



Template: Indicator Matrix

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Table of Contents

[Pillar I. Legal, Regulatory, and Policy Framework 3](#_Toc113549798)

[Indicator 1. The public procurement legal framework achieves the agreed principles and complies with applicable obligations 3](#_Toc113549799)

[Indicator 2. Implementing regulations and tools support the legal framework 16](#_Toc113549800)

[Indicator 3.The legal and policy frameworks support the sustainable development of the country and the implementation of international obligations 19](#_Toc113549801)

[Pillar II. Institutional Framework and Management Capacity 22](#_Toc113549802)

[Indicator 4. The public procurement system is mainstreamed and well integrated into the public financial management system 22](#_Toc113549803)

[Indicator 5. The country has an institution in charge of the normative/regulatory function 23](#_Toc113549804)

[Indicator 6. Procuring entities and their mandates are clearly defined 28](#_Toc113549805)

[Indicator 7. Public procurement is embedded in an effective information system 30](#_Toc113549806)

[Indicator 8. The public procurement system has a strong capacity to develop and improve 35](#_Toc113549807)

[Pillar III. Public Procurement Operations and Market Practices 39](#_Toc113549808)

[Indicator 9. Public procurement practices achieve stated objectives 39](#_Toc113549809)

[Indicator 10. The public procurement market is fully functional 45](#_Toc113549810)

[Pillar IV. Accountability, Integrity and Transparency of the Public Procurement System 48](#_Toc113549811)

[Indicator 11. Transparency and civil society engagement strengthen integrity in public procurement 48](#_Toc113549812)

[Indicator 12. The country has effective control audit systems 50](#_Toc113549813)

[Indicator 13. Procurement appeals mechanisms are effective and efficient 54](#_Toc113549814)

[Indicator 14. The country has ethics and anticorruption measures in place 59](#_Toc113549815)

# Pillar I. Legal, Regulatory, and Policy Framework

## Indicator 1. The public procurement legal framework achieves the agreed principles and complies with applicable obligations

