PUBLIC PROCUREMENT & CONTRACT MANAGEMENT IN SRI LANKA

VOLUME II

Operational Forms, Templates & Compliance Checklists

For Practitioners in Ministries, Departments, Authorities, Boards, SOEs, Provincial Councils, Local Authorities and Projects



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Public Procurement & Contract Management in Sri Lanka

Volume II

Operational Forms, Templates & Compliance Checklists

A Practical Companion Workbook

Preface

Public Procurement & Contract Management in Sri Lanka, Volume II: Operational Forms, Templates & Compliance Checklists has been developed as the practical companion to Volume I of this publication.

While Volume I explains the principles, procedures and professional considerations governing public procurement and contract management, Volume II is intended to support their **day-to-day application and documentation**.

Public procurement is not completed merely by making the correct decision. That decision must also be properly recorded, supported by evidence, authorized at the appropriate level and capable of being traced during subsequent review, audit or contract administration. In practice, weaknesses in documentation can undermine an otherwise sound procurement process. Missing records, inconsistent formats, incomplete approvals, poorly maintained registers and inadequate follow-up can create uncertainty, delay and avoidable governance risks.

This volume has therefore been prepared to provide practitioners with a structured set of **forms, templates, registers and compliance checklists** covering key stages of the procurement and contract-management lifecycle.

The material is intended to assist Procuring Entities, Procurement Management Divisions, Procurement Committees, Bid Evaluation Committees, Engineers, Project Managers, Contract Managers, Consultants, Internal Auditors and other officers responsible for planning, conducting, recording, monitoring and reviewing procurement and contract activities.

The forms and templates have been arranged to support practical functions such as procurement planning, method selection, risk identification, preparation and review of Procurement Documents, bid opening, evaluation, approvals, contract commencement, variations, extensions of time, payments, quality control, claims, completion, closeout and performance monitoring.

The principal purpose of Volume II is not to create additional procedural requirements. Rather, it is to provide a **practical documentation framework** that can help institutions apply existing requirements more consistently and maintain an adequate audit trail.

Accordingly, the documents in this volume should be adapted to suit the nature, value, complexity and risk profile of the particular procurement or contract. Not every form or checklist will be necessary for every assignment. Equally, some procurements may require additional records arising from applicable legislation, Procurement Guidelines, Procurement Manual provisions, donor requirements, Standard Procurement Documents, institutional procedures or the particular Contract.

Users should therefore exercise professional judgment when selecting and adapting the documents provided.

Relationship with Volume I

The two volumes are designed to operate together.

Volume I: Practical Q&A & Operational Guide

provides guidance on:

- **WHAT** the applicable requirement or issue is;
- **WHY** it matters;
- **HOW** it should be approached; and
- **WHAT decision, control or professional consideration is required.**

Volume II: Operational Forms, Templates & Compliance Checklists

supports practitioners to:

- **DOCUMENT,** the process;
- **RECORD** decisions and evidence;

- **CHECK** compliance and completeness; and
- **MONITOR** implementation and performance.

This separation allows the explanatory material to remain convenient as a reference while providing sufficient space and structure in Volume II for practical working documents.

Use and Adaptation of the Forms

The forms and templates in this volume are intended as practical working aids. They may be reproduced and adapted by authorized users for legitimate procurement, contract-management, training and institutional purposes, subject to the copyright conditions applicable to this publication.

Where an institution already has prescribed forms, statutory formats, donor templates or approved internal procedures, those requirements should take precedence. The documents in this volume may then be used as supplementary checklists or adapted only where appropriate.

Users should also ensure that completed records are subject to proper document control, version control, authorization, confidentiality and retention arrangements.

Keeping the Material Current

Procurement requirements, authority limits, thresholds, Standard Procurement Documents, donor procedures and contractual practices may change over time.

For this reason, Volume II should not be used in isolation. Before applying for any form or checklist, users should verify the current applicable:

- legislation and financial regulations;
- Procurement Guidelines and Procurement Manual;
- Standard Procurement Documents;
- donor or financing-agency requirements, where applicable;
- institutional circulars and delegated authority arrangements; and
- conditions of the particular Contract.

The actual governing instrument remains authoritative.

Closing Reflections

Good procurement governance depends not only on making sound decisions, but also on maintaining reliable records that demonstrate how those decisions were reached and implemented.

A well-documented procurement process strengthens transparency, accountability, continuity, auditability and institutional learning. Similarly, disciplined contract records provide the factual foundation necessary for managing payments, variations, delays, claims, quality, completion and disputes.

It is my hope that this volume will provide practitioners with a useful working resource that promotes greater consistency, better documentation and stronger operational control throughout the procurement and contract-management lifecycle.

Together with Volume I, it is intended to support the development of a more practical, accountable and professionally managed public procurement environment in Sri Lanka.

Eng. SMP Siriwardana
Chartered Engineer
Kandy, Sri Lanka

How to Use This Workbook

This volume is designed as a **practical working companion** to *Public Procurement & Contract Management in Sri Lanka, Volume I: A Practical Q&A and Operational Guide*.

Volume I explains the applicable principles, procedures and professional considerations. Volume II provides the **forms, templates, registers and compliance checklists** that may be used to document, control and monitor those activities in practice.

The two volumes may therefore be used together:

Volume I - WHAT, WHY and HOW

Volume II - DOCUMENT, RECORD, CHECK and MONITOR

1. Select the document relevant to the activity

The forms and checklists in this workbook are arranged broadly in the sequence of the procurement and contract-management lifecycle.

Users may proceed directly to the relevant section according to the activity being undertaken, for example:

- procurement planning and method selection;
- preparation of Procurement Documents;
- bid/proposal receipt and opening;
- bid/proposal evaluation;
- Procurement Committee review and award;
- consultant selection;
- contract commencement and mobilization;
- variations and change control;
- time management and extensions of time;
- interim and final payments;
- quality assurance and defects;
- claims and dispute management;
- contract completion and closeout;
- audit, compliance and performance monitoring.

The Table of Contents and form numbering system should be used to locate the required document quickly.

2. Use Volume I where explanation is required

A form or checklist is intended to support a process; it does not, by itself, explain the complete regulatory or contractual basis for that process.

Where clarification is required regarding **why a particular action is necessary, who has responsibility, what approval is required, or how a decision should be made**, the corresponding discussion in Volume I should be consulted.

Users should also refer to the applicable Procurement Guidelines, Procurement Manual, Standard Procurement Documents, financing-agency requirements and Contract conditions.

3. Adapt the templates to the particular procurement or contract

The documents in this volume are intended as **practical model formats**. **They should not be applied mechanically**.

Each procurement or contract may differ according to:

- procurement category;
- value and complexity;
- procurement method;
- funding source;
- approval authority;
- applicable Standard Procurement Document;
- contractual conditions;
- institutional procedures; and
- risk profile.

Accordingly, users should modify headings, fields, approval levels and supporting information where necessary, while preserving the essential control purpose of the document.

Not every form will be required for every procurement.

4. Governing and prescribed forms take precedence

Where legislation, the Procurement Guidelines or Manual, a Standard Procurement Document, financing agreement, donor requirement, Treasury circular, institutional instruction or the Contract prescribes a particular form or procedure, **that prescribed requirement takes precedence**.

The corresponding document in this workbook may then be used as a supplementary working aid or compliance checklist where appropriate.

This workbook should therefore not be treated as a substitute for an officially prescribed form.

5. Complete records contemporaneously

The greatest value of these documents is achieved when they are completed **at the time the relevant activity or decision occurs**, rather than reconstructed later.

Entries should therefore be:

- factual and sufficiently detailed;
- dated;
- attributable to the responsible officer or committee;
- supported by relevant documents or evidence;
- approved where required; and
- retained within the appropriate procurement or contract file.

Important decisions should record not only the outcome but, where appropriate, the **reasoning, authority and supporting evidence** on which the decision was based.

6. Maintain proper document control

Completed forms, registers and checklists form part of the procurement and contract-management audit trail.

Institutions should therefore apply appropriate controls for:

- document identification;
- version control;
- date and reference numbering;
- signatures and approvals;
- confidentiality;

- electronic file naming;
- access control;
- record retention; and
- retrieval for management or audit review.

Where a document is revised, superseded versions should be retained or controlled in accordance with the applicable institutional document-management procedure.

7. Use checklists as controls, not merely as filing documents

The compliance checklists included in this volume are intended to support **active verification**.

They should be used before an activity is finalized, for example, before:

- issuing Procurement Documents;
- closing or opening bids;
- completing an evaluation;
- recommending an award;
- issuing a variation;
- approving an extension of time;
- certifying a payment; or
- closing a contract.

A checklist completed only after the event provides considerably less preventive value.

Where a requirement has not been satisfied, the deficiency, corrective action and responsible officer should be identified wherever practicable.

8. Maintain registers throughout the lifecycle

Registers should be opened at the appropriate stage and updated continuously.

Examples include registers for:

- procurement activities;
- bid securities;
- clarifications and addenda;
- contract securities and insurance;
- instructions;
- variations;
- extensions of time;
- payments;
- claims;
- defects;
- correspondence; and
- contract closeout.

A register is useful only when it remains current and can be reconciled with the underlying records.

9. Use electronic versions where appropriate

Where editable electronic versions of the forms and templates are made available, users may adapt them to suit institutional requirements.

When forms are converted to electronic use, the same principles of authorization, traceability, version control, security and record retention should continue to apply.

Institutions may also incorporate suitable forms into their internal document-management, e-procurement or project-management systems.

10. Apply professional judgment

No standard form can anticipate every circumstance that may arise in public procurement or contract administration.

Users should therefore exercise professional judgment, obtain specialist advice where necessary and refer to the governing instruments before making decisions with significant legal, financial, technical or contractual consequences.

The purpose of this workbook is to **support disciplined professional practice, but not to replace professional responsibility**.

Relationship between Volume I and Volume II

This publication has been structured as two complementary volumes in recognition of the fact that public procurement and contract management require both **sound understanding** and **disciplined documentation**.

Volume I: A Practical Q&A and Operational Guide provides the principal explanatory reference. It addresses the procurement and contract-management lifecycle through practical questions and answers, professional guidance, case studies, process maps, risk-management principles and references to the applicable regulatory and contractual framework. Its purpose is to assist practitioners in understanding **what is required, why it is important, how the relevant process operates and what decisions or controls may be necessary**.

Volume II: Operational Forms, Templates & Compliance Checklists converts that understanding into practical working tools. It provides forms, registers, operational templates and compliance checklists that can be used to **document actions, record decisions, verify compliance, maintain an audit trail and monitor procurement and contract performance**. The documents are arranged broadly in accordance with the procurement and contract-management life cycle so that users can identify the appropriate working record for the activity being undertaken.

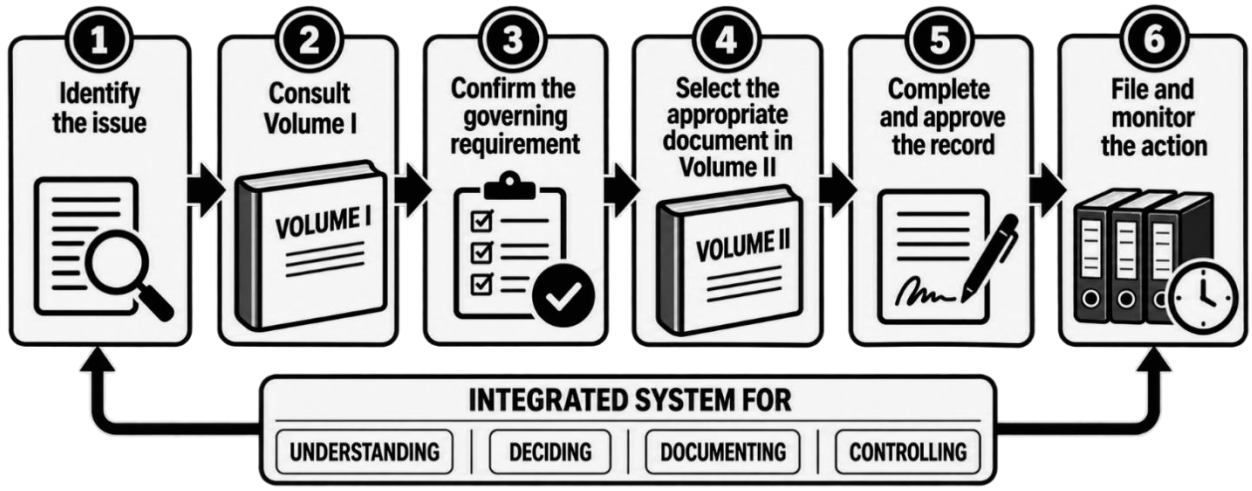
The relationship between the two volumes may therefore be expressed simply as:

Volume I - WHAT, WHY and HOW

Volume II - DOCUMENT, RECORD, CHECK and MONITOR

The volumes are intended to be used together. When a practitioner encounters an issue, Volume I may first be consulted to understand the relevant principle, responsibility or procedure and to identify the applicable governing requirement. The corresponding form, register, template or checklist in Volume II can then be selected to record and control the required action.

In practical terms, the recommended sequence is:



Volume II does not create additional statutory or contractual requirements, nor does it replace prescribed forms contained in legislation, Procurement Guidelines, the Procurement Manual, Standard Procurement Documents, financing-agency requirements or individual contracts. Rather, it provides a structured documentation system to support their practical application.

Used in this manner, the two volumes operate as an integrated practitioner reference, linking **knowledge with action, decision-making with documentation, and procedural compliance with effective operational control** throughout the procurement and contract-management lifecycle.

