BUREAU OF PUBLIC SERVICE REFORMS

FEDERAL REPUBLIC OF NIGERIA

FINAL REPORT

ORGANIZATIONAL SELF-ASSESSMENT
MARCH, 2017

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LIST OF ACRONYMS

ACTU	-	Anti-Corruption and Transparency Unit
AGF	-	Accountant General of the Federation
BPRS	-	Bureau of Public service Reforms
CAB	-	Consumers Affairs Bureau
CEO	-	Chief Executive Officer
CM&E	-	Compliance Monitoring & Enforcement
CP&S	-	Corporate Planning & Strategic
CRF	-	Consolidated Revenue Fund
DA	-	Developing Area
DD	-	Deputy Director
DHCIG	-	Deputy Human Capital and Infrastructure Group
DM	-	Deputy Manager
DMO	-	Debt Management Office
ECSM	-	Executive Commissioner - Stakeholder Management
ECTS	-	Executive Commissioner - Technical Services
EOI	-	Expression of Interest
EVC	-	Executive Vice Chairman
FOI	-	Freedom of Information
FR	-	Financial Regulations
GCFR	-	Grand Commander of the Federal Republic

GIFMIS	-	Government Integrated Management Information System
HC	-	Human Capital
HCIG	-	Human Capital & Infrastructure Group
HRM	-	Human Resources Management
ICPC	-	Independent Corrupt Practices and other related Offences Commission
ICT	-	Information Communication Technology
IT	-	Information Technology
JM	-	Junior Management
M&E	-	Monitoring & Evaluation
MDA	-	ministries, Departments and Agencies
MM	-	Middle Management
MoU	-	Memorandum of Understanding
MTB	-	Ministerial Tenders Board
NA	-	Needs Attention
NCA	-	Nigerian Communications Act
NCC	-	Nigerian Communication Commission
NCOA	-	National Chartered of Accounts
NFM	-	National Frequency Management
NMIS	-	New Media and Information Security
NSIWC	-	National Salaries, Incomes and Wages Commission

PC&EA - Policy Competition and Economic Analysis

PMS - Performance Management System

PPA - Public Procurement Act

S - Strong

SABI - State Accelerated Broadband Initiative

SAT - Self-Assessment Tool

SERVICOM - Derived from 'Service and Compact'

SM - Senior Management

SOP - Standard Operating Procedure

TNA - Training Needs Assessment

TS&NI - Technical Standards & Network Integrity.

TSA - Treasury Single Account

WIN - Wire Nigeria Project

WP - Well Placed

EXECUTIVE SUMMARY

1. The Bureau of Public Service Reforms (BPSR) piloted the organizational Self-Assessment Tool (SAT) at the Nigerian Communication Commission from Wednesday, 10th to Thursday, 11th February 2016. The overall objective of the assessment was to enable the NCC understand its own strengths and weaknesses, and in a way to use the outcome of the assessment as a management tool to create continuous improvement in the Commission.

2. The specific objectives of the self-assessment were to:

- Assess how well the Commission had identified and responded to current Government's priorities;
- Assess how effective and efficient the Commission was in delivering on its core business;
- Assess the Commission capability in the nine domain areas of statements of good practice;
- Identify the needs that should be addressed through specific actions;
- Identify human and other resources the organization can use to effectively improve its performance;
- Generate information useful in planning and decision-making;
- Assist the Commission to identify priority areas for action and develop an action plan to address these areas; and
- Provide donors and other stakeholders, where necessary, with information about the agency's performance.

3. A key decision that an organization needs to make when undertaking an organizational assessment is the approach to adopt for organizational diagnosis and measure of control over the assessment. The degree of control could range from an independent assessment controlled entirely by the organization or to an approach which the organization contracts an external facilitator to conduct the assessment, but in which the organization fully participates and own the results, or could decide to use a combination of both approaches. One advantage of a self-assessment is that it encourages the organization's ownership of the assessment, and thereby increase the organization's acceptance of feedback and its commitment to the evaluation's recommendation. However, drawbacks of the self-assessment approach are that external stakeholders may question the independence or validity of the findings and may fear that hard issues will not be tackled, due to potential sensitivities within the organization.

4. In recognition of this, the Commission adopted a combination of both approaches to assess the organization. The methodology employed to assess the Commission was a focus group participatory approach. In the first approach, the Commission assessed the agency against each of the 117 statements of good practice and had significant measures of control over the assessment. The outcome of the assessment revealed that the Commission rated itself as strong in all areas assessed and as a well-performing agency. The self-assessment is contained in the report as

Annex 1.

5. In order to ensure the validity of the findings, the Commission extended an invitation to the BPSR to conduct a validated assessment of the agency where proof of every claim was substantiated by the organization. The BPSR overall view of the Commission, at the end of the

validated assessment is that the Commission is indeed strong in all areas assessed and as a well-performing agency. However, even from the assessment there still exists few gaps and therefore, scope to keep improving its performance. The BPSR validated assessment of the Commission is contained in the report as Annex 2.

6. **Using a five-level rating system, BPSR agrees with NCC that it is a Level 5 (Platinum standard) organisation that is 'Exceptional.' This is the highest rating possible under the BPSR Assessment.** The full performance rating scale is set out in Chapter 3. The detailed BPSR report on the 'Validated Assessment' of NEITI is contained in the report as Annex 2.

7. A series of findings and recommendations, including areas of strengths were identified from the assessment. In order to realize the benefits of the assessments and achieve performance improvement, the Commission needs to identify the priority areas for action planning that will have the maximum impact, both immediately and over the longer-term. The findings and priority areas for action from the assessment need to align and support the Commission's longer term direction. It is recommended that the Commission hold a workshop to consider all the findings and recommendations from the assessment to come up with a set of priority areas for action and next steps. The key findings and recommendations are set out below, with other general findings contained in the body of the report.

Summary of Key Findings

i. Strategic Governance:

a) The NSIWC circular Ref. No. SWC/S/04/S.310/105 of 10th June on frequency of Board Meetings and rates of allowance of Board members is not strictly followed by the Commission. There is evidence that the agency's internal stakeholders are not aware of the NSIWC circular.

b) The Governing Board has not put in place a formal code of conduct to define standards of behaviour to which individual governing board members and employees of the Commission subscribe and adhere.

Financial Management

a) The Commission is yet to link up to the Government Integrated Management Information System (GIFMIS).

b) The agency does not give financial reporting an appropriate profile at the meetings of senior management and governing board to reflect on progress towards strategic goals and adjusting strategy as required.

c) The agency does not pay adequate profile in articulating the main risk it faces, outline its mitigation strategies and contingency plans to mitigate risk.

d) The Commission has an organizational wide asset plan that describes current and future needs, assets maintenance, acquisition and financing. However, the plan is generic and does not include the use of depreciation

funding. The last time the Commission undertook an accurate up to date inventory of assets and a functional mechanism for annual and budgeting for asset maintenance and replacement was in 2012. The Commission is now developing an '*Enterprise Risk Management Policy*' to address the issue.

e) Performance data such as information on output and outcome goals are not included in budget documents.

Procurement Process

f) Although the Commission publishes its annual procurement plan and general procurement notice, there are no evidence of the publication of its annual procurement plan and general procurement notice on its website and also in the Federal Tender Journal.

g) Not all the procurement staff in the Commission have signed the affidavit regarding their commitment not to engage in practices involving conflict of interest and adherence to the provisions of the PP Act 2007.

Recommendation

i. The governing board should develop a formal code of conduct defining standards of behaviour which individual governing board members subscribes to and uphold.

ii. Ensure that governing board establishes an anti-corruption policy which entrenches a whistle blower mechanism.

iii. Ensure that the institutional mechanism for junior staff to fearlessly and regularly contribute ideas and experiences are active and effective.

iv. The Commission should include performance data such as information on output and outcome goals in budget documents.

v. Though challenging, the Commission should strive to maintain budget variance (on either revenue or expenditure) at a maximum of 5%.

vi. Make financial reporting more frequent and on time at the meetings of the senior management and governing board to reflect on progress towards strategic goals and to adjust strategy as required.

vii. The 'Enterprise Risk Management Policy' which the Commission is developing to address the issue of policy on assets should not be generic but specific in nature which should also cover physical assets including buildings.

viii. The Commission should articulate the main risk it faces; including areas of financial risk, and prepare contingency plans to mitigate risk associated with changes in organizational income and funding streams.

ix. Ensure that the Commission's annual procurement plan and general procurement notice are publish in the organization website and Federal Tender Journal.

x. Ensure that the Commission's procurement staff sign the affidavit regarding their commitment not to engage in practices involving conflict of interests and adherence to the provisions of the PP Act 2007.

xi. Ensure that a robust mechanism is put in place to facilitate regular evaluation of the Commission's state of infrastructure.

xii. Establish a dedicated Unit to serve as clearing house on anti-corruption matters (ACTU) in the Commission.

xiii. Although the Commission rated itself as strong in the area of maintaining an accurate and up to date inventory of assets and a functional mechanism for annual planning and budgeting for asset maintenance and replacement, the BPSR validated assessment rated this area as a 'Developing Area' because this task was last undertaken in 2012. The Commission should ensure that this activity is given prominence in the Commission's annual planning and budget for asset maintenance and replacement.

Key Areas of Strengths:

i. Governance

- The Board sets strategy and performance goals which are aligned to government priorities and policy directives.
- A system has been establish to ensure that all decisions relating to the use, commitment , exchange or transfer of resources involving board members are documented and records of transactions maintained to ensure proper accountability.

ii. Strategy and Purpose

- The Commission's strategic objectives are prioritised for potential impact using standardised principles including the balance score card.
- The Commission's vision, strategy and impacts complement other sector organizational direction.

- Staff can articulate what the Commission wants to achieve, its role and purpose.
- Strategy is considered by the management team regularly throughout the year.
- The Commission's strategy links organizational results in a way that informs organizational management.
- The Commission has a sense of where it is going and how it should get there.

iii. Structures, Roles and Responsibilities

- The Commission's business organizational structures and plans supports the organization purpose and delivery;
- The Commission policies and practices facilitates the delivery of an effective and efficient service delivery.
- Accountabilities and responsibilities are appropriately set, clearly documented and well understood throughout the Commission and across the sector. An example is the development of the Standard Operating Procedure (SOP) manuals for the Commission's 19 Departments.
- The Commission measures its performance accurately and responsibilities of reviewing and reporting performance assigned to named officers.
- The Commission has individual development plans for all staff, explicit managerial responsibility for development, and priority and importance given to meaningful development activities.

iv. Collaboration and Partnership with Stakeholders

- The Commission has strong sector relationship. In this regard, the Commission produced a Code of Corporate Governance for the Telecommunications sector which was the product of wide consultations

and participation of key telecoms industry players and was reviewed after two years of implementation.

- The Commission understands and is responsive to stakeholders' needs. Its mechanism for capturing stakeholder's contribution is quite robust.
- The Commission's strategy and services complement those of other sector agencies, and where appropriate, sector agencies work jointly.
- The Commission has put in place strong partnership agreement including Memorandum of Understanding (MoU) to manage collaborative relationships with other sector agencies.

v. Measurement Review

- The Commission monitors and assess its performance and, uses performance information to improve policy, regulatory intervention and service delivery.
- The Commission periodically measures public perception of its performance and impact to provide an indication of the effectiveness of its strategies.

vi. Management of People Performance

- The Commission demonstrates that formal performance management processes are clearly understood, consistently applied and deemed by all staff to be a valuable activity.
- The Commission demonstrates that individual performance targets are clearly aligned with the team, business unit and organizational overall performance targets.
- The Commission is able to demonstrate how it rewards and recognizes high performance and this approach either maintains or encourages higher levels of performance among teams or individuals.

- The Commission has a strong up-to-date Assets and Group Life Insurance policy to protect the organization, its assets, vehicles, people and service.
- The Commission has a comprehensive plan for performance management, including human resource management plan.

vii. Safety measures

- The Commission has well understood and consistently applied workplace safety practices that demonstrably facilitate a safe working environment.
- The Commission has developed a health and safety policy, including a safety manual. Although the health and safety policy is yet to be signed, it will be useful when fully implemented.
- The Commission carries out regular evaluation of the state of infrastructure. It has developed back-up site for its services in case of any risk and evaluates the state of its infrastructure every 2 years, and whether need arises.

viii. Information Management

- The Commission has an ICT policy based on business needs, and the strengths and weaknesses of available ICT options.
- The Commission's technology system cost-effectively supports current and predicted service delivery.

ix Financial Management

- The Commission ensures that effective systems and procedures comply with relevant accounting policies and standards.