|  |
| --- |
| **Sub-indicator 1(a) Scope of application and coverage of the legal and regulatory framework** |
| The legal and regulatory body of norms complies with the following conditions: |
| **Assessment criterion 1(a)(a):**Is adequately recorded and organized hierarchically (laws, decrees, regulations, procedures), and precedence is clearly established. |
| **Conclusion**:  | Choose an item. |
| **Red flag**:  | Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(b):**It covers goods, works and services, including consulting services for all procurement using public funds. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(c):**PPPs, including concessions, are regulated. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(d):**Current laws, regulations and policies are published and easily accessible to the public at no cost. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| Sub-indicator 1(b) Procurement methods The legal framework meets the following conditions: |
| Assessment criterion 1(b)(a):Procurement methods are established unambiguously at an appropriate hierarchical level, along with the associated conditions under which each method may be used. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(b)(b):The procurement methods prescribed include competitive and less competitive procurement procedures and provide an appropriate range of options that ensure value for money, fairness, transparency, proportionality and integrity. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(b)(c):Fractioning of contracts to limit competition is prohibited. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(b)(d):Appropriate standards for competitive procedures are specified. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(c) Advertising rules and time limits The legal framework meets the following conditions: |
| Assessment criterion 1(c)(a):The legal framework requires that procurement opportunities are publicly advertised, unless the restriction of procurement opportunities is explicitly justified (refer to indicator 1(b)). |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(c)(b):Publication of opportunities provides sufficient time, consistent with the method, nature and complexity of procurement, for potential bidders to obtain documents and respond to the advertisement. The minimum time frames for submission of bids/proposals are defined for each procurement method, and these time frames are extended when international competition is solicited. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(c)(c):Publication of open tenders is mandated in at least a newspaper of wide national circulation or on a unique Internet official site where all public procurement opportunities are posted. This should be easily accessible at no cost and should not involve other barriers (e.g. technological barriers). |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(c)(d):The content published includes enough information to allow potential bidders to determine whether they are able to submit a bid and are interested in submitting one. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(d) Rules on participationThe legal framework meets the following conditions: |
| Assessment criterion 1(d)(a):It establishes that participation of interested parties is fair and based on qualification and in accordance with rules on eligibility and exclusions |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(d)(b):It ensures that there are no barriers to participation in the public procurement market. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(d)(c):It details the eligibility requirements and provides for exclusions for criminal or corrupt activities, and for administrative debarment under the law, subject to due process or prohibition of commercial relations. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(d)(d):It establishes rules for the participation of state-owned enterprises that promote fair competition. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(d)(e):It details the procedures that can be used to determine a bidder’s eligibility and ability to perform a specific contract. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(e) Procurement documentation and specifications The legal framework meets the following conditions: |
| Assessment criterion 1(e)(a):It establishes the minimum content of the procurement documents and requires that content is relevant and sufficient for suppliers to respond to the requirement. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(e)(b):It requires the use of neutral specifications, citing international norms when possible, and provides for the use of functional specifications where appropriate. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(e)(c):It requires recognition of standards that are equivalent, when neutral specifications are not available. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(e)(d):Potential bidders are allowed to request a clarification of the procurement document, and the procuring entity is required to respond in a timely fashion and communicate the clarification to all potential bidders (in writing). |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(f) Evaluation and award criteriaThe legal framework mandates that: |
| Assessment criterion 1(f)(a):The legal framework mandates that the evaluation criteria are objective, relevant to the subject matter of the contract, and precisely specified in advance in the procurement documents, so that the award decision is made solely on the basis of the criteria stipulated in the documents. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(f)(b):The legal framework allows the use of price and non-price attributes and/or the consideration of life cycle cost as appropriate to ensure objective and value-for-money decisions. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(f)(c):The legal framework mandates that quality is a major consideration in evaluating proposals for consulting services, and clear procedures and methodologies for assessment of technical capacity are defined. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(f)(d):The legal framework mandates that the way evaluation criteria are combined and their relative weight determined should be clearly defined in the procurement documents. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(f)(e):The legal framework mandates that during the period of the evaluation, information on the examination, clarification and evaluation of bids/proposals is not disclosed to participants or to others not officially involved in the evaluation process. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(g) Submission, receipt, and opening of tenders The legal framework provides for the following provisions: |
| Assessment criterion 1(g)(a):Opening of tenders in a defined and regulated proceeding, immediately following the closing date for bid submission. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(g)(b):Records of proceedings for bid openings are retained and available for review. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(g)(c):Security and confidentiality of bids is maintained prior to bid opening and until after the award of contracts. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(g)(d):The disclosure of specific sensitive information is prohibited, as regulated in the legal framework. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(g)(e):The modality of submitting tenders and receipt by the government is well defined, to avoid unnecessary rejection of tenders. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(h) Right to challenge and appeal The legal framework provides for the following: |
| Assessment criterion 1(h)(a):Participants in procurement proceedings have the right to challenge decisions or actions taken by the procuring entity. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(h)(b):Provisions make it possible to respond to a challenge with administrative review by another body, independent of the procuring entity that has the authority to suspend the award decision and grant remedies, and also establish the right for judicial review. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(h)(c):Rules establish the matters that are subject to review. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(h)(d):Rules establish time frames for the submission of challenges and appeals and for issuance of decisions by the institution in charge of the review and the independent appeals body. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(h)(e):Applications for appeal and decisions are published in easily accessible places and within specified time frames, in line with legislation protecting sensitive information. |
| Conclusion: Choose an item.  |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(h)(f):Decisions by the independent appeals body can be subject to higher-level review (judicial review). |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(i) Contract management The legal framework provides for the following: |
| Assessment criterion 1(i)(a):Functions for undertaking contract management are defined and responsibilities are clearly assigned. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(i)(b):Conditions for contract amendments are defined, ensure economy and do not arbitrarily limit competition. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(i)(c):There are efficient and fair processes to resolve disputes promptly during the performance of the contract. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(i)(d):The final outcome of a dispute resolution process is enforceable. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(j) Electronic Procurement (e-Procurement)The legal framework provides for the following: |
| Assessment criterion 1(j)(a):The legal framework allows or mandates e-Procurement solutions covering the public procurement cycle, whether entirely or partially. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(j)(b):The legal framework ensures the use of tools and standards that provide unrestricted and full access to the system, taking into consideration privacy, security of data and authentication. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(j)(c):The legal framework requires that interested parties be informed which parts of the processes will be managed electronically. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(k) Norms for safekeeping of records, documents and electronic data The legal framework provides for the following: |
| Assessment criterion 1(k)(a):A comprehensive list is established of the procurement records and documents related to transactions including contract management. This should be kept at the operational level. It should outline what is available for public inspection including conditions for access. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(k)(b):There is a document retention policy that is both compatible with the statute of limitations in the country for investigating and prosecuting cases of fraud and corruption and compatible with the audit cycles. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(k)(c):There are established security protocols to protect records (physical and/or electronic). |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 1(l) Public procurement principles in specialized legislationThe legal and regulatory body of norms complies with the following conditions : |
| Assessment criterion 1(l)(a):Public procurement principles and/or the legal framework apply in any specialised legislation that governs procurement by entities operating in specific sectors, as appropriate. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(l)(b):Public procurement principles and/or laws apply to the selection and contracting of public private partnerships (PPP), including concessions as appropriate. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(l)(c):Responsibilities for developing policies and supporting the implementation of PPPs, including concessions, are clearly assigned. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |

## Indicator 2. Implementing regulations and tools support the legal framework

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| --- |
| **Sub-indicator 2(a)** **Implementing regulations to define processes and procedures** |
| **Assessment criterion 2(a)(a):**There are regulations that supplement and detail the provisions of the procurement law, and do not contradict the law. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 2(a)(b):**The regulations are clear, comprehensive and consolidated as a set of regulations readily available in a single accessible place. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 2(a)(c):**Responsibility for maintenance of the regulations is clearly established, and the regulations are updated regularly |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| Sub-indicator 2(b) Model procurement documents for goods, works and services |
| Assessment criterion 2(b)(a):There are model procurement documents provided for use for a wide range of goods, works and services, including consulting services procured by public entities. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(b)(b):At a minimum, there is a standard and mandatory set of clauses or templates that reflect the legal framework. These clauses can be used in documents prepared for competitive tendering/bidding. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(b)(c):The documents are kept up to date, with responsibility for preparation and updating clearly assigned. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 2(c) Standard contract conditions used |
| Assessment criterion 2(c)(a):There are standard contract conditions for the most common types of contracts, and their use is mandatory. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(c)(b):The content of the standard contract conditions is generally consistent with internationally accepted practice. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(c)(c):Standard contract conditions are an integral part of the procurement documents and made available to participants in procurement proceedings. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Sub-indicator 2(d) User’s guide or manual for procuring entities |
| Assessment criterion 2(d)(a):There is (a) comprehensive procurement manual(s) detailing all procedures for the correct implementation of procurement regulations and laws. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(d)(b):Responsibility for maintenance of the manual is clearly established, and the manual is updated regularly. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |

## Indicator 3.The legal and policy frameworks support the sustainable development of the country and the implementation of international obligations

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| --- |
| **Sub-indicator 3(a)****Sustainable Public Procurement (SPP)** |
| **Assessment criterion 3(a)(a):**The country has a policy/strategy in place to implement SPP in support of broader national policy objectives |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(b):**The SPP implementation plan is based on an in-depth assessment; systems and tools are in place to operationalise, facilitate and monitor the application of SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(c):**The legal and regulatory frameworks allow for sustainability (i.e. economic, environmental and social criteria) to be incorporated at all stages of the procurement cycle. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(d):**The legal provisions require a well-balanced application of sustainability criteria to ensure value for money. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| Sub-indicator 3(b)Obligations deriving from international agreementsPublic procurement-related obligations deriving from binding international agreements are: |
| Assessment criterion 3(b)(a):Clearly established |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 3(b)(b):Consistently adopted in laws and regulations and reflected in procurement policies. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |

# Pillar II. Institutional Framework and Management Capacity

## Indicator 4. The public procurement system is mainstreamed and well integrated into the public financial management system

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| **Sub-indicator 4(a)** **Procurement planning and the budget cycle** The legal and regulatory framework, financial procedures and systems provide for the following: |
| **Assessment criterion 4(a)(a):**Annual or multi-annual procurement plans are prepared, to facilitate the budget planning and formulation process and to contribute to multi-year planning. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(a)(b):**Budget funds are committed or appropriated in a timely manner and cover the full amount of the contract (or at least the amount necessary to cover the portion of the contract performed within the budget period). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(a)(c):**A feedback mechanism reporting on budget execution is in place, in particular regarding the completion of major contracts. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 4(b)** **Financial procedures and the procurement cycle** The legal and regulatory framework, financial procedures and systems should ensure that: |
| **Assessment criterion 4(b)(a):**No solicitation of tenders/proposals takes place without certification of the availability of funds. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(b)(b):**The national regulations/procedures for processing of invoices and authorisation of payments are followed, publicly available and clear to potential bidders.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicator to substantiate assessment of sub-indicator 4(b) Assessment criterion (b):**- invoices for procurement of goods, works and services paid on time (in % of total number of invoices).**Source: PFM systems.* |
| **Gap analysis** |
| **Recommendations** |

## Indicator 5. The country has an institution in charge of the normative/regulatory function

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| **Sub-indicator 5(a)** **Status and legal basis of the normative/regulatory institution function**The legal and regulatory framework, financial procedures and systems provide for the following: |
| **Assessment criterion 5(a)(a):**The legal and regulatory framework specifies the normative/regulatory function and assigns appropriate authorities formal powers to enable the institution to function effectively, or the normative/regulatory functions are clearly assigned to various units within the government. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 5(b)** **Responsibilities of the normative/regulatory function**The following functions are clearly assigned to one or several agencies without creating gaps or overlaps in responsibility: |
| **Assessment criterion 5(b)(a):**providing advice to procuring entities |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(b):**drafting procurement policies |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(c):**proposing changes/drafting amendments to the legal and regulatory framework |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(d):**monitoring public procurement |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(e):**providing procurement information |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(f):**managing statistical databases |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(g):**preparing reports on procurement to other parts of government |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(h):**developing and supporting implementation of initiatives for improvements of the public procurement system |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(i):**providing tools and documents, including integrity training programmes, to support training and capacity development of the staff responsible for implementing procurement |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(j):**supporting the professionalisation of the procurement function (e.g. development of role descriptions, competency profiles and accreditation and certification schemes for the profession) |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(k):**designing and managing centralised online platforms and other e-Procurement systems, as appropriate |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 5(c)** **Organisation, funding, staffing, and level of independence and authority**  |
| **Assessment criterion 5(c)(a):**The normative/regulatory function (or the institutions entrusted with responsibilities for the regulatory function if there is not a single institution) and the head of the institution have a high-level and authoritative standing in government. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(c)(b):**Financing is secured by the legal/regulatory framework, to ensure the function’s independence and proper staffing. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(c)(c):**The institution’s internal organisation, authority and staffing are sufficient and consistent with its responsibilities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 5(d)** **Avoiding conflict of interest**  |
| **Assessment criterion 5(d)(a):**The normative/regulatory institution has a system in place to avoid conflicts of interest.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 5(d) Assessment criterion (a):**- Perception that the normative/regulatory institution is free from conflicts of interest (in % of responses).* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |

## Indicator 6. Procuring entities and their mandates are clearly defined

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| **Sub-indicator 6(a)** **Definition, responsibilities and formal powers of procuring entities** The legal framework provides for the following: |
| **Assessment criterion 6(a)(a):**Procuring entities are clearly defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(a)(b):**Responsibilities and competencies of procuring entities are clearly defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(a)(c):**establish a designated, specialised procurement function with the necessary management structure, capacity and capability.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicator to substantiate assessment of sub-indicator 6(a) Assessment criterion (c):**- procuring entities with a designated, specialised procurement function (in % of total number of procuring entities).* *Source: Normative/regulatory function.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(a)(d):**Decision-making authority is delegated to the lowest competent levels consistent with the risks associated and the monetary sums involved. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(a)(e):**Accountability for decisions is precisely defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 6(b)** **Centralized procurement body**  |
| **Assessment criterion 6(b)(a):**The country has considered the benefits of establishing a centralised procurement function in charge of consolidated procurement, framework agreements or specialised procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(b):**In case a centralised procurement body exists, the legal and regulatory framework provides for the following:• Legal status, funding, responsibilities and decision-making powers are clearly defined.• Accountability for decisions is precisely defined.• The body and the head of the body have a high-level and authoritative standing in government. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(c):**The centralised procurement body’s internal organisation and staffing are sufficient and consistent with its responsibilities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## Indicator 7. Public procurement is embedded in an effective information system

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| --- |
| **Sub-indicator 7(a)** **Publication of public procurement information supported by information technology**The country has a system that meets the following requirements: |
| **Assessment criterion 7(a)(a):**Information on procurement is easily accessible in media of wide circulation and availability. Information is relevant, timely and complete and helpful to interested parties to understand the procurement processes and requirements and to monitor outcomes, results and performance. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(b):**There is an integrated information system (centralised online portal) that provides up-to-date information and is easily accessible to all interested parties at no cost. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(c):**The information system provides for the publication of: \*• procurement plans• information related to specific procurements, at a minimum, advertisements or notices of procurement opportunities, procurement method, contract awards and contract implementation, including amendments, payments and appeals decisions• linkages to rules and regulations and other information relevant for promoting competition and transparency. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // Quantitative indicators to substantiate assessment of sub-indicator 7(a) Assessment criterion (c):**• procurement plans published (in % of total number of required procurement plans)* *• key procurement information published along the procurement cycle (in % of total number of contracts) :**• invitation to bid (in % of total number of contracts)**• contract awards (purpose, supplier, value, variations/amendments)**• details related to contract implementation (milestones, completion and payment)**• annual procurement statistics**• appeals decisions posted within the time frames specified in the law (in %).**Source: Centralised online portal.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(d):**In support of the concept of open contracting, more comprehensive information is published on the online portal in each phase of the procurement process, including the full set of bidding documents, evaluation reports, full contract documents including technical specification and implementation details (in accordance with legal and regulatory framework). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(e):**Information is published in an open and structured machine-readable format, using identifiers and classifications (open data format).\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a) Assessment criterion (e):* *- Share of procurement information and data published in open data formats (in %).* *Source: Centralised online portal.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(f):**Responsibility for the management and operation of the system is clearly defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 7(b)** **Use of e-Procurement** |
| **Assessment criterion 7(b)(a):**E-procurement is widely used or progressively implemented in the country at all levels of government.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (a):* *uptake of e-Procurement* *- number of e-Procurement procedures in % of total number of procedures* *- value of e-Procurement procedures in % of total value of procedures**Source: e-Procurement system.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(b):**Government officials have the capacity to plan, develop and manage e-Procurement systems. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(c):**Procurement staff is adequately skilled to reliably and efficiently use e-Procurement systems. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(d):**Suppliers (including micro, small and medium-sized enterprises) participate in a public procurement market increasingly dominated by digital technology.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (d):* *- bids submitted online (in %)* *- bids submitted online by micro, small and medium-sized enterprises (in %)**Source: e-Procurement system.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(e):**If e-Procurement has not yet been introduced, the government has adopted an e-Procurement roadmap based on an e-Procurement readiness assessment. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 7(c)** **Strategies to manage procurement data** |
| **Assessment criterion 7(c)(a):**A system is in operation for collecting data on the procurement of goods, works and services, including consulting services, supported by e-Procurement or other information technology. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(b):**The system manages data for the entire procurement process and allows for analysis of trends, levels of participation, efficiency and economy of procurement and compliance with requirements. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(c):**The reliability of the information is high (verified by audits). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(d):**Analysis of information is routinely carried out, published and fed back into the system. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicators to substantiate assessment of sub-indicator 7(c) Assessment criterion (d):**• total number and value of contracts* *• public procurement as a share of government expenditure and as share of GDP**• total value of contracts awarded through competitive methods in the most recent fiscal year.* *Source: Normative/regulatory function/E-Procurement system.* |
| **Gap analysis** |
| **Recommendations** |

