**REPORTING REQUIREMENTS FOR PROCURING ENTITIES**

A summary of the required reports.

| **No.** | **Report Type/Name** | **Frequency of Submission** | **Deadline For Submission** | **Enabling Provision** |
| --- | --- | --- | --- | --- |
| **Reports on General Procurement Transactions** | | | | |
|  | Terminations of Procurement and Asset Disposal Proceedings | As and when used/done | within 14 days of termination | Sec 63(2) |
|  | Direct procurements of a value exceeding Kshs. 500,000/=. | As and when used | within 14 days of notification of award | Regulation 62 of the Public Procurement and Disposal Regulations, 2006 |
|  | Disposal of public asset(s) to employees. | As and when used | 14 days of the disposal | Regulation 93(2) of the Public Procurement and Disposal Regulations, 2006 |
|  | Contract awards | Quarterly | Within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter). | Sec. 138 (2) |
|  | Contract Amendment/Variation | As and when used/done | Quarterly | Sec. 139(5) |
|  | Report on seeking approval for use of Alternative Selection Method other than QCBS for Consultancy services | As and when PE intend to use the selection method | Prior to use/approval of the method | Sec. 124(15) |
| **Report on Preferences and Reservation scheme** | | | | |
|  | Report on all contract awards where Preferences and Reservation schemes are applied | Quarterly | within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter | Sec. 158(3) |
|  | Six (6) Months report on Preferences and Reservation of contracts awarded to Youth, Women and Persons with Disability. | Every six (6) months/biannual | Within 14 days after close of the half of the Financial Year (i.e. by January 14th and July 14th respectively). | Sec157 (12)& (13) |
|  | Part of Annual Procurement Plan demonstrating procurements set aside under the Preference and reservation scheme | Annually | Within sixty (60) days after commencement of the Financial Year i.e by 31st August. | Sec. 44(2)(I) & 158(2) |

1. **Terminations of Procurement and Disposal Proceedings: Section 63(2)**

**Quarter:**

**FY:**

|  |  |
| --- | --- |
| PE Name: | |
| Tender No. |  |
| Description of tender |  |
| Nature (Goods, Works, Services) |  |
| Stage of Tender Processing at the time of termination |  |
| Date of Termination |  |
| Reasons for Termination as prescribed under section 63 (1) (a) to (i) of the Act |  |
| This report should be submitted to the Authority within **14 days** of termination accompanied by the following mandatory documents:   1. An extract of the approved procurement plan demonstrating that the subject procurement was planned for 2. Signed Recommendations for termination by the Head of the Procurement Function 3. Approval by the Accounting Officer for termination 4. Official termination/cancellation notification to bidders | |

**Prepared By: Name…………………………………………….Designation……………………………….Signature………………………..**

**Date of Report: …………………………………………………**

1. **Direct Procurements Above Ksh 500,000**

The report should be submitted to the Authority within **14** days of notification of award. The report must provide proof that the conditions for the use of the direct procurement procedure were met as stipulated in the Act and Regulations including necessary approvals. In addition, the report should be accompanied by:

1. A copy of the approval by the Accounting Officer for use of the direct procurement method
2. A copy of the professional opinion
3. Approval of Award by the Accounting Officer
4. Negotiation report, if any.

**Name of PE:**

**Quarter:**

**FY:**

| **S/No** | **Tender No.** | **Tender Description** | **Tender opening date** | **Evaluation Completion Date** | **Tender Award Date** | **Date of notification of award** | **Business Name of contractor/**  **supplier** | **Contract price/value** | **Date of contract signature** | **Contract NO.** | **Contract description** | **Date of commencement** | **Contract Completion date/**  **expiry** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ... |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Prepared By: Name……………………………………………………..Designation…………………………………….Signature……………………**

**Date of Report:………………………………………………………….**

1. **Report: Disposal to Employees (Reg. 93(2))**

**Name of the PE:**

**Reporting Quarter:**

**FY:**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **S/No.** | **Date of Disposal** | **Item name & Description** | **Purchase price** | **Year of Purchase** | **Name of Employee (i.e. to whom disposed)** | **Disposal price** | **Reason/Justification** |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

**Prepared By: Name………………………………………………..Designation…………………………………….Signature…………………………**

**Date of Report:…………………………………………………….**

1. This should be reported to the Authority within **14** days of the disposal
2. The report must clearly demonstrate that the conditions for disposal to employees have been met. This should include the recommendation of the disposal committee and the Accounting officer's approval.
3. The report should include details of the item being disposed, year of purchase and the reason why it was recommended for disposal (whether unserviceable, surplus or obsolete).
4. **All Contract Awards (Sec. 138 (2))**

