

Indicator Matrix – e-Procurement module

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# Pillar I. Legal, Regulatory, and Policy Framework

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

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| E-Proc-Sub-indicator 1(a) Regulation of the use of e-Procurement |
| The legal and regulatory body of norms complies with the following conditions: |
| **Assessment criterion 1(a)(a):**The legal and regulatory framework defines and enables the use of e-Procurement across the entire public procurement cycle for all procurement methods.  |
| **Conclusion**:  | Choose an item. |
| **Red flag**:  | Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(b):**The legal and regulatory framework mandates all procuring entities to use e-Procurement. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis**\* Recommended quantitative indicators to substantiate assessment of sub-indicator 1(a) Assessment criterion (b):  - Percentage of procuring entities mandated to use e-Procurement compared to total number of procuring entities. Source: Institution responsible for the e-Procurement ecosystem / Public procurement function |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(c):**The legal and regulatory framework mandates the disclosure of comprehensive procurement information from the e-Procurement ecosystem. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Quantitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 1(a)(d):**Model procurement documents for goods, works and services are aligned with the workflows and features of e-Procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Quantitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| E-Proc-Sub-indicator 1(b) Elements necessary for e-ProcurementThe legal and regulatory framework complies with the following conditions: |
| Assessment criterion 1(b)(a):It clearly regulates the following elements in a way that enables their use in the e-Procurement ecosystem:* + electronic means of communication;
	+ electronic documents; and
	+ electronic means of authentication.
 |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(b)(b):It establishes that enrolment/registration and authentication on the digital platforms is open and accessible to all interested parties, including foreign bidders. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 1(b)(c):It establishes requirements on the collection, storage and processing of personal data. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |

## E-Proc-Indicator 2. E-Procurement follows a strategy that is aligned with broader government policies

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| **E-Proc-Sub-indicator 2(a)** **e-Procurement strategy** |
| **Assessment criterion 2(a)(a):**There is a national strategy or a roadmap for improving the functioning and uptake of the e-Procurement across the public sector and for engaging the private sector. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 2(a)(b):**E-Procurement is explicitly considered as a factor in broader policies on digitisation of the public sector. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| E-Proc-Sub-indicator 2(b) e-Procurement support to sustainability and innovationThe e-Procurement ecosystem enables capturing and reporting data related to the following policy areas: |
| Assessment criterion 2(b)(a):Climate change mitigation and adaptation and environmental protection |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(b)(b): Innovation |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(b)(c):Job creation |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 2(b)(d):Social inclusion (such as diversity, gender equality, worker and minority protection, etc.) |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis  |
| Gap analysis |
| Recommendations |

Pillar II. Institutional Framework and Management Capacity

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

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| **E-Proc-Sub-indicator 3(a)** **Status and legal and regulatory basis of the institution(s) responsible for the e-Procurement ecosystem** |
| **Assessment criterion 3(a)(a):**The legal and regulatory framework clearly assigns one or several government institutions the responsibility for regulating and setting the standards for the operation, implementation, and continuous improvement of the e-Procurement ecosystem, without gaps or overlaps. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 3(b)** **Coordination between the institution(s) responsible for the e-Procurement ecosystem and other relevant government entities**There is evidence of efficient coordination mechanisms between the institution(s) responsible for the e-Procurement ecosystem and the following institutions: |
| **Assessment criterion 3(b)(a):**The public procurement normative/regulatory body.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(b)(b):**Procuring entities including centralised procurement bodies, if any. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(b)(c):**Budgetary and treasury authorities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(b)(d):**Monitoring and edit authorities |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(b)(e):**The appeals body. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(b)(f):**Digital strategy or e-government authorities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 3(c)** **Capacity of the institution(s) responsible for the e-Procurement ecosystem** |
| **Assessment criterion 3(c)(a):**The institution(s) responsible for the e-Procurement ecosystem has the necessary funding to fulfil its objectives.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(c)(b):**The institution(s) responsible for the e-Procurement ecosystem is well-staffed to fulfil its objectives.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(c)(c):**The staff of the institution(s) responsible for the e-Procurement ecosystem is required to undergo regular trainings to update their knowledge and skills.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 4. The e-Procurement ecosystem relies on an adequate business model

