

OECD Methodology for Assessing Procurement Systems (MAPS)*

MAPS. Methodology for assessing procurement systems [website]. Paris: OECD; 2018 (<http://www.mapsinitiative.org>).

Description	Universal tool for assessment of public procurement systems. The latest version, released in 2017, was developed through extensive consultation with partners, countries and opened to public input.
Purpose	Determine strengths and weakness, form the basis for system development and enable monitoring of performance and improvement initiatives.
What measures	Quality of the procurement system, including elements of performance.
Scope	
Enablers	Legal and regulatory framework (procurement), institutional roles, HR, Information systems, practice, accountability, integrity and transp.
Processes	Planning and budgeting, procurement strategy development and execution. Focus is not on processes but on enablers.
Toolkit	
Guidance, Excel spreadsheet, report template.	
Implementation	
6 months from start to finish. Actual assessment from 1w to 4w (in-country mission, usually with partners). Cost from EUR 35K to >100K. Need consultants, but can also be used for self-assessment.	
Framework	
Core Assessment: Analysis of country context and 14 indicators with 55 sub-indicators grouped into four pillars: I. Legal, Regulatory, and Policy Framework; II. Institutional Framework and Management Capacity; III. Procurement Operations and Market Practices; IV. Accountability, Integrity and Transparency of the Public Procurement System. Supplementary assessments for sector level analysis are under development. These follow the same methodology but with adjusted criteria.	
Indicators	
Each pillar is assessed in three steps: i) review of the system, applying assessment criteria expressed in qualitative terms; ii) review of the system, applying a defined set of quantitative indicators iii) identification of substantive or material gaps (gap analysis).	
Evidence base	
Mainly qualitative, against assessment criteria. Includes quantitative elements. Standards have been established through a consultative process driven by OECD. Some indicators require use of a survey with diverse external stakeholders.	
Output	
Report covering each indicator based on available template. Report includes findings, identification of substantive gaps and description of recommendations. A matrix system helps to summarize overall compliance with indicators and identify priority areas for improvement and serious gaps.	
Benchmark against capacity and performance targets	
Not designed as a benchmarking tool, but uses a qualitative and quantitative assessment against defined standards.	
Link to capacity development and learning tools	
Assessment is not linked to a capacity development programme unless this is ongoing or planned by the country, alone or with partners. OECD has prepared a Procurement Toolbox that includes all guidance related to the MAPS (link not updated) as well as resources for practitioners, specially guidance on how to implement the recommendations of the OECD Council for Public Procurement (http://www.oecd.org/governance/procurement/toolbox/).	
Monitoring and evaluation (of assessment outcomes)	
Standardized tool that can be used to monitor progress in implementation of action plans over time.	
Comments	<ul style="list-style-type: none"> • MAPS is a comprehensive tool to assess the quality and performance of a national procurement system against internationally standards for public procurement. • It has been developed through a consultation system that included countries outside OECD and is considered as a reference by development banks and other organizations. • While it can be used to identify critical gaps in the foundation of the procurement system at high level, on itself the tool does not cover extensively performance or actual practice. Therefore, additional input and analysis would be needed to identify root causes of gaps and issues relevant to immunization procurement. • The focus of the assessment is enabling factors and processes related to procurement strategy and execution, so additional assessment elements would be needed to cover other phases in the procurement cycle. • MAPS moved from a score-based assessment to a mix of qualitative and quantitative assessment after consultation with countries. Using the scoring method, focus of review was too much on scoring and not on identification of gaps that need to be addressed. • A sector assessment tool is under development

* This description is based on the work done by UNICEF in connection with the landscape analysis of vaccine procurement assessment tools and provides the basis for the assessment toolbox itself. You can find the report from the landscape analysis via the home page.

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Indicator	Description
Pillar I – Legal, Regulatory, and Policy Framework	
1	The public procurement legal framework applicable to the sector achieves the agreed principles and complies with applicable obligations.
2	Implementing regulations and tools support the legal framework at the sector level
3	The legal framework applicable to the sector, reflects the country's secondary policy objectives and international, including regional /sub-regional obligations
Pillar II – Institutional Framework and Management Capacity	
4	The public procurement system is mainstreamed and well-integrated with the public financial management system at the sector level
5	The sector has institutions in charge of the normative functions for procurement
6	Procuring entities in the sector and their mandates are clearly defined
7	Procurement is embedded in an effective information system for the sector
8	The sector public procurement system has a strong capacity to develop and improve
Pillar III – Procurement Operations and Market Practices	
9	Public procurement practices achieve stated objective in the sector
10	The public procurement market is fully functional and competitive at the sector level
Pillar IV – Accountability, Integrity, and Transparency of the Public Procurement System	
11	Transparency and civil society engagement foster integrity in public procurement
12	The country has effective control and audit systems
13	Procurement appeals mechanisms are effective and efficient
14	The country has ethics and anticorruption measures in place

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For each indicator, the following steps are followed:

Step 1: Qualitative analysis (comparison of actual situation vs. assessment criteria)	Step 2: Quantitative analysis	Step 3: Gap analysis / conclusions (describing any substantial gaps)	Add checkmark if: - substantial gap / potential red-flag found	Initial input for recommendations
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Indicator/ Sub-indicator and Assessment criteria
Pillar I. Legal, Regulatory, and Policy Framework
Indicator 1. The public procurement legal framework achieves the agreed principles and complies with applicable obligations.
Sub-indicator 1(b) Procurement methods
The legal framework meets the following conditions:
(a) Procurement methods are established unambiguously at an appropriate hierarchical level, along with the associated conditions under which each method may be used.
(b) The procurement methods prescribed include competitive and less competitive procurement procedures and provide an appropriate range of options that ensure value for money, fairness, transparency, proportionality and integrity.
(c) Fractioning of contracts to limit competition is prohibited.
(d) Appropriate standards for competitive procedures are specified.