## Indicator 8. The public procurement system has a strong capacity to develop and improve

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| **Sub-indicator 8(a)** **Training, advice and assistance** There are systems in place that provide for: |
| **Assessment criterion 8(a)(a):**Substantive permanent training programmes of suitable quality and content for the needs of the system. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(a)(b):**Routine evaluation and periodic adjustment of training programmes based on feedback and need. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(a)(c):**Advisory service or help desk function to resolve questions by procuring entities, suppliers and the public. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(a)(d):**A strategy well-integrated with other measures for developing the capacity of key actors involved in public procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 8(b)** **Recognition of procurement as a profession**The country’s public service recognises procurement as a profession: |
| **Assessment criterion 8(b)(a):**Procurement is recognised as a specific function, with procurement positions defined at different professional levels, and job descriptions and the requisite qualifications and competencies specified. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(b):**Appointments and promotion are competitive and based on qualifications and professional certification. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(c):**Staff performance is evaluated on a regular and consistent basis, and staff development and adequate training is provided. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 8(c)** **Monitoring performance to improve the system**  |
| **Assessment criterion 8(c)(a):**The country has established and consistently applies a performance measurement system that focuses on both quantitative and qualitative aspects. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(c)(b):**The information is used to support strategic policy making on procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(c)(c):**Strategic plans, including results frameworks, are in place and used to improve the system. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(c)(d):**Responsibilities are clearly defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

# Pillar III. Public Procurement Operations and Market Practices

## Indicator 9. Public procurement practices achieve stated objectives

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| **Sub-indicator 9(a)** **Planning**  |
| **Assessment criterion 9(a)(a):**Needs analysis and market research guide a proactive identification of optimal procurement strategies. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(a)(b):**The requirements and desired outcomes of contracts are clearly defined. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(a)(c):**Sustainability criteria, if any, are used in a balanced manner and in accordance with national priorities, to ensure value for money. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 9(b)** **Selection and contracting**  |
| **Assessment criterion 9(b)(a):**Multi-stage procedures are used in complex procurements to ensure that only qualified and eligible participants are included in the competitive process. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(b):**Clear and integrated procurement documents, standardised where possible and proportionate to the need, are used to encourage broad participation from potential competitors. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(c):**Procurement methods are chosen, documented and justified in accordance with the purpose and in compliance with the legal framework. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(d):**Procedures for bid submission, receipt and opening are clearly described in the procurement documents and complied with. This means, for instance, allowing bidders or their representatives to attend bid openings, and allowing civil society to monitor bid submission, receipt and opening, as prescribed. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(e):**Throughout the bid evaluation and award process, confidentiality is ensured. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(f):**Appropriate techniques are applied, to determine best value for money based on the criteria stated in the procurement documents and to award the contract. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(g):**Contract awards are announced as prescribed |
| **Conclusion**: Choose an item.  |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(h):**Contract clauses include sustainability considerations, where appropriate |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(i):**Contract clauses provide incentives for exceeding defined performance levels and disincentives for poor performance |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(j):**The selection and award process is carried out effectively, efficiently and in a transparent way\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\*Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (j):* *- average time to procure goods, works and services* *number of days between advertisement/solicitation and contract signature (for each procurement method used)* *- average number (and %) of bids that are responsive (for each procurement method used)* *- share of processes that have been conducted in full compliance with publication requirements (in %)* *- number (and %) of successful processes (successfully awarded; failed; cancelled; awarded within defined time frames)**Source for all: Sample of procurement cases.* |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 9(c)** **Contract management**  |
| **Assessment criterion 9(c)(a):**Contracts are implemented in a timely manner.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment criterion (a): time overruns (in %; and average delay in days).**Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(b):**Inspection, quality control, supervision of work and final acceptance of products is carried out.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment criterion (b): quality-control measures and final acceptance are carried out as stipulated in the contract (in %).**Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(c):**Invoices are examined, time limits for payments comply with good international practices, and payments are processed as stipulated in the contract. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment criterion (c): invoices for procurement of goods, works and services are paid on time (in % of total number of invoices).**Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(d):**Contract amendments are reviewed, issued and published in a timely manner.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment criterion (d): contract amendments (in % of total number of contracts; average increase of contract value in %).**Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(e):**Procurement statistics are available and a system is in place to measure and improve procurement practices. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(f):**Opportunities for direct involvement of relevant external stakeholders in public procurement are utilised.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment criterion (f): percentage of contracts with direct involvement of civil society: planning phase; bid/proposal opening; evaluation and contract award, as permitted; contract implementation)* *Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(c)(g):**The records are complete and accurate, and easily accessible in a single file.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicators to substantiate assessment of sub-indicator 9(c) Assessment criterion (g):* *- share of contracts with complete and accurate records and databases (in %)* *Source: Sample of procurement cases.*  |
| **Gap analysis** |
| **Recommendations** |

