# Technical Assistance Consultant's Report

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# Regional: Consolidated View and Analysis of Survey Responses on e-Government Procurement System (Architecture and Transition Management)

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For the Asian Development Bank



Asian Development Bank

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This report is prepared as per survey responses submitted by country representatives in 2014. Hence, developments subsequent to that time period are not reflected in this report.

## ABOUT THE AUTHOR

Dr. Ramanathan Somasundaram is a Consultant for the Asian Development Bank with more than ten years of experience in conceptualization, implementation and assessment of e-Government Procurement systems.

## ABBREVIATIONS

| | | |
|---|---|---|
| ADB | – | Asian Development Bank |
| CWRD | – | Central and West Asia Department |
| e-GP | – | electronic government procurement |
| EARD | – | East Asia Department |
| DMC | – | developing member country |
| DR | – | disaster recovery |
| PARD | – | Pacific Department |
| PMU | – | project management unit |
| SAAS | – | Software As A Service |
| SARD | – | South Asia Department |
| SERD | – | Southeast Asia Department |
| TA | – | technical assistance |

## NOTE

In this report, "$" refers to US dollars

## CONTENTS

# I. INTRODUCTION

1. The Asian Development Bank (ADB) commissioned a survey[1] funded under the Asia Pacific Public Electronic Procurement Network[2] during the second half of 2014 to learn about the current status of electronic government procurement (e-GP) implementation in its developing member countries (DMC). A survey questionnaire was sent out to a total of 40 countries, of which 29 responded. This survey is a follow-up to a survey conducted earlier in 2011 under the Asia Pacific Procurement Partnership Initiative[3]. The latest survey questionnaire is more close-ended and sought detailed information about certain key aspects of e-GP system implementation experience such as the methodology adopted to ensure secrecy of commercial bids, business model and Disaster Recovery (DR) set-up.

2. The survey questionnaire is comprised of 4 sections viz.:
   (i) Eco-system readiness,
   (ii) e-GP implementation plan,
   (iii) e-GP implementation experience, and
   (iv) e-GP on Software As A Service (SAAS) model.

3. Section C of the questionnaire sought details of up to 3 e-GP installations if a country had more than one installation. India and Nepal have provided details of 3 e-GP installations in their respective countries. Thus, this survey has gathered information about 33 e-GP installations.

4. The survey responses are analysed such that certain key output requirements of the TA are addressed as given below:
   (i) Comparative view of the different approaches adopted for implementation of e-GP system is provided.
   (ii) Interest of countries in using e-GP system is analyzed.
   (iii) Discussion points on key aspects of e-GP implementation are identified such as business model, 3rd party audit and the use of digital signatures. Public procurement professionals could discuss these issues in an online web forum.
   (iv) Potential for knowledge exchange amongst the surveyed countries is identified. Public procurement specialists and e-GP specialists could share certain details about their implementation such as a draft of the e-GP legal provisions, system malfunction policy and transition management plan in an online-wiki type of knowledge base. e-GP implementing agencies could re-use the material available in this wiki knowledge base instead of reinventing / recreating this knowledge afresh. This wiki-site would be an excellent knowledge base for e-GP specialists, researchers, students and other interested stakeholders.

5. The analysis and reporting of the survey responses is done subject-wise. The responses pertaining to a subject are analysed to learn about the status quo and view of the respondents. Key findings from this analysis are interpreted where required. Each subject report has the following key sections:
   (i) Subject(s) explained,
   (ii) Survey data explained,

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[1] See Appendix 1.

[2] ADB. 2013. *Technical Assistance for the Asia Pacific Public Electronic Procurement Network. Manila (TA 8520-REG, approved on 2 December 2013).*

[3] ADB. 2009. *Technical Assistance for the Asia Pacific Procurement Partnership Initiative. Manila (TA 7437-REG, approved on 11 December 2009).*

(iii) Key findings,
(iv) Discussion points, and
(v) Knowledge areas.

6. All the subject analyses will be compiled and summarized for preparation of a detailed report on the survey findings.

7. As few of the respondents expressed concern in publicly sharing their responses, only holistic and regional level analyses are done. References to individual countries are avoided as much as possible in the report.

## II. SUBJECTS EXPLAINED

8. The countries which already implemented e-GP system were asked to specify the following in Sections C-1 (e-GP Architecture) and C-2 (e-GP Implementation History and Transition Management) of the questionnaire:

(i) The number of e-GP systems implemented,
(ii) The year in which earliest e-GP system went live, and
(iii) Transition management experience.

### A. e-GP Architecture

9. A country can have one or more e-GP systems implemented to handle its Government procurement transactions. Government procurement herein refers to all procurement undertaken by government agencies including public sector enterprises owned by the Government. If the entire country could use a single instance of e-GP system:

(i) Suppliers can learn about all government procurement opportunities and even transact online from a single centralized source.
(ii) Government can allocate adequate sum of money as required towards:
    (a) Software development
    (b) Maintenance of service levels
    (c) Security audit by 3rd party agency
    (d) Training and help desk &
    (e) Qualified project management team
(iii) It will be easier for Government to generate national level analytic reports on procurement expenditure. For example:
    (a) Average number of bidders (i.e. competition) in a certain category of procurement spend such as new road construction and whether competition has increased when compared year-on-year
    (b) Quantum of contracts won and successfully executed supplier-wise
    (c) Number of tenders and value of tenders published under various procurement categories, year-on-year &
    (d) Average time taken to complete Government procurement

10. The path taken for implementation of e-GP system tends to vary from one country to another. There are many factors at play that determine the number of e-GP systems existing in a country. For example, it could be that an early adopter of technology managing a large department could have initiated implementation of e-GP system to address its own e-GP requirements. A central Public Procurement Agency (PPA) could have initiated implementation of a National e-GP system subsequently on account of which multiple e-GP systems can co-exist. Had PPA taken the initiative to implement e-GP at the outset and if it had the political authority over government procurement agencies, one single National e-GP system could have resulted.

11. A single instance of an e-GP platform may not be a suitable architecture for large, federated countries. Each State in the Federal set-up could have a unified e-GP installation and a mechanism has to be worked out for the multiple e-GP installations to work in sync.

### B. Transition Management

12. Government agencies will require to transition out an existing e-GP system to a new e-GP system at some point in time just as all IT systems are transitioned. Such transition will

happen routinely every 7-10 years. Given that most e-GP systems have been in existing for around a decade, the hypothesis is that Government agencies would have either transitioned already or will require to transition in the near future.

13. The common reasons for effecting the transition are:
    (i) System gets outdated, and
    (ii) Expiry of contract with an existing IT implementation agency.

14. Most of the e-GP systems have effectively replaced manual system of functioning. There are no manual records. Data recorded in the e-GP system is the original record and the only record available. Typically, government legislation requires storing of original records for a minimum number of years (e.g. 5-7 years). Hence, all transactional data and associated audit logs have to be properly transitioned out of the existing system and imported into the new system with all relations quite intact.

15. There is definitely a human element to this transition, wherein suppliers and government users have to be notified about the transition, duly trained and fully supported to effect the change from one system to another. IT vendor management will be a key challenge where software development and maintenance activities are outsourced.

16. Government agencies ideally have to put in place a robust transition management / exit management plan and execute the transition as per the plan. The survey seeks to know:
    (i) Whether government agencies have in place a transition or exit management plan, and
    (ii) Reasons for effecting transition (i.e. if transition has happened) and rate their experience in effecting the transition.