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PROCUREMENT SCHEDULE / GANTT TRACKER

SECTION A | PROCUREMENT SET-UP, PREPARATION AND INVITATION

Procurement Time Schedule (PTS) - approved baseline and actual/forecast progress | Records 01-10

Procuring Entity: _____	Project / Procurement Package: _____	PTS reference: _____
APP / DAPP ref.: _____	Method / procurement category: _____	Original PC approval / minutes ref.: _____

A1. PROCUREMENT ACTIONS - PREPARATION TO INVITATION

No.	Activity / procurement action	Responsible officer / unit	Baseline start	Baseline finish	Actual start	Actual / forecast finish	Variance (days)	Status*
01	Confirm scope, budget status and procurement readiness							
02	Complete surveys / designs / TOR / specifications / BOQ (if applicable)							
03	Prepare and obtain approval of Total Cost Estimate							
04	Complete statutory / project clearances and preparatory actions							
05	Appoint Procurement Committee (PC) and Bid Evaluation Committee (BEC)							
06	Prepare procurement documents / prequalification documents							
07	PC first meeting: review and approve PTS baseline							
08	Conduct prequalification process (if applicable)							
09	Review / approve final procurement documents							
10	Issue specific procurement notice / invitation / RFP							

* Status codes: NS = Not Started; IP = In Progress; C = Completed; D = Delayed; NA = Not Applicable. Variance: actual/forecast finish minus baseline finish in calendar days (+ late; - early). Time frame: consult Manual Chapter 04, Annexures VIII-IX, as applicable.

PROCUREMENT SCHEDULE / GANTT TRACKER

SECTION B | BIDDING, EVALUATION, AWARD AND SCHEDULE CONTROL

Continue the same procurement package and approved baseline shown on Sheet 1 | Records 11-20

Procuring Entity: _____	PTS reference / revision: _____	Review / update date: _____

B1. PROCUREMENT ACTIONS - BIDDING TO CONTRACT AWARD

No.	Activity / procurement action	Responsible officer / unit	Baseline start	Baseline finish	Actual start	Actual / forecast finish	Variance (days)	Status*
11	Conduct pre-bid meeting, clarifications and addenda (as needed)							
12	Receive bids / proposals and conduct bid opening							
13	BEC conducts evaluation and clarification (as applicable)							
14	Complete post-qualification / due diligence (if applicable)							
15	Submit BEC evaluation report and recommendation to PC							
16	PC review and procurement / award determination							
17	Funding agency concurrence / prior review (if required)							
18	Notice of intention to award and standstill / appeals (if required)							
19	Issue Letter of Acceptance (LoA) / award notification							
20	Obtain security and execute / sign contract (as applicable)							

B2. SCHEDULE MONITORING: Baseline target award date: _____ Actual / forecast award date: _____ Total award variance: _____ calendar days

Reason for significant delay / recovery action and responsible person: _____

Prepared / updated by PE / PMD (name, signature, date)	PTS approved by PC at first meeting (Chair / decision ref. / date)	Review / concurrence / monitoring record (PC / BEC, date)

Control: Retain the PC-approved PTS as the original baseline. Record revisions, explanations for major delays and corrective actions; inform the CAO where required. Conditional activities must be marked NA, not silently omitted.

PROCUREMENT SCHEDULE / GANTT TRACKER

SECTION C | 24-WEEK GANTT PLOTTING GRID

Graphical monitoring companion to Sections A and B | Copy this sheet when the planned duration exceeds 24 weeks

Procuring Entity / Package reference: _____	PTS / revision: _____	Week 01 commencing (date): _____

C1. WEEKLY GANTT REGISTER | Mark planned and actual activities against calendar weeks

Ref.	Gantt activity / stage	P / A	01	02	03	04	05	06	07	08	09	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
01-04	Preparation and clearances	P																								
		A																								
05	PC / BEC appointment	P																								
		A																								
06	Procurement document preparation	P																								
		A																								
07	PC baseline approval	P																								
		A																								
08	Prequalification (if applicable)	P																								
		A																								
09	Procurement document approval	P																								
		A																								
10	Advertisement / invitation	P																								
		A																								
11	Clarifications / addenda	P																								
		A																								
12	Bid receipt and opening	P																								
		A																								
13-14	Evaluation and qualification	P																								
		A																								
15-16	BEC report and PC determination	P																								
		A																								
17	Funding agency concurrence	P																								
		A																								
18	Intention to award / standstill	P																								
		A																								
19-20	LoA / contract execution	P																								
		A																								

Plotting instructions: P = approved planned duration (outline or diagonal shading). A = actual / forecast duration (solid shading). Enter Week 01 commencement date above, then plot chronologically; cross-reference activity numbers on Sheets 1-2. Blank periods are not automatically delays.

Schedule revision / tracking: Updated by: _____ Date: _____ PC / reviewer reference: _____ Next review date: _____

VOLUME II / PROCUREMENT OPERATIONAL TEMPLATES **OT-07**

PROCUREMENT DOCUMENT PREPARATION CHECKLIST

SECTION 1 OF 3 | Draft control and bidding instructions

Procuring Entity:	**Project / Programme:**
Procurement Package:	**Procurement Ref. / DAPP ID:**
Procurement Method:	**SPD/SBD Title & Edition:**
Draft Version / Date:	**PC / BEC (if appointed):**

A. PROCUREMENT REFERENCE & STANDARD DOCUMENT CONTROL

No.	VERIFICATION ITEM	Y	N	N/A	EVIDENCE / REMARKS
1	Confirm procurement title, package reference and category agree with the approved planning records.	☐	☐	☐	
2	Confirm scope, procurement method and proposed approving PC/authority are identified.	☐	☐	☐	
3	Confirm the approved Total Cost Estimate (TCE), funding source and relevant budget record.	☐	☐	☐	
4	Identify the correct current SPD/SBD, issuing institution, edition and permitted adaptations.	☐	☐	☐	
5	Confirm donor-mandated SPD and required prior review/no-objection, if applicable.	☐	☐	☐	
6	Confirm standard ITB and GCC are unaltered; adaptations appear only in designated data / special conditions.	☐	☐	☐	

B. INVITATION, ITB & BID DATA SHEET

No.	VERIFICATION ITEM	Y	N	N/A	EVIDENCE / REMARKS
7	Attach the appropriate IFB/RFB/RFP or other invitation with package description, quantities and location.	☐	☐	☐	
8	Confirm publicity channels, issue/inspection arrangements and any document fee are correctly stated.	☐	☐	☐	
9	Include PE address and named contact for inspection, clarification and document issue.	☐	☐	☐	
10	State bid/proposal closing date, time, submission method/address and opening arrangements consistently.	☐	☐	☐	
11	Complete the BDS with all procurement-specific data corresponding to the ITB.	☐	☐	☐	
12	Specify bid language, currency, pricing/tax instructions and any permitted alternatives.	☐	☐	☐	
13	State bid validity as a calendar expiry date; specify security/declaration amount, form and validity dates.	☐	☐	☐	
14	Provide applicable pre-bid meeting, site visit, clarification and addendum arrangements.	☐	☐	☐	

PROCUREMENT DOCUMENT PREPARATION CHECKLIST

SECTION 2 OF 3 | Eligibility, evaluation criteria and technical schedules

Procurement Ref.: _____	**Draft Version:**

C. ELIGIBILITY, QUALIFICATION & BID EVALUATION					
No.	**VERIFICATION ITEM**	**Y**	**N**	**N/A**	**EVIDENCE / REMARKS**
15	State bidder eligibility and conflict-of-interest/debarment requirements clearly.	☐	☐	☐	
16	Specify proportionate experience, financial capacity, equipment and personnel criteria.	☐	☐	☐	
17	Include applicable CIDA registration/grade requirements for Works; do not restrict document purchase.	☐	☐	☐	
18	Address JV/consortium eligibility, member obligations and qualification aggregation, as applicable.	☐	☐	☐	
19	Address Public Contracts Act registration and other statutory conditions, where applicable.	☐	☐	☐	
20	Include the prescribed non-collusion / single-bid declaration and bidder qualification forms.	☐	☐	☐	
21	Disclose complete bid responsiveness, technical and financial evaluation criteria in advance.	☐	☐	☐	
22	Ensure evaluation methods, discounts, arithmetic corrections, preferences and post-qualification rules are clear.	☐	☐	☐	

D. SCOPE, SPECIFICATIONS, DRAWINGS & SCHEDULES					
No.	**VERIFICATION ITEM**	**Y**	**N**	**N/A**	**EVIDENCE / REMARKS**
23	Specifications/TOR/Employer's Requirements define deliverables, performance and quality clearly.	☐	☐	☐	
24	Technical requirements are objective, non-discriminatory and use appropriate standards/equivalents.	☐	☐	☐	
25	Any proprietary brand or specialized requirement has a documented lawful justification.	☐	☐	☐	
26	Drawings, specifications, BOQ/BOM and schedules are complete, indexed and internally consistent.	☐	☐	☐	
27	Quantities, measurement/payment descriptions and price schedules correspond to the defined scope.	☐	☐	☐	
28	Delivery/completion periods and milestones agree with site readiness and the approved schedule.	☐	☐	☐	
29	Inspection, testing, acceptance and quality assurance requirements are clearly specified.	☐	☐	☐	
30	Applicable access, utilities, permits, interfaces and environmental/social obligations are identified.	☐	☐	☐	

PROCUREMENT DOCUMENT PREPARATION CHECKLIST

SECTION 3 OF 3 | Contract forms, final review and authorization

Procurement Ref.: _____	**Draft Version:**

E. CONTRACT CONDITIONS, SECURITIES & FORMS

No.	VERIFICATION ITEM	Y	N	N/A	EVIDENCE / REMARKS
31	Include the applicable GCC and fully completed SCC/Contract Data, with no conflicting clauses.	☐	☐	☐	
32	State contract price basis, payment method, taxes, currencies, advance and price adjustment as applicable.	☐	☐	☐	
33	Include performance security and advance guarantee requirements and specimen forms, where applicable.	☐	☐	☐	
34	Address insurance, defects, liability, retention and other required contract safeguards.	☐	☐	☐	
35	State contract administration, variations, time extensions, delays, disputes and remedies consistently.	☐	☐	☐	
36	Include the Form of Bid/Proposal, priced schedules, draft Contract Agreement and required appendices.	☐	☐	☐	
37	Cross-check all contract provisions against technical schedules, BDS, dates and procurement method.	☐	☐	☐	

F. FINAL QUALITY CHECK & CONTROLLED ISSUE

No.	VERIFICATION ITEM	Y	N	N/A	EVIDENCE / REMARKS
38	Check all sections, page references, attachments and forms for omissions, inconsistencies and ambiguity.	☐	☐	☐	
39	Confirm all applicable dates, signatures/issue instructions, defined terms and cross-references are consistent.	☐	☐	☐	
40	Record review comments and amendments; verify changes have not altered protected standard clauses.	☐	☐	☐	
41	Attach PE/PMD preparation record and BEC observations, if a BEC is appointed.	☐	☐	☐	
42	Record PC approval and applicable donor concurrence BEFORE issue of final documents.	☐	☐	☐	
43	Freeze final version, date and file reference; maintain controlled copies and an amendment/issue register.	☐	☐	☐	

G. OUTSTANDING CORRECTIONS / CONDITIONAL ACTIONS

No.	Pending item / document reference	Responsible	Due date
1			
2			

H. REVIEW DECISION / ENDORSEMENT

Decision: ☐ Draft ready for BEC/PC review ☐ Return for correction

Prepared by - PE / PMD	Reviewed by - BEC / Officer*	PC decision / approval reference*
Name / Ref.: _____ Date / Sign.: _____	Name / Ref.: _____ Date / Sign.: _____	Name / Ref.: _____ Date / Sign.: _____

Issue-control note: Complete this checklist with the draft package; resolve outstanding items before issue. This does not replace BEC/PC review, required formal approval, or funding-agency concurrence. * Complete where applicable.

OT-10 | REV. 1 | COMPACT EDITION

ADVERTISEMENT / INVITATION CHECKLIST

Page 1: notice content and method-specific publication / invitation channels

PROCURING ENTITY / PROJECT	PACKAGE / TENDER REFERENCE	FUNDING / DONOR

METHOD / CATEGORY / NOTICE FORM	NOTICE / INVITATION NUMBER / ISSUE DATE	DRAFT REVISION / DATE

A | NOTICE / DIRECT INVITATION - ESSENTIAL CONTENT

ID	VERIFICATION ITEM	Y	N	NA	EVIDENCE / ISSUE REF.
A01	PE, project, procurement / contract reference and responsible contact are correctly identified.	☐	☐	☐	
A02	Scope, location, and Goods / Works / Non-Consulting Services or consultancy assignment are clear.	☐	☐	☐	
A03	Approved procurement method, lot / package particulars and delivery period match the procurement plan.	☐	☐	☐	
A04	Financing source, donor and loan / grant particulars are stated where the notice requires them.	☐	☐	☐	
A05	Eligibility and qualification requirements are relevant, objective and not unduly restrictive.	☐	☐	☐	
A06	Works CIDA grade / category is accurate; registration is NOT a condition to obtain documents.	☐	☐	☐	
A07	Document inspection / access, purchase or download route and applicable fees are correct.	☐	☐	☐	
A08	Contact name, office hours, clarification channel, address, phone and email are complete.	☐	☐	☐	
A09	Bid security or securing declaration particulars, when included, agree with the approved BDS.	☐	☐	☐	
A10	Closing date, exact local time, submission address / portal and bid opening details are correct.	☐	☐	☐	

B | PUBLICITY / INVITATION ROUTE - APPLICABLE METHODS ONLY

ID	VERIFICATION ITEM	Y	N	NA	EVIDENCE / ISSUE REF.
B01	For ICB / NCB, SPN uses national newspapers, relevant PE website and e-GP as required.	☐	☐	☐	
B02	For ICB, English-language publicity plus relevant international / donor website notices are arranged.	☐	☐	☐	
B03	For LIB / LNB, invitation follows approved recipients; a public SPN is not imposed.	☐	☐	☐	
B04	For RFQ / Shopping, all invited suppliers receive equivalent written terms and response time.	☐	☐	☐	
B05	Consultant REOI uses appropriate domestic / international reach and concise capability criteria.	☐	☐	☐	
B06	Consultant REOI response period meets applicable rules (2007 Manual: national 14d / international 30d).	☐	☐	☐	
B07	Consultant RFP is sent to approved shortlisted firms; financing-agency rules are checked.	☐	☐	☐	

Basis: Procurement Guidelines 2024, ss. 5.4, 6.1-6.3; Consultant Guidelines 2007, ss. 3.5-3.6.

Retain the approved release version, dispatch details and publication proofs in the official procurement file.