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| **E-Proc-Sub-indicator 4(a)** **Operating business model and implementation type of the e-Procurement platform**The e-Procurement ecosystem has a clear business model to operate where the following components function and interact properly, are well documented, and were chosen based on evidence and needs: |
| **Assessment criterion 4(a)(a):**Ownership of platforms and data |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(a)(b):**Implementation type of the e-Procurement platform(s) and well-documented strategies to ensure future development and minimise vendor lock-in  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(a)(c):**The way in which the e-Procurement ecosystem may adapt to changes in legislation/regulation, market practices and technological developments  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 4(b)** **Funding for the e-Procurement ecosystem** |
| **Assessment criterion 4(b)(a):**The e-Procurement ecosystem has sustainable funding to operate.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 4(b)(b):**If fees for financing the e-Procurement ecosystem are charged to users, these must be reasonable, transparent, payable in the e-Procurement platform(s), and not be an impediment for using e-Procurement, nor any of its related services such as helpdesks. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 4(b) Assessment criterion (b):** *fee type and amount charged and the basis for charging (periodic or subscription-based payment or transaction-based payment)*

*Source: Institution responsible for the e-Procurement ecosystem and publicly available information.**\* Recommended quantitative indicators* *to substantiate assessment of sub-indicator 4(b) Assessment criterion (b):** *% of users who find that fees constitute an impediment for using e-Procurement*

*Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 5. The e-Procurement ecosystem has a strong capacity to develop and improve

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| --- |
| **E-Proc-Sub-indicator 5(a)** **Capacity development for e-Procurement**The following elements are present in the e-Procurement ecosystem: |
| **Assessment criterion 5(a)(a):**Substantive permanent training programmes of suitable quality and content for the needs of all the users and stakeholders (including private sector entities) of the e-Procurement systems. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 5(a) Assessment criterion (a):* * *% of procurement staff trained to use the e-Procurement systems over the total number of procurement staff.*
* *% of suppliers trained to use the e-Procurement systems over the total number of registered suppliers.*
* *% of auditors trained to use the e-Procurement systems over the total number of auditors.*

 *Source: Institution responsible for the e-Procurement ecosystem.* *\* Recommended quantitative indicators to substantiate assessment of sub-indicator 5(a) Assessment criterion (a):*  *- % of users who are satisfied with the quality and content of the training on e-Procurement.*  *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(a)(b):**Routine evaluation and periodic adjustment of training programmes on the e-Procurement systems based on feedback and need. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 5(b)** **Advice and assistance**  |
| **Assessment criterion 5(b)(a):**The e-Procurement ecosystem has multi-channel helpdesk(s) available for all users at least during usual working hours |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(b):**Quality assurance process standards are in place to ensure the quality service, and the process is reviewed, tracked, and monitored to guarantee an optimal operation of the helpdesk(s). \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 5(b) Assessment criterion (b):* *- % of requests answered or issues resolved during the last calendar year.* *- % of requests resolved on time according to the agreed Quality of Services agreements* *Source: Institution responsible for the e-Procurement ecosystem.* *\* Recommended quantitative indicators to substantiate assessment of sub-indicator 5(b) Assessment criterion (b):*  *% of users who are satisfied with the service level of the e-Procurement’s helpdesk(s).*  *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(c):**The helpdesk staff is trained on regular basis and relies on up-to-date scripts to answer questions and provide support.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(b)(d):**Users can rely on readily available and up-to-date information to use the e-Procurement ecosystem in an optimal manner, whether from manuals, online training material, frequently asked questions, or other similar sources.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 5(c)** **Performance monitoring** |
| **Assessment criterion 5(c)(a):**The performance of the e-Procurement ecosystem is measured, and this monitoring serves to its continuous improvement.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(c)(b):**User feedback is considered and used to improve the e-Procurement ecosystem.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 5(c)(c):**e-Procurement is increasingly adopted for all public procurement\*.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 5(c) Assessment criterion (c):*  *- Percentage of procuring entities using e-Procurement compared to total number of procuring entities mandated to use e-Procurement.**- % of procurements carried out through e-Procurement out of the total number of procurements done in the last year.**- % of value of procurement carried out through e-Procurement out of the total value of procurement spend in the last year.* *Source: Institution responsible for the e-Procurement ecosystem* |
| **Gap analysis** |
| **Recommendations** |