## III. SURVEY DATA ANALYSIS

17. A region-wise break-up of the respondents is listed below:
   (i) South Asia Region (SARD) – 9 respondents
   (ii) South East Asia (SERD) – 6 respondents
   (iii) Pacific Region (PARD) – 9 respondents
   (iv) Central & West Asia (CWRD) – 8 respondents
   (v) East Asia (EARD) – 1 respondent

### A. Number of e-GP Installations

18. Out of the 33 responses received, 5 did not respond to the question on the number of e-GP installations. About a third (1/3rd) of the surveyed countries are yet to implement e-GP and another 1/3rd of the countries have implemented one single e-GP installation to be used as a shared infrastructure by all government agencies including public sector undertakings. Key observations regarding the e-GP installations are listed below:
   (i) Of the 10 countries which are yet to implement e-GP, 8 countries are from the PARD region.
   (ii) 8 out of the 9 countries in PARD region are yet to implement e-GP.
   (iii) 7 out of the 8 countries in CWRD have implemented one single e-GP installation.

19. Refer to the figures below for a tabular and graphical view of the responses.

| Number of e-GP Installations in a Country | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| S.no. | Description | Region | | | | | | | | | | | |
| | | Number | | | | | | Percentage | | | | | |
| | | SARD | SERD | PARD | CWRD | EARD | TOTAL | SARD | SERD | PARD | CWRD | EARD | Total |
| 1 | e-GP system is yet to be implemented | 1 | | 8 | 1 | | 10 | 10.00% | 0.00% | 80.00% | 10.00% | 0.00% | 30.30% |
| 2 | Only one single e-GP installation used as a shared infrastructure | 2 | 3 | | 7 | | 12 | 16.67% | 25.00% | 0.00% | 58.33% | 0.00% | 36.36% |
| 3 | 2-5 e-GP installations | | 2 | | | 1 | 3 | 0.00% | 66.67% | 0.00% | 0.00% | 33.33% | 9.09% |
| 4 | 6 - 10 e-GP installations | 1 | | | | | 1 | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% | 3.03% |
| 5 | More than 10 e-GP installations | 2 | | | | | 2 | 100.00% | 0.00% | 0.00% | 0.00% | 0.00% | 6.06% |
| 6 | Blanks | 3 | 1 | 1 | 0 | 0 | 5 | 60.00% | 20.00% | 20.00% | 0.00% | 0.00% | 15.15% |
| 7 | Total | 9 | 6 | 9 | 8 | 1 | 33 | | | | | | |

*Figure 1: Number and Percentage of e-GP Installations in a Country*

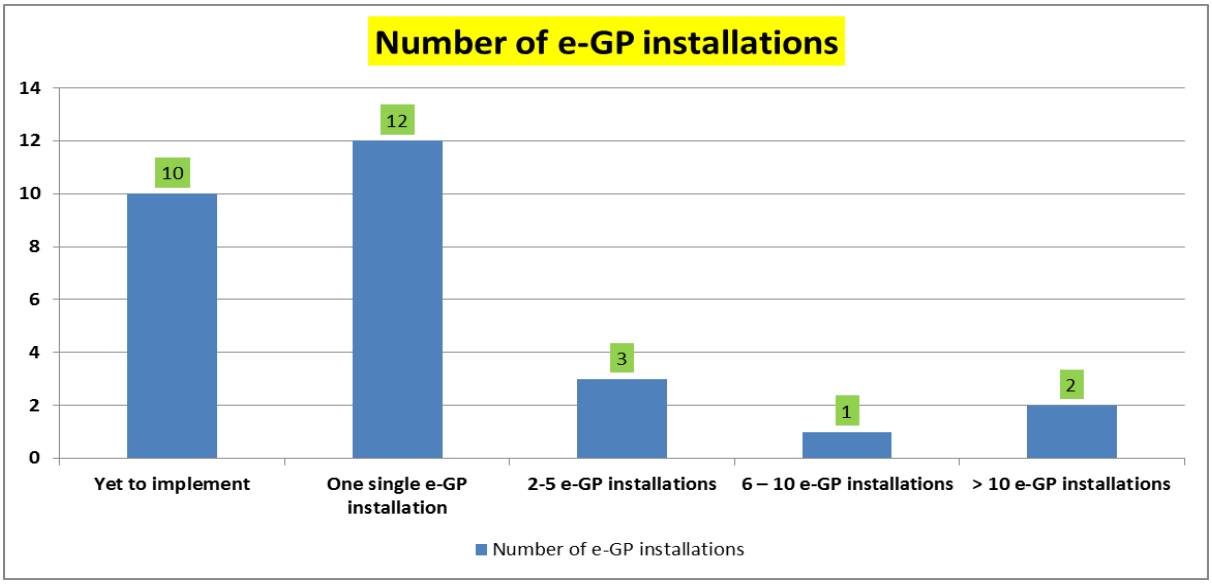


*Figure 2: Number of e-GP Installations*

## B. Transition Management

20. A total of 15 countries provided the year of Go-live. Of the 18 countries, 11 (i.e. 1/3rd of 33 responses) went live during 2010-2013 (i.e. within the last 3-4 years). 7 out of the 11 systems are from the CWRD region. Since 7 out of 8 countries in CWRD region went live in e-GP in the last 3-4 years, it can be conclusively stated that the implementation of e-GP in this region happened during the 2010-2013 period. The earliest implementation reported is that of the Philippines and Malaysia, which went live with its e-GP system back in 2000. In India, the Go-live date varied from one State to another. e-GP went live in the State Government of Gujarat, Karnataka and Madhya Pradesh in 2004, 2007 and 2011 respectively.

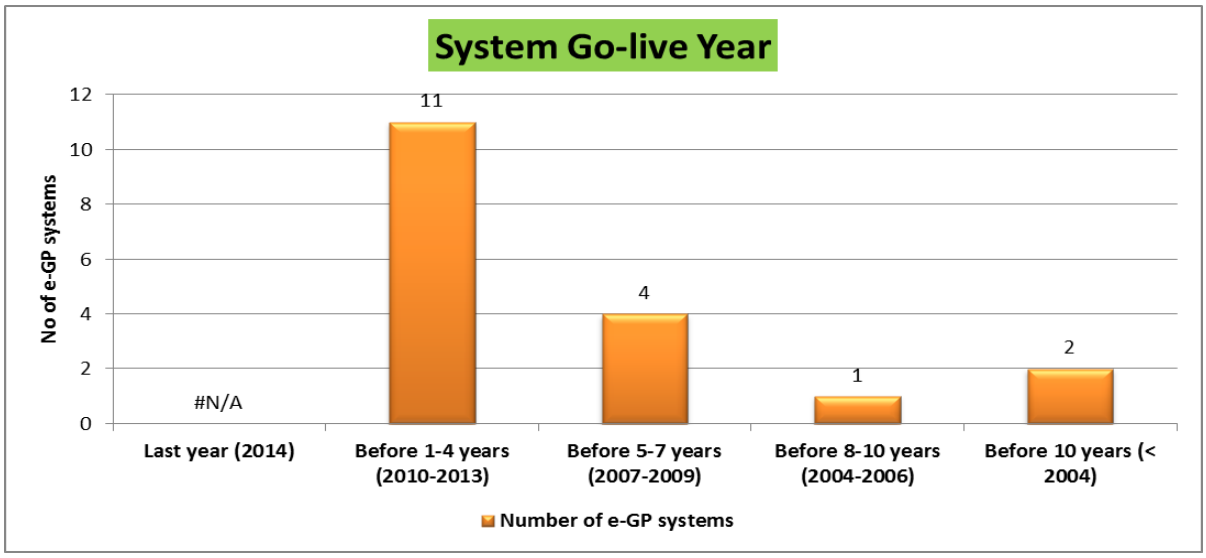


*Figure 3: System Go-live Year*

21. Of the 18 e-GP systems which have gone live, 8 have already undergone transitioning. The 2 e-GP systems implemented in 2000 have both been transitioned. 2 out of the 4 (i.e. 50%) e-GP systems implemented during 2007-2009 have been transitioned and about 1/3rd of the systems implemented during 2010-2013 have been transitioned.