- Managers including members of governing board and senior management staff know their financial obligations, meet them and understand the implications of their decisions.
- The Commission has developed a comprehensive internal audit manual that is rigorously applied to monitor and evaluate financial transactions; operational processes and procedures; and proposes improvements to the organization.
- The Commission appoints an External Auditor in accordance with extant rules and regulation that audit and report on the finances of the organization.

xi. ` **Procurement Process**

- There is in place adequate systems, procedures and experienced personnel that are responsible for executing the Commission's procurement activities.
- The Commission has a central store at Mbora, Abuja where all procurement records are archived electronically from loss.

xii **Change Management**

- There is in place a structure for managing change along the desired strategic objectives.

CHAPTER ONE

1. Introduction and Background

1.1 In recent years, the focus on agencies and parastatals performance has shifted from whether to spend time managing quality to how best to manage quality. The need to demonstrate achievement and accountability to citizens and other critical stakeholders and the general public has, in part, motivated this change. To be able to move an organization forward, the agency or parastatal needs to know where it is now or its current status. The organization needs to know where it works well **(Strengths)** and where it could work better **(Areas for Improvement).** When an organization takes a snapshot of itself in this way, the process is often referred to as Self-Assessment, and it assist the organization to understand its own performance and to address their strategic issues and thus, ultimately, to improve their performance.

In order to aid the continuous improvement of agencies and parastatals in the conduct of government business, the Bureau of Public Service Reforms (BPSR) developed an automated on-line Self-Assessment Tool (SAT), accessible through the BPSR website. The tool complements the BPSR Guide *'How to Manage and Reform Agencies and Parastatals'* and is an organizational strategic management 'health-check'. It contains statements of good practice aimed at providing agencies and parastatals with an opportunity to assess and come up with a clearer picture of the current strengths and weaknesses of the organization. Where weaknesses are identified, advice on next steps to be taken to the conduct of government business is recommended. The tool is designed to establish a baseline with regards to the organization strategic approach from which improvements can be considered

1.2. Pilot of Self-Assessment Tool at the Commission

1.2.1 In February, 2016 the Bureau of Public Service Reforms (BPSR) wrote to the Nigerian Communication Commission (NCC) to pilot the Self-Assessment Tool (SAT) at the organization. The reason were two folds. First, it was to enable the BPSR test the practicability of the tool and improve upon its design prior to large scale roll-out of the tool across federal agencies and parastatals. Secondly, it was to enable the Commission better understand its own performance and to address strategic issues and thus, ultimately, improve the Commission's performance. The Commission accepted the Bureau's request, and the tool was piloted at the Commission from Wednesday, 10th to Thursday, 11th February 2016.

1.2.3. Terms of Reference

The assignment required that the following tasks be performed:

i. Consult with senior management of the Commission and secure agreements on methodology and timeframe for undertaking the assignment;
ii. Work with the Commission to assess itself against the nine main domain areas of local and international statements of good practices in the conduct of government business;
iii. Identify those areas that need strengthening or future development;
iv. Foster team sharing, and encourage reflective self-assessment within the Commission;
v. Provide a clear pathway for improvement in the Commission; and
vi. Make any other recommendation that will be helpful to the attainment of the objectives for the establishment of the Commission.

1.3 Key Outcomes and Deliverables

i. A report of the self-assessment controlled by the Commission at the end of the assignment;
ii. A comprehensive report containing both assessments (the one controlled by the Commission and the validated assessment controlled by the BPSR), including pinpointing the Commission's strengths and improvement opportunities; and assessment of what is functioning well and what is not, and recommendations for addressing the issues identified; and
iii. A de-briefing meeting with the Vice-Chairman and directorate-level officers of the Commission;
iv. Final report submission and presentation to the Commission.

1.4 Approach and Methodology.

1.4.1 The BPSR adopted a participatory focus group approach to facilitate the self-assessment tool at the Commission from 10th to 11th February, 2016. Prior to the pilot of the tool at the organization, an introductory meeting took place between the BPSR and the Commission's top management staff led by the Executive Secretary to agree on the methodology and approach as well as make arrangements for the pilot of the tool at the organization. As part of the methodology, the Commission established three (3) focal groups with each focus group consisting between 10-12 staff and structured as follows:

- Junior staff team: drawn from a range of department and units
- Middle level staff – drawn from a range of departments and units; and
- Senior staff team – drawn from a range of departments and units.

1.4.2 On the first day of the assessment, each of the focus group used the tool to assess the Commission's state of its current practices in each of the 117

statements of good practice on a 4-point rating scale. The BPRS facilitated each of the focus groups' session to determine (assess) where the Commission's sits along the continuum of the self-assessment tool. In the interactive session with each focus group, the BPSR asked open-ended, probing questions to encourage group discussions, and took notes on the focus group responses. On the second day of the assessment, the three focus groups then came together, discussed and reach a consensus on the Commission's consolidated ratings and, assessed the state of their current practices in each of the 117 statements of good practice on the 4-point rating scale.

1.4.3 After all the statements of good practice questions in the nine domain areas of the tool were answered, the tool then analysed the responses and instantly provided the sectional and overall results summarized in a report. The Report advised the assessed Commission on areas where they were doing well and those areas they need to improve, directing them to relevant sections of the Guide for related advice. In addition, the notes taken by the BPSR facilitator was later used for action planning, which included a set of steps to drive change in areas prioritized for improvement of the Commission.

1.5. Validated Self-Assessment

1.5.1 In the self-assessment undertaken by the Commission and facilitated by the BPSR, the Commission had considerable measure of control over the assessment. In the self-assessment report, and as part of its recommendation, the BPSR requested the Commission to consider inviting the Bureau to undertake a validated assessment of the organization where proof of every claim will be substantiated. The Commission granted this request and the BPSR undertook a validated assessment of the Commission over a period of three days from 11th to 13th August, 2016. This validation process was more in-depth as it involved the review of the Commission's several key documents to substantiate the self-

assessment by the Commission. The BPSR reviewed all documents provided and conducted in-depth analysis of specific issues germane to the objective of the assignment. Some of the key documents reviewed at the Commission included:

- Minutes of Meetings
- MTBs approval for select contract
- Job descriptions
- Vision, Mission Statements
- Mandate
- Strategy/Budget Plan
- Annual Implementation Plans/Records of Implementation of agreed plans
- Organizational Structure
- Standard Operating Procedure
- Financial Reports/Manuals
- Minutes of Governing Board Meetings
- Budget Implementation template/budget Performance Reports
- 3-years budget and actual (variance) Budget Performance Reports
- Multi-year plans
- Training Reports
- Documentary records of transactions with Boards and Management staff
- Agenda of meetings
- Inventory of assets
- Contingency plans to mitigate risk
- Audit Report
- Procurement Manual/Adverts/Technical Evaluation Reports
- Reports of Bid Opening/Copies of Adverts/EOIs/Reports of Integrity Checks/Historical records of procurement/records of signed affidavits
- Evidence of Service Charter

- Value-for- Money Audit Report
- Grievance Mechanism
- Asset Management Policy
- HRM Policy/Plan/Strategy
- Health and Safety policy
- Partnership Strategy Agreement/Memorandum of Understanding
- Public Perception Report/Evaluation Report/Impact Assessment Report
- Service Improvement Plans, and
- Change Management Review Reports.

CHAPTER TWO

2. NCC Profile

2.1 Evolution of the NCC

2.1.1 The Nigerian Communications Commission (NCC) is the independent National Regulatory Authority for the telecommunications industry in Nigeria. The Commission is responsible for creating an enabling environment for competition among operators in the industry as well as ensuring the provision of qualitative and efficient telecommunications services throughout the country.

2.1.2 Over the years NCC has earned a reputation as a foremost Telecom regulatory agency in Africa. The Commission is hoping to catalyse the use of ICT's for different aspect of national development. The Commission has initiated several programs such as State Accelerated Broadband Initiative (SABI) and Wire Nigeria Project (WIN) to help stimulate demand and accelerate the uptake of ICT tools and services necessary for the enthronement of a knowledge-based society in Nigeria. In order to achieve its mandate, the Commission has put in place the necessary licensing and regulatory framework for the supply of telecommunications services.

2.2 Mandate and Responsibilities

2.2.1 The mandate of the Commission is established in the Nigerian Communications Act 2003 which was signed into law by the President, Chief Olusegun Obasanjo (GCFR) on 8th July, 2003 after being passed by both Houses of the National Assembly. The Act provides the NCC with the capacity to properly carry out its regulatory functions and activities.

2.2.2 The Powers of the Nigerian Communications Commissions is derived from Section 3 of the Nigerian Communications Acts (NCA) of 2003.

- Giving written directions to licensees.
- Consulting with Consumers, commercial and industrial organizations.
- Delegating its functions to a Committee constituted by it.
- Summoning persons to appear before the Commission.
- Entering into contracts with any company, firm or persons; and
- Establishing and maintaining subsidiaries to enable the discharge of its functions.

2.3. **Functions**

- The facilitation of investments in and entry into the Nigerian market for provision and supply of communications services, equipment and facilities.
- The protection and promotion of the interests of consumers against unfair practices including but not limited to matters relating to tariffs and charges for and the availability and quality of communications services, equipment and facilities.
- Ensuring that licensees implement and operate at all times the most efficient and accurate billing system.
- The promotion of fair competition in the communications industry and protection of communications services and facilities providers from misuse of market power or anti-competitive and unfair practices by other service or facilities providers or equipment suppliers.
- Granting and renewing communications licences whether or not the licences themselves provide for renewal in accordance with the provisions of this Act and monitoring and enforcing compliance with licence terms and conditions by licensees.

- Proposing and effecting amendments to licence conditions in accordance with the objectives and provisions of this Act.
- Fixing and collecting fees for grant of communications licences and other regulatory services provided by the Commission.
- The development and monitoring of performance standards and indices relating to the quality of telephone and other communications services and facilities supplied to consumers in Nigeria, having regard to the best international performance indicators.
- Making and enforcement of such regulations as may be necessary under this Act to give full force and effect to the provisions of this Act.
- Management and administration of frequency spectrum for the communications sector and assisting the National Frequency Management (NFM) Council in developing a national frequency plan.
- Development, management and administration of a national numbering plan and electronic addresses plan and the assignment of numbers and electronic addresses there from to licensees.
- Proposing, adopting, publishing and enforcing technical specifications and standards for the importation and use of communications equipment in Nigeria and for connecting or interconnecting communications equipment and systems.
- The formulation and management of Nigeria's inputs into the setting of international technical standards for communications services and equipment.
- Carrying out type approval tests on communications equipment and issuing certificates on the basis of technical specifications and standards prescribed from time to time by the Commission.
- Encouraging and promoting infrastructure sharing amongst licensees and providing regulatory guidelines thereon.

- Examining and resolving complaints and objections filed by subscribers, and resolving disputes between licensed operators and any other person involved in the communications industry by using such dispute-resolution methods which the Commission may determine from time to time including mediation and arbitration.
- Preparation and implementation of programmes and plans that promote and ensure the development of the communications industry and the provision of communications services in Nigeria.
- Designing, managing and implementing Universal Access strategy and programme in accordance with Federal Government's general policy and objectives thereon.
- Advising the Minister on the formulation of the general policies for the communications industry and generally on matters relating to the communications industry in the exercise of the Minister's functions and responsibilities under this Act.
- Implementation of the Government's general policies on communications industry and the execution of all such other functions and responsibilities as are given to the Commission under this Act or are incidental or related thereto.
- Generally advising and assisting communications industry stakeholders and practitioners with a view to the development of the industry and attaining the objectives of this Act and its subsidiary legislation.
- Representation of Nigeria at proceedings of international organisations and fora on matters relating to regulation of communications and matters ancillary and connected thereto; and
- The general responsibility for economic and technical regulation of the communications industry.

2.4 Objectives

- To promote the implementation of the national communications or telecommunications policy as may from time to time be modified and amended.
- To establish a regulatory framework for the Nigerian communications industry and for this purpose to create an effective, impartial and independent regulatory authority.
- To promote the provision of modern, universal, efficient, reliable, affordable and easily accessible communications services and the widest range thereof throughout Nigeria.
- To encourage local and foreign investments in the Nigerian communications industry and the introduction of innovative services and practices in the industry in accordance with international best practices and trends.
- To ensure fair competition in all sectors of the Nigerian communications industry and also encourage participation of Nigerians in the ownership, control and management of communications companies and organisations.
- To encourage the development of a communications manufacturing and supply sector within the Nigerian economy and also encourage effective research and development efforts by all communications industry practitioners.
- To protect the rights and interest of service providers and consumers within Nigeria.
- To ensure that the needs of the disabled and elderly persons are taken into consideration in the provision of communications services; and
- To ensure an efficient management including planning, coordination, allocation, assignment, registration, monitoring and use of scarce national

resources in the communications sub-sector, including but not limited to frequency spectrum, numbers and electronic addresses, and also promote and safeguard national interests, safety and security in the use of the said scarce national resources.

2.5 Provisions of the NCC Act on the Board and Management

2.5.1 Governing Body

The Governing body of the Nigerian Communications Commission consists of a board of nine Commissioners; made up of six Non-executive members, including the Chairman - representing each of the six Geopolitical Zones of Nigeria - and three Executive members, including the Executive Vice Chairman/Chief Executive and two Executive Commissioners.

2.5.2 Organisational Structure

The Nigerian Communications Commission's organisational structure is comprised of Seventeen (17) departments, including Four (4) departments under the Human Capital & Infrastructure Group.

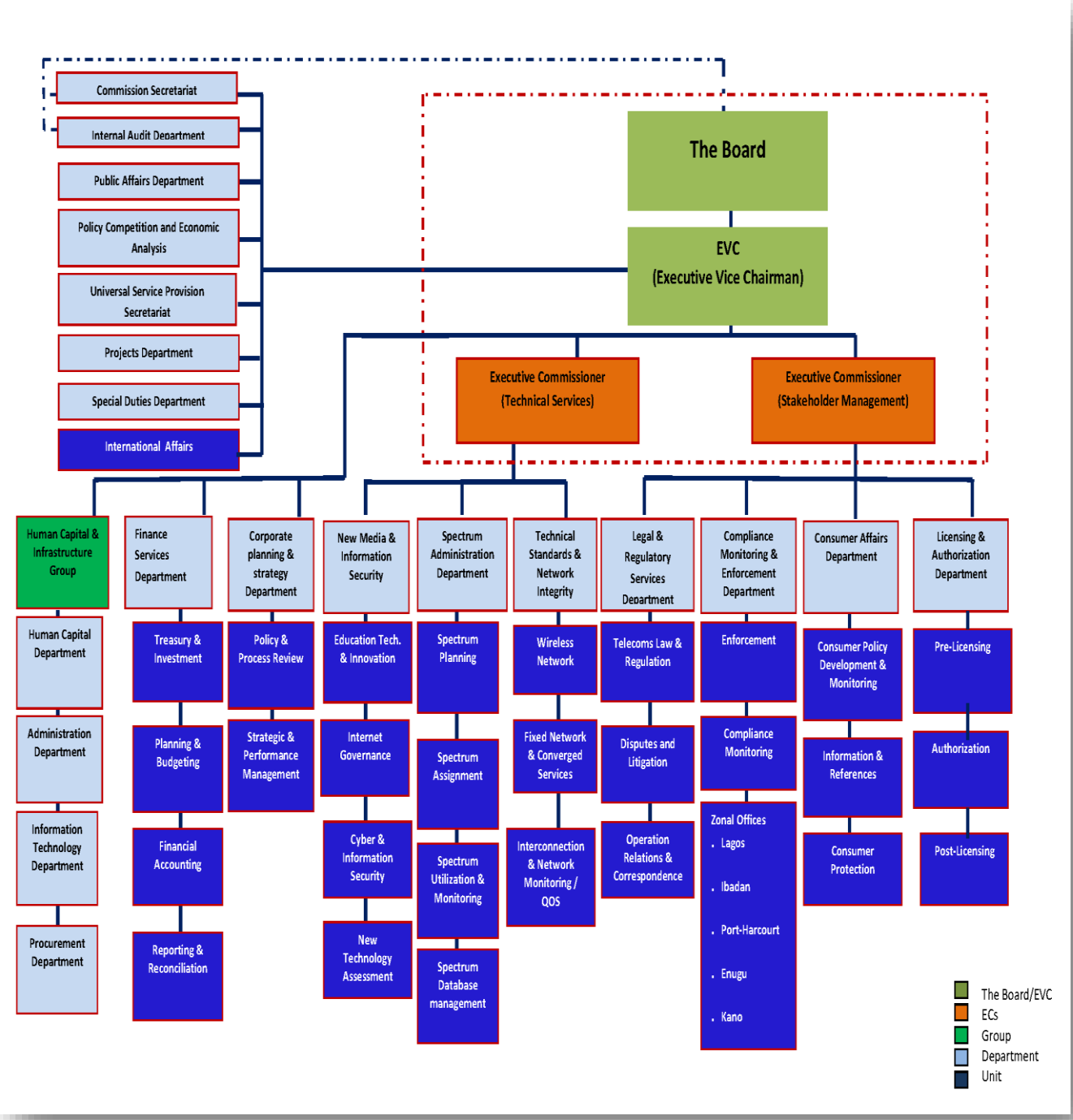
The Executive Vice Chairman (EVC) is the Chief Executive Officer of the Commission and directly oversees eleven (11) departments, including the Human Capital & Infrastructure Group, and the independent Internal Audit Unit.

The Executive Commissioner - Technical Services (ECTS) directly supervise the departments charged with the oversight of technical standards, spectrum and engineering issues governing the Nigerian telecommunications industry.

The Executive Commissioner - Stakeholder Management (ECSM) directly supervises the departments charged with addressing the needs of telecommunications industry stakeholders including vendors, service providers and consumers.

The Board of Commissioners, of which the EVC and the two Executive Commissioners are members, is charged with the governance of the Nigerian Communications Commission and has oversight functions over all of the Commission's activities.

NCC Organizational Structure



CHAPTER THREE

3 Self-Assessment

3.1 Self-Assessment involves an organization looking at how it does things, what it achieves and how it measures up against set criteria. During the process, an organization's strengths, weaknesses and opportunities for improvement will be identified. The self-assessment would report organization's findings about how well it is meeting its goals. The self-assessment is an opportunity for agencies and parastatals to:

- confirm areas where the organization is meeting its core mandate, including the governance and management practices;
- identify gaps in current systems and processes that do not meet good practice;
- plan actions to address any identify gaps in systems and processes; and
- identify additional opportunities for improvement, to support continuous improvement.

3.2 The Self-Assessment Tool

3.2.1 The Self-Assessment Tool is a written derivative of the general Guide and text on ***'How to Manage and Reform Agencies and Parastatals'*** produced by the Bureau of Public Service Reforms and published in June, 2015.The Guide provides practical but simple guidance on the strategic management and governance of organization. The Guide contains a distillation of good practices in the various subject areas from the experiences of the more 'successful' agencies and parastatals in Nigeria. The BPSR's Guide was complemented by the need for agencies and parastatals to be well-managed and for the efficient and effective delivery of public goods and services to citizens.

3.2.2 The Self-Assessment Tool (SAT) complementing the 'Guide' provides opportunities for heads of agencies and parastatals to assess their management style efficiency and effectiveness against local and international best practices, and for an in-depth external assessor (through a facilitated self-assessment option) to verify and validate the results. The SAT following the 'Guide' covers critical management and organizational efficiency and effectiveness issues regarded as germane to organizational strategic management and governance.

3.2.3 The Self-Assessment Tool is an 'organizational strategic health-check' containing statements which when assessed or evaluated can provide a picture of the current strengths and weaknesses of the organization. The tool, is therefore, aside from establishing a baseline for initiating reforms and developing a change management plan, a diagnostic tool, a monitoring tool as well as a performance management tool.

3.2.4 As a diagnostic tool SAT can be used to address the question: Is the organization healthy? Is it operational according to international best practices? and as a performance monitoring and management tool, SAT can address the question: Is the organization performing 'well' by providing 'value-for-money'

3.3 Essential Features of the Self-Assessment Tool (SAT):

3.3.1 The self-assessment tool contains the following essential feature:

i. one hundred and seventeen (117) statements of good practice;
ii. nine (9) main domain areas of local and international statements of good practice;
iii. the rating scale;
iv. results by section and result chart; and
v. Identifying priority areas for action plan.

3.4 Statements of Good Practice.

3.4.1 A good practice is a method or technique that has been generally accepted as superior to any alternatives because it produces results that are superior to those achieved by other means or because it has become a standard way of doing things. For example a standard way of complying with legal or ethical requirements. Good practices are used to maintain quality as an alternative to mandatory legislated standards and can be based on self-assessment or benchmarking. Good practice is a feature of accredited management standards such as ISO 9000 and ISO 14001.

3.4.2 The BPSR self-assessment tool of 117 statements of good practice were drawn from local and international generally accepted standard of conducting government business in the Nigerian Public Service. The agencies and parastatals included:

- Federal Inland Revenue Service;
- Economic and Financial Crimes Commission

- Federal Road Safety Commission;
- Independent Corrupt Practices and other Related Commission (ICPC)
- National Agency for Food and Drug Administration (NAFDAC);
- Nigeria Communication Commission;
- National Drug Law Enforcement Agency (NDLEA); and
- National Primary HealthCare Development Agency (NPHCDA).

3.5 Domain Areas

3.5.1 The self-assessment tool is built around nine main domain areas of local and international statements of good practice. The essential features of the nine domain areas are as follows:

a) **Strategic Governance**: This domain area is central to the effective operation of all public bodies. Government systems need to be strengthened as part of the drive to improve management in agencies and parastatals. The controls, processes, and safeguards in place should be assessed against the rules, principles, and good practice set out in the tool. They reflect either existing regulations, good practice from elsewhere, or upcoming reforms. The intention is to ensure that all public organizations are made more accountable and transparent in the conduct of government business.

b) **Financial Management:** This domain area covers the main aspects of financial management, including financial accountability, financial reporting, internal control and audit. It makes reference to the main rules and regulations with which public bodies are obliged to comply. The assessment focuses on how well the organization manages its financial information and ensure financial probity; and also manages assets and risks.

c) **Strategic Planning and Budgeting**: This domain area presents some of the essential features and good practice in ensuring that the budget is linked to the organization's strategic implementation plans. The assessment focuses, among others, on budgeting to facilitate operational delivery, organization's budgetary requirements, financial performance and reporting delegation for authority for budgets and outputs, etc.

d) **Procurement Processes:** All public bodies, including agencies and parastatals are expected to adhere to the rules set out in the

Public Procurement Act (PPA), 2007. The objectives of the PPA are to harmonize existing government policies and practices on public procurement; to ensure probity, accountability and transparency in the procurement process; and to attain competitiveness and professionalism in the public sector procurement system. Every organization keen to minimise its fiduciary risks will pay close attention to its procurement activities. The assessment focuses on areas of risk that should be addressed and mitigated in the course of carrying out procurement processes in the public sector.

e) **Operational and Service Delivery Processes:** Developing a corporate strategy is a crucial step in ensuring delivery of the organization's mandate. This assessment, therefore, focuses on key steps in the development and implementation of strategic plan, and organization restructuring to deliver better results, etc.

f) **Human Resource Management and Planning**: This domain area recognises that effective management and development is fundamental to achieving service improvement. The assessment focuses on what is regarded as the core challenge in human resources management and planning in agencies and parastatals today; i.e. the proper planning and utilization of human resources to the realization of organizational mandate.

g) **Partnership and Resource Mobilization:** This domain area recognizes the importance of partnership, and how well public bodies generate common ownership and genuine collaborative relationship on strategy and service delivery with stakeholders and the public.

h) **Key Performance Management and Results:**
This domain area recognizes that performance management is built on two major themes in public service improvement programmes. The first is identifying the mission of an organization within the public service which defines its broad objectives and intentions, and encourages a climate in which achievements are measured. Second is linking the organizational and individual goals within a performance framework to clarify responsibilities at all levels. The assessment focuses on how well the agency monitors and assesses its performance, and how it

uses performance information to improve policy, regulatory, intervention and service delivery issues.

i) **Change Management.** In the public service, the key question is not whether change will happen, it is how it will take place. It is, therefore, necessary to put in place some management structures in the form of change drivers to support change management in the organization. Change management presupposes that change drivers are to influence key aspects of the change process in the organization. The assessment focuses on management structures in the organization, strategies to resistance and how change management processes are communicated.

3.6 The Rating Scale

3.6.1 Organizations are required to self-assess and rate the state of their current practices in each of the 117 statements of good practice of the tool on a 4-point rating scale as follows:

(a) Strong: 75% and above;
(b) Well Placed: 50% -74%
(c) Developing Area: 25% - 49%; and
(d) Needs Attention: 0% -24%.

3.6.2 An organization performance in any of the 117 good practice statement on the 4-point rating is defined as follows:

- **'Needs Attention'** when the organization lacks the requirement stated, and needs to take steps to address the requirement;
- **'Developing Area'** if the organization lacks all or some of the requirement but is working to improve on the requirement;
- **'Well Placed'** if the organization has a good number of the requirement but not all; and
- **'Strong'** if the organization has the requirement to the extent that they can showcase it to other organizations as examples of good practice.

3.7 Results by Section

The assessment results by section is a summary of the findings of the self-assessment, and allows organisations to identify their organisation's overall performance section by section against the 117 statement of good

practice. The results by section is used to record evidence of current good practice and identify areas for further improvement. From this, issues for priority action can be identified. Organisations should document any opportunities for improvement that they identify even where the statement of good practice are fully met.

3.8 Overall Assessment Results

The overall rating uses an adaptation of the University of California at Berkeley Performance Rating Scale. The following are the overall ratings used.

Platinum Level: Exceptional (90% and above)
Performance far exceeded expectations due to exceptionally high quality of work in all essential areas of responsibility, resulting in an overall quality of work that was superior, exceptional or unique.

Gold Level: Exceeds Expectations (75%-89%)
Performance consistently exceeded expectations in all essential areas of responsibility. The quality of work is above average and main organisational goals are met.

Silver Level: Meets Expectations (50%-74%)
Performance consistently met expectations in all essential areas of responsibility, at times exceeding expectations, and the quality of work is generally good. The most critical organisational goals were met.

Bronze Level: Improvement Needed (26%-49%)
Performance did not consistently meet expectations and/or did not meet expectations in critical areas.

Base Level: Unsatisfactory (Below 25%)
Performance was consistently below expectations in most essential areas of responsibility. Significant improvement is needed in one or more important areas.

3.8 Identifying Priority Areas for Action Planning.

After the assessment has been completed, a series of findings and recommendations would be identified for action planning for the

organization. The findings and priority areas for action from the assessment need to align and support the organization's longer term direction: its vision, mission, strategies and performance measures.

CHAPTER FOUR

4.0. General Findings

The Commission has had some significant results and key areas of strengths. This chapter identifies specific findings and elaborates on them with the Commission having the opportunity to address them.

4.1. Strategic Governance

4.1.1 Government agencies and parastatals are established with clearly defined powers and responsibilities for board members. The Office of the Secretary to the Government of the Federation provides general policy guidance on the conduct of boards of agencies and parastatals. Some rules covering the roles and responsibilities of parastatal boards are set out in the Public Service Rules, Section on Parastatal Board Council Matters including that statutory boards/councils shall set operational and administrative policies in accordance with government policy directives and shall supervise the implementation of such powers. Further rules are set out in the Circular Ref. No. SWC/S/04/S.310/105 of 10th June 2010. These set out that the governing board is responsible for overseeing the strategic direction of the parastatal and accountability.

4.1.2 As at the time of the assessment, an appropriate mechanism and a formal code of conduct was not put in place to define standards of behaviour to which individual board members and employees of the Commission subscribe and adhere.

4.2 Financial Management

4.2.1 Accountability for Public Money

4.2.1.1 There are various aspects and principles of financial accountability, with which parastatals and agencies must comply, such as the Nigeria Financial regulations (2009), which provides operational rules and guidelines for day-to-day management of financial activities. Chief Executives, among others, are to ensure that the parastatals or agencies are link to the Government Integrated Financial Management System (GIFMIS), and join the Federal Government Treasury Single Account (TSA), and where the Act establishing the parastatals allows for operation of independent bank accounts, the organization obtains the approval for all its bank accounts in line with the provision of the FR, implements the E-payment systems for all transactions; and accurately remits revenue generated to the CRF in accordance with extant rules and regulations.

4.2.1.2 The Commission is yet to be linked to the Government Integrated Management Information System (GIMFIS).

4.2.2. Financial Reporting

4.2.2.1 Financial reports (monthly, quarterly and annual) are expected to be reviewed at the meetings of the senior management and government board to reflect on the level of progress towards strategic goals, with strategy being adjusted as required. Senior management should understand and carry out their respective roles in the financial reporting structure of the parastatal board within the timeline stipulated in extant rules, regulations and circulars.

4.2.2.2 Financial reporting in the Commission is not given appropriate profile at the meetings of senior management and governing board to

reflect on progress towards strategic goals and adjusting strategy as required.

4.3 Procurement Process

4.3.1 The Public Procurement Act states that the open competitive method is the default method of procurement. This means that procurement activities above the prescribed threshold must be advertised in the Federal Tenders Journal, Website and national newspapers to inform all qualified bidders who wish to participate. Effective and transparent leadership is essential in enforcing the procurement rules. Enforcement of declaration of conflicts of interest by all staff is critical.

4.3.2 There is no evidence to show that the Commission publish its annual procurement plan and general procurement notice on its website and the Federal Tenders journal.

4.4 Anti-Corruption and Transparency Unit (ACTU)

4.4.1. Parastatals and agencies are expected to have ACTU in place and ensure that it is operational. They are responsible for the prevention of corruption and preliminary investigations, which may require prosecution by the ICPC. Each ACTU is to operate as an autonomous outfit with functional linkage with the office of the Chie Executive. ACTUs performs all the duties detailed in Section 6(a) (f) of the ICPC Act (2000) with the exception of conducting prosecution. ACTU is expected to institute some significant measures to tackle and decentralize corruption. There include:

- display at service delivery points, essential anti-corruption standards (e.g. reject corrupt offers; don't give bribe and don't receive bribes, etc.)
- dedicated telephone line(s), email addresses, and suggestion boxes at appropriate locations that afford citizens the opportunity to report and

track their complaints for purposes of ascertaining if they have been addressed;

- complaints followed-up to ensure that they are addressed to their logical conclusion.

4.4.2 Although the Commission have ACTU in place and is operational, the Commission has not display at its service delivery point's essential anti-corruption standards.

CHAPTER FIVE

5.0 Recommendations

5.0.1. In accordance with Circular Ref. No. SWC/S/04/S.310/105 of 10th June 2010, the board should put in place appropriate mechanism and a formal code of conduct defining standards of behaviour to which individual board members and employees of the parastatals should subscribe and adhere to.

5.0.2. The Commission is to ensure that it is linked to the Government Integrated Financial Management System (GIFMIS).

5.0.3. Good management of budgeting, financial record-keeping and financial reporting is essential to the overall functioning of an organization. Good financial management ensures that the Board and management team have the information they need to make decisions and allocate the organization's resources. Therefore, the Commission's financial reports (monthly, quarterly and annual) should be reviewed at the meetings of the senior management and governing board to reflect on the level of progress towards strategic goals, with strategy being adjusted as required.

5.0.4. The Commission should ensure that senior management understand and carry out their respective roles in the financial reporting structure of the Commission's board within the timeline stipulated in extant rules, regulations and circulars.

5.0.5. The Commission should ensure that procurement activities above the prescribed threshold should be advertised not only in national newspapers, but also in the Federal Tenders Journal and Website to inform all qualified bidders who wish to participate.

5.0.6. The Commission should ensure enforcement of declaration of conflicts of interest by all staff of the procurement department.

5.0.7. In addition to other measures taken by the Commission's ACTU to tackle corruption in the Commission, the Commission should also consider displaying at service delivery points essential anti-corruption standards (e.g. reject corrupt offers; don't give bribe and don't receive bribes, etc.).

5.0.8. The board should ensure that it has collective responsibility for the overall performance and success of the Commission. The board's role is to provide strategic leadership, direction, support and guidance. The board should also ensure the continuous development and implementation of clear policies to guide operational leadership and responsiveness of the Commission to stakeholders.

5.0.9. There should be clear division of roles and responsibilities between non-executive board members and executives in the Commission. Key requirements of the board should include the following essential features:

- The board should establish a framework of strategic control. This should specify which matters are specifically reserved for the collective decision of the board. This framework must be understood by all board members and by the senior management team. It should be regularly reviewed and refreshed.
- The board should establish a strong anti-corruption policy with an entrenched whistle blower mechanism.
- The board should establish formal procedure and financial regulations to govern the conduct of its business.
- The board should make a senior executive responsible for ensuring that board procedures are followed and that all applicable statutes

and regulations and other relevant statements of best practice are complied with;

- The board must only operates as a part-time board in accordance with extant rules; and
- The board should establish a system to ensure that all decisions relating to the use, commitment, exchange or transfer of resources involving members of the board, are documented and records of transactions maintained to ensure traceability from inception through to completion.

5.1.0. The Commission should continue to pursue more external linkages with like-minded organizations to support its organizational performance. As electronic linkages are opening organizations to new ideas and ways of communicating, a similar revolution is occurring with respect to new organizations patterns that support joint work and collaboration. Many organization are finding that they are unable to make progress in achieving their missions without the support of similar organizations. Many are forming new types of relationship (either formal or informal) with other organizations to support their objectives. The new and joint ventures, partnerships and coalitions are more formal. The most formal of these relationship are based on contractual agreements. All of these new linkages are breaking down the boundaries of organizations and are changing the way they operate. Fruitful, ongoing partnership with external organizations through these linkages bring new ideas, or resources both to the organizations.

CHAPTER SIX

6. PRIORITISATION AND ACTION PLANNING.

6.1 In order to realize the benefits of the assessments and achieve performance improvement for the Commission, priority areas for actions that will have maximum impact, both immediately and over the longer term were identified. The assessment proffered some recommendations. Some are broad issues while others are quite specific. In coming up with action plan, it may be useful to consider each recommendation against the following factors, to ask what would be the:

- Impact on government priorities?
- Effect the future direction of the Commission?
- Impact on the way the Commission conducts its business?
- Impact on the Commission's current focus areas?
- Effect the Commission's current outputs, targets and initiative?
- Impact on the Commission's performance? and
- Best way to implement this?

6.2 Action Planning is crucial to sustained improvement. Action planning closes the link between government's priorities, the Commission's priorities, future direction and actions. There are seven general elements to a good action plan, and these are as follows:

- **Fit for purpose:** Some actions may involve substantial change. Others actions may not need substantial resources but may require a change in processes and culture across the Commission.
- **Defining actions that will link to strategy**: It is important to state the 'action plan' in an actionable objective.

- **Milestones and indicators:** each action should be able to show that it will contribute to improving, or changing 'something' in the organization.
- **Roles and responsibilities**: assign staff to the action.
- **Timing of Actions:** timing of actions is critical to success. Some actions will be interdependent and need to be appropriately sequenced. Others will need to be implemented to align with other significant government processes, etc.
- **Resources:** This element requires a clear understanding of the resourcing implication and requirements on the Commission itself. Resources can be either human, technology, financial, etc.
- **Review and monitoring and assurance:** There must be clarity on what will be measured, the method of measurement, the data source, and the time period for the measurement – quantitative or qualitative.

6.3 **Monitoring Implementation and Reporting**: The key to driving improvement in the Commission will be monitoring the implementation and progress of priority actions and the longer-term improvements. The monitoring and measurement should be integrated into the Commission's other monitoring and measurement strategies. On-going reporting of progress against the action plan will be needed to ensure momentum is maintained. It is important that the Commission integrates any reporting into current systems so that the action plan is not seen separate from business-as-usual.

6.4 **Review Progress:** It is also important to review progress of implementation, and regular and timely communication with the whole Commission to gain change impact, and to re-apply the assessment to ascertain the measure of change in performance over time. Self-assessment

is a major undertaking and re-assessment would normally be undertaken 2-3 years after the first assessment. If the Commission has some findings from the assessment that are deemed 'critical' it may want to review one or more areas after say 6-12 months, but for the majority of actions they will need to be fully implemented and given time to influence the Commission before re-assessment is undertaken.

ANNEX I

INDEPENDENT SELF-ASSESSMENT

Annex 1 contains the assessment of each of the focus group as well as the three focus group consolidated ratings of the Commission current practice in each of the 117 statements of good practice on the 4-point rating scale.

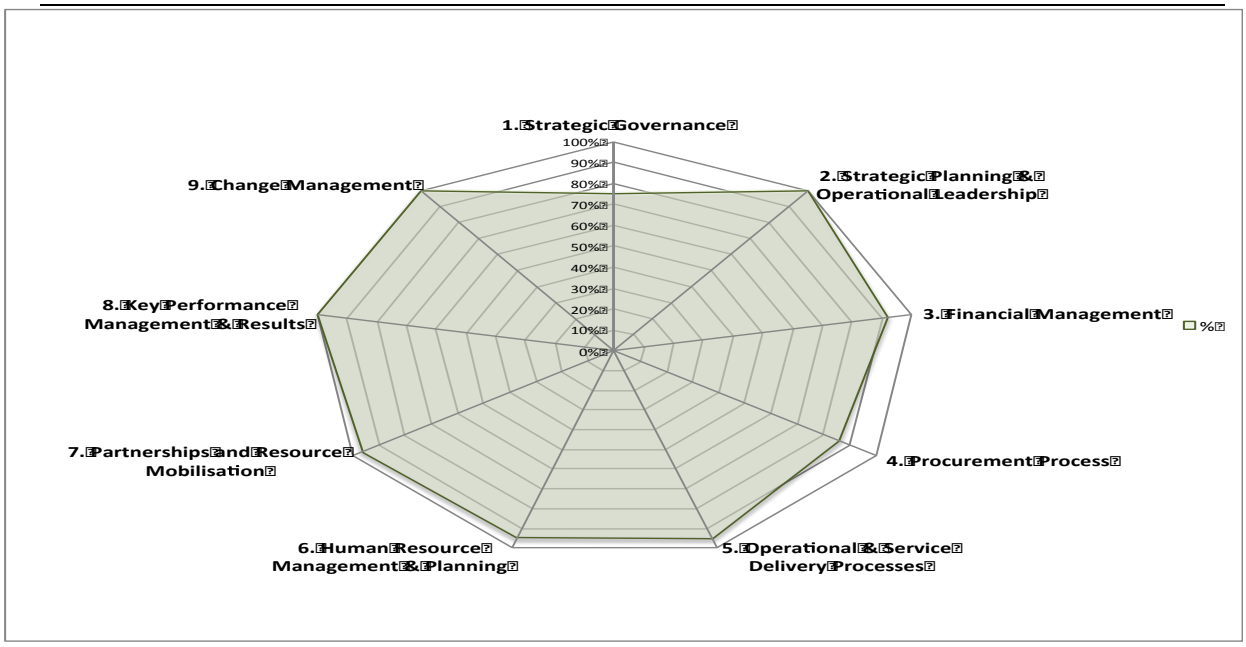
Name of Organisation: NIGERIAN COMMUNICATIONS COMMISSION

Overall Rating: EXCEPTIONAL (95%)

Session Information

Groups	Date & Time	# of Participants	Assessed Score (Max = 468)	%
Middle Mgt. Staff (MM)	10th Feb 2016, 11am	12	432	92%
Senior Mgt. Staff (SM)	10th Feb 2016, 1pm	12	424	91%
Junior Mgt. Staff (JM)	10th Feb 2016, 3pm	12	407	87%
Joint Session	11th Feb 2016, 11am	xx	434	93%

Result Chart



Sectional Results by Rank Order

Section	Score	Max	%	Rating
9. Change Management	12	12	100%	Strong
8. Key Performance Management & Results	20	20	100%	Strong
2. Strategic Planning & Operational Leadership	64	64	100%	Strong
7. Partnerships and Resource Mobilisation	27	28	96%	Strong
5. Operational & Service Delivery Processes	61	64	95%	Strong
6. Human Resource Management & Planning	38	40	95%	Strong
3. Financial Management	129	140	92%	Strong
4. Procurement Process	62	72	86%	Strong
1. Strategic Governance	21	28	75%	Strong

Focus Groups: Questions and Answers Sessions

LEGEND: NA – Needs Attention | **DA –** Developing Area | **WP –** Well Placed

| **S –** Strong | **U –** Unsure

SM – Senior Management | **MM –** Middle Management | **JM –** Junior Management

No	Question	Section	SM	MM	JM	Joint Session
1	The organisation has a governing board that meets in accordance with circular Ref. No. SWC/S/04/S.310/105 of 10th June, 2010, and carries out the responsibility of overseeing its strategic direction and accountability	1	WP	S	S	WP
2	The governing board reviews the organisation's progress towards achievement of strategic goals and adjusts strategy in response to external environment	1	WP	WP	S	WP
3	The governing board has a future focused strategy derived from the mandate of the organisation	1	S	WP	S	S
4	The governing board has in place appropriate mechanism and a formal code of conduct defining standards of behaviour to which individual governing board members and employees of the organisation subscribe and adhere;	1	DA	S	WP	DA
5	The governing board ensures the development and implementation of clear policies to guide operational leadership and responsiveness of the organisation to stakeholder needs	1	S	S	S	S

6	The governing board has ensured the establishment of an anti-corruption policy with an entrenched whistle blower mechanism	1	DA	DA	DA	DA
7	The supervisory ministry operates within the provisions of the administrative guidelines regulating the relationship between ministry and parastatals	1	WP	WP	WP	WP
8	Senior management understands its roles and functions and work together effectively to guide the organisation	2	S	S	S	S
9	The organisation has defined vision, mission and mandate	2	S	S	S	S
10	The mandate makes clear the powers, roles and responsibilities of the organisation	2	S	S	S	S
11	The vision, mission, and strategic objectives have been effectively communicated to relevant stakeholders and well understood by staff	2	S	S	S	S
12	Senior management prepares and periodically reviews a strategic plan with high level outputs aligned to approved operating budget to guide implementation of organisations operations and services	2	S	S	WP	S
13	Senior management gathers, analyses and utilises relevant information (including information on the present and future needs of stakeholders and other management	2	S	S	S	S

	information) as evidence to support the strategic planning process					
14	The organisation' strategy incorporates the needs of customers/service users, makes appropriate provisions for capturing stakeholder contributions, and contains arrangements for measuring progress against objectives	2	S	S	S	S
15	The organisation' strategic objectives are prioritised for potential impact using standardised principles and criteria (e.g. balanced score card)	2	S	S	S	S
16	The organisation regularly prepares and updates plans for innovation and change to deal with new expectations from stakeholders, to enhance quality of service and to reduce costs	2	S	S	S	S
17	The organisation is structured to achieve its core mandate	2	S	S	S	S
18	The operational departments prepare annual implementation plans that are clearly aligned with organisation' strategic objectives and integrated across departments	2	S	S	S	S
19	The organisation has clear policies to guide operations and activities which supports delivery of strategic objectives and services with written guidelines to standardise	2	S	S	S	S

	procedures and enable staff to carry out routine activities					
20	Senior management actively ensures and takes responsibility for implementation of policies, development of systems and operational functions and services that meet the needs of stakeholders	2	S	S	WP	S
21	Senior Management meets regularly with staff to set direction, motivate and reinforce set standards for operational functions and service delivery	2	S	S	S	S
22	There is institutional mechanism for staff to regularly contribute ideas, experiences, and to provide leadership in areas of their responsibilities	2	S	WP	WP	S
23	The Organisation has adopted robust financial and accounting policies that comply with Financial Regulations and are regularly reviewed to ensure efficient and reliable financial reporting	3	S	S	S	S
24	The Organisation has financial management system and procedures that comply with relevant government accounting policies and standards	3	S	S	S	S
25	Senior management prepares a comprehensive annual budget that adequately reflects strategic	3	S	S	S	S

	plan and provides an indication of sources of funding					
26	Annual budgets are reviewed by the governing board	3	S	S	S	S
27	Annual budgets are approved by the supervising ministry and National Assembly	3	S	S	WP	S
28	The organisation' budgeting process applies activity-based costing that incorporates direct and indirect costs and takes into consideration current operating model	3	S	S	WP	S
29	Performance data such as information on output and outcome goals are included in budget documents	3	NA	S	NA	NA
30	In the past three years, the resources have been allocated based on prioritised objectives with set milestones and indicators for tracking	3	S	S	S	S
31	In the past three years the organisation' budgets are realistic and are implemented in a predictable manner (maximum of 5% variance)	3	WP	S	S	WP
32	Activities and projects to be implemented over a period of more than one year are appropriately phased, and budgets phased accordingly	3	S	S	DA	S
33	The organisation has and implements a strategy for mobilising resources from development	3	S	WP	S	S

	partners to support achievement of strategic objectives					
34	The organisation has articulated a system of delegated authority for budget implementation that is available to all stakeholders	3	S	S	S	S
35	The organisation has established a system for carrying out periodic review and reporting on budget performance with responsibility for review and reporting assigned to named officers	3	S	S	S	S
36	The organisation is linked to the Government Integrated Financial Management Information System (GIFMIS)	3	DA	S	S	DA
37	There is an established system of payment for authorised purposes with evidence that goods were supplied or services rendered	3	S	S	S	S
38	The organisation has joined the Federal Government Treasury Single Account and where the Act establishing the Parastatal allows for operation of independent bank accounts, the organisation obtained the Accountant General approval for all its bank accounts in line with the provision of the Financial Regulations.	3	S	S	S	S

39	The organisation implements E-Payment system for all its transactions (supplies, salaries and entitlements of employees, contracts, etc.)	3	S	S	S	S
40	The organisation accurately remits (E-Remittance) revenue generated to CRF in accordance with extant rules and regulations	3	S	S	S	S
41	The organisation has developed and deployed a robust internal audit manual/guide	3	S	S	S	S
42	Organisation has an internal audit capacity that monitors and evaluates the implementation and effectiveness of its processes and procedures	3	S	S	S	S
43	The internal audit manual is rigorously applied by managers to monitor and evaluate financial transactions and operational processes and procedures, and to propose improvements to the organisation	3	S	S	S	S
44	Internal control systems provide for an assessment of risks from both internal and external sources	3	S	S	S	S
45	Internal control staff have the required expertise and experience in financial, process and performance review, monitoring and evaluation	3	S	S	S	S

46	Critical decisions relating to the use, commitment, exchange or transfer of resources involving members of governing board and senior management, are documented and records of transactions maintained to ensure traceability from inception through to completion	2	S	S	S	S
47	Financial reporting is given an appropriate profile at the meetings of the senior management and governing board to reflect on progress towards strategic goals and adjusting strategy as required	3	WP	S	S	WP
48	Senior management understand and carry out their respective roles in the financial reporting structure of the organisation (board, supervising ministry, National Assembly and public) within the timeline stipulated in extant rules regulations and circulars	3	S	S	S	S
49	The organisation's financial liabilities are recorded and monitored as part of the management process and to facilitate comprehensive and transparent financial reporting	3	S	S	S	S
50	The organisation maintains an accurate up to date inventory of assets and a functional mechanism for annual planning and budgeting for asset maintenance and replacement	3	S	S	WP	S

51	Senior management identifies and measures areas of financial risk and prepares contingency plans to mitigate risk associated with changes in organisational income and funding streams	3	DA	S	DA	DA
52	The organisation has appropriate insurance to protect the organisation, its assets, people and services	3	S	S	S	S
53	The organisation obtains approval from the Debt Management Office prior to obtaining loans and advances in line with the FR	3	S	NA	S	S
54	The Chief Executive submits a statement of account on a monthly basis to the supervising ministry showing receipts of funds from government for personnel overhead, capital and actual expenditure in accordance with the FR	3	S	S	S	S
55	The organisation appoints external auditors with the approval of the Auditor General for the Federation for purpose of auditing its financial statements in line with the FR	3	S	S	S	S
56	The Statement of Accounts for each financial year is submitted to the External Auditor within 2 months after the end of the financial year in accordance with FR	3	S	S	WP	S
57	The organisation submits annual audited financial statements by 31st of May of the following year to the Auditor General for the	3	S	S	WP	S

	Federation and Accountant General of the Federation in line with the FR					
58	The supervisory ministry neither interferes in the finances of the organisation by virement of its subvention, nor makes requests for guesthouses, fleet of cars and naira cover for estacode allowances for their staff	3	DA	S	DA	DA
59	The organisation constitutes a Parastatal Tenders Board, procurement planning committee and evaluation committees in line with 2007 PPA	4	S	S	S	S
60	The organisation has a clear system of accountability with clearly defined responsibilities and delegation of authority on who has control of procurement decisions	4	S	S	S	S
61	Open competitive method is the organisation' default method for procurement of goods, works and services	4	S	S	S	S
62	In accordance with the Public Procurement Act {PPA}, the organisation opens bids in public in the presence of bidders/representatives, immediately following the deadline for bid submission	4	S	S	S	S
63	The advertisements and Expression of Interest (EOI) published by the organisation are sufficient to enable a potential participant to determine its interest in competing; and	4	S	S	S	S

	sufficient time is allowed for bid or proposal preparation, appropriate to the complexity of the bid					
64	Bidders are able to submit bids into a tamper-proof bid box {for instance, a three key box} in an accessible location	4	S	S	S	S
65	The organisation constitutes a procurement planning committee charged with the responsibility of preparing the Annual Procurement Plan that is integrated with the annual budget and annual plan	4	S	S	S	S
66	A Procurement Evaluation Committee is in place and chaired by the Head of Procurement and Secretary to the Tender Board	4	WP	S	S	WP
67	The evaluation process involves a quick review of all received bids to remove any unqualified bidders, resulting in a short list of bids which are then reviewed in more detail to ensure full compliance	4	S	S	S	S
68	Integrity checks and due diligence are carried out on preferred bidders firms immediately prior to awarding of contracts	4	DA	S	S	DA
69	The organisation publishes its Annual Procurement Plan and General procurement notice in its website, procurement journal and two national newspapers, and (for international tenders) in at least one international journal	4	DA	WP	DA	WP

70	There is a system for record keeping, management and retrieval of procurement data where procurement records are protected from loss and unauthorized access	4	WP	S	S	WP
71	The Organisation prepares and submits annual report of its procurement activities to the Bureau of Public Procurement. The organisation has developed a system to ensure that copies of all procurement records are transmitted to the Bureau of Public Procurement within three (3) months after the end of the financial year	4	WP	S	WP	WP
72	The system ensures that the procurement records are maintained for a period of ten years from the date of the award in accordance with the 2007 PPA	4	S	S	S	S
73	Management ensures that procurement and management staff undertake training for continuous skill development in procurement	4	S	S	S	S
74	The procurement staff have contract management expertise and a record of accomplishment of quality and timely delivery on procurement plan	4	WP	S	S	WP
75	The procurement staff have signed an affidavit regarding their commitment not to engage in practices involving a conflict of interests and a	4	NA	NA	NA	NA

	system of ensuring adherence to the provisions of the 2007 PPA is in place					
76	The organisation awards contracts only to bidders that possess: the necessary professional and technical qualifications to carry out particular procurements; financial capability; equipment and other relevant infrastructure; adequate personnel to perform the obligations of the procurement contracts and possess the legal capacity to enter into the procurement contract	4	WP	S	S	S
77	The Senior management identifies, designs, manages and reviews operational processes to ensure continual relevance for the delivery of strategic objectives to beneficiaries and other stakeholders	5	WP	S	S	WP
78	All senior managers understand their role and responsibilities for service delivery and are committed to assigned targets as stated in the MDA' service charter.	5	WP	S	S	WP
79	The organisation is structured to achieve its core mandate and carry out its functions effectively	5	S	S	S	S
80	The organisation appropriately utilises modern and up-to-date technology and infrastructure to ensure efficiency and improved productivity	5	S	S	S	S

81	Services and functional responsibilities are delivered in a cost effective way, including making best use of people and financial resources	5	WP	S	S	S
82	Organisation displays essential anti-corruption standards at service delivery points (e.g. reject corrupt offers; don't give bribe and don't receive bribe, etc.)	5	WP	DA	NA	WP
83	The organisation has a unit (e.g. ACTU, SERVICOM or special unit under the CEO) to address front service delivery and corruption issues.	5	S	S	S	S
84	The organisation has key staff with requisite qualification, experience, dedicated budget and authority in the unit to address complaints received and recommend redress/sanctions.	5	NA	S	S	S
85	The organisation has a system (e.g. dedicated telephone line(s), email addresses, suggestion boxes at appropriate locations and web address) that affords citizens the opportunity to report and track their complaints for purposes of ascertaining if they have been addressed.	5	S	WP	S	S
86	The organisation follows up complaints and ensures that they are addressed to logical conclusion (e.g. taking disciplinary action and if necessary forward to relevant anti-corruption agency for further actions)	5	S	WP	S	S

87	There is an effective system and relevant mechanisms for capturing feedback from stakeholders and the information is used to create innovative ways of working	5	S	S	S	S
88	The organisation has a functional and effective mechanism to ensure all staff have access to information and knowledge relevant to their tasks and operational objectives	5	S	S	S	S
89	Operational processes are coordinated within the organisation and efforts are made to collaborate with other government organisations to share knowledge and integrate processes towards a common or shared service outcome	5	WP	S	S	S
90	Senior management makes strategic decisions and controls its operational functions and services in line with Government policy frameworks (Freedom of Information, SERVICOM, etc.) for ensuring accountability to service users, stakeholders and the wider community	5	WP	S	S	S
91	The organisation has established and continually apply an integrated policy for managing physical assets, including buildings, vehicles, office equipment and furniture	5	S	S	S	S

92	The organisation has mechanisms to facilitate regular evaluation of the state of their infrastructure to ensure efficient, cost effective and sustainable maintenance of buildings, vehicles and office furniture and equipment, and findings are shared at regular management meetings.	5	S	S	S	S
93	The organisation has established and implements a human resource management policy with objective criteria for recruitment, career development, promotion, remuneration, rewards and assignment of managerial functions	6	S	S	S	S
94	There is a plan for human resource development that addresses present and future needs of the organisation to ensure continued efficiency and effectiveness of operations and services	6	S	S	WP	S
95	The human resource utilisation and development plan is focused on and consistently applied to achieving operational and service delivery outcomes and implemented in the most transparent and cost effective manner	6	S	S	U	S
96	Investment in training and capacity development aligns with priorities identified in strategic and operational plans with established policies and practices that nurture staff talent,	6	S	S	S	S

	development, well-being and productive contribution					
97	Management approaches and practices support a performance culture with established criteria for reward and recognition based on individual and team performance	6	WP	DA	S	WP
98	The organisation has a comprehensive plan for performance management	6	WP	S	S	S
99	Job descriptions incorporating competency profiles have been established for all staff positions in the organisations and these are implemented through individual work plans discussed and agreed with supervisory officers	6	S	DA	S	WP
100	There is a culture of open communication and dialogue that encourages team work where employees and their representatives are involved in the development of organisational plans and strategies	6	S	S	WP	S
101	Professional learning interactions are encouraged and self-directed continuous professional development supported	6	S	S	S	S
102	There are standards set for health and safety of staff; and the organisation ensures good and conducive working conditions	6	S	S	S	S
103	The organisation has policies and strategies for establishing and managing collaborative	7	S	S	S	S

	relationships with other respected and strategically relevant organisations					
104	The organisation develops and manages appropriate partnership agreements through stimulating and organising task specific partnerships; and implements joint projects with public sector organisations that belong to the same policy/service sector	7	WP	WP	S	WP
105	In collaborative relationships, the organisation clearly defines commitments, roles, responsibilities and resources that will be invested to contribute to success	7	S	WP	S	S
106	Formal collaborations have written and signed agreements to guide all parties involved	7	S	WP	S	S
107	Differences and disputes that may arise within collaborative partnerships are anticipated and a framework for resolution established in advance.	7	S	S	WP	S
108	Senior management identifies need for long-term public private partnerships and develops them where appropriate.	7	S	DA	S	S
109	The organisation's strategic plans incorporate generation of additional financial resources and have established mechanisms to ensure transparent management and reporting on performance of such resources.	7	S	NA	S	S

110	The organisation carries out routine monitoring of policies, systems, procedures, operations and services to guide continual improvement and continued relevance to beneficiaries and other stakeholders	8	S	S	S	S
111	The organisation periodically measures public perception of its performance and impact to provide an indication of the effectiveness of its strategies	8	S	WP	S	S
112	The organisation periodically undertakes an evaluation of its activities and programmes to determine performance against set goals and objectives, impact of activities on external stakeholders and society	8	S	S	S	S
113	Results from organisational performance assessments are used to guide operational and service improvements in an effective way	8	WP	S	S	S
114	The organisation periodically carries out assessment of the efficiency and effectiveness of its internal processes; effective use of resources and capacity to involve stakeholders in definition of service quality standards	8	WP	S	S	S
115	The organisation has a structure {e.g. committee, team, change drivers, etc.} for managing change along the desired strategic objectives.	9	S	S	S	S

116	The organisation change drivers are of right composition, with significant level of authority, credibility and leadership qualities and a shared objective to deliver the desired change	9	S	S	S	S
117	The organisation change management processes are able to communicate effectively to all staff and other stakeholders as well as manage resistance to change.	9	S	WP	S	S

LIST OF FOCUS GROUP MEMBERS

Directorate

S/No.	**Names**	**Department**
1.	Mrs. Maryam Bayi	HCIG
2.	Nnamdi Nwokike	CP&S
3.	Ms. Ayodeji Sofolahan	Projects
4.	Fidelis Onah	TS&NI
5.	Matthew Maganda	HC
6.	Mrs. Felicia O.	Internal Audit
7.	Efosa Idehen	CM&E
8.	W. Soiff	Projects
9.	Yakubu G.	Finance
10.	Mrs. Edith Ndukuba	HC
11.	Ogbonnaya N.	PC&EA

12.	Clem Omife	M&E

PM-M

S/No.	**Names**	**Department**
13.	Engr. Adeyemi Kings	TSNI
14	Nafisa Usman Rugga	Human Capital
15.	Tony Ikemefuna	TSNI
16.	Giwa Ismaila.	Admin.
17.	Lisu Mshelia	DD
18.	Ifeoma I.	CAB
19.	Clement I.	HCIG
20.	Isa Olatinwo	Procurement
21.	George W.T.	CPS
22.	O. Ibietan	Public Affairs
23.	Tunji Jimoh	Finance
24	Chima P. Okorie	Legal & Regulatory

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25.	Afolabi Ayoninde	
26.	Mahmud M	NIEA
27.	Lucy Makama	Legal
28.	Frank O.	CPS
29.	Mohammed A. Haruna	TSNI
30.	Mohammed Edota	DHCIG
31.	Ike Margaret A.	PCEA
32.	Ibrahim Abu Ibrahim	NMIS
33.	Edowaye Makanjuola	NMIS
34	Rolake O.	CP & S
35.	Khadiya M. Bello	IT

ANNEX 2

VALIDATED ASSESSMENT

Annex 2 contains the validated assessment of the Commission undertaken by the BPSR where proof of every claim by the organization was substantiated. The validation process was more in-depth as it involved the review of the Commission's several key documents to substantiate the self-assessment by the Commission; and analyses of specific issues germane to the objective of the assignment.

Name of Organisation: Nigerian Communications Commission

Overall Rating: PLATINUM LEVEL: EXCEPTIONAL (94%)

S/N	Question	Section	NCC ASSESSMENT	BPSR validated evidence-base tool	BPSR Remarks
1	The organisation has a governing board that meets in accordance with circular Ref. No. SWC/S/04/S.310/105 of 10th June, 2010, and carries out the responsibility of overseeing its strategic direction and accountability	**Strategic Governance**	WP	Minutes of Meeting	Strong

2	The governing board reviews the organisation's progress towards achievement of strategic goals and adjusts strategy in response to external environment	**Strategic Governance**	WP	Evidence of Board Reviews	Strong
3	The governing board has a future focused strategy derived from the mandate of the organisation	**Strategic Governance**	S	Evidence of Strategy	Strong
4	The governing board has in place appropriate mechanism and a formal code of conduct defining standards of behaviour to which individual governing board members and employees of the organisation subscribe and adhere;	**Strategic Governance**	DA	Evidence of formal code of conduct for the Board	Well Placed. *The Board has in place a Board Charter.*
5	The governing board ensures the development and implementation	**Strategic Governance**	S	Board approval for policy implementation	Strong.

	of clear policies to guide operational leadership and responsiveness of the organisation to stakeholder needs				
6	The governing board has ensured the establishment of an anti-corruption policy with an entrenched whistle blower mechanism	**Strategic Governance**	DA	Evidence of policy on whistle blower	Well placed
7	The supervisory ministry operates within the provisions of the administrative guidelines regulating the relationship between ministry and parastatals	**Strategic Governance**	WP	Proof of MTB approvals for select contract	Well placed
8	Senior management understands its roles and functions and work together effectively to guide the organisation	**Strategic Planning and Operational Leadership**	S	Evidence of Snr. Mgt. Meetings / Job Description & any other proof.	Strong.

9	The organisation has defined vision, mission and mandate	**Strategic Planning and Operational Leadership**	S	Proof of Vision, Mission and Mandate.	Strong.
10	The mandate makes clear the powers, roles and responsibilities of the organisation	**Strategic Planning and Operational Leadership**	S	Proof of mandate for assessment	Strong.
11	The vision, mission, and strategic objectives have been effectively communicated to relevant stakeholders and well understood by staff	**Strategic Planning and Operational Leadership**	S	Retreat Report/any documentation report.	Strong

12	Senior management prepares and periodically reviews a strategic plan with high level outputs aligned to approved operating budget to guide implementation of organisations operations and services	**Strategic Planning and Operational Leadership**	S	Strategy Plan & Budget	Strong
13	Senior management gathers, analyses and utilises relevant information (including information on the present and future needs of stakeholders and other management information) as evidence to support the strategic planning process	**Strategic Planning and Operational Leadership**	S	Process of Strategic Planning.	strong

14	The organisation' strategy incorporates the needs of customers/service users, makes appropriate provisions for capturing stakeholder contributions, and contains arrangements for measuring progress against objectives	**Strategic Planning and Operational Leadership**	S	Mechanism for capturing stakeholder's contributions.	Strong
15	The organisation' strategic objectives are prioritised for potential impact using standardised principles and criteria (e.g. balanced score card)	**Strategic Planning and Operational Leadership**	S	How strategic objectives are prioritized.	Strong. *The Comm. makes use of the balance score-card.*

16	The organisation regularly prepares and updates plans for innovation and change to deal with new expectations from stakeholders, to enhance quality of service and to reduce costs	**Strategic Planning and Operational Leadership**	S	Plans for innovation and change.	Strong.
17	The organisation is structured to achieve its core mandate	**Strategic Planning and Operational Leadership**	S	Organization structure and mandate	Strong
18	The operational departments prepare annual implementation plans that are clearly aligned with organisation' strategic objectives and integrated across departments.	**Strategic Planning and Operational Leadership**	S	Annual Implementation Plans of operational depts..	Strong

19	The organisation has clear policies to guide operations and activities which supports delivery of strategic objectives and services with written guidelines to standardise procedures and enable staff to carry out routine activities	**Strategic Planning and Operational Leadership**	S	Standard Operating Procedure	Strong. *SOPs have been developed for all Departments*
20	Senior management actively ensures and takes responsibility for implementation of policies, development of systems and operational functions and services that meet the needs of stakeholders	**Strategic Planning and Operational Leadership**	S	Records of Implementation agreed plans	Strong.
21	Senior Management meets regularly with staff to set direction, motivate and reinforce set standards for operational functions and service delivery	**Strategic Planning and Operational Leadership**	S	Minutes of General Meeting of	Strong

22	There is institutional mechanism for staff to regularly contribute ideas, experiences, and to provide leadership in areas of their responsibilities	**Strategic Planning and Operational Leadership**	S	Minutes of General Meeting of	Strong *In place are suggestion boxes and dedicated phone lines.*
23	The Organisation has adopted robust financial and accounting policies that comply with Financial Regulations and are regularly reviewed to ensure efficient and reliable financial reporting	**Financial Mgt.**	S	Financial Reports:	Strong *periodic review by the agency, and has develop its own financial manual*

24	The Organisation has financial management system and procedures that comply with relevant government accounting policies and standards.	**Financial Mgt.**	S	Financial Manual	Strong
25	Senior management prepares a comprehensive annual budget that adequately reflects strategic plan and provides an indication of sources of funding	**Financial Mgt.**	S	Budget/Strategic Plan	Strong *Strategic priorities adequately captured in the agency's budget.*
26	Annual budgets are reviewed by the governing board	**Financial Mgt.**	S	Minutes of Governing Board Meetings	Strong.
27	Annual budgets are approved by the supervising ministry and National Assembly	**Financial Mgt.**	S	Evidence of budget submission to parent Ministry.	Strong.

28	The organisation' budgeting process applies activity-based costing that incorporates direct and indirect costs and takes into consideration current operating model	**Financial Mgt.**	S	Budget development template	Strong.
29	Performance data such as information on output and outcome goals are included in budget documents	**Financial Mgt.**	NA	Budget development template	Developing Area
30	In the past three years, the resources have been allocated based on prioritised objectives with set milestones and indicators for tracking	**Financial Mgt.**	S	Prioritization of last 3-years budget	Strong
31	In the past three years the organisation' budgets are realistic and are implemented in a	**Financial Mgt.**	WP	3-years budget and actual (variance) Budget	Well Placed

	predictable manner (maximum of 5% variance)			Performance Reports	
32	Activities and projects to be implemented over a period of more than one year are appropriately phased, and budgets phased accordingly	**Financial Mgt.**	S	Multi-year plans (or any plan that span more than 1-year).	Strong *strategic mgt. plan exist*
33	The organisation has and implements a strategy for mobilising resources from development partners to support achievement of strategic objectives	**Financial Mgt.**	S	Strategic Plan for mobilizing resources	Strong.
34	The organisation has articulated a system of delegated authority for budget implementation that is available to all stakeholders	**Financial Mgt.**	S	NCC approval threshold	Strong.
35	The organisation has established a system for carrying out periodic review and reporting on budget	**Financial Mgt.**	S	Budget performance report	Strong.

	performance with responsibility for review and reporting assigned to named officers				*There is evidence of Budget performance Report.*
36	The organisation is linked to the Government Integrated Financial Management Information System (GIFMIS)	**Financial Mgt.**	DA	Evidence of NCC link to GIFMIS	DA *The agency is yet to be link to GIFMIS platform.*
37	There is an established system of payment for authorised purposes with evidence that goods were supplied or services rendered	**Financial Mgt.**	S	Evidence of store established procedure for goods supplied up to payment stage.	Strong.
38	The organisation has joined the Federal Government Treasury Single Account and where the Act establishing the Parastatal allows for operation of independent bank	**Financial Mgt.**	S	Evidence of payment into TSA	Strong.

	accounts, the organisation obtained the Accountant General approval for all its bank accounts in line with the provision of the Financial Regulations.				
39	The organisation implements E-Payment system for all its transactions (supplies, salaries and entitlements of employees, contracts, etc.)	**Financial Mgt.**	S	Financial Mgt. system	Strong. *The agency has a strong control system*
40	The organisation accurately remits (E-Remittance) revenue generated to CRF in accordance with extant rules and regulations	**Financial Mgt.**	S	Evidence of E-Remittance Treasury receipt	Strong

41	The organisation has developed and deployed a robust internal audit manual/guide	**Financial Mgt.**	S	Evidence Manual/Guide	Strong.
42	Organisation has an internal audit capacity that monitors and evaluates the implementation and effectiveness of its processes and procedures	**Financial Mgt.**	S	Standard Operating Procedure for audit Internal Audit Policy	Strong.
43	The internal audit manual is rigorously applied by managers to monitor and evaluate financial transactions and operational processes and procedures, and to propose improvements to the organisation	**Financial Mgt.**	S	Response to Internal Audit query	Strong

44	Internal control systems provide for an assessment of risks from both internal and external sources	**Financial Mgt.**	S	Existing system for internal & external control	Strong.
45	Internal control staff have the required expertise and experience in financial, process and performance review, monitoring and evaluation	**Financial Mgt.**	S	TNA/ Training Report	Strong
46	Critical decisions relating to the use, commitment, exchange or transfer of resources involving members of governing board and senior management, are documented and records of transactions maintained to ensure traceability from inception through to completion	**Financial Mgt.**	S	Documentary records of transactions with Boards & Snr. Mgt. e.g. asset mgt.	Strong. *Ledger of transaction between the Board and Snr. Mgt. in existence.*

47	Financial reporting is given an appropriate profile at the meetings of the senior management and governing board to reflect on progress towards strategic goals and adjusting strategy as required	**Financial Mgt.**	WP	Agenda of meetings	Developing Area *Finance is not an item on the Agenda of Mgt. meetings.*
48	Senior management understand and carry out their respective roles in the financial reporting structure of the organisation (board, supervising ministry, National Assembly and public) within the timeline stipulated	**Financial Mgt.**	S	Letter of Transmittal of annual report to AGF.	Strong

	in extant rules regulations and circulars				
49	The organisation's financial liabilities are recorded and monitored as part of the management process and to facilitate comprehensive and transparent financial reporting	**Financial Mgt.**	S	Liability recording mechanism	Strong. *The agency meets its commitments as and when due.*
50	The organisation maintains an accurate up to date inventory of assets and a functional mechanism for annual planning and budgeting for asset maintenance and replacement	**Financial Mgt.**	S	Inventory of Assets.	DA. *Although the agency rated itself as strong in this area, but BPSR rated this as a*

					Developing Area because this task was last undertaken in 2012.
51	Senior management identifies and measures areas of financial risk and prepares contingency plans to mitigate risk associated with changes in organisational income and funding streams.	**Financial Mgt.**	DA	Contingency Plans to mitigate risk	DA. *The agency is in the process of developing an Enterprise Risk Management Policy for the organization.*
52	The organisation has appropriate insurance to protect the organisation, its assets, people and services	**Financial Mgt.**	S	Insurance Policy	Strong. *The agency has put in place up-to-date Assets and Group Life Insurance Policy to*

					cover staff, vehicles, etc.
53	The organisation obtains approval from the Debt Management Office prior to obtaining loans and advances in line with the FR	**Financial Mgt.**	S	DMO approval where applicable.	Strong.
54	The Chief Executive submits a statement of account on a monthly basis to the supervising ministry showing receipts of funds from government for personnel overhead, capital and actual expenditure in Accordance with the FR	**Financial Mgt.**	S	Transmittal letter to supervisory Ministry	NA
55	The organisation appoints external auditors with the approval of the Auditor General for the Federation for purpose of auditing its financial statements in line with the FR	**Financial Mgt.**	S	Audit Report (External Audit Report)	Strong

56	The Statement of Accounts for each financial year is submitted to the External Auditor within 2 months after the end of the financial year in accordance with FR.	**Financial Mgt.**	S	Evidence of submission to external auditor.	Strong.
57	The organisation submits annual audited financial statements by **30th**	**Financial Mgt.**	S	Transmittal letter for 3-years	Strong.

	June of the previous year to the Auditor General for the Federation and Accountant General of the Federation in line with the FR				*The agency financial statement is audited.*
58	The supervisory ministry neither interferes in the finances of the organisation by virement of its subvention, nor makes requests for guesthouses, fleet of cars and naira cover for estacode allowances for their staff	**Financial Mgt.**	DA	Funding of foreign trips of parent Ministry staff	DA. *Noted that the supervising Ministry operates within the provisions of the administrative guidelines regulating the relationship between it and the Commission*
59	The organisation constitutes a Parastatal Tenders Board, procurement planning committee	**Procurement Process**	S	Minutes of Meetings	Strong.

	and evaluation committees in line with 2007 PPA				
60	The organisation has a clear system of accountability with clearly defined responsibilities and delegation of authority on who has control of procurement decisions	**Procurement Process**	S	Procurement Manual	Strong
61	Open competitive method is the organisation' default method for procurement of goods, works and services	**Procurement Process**	S	Procurement Adverts/Technical Evaluation Report.	Strong
62	In accordance with the Public Procurement Act {PPA}, the organisation opens bids in public in	**Procurement Process**	S	Reports of Bid Opening	Strong

	the presence of bidders/representatives, immediately following the deadline for bid submission				
63	The advertisements and Expression of Interest (EOI) published by the organisation are sufficient to enable a potential participant to determine its interest in competing; and sufficient time is allowed for bid or proposal preparation, appropriate to the complexity of the bid	**Procurement Process**	S	Copies of Adverts/EOIs	Strong

64	Bidders are able to submit bids into a tamper-proof bid box {for instance, a three key box} in an accessible location	**Procurement Process**	S	Evidence of Bid-Box and location	Strong
65	The organisation constitutes a procurement planning committee charged with the responsibility of preparing the Annual Procurement Plan that is integrated with the annual budget and annual plan	**Procurement Process**	S	Membership and Minutes of Meetings	Strong

66	A Procurement Evaluation Committee is in place and chaired by the Head of Procurement and Secretary to the Tender Board	**Procurement Process**	WP	Membership and Minutes of Meetings.	Well Placed
67	The evaluation process involves a quick review of all received bids to remove any unqualified bidders, resulting in a short list of bids which are then reviewed in more detail to ensure full compliance	**Procurement Process**	S	Sample of Bids Evaluation Report	Strong
68	Integrity checks and due diligence are carried out on preferred bidders firms immediately prior to awarding of contracts.	**Procurement Process**	DA	Reports of Integrity Checks	Well Placed

69	The organisation publishes its Annual Procurement Plan and General procurement notice in its website, procurement journal and two national newspapers, and (for international tenders) in at least one international journal.	**Procurement Process**	WP	Website/copies of journal	DA *The agency does not publish its annual procurement plan on its website and in the Federal Tender Journal.*
70	There is a system for record keeping, management and retrieval of procurement data where procurement records are protected from loss and unauthorized access	**Procurement Process**	WP	Historical records of procurement.	Strong. *The agency has a central store at MBORA where all its procurement records are kept electronically archived.*
71	The Organisation prepares and submits annual report of its procurement activities to the Bureau	**Procurement Process**	WP	Evidence of submission.	Well Placed

	of Public Procurement. The organisation has developed a system to ensure that copies of all procurement records are transmitted to the Bureau of Public Procurement within three (3) months after the end of the financial year				
72	The system ensures that the procurement records are maintained for a period of ten years from the date of the award in accordance with the 2007 PPA.	**Procurement Process**	S	Historical records of procurement.	Strong
73	Management ensures that procurement and management staff undertake training for continuous skill development in procurement.	**Procurement Process**	S	Training records on procurement.	Strong

74	The procurement staff have contract management expertise and a record of accomplishment of quality and timely delivery on procurement plan	**Procurement Process**	WP	Training records and staff qualifications.	Strong
75	The procurement staff have signed an affidavit regarding their commitment not to engage in practices involving a conflict of interests and a system of ensuring adherence to the provisions of the 2007 PPA is in place	**Procurement Process**	NA	Records of Affidavit/signed Oaths.	DA *It is noted that only the Head of Procurement Department had signed the affidavit.*
76	The organisation awards contracts only to bidders that possess: the necessary professional and technical qualifications to carry out particular	**Procurement Process**	S	Bids of evaluation Reports.	Strong

	procurements; financial capability; equipment and other relevant infrastructure; adequate personnel to perform the obligations of the procurement contracts and possess the legal capacity to enter into the procurement contract				
77	The Senior management identifies, designs, manages and reviews operational processes to ensure continual relevance for the delivery of strategic objectives to beneficiaries and other stakeholders	Operational and Service Delivery Processes.	WP	Reviews and Retreat Report.	Strong.
78	All senior managers understand their role and responsibilities for service delivery and are committed	Operational and Service Delivery Processes.	WP	Evidence of Service Charter.	Strong.

	to assigned targets as stated in the MDA' service charter.				
79	The organisation is structured to achieve its core mandate and carry out its functions effectively	Operational and Service Delivery Processes.	S	Organizational Structure & Mandate.	Strong. *The agency's mandate aligns with its Structure.*
80	The organisation appropriately utilises modern and up-to-date technology and infrastructure to ensure efficiency and improved productivity	Operational and Service Delivery Processes.	S	ICT Policy & deployment.	Strong.
81	Services and functional responsibilities are delivered in a	Operational and Service Delivery Processes.	S	Value-for- Money Audit Report	Strong.

	cost effective way, including making best use of people and financial resources.				*The agency audit inspection.*
82	Organisation displays essential anti-corruption standards at service delivery points (e.g. reject corrupt offers; don't give bribe and don't receive bribe, etc.)	Operational and Service Delivery Processes.	WP	Anti-corruption codes/standards (developed by ACTU)	WP. *The agency has not put in place a code of ethics handbook, and the industry is also without a code of corporate governance.*
83	The organisation has a unit (e.g. ACTU, SERVICOM or special unit under the CEO) to address front service delivery and corruption issues.	Operational and Service Delivery Processes.	S	Organogram (i.e. actually functioning)	Strong.
84	The organisation has key staff with requisite qualification, experience, dedicated budget and authority in the unit to address complaints	Operational and Service Delivery Processes.	S	Grievance mechanism.	Strong.

	received and recommend redress/sanctions.				*The Commission has put in place grievance mechanism including mechanism for consumer code of practice, consumer portal for consumer complaint, etc.*
85	The organisation has a system (e.g. dedicated telephone line(s), email addresses, suggestion boxes at appropriate locations and web address) that affords citizens the opportunity to report and track their complaints for purposes of ascertaining if they have been addressed.	Operational and Service Delivery Processes.	S	Grievance mechanism.	Strong.

86	The organisation follows up complaints and ensures that they are addressed to logical conclusion (e.g. taking disciplinary action and if necessary forward to relevant anti-corruption agency for further actions)	Operational and Service Delivery Processes.	S	Samples of response to complaints.	Strong
87	There is an effective system and relevant mechanisms for capturing feedback from stakeholders and the information is used to create innovative ways of working	Operational and Service Delivery Processes.	S	Feedback mechanism.	Strong *The mechanism put in place include public consultative forum to receive feedback from stakeholders.*
88	The organisation has a functional and effective mechanism to ensure	Operational and Service Delivery Processes.	S	Intra-net and means of internal	Strong.

	all staff have access to information and knowledge relevant to their tasks and operational objectives			communication of sharing knowledge. (e.g. newsletter, library, portal)	
89	Operational processes are coordinated within the organisation and efforts are made to collaborate with other government organisations to share knowledge and integrate processes towards a common or shared service outcome	Operational and Service Delivery Processes.	S	Joint project report with other govt. organization/Peer Review Mechanism. (e.g. galaxy Backbone)	Strong.
90	Senior management makes strategic decisions and controls its operational functions and services in line with Government policy frameworks (Freedom of	Operational and Service Delivery Processes.	S	FOI request and responses.	Strong.

	Information, SERVICOM, etc.) for ensuring accountability to service users, stakeholders and the wider community				
91	The organisation has established and continually apply an integrated policy for managing physical assets, including buildings, vehicles, office equipment and furniture	Operational and Service Delivery Processes.	S	Assets Mgt. Policy	Strong. *Developed an Administration policy that covers physical assets including buildings exist. The agency is in the process of developing an e-*

					admin integrated policy for managing physical assets.
92	The organisation has mechanisms to facilitate regular evaluation of the state of their infrastructure to ensure efficient, cost effective and sustainable maintenance of buildings, vehicles and office furniture and equipment, and findings are shared at regular management meetings.	Operational and Service Delivery Processes.	DA	Assets Policy & Mgt. Meeting	WP. *The agency carries out regular evaluation of the state infrastructure. It has developed back-up site for its services in case of any risk. Evaluates state of infrastructure every 2 years, and if the need arises.*
93	The organisation has established and implements a human resource management policy with objective criteria for recruitment, career	**HR Mgt. and Planning**	S	HRM Policy	Strong.

	development, promotion, remuneration, rewards and assignment of managerial functions				*The agency has developed an internal HR policy on APD, Succession Planning, etc.*
94	There is a plan for human resource development that addresses present and future needs of the organisation to ensure continued efficiency and effectiveness of operations and services	**HR Mgt. and Planning**	S	HRM Plan	Strong.
95	The human resource utilisation and development plan is focused on and	**HR Mgt. and Planning**	S	HRM Plan/Strategy	Strong

	consistently applied to achieving operational and service delivery outcomes and implemented in the most transparent and cost effective manner				
96	Investment in training and capacity development aligns with priorities identified in strategic and operational plans with established policies and practices that nurture staff talent, development, well-being and productive contribution	**HR Mgt. and Planning**	S	Training Policy/Plans/ TNA/Training Report.	Strong.

97	Management approaches and practices support a performance culture with established criteria for reward and recognition based on individual and team performance	**HR Mgt. and Planning**	WP	PMS	Strong. *The agency has an open recognition/ award system for staff.*
98	The organisation has a comprehensive plan for performance management	**HR Mgt. and Planning**	S	PMS (Plan)	Strong.
99	Job descriptions incorporating competency profiles have been established for all staff positions in the organisations and these are implemented through individual work plans discussed and agreed with supervisory officers	**HR Mgt. and Planning**	WP	Job Description/ Staff Hand book/	WP *Job Description with competency profile developed for every member of staff.*
100	There is a culture of open communication and dialogue that encourages team work where employees and their representatives	**HR Mgt. and Planning**	S	Minutes of Meeting (e.g. from Retreat etc.)	Strong.

	are involved in the development of organisational plans and strategies				
101	Professional learning interactions are encouraged and self-directed continuous professional development supported	**HR Mgt. and Planning**	S	Training Report/ Learning facilities/In-service training reports.	Strong.
102	There are standards set for health and safety of staff; and the organisation ensures good and conducive working conditions	**HR Mgt. and Planning**	S	Health & Safety policy	Strong. *Development of a health and safety policy in process*
103	The organisation has policies and strategies for establishing and managing collaborative relationships with other respected and strategically relevant organisations	Partnership and Resource Mobilization	S	Partnership strategy agreement (if any)	Strong.
104	The organisation develops and manages appropriate partnership	Partnership and Resource Mobilization	WP	Partnership strategy agreement (if any).	Strong.

	agreements through stimulating and organising task specific partnerships; and implements joint projects with public sector organisations that belong to the same policy/service sector.				*The agency enters into partnership agreement with other sector organizations when the need arises.*
105	In collaborative relationships, the organisation clearly defines commitments, roles, responsibilities and resources that will be invested to contribute to success	Partnership and Resource Mobilization	S	Partnership strategy agreement (if any)	Strong. *MoUs of collaborative relationships are signed.*

106	Formal collaborations have written and signed agreements to guide all parties involved	Partnership and Resource Mobilization	S	Partnership strategy agreement (if any).	Strong. *MoUs of formal collaboration are written and signed to guide all parties involved.*
107	Differences and disputes that may arise within collaborative partnerships are anticipated and a framework for resolution established in advance.	Partnership and Resource Mobilization	S	Partnership strategy agreement (if any)	Strong.
108	Senior management identifies need for long-term public private partnerships and develops them where appropriate.	Partnership and Resource Mobilization	S	Strategic Plan	Strong.

109	The organisation's strategic plans incorporate generation of additional financial resources and have established mechanisms to ensure transparent management and reporting on performance of such resources'	Partnership and Resource Mobilization	S	Strategic Plan	Strong.
110	The organisation carries out routine monitoring of policies, systems, procedures, operations and services to guide continual improvement and continued relevance to beneficiaries and other stakeholders	**Key PMS and Results**	S	Policy Evaluation Report.	Strong.
111	The organisation periodically measures public perception of its performance and impact to provide	**Key PMS and Results**	S	Public Perception Report.	Strong.

	an indication of the effectiveness of its strategies				
112	The organisation periodically undertakes an evaluation of its activities and programmes to determine performance against set goals and objectives, impact of activities on external stakeholders and society	**Key PMS and Results**	S	Evaluation Report. (impact assessment report)	Strong.
113	Results from organisational performance assessments are used to guide operational and service improvements in an effective way	**Key PMS and Results**	S	Service Improvement Plans.	Strong.

114	The organisation periodically carries out assessment of the efficiency and effectiveness of its internal processes; effective use of resources and capacity to involve stakeholders in definition of service quality standards	**Key PMS and Results**	S	Mgt. Reviews Report.	Strong.
115	The organisation has a structure {e.g. committee, team, change drivers, etc.} for managing change along the desired strategic objectives.	**Change Mgt.**	S	Change Mgt. team & Report. Letters of invitation	Strong.
116	The organisation change drivers are of right composition, with significant level of authority, credibility and leadership qualities and a shared objective to deliver the desired change	**Change Mgt.**	S	Change Mgt. team & Report.	Strong.

117	The organisation change management processes are able to communicate effectively to all staff and other stakeholders as well as manage resistance to change.	**Change Mgt.**	S	Internal Communication Strategy & Records.	Strong.

Final Result

Analysis and Advice

a) **SAT Final Score /468**
b) **BPSR Validated Score 438/ 94%**