This is a mandatory report pursuant to section 138 (2). In situations where no contracts have been awarded within the reporting quarter, Procuring Entities are still reminded that **Nil** report must be made to the Authority indicating that fact. ***This report is due within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter).***

**Name of PE:**

**Reporting Quarter:**

**FY:**

| **S/No** | **Tender No.** | **Tender Description** | **Procurement Method** | **Tender opening date** | **Evaluation Completion Date** | **Tender Award Date** | **Date of notification of award** | **Date of contract signature** | **Contract No.** | **Contract description** | **Business Name of contractor/supplier** | **Date of commencement/signing** | **Contract Completion date/expiry** | **Contract price/value** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **0** | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** |
| 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Prepared By: Name……………………………………………….Designation…..………………………………….Signature………………………..**

**Date of Report: ……………………………………………………**

1. **Quarterly Report on Contract Amendment/Variation {Sec. 139(5)}**

*This report is due within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter).*

**5.1 Contract Amendment/Variation within stipulated threshold**

**Name of PE:**

**Reporting Quarter:**

**FY:**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **s/no.** | **Contract no.** | **Contract description** | **Procurement Method** | **Nature of Contract (goods/works/services)** | **Supplier/**  **Contractor Name** | **Date of contract signature** | **Initial Contract Duration(before variation/amendment )** | **Type of Amendment/Variation (price/quantity)** | | | | **Initial contract value** | **Cumulative/resultant Contract value after variation** | **Percentage Variance** | **Date of Variation Approval** | **New Contract Duration(if duration is affected by variation amendment)** |
| **Quantity** | | **Price** | |
|  |  |  |  |  |  |  |  | **Initial Quantity** | **New Quantity after Variation** | **Initial Price** | **New Price After Variation** |  |  |  |  |  |
| **1** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **2** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **…** |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Prepared By: Name………………………………………………..Designation…………………………………Signature……………………….**

**Date of Report: …………………………………………………….**

* 1. **Contract Variations Resulting to An Increment of more than 25% of the Original Contract Price**

This is a report where the contract variation(s) (cumulative value of contract variations) resulted to an increment of more than 25% of the original contract price. Section 139 (6) of the Act instructs that such variation to be tendered for separately. Consequently, the PE should submit report of such variations by provide information on the tendering process conducted to procure the subject variations. The PE should provide information on the procurement method used, recommendations and necessary approvals by the authorized persons. Further provide the value of the contract resulting from variation as per the format below:

| **S/No** | **Tender No.** | **Tender Description** | **Procurement Method** | **Tender opening date** | **Evaluation Completion Date** | **Tender Award Date** | **Date of notification of award** | **Date of contract signature** | **Contract No.** | **Contract description** | **Company Name of contractor/supplier** | **Date of commencement** | **Contract Completion date/expiry** | **Contract price/value** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **0** | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** | **11** | **12** | **13** | **14** |
| 1 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

***This Report should be accompanied by signed recommendations by the Head of the Procurement Function and Approvals by the Accounting Officer.***

**Prepared By: Name……………………………………………………..Designation…………………………….Signature……………………………**

**Date of Report: …………………………………………………………**

1. **Report on seeking approval for use of Alternative Selection Method other than QCBS for Consultancies {Sec. 124(15)}**

|  |  |
| --- | --- |
| **The request should be accompanied by an extract of the Procurement Plan showing that the subject procurement was planned for.** | |
| PE Name: | |
| Tender No. |  |
| Description of tender |  |
| 1. **Alternative Selection Method proposed** (Least Cost Selection, Consultants Qualifications Selection, Individual Consultants Selection, Fixed Budget Selection) |  |
| Justification for use of an Alternative Selection Method as provided for under section 124 of the Act and the Regulations  Demonstrate why the proposed Alternative Selection Method is preferred to the QCBS |  |
| 1. **Alternative Selection Method proposed (Single Source Selection)** | |
| Provide a justification (s) that:   1. The use of single source selection presents a clear advantage over competition 2. Use of single source selection satisfies any of the conditions stated under section 124 (12)(a)(b)&(c) |  |
| Provide a copy of a written justification issued by the Accounting Officer pursuant to section 124 (13) |  |