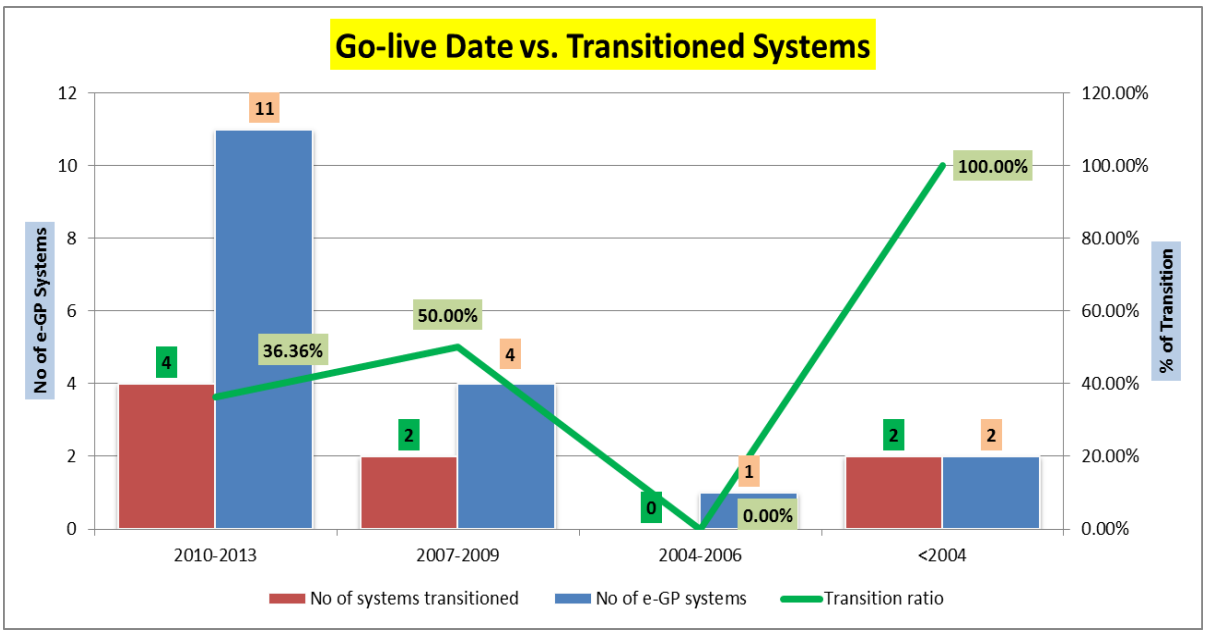


*Figure 4: Go-live Date vs. Transitioned Systems*

22. Transition of e-GP system is envisaged within the next 3 years by 2/3rd (i.e. 12 out of the 18 e-GP systems) of the respondents with live e-GP systems. The percentage of respondents envisaging transition stood at 75% and 63.64% for e-GP systems which went live during 2007-2009 and 2010-2013 respectively.

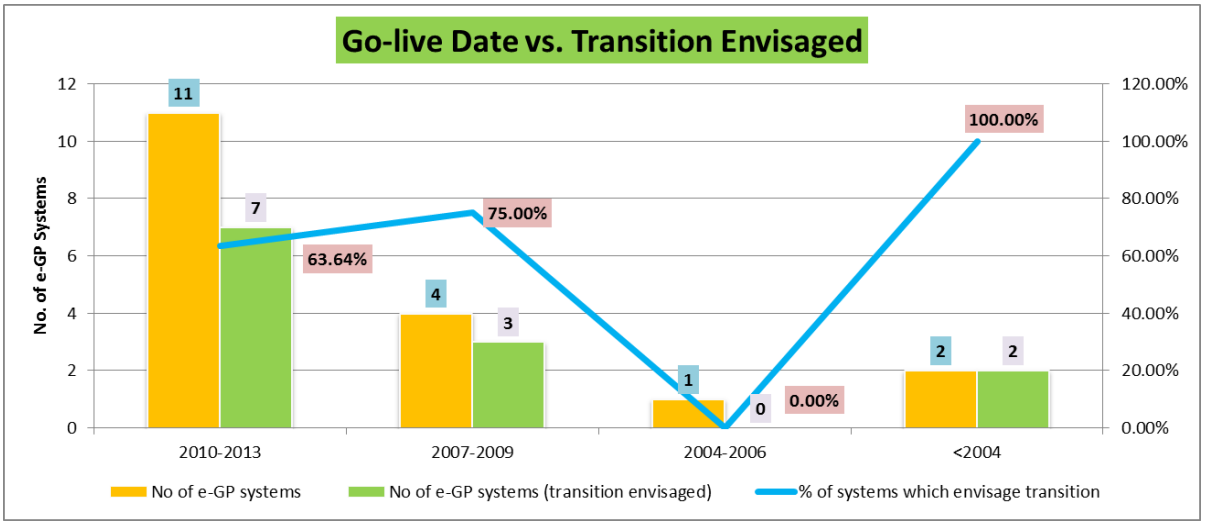


*Figure 5: Go-live Date vs. Transition Envisaged*

23. 9 out of the 12 e-GP systems which envisage transitioning within the next 3 years have developed a Transition plan.

24. The system getting outdated is the most common reason provided to effect transition, which is followed by expiry of contract with IT Agency. Two of the respondents stated that transition had to be effected as they adopted a National e-GP system. Modernization and improvement are cited as other reasons to effect transition.

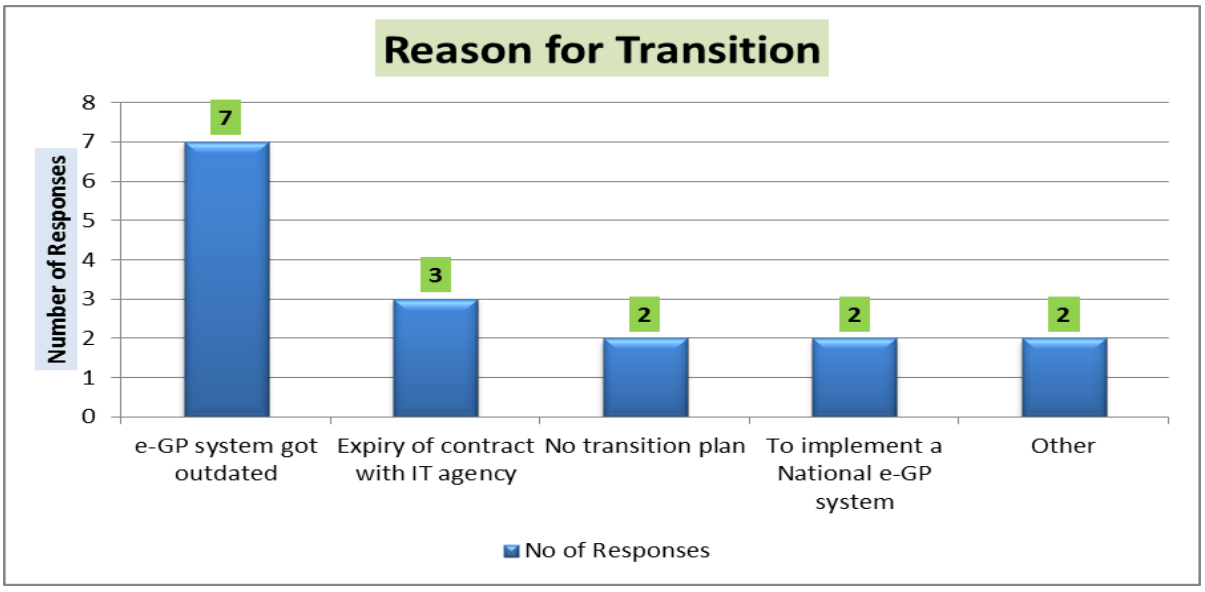


*Figure 6: Reason for Transition*

25. The respondents were satisfied in general with their transition experience. The respondents were asked to mark their transition management experience in the scale of 1-5, wherein 1 refers to very satisfied and 5 refers to very dissatisfied. Only one of the 9 respondents gave a rating of 4. The rest of the respondents gave a rating in 1-3 range and predominantly in 2-3 range.