For each indicator, the following steps are followed:

Step 1: Qualitative analysis (comparison of actual situation vs. assessment criteria)	Step 2: Quantitative analysis	Step 3: Gap analysis / conclusions (describing any substantial gaps)	Add checkmark if: - substantial gap / potential red-flag found	Initial input for recommendations
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Pillar II. Institutional Framework and Management Capacity
Indicator 4. The public procurement system is mainstreamed and well integrated into the public financial management system
Sub-indicator 4(a) Procurement planning and the budget cycle
The legal and regulatory framework, financial procedures and systems provide for the following:
(a) Annual or multi-annual procurement plans are prepared, to facilitate the budget planning and formulation process and to contribute to multi-year planning.
(b) Budget funds are committed or appropriated in a timely manner and cover the full amount of the contract (or at least the amount necessary to cover the portion of the contract performed within the budget period).
(c) A feedback mechanism reporting on budget execution is in place, in particular regarding the completion of major contracts.
Sub-indicator 4(b) Financial procedures and the procurement cycle
The legal and regulatory framework, financial procedures and systems should ensure that:
(a) No solicitation of tenders/proposals takes place without certification of the availability of funds.
(b) The national regulations/procedures for processing of invoices and authorisation of payments are followed, publicly available and clear to potential bidders.*
// Minimum indicator // * Quantitative indicator to substantiate assessment of sub-indicator 4(b) Assessment criterion (b): - invoices for procurement of goods, works and services paid on time (in % of total number of invoices). Source: PFM systems.

OECD MAPS module Sector Level Assessment (draft v5, Dec 2018)

Description	Supplementary module to MAPS, focusing on sector assessment. Can be used as a stand-alone tool or in addition to a comprehensive assessment using MAPS core methodology.
Purpose	Provide a comprehensive understanding of the overall functioning and performance of public procurement and general business environment in the sector as they relate to the private sector's ability and capacity to meet sector needs.
What measures	Quality of the procurement system, including elements of performance.

Scope	
Enablers	Legal and regulatory framework (procurement), institutional roles, HR, Information systems, practice, accountability, integrity and transp.
Processes	Planning and budgeting, procurement strategy development and execution. Focus is not on processes but on enablers.

Toolkit	
As for MAPS core methodology. Additional guidance and spreadsheet not yet developed.	
Implementation	
Not known.	

Framework	
SLA module includes 32 sub-indicators for a country that have used the Core tool. As a stand-alone tool, additional 25 sub-indicators from the core tool must be included. Indicators that have been adapted or newly introduced relate to pillars I, II and III. I. Legal, Regulatory, and Policy Framework; II. Institutional Framework and Management Capacity; III. Procurement Operations and Market Practices; IV. Accountability, Integrity and Transparency of the Public Procurement System. There are 15 sub-indicators in the SLA module that include quantitative inputs.	
Indicators	
Each pillar is assessed in three steps: i) review of the system, applying assessment criteria expressed in qualitative terms; ii) review of the system, applying a defined set of quantitative indicators iii) identification of substantive or material gaps (gap analysis).	
Evidence base	
Mainly qualitative, against assessment criteria. Includes quantitative elements. Standards have been established through a consultative process driven by OECD. Some indicators require use of a survey with diverse external stakeholders.	
Output	
Report covering each indicator based on available template. Report includes findings, identification of substantive gaps and description of recommendations. A matrix system helps to summarize overall compliance with indicators and identify priority areas for improvement and serious gaps.	
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Benchmark against capacity and performance targets	
Not designed as a benchmarking tool, but uses a qualitative and quantitative assessment against defined standards.	
Link to capacity development and learning tools	
Assessment is not linked to a capacity development programme unless this is ongoing or planned by the country, alone or with partners. OECD has prepared a Procurement Toolbox that includes all guidance related to the MAPS (link not updated) as well as resources for practitioners, specially guidance on how to implement the recommendations of the OECD Council for Public Procurement (http://www.oecd.org/governance/procurement/toolbox/).	
Monitoring and evaluation (of assessment outcomes)	
Standardized tool that can be used to monitor progress in implementation of action plans over time.	
Comments	<ul style="list-style-type: none"> The focus on interaction between public procurement and market means that the assessment explores elements of procurement strategy development linked to achievement of sector goals, including secondary objectives (environmental, social, development). Flexible approach for use as stand-alone tool (still requires understanding and use of MAPS core methodology if this has not been applied). The sector assessment tool is under development. OECD is open to collaboration with agencies to pilot test for specific sectors (could be health sector or even more focused on immunization).