**Prepared By: Name……………………………………………….Designation………………………………Signature……………………………..**

**Date of Report: ……………………………………………………**

**REPORTS ON PREFERENCES AND RESERVATION SCHEMES**

1. **Six (6) Months Report on Preference and Reservation Contracts Awards to Youth, Women and Persons With Disability(PWD): July- December; and January- June {Sec157 (12)& (13)}**

This report is submitted pursuant to Section 157 (12)& (13) of the Act which instructs procuring entities at the National and County level to submit reports to the Authority every six (6) months demonstrating compliance with the legal provisions on implementation of the preferences and reservation scheme. The report should be disaggregated to indicate the number of youth, women and persons with disability from whom goods, works and services have been procured by the procuring entity as required under section 157 (13) (b) of the Act. Where no contracts have been awarded within the reporting period, Procuring Entities are still reminded that **Nil** report must be made to the Authority indicating that fact This is a mandatory report to the Authority to facilitate us make a report to Parliament as required under section 157 (14) of the Act. ***This report is due within 14 days after close of the Half of the financial year (i.e. by January 14th and July 14th respectively).***

**Name of PE:**

**Reporting Period:**

**FY:**

**Section A: Allocations to the Preference and Reservation**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **D** | **E** | **F** | **G** | **H** | **I** |
| **Total Procurement Spend for the FY** | **Total Procurement Value Reserved for the FY** | **% Reserved = (D/E)** | **Number of contracts Awarded during the 6months reporting period** | **Value of Contracts Awarded during the 6months reporting period** | **% value of contracts Awarded =(H/D)x 100** |
| ***200,000\**** | ***60,000*** | ***30*** | ***10*** | ***25,000*** | ***12.5*** |

***\*For purpose of illustration only***

Provide an explanation demonstrating/certifying compliance with the provisions section 157 as required under section 157 (13)(a) of the Act.

**Section B: All Contracts Awards to the Target Group (youth, Women and PWD)**

***Note: All columns should be filled in as appropriate.***

| **S/No.** | **Supplier/Contractor Name (Business name as appears in the AGPO Cert.)** | **AGPO Cert. No** | **Names of Directors** | **Nature of Contract (goods/ works/non-consultancy /consultancy services)** | **Tender /Quotation No. & Description** | **Method of Procurement** | **LPO/LSO/Contract No.** | **Contract Value** | **Payment status** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **PERSONS WITH DISABILITY (PWD)** | | | | | | | | | |
| 1 |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |
| **Sub Total** | | | | | | | |  |  |
| **WOMEN** | | | | | | | | | |
| 1 |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |
| **Sub Total** | | | | | | | |  |  |
| **YOUTH** | | | | | | | | | |
| 1 |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |
| **Sub Total** | | | | | | | |  |  |
| **Total for the Half year** | | | | | | | |  |  |

Note: The payment status should be reported in terms of paid/partly paid/not paid. Provide justification for non-payment/delayed payment in cases where a contract (s) has been completed.

**Section C: Summary of all contract Awards as presented in Section B above**

| **Category** | **No. of Contracts awarded** | **Total Value of contracts awarded** | **% of contract value per category** |
| --- | --- | --- | --- |
| PWD |  |  |  |
| Women |  |  |  |
| Youth |  |  |  |
| **Total** |  |  | **100** |

**Prepared By: Name…………………………………………..Designation………………………………Signature…………………………….**

**Date of Report:…………………………………………………**

1. **Quarterly Reports on Preference and Reservation {Sec. 158(3)}**
   1. **All Contracts Awards under the Preferences and Reservation Scheme**

This report is due within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter). Where no contracts have been awarded within the reporting quarter, Procuring Entities are still reminded that **Nil** report must be made to the Authority indicating that fact.

**Name of PE:**

**Reporting Quarter**:

**FY:**

***Note: All columns should be filled in as appropriate.***

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **0** | **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** |
| **S/No.** | **Supplier/Contractor Business Name as in Registration Cert.** | **Name (s) of Directors** | **Scheme Applied (Preference/**  **Reservation)** | **Awarded Category({Disadvantaged Groups(Youth Women & PWD) Micro, Small & Medium Enterprises, Identified Regions, Citizen, Contractors, e.t.c }** | **Tender Description** | **Tender /Quotation No.** | **Nature of Contract (goods/works/non-consultancy /consultancy services)** | **Method of Procurement** | **LPO/LSO/**  **Contract No.** | **Contract Value** |
| 1 |  |  |  |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |  |  |  |
| ... |  |  |  |  |  |  |  |  |  |  |
| ... |  |  |  |  |  |  |  |  |  |  |
| **Grand Total** | | | | | | | | | |  |

**Prepared By: Name……………………………………………………….Designation………………………Signature…………………………**

**Date of Report: …………………………………………………………..**

* 1. **Preference Scheme for Resident Suppliers/Contractors at the County {Sec. 33(g)}**

This annual report is due within 14 days after the close of the financial (i.e. by 14th july). Note: All columns should be filled in as appropriate.

**Name of County:**

**County Entity:**

**Quarter:**

**Section A: Summary of Contract Awards for the Resident suppliers**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **D** | **E** | **F** | **G** | **H** |
| **Total Planned Procurement Spend for the FY** | **Actual Procurement Spend for the FY** | **Number of contracts Awarded to the Resident suppliers** | **Value of Contracts Awarded to the resident suppliers** | **% value of contracts Awarded =(G/E)\*100** |
| ***200m\**** | ***150*** | ***200*** | **20millioon** | **10** |

***\*For purpose of illustration only***

**Section B: All Contracts Awards to the Resident suppliers**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N0** | **Supplier/Contractor Awarded** | **Names of the Directors** | **Physical address of the supplier/ contractor** | **Scheme Applied (Preference/**  **Reservation)** | **Target Group (Resident Contractors)** | **Tender /Quotation description & No.** | **LPO/LSO/Contract No.** | **Nature of Contract (goods/ works/**  **non-consultancy /consultancy services)** | **Contract Value** | **Payment status** |
| 1 |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |  |  | **Total** |  |

**Prepared By: Name………………………………………….Designation………………………………Signature……………………………….**

**Date of Report*:.....................................................***

* 1. **Report on Sourcing 40% of Supplies from Citizen Contractors by Foreign Tenderers Participating In International Tenders {Sec. 157(9)}**

This report is due within 14 days after close of the quarter (i.e. by 14th day of the subsequent Quarter).

**Name of PE:……………………………………………………………….**

**Reporting Quarter**:

**FY:**

***Note: All columns should be filled in as appropriate.***

| **S/N0** | **Tender Description** | **Tender /Quotation No.** | **Supplier/Contractor Awarded(foreign)** | **Citizen Contractor who benefited** | **Names of the Directors** | **Nature of Contract (goods/works/non-consultancy /consultancy services/)** | **LPO/LSO/Contract No.** | **Contract Value** | **Portion of the contract value to be sourced from citizen contractor(value )** | **Percentage of local participation** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |
| . |  |  |  |  |  |  |  |  |  |  |
| **Total** | | | | | | | |  |  |  |

**Prepared By: Name…………………………………………………Designation……………………………..Signature…………………………….**

**Date of Report: …………………………………………………….**

1. **Part of the Annual Procurement Plan demonstrating application of the Preference and Reservation {Sec. 44(2)(I) & 158(2)}**

This Plan must be submitted to the Authority within **sixty (60)** days after commencement of the financial year i.e by **31st August.**

**Name of PE:**

**Financial Year:**

***Note: All columns should be filled in as appropriate.***

| **No.** | **Item description** | **Unit** | **Qty** | **Procurement**  **Method** | **Source**  **of Funds** | **Estimated**  **Cost**  **Kshs. ‘000** | **Time**  **Process** | **Invite/**  **Advertise**  **Tender** | **Bid opening** | **Bid evaluation** | **Tender award** | **Notification**  **of Award** | **Contract Signing** | **Total time to contract signature** | **Date for completion of contract** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
| 1. |  |  |  |  |  |  | Planned Days |  |  |  |  |  |  |  |  |
| actual Days |  |  |  |  |  |  |  |  |
| Variance |  |  |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  | Planned Days |  |  |  |  |  |  |  |  |
| actual Days |  |  |  |  |  |  |  |  |
| Variance |  |  |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Total** | | | | | |  |  |  |  |  |  |  |  |  |  |

**Prepared by: Accounting Officer: Sign ……………………………………… Date ………………………………**

**Approved by: Cabinet Secretary / CECM / Board / Council: Sign ………………………………… Date ………………………………**

**Guidance notes on preparing the procurement plan as per column: -**

1. Provide the total procurement spend (total value of all procurements planned by the entity) for the financial year.
2. Provide the aggregate contracts value set aside for the 30% target groups (youth, women and PWD).
3. Compute the percentages set aside for the reservation schemes.
4. For County Governments, clearly show the percentage set aside for county resident suppliers/contractors.
5. Compute the overall percentage set aside for the 30% target groups (youth, women and PWD).