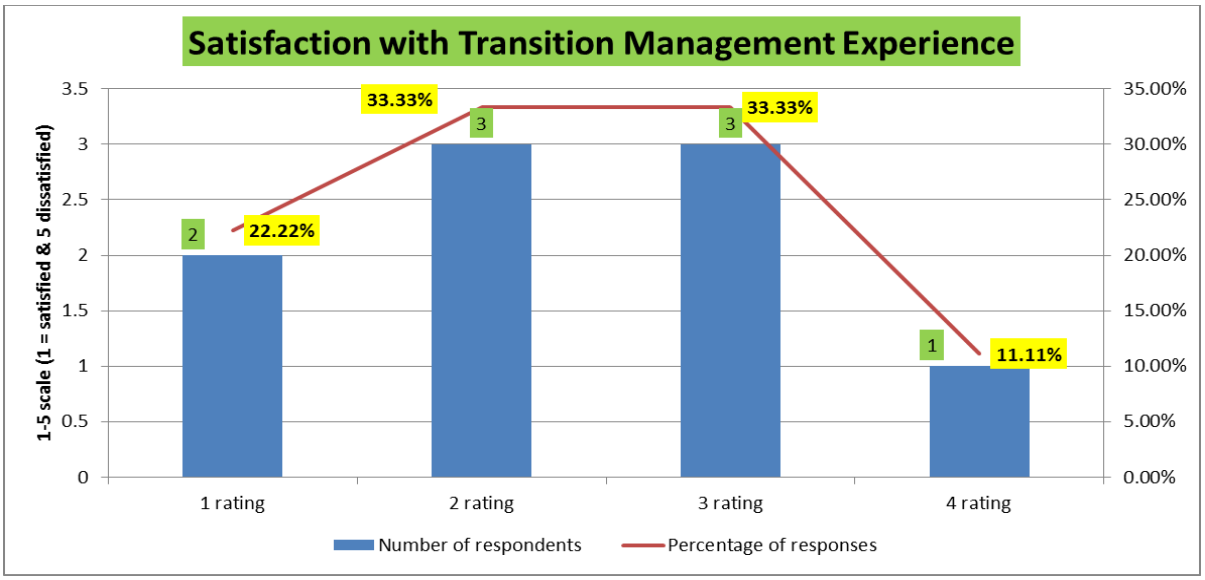


*Figure 7: Satisfaction with Transition Management Experience*

26. A total of 6 responses were received on the number of times transition had happened of which 4 of the respondents had experienced transition once and the remaining 2 respondents experienced transition twice. One of the countries went live with e-GP system only in 2011 yet transitioned twice.

## C. Key Findings

(i) About one-third of the surveyed countries:
  (a) Are yet to implement e-GP and most of these countries are located in the PARD region
  (b) Have established a national e-GP system
  (c) Went live with e-GP within the last 4 years (i.e. 2010-2014)

(ii) The earlier an e-GP system is implemented, higher the probability of the system getting transitioned. The 2 e-GP systems implemented in 2000 have both undergone transition and both of them envisage transition within the next 3 years. It could be said that an e-GP system get transitioned once in 7-8 years on an average.

(iii) Most of the respondents declared e-GP system getting outdated as the reason for effecting the transition

(iv) 9 out of the 12 e-GP systems which envisage transitioning within the next 3 years have developed a Transition plan.

## IV. DISCUSSION POINTS

27. The setting up of an online forum is envisaged as a key output under the TA-8520 funding this research. A set of discussion points are identified herein pertaining to e-GP Architecture and Transition Management. In light of the study findings, the respondents could interact online or face-to-face in a workshop environment the following indicative discussion areas pertaining to e-GP Architecture and Transition Management:

(i) One-third of the surveyed countries have implemented one single National e-GP system. A few others have more than one e-GP system. It could also be that multiple systems are implemented addressing different modules of an e-GP system. For example, the pre-tendering and post tendering modules could be implemented as independent software and the e-Tendering module implemented separately. Multiple e-GP systems would be required in large federated countries such as India given its large procurement spend and federal government structure. In this back-ground:
   (a) What should ideally be the functional scope of e-GP? For example, will procurement planning and budgeting fall under the scope of e-GP?
   (b) How to decide whether one single installation of e-GP is adequate for a country? If multiple e-GP systems are required, how to decide on the number of e-GP systems required?

(ii) Transitioning from one e-GP system to another will happen at regular intervals due to reasons such as outdated technology, new functional enhancements or expiry of contract with an IT vendor. All government agencies which envisage transition in the next 3 years state that they already have a transition plan in place. Further, 8 of the respondents have already experienced transition. Given which:
   (a) What aspects should be addressed in a well-written transition plan?
   (b) What is the sequence of actions to be performed to effect seamless transition from one system to another?
   (c) What are the key success factors for transitioning successfully from one e-GP system to another?

## V. AREAS FOR KNOWLEDGE EXCHANGE

28. The development of a wiki-type knowledge base is envisaged under TA-8520. Such knowledge base would be relevant primarily for e-GP practitioners, researchers and academia. The e-GP practitioners could share details about some of the concepts they have already worked out. All members of the e-GP community could study the worked out details and suitably customize them to address their country specific requirements. The ADB under this TA will provide a facility for knowledge sharing amongst e-GP practitioners. This section lists down a set of details which e-GP practitioners could share with the community in relation to e-GP Architecture and Transition Management:

(i) Functional architecture of e-GP system implemented in their respective countries
(ii) Documentation on transition plan

# VI. ANNEXURE

## A. List of Respondents

| S.no. | Respondent Details | Region |
|---|---|---|
| **South Asia (SARD)** | | |
| 1 | Nepal - Dolidar | SARD |
| 2 | Nepal - Irrigation | SARD |
| 3 | Nepal - GEPSON | SARD |
| 4 | Bhutan | SARD |
| 5 | India - Maharashtra | SARD |
| 6 | India - Karnataka | SARD |
| 7 | India - Gujarat | SARD |
| 8 | Bangladesh | SARD |
| 9 | Srilanka | SARD |
| **Southeast Asia (SERD)** | | |
| 10 | Indonesia | SERD |
| 11 | Malaysia | SERD |
| 12 | Vietnam | SERD |
| 13 | Lao PDR | SERD |
| 14 | Thailand | SERD |
| 15 | Philippines | SERD |
| **Central & West Asia (CWRD)** | | |
| 16 | Uzbekistan | CWRD |
| 17 | Afghanistan | CWRD |
| 18 | Kazakhstan | CWRD |
| 19 | Georgia | CWRD |
| 20 | Kyrgyz Republic | CWRD |
| 21 | Tajikistan | CWRD |
| 22 | Armenia | CWRD |
| 23 | Azerbaijan | CWRD |
| **Pacific (PARD)** | | |
| 24 | Cook Islands | PARD |
| 25 | Vanuatu | PARD |
| 26 | Tuvalu | PARD |
| 27 | Tonga | PARD |
| 28 | Samoa | PARD |
| 29 | Papua New Guinea | PARD |
| 30 | Solomon Islands | PARD |
| 31 | Timor Lieste | PARD |
| 32 | Fiji | PARD |
| **East Asia (EARD)** | | |
| 33 | Mongolia | EARD |

## B. e-GP Systems and Go-live Year

| S.no. | e-GP System | Go-live Year |
|---|---|---|
| 1 | Malaysia | 2000 |
| 2 | Philippines | 2000 |
| 3 | India – Gujarat | 2004 |
| 4 | India - Karnataka | 2007 |
| 5 | Nepal | 2007 |
| 6 | Indonesia | 2008 |
| 7 | Vietnam | 2009 |
| 8 | Afghanistan | 2010 |
| 9 | Kazakhstan | 2010 |
| 10 | Georgia | 2010 |
| 11 | Thailand | 2010 |
| 12 | Bangladesh | 2011 |
| 13 | Uzbekistan | 2011 |
| 14 | Kyrgyz Republic | 2011 |
| 15 | Tajikistan | 2011 |
| 16 | Armenia | 2011 |
| 17 | India - Maharashtra | 2011 |
| 18 | Mongolia | 2012 |

## C. List of Transitioned e-GP Systems

| S.no. | e-GP System | Go-live Year |
|---|---|---|
| 1 | Malaysia | 2000 |
| 2 | Philippines | 2000 |
| 3 | Nepal | 2007 |
| 4 | Indonesia | 2008 |
| 5 | Thailand | 2010 |
| 6 | Kyrgyz Republic | 2011 |
| 7 | Tajikistan | 2011 |
| 8 | Bangladesh | 2011 |

## D. List of Countries which Envisage Transition in the Next 3 Years

| S.no. | e-GP System | Go-live Year |
|---|---|---|
| 1 | Malaysia | 2000 |
| 2 | Philippines | 2000 |
| 3 | Nepal | 2007 |
| 4 | Indonesia | 2008 |
| 5 | Vietnam | 2009 |
| 6 | Thailand | 2010 |

| | | |
|---|---|---|
| 7 | Uzbekistan | 2011 |
| 8 | Bangladesh | 2011 |
| 9 | Kyrgyz Republic | 2011 |
| 10 | Tajikistan | 2011 |
| 11 | India - Maharashtra | 2011 |
| 12 | Mongolia | 2012 |

Appendix 1

**Model Questionnaire to Gather Information about Current Status and Future Plans for Development of e-GP / e-PP System at the National Level**

| | | | | | |
|---|---|---|---|---|---|
| | | **Questionnaire filled out on Date:** | | | |
| **Respondent Details and Contact Information** | | | | | |
| Name: | | | | | |
| Designation: | | | | | |
| Organization Name: | | | | | |
| Address: | | | | | |
| Phone no: | | | | | |
| Fax no.: | | | | | |
| e-mail: | | | | | |
| **Part A: Eco-System Readiness (√ as appropriate)** | | | | | |
| **A-I: Central Public Procurement Authority** | | | | | |
| 1 | Does your country have a central Public Procurement Authority (PPA) with legal authority through legislative enactment, executive decree or administrative regulation to act as functional and normative body in public procurement? | | Yes ☐ | No ☐ | Don't know ☐ |
| | *Note: Ignore Questions 2, 3, 4 and 4A if answer to question 1 is "No" or "Don't know"* | | | | |
| 2 | The PPA reports to: | | | | |
| | A | President / Parliament | ☐ | | |
| | B | Prime Minister's Office | ☐ | | |
| | C | Ministry of Finance/ Treasury | ☐ | | |
| | D | Others (please specify) | | | |
| 3 | Number of people employed by the PPA: | | | | |
| | A | 3-5 Staff | ☐ | | |
| | B | 6-8 Staff | ☐ | | |
| | C | 9-15 Staff | ☐ | | |
| | D | 15 and more | ☐ | | |
| 4 | Does PPA mandate cover procurement undertaken by State owned enterprises in your country? | | Yes ☐ | No ☐ | |
| 4A | Has PPA taken an active role in implementation of e-Procurement | | Yes ☐ | No ☐ | |
| **A-II: Procurement Spend Information** | | | | | |
| 5 | What is the size of the public procurement of your country? Please select the closest corresponding values based on most recent available information or your rough assessment? | | | | |
| | (I) Average annual procurement spend under national and local budget; select one below for each of the last 3 years | | | | |
| | | **Year** | **2011** | **2012** | **2013** |
| | A | Below US$ 10 million | ☐ | ☐ | ☐ |
| | B | Between US$ 10 to 100 million | ☐ | ☐ | ☐ |

| | | | | | |
|---|---|---|---|---|---|
| | C | Between US$ 100 to 200 million | ☐ | ☐ | ☐ |
| | D | More than US$ 200 million | ☐ | ☐ | ☐ |
| | E | Between USD 500 Mill - 1 Bill | ☐ | ☐ | ☐ |
| | F | More than US$ 1 billion | ☐ | ☐ | ☐ |
| | G | Other / Don't know | ☐ | ☐ | ☐ |
| | (ii) Average annual procurement spend by State Owned Enterprises (those who are subject to the procurement regulations); Select one below for each of the last 3 years | | | | |
| | | **Year** | **2011** | **2012** | **2013** |
| | A | Below US$ 10 million | ☐ | ☐ | ☐ |
| | B | Between US$ 10 to 100 million | ☐ | ☐ | ☐ |
| | C | Between US$ 100 to 200 million | ☐ | ☐ | ☐ |
| | D | More than US$ 200 million | ☐ | ☐ | ☐ |
| | E | Between USD 500 Mill - 1 Bill | ☐ | ☐ | ☐ |
| | F | More than US$ 1 billion | ☐ | ☐ | ☐ |
| | G | Other / Don't know | ☐ | ☐ | ☐ |
| | (III) Average annual procurement under Official Development Assistance (Donor-funded projects); select one below for each of the last 3 years | | | | |
| | | **Year** | **2011** | **2012** | **2013** |
| | A | Below US$ 10 million | ☐ | ☐ | ☐ |
| | B | Between US$ 10 to 100 million | ☐ | ☐ | ☐ |
| | C | Between US$ 100 to 200 million | ☐ | ☐ | ☐ |
| | D | More than US$ 200 million | ☐ | ☐ | ☐ |
| | E | Between USD 500 Mill - 1 Bill | ☐ | ☐ | ☐ |
| | F | More than US$ 1 billion | ☐ | ☐ | ☐ |
| | G | Other / Don't know | ☐ | ☐ | ☐ |
| **A-III: Readiness of Legislative System** | | | | | |
| 6 | Do you have a National public procurement Law or any other regulatory act with legislative power? | | Yes ☐ | | No ☐ |
| | *<u>Note:</u> Ignore Question7 if answer to question 6 is "No"* | | | | |
| 7 | If answer to Question 6 is yes | | | | |
| | A | Specify whether the public procurement Law enables / mandates e-GP implementation | Yes ☐ | No ☐ | Don't know ☐ |
| | B | Specify whether rules for e-GP implementation have been drafted | Yes ☐ | No ☐ | Don't know ☐ |
| 8 | Is there a Legal provision in your Country to issue legally valid Digital Signature Certificates? | | Yes ☐ | No ☐ | Don't know ☐ |
| 9 | Are electronic and paper documents considered as equally valid as per the Law in your Country? | | Yes ☐ | No ☐ | Don't know ☐ |
| **A-IV: Readiness of Internet Connectivity and IT Infrastructure** | | | | | |
| 10 | Availability of Internet connectivity in government offices | | | | |
| | A | Connectivity mode | Broadband ☐ | | Wide Area Network ☐ |
| | B | Whether government offices are connected | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | | A | Capital City | Yes ☐ | Partially Yes ☐ | No ☐ |
| | | B | Provincial Capitals | Yes ☐ | Partially Yes ☐ | No ☐ |
| | | C | Town, Village and other rural areas | Yes ☐ | Partially Yes ☐ | No ☐ |
| 11 | Availability of broadband connectivity (including wireless broadband) with speed in excess of 256 kbps; approximate response would suffice (i.e.) to learn whether suppliers can get connected | | | | | |
| | A | | Capital City | Yes ☐ | Partially Yes ☐ | No ☐ |
| | B | | Provincial Capitals | Yes ☐ | Partially Yes ☐ | No ☐ |
| | C | | Town, Village and other rural areas | Yes ☐ | Partially Yes ☐ | No ☐ |
| 11A | Kindly provide the following information about the readiness of Internet connectivity in your country | | | | | |
| | A | | Number of Internet users | | | |
| | | A | Number of users connected over Stationary devices | | | |
| | | B | Number of users connected over mobile devices | | | |
| | B | | Percentage of population with access to the Internet | | | |
| | C | | Average cost of broadband connection | | | |
| 12 | Availability of at least one computer and printer in at least 3/4th of government offices purchased within the last 3 years; approximate response would suffice | | | | | |
| | A | | Located in Capital city | | Yes ☐ | No ☐ |
| | B | | Located in Provincial Capitals | | Yes ☐ | No ☐ |
| | C | | Located in village | | Yes ☐ | No ☐ |
| **A-V: IT Literacy of Government Officials and Contractor Community** | | | | | | |
| 13 | Please select one of the options below indicating your perception of IT literacy of Government officials and Contractor community in your Country | | | | | |
| | **S.no.** | | **Description** | | **Government officials** | **Contractors** |
| | A | | Very Good; can log in and use e-GP system just by reading user manuals | | Yes ☐ | Yes ☐ |
| | B | | Good; few hours of training and they will be up to speed | | Yes ☐ | Yes ☐ |
| | C | | Moderate; hands-on training is required but they are used to e-mails and browsing the Internet | | Yes ☐ | Yes ☐ |
| | D | | Poor; basic IT training has to be provided | | Yes ☐ | Yes ☐ |
| **A-VI: Readiness of Banking System** | | | | | | |
| 14 | Specify the number of full-fledged banks operational in your country. If the exact number is not known, please specify approx. number | | | | | |
| 14A | Are the banks inter-connected using a National payment infrastructure, enabling account to account electronic transfer of | | | | Yes ☐ | No ☐ |