# Pillar III. Procurement Operations and Market Practices

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

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| **E-Proc-Sub-indicator 6(a)** **Planning in the e-Procurement ecosystem**The e-Procurement ecosystem supports the following elements and procuring entities use them: |
| **Assessment criterion 6(a)(a):**The creation of annual or multi-annual procurement plans. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 6(a) Assessment criterion (a):* *- % of procuring entities that created their annual or multi-annual procurement plans through the e-Procurement platform(s)**Source: Institution responsible for the e-Procurement ecosystem.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(a)(b):**The planning of individual procurements and linking to corresponding budget information. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 6(a) Assessment criterion (b):* *- % of procurements for which the planning stage was carried out on the e-Procurement platform(s)**Source: Institution responsible for the e-Procurement ecosystem.* |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 6(b)** **Selection and contracting in the e-Procurement ecosystem**The e-Procurement ecosystem supports the following elements and procuring entities use them: |
| **Assessment criterion 6(b)(a):**The possibility of carrying out procurements through any of the procurement methods and types of contracts that are established in the legal/regulatory framework.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(b):**Model procurement documents or templates for standard contract clauses to facilitate the creation of procurement processes.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(c):**The linkage of procurement processes with planned procurements disclosed in their annual or multiannual procurement plan. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(d):**The management of procurement processes, from drafts to definitive tender documents.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(e):**The handling and logging of all communication, including questions, requests for clarifications from interested parties as well as answers from procuring entities.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(f):**The establishment of requirements to define the qualification of interested bidders, as well as the award criteria to be used for evaluation.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(g):**The submission of bids.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(h):**The evaluation and awarding of contracts. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(b)(i):**An up-to-date list of debarred suppliers and measures to prevent procuring entities from awarding contracts to debarred suppliers. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| *\* Recommended quantitative indicator to substantiate assessment of sub-indicator 6(b) Assessment criterion (i):* *- Percentage of suppliers in the e-Procurement ecosystem’s debarred supplier list as a share of the total number of debarred suppliers.* *Source: Institution(s) responsible for the e-Procurement ecosystem*  |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 6(c)** **Contract management in the e-Procurement ecosystem**The e-Procurement ecosystem supports the following elements and procuring entities use them: |
| **Assessment criterion 6(c)(a):**The generation of electronic contracts based on the selection and contracting data available. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Quantitative indicators to substantiate assessment of sub-indicator 6(c) Assessment criterion (a):* *- % of the value of contracts generated in the e-Procurement ecosystem over the total value of contracts of the last calendar year.* *- % of the number of contracts generated in the e-Procurement ecosystem over the total number of contracts of the last calendar year.* *Source: Institution responsible for the e-Procurement ecosystem* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 6(c)(b):**The management of amendments, extensions, and contract follow-up and oversight, as well as information including overruns and reasons for delays and terminations. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis** *\* Quantitative indicators to substantiate assessment of sub-indicator 6(c) Assessment criterion (b):* *- % of the value of contracts managed in the e-Procurement ecosystem over the total value of contracts of the last calendar year.**- % of the value of amended or extended contracts that were modified in the e-Procurement ecosystem over the total value of amended or extended contracts of the last calendar year.* *Source: Institution responsible for the e-Procurement ecosystem* |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 7. The e-Procurement ecosystem’s technical characteristics render it effective and secure

