

Template: Assessment report under the E-Proc module

VERSION 1.0 – April 2024





[Name of country]

Assessment of the Public Procurement system

[Date]

[Logos of main institutions]

# Intellectual property disclaimers

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# Acronyms

# Executive summary

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### Overview of compliance

The following table provides an overview of the findings of the assessment on the level of sub-indicators. Each sub-indicator is identified depending on the findings (full compliance / gaps identified / substantive gaps identified). This table also shows the red flags identified.

| **PILLAR I** | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- |
| **1. The legal and regulatory framework enables E-Procurement.** | 1(a) – Regulation of the use of E-Procurement |  |  |  |  |
| 1(b) – Elements necessary for E-Procurement |  |  |  |  |
| **2. E-Procurement follows a strategy that is aligned with broader government policies.** | 2(a) – E-Procurement strategy |  |  |  |  |
| 2(b) – E-Procurement support to sustainability and innovation |  |  |  |  |
| 3(b) – Sustainable procurement strategic action plan |  |  |  |  |

| **PILLAR II** | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- |
| **3. The E-Procurement ecosystem has a well-established and operational governance and management structure.** | 3(a) – Status and legal/regulatory basis of the institution(s) responsible for the E-Procurement ecosystem |  |  |  |  |
| 3(b) -- Coordination between the institution(s) responsible for the E-Procurement ecosystem and other relevant government entities |  |  |  |  |
| 3(c) -- Capacity of the institution(s) responsible for the E-Procurement ecosystem |  |  |  |  |
| **4. The E-Procurement ecosystem relies on an adequate business model.** | 4(a) – Operating business model and implementation type of the E-Procurement platform |  |  |  |  |
| 4(b) – Funding of the E-Procurement ecosystem |  |  |  |  |
| **5. The E-Procurement ecosystem has a strong capacity to develop and improve.** | 5(a) – Capacity development for E-Procurement |  |  |  |  |
| 5(b) – Advice and assistance |  |  |  |  |
| 5(c) -- Performance monitoring |  |  |  |  |
| 8(b) – Monitoring of sustainable procurement |  |  |  |  |

| **PILLAR III** | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- |
| **6. The E-Procurement ecosystem enables the achievement of the country’s procurement objectives.** | 6(a) – Planning in the E-Procurement ecosystem |  |  |  |  |
| 6(b) – Selection and contracting in the E-Procurement ecosystem |  |  |  |  |
| 69(c) – Contract management in the E-Procurement ecosystem |  |  |  |  |
| **7. The E-Procurement ecosystem’s technical characteristics render it effective and secure.** | 7(a) – Architecture of the E-Procurement ecosystem |  |  |  |  |
| 7(b) – Infrastructure of the E-Procurement ecosystem |  |  |  |  |
| 7(c) – User interaction |  |  |  |  |
| 7(d) -- Integrity of the information |  |  |  |  |
| 7(e) -- Confidentiality of the information  |  |  |  |  |
| **8. The E-Procurement ecosystem takes advantage of additional technical and functional features available for a variety of procurement methods.** | 8(a) -- Procurement methods |  |  |  |  |
| 8(b) -- Functionalities |  |  |  |  |
| **9. Data from the E-Procurement ecosystem facilitates analysis and decision-making.** | 9(a) -- Characteristics of published data |  |  |  |  |
| 9(b) – Data access and presentation |  |  |  |  |
| **10. The private sector is fully engaged with the E-Procurement ecosystem.** | 10(a) – Dialogue between the public and private sectors |  |  |  |  |
| 10(b) – Private sector’s use of the E-Procurement ecosystem |  |  |  |  |
| 10(c) – Use of E-Procurement for specific sectors |  |  |  |  |

| **PILLAR IV** | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- |
| **11. The E-Procurement ecosystem ensures civil society engagement.** | 11(a) – Dialogue between government and civil society |  |  |  |  |
| 11(b) – Direct engagement from civil society |  |  |  |  |
| **12. The E-Procurement ecosystem enables effective treatment of risks, control and audit.** | 12(a) – Internal and external control |  |  |  |  |
| 12(b) – Identification and treatment of risks |  |  |  |  |
| **13. The E-Procurement ecosystem facilitates the review of complaints and appeals.** | 13(a) – e-complaints |  |  |  |  |

# 1. Introduction

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# 2. Analysis of Country Context

## 2.1. Political, economic and geostrategic situation of the country

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## 2.2. The Public Procurement System and its links with the public finance management and public governance systems

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## 2.3. National policy objectives and sustainable development goals

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## 2.4. Public Procurement Reform

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# 3. Assessment

## 3.1. Pillar I - Legal, Regulatory and Policy Framework

Pillar I of the e-Procurement module evaluates whether the existing legislative and regulatory framework includes adequate and clear provisions to effectively support, enable and promote e-Procurement, and the extent to which e-Procurement is embedded in a comprehensive digitisation policy framework and is aligned with broader government policies.

### E-Proc Indicator 1. The legal and regulatory framework enables E-Procurement.

This indicator assesses the extent to which the national legal and regulatory framework enables and/or mandates the use of e-Procurement.

* **Synthesis of the indicator**

**…**

* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 1**

|  |  |  |
| --- | --- | --- |
| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 2. Implementing regulations and tools support E-Proc

The purpose of this indicator is to assess whether there is strategic focus on continuous improvement of the e-Procurement ecosystem, as well as whether e-Procurement is part of a wider digitisation strategy and supports key cross-cutting government objectives, including sustainability and innovation.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 2**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.2. Pillar II - Institutional Framework and Management Capacity

Pillar II of the e-Procurement module assesses the governance and management structures that govern the e-Procurement ecosystem as well as the institutions that are responsible for its operation and policies, and whether these have all the capacities required for the system to operate well. With procurement being a cross-cutting government function, this pillar also analyses how coordination regarding e-Procurement works among government entities.

### E-Proc Indicator 3. The e-Procurement ecosystem has a well-established and operational governance and management structure.

This indicator refers to the governance structure of the e-Procurement ecosystem, the institution(s) responsible for its management and policies, as well as the coordination schemes among them.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 3**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 4. The e-Procurement ecosystem relies on an adequate business model.

This indicator requires gathering evidence from the main e-Procurement platform(s) to properly exemplify the assessment criteria.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 4**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 5. The e-Procurement ecosystem has a strong capacity to develop and improve.

This indicator focuses on the strategies and ability of the e-Procurement ecosystem to develop and improve.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 5**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.3. Pillar III - Public Procurement Operations and Market Practices

Pillar III of the e-Procurement module focuses on the functional and technical features of a particular platform or platforms in the e-Procurement ecosystem, as well as how procuring entities use these features. In addition, it evaluates the interaction of the private sector with the e-Procurement ecosystem.

### E-Proc Indicator 6. The e-Procurement ecosystem enables the achievement of the country’s procurement objectives.

The assessor must focus both on identifying whether the e-Procurement ecosystem has the features necessary to carry out each stage of the procurement cycle, and whether procuring entities are using these features.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 6**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 7. The e-Procurement ecosystem’s technical characteristics render it effective and secure.

This indicator provides for a thorough evaluation of the existence and practical use of common standards for both the architecture and infrastructure of the e-Procurement ecosystem in any country with a view to assessing interoperability, resilience, operational reliability and security, as well as how the ecosystem handles contingencies.

Additionally, to gauge the standards for accessibility of the e-Procurement ecosystem, the technical aspects of user interaction are assessed.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 7**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 8. The e-Procurement ecosystem takes advantage of additional technical and functional features available for a variety of procurement methods.

Once a basic e-Procurement ecosystem that is effective, accessible, and reliable has been established, there is a host of potential gains to be made from taking advantage of available technical and functional features, to support different procurement methods according to the needs of the procuring entities.

This includes the integration of more complex procurement procedures in the e-Procurement ecosystem in a fully digitalized manner. Although some or all the elements of this indicator remain aspirational for many countries, it delineates a trajectory for digitisation in relation to procurement that it is valuable for any country to have in mind when assessing the current state of their e-Procurement ecosystem.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 8**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 9. Data from the e-Procurement ecosystem facilitates analysis and decision-making.

A central advantage of e-Procurement is the potential of the e-Procurement ecosystem to make data about public procurement available in a structured and accessible manner that would be close to impossible in an analogue system. Naturally, if this potential is to generate value, it needs to be both realised, meaning that data is made available, and actualised, meaning that the available data is used for decision-making.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 9**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 10. The private sector is fully engaged with the e-Procurement ecosystem.

This indicator provides sheds light on how the private sector, including small and medium enterprises, engage with the e-Procurement ecosystem.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 10**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.4. Pillar IV - Accountability, Integrity and Transparency of the Public Procurement System

As many aspects that relate to accountability, integrity and especially transparency have been assessed in other indicators of this module, the indicators of Pillar IV of the e-Procurement module complete the evaluation of these matters, including how civil society and audit and control institutions engage with the e-Procurement ecosystem, as well as the handling of e-complaints.

### E-Proc Indicator 11. The e-Procurement ecosystem ensures civil society engagement.

This indicator analyses the role of civil society to improve procurement, focusing exclusively on the e-Procurement ecosystem.

**Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 11**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 12. The e-Procurement ecosystem enables effective treatment of risks, control and audit.

Technology and data can serve as efficient tools to support control and audit of the procurement system. Auditors may work more efficiently when conducting procurement audits if information is timely and has good quality. In consequence, the e-Procurement ecosystem needs to produce the required information, which should be used for these purposes. More recent trends in the use of these data include automated controls to detect cases which might deviate from what is usually expected in a procurement process, thus enabling swift action from control authorities.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 12**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### E-Proc Indicator 13. The e-Procurement ecosystem facilitates the review of complaints and appeals.

This indicator assesses whether the e-Procurement ecosystem facilitates the entire procurement review process, both for the complainant as well as for the appeals institutions.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of E-Proc Indicator 13**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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# 4. Consolidated Recommendations

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# 5. Strategic Planning

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| --- | --- | --- |
| **Proposed action** | **Timeline** | **Responsible institutions** |
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# 6. Validation

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# Annexes/Appendices

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