| | | | | |
|---|---|---|---|---|
| | funds from one Bank-Branch to another Bank-Branch across Banks | | | |
| 15 | Does your country have Internet Payment Gateway service providers to facilitate online credit card transactions using prominent credit cards such as Visa and Master card? The intent here is to find out whether credit card payments can be enabled in e-GP | | Yes ☐ | No ☐ |
| 16 | Does your country have aggregators to make available all online direct debit transactions under one roof? (i.e.) connect e-GP software and enable electronic transfer of funds from any of the banks linked by the aggregator to Government's bank account | | Yes ☐ | No ☐ |
| 16A | Select the mode(s) of Bid Security payments accepted in your country | | | |
| | A | Cash / Cash equivalent | ☐ | |
| | B | Guarantee / Guarantee equivalent | ☐ | |
| | C | Bid securing declaration | ☐ | |
| **A-VI: Project Management Unit and Governance Establishment** | | | | |
| 17 | Whether your country has set-up a dedicated Project Management Unit (PMU) to monitor and manage e-GP implementation | | Yes ☐ | No ☐ |
| 18 | If PMU is already in place, state the size of PMU team | | | |
| | A | Less than 5 | ☐ | |
| | B | Between 6 and 10 | ☐ | |
| | C | Between 11 and 25 | ☐ | |
| | D | More than 25 | ☐ | |
| 19 | Specify the governance mechanism set-up in your country for e-GP related decision making | | | |
| | A | Two or more layered committee of representatives | | |
| | B | One layered committee of representatives | | |
| | C | All decisions taken by the Head of department | | |
| | D | If other, please specify | | |
| **Part B: e-GP Implementation Plan (√ as appropriate)** | | | | |
| **B-1: Strategic planning** | | | | |
| 20 | Has your government formed or implemented a concrete plan for development of e-GP? (select one of the 4 options specified below) | | | |
| | A | Yes, there is a comprehensive plan and Roadmap for development of e-GP | ☐ | |
| | B | The government is in initial stage of preparing the e-GP development plan and roadmap | ☐ | |
| | C | No, there is no formal plan or agenda for e-GP. However, a base version of e-GP system is already operational | ☐ | |
| | D | No. There is no formal plan or agenda for e-GP and e-GP system is not operational either | ☐ | |
| | *<u>Note:</u> Ignore Questions 21, 22 & 23 if "D" is selected as answer to question 20* | | | |
| 21 | Have you developed or do you plan to develop a National e-GP system as the standard for all government agencies in your country / is there an approved National e-GP plan | | Yes ☐ | No ☐ |
| 22 | Do you foresee the need for multiple e-GP systems in your country | | Yes ☐ | No ☐ |
| 23 | Would your government be willing to share its e-GP system to | | Yes | No |

| | | | | |
|---|---|---|---|---|
| | be used by other countries | | ☐ | ☐ |
| 24 | Select the e-GP functionality envisaged (i.e. already implemented and planned to be implemented within the next 3 years) in your e-GP system | | | |
| | **Information Dissemination (e-Publication)** | | | |
| | A | A single website that consolidates and publishes all national information and policies related to public procurement | | ☐ |
| | B | e-Publication system for real time procurement notices | | ☐ |
| | C | e-Publication of procurement awards and results | | ☐ |
| | D | System for bidders to download bidding documents and RFPs in response to the published procurement notices | | ☐ |
| | **e-Bidding & e-Reverse Auction** | | | |
| | E | Electronic supplier registration system | | ☐ |
| | F | e-Bidding system for bidders to submit their bid or proposals online and observe the online public opening of the bid | | ☐ |
| | G | Online reverse auctions or electronic negotiations | | ☐ |
| | H | Electronic evaluation of bidders technical and financial proposals | | ☐ |
| | **Post Award of Contract** | | | |
| | I | Online purchasing from e-Catalogs or supplier marketplace | | ☐ |
| | J | Electronic contract administration (i.e.) bill approval workflows | | ☐ |
| | **e-Payment** | | | |
| | K | System for electronic receipt of bid securities or guarantees or tender processing / document fees; using credit card and other payment modes | | ☐ |
| | L | e-Payment system which allows invoicing and payment through the system (i.e.) payment out to contractors | | ☐ |
| **Part C: e-GP Implementation Experience (√ and key in as appropriate)** | | | | |
| *Note: Countries with already existing e-GP system are required to respond to questions in this section* | | | | |
| **C-1: e-GP Architecture** | | | | |
| 25 | Specify the number of e-GP systems implemented in your country | | | |
| | A | Only one single system used as a shared infrastructure by all government agencies included Public Sector Undertakings | | ☐ |
| | B | 2-5 e-GP systems | | ☐ |
| | C | 6 – 10 e-GP systems | | ☐ |
| | D | More than 10 e-GP systems | | ☐ |
| 26 | Does the country have an approved National e-GP plan | | Yes ☐ | No ☐ |
| **C-2: e-GP Implementation History & Transition Management** | | | | |
| 27 | Specify the year in which the earliest e-GP system went live in your country | | | |
| 27a | Specify transition / exit management experience(s) (i.e.) the Replacement of one e-GP system by another or IT management of an e-GP system has been transitioned from one IT vendor to another | | | |
| | A | Transition / exit management has happened | Yes ☐ | No ☐ |
| | B | If answer to 27a(A) is “No”, specify the number of times one e-GP system has been replaced by another or IT management of an e- | | |