## Indicator 10. The public procurement market is fully functional

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| **Sub-indicator 10(a)** **Dialogue and partnerships between public and private sector** |
| **Assessment criterion 10(a)(a):**The government encourages open dialogue with the private sector. Several established and formal mechanisms are available for open dialogue through associations or other means, including a transparent and consultative process when formulating changes to the public procurement system. The dialogue follows the applicable ethics and integrity rules of the government.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 10(a) Assessment criterion (a):* *- perception of openness and effectiveness in engaging with the private sector (in % of responses).**Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 10(a)(b):**The government has programmes to help build capacity among private companies, including for small businesses and training to help new entries into the public procurement marketplace. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 10(b)** **Private sector’s organisation and access to the public procurement market** |
| **Assessment criterion 10(b)(a):**The private sector is competitive, well-organised, willing and able to participate in the competition for public procurement contracts.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 10(b) Assessment criterion (a):**• number of registered suppliers as a share of total number of suppliers in the country (in %)**• share of registered suppliers that are participants and awarded contracts (in % of total number of registered suppliers)**• total number and value of contracts awarded to domestic/foreign firms (and in % of total)**Source: E-Procurement system/Supplier Database.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 10(b)(b):**There are no major systemic constraints inhibiting private sector access to the public procurement market. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 10(b) Assessment criterion (b):* *- perception of firms on the appropriateness of conditions in the public procurement market (in % of responses).* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 10(c)** **Key sectors and sector strategies** |
| **Assessment criterion 10(c)(a):**Key sectors associated with the public procurement market are identified by the government. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 10(c)(b):**Risks associated with certain sectors and opportunities to influence sector markets are assessed by the government, and sector market participants are engaged in support of procurement policy objectives. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

# Pillar IV. Accountability, Integrity and Transparency of the Public Procurement System

## Indicator 11. Transparency and civil society engagement strengthen integrity in public procurement

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| **Sub-indicator 11(a)** **Enabling environment for public consultation and monitoring**  |
| **Assessment criterion 11(a)(a):**A transparent and consultative process is followed when formulating changes to the public procurement system. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 11(a)(b):**Programmes are in place to build the capacity of relevant stakeholders to understand, monitor and improve public procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 11(a)(c):**There is ample evidence that the government takes into account the input, comments and feedback received from civil society. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

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| **Sub-indicator 11(b)** **Adequate and timely access to information by the public** |
| **Assessment criterion 11(b)(a):**Requirements in combination with actual practices ensure that all stakeholders have adequate and timely access to information as a precondition for effective participation.. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 11(c)** **Direct engagement of civil society** |
| **Assessment criterion 11(c)(a):**The legal/regulatory and policy framework allows citizens to participate in the following phases of a procurement process, as appropriate:• the planning phase (consultation)• bid/proposal opening (observation)• evaluation and contract award (observation), when appropriate, according to local law• contract management and completion (monitoring). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 11(c)(b):**There is ample evidence for direct participation of citizens in procurement processes through consultation, observation and monitoring. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## Indicator 12. The country has effective control audit systems

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| **Sub-indicator 12(a)** **Legal framework, organisation and procedures of the control system**The system in the country provides for: |
| **Assessment criterion 12(a)(a):**laws and regulations that establish a comprehensive control framework, including internal controls, internal audits, external audits and oversight by legal bodies |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(b):**internal control/audit mechanisms and functions that ensure appropriate oversight of procurement, including reporting to management on compliance, effectiveness and efficiency of procurement operations |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(c):**internal control mechanisms that ensure a proper balance between timely and efficient decision-making and adequate risk mitigation |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(d):**independent external audits provided by the country’s Supreme Audit Institution (SAI) that ensure appropriate oversight of the procurement function based on periodic risk assessments and controls tailored to risk management |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(e):**review of audit reports provided by the SAI and determination of appropriate actions by the legislature (or other body responsible for public finance governance) |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(f):**clear mechanisms to ensure that there is follow-up on the respective findings. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 12(b)** **Coordination of controls and audits of public procurement**  |
| **Assessment criterion 12(b)(a):**There are written procedures that state requirements for internal controls, ideally in an internal control manual. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(b)(b):**There are written standards and procedures (e.g. a manual) for conducting procurement audits (both on compliance and performance) to facilitate co-ordinated and mutually reinforcing auditing. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(b)(c):**There is evidence that internal or external audits are carried out at least annually and that other established written standards are complied with.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 12(b) Assessment criterion (c):* *- number of specialised procurement audits carried out compared to total number of audits (in %).* *- share of procurement performance audits carried out (in % of total number of procurement audits).**Source: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(b)(d):**Clear and reliable reporting lines to relevant oversight bodies exist. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 12(c)** **Enforcement and follow-up on findings and Recommendations** |
| **Assessment criterion 12(c)(a):**Recommendations are responded to and implemented within the time frames established in the law.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis**  *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 12(c) Assessment criterion (a):* *- Share of internal and external audit Recommendations implemented within the time frames established in the law (in %).**Source: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(c)(b):**There are systems in place to follow up on the implementation/enforcement of the audit Recommendations. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 12(d)** **Qualification and training to conduct procurement audits** |
| **Assessment criterion 12(d)(a):**There is an established programme to train internal and external auditors to ensure that they are qualified to conduct high-quality procurement audits, including performance audits.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 12(d) Assessment criterion (a):* *- number of training courses conducted to train internal and external auditors in public procurement audits.* *- share of auditors trained in public procurement (as % of total number of auditors).**Source for all: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(d)(b):**The selection of auditors requires that they have adequate knowledge of the subject as a condition for carrying out procurement audits; if auditors lack procurement knowledge, they are routinely supported by procurement specialists or consultants. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(d)(c):**Auditors are selected in a fair and transparent way and are fully independent. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## Indicator 13. Procurement appeals mechanisms are effective and efficient

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| **Sub-indicator 13(a)** **Process for challenges and appeals**  |
| **Assessment criterion 13(a)(a):**Decisions are rendered on the basis of available evidence submitted by the parties. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(b):**The first review of the evidence is carried out by the entity specified in the law. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(c):**The body or authority (appeals body) in charge of reviewing decisions of the specified first review body issues final, enforceable decisions. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \* Quantitative indicator to substantiate assessment of sub-indicator 13(a) Assessment criterion (c):* *- number of appeals.* *Source: Appeals body.**\* Recommended quantitative indicator to substantiate assessment of sub-indicator 13(a) Assessment criterion (c):*  *number (and percentage) of enforced decisions.* *Source: Appeals body.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(d):**The time frames specified for the submission and review of challenges and for appeals and issuing of decisions do not unduly delay the procurement process or make an appeal unrealistic. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 13(b)** **Independence and capacity of the appeals body**The appeals body: |
| **Assessment criterion 13(b)(a):**is not involved in any capacity in procurement transactions or in the process leading to contract award decisions |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(b):**does not charge fees that inhibit access by concerned parties |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(c):**follows procedures for submission and resolution of complaints that are clearly defined and publicly available |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(d):**exercises its legal authority to suspend procurement proceedings and impose remedies |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(e):**issues decisions within the time frame specified in the law/regulations\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Quantitative indicator to substantiate assessment of sub-indicator 13(b) assessment criterion (e):**• appeals resolved within the time frame specified in the law/exceeding this time frame/unresolved (Total**number and in %).**Source: Appeals body.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(f):**issues decisions that are binding on all parties |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(b)(g):**is adequately resourced and staffed to fulfil its functions. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 13(c)** **Decisions of the appeals body**Procedures governing the decision making process of the appeals body provide that decisions are: |
| **Assessment criterion 13(c)(a):**based on information relevant to the case. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(c)(b):**balanced and unbiased in consideration of the relevant information.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *Recommended quantitative indicator to substantiate assessment of sub-indicator 13(c) Assessment criterion (b):* *- share of suppliers that perceive the challenge and appeals system as trustworthy (in % of responses). Source: Survey.* *- share of suppliers that perceive appeals decisions as consistent (in % of responses).**Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(c)(c):**result in remedies, if required, that are necessary to correcting the implementation of the process or procedures.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 13(c) Assessment criterion (c): - outcome of appeals (dismissed; decision in favour of procuring entity; decision in favour of applicant) (in %).**Source: Appeals body.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(c)(d):**decisions are published on the centralised government online portal within specified timelines and as stipulated in the law.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *// Minimum indicator // \*Quantitative indicator to substantiate assessment of sub-indicator 13(c) Assessment criterion (d):* *- share of appeals decisions posted on a central online platform within timelines specified in the law (in %).**Source: Centralised online portal.\** |
| **Gap analysis** |
| **Recommendations** |

## Indicator 14. The country has ethics and anticorruption measures in place

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| **Sub-indicator 14(a)** **Legal definition of prohibited practices, conflict of interest, and associated responsibilities, accountabilities, and penalties**The legal/regulatory framework provides for the following: |
| **Assessment criterion 14(a)(a):**definitions of fraud, corruption and other prohibited practices in procurement, consistent with obligations deriving from legally binding international anti-corruption agreements. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(a)(b):**definitions of the individual responsibilities, accountability and penalties for government employees and private firms or individuals found guilty of fraud, corruption or other prohibited practices in procurement, without prejudice of other provisions in the criminal law. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(a)(c):**definitions and provisions concerning conflict of interest, including a cooling-off period for former public officials. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(b)** **Provisions on prohibited practices in procurement documents** |
| **Assessment criterion 14(b)(a):**The legal/regulatory framework specifies this mandatory requirement and gives precise instructions on how to incorporate the matter in procurement and contract documents. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(b)(b):**Procurement and contract documents include provisions on fraud, corruption and other prohibited practices, as specified in the legal/regulatory framework. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(c)** **Effective sanctions and enforcement systems** |
| **Assessment criterion 14(c)(a):**Procuring entities are required to report allegations of fraud, corruption and other prohibited practices to law enforcement authorities, and there is a clear procedure in place for doing this. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(c)(b):**There is evidence that this system is systematically applied and reports are consistently followed up by law enforcement authorities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(c)(c):**There is a system for suspension/debarment that ensures due process and is consistently applied. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(c)(d):**There is evidence that the laws on fraud, corruption and other prohibited practices are being enforced in the country by application of stated penalties.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 14(c) Assessment criterion (d):* *- Firms/individuals found guilty of fraud and corruption in procurement: number of firms/individuals prosecuted/convicted; prohibited from participation in future procurements (suspended/debarred).* *Source: Normative/regulatory function/anti-corruption body.**- Government officials found guilty of fraud and corruption in public procurement: number of officials prosecuted/convicted.* *Source: Normative/regulatory function/anti-corruption body.**- Gifts to secure public contracts: number of firms admitting to unethical practices, including making gifts in (in %).* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(d)** **Anti-corruption framework and integrity training** |
| **Assessment criterion 14(d)(a):**The country has in place a comprehensive anti-corruption framework to prevent, detect and penalise corruption in government that involves the appropriate agencies of government with a level of responsibility and capacity to enable its responsibilities to be carried out.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\*Recommended quantitative indicator to substantiate assessment of sub-indicator 14(d) Assessment criterion (a):*  *- percentage of favourable opinions by the public on the effectiveness of anti-corruption measures (in % of responses).**Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(d)(b):**As part of the anti-corruption framework, a mechanism is in place and is used for systematically identifying corruption risks and for mitigating these risks in the public procurement cycle. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(d)(c):**As part of the anti-corruption framework, statistics on corruption-related legal proceedings and convictions are compiled and reports are published annually. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(d)(d):**Special measures are in place for the detection and prevention of corruption associated with procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(d)(e):**Special integrity training programmes are offered and the procurement workforce regularly participates in this training. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(e)** **Stakeholder support to strengthen integrity in procurement** |
| **Assessment criterion 14(e)(a):**There are strong and credible civil society organisations that exercise social audit and control.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(e)(b):**There is an enabling environment for civil society organisations to have a meaningful role as third-party monitors, including clear channels for engagement and feedback that are promoted by the government. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(e)(c):**There is evidence that civil society contributes to shape and improve integrity of public procurement.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 14(e) Assessment criterion (c):*  *- number of domestic civil society organisations (CSOs), including national offices of international CSOs) actively providing oversight and social control in public procurement.* *Source: Survey/interviews.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(e)(d):**Suppliers and business associations actively support integrity and ethical behaviour in public procurement, e.g. through internal compliance measures.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 14(e) Assessment criterion (d):* *- number of suppliers that have internal compliance measures in place (in %).**Source: Supplier database.* |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(f)** **Secure mechanism for reporting prohibited practices or unethical behaviour** |
| **Assessment criterion 14(f)(a):**There are secure, accessible and confidential channels for reporting cases of fraud, corruption or other prohibited practices or unethical behaviour. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(f)(b):**There are legal provisions to protect whistle-blowers, and these are considered effective. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(f)(c):**There is a functioning system that serves to follow up on disclosures. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Sub-indicator 14(g)** **Codes of conduct/codes of ethics and financial disclosure rules** |
| **Assessment criterion 14(g)(a):**There is a code of conduct or ethics for government officials, with particular provisions for those involved in public financial management, including procurement.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis**  *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 14(g) Assessment criterion (a):* *- share of procurement entities that have a mandatory code of conduct or ethics, with particular provisions for those involved in public financial management, including procurement (in % of total number of procuring entities).* *Source: Normative/regulatory function.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(g)(b):**The code defines accountability for decision making, and subjects decision makers to specific financial disclosure requirements.\* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 14(g) Assessment criterion (b):*  *- officials involved in public procurement that have filed financial disclosure forms (in % of total required by law).**Source: Normative/regulatory function.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(g)(c):**The code is of mandatory, and the consequences of any failure to comply are administrative or criminal. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(g)(d):**Regular training programmes are offered to ensure sustained awareness and implementation of measures. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 14(g)(e):**Conflict of interest statements, financial disclosure forms and information on beneficial ownership are systematically filed, accessible and utilised by decision makers to prevent corruption risks throughout the public procurement cycle. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |