contractors of the ICB contracts	Low
C.50.What is the standard period for payment included in contracts?	28 days	Low
C.51.On average, how long is it between receiving a firm's invoice and making payment?	28 days for NCB contracts and 56 days for ICB contracts	Low
C.52.When late payment is made, are the beneficiaries paid interest?	For NCB contracts, there was no evidence of paying interest for delayed payments. For ICB contracts interests are paid, if it is mentioned in the contracts	Low
D. EFFECTIVENESS		
D.1.Is contractual performance systematically monitored and reported?	Yes	Low
D.2.Does the agency monitor and track its contractual payment obligations?	Yes	Low
D.3.Is a complaints resolution mechanism described in national procurement documents?	Yes	Low
D.4.Is there a formal non-judicial mechanism for dealing with complaints?	Yes	Low
D.5.Are procurement decisions and disputes supported by written narratives such as minutes of evaluation, minutes of negotiation, notices of default/withheld payment?	Yes	Low
E. ACCOUNTABILITY MEASURES		
E.1.Is there a standard statement of ethics and are those involved in procurement	Yes	Low

QUESTION	RESPONSE	RISK
required to formally commit to it?		
E.2.Are those involved with procurement required to declare any potential conflict of interest and remove them from the procurement process?	Yes	Low
E.3.Is the commencement of procurement dependent on external approvals (formal or de-facto) that are outside of the budgeting process?	No	Low
E.4.Who approves procurement transactions, and do they have procurement experience and qualifications?	Head of Procuring Entity (HOPE)/PMU, and they have procurement experience and qualifications	Low
E.5.Which of the following actions requires approvals outside the procurement unit or the evaluation committee, as the case may be, and who grants the approval?	After prior concurrence taken from ADB, HOPE grants the approval.	Low
E.6.Bidding document, invitation to pre-qualify or RFP	For NCB Works, Bidding Document is prepared by Pourashava and reviewed by PMU, LGED and Development Partner. Pourashava is not involved with Services Procurement and RFP is prepared by PMU and reviewed by ADB,	Low
E.7.Advertisement of an invitation for bids, pre-qualification or call for EOIs	Advertisements for NCB works by Pourashava and Notice for EOIs by PMU, LGED	Low
E.8.Evaluation reports	Evaluation Reports are Prepared by Pourashava Procurement Evaluation Committee and reviewed by PMU, LGED and the official of ADB	Low
E.9.Notice of award	Notifications of Awards are issued by Pourashava for NCB works packages. And for GOODS and Services Notice of awards are issued by PMU, LGED.	Low
E.10 Invitation to consultants to negotiate	PMU, LGED for Packages under Credit/Loan	Low
E.11.Contracts	Contracts are signed by the Mayor of the Pourashava for NCB Works and for GOODS & Services, contracts are signed by PMU, LGED	Low
E.12.Is the same official responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets?	No	Low
E.13.Is there a written auditable trail of procurement decisions attributable to individuals and committees?	No	Low

PROJECT PROCUREMENT RISK ASSESSMENT QUESTIONNAIRE – KUSHTIA POURASHAVA

Implementing Agency: Kushtia Pourashava

Address: District - Kushtia, Bangladesh

Ref: Appendix-3 of ADB Guideline 2015 - Identify and assess procurement risks, on the basis of degree of impact and likelihood of occurrence using the following scale:

High: likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

QUESTION	RESPONSE	RISK
A. ORGANIZATION AND STAFF CAPACITY		
PROCUREMENT DEPARTMENT/UNIT		
A.1.Does the agency or Government have a Procurement Committee that is independent from the head of the agency?	Yes, there is a Procurement Committee in each PS formed by Local Government Division, which is for PS's own procurement. LGED will form procurement Committee for the Pourashava including Municipal Engineer of the MDS consultants for foreign aided Project.	Low
A.2.Does the agency has a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee?	There is a procurement unit comprised by Executive Engineer (XEN), Assistant Engineers (AE), Sub-Assistant Engineers and other technical and non-technical staff within the Pourashava	Low
A.3.If yes, what type of procurement does it undertake?	Yearly maintenance, construction and rehabilitation works of the municipal infrastructures under the Pourashava.	Low
A.4.How many years' experience does the head of the procurement department/unit have in a direct procurement role?	Mayor is the head of the procurement unit of the Pourashava. The current Mayor has more than 8 years experiences	Low
A.5.How many staff in the procurement department/unit is: i. Full Time? ii. Part Time? iii. Seconded?	5 Nos. nil 2 Nos.	Low
A.6.Does the procurement staff has a high level of English language proficiency (verbal and written)?	XEN and AEs are Good at English Language and others are Fair in English	Low
A.7.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Number and qualifications are sufficient for their own fund. However, one ME will be deputed from MDS consultants to strengthen procurement capacity of ADB funded project. Pourashava has awarded contract using e-GP portal.	Low

QUESTION	RESPONSE	RISK
A.8.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	The Pourashava has limited facilities, such as 29 Desktops, 5 Laptops, 24 printers, internet connection, and photocopier to undertake the planned procurement.	Moderate
A.9.Does the agency has, or has ready access to, a procurement training program?	There are options to participate in training program under CPTU and the Project has options to provide procurement training.	Moderate
A.10.At what level does the department/ unit report (to the head of agency, deputy etc.)?	Mayor who is at the highest level of the Pourashava and he is to report to the PMU, LGED for the planned work	Low
A.11.Do the procurement positions in the agency have job descriptions, which outline specific roles, minimum technical requirements and career routes?	Yes	Low
A.12.Is there a procurement process manual for goods and works?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.13.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated and major areas are covered by the manual and in some cases ADB Procurement Guidelines are used.	Low
A.14.Is there a procurement process manual for consulting services?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.15.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated. However, for foreign assisted projects, Consultancy Guidelines are followed. Pourashava is normally not involved with procurement of Consultancy Services.	Low
PROJECT MANAGEMENT UNIT (LGED, HQ)		
A.16.Is there a fully (or almost fully) staffed PMU for this project currently in place?	Yes	Low
A.17.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Yes	Low
A.18.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	Yes	Low
A.19.Are there standard documents in use, such as Standard Procurement Documents/Forms, and have they been approved for use on ADB funded projects?	Yes	Low
A.20.Does the agency follows the national procurement law, procurement processes, and guidelines?	Yes	Low
A.21.Do ToRs for consulting services follow a standard format such as background, tasks, inputs, objectives and outputs?	Yes	Low
A.22.Who drafts the procurement specifications?	PMU, LGED	Low
A.23.Who approves the procurement specifications?	PMU, LGED and the concerned official of the Development Partner (DP) in case of foreign assisted projects	Low

QUESTION	RESPONSE	RISK
A.24. Who in the PMU has experience in drafting bidding documents?	Project Managers, Senior Assistant Engineers, Assistant Engineers	Low
A.25. Are records of the sale of bidding documents immediately available?	Yes	Low
A.26. Who identifies the need for consulting services requirements?	Pre-feasibility and Feasibility Reports identify requirement of the consulting services.	Low
A.27. Who drafts the terms of reference (ToR)?	PMU, LGED with assistance from consultants and incorporating comments and suggestions from the DP	Low
A.28. Who prepares the request for proposals (RFPs)?	PMU, LGED	Low
B. INFORMATION MANAGEMENT (IA)		
B.1. Is there a referencing system for procurement files?	Yes	Low
B.2. Are there adequate resources allocated to record keeping infrastructure, which includes the record keeping system, space, equipment and personnel to administer the procurement records management functions within the agency?	Yes	Low
B.3. Does the agency adhere to a document retention policy (i.e. for what period are records kept)?	Pourashava has record retention policy normally for 5 years	Low
B.4. Are copies of bids or proposals retained with the evaluation?	Yes, in Pourashava as well as with PMU, LGED	Low
B.5. Are copies of the original advertisements retained with the pre-contract papers?	Yes	Low
B.6. Is there single contracts file with a copy of the contract and all subsequent contractual correspondence?	Yes	Low
B.7. Are copies of invoices included with the contract papers?	Yes	Low
B.8. Is the agency's record keeping function supported by IT?	Pourashava has record keeping in manual filing system and computer as well.	Low
C. PROCUREMENT PRACTICES		
GOODS AND WORKS		
C.1. Has the agency undertaken procurement of goods or works related to foreign assistance recently (last 12 months or last 36 months)? If yes, indicate the names of the development partner/s and project/s	Pourashava has undertaken works related procurement but GOODS are not procured by Pourashava. Yes, UGIIP 2 Phase 3, funded by ADB KFW, GIZ and Works Packages funded by BMDF	Low
C.2. If the answer is yes, what were the major challenges faced by the agency?	Major challenges faced by Pourashava were in design and supervision of the works	Low
C.3. Is there a systematic process to identify procurement requirements (for a period of	Pourashava has system to take approval of annual program from TLCC and Poura	Low

QUESTION	RESPONSE	RISK
one year or more)?	Parishad and also it has Pourashava Development Plan	
C.4.Is there a minimum period for the preparation of bids and if yes, how long?	For ICB minimum 42 days; and for NCB minimum 30 days.	Low
C.5.Are all queries from bidders replied to in writing?	Not in the Government funded projects, but yes in the foreign-assisted projects	Low
C.6.Does the bidding document state the date and time of bid opening?	Yes	Low
C.7.Are bids opened in public?	Yes	Low
C.8.Can late bids be accepted?	No	Low
C.9.Can bids (except late bids) be rejected at bid opening?	No	Low
C.10.Are minutes of the bid opening taken?	Yes	Low
C.11.Are bidders provided a copy of the minutes?	Yes	Low
C.12.Are the minutes provided free of charge?	Yes	Low
C.13.Who undertakes the evaluation of bids (individual(s), permanent committee, ad-hoc committee)?	Tender Evaluation Committee (TEC)	Low
C.14.What are the qualifications of the evaluators with respect to procurement and the goods and/or works under evaluation?	The evaluators are ex-officio members of various Government departments having finance/ engineering background and also with procurement experiences	Low
C.15.Is the decision of the evaluators final or is the evaluation subject to additional approvals?	Decision of the evaluators are not final and are subject to additional approvals	Low
C.16.Using the three 'worst-case' examples in the last year, how long from the issuance of the invitation for bids can the contract be awarded?	Ten weeks	Low
C.17.Are there processes in place for the collection and clearance of cargo through ports of entry?	Not relevant	Not Applicable
C.18.Are there established goods receiving procedures?	Not relevant	Not Applicable
C.19.Are all goods that are received recorded as assets or inventory in a register?	Not relevant	Not Applicable
C.20.Is the agency/procurement department familiar with letters of credit?	For works procurement no Letters of Credit is required	Not Applicable
C.21.Does the procurement department registers and track warranty and latent defects liability periods?	Yes	Low
CONSULTING SERVICES		
C.22.Has the agency undertaken foreign-assisted procurement of consulting services recently (last 12 months, or last 36 months)? (If yes, please indicate the names of the development partner/s and the Project/s.)	Pourashava was not involved with Services Procurement and It was Procured by PMU, LGED	Low
C.23.If the above answer is yes, what were the major challenges?	If the size of the package is large in that case, approval of CCGP is required and	Moderate

QUESTION	RESPONSE	RISK
	PMU assist in sending proposal to CCGP	
C.24.Are assignments and invitations for expressions of interest (EOIs) advertised?	Yes, by PMU LGED	Moderate
C.25.Is a consultants' selection committee formed with appropriate individuals, and what is its composition (if any)?	Consultants' selection committee is formed by PMU, LGED as per prevailing rules of the GOB and acceptable to ADB	Low
C.26.What criterion is used to evaluate EOIs?	As per Procurement Guidelines of ADB	Low
C.27.Historically, what is the most common method used (QCBS, QBS, etc.) to select consultants?	QCBS	Low
C.28.Do firms have to pay for the RFP document?	No	Low
C.29.Does the proposal evaluation criteria follow a pre-determined structure and is it detailed in the RFP?	Yes	Low
C.30.Are pre-proposal visits and meetings arranged?	Yes, by LGED	Low
C.31.Are minutes prepared and circulated after pre-proposal meetings?	Yes	Low
C.32.To whom are the minutes distributed?	To the Short-listed consulting firms	Low
C.33.Are all queries from consultants answered/ addressed in writing?	Yes, by LGED	Low
C.34.Are the technical and financial proposals required to be in separate envelopes and remain sealed until the technical evaluation is completed?	Yes	Low
C.35.Are proposal securities required?	No	Low
C.36.Are technical proposals opened in public?	Yes	Low
C.37.Are minutes of the technical opening distributed?	Yes	Low
C.38.Who determines the final technical ranking and how?	Proposal Evaluation Committee determines the ranking as per provisions provided with the RFPs and recommends for approval by the competent authority.	Low
C.39.Are the technical scores sent to all firms?	No, but these are only declared during opening of the financial proposals	Low
C.40.Are the financial proposal opened in public?	Yes, but only before representatives of the technically qualified firms	Low
C.41.Are minutes of the financial opening distributed?	Yes	Low
C.42.How is the financial evaluation completed?	Bid Evaluation Committee completed financial evaluation as per criteria/ formula provided with the RFP documents, and forwards for approval by the PMU and Donor	Low
C.43.Are face to face contract negotiations held?	Yes	Low

QUESTION	RESPONSE	RISK
C.44.How long after financial evaluation is negotiation held with the selected firm?	After completion of financial evaluation and due approval thereto, negotiation with the selected firm takes about 1-2 weeks.	Low
C.45.What is the usual basis for negotiation?	On Methodology of the technical proposals, Scope of services, Key Personnel and elaborating Lump Sum Items, if any, etc. But no negotiations are held on the rates quoted in the financial proposal	Low
C.46.Are minutes of negotiation taken and signed?	Yes	Low
C.47.How long after negotiation is the contract signed, on average?	About 1(one) Month	Low
C.48.Is there an evaluation system for measuring the outputs of consultants?	Yes, but only with LGED	Low
PAYMENTS		
C.49.Are advance payments made?	Yes, mobilization advance to the Consulting Firm and to the contractors of the ICB contracts	Low
C.50.What is the standard period for payment included in contracts?	28 days	Low
C.51.On average, how long is it between receiving a firm's invoice and making payment?	28 days for NCB contracts and 56 days for ICB contracts	Low
C.52.When late payment is made, are the beneficiaries paid interest?	For NCB contracts, there was no evidence of paying interest for delayed payments. For ICB contracts interests are paid, if it is mentioned in the contracts	Low
D. EFFECTIVENESS		
D.1.Is contractual performance systematically monitored and reported?	Yes	Low
D.2.Does the agency monitor and track its contractual payment obligations?	Yes	Low
D.3.Is a complaints resolution mechanism described in national procurement documents?	Yes	Low
D.4.Is there a formal non-judicial mechanism for dealing with complaints?	Yes	Low
D.5.Are procurement decisions and disputes supported by written narratives such as minutes of evaluation, minutes of negotiation, notices of default/withheld payment?	Yes	Low
E. ACCOUNTABILITY MEASURES		
E.1.Is there a standard statement of ethics and are those involved in procurement required to formally commit to it?	Yes	Low
E.2.Are those involved with procurement required to declare any potential conflict of interest and remove them from the procurement process?	Yes	Low
E.3.Is the commencement of procurement	No	Low

QUESTION	RESPONSE	RISK
dependent on external approvals (formal or de-facto) that are outside of the budgeting process?		
E.4. Who approves procurement transactions, and do they have procurement experience and qualifications?	Head of Procuring Entity (HOPE)/PMU, and they have procurement experience and qualifications	Low
E.5. Which of the following actions requires approvals outside the procurement unit or the evaluation committee, as the case may be, and who grants the approval?	After prior concurrence taken from ADB, HOPE grants the approval.	Low
E.6. Bidding document, invitation to pre-qualify or RFP	For NCB Works, Bidding Document is prepared by Pourashava and reviewed by PMU, LGED and Development Partner. Pourashava is not involved with Services Procurement and RFP is prepared by PMU and reviewed by ADB,	Low
E.7. Advertisement of an invitation for bids, pre-qualification or call for EOIs	Advertisements for NCB works by Pourashava and Notice for EOIs by PMU, LGED	Low
E.8. Evaluation reports	Evaluation Reports are Prepared by Pourashava Procurement Evaluation Committee and reviewed by PMU, LGED and the official of ADB	Low
E.9. Notice of award	Notifications of Awards are issued by Pourashava for NCB works packages. And for GOODS and Services Notice of awards are issued by PMU, LGED.	Low
E.10 Invitation to consultants to negotiate	PMU, LGED for Packages under Credit/Loan	Low
E.11. Contracts	Contracts are signed by the Mayor of the Pourashava for NCB Works and for GOODS & Services, contracts are signed by PMU, LGED	Low
E.12. Is the same official responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets?	No	Low
E.13. Is there a written auditable trail of procurement decisions attributable to individuals and committees?	No	Low

PROJECT PROCUREMENT RISK ASSESSMENT QUESTIONNAIRE – MYMENSINGH POURASHAVA

Implementing Agency: Mymenshingh Pourashava

Address: District - Mymenshingh, Bangladesh

Ref: Appendix-3 of ADB Guideline 2015 - Identify and assess procurement risks, on the basis of degree of impact and likelihood of occurrence using the following scale:

High: likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

QUESTION	RESPONSE	RISK
A. ORGANIZATION AND STAFF CAPACITY		
PROCUREMENT DEPARTMENT/UNIT		
A.1.Does the agency or Government have a Procurement Committee that is independent from the head of the agency?	Yes, there is a Procurement Committee in each PS formed by Local Government Division, which is for PS's own procurement. LGED will form procurement Committee for the Pourashava including Municipal Engineer of the MDS consultants for foreign aided Project.	Low
A.2.Does the agency has a procurement department/unit, including a permanent office that performs the function of a Secretariat of the Procurement Committee?	There is a procurement unit comprised by Executive Engineer (XEN), Assistant Engineers (AE), Sub-Assistant Engineers and other technical and non-technical staff within the Pourashava	Low
A.3.If yes, what type of procurement does it undertake?	Yearly maintenance, construction and rehabilitation works of the municipal infrastructures under the Pourashava	Low
A.4.How many years' experience does the head of the procurement department/unit have in a direct procurement role?	Mayor is the head of the procurement unit of the Pourashava. The current Mayor has 8 years experiences	Low
A.5.How many staff in the procurement department/unit is: i. Full Time? ii. Part Time? iii. Seconded?	6 Nos. nil 2 Nos.	Low
A.6.Does the procurement staff has a high level of English language proficiency (verbal and written)?	XEN and AEs are good in English and others are fair	Low
A.7.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Number and qualifications are sufficient for their own fund. However, one ME will be deputed from MDS consultants to strengthen procurement capacity of ADB funded project.	Low
A.8.Does the unit has adequate facilities, such as PCs, internet connection,	The Pourashava has limited facilities, such as 19 Desktops, 4 Laptops, 14 printers, internet connection, and photocopier to	Moderate

QUESTION	RESPONSE	RISK
photocopy facilities, printers etc. to undertake the planned procurement?	undertake the planned procurement.	
A.9.Does the agency has, or has ready access to, a procurement training program?	There are options to participate in training program under CPTU and the Project has options to provide procurement training.	Moderate
A.10.At what level does the department/unit report (to the head of agency, deputy etc.)?	Mayor who is at the highest level of the Pourashava and he is to report to the PMU, LGED for the planned work	Low
A.11.Do the procurement positions in the agency have job descriptions, which outline specific roles, minimum technical requirements and career routes?	Yes	Low
A.12.Is there a procurement process manual for goods and works?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.13.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated and major areas are covered by the manual and in some cases ADB Procurement Guidelines are used.	Low
A.14.Is there a procurement process manual for consulting services?	Yes, there is Public Procurement Rules 2008 (PPR-2008).	Low
A.15.If there is a manual, is it up to date and does it cover foreign-assisted projects?	Yes, it is updated. However, for foreign assisted projects, Consultancy Guidelines are followed. Pourashava is normally not involved with procurement of Consultancy Services.	Low
PROJECT MANAGEMENT UNIT (LGED, HQ)		
A.16.Is there a fully (or almost fully) staffed PMU for this project currently in place?	Yes	Low
A.17.Are the number and qualifications of the staff sufficient to undertake the additional procurement that will be required under the proposed project?	Yes	Low
A.18.Does the unit has adequate facilities, such as PCs, internet connection, photocopy facilities, printers etc. to undertake the planned procurement?	Yes	Low
A.19.Are there standard documents in use, such as Standard Procurement Documents/Forms, and have they been approved for use on ADB funded projects?	Yes	Low
A.20.Does the agency follows the national procurement law, procurement processes, and guidelines?	Yes	Low
A.21.Do ToRs for consulting services follow a standard format such as background, tasks, inputs, objectives and outputs?	Yes	Low
A.22.Who drafts the procurement specifications?	PMU, LGED	Low
A.23.Who approves the procurement specifications?	PMU, LGED and the concerned official of the Development Partner (DP) in case of foreign assisted projects	Low
A.24.Who in the PMU has experience in	Project Managers, Senior Assistant	Low

QUESTION	RESPONSE	RISK
drafting bidding documents?	Engineers, Assistant Engineers	
A.25.Are records of the sale of bidding documents immediately available?	Yes	Low
A.26.Who identifies the need for consulting services requirements?	Pre-feasibility and Feasibility Reports identify requirement of the consulting services.	Low
A.27.Who drafts the terms of reference (ToR)?	PMU, LGED with assistance from consultants and incorporating comments and suggestions from the DP	Low
A.28.Who prepares the request for proposals (RFPs)?	PMU, LGED	Low
B. INFORMATION MANAGEMENT (IA)		
B.1.Is there a referencing system for procurement files?	Yes	Low
B.2.Are there adequate resources allocated to record keeping infrastructure, which includes the record keeping system, space, equipment and personnel to administer the procurement records management functions within the agency?	Yes	Low
B.3.Does the agency adheres to a document retention policy (i.e. for what period are records kept)?	Pourashava has record retention policy normally for 5 years	Low
B.4.Are copies of bids or proposals retained with the evaluation?	Yes, in Pourashava as well as with PMU, LGED	Low
B.5.Are copies of the original advertisements retained with the pre-contract papers?	Yes	Low
B.6.Is there a single contract files with a copy of the contract and all subsequent contractual correspondence?	Yes	Low
B.7.Are copies of invoices included with the contract papers?	Yes	Low
B.8.Is the agency's record keeping function supported by IT?	Pourashava has record keeping in manual filing system and computer as well.	Low
C. PROCUREMENT PRACTICES		
GOODS AND WORKS		
C.1.Has the agency undertaken procurement of goods or works related to foreign assistance recently (last 12 months or last 36 months)? If yes, indicate the names of the development partner/s and project/s	Pourashava has undertaken works related procurement but GOODS are not procured by Pourashava. Yes, the development partners were BMDF World Bank, MGSP and UGIIP-2 Funded by ADB. The agency was involved during execution stage only.	Low
C.2.If the answer is yes, what were the major challenges faced by the agency?	Major challenges faced by Pourashava were in design and supervision of the works	Low
C.3.Is there a systematic process to identify procurement requirements (for a period of one year or more)?	Pourashava has system to take approval of annual program from TLCC and Poura Parishad and also it has Pourashava Development Plan	Low

QUESTION	RESPONSE	RISK
C.4.Is there a minimum period for the preparation of bids and if yes, how long?	For ICB minimum 42 days; and for NCB minimum 30 days.	Low
C.5.Are all queries from bidders replied to in writing?	Not in the Government funded projects, but yes in the foreign-assisted projects	Low
C.6.Does the bidding document state the date and time of bid opening?	Yes	Low
C.7.Are bids opened in public?	Yes	Low
C.8.Can late bids be accepted?	No	Low
C.9.Can bids (except late bids) be rejected at bid opening?	No	Low
C.10.Are minutes of the bid opening taken?	Yes	Low
C.11.Are bidders provided a copy of the minutes?	Yes	Low
C.12.Are the minutes provided free of charge?	Yes	Low
C.13.Who undertakes the evaluation of bids (individual(s), permanent committee, ad-hoc committee)?	Tender Evaluation Committee (TEC)	Low
C.14.What are the qualifications of the evaluators with respect to procurement and the goods and/or works under evaluation?	The evaluators are ex-officio members of various Government departments having finance/ engineering background and also with procurement experiences	Low
C.15.Is the decision of the evaluators final or is the evaluation subject to additional approvals?	Decision of the evaluators are not final and are subject to additional approvals	Low
C.16.Using the three 'worst-case' examples in the last year, how long from the issuance of the invitation for bids can the contract be awarded?	Ten weeks	Low
C.17.Are there processes in place for the collection and clearance of cargo through ports of entry?	Not relevant	Not Applicable
C.18.Are there established goods receiving procedures?	Not relevant	Not Applicable
C.19.Are all goods that are received recorded as assets or inventory in a register?	Not relevant	Not Applicable
C.20.Is the agency/procurement department familiar with letters of credit?	For works procurement no Letters of Credit is required	Not Applicable
C.21.Does the procurement department registers and track warranty and latent defects liability periods?	Yes	Low
CONSULTING SERVICES		
C.22.Has the agency undertaken foreign-assisted procurement of consulting services recently (last 12 months, or last 36 months)? (If yes, please indicate the names of the development partner/s and the Project/s.)	Pourashava was not involved with Services Procurement and It was Procured by PMU, LGED	Low
C.23.If the above answer is yes, what were the major challenges?	If the size of the package is large in that case, approval of CCGP is required and PMU assist in sending proposal to CCGP	Moderate

QUESTION	RESPONSE	RISK
C.24.Are assignments and invitations for expressions of interest (EOIs) advertised?	Yes, by PMU LGED	Moderate
C.25.Is a consultants' selection committee formed with appropriate individuals, and what is its composition (if any)?	Consultants' selection committee is formed by PMU, LGED as per prevailing rules of the GOB and acceptable to ADB	Low
C.26.What criterion is used to evaluate EOIs?	As per Procurement Guidelines of ADB	Low
C.27.Historically, what is the most common method used (QCBS, QBS, etc.) to select consultants?	QCBS	Low
C.28.Do firms have to pay for the RFP document?	No	Low
C.29.Does the proposal evaluation criteria follow a pre-determined structure and is it detailed in the RFP?	Yes	Low
C.30.Are pre-proposal visits and meetings arranged?	Yes, by LGED	Low
C.31.Are minutes prepared and circulated after pre-proposal meetings?	Yes	Low
C.32.To whom are the minutes distributed?	To the Short-listed consulting firms	Low
C.33.Are all queries from consultants answered/ addressed in writing?	Yes, by LGED	Low
C.34.Are the technical and financial proposals required to be in separate envelopes and remain sealed until the technical evaluation is completed?	Yes	Low
C.35.Are proposal securities required?	No	Low
C.36.Are technical proposals opened in public?	Yes	Low
C.37.Are minutes of the technical opening distributed?	Yes	Low
C.38.Who determines the final technical ranking and how?	Proposal Evaluation Committee determines the ranking as per provisions provided with the RFPs and recommends for approval by the competent authority.	Low
C.39.Are the technical scores sent to all firms?	No, but these are only declared during opening of the financial proposals	Low
C.40.Are the financial proposal opened in public?	Yes, but only before representatives of the technically qualified firms	Low
C.41.Are minutes of the financial opening distributed?	Yes	Low
C.42.How is the financial evaluation completed?	Bid Evaluation Committee completed financial evaluation as per criteria/ formula provided with the RFP documents, and forwards for approval by the PMU and Donor	Low
C.43.Are face to face contract negotiations held?	Yes	Low
C.44.How long after financial evaluation is negotiation held with the selected firm?	After completion of financial evaluation and due approval thereto, negotiation with the	Low

QUESTION	RESPONSE	RISK
	selected firm takes about 1-2 weeks.	
C.45.What is the usual basis for negotiation?	On Methodology of the technical proposals, Scope of services, Key Personnel and elaborating Lump Sum Items, if any, etc. But no negotiations are held on the rates quoted in the financial proposal	Low
C.46.Are minutes of negotiation taken and signed?	Yes	Low
C.47.How long after negotiation is the contract signed, on average?	About 1(one) Month	Low
C.48.Is there an evaluation system for measuring the outputs of consultants?	Yes, but only with LGED	Low
PAYMENTS		
C.49.Are advance payments made?	Yes, mobilization advance to the Consulting Firm and to the contractors of the ICB contracts	Low
C.50.What is the standard period for payment included in contracts?	28 days	Low
C.51.On average, how long is it between receiving a firm's invoice and making payment?	28 days for NCB contracts and 56 days for ICB contracts	Low
C.52.When late payment is made, are the beneficiaries paid interest?	For NCB contracts, there was no evidence of paying interest for delayed payments For ICB contracts interests are paid, if it is mentioned in the contracts	Low
D. EFFECTIVENESS		
D.1.Is contractual performance systematically monitored and reported?	Yes	Low
D.2.Does the agency monitor and track its contractual payment obligations?	Yes	Low
D.3.Is a complaints resolution mechanism described in national procurement documents?	Yes	Low
D.4.Is there a formal non-judicial mechanism for dealing with complaints?	Yes	Low
D.5.Are procurement decisions and disputes supported by written narratives such as minutes of evaluation, minutes of negotiation, notices of default/withheld payment?	Yes	Low
E. ACCOUNTABILITY MEASURES		
E.1.Is there a standard statement of ethics and are those involved in procurement required to formally commit to it?	Yes	Low
E.2.Are those involved with procurement required to declare any potential conflict of interest and remove them from the procurement process?	Yes	Low
E.3.Is the commencement of procurement dependent on external approvals (formal or de-facto) that are outside of the budgeting	No	Low

QUESTION	RESPONSE	RISK
process?		
E.4. Who approves procurement transactions, and do they have procurement experience and qualifications?	Head of Procuring Entity, and yes, he has procurement experience and qualifications	Low
E.5. Which of the following actions requires approvals outside the procurement unit or the evaluation committee, as the case may be, and who grants the approval?		
E.6. Bidding document, invitation to pre-qualify or RFP	PMU, LGED and Donor	Low
E.7. Advertisement of an invitation for bids, pre-qualification or call for EOIs	PMU, LGED and Donor	Low
E.8. Evaluation reports	PMU, LGED and Donor	Low
E.9. Notice of award	PMU, LGED and Donor	Low
E.10. Invitation to consultants to negotiate	Donor	Low
E.11. Contracts	PMU, LGED and Donor	Low
E.12. Is the same official responsible for: (i) authorizing procurement transactions, procurement invitations, documents, evaluations and contracts; (ii) authorizing payments; (iii) recording procurement transactions and events; and (iv) the custody of assets?	No	Low
E.13. Is there a written auditable trail of procurement decisions attributable to individuals and committees?	No	Low

Attachment 2: Procurement Risk Assessment and Risk Management Plan (P-RAMP)**UGIIP-3 Additional Financing****Risk:**

- High: Likely to occur, high impact if occurs
 Substantial: unlikely to occur, high impact if occurs
 Moderate: likely to occur, low impact if occurs
 Low: unlikely to occur, low impact if occurs

Risk Description	Risk Assessment	Mitigation Measures or Risk Management Plan	Action by
1. Five additional towns have experience in procuring foreign assisted sub-project using off line bidding, however, they have not started e-GP tendering yet for larger procurements	Moderate	Pourashava will receive extensive training on e-GP bidding & will be supported by PMU & existing LGED management. However, three of them (Gopalganj, Kushtia, and Mymensingh) have just introduced e-GP in their own financed project.	PIU & PMU
2. Pourashava may not have adequate logistics like computer, printer, internet, etc.	Low	All 5 pourashavas have some limited IT-facilities. However, they will be supplied with additional necessary logistic by the PMU.	PMU/PIU
3. If package size is comparatively larger, participation of local qualified bidders can be limited/low.	Moderate	Package size are generally between 0.75-1.5 million US\$ for NCB	PMU/PIU/ ADB
4. Trained staffs/officials involved in procurement may be transferred from project Pourashavas.	Moderate	LGD and PMU will be more attentive in retaining trained officials.	LGD/PMU/ PIU
5. Local bidders may not have enough training on e-GP bidding and project management.	Moderate	PMU will arrange regional training/workshop to raise awareness and provide with training to local bidders.	PMU/PIU
6. Mayor, councilors may be changed due to new election which generally takes place every 5 years.	substantial	PMU will arrange necessary training/ orientation to all newly elected Mayors and councilors right after the change takes place.	PMU/PIU

Risk Description	Risk Assessment	Mitigation Measures or Risk Management Plan	Action by
7. Pourashava has no experience in procuring goods and consulting services	Low	PMU is responsible for all goods and consulting service procurement.	PMU
8. Pourashava technical staffs may not be adequate for supervision, design and quality control of civil works.	Moderate	Project consultants at H/Qs level will support each Pourashava under guidance of PMU.	PMU/MDS Team