| | | | | |
|---|---|---|---|---|
| | | GP system has been transitioned from one IT vendor to another. In countries with multiple e-GP systems, specify the average number of times transition has happened | | |
| | C | Is transition / exit management envisaged within the next 3 years | Yes ☐ | No ☐ |
| | D | Whether Transition / Exit Management plan is put in place | Yes ☐ | No ☐ |
| | E | State the reason(s) for planning / effecting transition of e-GP system (if applicable) | | |
| | | A e-GP system got outdated | | ☐ |
| | | B Expiry of contract with the IT implementation agency | | ☐ |
| | | C Other (please specify) | | ☐ |
| | F | If you are experienced in Exit / Transition Management, rank your satisfaction with the transition management experience in 1-5 range (1 refers to very satisfied and 5 refers to not satisfied) | | |

**C-3: General Information about the e-GP system / e-GP systems presently in operation**

*Note: In countries with multiple e-GP systems, please have the questions C-3 to C-10 filled out by 3 largest e-GP systems in the country*

| | | |
|---|---|---|
| A | System Name: | |
| B | Website Address: | |
| C | Year of Launch: | |
| D | Agency(s) using the System: | |

**C-3a: e-GP Functionality Already Implemented and Used & System Design**

| | | | |
|---|---|---|---|
| 28 | Select the e-GP functionality implemented in the e-GP system in operation, as applicable | | |
| | **Information Dissemination (e-Publication)** | | |
| | A | A single website that consolidates and publishes all national information and policies related to public procurement | ☐ |
| | B | e-Publication system for real time procurement notices | ☐ |
| | C | e-Publication of procurement awards and results | ☐ |
| | D | System for bidders to download bidding documents and RFPs in response to the published procurement notices | ☐ |
| | **e-Bidding & e-Reverse Auction** | | |
| | E | Electronic supplier registration system | ☐ |
| | F | e-Bidding system for bidders to submit their bid or proposals online and observe the online public opening of the bid | ☐ |
| | G | Online reverse auctions or electronic negotiations | ☐ |
| | H | Electronic evaluation of bidders technical and financial proposals | ☐ |
| | **Post Award of Contract** | | |
| | I | Online purchasing from e-Catalogs or supplier marketplace | ☐ |
| | J | Electronic contract administration (i.e.) bill approval workflows | ☐ |
| | **e-Payment** | | |
| | K | System for electronic receipt of bid securities or guarantees or tender processing / document fees; using credit card and other payment modes | ☐ |
| | L | e-Payment system which allows invoicing and payment through the system (i.e.) payment out to contractors | ☐ |
| 29A | Whether bidders quote financial rates in online forms or as file attachments in the e-GP | | |

| | | | |
|---|---|---|---|
| | system | | |
| | A | Online forms | ☐ |
| | B | File attachments (e.g. Excel) | ☐ |
| 29B | Is the system workflow based | | |
| | A | Yes. It is a fully workflow based system. The entire organization hierarchy, reporting relationships and delegation of powers are built into the system. All approvals pertaining to tendering are taken online. | ☐ |
| | B | The system has the workflow facility, but it is not being used (e.g. due to change management challenges) | ☐ |
| | C | The system only enables key interactions between government and suppliers. Workflows associated with internal approvals are handled outside the system | ☐ |

**C-4: Business Model (select as appropriate)**

| | | | | |
|---|---|---|---|---|
| 29 | Activities and ownership | | | |
| | **S.no.** | **Description** | **Government** | **Outsourced** |
| | A | Software development | ☐ | ☐ |
| | B | Data centre / hosting environment | ☐ | ☐ |
| | C | Server side hardware (i.e. servers and storage) | ☐ | ☐ |
| | D | Training | ☐ | ☐ |
| | E | Help desk | ☐ | ☐ |
| | F | System Administration | ☐ | ☐ |
| | G | Operations Management (e.g. assignment of Role and Access Based Controls) | ☐ | ☐ |
| | H | Service centres (physical service centres to meet user requirements) | ☐ | ☐ |
| | *Note: Ignore Questions 30 and 31 if none of the activities in Question 29 is outsourced* | | | |
| 30 | Payment model for activities outsourced as per response given to Question 29 | | | |
| | A | Transaction Based / Private Public Partnership (PPP) (i.e. dedicated deployment and not cloud based deployment) | | ☐ |
| | B | Cost plus model (fixed price contract) | | ☐ |
| | C | Cloud based service delivery (i.e.) shared hosting model | | ☐ |
| 30A | Specify the funding source(s) for e-GP system | | | |
| | A | Government | | ☐ |
| | B | Donor agencies | | ☐ |
| | C | Suppliers pay for using the system | | ☐ |
| 30B | If suppliers pay for using the system, which of the following models is adopted | | | |
| | A | Annual subscription fee | | ☐ |
| | B | Bid submission fees, calculated as per the estimated tender value / tender type – paid by each of the bidders participating in a tender | | ☐ |
| | C | A flat fee is paid by each of the bidders participating in a tender | | ☐ |
| | D | A percentage of contract award value | | ☐ |
| | E | Others, please specify | | ☐ |
| 31 | Intellectual Property Rights (IPR) ownership of software in case software development is outsourced as per response given to Question 29 | | | |

| | | | | | |
|---|---|---|---|---|---|
| | A | IPR rests with Government | | | ☐ |
| | B | Government reserves the right to purchase rights for using the software at end of the contract | | | ☐ |
| | C | IPR rights vested with private partner; Government is using the software as a Service (SAAS) | | | ☐ |
| | | A | If 31C is marked as "Yes", identify owner of the procurement data | Government ☐ | Private partner ☐ |
| | | B | List down the measures taken to address privacy concerns | | |
| **C-5: Integration with External Systems** | | | | | |
| 32 | Specify the other government IT systems that the e-GP system links to | | | | |
| | A | National Treasury and Budget | ☐ | | |
| | B | Tax | ☐ | | |
| | C | Business Registration | ☐ | | |
| | D | Banking | ☐ | | |
| | E | Judiciary | ☐ | | |
| | F | Contractors association | ☐ | | |
| | G | Others (please specify) | | | |
| **C-6: e-Bidding System Implementation Details (i.e. if e-Bidding feature is Available)** | | | | | |
| 33 | Is e-Bidding functionality implemented in your System | | | Yes ☐ | No ☐ |
| 33A | Whether manual bid submission co-exists with e-Bid submission (select one of the two) | | | | |
| | A | Only electronic bid submission | | | ☐ |
| | B | Both manual and electronic bid submission happens in parallel | | | ☐ |
| 34 | How bids are evaluated online (select as applicable) | | | | |
| | A | Evaluation is done offline; results are fed into the system | | | ☐ |
| | B | Online bid evaluation; scrutiny committee representatives will input their evaluation details directly in e-GP system | | | ☐ |
| | C | Fully automated bid evaluation; system evaluates technical proposals and also financial proposals | | | ☐ |
| 35 | Secrecy of commercial bids ensured by | | | | |
| | A | Asymmetric key based encryption (Public Key Infrastructure based) | | | ☐ |
| | B | Password based encryption | | | ☐ |
| | C | Not encrypted | | | ☐ |
| 36 | Online authentication | | | | |
| | A | Digital Certificate based implementation | | Government official ☐ | Supplier ☐ |
| | B | Electronic signature (e.g. password and other key based authentication) | | Government official ☐ | Supplier ☐ |
| 36(i) | Do foreign bidders require Digital Signature Certificate to use / participate in e-GP? | | | Yes ☐ | No ☐ |
| 36 (ii) | How do foreign bidders obtain digital signature (only if 36 A marked as yes) | | | | |
| | A | Foreign bidders can obtain the requisite digital certificates from their respective countries in accordance with provisions of the IT Law | | | ☐ |

| | | | |
|---|---|---|---|
| | B | Certain workaround is provided for foreign bidders to purchase digital signatures, these workarounds however are not in line with the IT Law | ☐ |
| | C | Foreign bidders have to visit the e-GP host nation to obtain digital signature certificates | ☐ |
| | D | The procedure for purchase of Digital Signature is not known | ☐ |
| **C-7: e-GP Usage Statistics** | | | |
| 37 | Respondents to fill out this section as accurate as possible and to the extent information is available. Please ensure consistency in your response:<br>a) No. of procurement entities actually using the e-GP platform should not exceed the number of procurement entities originally envisaged as target customers of the e-GP platform (i.e. value entered in B will be lesser than or equal to A)<br>b) Value of contracts awarded using the e-GP platform should not exceed the National procurement spend (i.e. value entered in D will be lesser than or equal to C)<br>c) Contractors / suppliers registered in the system should not exceed active business registered in country (i.e. value entered in F will be lesser than or equal to E) | | |
| | A | Number of procurement entities originally envisaged as target customers of the e-GP platform | |
| | B | Number of procurement entities actually used the e-GP platform since its inception | |
| | C | National procurement spend for the year ending 31st of Dec. 2013 in USD | |
| | D | Value of contracts awarded using the e-GP platform for the year ending 31st of Dec. 2013 in USD | |
| | E | Active business (contractors and suppliers) in your Country as on 31st of Dec. 2013 | |
| | F | Contractors / Suppliers registered in the system as on the 31st of Dec. 2013 | |
| **C-8: Key Success Factors and Major Problems Faced** | | | |
| 38 | What are the key success factors you observe in introducing or implementing e- e-GP in your public procurement system framework? **(select only 3 factors)** | | |
| | A | Transparency and reduction of corruption / less Vigilance | ☐ |
| | B | Accurate data that will contribute to the economic growth | ☐ |
| | C | Efficiency and effectiveness in government procurement, Lesser cost to the government, increased bidder participation & Less procurement cycle | ☐ |
| | D | Political will / Top Management support | ☐ |
| | E | Made mandatory from a certain date | ☐ |
| | F | User friendliness / User friendly system | ☐ |
| | G | Understanding | ☐ |
| | H | Ownership | ☐ |
| | I | Commitment and participatory / Stakeholder collaborations | ☐ |
| | J | Various and continuous change management program / Capacity Building / Training | ☐ |
| | K | More secured, avoid collusion of bidders | ☐ |
| | L | Policy and Legal framework | ☐ |

| | | | |
|---|---|---|---|
| | M | Raise awareness | ☐ |
| 39 | What are the major problems you faced in introducing or implementing e-GP system under your public procurement framework **(select only 3 problems)** | | |
| | A | Capacity of civil servants and their resistance to new changes / Acceptance / Adaptation to new system / old mindset / IT literacy | ☐ |
| | B | Low level of interest in participation | ☐ |
| | C | Public Internet and IT infrastructure (in rural areas); high speed network, DSC / Technology barrier | ☐ |
| | D | Business Process Reengineering / need to simplify procurement method | ☐ |
| | E | Awareness Building | ☐ |
| | F | Lack of financing and support from international donors' community | ☐ |
| | G | Problems caused by the very short period for the reform (less than one year): lack of trainings and lack of information both for procuring entities and suppliers | ☐ |
| | H | Maintenance of service levels of e-GP system | ☐ |
| | I | Trained manpower | ☐ |
| | J | Lack of monitoring systems / governance mechanism for implementation of e-GP | ☐ |
| | K | Working with the IT agency implementing e-GP system | ☐ |
| | L | Lack of involvement from civil society | ☐ |
| | M | Exit Management / Transition Management from one e-GP system to another | ☐ |

| | | | | |
|---|---|---|---|---|
| **C-9: Data Retention, Disaster Recovery , 3rd Party Audit and Anti-virus scan** | | | | |
| 40 | Whether e-GP system has been subjected to 3rd party audit | | Yes ☐ | No ☐ |
| 41 | If the system is subjected to 3rd party audit, select one or more of the following: | | | |
| | A | One time system acceptance audit | | ☐ |
| | B | One time acceptance audit followed by regular periodic audits | | ☐ |
| 42 | Whether Disaster Recovery (DR) for the e-GP system is set-up | | Yes ☐ | No ☐ |
| 43 | Specify the Recovery Point Objective (RPO) for the system | | | |
| | A | Less than 30 minutes | | ☐ |
| | B | 30 minutes – 2 hours | | ☐ |
| | C | 2 hours – 6 hours | | ☐ |
| | D | 6 hours – 24 hours | | ☐ |
| | E | More than 24 hours | | ☐ |
| | F | Not known | | ☐ |
| 44 | Specify the Recovery Time Objective (RTO) for the system | | | |
| | A | Less than 4 hours | | ☐ |
| | B | 4 hours – 8 hours | | ☐ |
| | C | 8 hours – 24 hours | | ☐ |
| | D | More than 24 hours | | ☐ |
| | F | Not known | | ☐ |

| | | | | |
|---|---|---|---|---|
| 45 | Whether files uploaded in e-GP system are subjected to Anti-virus scan | | Yes ☐ | No ☐ |
| 46 | Specify the duration for which e-GP data is kept live in the production environment | | | |
| | A | 1 year | | ☐ |
| | B | 1-3 years | | ☐ |
| | C | 3-5 years | | ☐ |
| | D | More than 5 years | | ☐ |
| | F | Kept forever | | ☐ |
| **C-10: e-GP Policy** | | | | |
| 47 | Whether unified item code classification (e.g. UNSPSC and CPV) is adopted to categorize procurement spend (i.e. for spend analytics) | | Yes ☐ | No ☐ |
| 47A | If answer to 47 is “Yes”, state the Item code classification standard adopted | | | |
| | A | UNSPSC | | ☐ |
| | B | CPV | | ☐ |
| | C | Home grown | | ☐ |
| | D | Other | | ☐ |
| 48 | Whether system malfunction policy (i.e. what to do in case of unexpected system shut down) has been approved and adopted | | Yes ☐ | No ☐ |
| **Part D: e-GP on Software as a Service (SAAS) Model** | | | | |
| 49 | Asian Development Bank (ADB) is considering setting up e-Government Procurement on Software as a Service (SAAS) model, wherein the e-GP software will be hosted and maintained by the ADB selected service provider centrally. Login credentials will be created and provided to country representatives to use the e-GP system. State whether your country will be interested in using the e-GP system hosted by ADB on SAAS model | | | |
| | A | Interested | | ☐ |
| | B | Not interested. We will use our National system(s) instead | | ☐ |
| 50 | If interested in using e-GP system hosted by ADB on SAAS model, rank the e-GP functionality you will be interested in using the most. Ranking to be provided in the range of 1-5, wherein 1 implies most interested and 5 implies least interested | | | |
| | A | Pre-tender | | |
| | B | Information Dissemination (e-Publication) | | |
| | C | e-Bidding | | |
| | D | e-Reverse Auction | | |
| | E | Post Award of Contract | | |