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| **E-Proc-Sub-indicator 7(a)** **Architecture of the e-Procurement ecosystem**There are standards in place and practical evidence that demonstrate the following: |
| **Assessment criterion 7(a)(a):**The architecture of the e-Procurement platform(s) facilitates interoperability with other relevant platforms including those used for budget, treasury/payment, tax, business registers, invoicing, bid securities and guarantees, and e-payment getaways. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(a)(b):**The e-Procurement platform(s) capture data in an automated way that enables business intelligence analytics.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 7(b)** **Infrastructure of the e-Procurement ecosystem**There are standards in place and practical evidence that demonstrate the following: |
| **Assessment criterion 7(b)(a):**The e-Procurement ecosystem has a reliable infrastructure with network and security equipment, routine data backup, recovery policy, virus policy, and those policies implemented. \*  |
| **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 (a):* *- Share of time that the system was unavailable during the past calendar year* *- Frequency of backups (Recovery Point Objective or RPO)**- Time needed to recover from an incident (Recovery Time Objective or RTO)* *Source: Institution(s) responsible for the e-Procurement ecosystem**\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (a):* *- % of suppliers that express that they were unable to bid due to technological issues within the e-Procurement ecosystem* *Source: Survey**\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (a):* *- Number of known security breaches on the e-Procurement ecosystem during the last year.* *Source: Institution(s) responsible for the e-Procurement ecosystem* *\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (c):* *-Number of functional process and/or technical audits of the e-Procurement ecosystem’s platform(s) carried out during the last three years.* *Source: Institution(s) responsible for the e-Procurement ecosystem*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(b):**The e-Procurement ecosystem’s telecommunications and connectivity are reliable.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(b)(c):**Functional process audits and technical audits are carried out periodically to guarantee that the ecosystem complies with relevant legislative framework, guidelines, requirements, and security best practices. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 7(c)** **User interaction**There are standards in place and practical evidence that demonstrate the following: |
| **Assessment criterion 7(c)(a):**The e-Procurement ecosystem allows the use of digital workflows. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(b):**The e-Procurement ecosystem has complete and up-to-date terms of use that users must agree to in order to use the platform.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(c):**The e-Procurement ecosystem is built using responsive web design and is accessible through common web browsers, mobile devices and platforms. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(c) Assessment criterion (c):* *- % of users who are satisfied with the accessibility of the e-Procurement ecosystem.**Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(c)(d):**The e-Procurement ecosystem requires a single sign-on for the e-Procurement platform(s).  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 7(d)** **Integrity of the information**There are standards in place and practical evidence that demonstrate the following: |
| **Assessment criterion 7(d)(a):**The integrity of submitted bids is ensured |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 7(d)(b):**Public buyers and suppliers are authenticated, and their action details are recorded in an audit log along the audit trail, i.e. user name, time stamp, device identification information, to minimize the risk of fraud or repudiation of their actions, and should be available over time. \*  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicators to substantiate assessment of sub-indicator 7(d) Assessment criterion (b):* *- % of users who trust that actions are truly carried out by the person that claims to have done so in the e-Procurement ecosystem.* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 7(e)** **Confidentiality of the information**There are standards in place and practical evidence that demonstrate the following: |
| **Assessment criterion 7(e)(a):**There are standards in place and practical evidence that demonstrate that bid information and draft evaluation reports are confidential and blocked from view for all parties except the evaluation committee, until the approval of the final evaluation report by the relevant authority.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 8. The e-Procurement ecosystem takes advantage of additional technical and functional features available for a variety of procurement methods

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| **E-proc-Sub-indicator 8(a)** **Procurement methods**If the legal and regulatory framework for procurement in the assessed jurisdiction allows for their use, the following procurement methods are carried out through e-Procurement: |
| **Assessment criterion 8(a)(a):**Electronic reverse auctions.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(a)(b):**Electronic purchases from catalogues, framework agreements, or dynamic purchasing systems.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(a)(c):**Tenders for contracting of PPPs and concessions.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 8(b)** **Functionalities**The e-Procurement ecosystem supports the following: |
| **Assessment criterion 8(b)(a):**Classification of goods, works and services based on international standards. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(b):**Two-stage bidding procedures for complex contracting.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(c):**Bid acceptance and handling of joint ventures and other joint supplier structures, with information collected from individual suppliers as well as from the joint structure.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(d):**Submission of bids with prices provided at the unit level. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(e):**Submission of bids in different currencies and display of information in multiple languages.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(f):**Acceptance of bid securities and bonds.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(g):**Electronic acceptance of products for effective inventory management.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(h):**Electronic invoicing. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 8(b)(i):**Artificial intelligence. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 9. Data from the e-Procurement ecosystem facilitates analysis and decision-making