OT-10 | REV. 1 | COMPACT EDITION

ADVERTISEMENT / INVITATION CHECKLIST

Page 2: schedule, approval, release evidence, corrections and sign-off

PROJECT / PROCUREMENT REFERENCE	NOTICE / INVITATION NO. AND REVISION	REVIEW / RELEASE DATE

C | TIMING, CONSISTENCY AND RELEASE READINESS

ID	VERIFICATION ITEM	Y	N	NA	EVIDENCE / ISSUE REF.
C01	Competent PC / CPC approval of notice, procurement documents and route is recorded.	☐	☐	☐	
C02	Issue and closing dates match the PTS; adequate bid / proposal preparation time is allowed.	☐	☐	☐	
C03	For public SPN, documents remain purchasable / available until one day before closing.	☐	☐	☐	
C04	Closing and opening dates, local times and venues match approved BDS / ITB / Data Sheet.	☐	☐	☐	
C05	Notice, procurement documents, web / portal pages and dispatches contain the same facts.	☐	☐	☐	
C06	Corrections or closing extensions will be approved and issued to the same target market.	☐	☐	☐	

D | PUBLICATION / INVITATION AUDIT TRAIL

ID	VERIFICATION ITEM	Y	N	NA	EVIDENCE / ISSUE REF.
D01	Release authorization, reviewer and final approved version are traceable.	☐	☐	☐	
D02	Funding-agency prior review / no-objection and special media requirements are met, if applicable.	☐	☐	☐	
D03	For direct invitations, approved recipient list and simultaneous dispatch proofs are retained.	☐	☐	☐	
D04	Corrections, changed deadlines and bidder communications are cross-referenced to OT-11 / OT-12.	☐	☐	☐	

E | PUBLICATION / DISPATCH EVIDENCE REGISTER

OUTLET / INVITED RECIPIENT	LANGUAGE / PUBLICATION DATE / URL	PROOF / DISPATCH REF.	VERIFIED BY

F | CORRECTIONS / ISSUE REF. (USE ATTACHMENT IF REQUIRED)

G | RELEASE CONCLUSION / ENDORSEMENT

[ ] Ready for approved publication / direct invitation [ ] Return for correction / re-check

PREPARED BY / DATE	VERIFIED BY / DATE	AUTHORIZED TO RELEASE / DATE

Basis: Procurement Guidelines / Manual 2024; Consultant Guidelines / Manual 2007; applicable donor procedures.

Retain the approved release version, dispatch details and publication proofs in the official procurement file.

BID OPENING RECORD / MINUTES

Section 1 of 3 | Session particulars, opening controls and Annexure II observations

A. IDENTIFICATION AND OPENING SESSION PARTICULARS

PROCURING ENTITY / PROJECT	TITLE OF PROCUREMENT	BID / PROCUREMENT REFERENCE
BID CLOSING DATE / TIME	ACTUAL BID OPENING DATE / TIME	DESIGNATED OPENING VENUE
BIDDING PROCEDURE / ENVELOPE SYSTEM	BOC APPOINTMENT / PC CONCURRENCE REF.	MINUTES RECORD ID / REVISION

B. OPENING CONTROLS - ENTER CHECK / INITIAL AND REFER EXCEPTIONS TO PAGE 3

☐ Closing time verified against latest approved addendum.	☐ On-time bids reconciled with OT-14 Bid Receipt Register.
☐ Late bids excluded; incident records under OT-15.	☐ Signed attendance sheet OT-16 attached.
☐ BOC members present; opening commenced after closing.	☐ Withdrawals / modifications identified for controlled handling.

C. ANNEXURE II - OBSERVATIONS FOR EACH BID / PROPOSAL (Y / N / N/A; DETAILS IN REMARKS)

OBSERVATION CRITERION	B-01	B-02	B-03	B-04	B-05	B-06	REMARKS / FILE REF.
BIDDER NAME (USE BIDDER IDs SHOWN ABOVE)							
Outer envelope of bid / proposal sealed?							
Form of Bid / Proposal appears completed and signed?							
Withdrawal submitted?							
Modification submitted?							
Alternative bid / proposal identified? (Do not open)							
Samples received, where required?							

Observations are factual only, not bid evaluation. Do not reject any timely bid at opening. Late bids are excluded under PG 6.5. For two-envelope procedures, retain financial envelopes unopened until the authorized financial opening.

References: PG 2024 6.4-6.6 | PM 2024 6.6, Annexures II-III, Chapter 06

BID OPENING RECORD / MINUTES

Section 2 of 3 | Annexure III financial announcement schedule - photocopy for each lot / item

Use this page ONLY when prices are authorized to be opened. For a technical-stage or two-envelope opening, do not open or disclose the financial proposals.

D. LOT / ITEM / PRICE ANNOUNCEMENT PARTICULARS

PROCUREMENT / PACKAGE REF.	LOT / ITEM NUMBER AND DESCRIPTION	OPENING DATE / TIME
PRICE SCHEDULE / LOT PAGE NO.	CURRENCY (RECORD EACH CURRENCY SEPARATELY)	NUMBER OF BIDS RECORDED ON THIS SHEET

E. FINANCIAL INFORMATION ANNOUNCED AT OPENING - ANNEXURE III OF CHAPTER 06

BID NO.	BIDDER NAME	CCY	BID PRICE EXCL. VAT	BID PRICE INCL. VAT	DISCOUNTS OFFERED	ORIG. BID SECURITY Y / N	SECURITY ISSUER / AMOUNT	BIDDER SIGNATURE (OPTIONAL)	REMARKS
B-01									
B-02									
B-03									
B-04									
B-05									
B-06									

Record the price and discount as announced without arithmetic correction. For multiple lots / items, attach one signed continuation of this page per lot / item. For mixed currencies, use separate rows or a supplementary signed schedule showing each amount and proportion.

Bid security: identify whether the original was present and record the issuing entity and amount. Record lot-specific prices, applicable discounts, modifications and sample availability where relevant.

BID OPENING RECORD / MINUTES

Section 3 of 3 | Participant observations, BOC custody handover and formal certification

F. COMMENTS / OBJECTIONS BY BIDDERS OR AUTHORISED REPRESENTATIVES

NO.	NAME OF BIDDER / REPRESENTATIVE	COMMENT, QUESTION OR OBJECTION MADE AT OPENING	SIGNATURE
01			
02			
03			

G. BOC SPECIAL OBSERVATIONS / INCIDENTS / EXPLANATION OF EXCEPTIONS

Include observations on withdrawals, modifications, alternative envelopes retained unopened, disputed announcements, samples, or delayed opening. Refer to supporting annexures as needed.

H. CLOSEOUT, RECONCILIATION AND SAFE CUSTODY

NUMBER OF TIMELY MAIN BIDS OPENED	WITHDRAWALS / MODIFICATIONS HANDLED	FINANCIAL SCHEDULES / LOT SHEETS ATTACHED
BOC HANDOVER DATE AND TIME	PE / PMD RECEIVING OFFICER	CUSTODY / SEAL / HANDOVER REFERENCE

I. BOC CERTIFICATION - ALL MEMBERS TO SIGN; ATTACH CONTINUATION IF NEEDED

We, the undersigned, certify that the bids / proposals were opened under our supervision and that the information recorded in these minutes and attached schedules is correct.

NO.	NAME OF BOC MEMBER	CAPACITY (CHAIRPERSON / MEMBER)	SIGNATURE / DATE
01			
02			
03			

References: PG 2024 6.4-6.6 | PM 2024 6.6, Annexures II-III, Chapter 06

VOLUME II / PROCUREMENT OPERATIONAL TEMPLATES

OT-21 | REV. 1 | COMPACT EDITION

PAGE 1 OF 2

RESPONSIVENESS ASSESSMENT

Page 1: bidder-by-bidder examination of material commercial and technical requirements

PROCURING ENTITY / PROJECT	PROCUREMENT / LOT REFERENCE	BEC / PC REVIEW REFERENCE

ISSUED PD / ADDENDA REVISION	EVALUATION DATE	METHOD / CATEGORY

BIDDER KEY - USE THE SAME B1-B4 IDS AS OT-20; PHOTOCOPY THIS SET FOR ADDITIONAL BIDDERS

B1:	B2:	B3:	B4:

Use C = complies; NC = non-compliance; NA = not applicable. Every NC needs an issue ID and reasoned materiality finding on page 2.

A | STEP 02 - COMMERCIAL SUBSTANTIAL RESPONSIVENESS

ID	MATERIAL REQUIREMENT / COMMERCIAL OR TECHNICAL TEST	PD CLAUSE	B1	B2	B3	B4	EVIDENCE / ISSUE REF.
C01	Key delivery / completion dates and milestone obligations conform to the PD.						
C02	Price basis, currency and fixed / adjustable price conditions have no disallowed reservation.						
C03	Material payment, tax, advance and retention provisions are accepted.						
C04	Material GCC / SCC risk allocation, warranties and liability obligations are accepted.						
C05	Insurance, performance security and other key contractual assurances are accepted.						
C06	No material exception to PE rights, bidder obligations or contract enforceability.						
C07	Conditions, qualifications or alternatives comply with express PD permissions.						

B | STEP 02 - TECHNICAL SUBSTANTIAL RESPONSIVENESS

ID	MATERIAL REQUIREMENT / COMMERCIAL OR TECHNICAL TEST	PD CLAUSE	B1	B2	B3	B4	EVIDENCE / ISSUE REF.
T01	Complete scope, essential quantities / packages and critical outputs are offered.						
T02	Mandatory functionality, output performance, design capacity and quality are met.						
T03	Critical drawings, design / material standards and technical specifications are met.						
T04	Mandatory test evidence, certifications and product conformity are provided.						
T05	Essential methodology, delivery resources and installation / works interfaces are workable.						
T06	Mandatory quality, safety, environmental and statutory performance obligations are met.						
T07	Required commissioning, training, warranty support and handover performance are met.						

Basis: Procurement Guidelines / Manual 2024, s. 7.7 and Manual Ch. 07 Annexures IV-V; issued PD / addenda.

Goods / Works / Non-consulting services only; consultant selection uses the applicable separate regime.

OT-21 | REV. 1 | COMPACT EDITION

RESPONSIVENESS ASSESSMENT

Page 2: materiality decisions, permitted clarifications and consolidated determination

PROJECT / PROCUREMENT REF.	BIDDER KEY / EVAL. FILE REF.	BEC / PC REVIEW DATE

Issue IDs refer to C01-C07 / T01-T07 on page 1. Apply only requirements in the issued PD and approved addenda.

C | DEVIATION / RESERVATION / OMISSION - MATERIALITY AND REASONS

ISSUE	BID / ITEM	PD CLAUSE / DEPARTURE	EFFECT ON SCOPE, QUALITY, PE RIGHTS, COST OR FAIRNESS	M/m/D; DECISION REF.
D01				
D02				
D03				

M - Major: material impact on validity, scope, quality, performance, PE rights or bidder obligations, or rejection expressly required by PD. Reject.

m - Minor: no substantial effect; record any permissible, measurable cost adjustment at detailed evaluation (not here).

D - Debatable: examine PD wording, criticality, impact and materiality; obtain a reasoned BEC / PC resolution before routing.

D | DEBATABLE FINDINGS / WRITTEN CLARIFICATION CONTROL

REF.	BID / ISSUE	QUESTION / REASON / PE LETTER REF.	RESPONSE / MATERIALITY RESOLUTION	DATE / FILE REF.
Q01				
Q02				

Clarification must be through the PE, in writing, and must not change bid substance, price or competitive position.

E | BID-WISE REASONED DECISION / ROUTING FROM OT-20

BID	BIDDER / LOT	OT-20 P/F	COMM. R/NR/P	TECH. R/NR/P	OVERALL R/NR/P; ISSUE REF.
B1					
B2					
B3					
B4					

R = substantially responsive; NR = not responsive; P = pending. Only OT-20 pass + commercial R + technical R proceeds.

PREPARED BY: NAME / POSITION / SIGNATURE / DATE	BEC / PC REVIEW: NAME / SIGNATURE / MEETING REF.

Basis: Procurement Guidelines / Manual 2024, s. 7.7 and Manual Ch. 07 Annexures IV-V; issued PD / addenda.

Goods / Works / Non-consulting services only; consultant selection uses the applicable separate regime.

OT-26 Bid Evaluation Report Checklist

Part 1 of 6 | Identification, report governance and evaluation basis

A | PROCUREMENT PARTICULARS AND QUALITY REVIEW CONTROL

Procuring Entity / Project	Procurement ref. / Contract title / Lot or package	Funding source / Governing procurement regime
BEC or PC / appointment ref.	**Report title, version / date**	**Reviewer name / review date / checklist ref.**

Mark Y = verified, N = missing / inconsistent, NA = not applicable. For every N, enter the BER page and evidence / action reference; do not leave material exceptions unexplained.

B | REPORT PREPARATION, MANDATE AND BASIS

No.	Bid Evaluation Report verification requirement	Y / N / NA	BER section / page	Evidence / gap / action ref.
01	Governing Guidelines / Manual, funding-agency requirements and applicable Procurement Document version are identified.			
02	Evaluation method, disclosed criteria and bidding / package structure are stated and applied consistently.			
03	PC / BEC appointment, member names, roles and meeting or report dates are recorded.			
04	Required declarations of impartiality / interest and evaluation confidentiality are available on file.			
05	The BER is prepared by the BEC, or by the PC where no BEC was appointed, as applicable.			
06	All substantive findings are traceable to bids, disclosed criteria, evidence and identified BER annexures.			
07	No new or undisclosed evaluation criterion was introduced after bid closing.			
08	Report pages, schedules, annexures and version references are complete and internally consistent.			
09	Evaluation chronology, bid validity, security validity and approvals / extensions are documented as applicable.			
10	Procurement fairness, economy, efficiency and value-for-money considerations are explained in the narrative.			

Reviewer overall observations / missing source documents / urgent corrections:

Source: Procurement Guidelines 2024, 7.7 and 7.9; Procurement Manual 2024, Ch. 07 (7.9 and Annexure VIII).

OT-28 Procurement Committee Review Checklist

Part 1 of 6 | PC appointment, impartiality, BER receipt and meeting readiness

A | PROCUREMENT PARTICULARS AND REVIEW CONTROL

Procuring Entity / Project	**Procurement / contract title, bid reference and lot(s)**	**Funding source / applicable procurement regime**
PC level / appointment reference	**BER received (date) / version**	**PC meeting no. / review date / checklist ref.**

Enter Y = verified, N = deficiency / not verified and NA = not applicable. Each N must be supported by a record, action or reason. Recheck before PC transmittal.

B | COMMITTEE CONSTITUTION AND INTEGRITY

No.	Procurement Committee verification requirement	Y / N / NA	Record / BER ref.	Evidence / gap / action ref.
01	PC level, appointing authority, composition, chair and member appointment orders are on file.			
02	Attendance, absences, quorum / meeting procedure and invited attendees comply with applicable rules.			
03	PC/BEC conflict-of-interest and confidentiality declarations are signed and securely filed (OT-27).			
04	Any actual or potential conflict disclosed since appointment is resolved by the proper authority.			
05	Applicable delegated authority, procurement method and estimated contract value are identified.			
06	Evaluation confidentiality and secure circulation of tender / BER documents have been maintained.			

C | RECEIPT AND READINESS FOR PC REVIEW

No.	Procurement Committee verification requirement	Y / N / NA	Record / BER ref.	Evidence / gap / action ref.
07	Secretary promptly distributed the complete BER and annexures to PC members.			
08	Meeting scheduled no later than one week after BER receipt, or reason for delay recorded.			
09	Latest BER, BEC recommendation, dissenting views and previous PC directions are available.			
10	Prior PC meeting minutes, action follow-up and procurement time schedule are available for review.			
11	Remaining bid / security validity and proposed award / approval programme are confirmed.			

Basis: Procurement Guidelines 2024, 8.1; Procurement Manual 2024, 2.4, 2.9.B and 8.1; Ch. 02 Annexure I.

Review aid, not PC minutes or award approval. Apply the governing Procurement Documents and funding-agency requirements.

OT-28 Approving Authority, Handover and Endorsements

Part 6 of 6 | Transmittal safeguards, award-stage readiness and checklist sign-off

L | TRANSMITTAL, APPROVAL AND POST-REVIEW HANDOVER

No.	Procurement Committee verification requirement	Y / N / NA	Record / BER ref.	Evidence / gap / action ref.
62	Relevant Approving Authority identified under Manual 2.9.B and applicable delegated limits.			
63	PC recommendation transmitted by the Chair through the prescribed authority / channel.			
64	Approval has not been presumed from the PC decision; formal approval is separately required.			
65	Final signed PC minutes, BER, supporting annexures and dissents are filed in PMD safe custody.			
66	Funds / budget provision and remaining bid / security validity are flagged for verification before LOA.			
67	After necessary approval, intended-award notification and standstill obligations are referred to PE.			
68	Any pending complaints, debriefing or appeals concerns are identified for the responsible authority.			
69	Donor no-objection / prior review and governing funding-agency steps are flagged where applicable.			
70	All outstanding N findings have been resolved or formally referred with owner and deadline.			

M | OUTSTANDING MATTERS AND REVIEW ENDORSEMENT

Overall check: [ ] Complete [ ] Complete, subject to stated actions [ ] Refer back to BEC / PC	Open-item log reference / due date

Outstanding exceptions / directions / filing references:

Prepared / checked by: name, designation, date and signature	Reviewed by: Secretary to PC (or authorized officer): name, date, signature

Use the formally signed PC minutes under Procurement Manual, Chapter 02 Annexure I, as the authoritative record of PC decisions. This checklist is a supporting control document.

OT-30 Intention-to-Award Checklist

Part 1 of 5 | Determine applicability, authorization and readiness to notify bidders

A | PROCUREMENT, DECISION AND NOTIFICATION CONTROL

Procuring Entity / project	Contract / procurement reference, title and lot(s)	Funding agency / governing procurement rules
Procurement method: [ ] ICB [ ] NCB [ ] LIB [ ] LNB [ ] Other	PC level / minutes / OT-29 reference	Approval decision reference / date

Y = verified / complied; N = deficiency or action required; NA = not applicable (explain why). Keep an evidence reference for every item. An N must be resolved or referred before dispatch.

B | LEGAL APPLICABILITY AND AUTHORIZATION

No.	Pre-issue / post-issue verification requirement	Y / N / NA	Record / notice ref.	Evidence / action / owner ref.
01	The applicable national, donor / financing and Procurement Document requirements are identified.			
02	Notification requirement assessed: mandatory under national Guideline 8.2 for ICB, NCB, LIB and LNB.			
03	Any method-specific exemption or donor-specific notification requirement is documented.			
04	PC determination / signed minutes and BER recommendation are available and reconciled (OT-29).			
05	PC recommendation was referred to the competent Approving Authority under Manual 2.9.B.			
06	Required decision of the Approving Authority is evidenced before intention notices are dispatched.			
07	Authorized notifying officer / delegated authority is identified for the relevant PC level.			
08	Proposed winner, contract / lot, amount and currencies agree with approved decision.			
09	Bid and bid-security validity remain sufficient for notice, standstill and final award steps.			
10	Any donor prior review / no-objection or additional approval has been obtained where required.			

Under Manual 8.2, transmit the PC determination to the Approving Authority within one week, then communicate the intention separately in writing within one week after the authority decision.

OT-31 Standstill Closure and Award-Release Control

Part 5 of 5 | Verify the completion of all controls; retain the register as part of the award file

J | PERIOD OUTCOME AND CLOSURE SUMMARY

Standstill: [ ] Expired [ ] Exempt [ ] Extended / hold	Verified end / exception date and rule basis	Actual closure review date / time

Notices issued / expected	Debriefing requests received / closed	Appeals filed / disposed / still pending	Authority or donor hold ref.

K | VERIFICATION BEFORE FINAL AWARD PROCESS

No.	Verification before release from standstill	Y / N / NA	Evidence / action / reference
01	Applicability and start/end calculation are supported by recorded provisions and a verified working-day calendar.		
02	All required individual intention notices and verifiable dispatch / service evidence are filed (OT-30).		
03	Failed, corrected or reissued notices and consequent timetable changes have been assessed.		
04	Timely debriefing requests are closed, or an unresolved request has been formally escalated.		
05	Every known appeal is recorded; the competent forum and disposition / decision are evidenced.		
06	PE responses to appeal notices and related submissions are completed within applicable deadlines.		
07	No current standstill, appeal, tribunal, Approving Authority or donor hold prevents further action.		
08	Required authority decisions following appeals or changes to the proposed award are on record.		
09	Bid validity, bid security and required funding / prior review clearances are valid or rechecked.		
10	The responsible PE authority has separately confirmed that the contract-award process may proceed.		

L | CERTIFICATION AND HANDOVER

Outcome: [ ] Cleared for further award processing [ ] On hold [ ] Referred for ruling / decision	Cleared / referred on: date and time

Prepared by - name / title / signature / date	Verified by - PE procurement officer / date	Authority release / approval reference (if applicable)

Basis: Procurement Guidelines 2024, 8.2-8.6; Procurement Manual 2024, 8.2, 8.4 and 8.5.

Record and verify actual dates under applicable rules; this register does not itself authorize contract award or issue an LOA.

OT-34 Letter of Acceptance / Award Checklist

Part 1 of 5 | Procurement particulars, award authority, standstill clearance and issue timetable

A | PROCUREMENT IDENTIFICATION AND AUTHORIZED AWARD

Procuring Entity / Project / Funding Agency	Procurement title / reference / package or lot	Contract category: [ ] Goods [ ] Works [ ] Services
PC determination / OT-29 reference and meeting date	Approving Authority / written approval reference and date	Approved successful bidder: full legal name / identifier

Record key dates in the checklist or supporting date sheet. All working-day cutoffs require a verified official holiday calendar. Where a donor/financing agreement governs, use that requirement and attach the source clause.

B | MANDATORY PRE-ISSUE LEGAL AND ADMINISTRATIVE CLEARANCE

No.	Verification requirement	Y / N / NA	Evidence / action / file ref.
01	Final Bid Evaluation Report and PC determination have been checked; outcome and awardee agree with the procurement record (OT-26 / OT-29).	___ / ___ / ___	
02	Competent Approving Authority has granted award approval under the applicable delegated financial authority; certified evidence is filed.	___ / ___ / ___	
03	Approved bidder, selected lot(s), contract scope, and amount match the authority decision and intended LOA.	___ / ___ / ___	
04	Funding-agency prior review / no-objection and any other applicable approval have been obtained before issuance, where required.	___ / ___ / ___	
05	Intention-to-award notices and standstill applicability / approved exception are verified (OT-30 and OT-31).	___ / ___ / ___	
06	Appeal period is complete where applicable; no active appeal, legal restraint, suspension or administrative award hold remains (OT-33).	___ / ___ / ___	
07	Any PAB/PAC recommendations, correction directions and competent-authority decisions are implemented and evidenced.	___ / ___ / ___	
08	Budgetary provision is available for the accepted contract amount, and funding / commitment authority is documented.	___ / ___ / ___	
09	Successful bid/proposal and applicable bid-security arrangements remain valid for the planned date of LOA issuance.	___ / ___ / ___	
10	LOA target issue date is within bid validity AND within three working days after award approval under Guideline 8.6(d).	___ / ___ / ___	

Section F — Consultant Selection (07 Templates)

- TOR Preparation Checklist
- EOI / Long-List / Shortlist Records
- Technical Proposal Evaluation Sheet
- QCBS Combined Evaluation Sheet
- QBS / CQS / SSS Selection Records
- Negotiation Record
- Consultant Award Checklist

OT-38 Technical Proposal Evaluation Sheet

Part 1 of 6 | Approved RFP criteria, rating protocol and assignment particulars

A | ASSIGNMENT / RFP IDENTIFICATION

PE, project and financing agency	Consultancy assignment / package and procurement reference	Selection method: QCBS / QBS / FBS / LCS / CQS / other
Approved RFP / TOR date, version and reference	CPC appointment / meeting no. and date	Technical proposal closing / opening date
RFP disclosed technical pass mark (if any)	RFP technical and financial weights (if relevant)	Rated criteria / subcriteria / scoring annex reference

RFP-LOCK: Copy only the approved criteria, subcriteria, maximum points, minimum qualifying score and rating descriptions from the issued RFP. Do not insert weights or change evaluation rules after proposal receipt.

B | RFP-APPROVED TECHNICAL CRITERIA - CONTROL INDEX

Criterion / RFP reference	Approved max. pts.	Relevant subcriteria / scoring annex reference	Applicable?
Specific experience of the firm			
Methodology, approach and work plan			
Key staff qualifications and competence			
Transfer of knowledge / training (if stated)			
National participation (if stated)			
Other - only if expressly specified in RFP			
TOTAL (normally 100)			

C | PRE-EVALUATION RATING / IMPARTIALITY CHECK

No.	Verification / procedural control	Y / N / NA	Evidence / correction ref.
01	CPC adopted the interpretation of all RFP criteria / subcriteria and rating grades before technical proposal opening.	__ / __ / __	
02	All scoring members received the same approved RFP, TOR, evaluation worksheets and briefing.	__ / __ / __	
03	Conflicts and confidentiality were addressed; proposals and unopened financial envelopes are secure.	__ / __ / __	
04	Technical qualifying mark / technical-financial weights are captured only if stated in the approved RFP.	__ / __ / __	

Basis: Consultant Guidelines (Aug. 2007), 8.7-8.8; Consulting Services Manual (Nov. 2007), 6.5.9, 8.8.

Use only disclosed RFP criteria, weights and qualifying mark; apply current amendments and donor rules where governing.

OT-42 Consultant Award Checklist

COMPACT CONTROL FORM | 1 PAGE

Complete the left panel before the award decision; complete the right panel during award issue and contract execution.

Procuring Entity / project	Consultancy assignment / reference	Selection method: QCBS / QBS / CQS / SSS / FBS / LCS
Selected consultant / JV	Negotiated contract price / currency	Proposal validity end / governing funding agency

A | PRE-AWARD CLEARANCE

	VERIFICATION	Y / N / NA	EVIDENCE
01	RFP method, TOR and selection basis confirmed.	☐ ☐ ☐	
02	Final technical/financial evaluation approved (OT-38 to OT-40).	☐ ☐ ☐	
03	Negotiations successfully concluded and minuted (OT-41).	☐ ☐ ☐	
04	Final TOR, deliverables, key staff and schedules agreed.	☐ ☐ ☐	
05	Any key-expert substitution justified and approved.	☐ ☐ ☐	
06	Negotiated price, taxes and contract terms reconciled.	☐ ☐ ☐	
07	Adequate budget and funding commitments evidenced.	☐ ☐ ☐	
08	CPC final award determination / recommendation recorded.	☐ ☐ ☐	
09	Competent award authority approval obtained and filed.	☐ ☐ ☐	
10	Funding-agency NOL / concurrence secured, if required.	☐ ☐ ☐	
11	Proposal validity and successful firm's authority verified.	☐ ☐ ☐	

B | AWARD ISSUE & CLOSEOUT

	VERIFICATION	Y / N / NA	EVIDENCE
12	Any applicable complaint, standstill or award hold cleared.	☐ ☐ ☐	
13	Award letter / LOA reflects the approved consultant and price.	☐ ☐ ☐	
14	Award letter issued within proposal validity; proof filed.	☐ ☐ ☐	
15	Unsuccessful consultants notified as required.	☐ ☐ ☐	
16	Award details published under the applicable rules.	☐ ☐ ☐	
17	Any debriefing requests handled without competitor disclosure.	☐ ☐ ☐	
18	Final contract and annexes match negotiated agreements.	☐ ☐ ☐	
19	Contract signed by duly authorized parties before start.	☐ ☐ ☐	
20	Counterpart staff, contract manager and start arrangements set.	☐ ☐ ☐	
21	Executed contract, notices and approvals archived / indexed.	☐ ☐ ☐	

C | APPROVAL / COMPLETION RECORD

Pre-award: CLEAR / HOLD | Post-award: CLOSED / PENDING

Prepared / reviewed by (name, designation, signature, date)	Competent authority / approval reference and date	Award letter reference / issue date
Contract-signing / follow-up officer and date	Contract signature date / register reference	Outstanding exception / corrective-action record

Basis: Consultant Guidelines (Aug 2007), ss. 8.12 and 9.1-9.5; Consulting Services Manual (Nov 2007). Apply donor rules where applicable.

Award clearance is not itself an approval. File detailed evaluations and negotiations under OT-38/39/40/41; record exceptions separately.

OT-44 Contract Management Plan (CMP) Template

Page 1 of 3 | Contract particulars, governance, key baselines and accountability

A | CONTRACT IDENTIFICATION / PLAN CONTROL

Procuring Entity / project / implementing agency	Contract title / contract ref. / lot	Category: [ ] Works [ ] Goods [ ] Non-consult. [ ] Consulting
Contractor / supplier / consultant / JV	Contract price / currency / funding source	CMP ref. / version / issued date / OT-43 handover ref.

B | ADMINISTRATION AND DELEGATED ROLES

Contract Manager / Engineer / authority instrument	PE representative / supervisor / escalation officer	CM contact / document repository / controlled file path

C | CONTRACT BASELINE - RECORD EXACT CLAUSES, DATES AND TRIGGER EVENTS

Milestone / contractual obligation	Clause / trigger / acceptance basis	Baseline date / duration / value	Control document / evidence ref.
Agreement / effective date			
Commencement / notice to proceed			
Completion / delivery / services end			
Intermediate milestones / target programme			
Defects / warranty / close-out expiry			

D | RESPONSIBILITY & AUTHORITY MATRIX - ATTACH FULL RACI / DELEGATION AS NEEDED

Control function	Day-to-day lead	Review / certification authority	Decision / escalation reference
Programme, deliverables and progress			
Quality, inspections and acceptance			
Valuations, invoices and payments			
Changes, EOT, claims and disputes			
Security, H&S, E&S and other risks			

Basis: Procurement Guidelines 2024, s. 9.1; Procurement Manual 2024, ch. 9; executed contract and applicable financier rules.

Use project-specific schedules/annexes. This plan assigns controls; it does not alter obligations, authority or contractual notice periods.

OT-44 Contract Management Plan (CMP) Template

Page 2 of 3 | Implementation controls - enter baselines, review cycles and named owners

E | TIME / PROGRAMME AND DELIVERABLES - ATTACH APPROVED BASELINE PROGRAMME

Control / performance obligation	Baseline / target / early-warning trigger	Monitoring frequency / evidence	Owner / review / escalation
Approved programme and revisions			
Milestones, deliverables and dependencies			
Actual progress, slippage and recovery action			
Delay notices, EOT and time claims			

F | QUALITY / TECHNICAL COMPLIANCE / PERFORMANCE ACCEPTANCE

Control / performance obligation	Specification / acceptance criterion / KPI	Verification / evidence / frequency	Owner / approval / escalation
Quality plan, ITP / inspection regime			
Tests, material approval and deliverable review			
Nonconformities / rework / corrective action			
Acceptance, taking over / performance checks			

G | COST / PAYMENT / FINANCIAL SECURITY CONTROLS

Control / commercial obligation	Budget / contract clause / limit or trigger	Cycle / source register / evidence	Certifier / authority / escalation
Contract sum, commitments and forecast			
Valuations, invoices, interim / final payments			
Variations, claims, price adjustments			
Performance / advance security, insurance, retention			

OT-44 Contract Management Plan (CMP) Template

Page 3 of 3 | Risks, communications, changes, open actions and CMP approvals

H | PRIORITY RISKS / SAFEGUARDS - USE SEPARATE DETAILED RISK REGISTER FOR FULL COVERAGE

Priority risk / issue / applicable H&S or E&S duty	Risk / clause / impact / trigger	Mitigation / contingency / control owner	Next check / evidence ref.
01 [identify risk]			
02 [identify risk]			
03 [identify risk]			

I | MONITORING, FORMAL CORRESPONDENCE AND STAKEHOLDER REPORTING

Report / meeting / notice / decision channel	Recipient / contract clause / method	Frequency / submission due / record ref.	Preparing / verifying officer
Progress report / milestone dashboard			
Review / coordination / progress meeting			
Instructions, contractual notices and correspondence			
Financial, quality, H&S / safeguards report			

J | OPEN ACTIONS, CHANGE CONTROL AND EXCEPTION MANAGEMENT

Issue / proposed change / dispute / hold	Contract clause / notice / decision gate	Responsible / approver / due date	Status / register / evidence ref.
01			
02			

K | CMP ENDORSEMENT, RELEASE AND NEXT PERIODIC REVIEW

Prepared by: name / designation / signature / date	Reviewed by: Contract Manager / signature / date	Approved by: authorized PE officer / ref. / date
Status: [ ] Approved [ ] Conditional [ ] Rework	Effective CMP revision / controlled distribution ref.	Next planned CMP review / trigger / review owner

Basis: Procurement Guidelines 2024, s. 9.1; Procurement Manual 2024, ch. 9; executed contract and applicable financier rules.

Use project-specific schedules/annexes. This plan assigns controls; it does not alter obligations, authority or contractual notice periods.

OT-49 Pre-Commencement Checklist

Page 1 of 2 | Contract prerequisites, securities, permits and contractor mobilization readiness

A | CONTRACT / READINESS GATE IDENTIFICATION

Procuring Entity / project / supervising unit	Contract title / reference / lot	Category: [ ] Works [ ] Goods [ ] Services
Contractor / supplier / JV / authorized representative	Gate review date / location / checklist revision	Proposed commencement / notice / contract clause

B | MANDATORY CONTRACTUAL, SECURITY AND LEGAL PREREQUISITES

ID	Verification / required pre-commencement control	Y / N / NA	Evidence / owner / action ref.
01	Executed contract / effective-date conditions and pre-start obligations verified against GCC/SCC.	[ ] / [ ] / [ ]	
02	Commencement trigger, notice authority, required lead times and hold points established (OT-43/51).	[ ] / [ ] / [ ]	
03	Performance Security is received, authenticated, adequate and valid for required period (OT-46).	[ ] / [ ] / [ ]	
04	Any advance-payment guarantee is valid and verified before advance disbursement (OT-47).	[ ] / [ ] / [ ]	
05	Required insurances, insured parties, limits and coverage dates verified against policies (OT-48).	[ ] / [ ] / [ ]	
06	Statutory permits, registrations, consents and licenses obtained by responsible party, if required.	[ ] / [ ] / [ ]	
07	Site / premises access, possession constraints and handover arrangements recorded (OT-50).	[ ] / [ ] / [ ]	
08	Environmental / social approvals and land or utility permissions verified where pre-start mandatory.	[ ] / [ ] / [ ]	

C | CONTRACTOR PERSONNEL, PROGRAMME AND MOBILIZATION DOCUMENTS

ID	Verification / required pre-commencement control	Y / N / NA	Evidence / owner / action ref.
09	Contractor representative, contact details, delegated powers and key personnel availability verified.	[ ] / [ ] / [ ]	
10	Approved subcontractors, workforce plan, employment obligations and mobilization timing checked.	[ ] / [ ] / [ ]	
11	Plant, tools, vehicles and equipment mobilization lists, certifications and suitability checked.	[ ] / [ ] / [ ]	
12	Baseline programme / delivery schedule, method statements and proposed start sequence submitted.	[ ] / [ ] / [ ]	
13	Temporary facilities, utilities, storage, security, site logistics and resource arrangements reviewed.	[ ] / [ ] / [ ]	
14	Designs, drawings, technical submittals and temporary-works approvals required before start identified.	[ ] / [ ] / [ ]	
15	Kick-off / pre-start coordination meeting held or scheduled; minutes and responsibility owners recorded.	[ ] / [ ] / [ ]	

Basis: Executed contract (GCC/SCC), approved scope and applicable permits; Procurement Guidelines 2024, s. 9.1; Manual 2024, s. 9.1.
Mandatory contractual prerequisites must be met before authorization. Check contract-specific/donor provisions; this form is not a Notice to Commence.

OT-49 Pre-Commencement Checklist

D | SAFETY, QUALITY AND ENVIRONMENTAL IMPLEMENTATION READINESS

ID	Verification / required pre-commencement control	Y / N / NA	Evidence / owner / action ref.
16	Site health and safety plan, risk assessments, induction / PPE and emergency contacts reviewed.	[ ] / [ ] / [ ]	
17	Emergency response, first aid, welfare and statutory labour safeguards ready, as applicable.	[ ] / [ ] / [ ]	
18	Environmental and social management measures, waste / pollution controls and monitoring assigned.	[ ] / [ ] / [ ]	
19	Traffic, public interface, access restrictions and community notification measures ready, if required.	[ ] / [ ] / [ ]	
20	QA/QC plan, inspection and test plan, laboratories and hold / witness points submitted or approved.	[ ] / [ ] / [ ]	
21	Setting-out, benchmarks, site data, samples and technical approvals required before start checked.	[ ] / [ ] / [ ]	

E | PROJECT CONTROL AND READINESS TO IMPLEMENT

ID	Verification / required pre-commencement control	Y / N / NA	Evidence / owner / action ref.
22	Contract Management Plan (OT-44), monitoring, reporting and meeting arrangements communicated.	[ ] / [ ] / [ ]	
23	Instructions, notices, changes, claims and payment certification responsibilities clearly assigned.	[ ] / [ ] / [ ]	
24	Critical site / technical / safety risks and permit-to-work or hold-point approvals resolved or placed on hold.	[ ] / [ ] / [ ]	

F | OUTSTANDING PREREQUISITES / ACTION REGISTER - ATTACH CONTINUATION IF REQUIRED

No.	Unmet condition / required corrective action	Action owner	Due date	Evidence / closure ref.
01				
02				

G | READINESS DECISION, AUTHORIZATION AND ACKNOWLEDGEMENT

Status: [ ] READY TO PROCEED [ ] CONDITIONAL - MINOR ACTIONS ONLY [ ] HOLD / NO COMMENCEMENT

If a condition precedent or critical access / insurance / safety / permit requirement is unmet, select HOLD; record decision and clause ref.

Contractor / supplier representative	Engineer / Contract Manager	PE authorized officer (where required)
Name, signature / date	Checked: signature / date	Decision, signature / date

Basis: Executed contract (GCC/SCC), approved scope and applicable permits; Procurement Guidelines 2024, s. 9.1; Manual 2024, s. 9.1.

Mandatory contractual prerequisites must be met before authorization. Check contract-specific/donor provisions; this form is not a Notice to Commence.

OT-54 Delay Event and Contractual Notice Register

Page 1 of 2 | Master event register, applicable contractual notice requirements and compliance status

A | CONTRACT / REGISTER IDENTIFICATION

Procuring Entity / Employer / Project	Contract title / No. / work package	Contractor / JV / Engineer or CM
Register period / reporting cut-off date	Prepared by / designated notice custodian	Contract form / GCC-SCC edition / governing notice clauses

B | NOTICE ADMINISTRATION - COMPLETE FROM THE ACTUAL CONTRACT

Notice addressee / nominated representative	Prescribed service method / addresses / evidence	Time-limit calculation rule / calendar basis / key clause

C | DELAY EVENT MASTER REGISTER - REPEAT THIS PAGE FOR ADDITIONAL EVENTS

ID	Event / date noticed or first known	Affected activity / workfront	Contract clause / initial notice deadline	Actual notice date / notice ref.	Status / next action / due date	Event evidence / file ref.
D-01						
D-02						
D-03						
D-04						
D-05						
D-06						

Status: P = pending; S = notice served; L = late / disputed; C = closed; NA = not required (with reason).

D | CONTROL / ESCALATION AND REGISTER AUTHENTICATION

Pending / disputed / late notices to escalate (event IDs)	Next register review date / action officer	Signed notice copies / evidence archive location
Maintained by / designation / signature / date	**Reviewed by Engineer / Contract Manager / date**	**Employer / PE control review / date**

Basis: Executed contract / GCC-SCC notice clauses; approved programme (OT-45); daily evidence (OT-53); CMP (OT-44).

A recorded event or notice does not establish liability, EOT or cost entitlement. Comply with the contract-defined form and time limits.

OT-54 Delay Event and Contractual Notice Register

Page 2 of 2 | Individual event record, notice service, contemporaneous evidence and follow-up actions

E | INDIVIDUAL EVENT DETAILS - REPEAT FOR EACH DELAY EVENT

Event ID / contract No. / linked register line	Affected activity / workfront / programme rev.	Event onset / first awareness date-time / recorder

F | CONTEMPORANEOUS FACTS AND PRELIMINARY EFFECTS

Event end / ongoing / observation dates	Preliminary affected period / programme activity	Potential time / cost effect (unassessed) / mitigation ref.

Factual chronology / actual cause as reported / obstruction / response / contemporaneous diary, instruction and photograph refs. (attach signed narrative if necessary)

G | REQUIRED NOTICE / SUBMISSION STAGES - ENTER CONTRACT-SPECIFIC DEADLINES

Notice / submission stage	Contractual clause / trigger	Required by: date and time	Issued / served: date and time	Addressee / service method	Delivery proof / notice file ref.	Status / timely?
Initial delay / event notice						
Further particulars / claim						
Interim updates (if required)						
Final particulars / response						

H | EVIDENCE / RESPONSE / FOLLOW-UP ACTIONS

ID	Supporting evidence / correspondence / site records	Required response / mitigation / contractual next step	Owner / due date	Document / file reference
01				
02				

I | REVIEW, ESCALATION AND CONTROLLED FILING

Recorded by / capacity / signature / date	Contract Manager / Engineer review / date	PE notice registry / filing / date

Basis: Executed contract / GCC-SCC notice clauses; approved programme (OT-45); daily evidence (OT-53); CMP (OT-44).

A recorded event or notice does not establish liability, EOT or cost entitlement. Comply with the contract-defined form and time limits.

OT-57 Engineer's / Contract Manager's Instruction Register

Page 1 of 2 | Instruction master register, status, time/cost flags and management oversight

A | CONTRACT / REGISTER IDENTIFICATION

Procuring Entity / Employer / project	Contract title / reference / contractor	Contract form / instruction clause / authorized communication route

B | REGISTER CONTROL / ISSUING AUTHORITY

Register period / revision / maintained by	Authorized Engineer / Contract Manager / delegation ref.	Review frequency / cut-off date / next review

C | MASTER INSTRUCTION REGISTER - REPEAT THIS PAGE FOR ADDITIONAL INSTRUCTIONS

No.	Instruction ref. / issue date	Issuing officer / clause	Recipient / receipt date	Direction / location / work affected	Action due	Status*	Time / cost flag**	Evidence / related notice, claim or VO
01								
02								
03								
04								
05								
06								

*Status: I issued; A acknowledged; P in progress; C closed; H hold. **T/C: N none identified; P potential; R referred for assessment.

D | PERIODIC STATUS REVIEW / FOLLOW-UP

Open / overdue instructions and action owner	Unresolved directions / contractor objections / escalation	Linked notices, EOTs and variation referrals / review date

Register maintained by / signature / date	**Engineer / Contract Manager review / date**	**Employer / PE oversight review / date**

Basis: Contract GCC/SCC and delegated authority; Procurement Guidelines 2024, 9.1-9.2 / Manual Ch.9, where applicable.
An instruction or register entry does not by itself authorize a variation, extra payment or EOT. Refer OT-54/55 and OT-58 to OT-61.

OT-60 Variation Order Record

Page 1 of 2 | Formal instruction, authorized scope, financial and time particulars

A | CONTRACT AND VARIATION ORDER IDENTIFICATION

Procuring Entity / Employer / project	Contract title / contract number	Contractor / service provider
Variation Order (VO) no. / revision / issue date	Engineer / Contract Manager / issuer	Executed GCC/SCC variation clause / delegation ref.
OT-58 request no. / date	OT-59 competent approval ref. / date	Recipient / site / transmission method

B | FORMAL CONTRACTUAL INSTRUCTION - TO BE ISSUED BY THE AUTHORIZED PERSON

Under the authority specified above, the contractor is directed to execute ONLY the variation stated below and in the referenced attachments, subject to the executed Conditions of Contract. Unchanged contract obligations remain in effect.

Exact change instructed: additions, omissions, substitutions, limits of work and any excluded activities:

C | CONTROLLED DOCUMENTS FORMING PART OF THIS ORDER

Attachment / design / BOQ / specification / instruction reference	Revision / date	Description / location / superseded reference
Revised drawing / technical specification		
Variation BOQ / pricing schedule / measurement		
Other approved attachment / correspondence		

D | VALUATION AND TIME STATUS (RECORD ONLY THE APPROVED POSITION)

Valuation: [ ] Firm approved [ ] Provisional as contract permits	Approved / instructed net change (+ / -) / currency	Pricing basis / BOQ rate / approved rate / attachment
Current approved contract sum before this VO	Adjusted sum after VO (if final and approved)	[ ] No EOT granted by this VO [ ] Separate EOT ref.
Completion date currently approved / OT-56 ref.	Any revised date: separate valid OT-55 / OT-56 ref.	Outstanding valuation / programme assessment, if any

E | ISSUER AUTHORIZATION AND FORMAL RELEASE

Authorized issuer: name / designation / signature / date	Employer / competent approval or delegated authority reference	Date and method formally issued / dispatch evidence reference

Basis: Executed GCC/SCC, authorized approval / delegated powers and funding conditions; Procurement Guidelines 2024, 9.1-9.2 as applicable.
Issue only through contractual authority. Receipt acknowledges delivery only; no automatic EOT, extra payment, or waiver of rights.

VOLUME II / OPERATIONAL TEMPLATES / GROUP E - QUALITY ASSURANCE & PERFORMANCE MANAGEMENT

OT-67 INSPECTION AND TESTING RECORD

FORM OT-67

Use a separate record for each inspection/test event or identifiable lot. Add a numbered result sheet if entries exceed the space available.

A RECORD AND CONTRACT IDENTIFICATION

Project / contract name and reference	Employer / implementing agency	Contractor / supplier / service provider
Location / chainage / structure / asset	Work item, lot or batch / sample ID	Inspection/test date and time
Inspection request / record ID	Inspection & Test Plan (ITP) no., point and rev.	Specification / drawing / procedure reference

ACTIVITY: ☐ Visual ☐ Dimensional ☐ Material ☐ Performance ☐ Other: _____ EVENT: ☐ Initial ☐ Reinspection ☐ Retest

B PRE-INSPECTION / TEST READINESS

Mark Y, N or NA for each control

No.	Verification control	Y / N / NA	Evidence reference / remarks
01	Current drawings, specifications, ITP and test procedure available	☐ Y ☐ N ☐ NA	
02	Work or item accessible; predecessor stages and relevant hold points cleared	☐ Y ☐ N ☐ NA	
03	Lot, item, sample and associated materials correctly identified / traceable	☐ Y ☐ N ☐ NA	
04	Testing equipment, calibration and personnel/laboratory suitability checked	☐ Y ☐ N ☐ NA	
05	Required notice issued and witnessing or hold-point attendance arranged	☐ Y ☐ N ☐ NA	

C INSPECTION / TEST RESULTS

Record limits and actual results; attach raw data if required

No.	Inspection point / item / sample ID	Specified acceptance criteria and units	Actual observation / measurement and units	Method / standard / test no.	Result P / F / NA	Test report / photo / evidence ref.
1						
2						
3						
4						

P = pass | F = fail | NA = not applicable. Record all measured values and relevant units; use continuation sheets for additional tests.

VOLUME II / OPERATIONAL TEMPLATES / GROUP E - QUALITY ASSURANCE & PERFORMANCE MANAGEMENT

OT-67 INSPECTION AND TESTING RECORD

FORM OT-67

Document failed criteria, deviations and corrective action. This form is not taking-over, final acceptance or payment certification.

PAGE 2 OF 2 | REVISION: _____

D DEVIATIONS / NONCONFORMITIES AND ACTIONS

Use OT-68 for NCR details and closure, where applicable

No.	Finding / unmet criterion / observation	Corrective action / NCR or instruction ref.	Responsible party	Target date	Status / retest / closure ref.
1					
2					
3					

Follow-up inspection/retest record ref.: _____ NCR status: ☐ Not required ☐ Open ☐ Closed

E SUPPORTING TEST AND INSPECTION EVIDENCE

Reference attachments; do not substitute this record for test reports

Laboratory / testing agency and report no.	Test data / sampling / chain-of-custody ref.	Equipment / calibration certificate ref.
Photographs / drawings / field sheet ref.	Material certificates / product traceability ref.	Other attachments / file location

F ASSESSMENT / DISPOSITION

Select one overall finding

☐ PASS - criteria met ☐ FAIL - NCR / action required ☐ PENDING - results / evidence ☐ REINSPECTION / RETEST REQUIRED

Hold / witness point classification and status: ☐ Not a hold point ☐ Hold - not released ☐ Released by authorized person below

Conditions, restrictions or observations: _____

G RESPONSIBILITY, VERIFICATION AND AUTHORIZED RELEASE

Enter names, organizations, signatures and date / time

Function / responsible role	Name / organization	Signature	Date and time
Inspected / tested / prepared by			
Witnessed by (if required)			
Reviewed / verified by (Engineer / QA)			
Hold-point release by authorized person (if applicable)			

VOLUME II / OPERATIONAL TEMPLATES / GROUP E - QUALITY ASSURANCE & PERFORMANCE MANAGEMENT

OT-70 PERFORMANCE EVALUATION RECORD

FORM OT-70

Contractor / supplier / service provider performance review. Base ratings on recorded contractual criteria and objective evidence.

A CONTRACT AND EVALUATION IDENTIFICATION

Project / procurement package / implementing agency	**Contract / purchase order / work order reference**	**Contractor / supplier / service provider**	
Evaluation record / sequence no.	**Evaluation period (from - to)**	**Evaluation date / review type**	**Contract manager / evaluation lead**
Contract scope / goods / service / works description	**Contract status / progress or quantity delivered**	**Funding source / governing procurement rules, if relevant**	

B PERFORMANCE CONTEXT AND OBJECTIVE EVIDENCE

Attach supporting records as necessary

Evaluated work packages / milestones / service levels	**Original and approved revised completion dates**	**Progress / outstanding work at cutoff date**
Approved KPI / specification / quality-plan reference	**Previous evaluation / remedial action reference**	**Evaluation cutoff date / source-data custodian**

No.	Evidence records examined (inspection, test, delivery, KPI, meeting, notices, etc.)	Document reference, reporting period and observations
1		
2		
3		

C WEIGHTED PERFORMANCE RATING

Adapt weights to contract type and obtain approval before scoring

No.	Performance criterion (customize as required)	Weight %	Rating 1-5	Weighted points	Evidence reference / measurable performance / basis for rating	Deficiencies / comments
1	Technical quality, specification and output compliance	30				
2	Timeliness, delivery and milestone achievement	25				
3	Contract administration, cooperation and responsiveness	15				
4	Health, safety, environment and social compliance*	10				
5	Records, reporting, handover and traceability	10				
6	Commercial discipline, notices and issue resolution	10				

TOTAL APPROVED WEIGHT: 100% | SUM OF WEIGHTED POINTS (MAXIMUM 100): _____

Score formula: weight % x rating / 5

Rating scale: 1 = Unsatisfactory | 2 = Needs improvement | 3 = Satisfactory | 4 = Good | 5 = Excellent.

* For non-applicable criteria, approve and record revised weights totalling 100% before evaluation; do not assign an arbitrary score.

VOLUME II / OPERATIONAL TEMPLATES / GROUP E - QUALITY ASSURANCE & PERFORMANCE MANAGEMENT

OT-70 PERFORMANCE EVALUATION RECORD

FORM OT-70

Document deficiencies and decisions separately from the numerical rating; follow the contract and applicable approval authority.

D EXCEPTIONS, NONCOMPLIANCE AND PERFORMANCE IMPROVEMENT

Cross-reference OT-67, OT-68, OT-69 and contract notices

No.	Performance gap / incident / NCR / notice reference	Required action / agreed remedy and verification test	Responsible person / organization	Due date	Status / closeout ref.
1					
2					
3					
4					

Material contract breach / serious HSE / fraud or integrity concern: ☐ Yes ☐ No ☐ Under review

If YES / pending: Record separate determination, applicable notice, mitigation and escalation reference: _____

E EVALUATION SUMMARY AND FORMAL ASSESSMENT

Do not allow the score to override material contractual findings

Approved applicable weights (total 100%)	Sum of weighted points (out of 100)	Approved rating thresholds / procedure ref.	Overall rating under approved scale

OVERALL EVALUATION: ☐ Excellent ☐ Good ☐ Satisfactory ☐ Needs improvement ☐ Unsatisfactory ☐ Not rated / insufficient evidence

Contractual exception(s) unresolved: ☐ Yes ☐ No

Thresholds and weights are contract / agency specific. Record any disqualifying or material breach separately; do not infer debarment from this form.

F CONCLUSIONS, NEXT ACTION AND DOCUMENT CONTROL

Recommended contractual action / correction / continued monitoring	Target follow-up date, review owner and re-evaluation trigger
Notices, warnings, payment or retention implications (if contractually supported)	Documents filed / dossier location / final report or contract reference

Use in future procurement, if permitted, only under applicable procurement rules, verification procedures, fairness safeguards and competent authority.

G PREPARATION, REVIEW AND APPROVAL

Supplier acknowledgement (if requested) does not imply agreement with rating

Responsibility / role	Name and organization	Signature / reference	Date
Prepared / evaluated by (technical lead)			
Checked by (contract / procurement manager)			
Approved / determined by authorized officer			
Provider comments / acknowledgement (optional)			

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-71 CONTRACT RISK AND ISSUES REGISTER

FORM OT-71

Record foreseeable contractual risks, assess exposure, assign accountable owners and monitor treatment and residual risk.

A CONTRACT AND REGISTER IDENTIFICATION

Project / procurement package / implementing agency	**Contract number / procurement reference**	**Contractor / supplier / service provider**	
Register reference / version	**Review period / status date**	**Register custodian / contract manager**	**Next scheduled risk and issue review**
Contract / governing conditions and risk procedure reference	**Current milestone / completion date**	**Location of risk evidence / issue files / linked records**	

B CLASSIFICATION, SCORING AND REVIEW PROTOCOL

Document the approved project-specific scoring matrix separately

RISK - potential future event or condition Record cause, expected consequence, preventive control, contingency and residual exposure.	**ISSUE - event or condition that has occurred** Record actual impact, immediate action, recovery decision, due date and evidence.
Risk score: likelihood (P) x impact (I) Use approved 1-5 scales for P and I; note inherent and residual P/I/score separately.	**Priority / status must follow the approved matrix** Escalate high exposure, safety concerns and time-critical matters as contractually required.

Illustrative risk IDs: CR-001 onward. Maintain a unique ID for each risk; carry forward, re-score and date changes at every review.

C LIVE CONTRACT RISK REGISTER

Extend using a controlled continuation sheet if required

Risk ID	Uncertain event / cause / potential consequence (time, cost, quality, HSE, compliance)	Inherent risk P / I / score	Response strategy / preventive controls / contingency and action reference	Residual risk P / I / score	Accountable owner	Next review date	Status
CR-001							
CR-002							
CR-003							
CR-004							

Suggested status codes: O = Open | M = Monitoring | E = Escalated | C = Closed.

Attach supporting risk assessments / control plans.

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-76 SUSPENSION / TERMINATION CHECKLIST

FORM OT-76

Verify contractual grounds, procedural safeguards and approval before suspending or terminating a contract.

A CONTRACT AND PROPOSED ACTION IDENTIFICATION

Project / employer / implementing agency	**Contract no. / form / governing conditions**	**OT-76 record no. / OT-71 issue ref.**
Contractor / supplier / service provider	**Initiating party / authorized representative**	**Review date / proposed effective date**
Action: [ ] Suspension [ ] Resumption [ ] Termination [ ] Other	**Initiated by: [ ] Employer [ ] Contractor [ ] Agreement**	

B CONTRACTUAL GROUNDS, NOTICES AND TIME LIMITS

Choose the applicable contractual route; seek legal review

Ground / event / evidence ref. (incl. default, convenience or event)	**Governing clause / applicable law / funding rules**	**Trigger date / cure period / time limit**

Mandatory notice / contractual precondition	Clause / triggering date / required deadline	Actual service date / delivery proof ref.	Status / response / next action / responsible officer
Prior warning / notice to correct			
Suspension / intention / cure notice			
Termination / resumption notice			

Check cure / response / mandatory waiting period: [ ] Met [ ] Not met [ ] N/A | **Legal advice / critical deadline ref.: _____**

C PRE-DECISION REVIEW AND AUTHORIZATION

Mark each check: Y / N / N/A and cite evidence

Required review / verification	Y / N / N/A	Evidence / approval reference and date	Owner / pending action
Contractual entitlement, cause and documented facts confirmed			
Notice, opportunity to remedy and service requirements checked			
Legal, technical and commercial implications reviewed			
Delegated / board / funder approval obtained where required			

Decision checkpoint: [ ] Proceed [ ] Defer [ ] Further review | Authority / minute ref.: _____

D IMMEDIATE PROTECTION, CUSTODY AND CONTINUITY

Confirm directions, access and protection measures

Site / goods / service protection requirement	Instruction / inventory / safeguard evidence ref.	Owner / target date	Status / follow-up
Safety, environment and essential services			
Site, materials, plant, data and documents			
Security, insurance, subcontractors and access			

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-77 COMPLETION / TAKING-OVER INSPECTION CHECKLIST

FORM OT-77

Inspect the specified works / section against contract requirements; document objective evidence and unresolved defects.

PAGE 1 OF 2 | REVISION: _____

A CONTRACT, COMPLETION REQUEST AND INSPECTION IDENTIFICATION

Project / employer / implementing agency	**Contract number / conditions / applicable section**	**OT-77 record no. / inspection revision**
Contractor / supplier / service provider	**Works, lot, milestone or section to be inspected**	**Request for taking-over ref. / date received**
Contract completion date / approved EOT ref.	**Requested taking-over / completion date**	**Site inspection date / inspection team lead**

B DOCUMENTARY AND HANDOVER READINESS

Status: Y = verified, N = not met, NA = not applicable

Requirement / mandatory evidence	Y / N / NA	Document / test / transmittal reference and date	Owner / next action
Formal contractor completion / taking-over request received			
Approved drawings, specifications and variations reconciled			
As-built drawings, O&M manuals and asset data provided			
Inspection, test and commissioning reports available			
Statutory / utility approvals and safety clearances verified			
Training, warranties, spares, keys and access data supplied			
Outstanding NCRs / instructions / defects status checked			
Contractual handover submissions and permits complete			

C PHYSICAL INSPECTION, FUNCTIONAL TESTS AND SITE READINESS

Note evidence references and retests; attach detailed check sheets

Inspection / verification point	Y / N / NA	Evidence / location / test record reference	Defect / action reference
Specified scope and approved changes physically completed			
Quality, dimensions, workmanship and finishes satisfactory			
Required tests and commissioning successfully passed			
Systems are operable, accessible and safe for intended use			
Safety, environmental reinstatement and site clearance done			
Section limits, interfaces and delivered assets identified			

Inspection evidence: [ ] Photos [ ] Marked drawings [ ] OT-67 test records [ ] OT-68 NCRs [ ] Other annexures

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-77 COMPLETION / TAKING-OVER INSPECTION CHECKLIST

FORM OT-77

List residual work and determine readiness; a separate certificate / decision is required for contractual taking-over.

PAGE 2 OF 2 | REVISION: _____

D OUTSTANDING WORK, DEFECTS AND REINSPECTION ACTIONS

Attach continuation sheet if necessary

Item ref.	Location / description / relevant requirement	Severity / effect on safe intended use	Corrective action / owner / target date	Reinspection date / closeout evidence
01				
02				
03				
04				

Residual defects schedule ref.: _____ | [ ] All closed [ ] Minor items remain [ ] Material items remain

E CONTRACTUAL READINESS AND BOUNDARY CHECK

Assess provisions governing taking-over of a whole or part

Safe use / essential functions verified: [ ] Y [ ] N	**Partial / sectional taking-over permitted: [ ] Y [ ] N**	**Separate section boundaries / exclusions ref.**
Residual items do not bar taking-over: [ ] Y [ ] N	**Contract clause / required tests / conditions**	**Response / notice deadline and verification ref.**

Record approvals and required controls: access / custody, security, insurance, defects obligations and operational responsibility.

F INSPECTION FINDINGS AND RECOMMENDATION

Inspection recommendation is not formal contractual acceptance

Recommendation: [ ] Ready for taking-over review [ ] Minor works subject to contract [ ] Not ready [ ] Reinspect

Reasons / condition / outstanding evidence (attach signed findings)	**Recommended scope / portion and any explicit exclusions**	
Reinspection or follow-up due date	**Recommended date / basis (if contract requires)**	**Referral to authorized decision maker / OT-78 no.**

G ACTION CONTROL, ENDORSEMENTS AND FORMAL RECORD

Secure signed evidence before filing

Communicated to contractor / date and proof	**Open items responsible officer / target date**	**Annexure / filing location / version**

Control / sign-off function	Name / designation / organization	Signature / endorsement / ref.	Date
Inspection carried out / record prepared by			
Reviewed by Engineer / contract administrator			
Authorized recommendation / referral to OT-78			

CONTROL: OT-77 is an inspection checklist, NOT a Taking-Over Certificate, final acceptance, or waiver of contract rights.

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-79 DEFECTS NOTIFICATION AND RECTIFICATION REGISTER

FORM OT-79

Log each notified defect against its taking-over scope, contract notice and required rectification date.

PAGE 1 OF 2 | REVISION: _____

A CONTRACT AND DEFECTS PERIOD IDENTIFICATION

Project / employer / implementing agency	Contract no. / governing conditions	Register ref. / revision / maintained by
Contractor / supplier / responsible party	Works / package / section / asset	OT-78 certificate no. / effective date
DNP / DLP start date and contractual basis	DNP / DLP expiry date and clause	Review date / responsible administrator

B REGISTER RULES AND NOTIFICATION CONTROL

DNP = Defects Notification Period; DLP = Defects Liability Period

Notice clause / authorized issuer / service method	Rectification period / priority response rule	Defect ID series / records storage location

Status: O Open | R Rectification ongoing | V Awaiting verification | C Verified closed | X Escalated. Priority: H / M / L.

C DEFECT IDENTIFICATION AND FORMAL NOTIFICATION REGISTER

Use continuation sheet with same register ID when full

Defect ID	Section / asset / location	Defect description / inspection evidence	Detection date / formal notice ref. / date served	Rectification party / due date	Priority / status / last update	Related OT-77 / 78 / 68 record or file ref.
D-001						
D-002						
D-003						
D-004						
D-005						
D-006						
D-007						
D-008						

Record notice service evidence and the specific defective work; do not treat an internal register entry as a contractual notice.

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-81 FINAL ACCOUNT AND FINAL PAYMENT RECORD

FORM OT-81

Reconcile the cumulative certified valuation to the net sum payable; record exceptions and formal approvals.

PAGE 2 OF 2 | REVISION: _____

D FINAL PAYMENT RECONCILIATION

Use the same tax and certification basis in every line

Code	Final settlement computation	Evidence / ledger / tax or payment reference	Signed amount (+ / -) contract currency
P1	Final contract valuation: V7 (before applicable tax)		
P2	+/- Contract-payable tax adjustment (specify type / basis)		
P3	**= Final cumulative gross certified value: P1 + P2**		
P4	- Previous gross interim values certified (same tax basis)		
P5	+ Retention still held from those prior interim certificates		
P6	- Retention balance to remain held after final payment		
P7	- Advance remaining unrecovered at final certificate		
P8	- Other authorized final deductions / statutory withholdings		
P9	**= NET FINAL PAYMENT DUE: sum of P3 to P8**		

Reconcile P4-P7 with certified ledgers; do not deduct retention or advance recovery twice. Attach detailed tax and deduction schedules.

E RESERVATIONS, OUTSTANDING MATTERS AND CLOSEOUT ACTIONS

Claims OT-72/73; defects OT-79; release OT-82

Ref.	Issue / deduction / unresolved amount and contractual basis	Decision / safeguard / supporting notice or record	Owner / due date / status	File ref.
01				
02				

F FINAL ACCOUNT CERTIFICATION, PAYMENT AND COMMUNICATION

Not a Final Payment Certificate or payment authority

Final statement submitted / agreed / with reservations	**Final certification reference / amount / date**	**Certificate delivered to / service evidence**
Payment approval / voucher / tax certificate ref.	**Actual payment date / value / payment ref.**	**Balance unpaid / reconciliation / follow-up**

G REVIEW, AUTHORIZATION AND RECORD CLOSURE

Use approvals valid under the signed contract

Required review / responsibility	Name / designation / organization	Signature / endorsement / reference	Date
Prepared / quantities and financial reconciliation			
Technical / QS / financial verification			
Authorized certification / payment approval			

VOLUME II / OPERATIONAL TEMPLATES / CONTRACT MANAGEMENT & IMPLEMENTATION

OT-83 CONTRACT CLOSEOUT AND RECORDS ARCHIVING CHECKLIST

FORM OT-83

Confirm contract obligations and supporting evidence before administrative closeout and records transfer.

PAGE 1 OF 2 | REVISION: _____

A CONTRACT AND CLOSEOUT IDENTIFICATION

Project / employer / procuring entity	**Contract number / package / funding agency**	**Closeout record ID / version / date**
Contractor / supplier / consultant / contract manager	**Taking-over / completion ref. OT-78 / date**	**Performance / final inspection OT-80 / date**
Applicable contract conditions / closeout authority	**OT-81 final account ref. / date**	**OT-82 retention and security ref. / date**

B TECHNICAL, OPERATIONAL AND QUALITY CLOSEOUT

Y / N / NA requires evidence and an action for any gap

Verification requirement	Y / N / NA	Evidence / certificate / file reference	Gap, owner / due date
Works / services / supplies accepted as required; partial scope stated			
DNP / DLP and all notified defects disposition verified (OT-79 / 80)			
Tests, commissioning, certificates and statutory approvals filed			
As-builts, deliverables, O&M manuals, warranties and training filed			
Assets, spare parts, keys, premises and equipment handed over			
Site, temporary works, HSE / environmental obligations closed			

C COMMERCIAL, FINANCIAL AND CONTRACTUAL CLOSEOUT

Reconcile all amounts and surviving obligations

Verification requirement	Y / N / NA	Evidence / certificate / file reference	Gap, owner / due date
Final account, measurement, variations and price adjustments verified			
Final certification / payment and taxes reconciled (OT-65 / OT-81)			
Retention, guarantees and advance recovery reconciled (OT-82)			
Claims, disputes, notices and possible time bars reviewed (OT-72-75)			
Audit, donor, insurance and other contractual obligations reviewed			

An open claim, warranty, audit issue or surviving obligation must be listed with an owner; administrative closure is not a waiver.

D CLOSEOUT STATUS AND CONTRACTUAL RESERVATIONS

Record the basis and approval for closure

Recommendation: [ ] Close [ ] Close with recorded actions [ ] Defer	**Outstanding financial exposure / currency**	**Formal closeout decision ref. / date**
Surviving duties / claims / legal holds / audit reservations	**Decision authority / approved conditions**	**Next review / open action owner**

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS

FORM OT-92

OT-92 EOT / DELAY CONTROL CHECKLIST

SECTION B - CONTRACT MANAGEMENT COMPLIANCE

Verify delay notices, time impact, entitlement, determination and revised dates.

Employer / contract / EOT request ID / review date (continued):

D TIME IMPACT AND EOT ENTITLEMENT

Test critical-path impact, overlap and mitigation

No.	Compliance verification requirement / governing reference	Y / N / NA	Evidence / file reference or deficiency
15	Programme logic, calendars, update dates, float and critical path are checked. Programme		
16	Delay analysis uses appropriate contemporaneous data and justified method. OT-55		
17	Event demonstrably affected contractual completion / key milestone dates. OT-55 / GCC		
18	Concurrent and overlapping delays assessed under the applicable contract. OT-55 / GCC		
19	Mitigation, resequencing, reasonable alternatives and duty to cooperate reviewed. OT-45 / GCC		
20	Requested and assessed days reconciled without duplicated delay periods. OT-55 / OT-56		

E DETERMINATION AND IMPLEMENTATION

Review authority, decisions, notices and updates

No.	Compliance verification requirement / governing reference	Y / N / NA	Evidence / file reference or deficiency
21	Engineer / authorized assessor issues reasoned findings on each delay ground. OT-55 / GCC		
22	VRC review / recommendation or documented exemption checked where applicable. GL / Man. 9.2		
23	Competent authority decision and financier clearance obtained where required. SCC / FFA		
24	Parties notified of approved / rejected days, reasons and revised dates. OT-55 / GCC		
25	Completion / milestones, LD exposure, security and insurance dates updated. OT-56 / OT-46		
26	Claims, cost exposure, forecasts and contractual records reconciled and filed. OT-72 / OT-73		

F NON-COMPLIANCE FINDINGS AND CORRECTIVE ACTIONS

Attach a continuation sheet if needed

Item	Finding / compliance deficiency	Required corrective action	Owner / due date

G REVIEW CONCLUSION AND AUTHORIZATION

Review only - not an EOT determination

Review result: [ ] Compliant [ ] Conditional [ ] Material non-compliance [ ] Not assessed

EOT control: [ ] Evidence adequate [ ] Further review needed [ ] Refer to authority

Reviewer / designation / signature / date: **Approver / designation / signature / date:**

Y = verified; N = non-compliance; NA = not applicable (state reason). Cite clause and file evidence.

EOT entitlement, prolongation cost and delay damages must be assessed separately under the contract.

Basis: NPC Guidelines 2024, 9.1-9.2; Manual 2024 (as amended), 9.2; signed GCC/SCC and FFA rules.

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS — FORM OT-94

OT-94 QUALITY CONTROL CHECKLIST

SECTION B - CONTRACT MANAGEMENT COMPLIANCE

Verify quality planning, inspection, testing, NCRs, rectification and acceptance evidence.

Employer / contract / inspection lot / review date (continued):

D NONCONFORMITIES AND CORRECTIVE ACTIONS

Verify NCR disposition, rectification and closure

No.	Compliance verification requirement / governing reference	Y / N / NA	Evidence / file reference or deficiency
15	Defects and failed tests are promptly recorded under identifiable NCRs. OT-67 / OT-68		
16	Nonconforming items or work are identified and controlled pending disposition. OT-68 / QCP		
17	Proposed repair, rework or concession has required technical authorization. OT-68 / GCC		
18	Rectification is independently reinspected or retested before NCR closure. OT-67 / OT-68		
19	Recurring defects are investigated and corrective-action effectiveness checked. OT-68 / OT-70		
20	Specification or design deviations have formal approval; no informal waiver. OT-60 / SCC		

E ACCEPTANCE, RECORDS AND OVERSIGHT

Verify acceptance evidence and contractual controls

No.	Compliance verification requirement / governing reference	Y / N / NA	Evidence / file reference or deficiency
21	All required tests, inspection requests and hold points are reconciled. ITP / OT-67		
22	Receipt and service acceptance rely on verified quality and quantity evidence. OT-69 / GCC		
23	Taking-over checks include commissioning, inspections and pending defects. OT-77 / OT-78		
24	Outstanding defects, as-builts, manuals and warranties are recorded. OT-79 / Handover		
25	Quality evidence supports certification; acceptance and payment remain distinct. OT-64 / OT-93		
26	Quality trends, material findings and donor conditions are reviewed / escalated. OT-70 / PE		

F NON-COMPLIANCE FINDINGS AND CORRECTIVE ACTIONS

Attach a continuation sheet if needed

Item	Finding / compliance deficiency	Required corrective action	Owner / due date

G REVIEW CONCLUSION AND AUTHORIZATION

Review only - not an acceptance certificate

Review result: [ ] Compliant [ ] Conditional [ ] Material non-compliance [ ] Not assessed

Quality status: [ ] Evidence adequate [ ] Hold / rectify [ ] Refer to competent authority

Reviewer / designation / signature / date: **Approver / designation / signature / date:**

Y = verified; N = non-compliance; NA = not applicable (state reason and evidence).
Inspection records do not replace authorized acceptance, NCR disposition or payment certification.
Basis: NPC Guidelines 2024, 9.1; Manual 2024 (as amended), 9.1; contract GCC/SCC, ITP and specifications.

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS FORM OT-99

OT-99 GIFTS / HOSPITALITY DECLARATION

SECTION C - GOVERNANCE, ETHICS & AUDIT

Individual disclosure of offers, benefits, refusals, returns and authorized official action.

A DECLARANT AND PROCUREMENT IDENTIFICATION

Complete at the time of declaration

Procuring Entity / department:	**Procurement / contract reference:**
Full name / employee or member ID:	**Designation / organization:**
Committee / official function:	**Appointment / authorization reference:**
Project / assignment / package:	**Relevant procurement stage:**
Declaration / reporting date:	**Event / awareness date:**

B DECLARATION STATUS

Mark the applicable option(s)

[ ] No gift, hospitality or other benefit offered or received to my knowledge in this reporting period.

[ ] Offer, request, receipt, refusal or other incident to disclose (complete Sections C-E).

[ ] Updated or additional declaration; previous record reference: _____

Report an offer even where refused; do not treat the act of disclosure as approval to accept.

C DETAILS OF GIFT, HOSPITALITY OR BENEFIT

Use additional sheet for more than one incident

Date / time of offer or receipt:	**Location / channel:**
Name of offering party / intermediary:	**Organization / bidder / other affiliation:**
Description: item, meal, travel, benefit:	**Value / currency / valuation basis:**
Event status: offered / received / refused:	**Returned / secured / other disposition:**
Procurement stage or decision affected:	**Proposed expectation, request or context:**
Witnesses / supporting evidence:	**Evidence / correspondence reference:**

D DECLARANT UNDERTAKING AND SIGNATURE

Read, complete and sign

I declare the particulars stated here to be complete and accurate to the best of my knowledge.

I understand that:

1. I must not solicit or improperly accept any gift, hospitality, benefit or inducement.
2. I should disclose indirect offers or benefits involving persons acting for me or my family.
3. Unsolicited items must not be used, distributed or disposed of without proper direction.
4. Suspicious conduct must be reported promptly through applicable lawful procedures.
5. Any affected procurement role may require conflict review, recusal or other safeguards.

Declarant signature: _____ **Date:** _____

[ ] Supporting documents attached [ ] OT-97 conflict declaration updated (if relevant)

Declaration alone does not permit acceptance or retention of a prohibited benefit.

References: Procurement Guidelines 2024, ss. 1.5 and 1.5.2; Anti-Corruption Act No. 9 of 2023.

Apply prevailing legal, public-service, institutional and donor ethics requirements; verify any exceptions.

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS

FORM OT-101

OT-101 INTERNAL AUDIT CHECKLIST

SECTION C - GOVERNANCE, ETHICS & AUDIT

Assess procurement controls, compliance, performance and corrective-action follow-up.

A REVIEW IDENTIFICATION

Identify the audit engagement and criteria

Auditee / Procuring Entity / division:	**Engagement reference / audit period:**
Project / procurement portfolio / funding:	**Contracts / packages / sampling frame:**
Applicable Guidelines / Manual / donor rules:	**Audit mandate / charter reference:**
Lead auditor / reviewers:	**Audit plan / scope approval date:**
Working-paper index / secure location:	**Opening / exit meeting dates:**

B AUDIT GOVERNANCE, RISK AND PLANNING

Assess independence and audit design

No.	Audit verification / control test	Y / N / NA	Evidence / working-paper ref. / finding
01	Audit mandate, independence and reporting line are documented. NAA s.40 / Charter		
02	Approved risk-based annual plan includes procurement audit coverage. DMA / Audit Plan		
03	Audit scope, criteria, objectives and period are authorized. Engagement Terms		
04	Auditor competence, impartiality and disclosures are verified. Appointment / COI		
05	Work programme defines controls, sampling and testing methods. Work Programme		
06	Prior audits, complaints and material risks inform audit focus. Risk / Prior Audit		
07	Access to source files, systems and audit trail is established. Access / Logs		

C PROCUREMENT PROCESS COMPLIANCE

Sample transactions and controls

No.	Audit verification / control test	Y / N / NA	Evidence / working-paper ref. / finding
08	APP, packaging, budget and procurement method are tested. OT-84 / OT-85		
09	Bidding documents, criteria, issue and addenda are tested. OT-86 / SPD		
10	Bid receipt, opening, custody and records are verified. OT-87 / BOC		
11	Evaluation workings follow disclosed criteria and are supported. OT-88 / BER		
12	Approval, intention-to-award, appeals and award trail are tested. OT-89 / Award		
13	COI, confidentiality, gifts and prohibited practices are screened. OT-97 to OT-99		
14	Donor clearances, exceptions and delegated authority are checked. NOL / Approvals		

Y = tested and satisfactory; N = exception; NA = not applicable (record reasons and test evidence).

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS

FORM OT-105

OT-105 SUPPLIER / CONTRACTOR PERFORMANCE EVALUATION

SECTION D - PERFORMANCE & MONITORING

Periodic, evidence-based supplier / contractor performance review for oversight and follow-up.

A EVALUATION IDENTIFICATION

Individual supplier or defined portfolio

Procuring Entity / division / programme:	**Review reference / date / assessor:**
Supplier / contractor legal name:	**Supplier ID / registration reference:**
Evaluation scope: [ ] Single [ ] Multiple contracts	**Period: from _____ to _____**
Contract(s) / purchase order(s) / OT-70 refs:	**Category: [ ] Works [ ] Goods [ ] Services**

B SOURCE RECORDS AND FAIR EVIDENCE REVIEW

Specify cutoff date and complete evidence set

Source data cutoff: _____ | Contract manager(s): _____

Use contemporaneous OT-70, KPIs and verified acceptance/quality records; note missing or disputed data.

No.	Contract / evaluation / period assessed	Evidence file / summary of performance evidence
1		
2		
3		

C PERFORMANCE ASSESSMENT BY CRITERION

All weights must total 100%

Rating: 1 = Unsatisfactory; 2 = Needs improvement; 3 = Satisfactory; 4 = Good; 5 = Excellent.

Enter approved weight, evidence-supported 1-5 rating and weighted points for each applicable criterion.

Weighted points = Weight (%) x Rating / 5. Reweight excluded criteria before scoring.

No.	Performance criterion / evidence guide	Wgt %	Score 1-5	Weighted points	Evidence reference
01	Technical quality and specification compliance OT-67 / OT-68 / OT-69				
02	Delivery reliability and milestone performance OT-45 / OT-54 / OT-56				
03	Health, safety, environment and social duties HSE / site / safety records				
04	Contract administration and information quality OT-44 / notices / reporting				
05	Commercial discipline and records accuracy OT-65 / OT-72 / accounts				
06	Responsiveness and verified corrective actions OT-68 / OT-79 / follow-up				

Use approved criteria and thresholds. Score is not a substitute for separate breach or integrity decisions.

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS **FORM OT-108**

OT-108 PROCUREMENT KPI MONITORING SHEET

SECTION D - PERFORMANCE & MONITORING

Measure procurement process performance using approved definitions and traceable source data.

Entity / report ID / period (continued): _____

D DATA VALIDATION AND REPORTING RECONCILIATION	No reporting status without evidence
Monitored KPIs: ____ G: ____ A: ____ R: ____	U: ____ NA: ____ M-only: ____
Total eligible procurement packages: _____	Exclusions / cancellations / carryovers: _____
Denominator, baseline and sample checked by:	Checked on / source snapshot version:
Missing records / inconsistent definitions / revised baselines / non-comparable previous periods:	

E PERFORMANCE ANALYSIS AND MANAGEMENT REVIEW	Explain results, not just colours
Material deviations / KPI No(s) / agreed cause:	Decision / escalation reference:
Improving indicators / evidenced reason:	Deteriorating indicators / evidenced reason:
Value-for-money / competition / compliance observations:	Unverified indicators / remediation plan:
Management decision, priority and review date:	Owner / approver / next review date:

F CORRECTIVE ACTION AND FOLLOW-UP — Use OT-107 for material or persistent findings

KPI	Corrective action / desired outcome / OT-107 ref.	Accountable owner	Due date	Status / evidence
1				
2				
3				
4				

G VERIFICATION, AUTHORIZATION AND RECORD CONTROL	Retain supporting calculations and approval evidence
Compiled by / signature / date:	Data verified by / signature / date:
Reviewed by / designation / signature / date:	Authorized by / designation / signature / date:
Report distribution / action notice reference:	Next review due / record storage location:

Note: This form supports management monitoring. KPI targets and numerical status bands are institution-approved; results do not substitute for formal compliance findings, audit clearance or procurement decisions.

VOLUME II / PART III: PROCUREMENT AUDIT & COMPLIANCE CHECKLISTS

FORM OT-110

OT-110 LESSONS-LEARNED RECORD

SECTION D - PERFORMANCE & MONITORING

Capture an actionable lesson and verify its use in future procurement activities.

A LESSON IDENTIFICATION	One lesson per record
Procuring Entity / division / project:	**Lesson ID / revision / date recorded:**
Procurement package / contract / programme:	**Period / event date / location:**
Stage: [ ] Plan [ ] Bid [ ] Evaluate [ ] Award	**[ ] Implement [ ] Closeout [ ] Audit [ ] Other**
Prepared by / position:	**Source report / audit / OT reference:**

B OBSERVATION AND VERIFIED OUTCOME	Separate facts from interpretations
Lesson type: [ ] Good practice [ ] Problem / failure [ ] Near miss [ ] Improvement opportunity	
What happened? Identify the activity, circumstances, dates and participants by role (not allegations).	
Intended outcome / expected standard:	**Actual result / observed difference:**
Impact / benefit (time, cost, quality, compliance, fairness, service or risk):	
Supporting evidence / record identifiers / source custodian:	

C ANALYSIS AND TRANSFERABILITY	Test causes and conditions before generalizing
Key causes or success factors, and supporting analysis (why did this happen?):	
Contextual constraints / dependencies / conditions for replicating the lesson:	
What worked well and should be retained?	**What should change or be avoided?**
Validation: reviewed with / date / any limitations, dissent or uncertainty:	

D ACTIONABLE LESSON	Specify a practical future-facing recommendation
Lesson statement: In [circumstance], do [improvement / practice] because [evidence / result].	
Applies to: [ ] One contract [ ] Similar packages [ ] Organization-wide [ ] Future training	

PUBLIC PROCUREMENT & CONTRACT MANAGEMENT IN SRI LANKA

Volume II — Operational Forms, Templates & Compliance Checklists

A Practical Companion Workbook

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Public procurement and contract management require more than sound decisions. Those decisions must also be properly documented, supported by evidence, approved at the appropriate level and capable of being traced during implementation, management review and audit.

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It brings together a structured collection of **forms, templates, registers and compliance checklists** designed to support practitioners throughout the procurement and contract-management lifecycle.

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- procurement planning and method selection;
- procurement readiness and document preparation;
- bid/proposal receipt and opening;
- bid/proposal evaluation and award;
- consultant selection;
- contract commencement and mobilization;
- securities, insurance and document control;
- instructions, variations and change management;
- programme monitoring, delays and EOT;
- interim payments, financial control and final accounts;
- inspection, testing, quality and defects;
- claims and dispute management;
- contract completion and closeout;
- procurement audit, governance and compliance; and
- performance monitoring and corrective action.

The documents are intended to support **consistent practice, stronger internal control, reliable record keeping and an effective audit trail**.

They may be adapted to suit the nature, value, complexity and risk profile of a particular procurement or contract, subject always to the applicable Procurement Guidelines, Procurement Manual, Standard Procurement Documents, financing-agency requirements, institutional procedures and the conditions of the relevant Contract.

THE TWO-VOLUME PRACTITIONER SYSTEM

Volume I — WHAT, WHY and HOW
Explains the requirements, principles, procedures and professional considerations.

Volume II — DOCUMENT, RECORD, CHECK and MONITOR
Provides the working documents needed to apply, evidence and control those requirements in practice.

Together, the two volumes provide an integrated reference for **understanding, deciding, documenting and controlling** public procurement and contract-management activities.

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Eng. SMP Siriwardana is a Chartered Engineer with extensive professional experience in civil engineering, project management, public procurement and contract administration in Sri Lanka.

His experience has included work from the perspectives of the **Employer/Client, Engineer, Contractor and Consultant**, providing a broad practical understanding of procurement, project implementation and contract management.

This publication reflects that practical perspective and has been developed to help bridge the gap between regulatory requirements and their day-to-day application.

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Printed Edition ISBN: 978-624-91273-1-9

Digital Edition ISBN: 978-624-91273-2-6