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| **E-Proc-Sub-indicator 9(a)** **Characteristics of published data** |
| **Assessment criterion 9(a)(a):**Publication of procurement data in machine-readable open format is mandated in the legal/regulatory framework.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(b):**Data stored in the e-Procurement ecosystem is disclosed as machine-readable open data in a website for anyone to download, use and share, with the appropriate license for use, and without incurring any fees.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(a)(c):**Data from the e-Procurement ecosystem is published in a timely manner and provides accurate information and enough coverage of the whole procurement system. \*  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (c):* *- % of procurement disclosed as a share of the total value of procurement**- % of procurement disclosed as a share of the total number of procurement processes**- Frequency of open data publication and update* *Source: Institution(s) responsible for the e-Procurement ecosystem, normative/regulatory procurement function, Ministry of Finance.* *\* Recommended quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (c):* *- % of users who are satisfied with the timeliness, accuracy and coverage of data published from the e-Procurement ecosystem.**Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(d):**Published data from the e-Procurement ecosystem includes\*: * + 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
	+ bidding documents, evaluation reports, contracts, and amendments
	+ 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***\* Quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (d):* *- % of procurement plans published (in % of the total number of required procurement plans)**- % of procurements with key information published (in % of total number of procurements)**Source: Institution(s) responsible for the e-Procurement ecosystem / recent PEFA assessment – dimension 24.3.*  |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(a)(e):**Data is used by stakeholders for analysis and decision-making, and particularly for measuring, monitoring, and evaluating procurement performance. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(a)(f):**A programme to build capacities for procurement data use and analysis is implemented with suitable quality and content for the needs of all the users. \*  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (f):* *- Number of government officials trained in the use and analysis of procurement data**- Number of suppliers trained in the use and analysis of procurement data**- Number of citizens, academics and journalists trained in the use and analysis of procurement data**Source: Institution(s) responsible for the e-Procurement ecosystem**\* Recommended quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (f):* *- % of users who are satisfied with the capacity building programme to use and analyse procurement data from the e-Procurement ecosystem.* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 9(b)****Data access and presentation** |
| **Assessment criterion 9(b)(a):**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 9(b)(b):**Procurement data is presented through relevant and up-to-date data visualisations, and it is analysed using data analytics functions or tools.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(c):**Procurement data may be easily searched, filtered, and downloaded in bulk.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 9(b)(d):**Proper documentation about the procurement data is provided and kept up to date.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## E-proc-Indicator 10. The private sector is fully engaged with the e-Procurement ecosystem

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| **E-Proc-Sub-indicator 10(a)** **Dialogue between the public and private sectors** |
| **Assessment criterion 10(a)(a):**The government encourages an open dialogue with the private sector to improve the e-Procurement ecosystem.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 10(b)****Private sector’s use of the e-Procurement ecosystem** |
| **Assessment criterion 10(b)(a):**The private sector is actively engaging with the e-Procurement ecosystem. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 10(b) Assessment criterion (a):* *- Number of suppliers registered in the last three years* *- Number of SMEs registered in the last three years* *Source: Institution(s) responsible for the e-Procurement ecosystem**\* Recommended quantitative indicators to substantiate assessment of sub-indicator 10(b) Assessment criterion (b):* *- Number of bids per tender for competitive processes* *- Number of suppliers that were awarded contracts in the last three years**- Number of registered foreign private sector users in the last three years**Source: Institution(s) responsible for the e-Procurement ecosystem* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 10(b)(b):**No systemic constraints such as the ones listed below inhibit private sector access, including from foreign suppliers, to e-Procurement: \** Internet access and connectivity issues
* Data literacy
* Problems in the design and user interface of the platforms integrating the e-Procurement ecosystem
* Technological issues of the platforms integrating the e-Procurement ecosystem
* Burdensome or costly process to register as a supplier and bid
* Burdensome or costly process to receive training and guidance to use e-Procurement

Difficulties particular to foreign suppliers, including those related to bidding in different currencies, access to information in multiple languages, etc.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicators to substantiate assessment of sub-indicator 10(b) Assessment criterion (b):* *- % of private sector users who express that there are constraints that inhibit private sector access to the e-Procurement ecosystem.* *Source: Survey.* |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 10(c)** **Use of e-Procurement for specific sectors** |
| **Assessment criterion 10(c)(a):**e-Procurement is used by procuring entities from key sectors associated with the government’s priority areas for all their procurement, including high-value procurements. |
| **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

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

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| **E-Proc-Sub-indicator 11(a)** **Dialogue between government and civil society**  |
| **Assessment criterion 11(a)(a):**The government encourages an open dialogue with civil society to improve the e-Procurement ecosystem |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 11(b)** **Direct engagement from civil society** |
| **Assessment criterion 11(b)(a):**The e-Procurement ecosystem allows citizens to access and search information of all stages of the procurement process and all procurement methods in accordance with the legal/regulatory framework. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 11(b)(b):**There is evidence that citizens use the opportunities available to access information of, and provide comments and feedback to specific procurements by means of the e-Procurement ecosystem, as allowed by the legal/regulatory framework. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 11(b) Assessment criterion (b):* *- Number of downloads of procurement data**- Number of comments from civil society users in the last calendar year**- Number of users who accessed the e-Procurement portal(s) in the last calendar year**Source: Institution(s) responsible for the e-Procurement ecosystem.*  |
| **Gap analysis** |
| **Recommendations** |
| **Recommendations** |

## E-Proc-Indicator 12. The e-Procurement ecosystem enables effective treatment of risks, control and audit.

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| **E-Proc-Sub-indicator 12(a)** **Internal and external control** |
| **Assessment criterion 12(a)(a):**There is evidence that the e-Procurement ecosystem facilitates internal control.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(a)(b):**There is evidence that e-Procurement ecosystem facilitates external control. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicator to substantiate assessment of sub-indicator 12(a) Assessment criterion (b):* *- Percentage of audits focused on procurement which used data from the e-Procurement ecosystem.* *Source: Ministry of Finance / Supreme Audit Institution* |
| **Gap analysis** |
| **Recommendations** |
| **E-Proc-Sub-indicator 12(b)** **Identification and treatment of risks** |
| **Assessment criterion 12(b)(a):**Ex-ante controls and algorithms are in place in the e-Procurement ecosystem and used to detect risks and possible wrongdoing. \* |
| **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 (a):* *- Number of processes identified as outliers or possible wrongdoing by the algorithms set in place by public institutions.* *Source: Ministry of Finance / Supreme Audit Institution* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 12(b)(b):**Ex-post investigations and risk analysis are regularly conducted using data from the e-Procurement ecosystem. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |

## E-Proc-Indicator 13. The e-Procurement ecosystem facilitates the review of complaints and appeals

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| **E-Proc-Sub-indicator 13(a)** **E-complaints**  |
| **Assessment criterion 13(a)(a):**Complaints and/or appeals can be lodged through or linked to the e-Procurement systems. \*  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicator to substantiate assessment of sub-indicator 13(a) Assessment criterion (a):* *- % of e-complaints out of the total number of complaints in the last year.* *Source: appeals body* |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(b):**The appeals body has access to the e-Procurement systems and uses its information for decision making.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(c):**The e-complaint workflow is consistent with the process used to handle appeals, including standstill periods for review, if any.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(d):**Remedies are reflected in the e-Procurement systems.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 13(a)(e):**Complaints and decisions of the appeals body are published as open data.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |