

CHAPTER 13

Innovation in the Evaluation of Public Procurement Systems

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1. Introduction

Evaluating and measuring public administration and, by consequence, public policies have been some of the ultimate challenges in public governance. Striking the right balance or finding the right approach for evaluation in any domain requires a perfect understanding of the subject matter and the capacity to make choices, to decide on the methodologies and to apply certain techniques that might impact the outcome of the process. This practice is further amplified in the field of public governance, due to the subjectivity of the analysed topics, the usual lack of hard data and the difficulty of agreeing on common metrics.

Public procurement is a crucial component of good governance, poverty reduction, and sustainable development. Governments around the world spend approximately USD 9.5 trillion in public contracts every year. This fact means that on average, public procurement constitutes around 12%-20% of a country's GDP (12% of GDP in OECD Countries,(1) 16% in the European Union). In recent years, public procurement has become one of the most studied public policies. Therefore, strengthening public procurement systems is central to achieving concrete and sustainable results and to building effective institutions. Its economic impact helps explain the shift towards strategic procure-

* The views expressed in this article reflect those of the authors, who contributed personally and not on behalf of the OECD.

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(1) OECD, "Government at a Glance", 2017.

ment together with the recognition from many governments and stakeholders of procurement's capacity to boost broader policy objectives, in the field of sustainability, innovation, small and medium enterprises or social considerations, and has increased the long deserved attention and interest in procurement. In fact, strengthening public procurement systems is central to achieving concrete and sustainable results and to building effective institutions.

In spite of this hype around public procurement, there is still a shortfall of evaluation and measurement techniques that could increase the understanding about the relevance and impact of public procurement systems, and hence contribute to better evidence-based decisions.

This chapter will highlight innovations in the evaluation of public procurement systems, namely by presenting the role of the *Methodology for Assessing Procurement Systems – MAPS*,⁽²⁾ a tool that was revamped and revised over the past three years (2015-2018), and reviewing the arguments around its revision, a debate which has allowed the MAPS tool to stand as the only global standard to assess public procurement in a harmonised, universal and mutually accepted way.

The chapter will go through the origins of the MAPS, its revision process, analytical framework and indicators, the proposed governance and monitoring structures for its future use, including the establishment of a MAPS Secretariat, and how this process is expected to increase its potential and applicability as a solid and reliable tool to assess and evaluate public procurement systems of all kinds.

The chapter will also explain why the MAPS is the most relevant tool to evaluate public procurement systems, helping identifying areas for improvement and reform. Created more than a decade ago, the tool has recently been renovated to re-emerge as a universal assessment for countries in all contexts, regardless of their income level or development status.

MAPS is intended to provide a harmonized tool for use in the assessment of public procurement systems. MAPS is a common assessment tool to be used by countries and the international community irrespective of geographical application or income level. Efforts to ensure a wider dissemination and integration of public procurement activities with public finance management are also part of the modernization of the tool. The methodology has been designed to enable a country, with or without external partners, to conduct an assessment of its procurement system to determine the system's strengths and weaknesses. The assessment provides the country (and interested stakeholders) with information they can use to monitor the performance of the system and

(2) See the Web site on MAPS initiative: www.mapsinitiative.org.

the success of the reform initiatives in improving it. In identifying weaknesses in a given system, external financial partners are also provided with information that helps them determine risks to the funds they provide to countries.

1.1. Background, the creation and evolution of the MAPS

This section provides the background of the Methodology for Assessing Procurement Systems (MAPS), going back to its beginning. The origins are intricately linked with the aid effectiveness agenda adopted by the donor community in the late 1990s and early 2000s.

The MAPS was initially developed in 2003/2004 as a contribution to the collective efforts of many stakeholders to assess and improve public procurement systems, by providing a common tool to analyse information on their key aspects. This methodology was targeted initially to be used in the development context as its concept and design came from the development community.

Since its inception, the MAPS advanced in parallel to the international aid effectiveness agenda which has been marked by a series of high-level forums and agreements on development assistance since the Paris Declaration in 2005. Public procurement has been indirectly a topic from the beginning, given that procurement is central to delivering development projects.

Over the years, the MAPS evolved to be considered one of the main international tools, commonly accepted, to assess public procurement systems. This evolution is linked to a general trend: developing countries were increasingly taking charge of their own development strategies. The result was an increased demand for using the countries' own systems to implement projects. This demand had to be balanced against donors' worries about safeguarding taxpayers' money. With regard to public procurement, MAPS was included into the efforts towards increased aid effectiveness as a tool for enhancing public procurement systems and for monitoring progress in doing so⁽³⁾.

The OECD Development Assistance Committee (DAC) recognised the need for a benchmarking tool for partner countries' procurement systems during the implementation of the 2001 DAC Recommendation on Untying Official Development Assistance (ODA) to the Least Developed Countries. In an effort to increase the effectiveness and efficiency of ODA, DAC members agreed to untie their development assistance. 'Untying aid' means that goods, services and works purchased with ODA should increasingly be open to international competition; fewer and fewer ODA-financed projects should be tied to a

(3) 4th High Level Forum on Aid Effectiveness, 2011.

requirement to purchase in the donor country. A DAC note on the implementation of the recommendation to untie ODA states that “DAC members will work with partner countries to identify needs and to support efforts” to promote “local and regional procurement in partner countries” (OECD/DAC, 2001). In order to support the practical untying of aid, aside from the commitments on paper, countries saw the need to improve country procurement systems. A diagnostic tool was identified as potential assistance to doing so.

There were two types of policy communities involved, and broadly, two streams of events were intertwined: A working group was founded that focussed primarily on public procurement and the development of the MAPS (the “World Bank / OECD Development Assistance Committee [DAC] Procurement Round Table” initiative). In addition, a broader, more overarching community devised principles for development assistance in general, which culminated for example in the Paris principles for aid effectiveness and the related High Level Forums and Declarations. While early discussions took place simultaneously, the evolution of MAPS as a procurement tool became increasingly a part of the discussions around more general principles of Public Financial Management, and of the more general principles set out in the Paris Declaration (2005.) The succession of these international high level forums on development relate to MAPS in three ways: first, the commitments coming out of these meetings triggered the development of the MAPS indicators/methodology. Second, MAPS – already in place – offered indicators to monitor the commitments. Third, broader goals of the development declarations, such as use of country systems, offered a justification for undertaking more MAPS assessments. These levers both influenced the use of MAPS and were influenced in turn by the outcome of the MAPS assessments. Table 1 summarises the main events that helped in consolidating the MAPS.

Table 1: Timeline: MAPS development in the context of the aid effectiveness agenda

Date	Event	Policy Community
March 2002	Monterrey Financing for Development Conference and “Monterrey Consensus”	Aid Effectiveness
January 2003	Launch of the World Bank / OECD Development Assistance Committee (DAC) Procurement Round Table	Public Procurement
February 2003	1st High-Level Forum on Aid Effectiveness, Rome and “Rome Declaration”	Aid Effectiveness

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Date	Event	Policy Community
December 2004	First publication of a public procurement benchmarking methodology (aka MAPS) as part of the Johannesburg Declaration, conclusion of Roundtable	Public Procurement
March 2005	2nd High-Level Forum on Aid Effectiveness, Paris and “Paris Declaration”	Aid Effectiveness
May 2008	Arusha Statement of the OECD DAC Joint Venture on Procurement	Public Procurement
September 2008	3rd High Level Forum on Aid Effectiveness, Accra and “Accra Agenda for Action” (AAA)	Aid Effectiveness
November 2011	4th High-Level Forum on Aid Effectiveness, Busan and the “Global Partnership for Effective Development Cooperation” (GPEDC) Cusco Declaration of the OECD DAC Taskforce on Procurement	Aid Effectiveness Public Procurement
October 2013	Meeting on the Task Force on Procurement, Rabat	Public Procurement
April 2015	Global Public Procurement conference, Manila	Public Procurement
June 2015	First meeting of the Stakeholder Group on the Revision of the MAPS	Public Procurement
July 2015	3rd International Conference on Financing for Development and the “Addis Ababa Action Agenda” (AAAA)	Aid Effectiveness
September 2015	Sustainable Development Goals (SDGs)	General

Source: Author's compilation.

As a consequence of what was previously explained, the Methodology for Assessing Procurement Systems was then developed by the joint World Bank / OECD Development Assistance Committee (DAC) Procurement Round Table initiative, which was a multi-stakeholder approach led jointly by those organisations, bringing together developing countries, as well as bilateral and multilateral donors. Their aim was to develop a set of tools and standards to guide improvements of public procurement systems, and to monitor progress on related commitments, focusing on four areas:

- 1) Develop research about the benefits of good public procurement practices (establishing the rationale for focusing on public procurement reform);
- 2) Agree on standards to benchmark progress on public procurement reform (set targets for countries' reforms and follow up achievements);

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- 3) Build capacity in public procurement systems (develop a strategy for capacity building, based on the World Bank's Country Procurement Assessment Reviews, CPAR);
- 4) Develop monitoring and evaluation mechanisms for reform progress (closely related to no. 1, benchmarks).

The diagnostic framework mentioned as the second goal of the Johannesburg Declaration essentially corresponded to the indicator framework that became the MAPS.

The MAPS was used for different purposes, with some goals receiving more attention than others, depending on the partners and countries applying the methodology.

Concretely, these were the main goals behind the development and application of MAPS:

- 1) Start and follow reform processes;
- 2) Provide a benchmark in support of use of country systems;
- 3) Harmonise and allow mutual accountability.

Since then, MAPS has been used, mainly by developing countries and institutional partners alike, to assess the quality and effectiveness of public procurement systems, but also having in view a strong fiduciary and credit component. When possible, based on the identified strengths and weaknesses, the countries and the interested partners would move on to develop reform strategies and implementation plans. These reforms typically focused on creating the foundation for a well-functioning public procurement system by establishing legal, regulatory, and institutional frameworks. At this stage, MAPS was mainly considered a 'donor tool', used primarily and principally by multilateral development banks to assess the compliance of countries' public procurement systems to support decisions about credit and investment and whether or not to use partner countries' procurement systems when implementing projects.

In recent years renewed commitments to strengthening public procurement systems were made in the global development-related agreements, notably the Sustainable Development Goals (SDGs), which elevated the debate, creating a common understanding among countries of all levels, international organisations and institutional partners about the need to work together to improve global public procurement tools and standards. While these international agreements stood in the tradition of the efforts of improving how development assistance is delivered, public procurement was increasingly perceived as a lever to achieve sustainability.

In fact, the SDGs emphasize the role of public procurement in achieving sustainable development outcomes in a clear manner: Goal 12, which looks at

sustainable consumption, features a specific target (12.7) on sustainable procurement: “Promote public procurement practices that are sustainable, in accordance with national policies and priorities”.(4) In addition, target 16.6 called for the development of “effective, accountable and transparent institutions”, which includes public procurement systems.(5) Taking advantage of this situation, MAPS re-gained importance in parallel. As described in the next section of this chapter (on the revision of the MAPS), the process to revise the tool and adapt it to today’s challenges gained momentum around the same time, and a strong congregation of interests made possible a truly state-of-the-art outcome.

2. *The revision process of the MAPS*

Despite repeated assessments and progress on the MAPS-scale, the amount of ODA channelled through country systems remained behind targets. In addition, the application of the MAPS repeatedly presented the same challenges, regardless of context. In early 2015, taking into account the difficulties in applying the MAPS as it was originally designed, *i.e.* to support reforms and enhance national procurement systems, the increasing recognition of public procurement as a strategic tool from a mere administrative process, and the challenges placed by new global objectives such as the SGDs, different stakeholders called for a profound revision of the MAPS. As it will be explained, the revision confirmed the consolidation of the MAPS as a reform tool, emphasising the universality and robustness of the methodology.

The revision of the MAPS was largely driven by an informal stakeholder group. This stakeholder group built on a history of similar groupings that had been formed and abandoned in parallel with the high-level development forums of the 2000s, as mentioned above. The MAPS revision process was structured as an informal exchange, driven by stakeholders who have used or will use MAPS in the future. The Stakeholder Group on the Revision of the MAPS guided the revision process. First discussions about a MAPS revision took place in 2013, emerging out of the World Bank and the OECD. First ‘stock-takes’ of how MAPS had been used were conducted; options for revising the MAPS were explored in several meetings, for example in Rabat in 2013. During this meeting, stakeholders referred back to the unfinished aspects of the Task Force on Procurement from 2011. The MAPS revision started

(4) See the Web site of the United Nations Sustainable Development Knowledge Platform, Sustainable Development Goal, 12. Ensure sustainable consumption and production patterns.

(5) *Ibid.*, 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels.

concretely in the spring of 2015, at a global public procurement conference in Manila, Philippines (20-21 April 2015). Subsequently, interested stakeholders met periodically to discuss the process of the MAPS revision and first drafts of the updated tool. Meetings were coordinated by the OECD, acting as the MAPS Secretariat, and supported in different ways by the members of the stakeholder group, which came to include representatives from countries, bilateral and multilateral development assistance providers, international organisations and other interested experts and parties, proving to be a unique gathering of international and regional players to develop a common good, under the same understanding.⁽⁶⁾

The stakeholder group shared the objectives of the MAPS revision. To summarize, the reasons for the revision were the following:

1. Evolution of public procurement within public policy and development policy;
2. Increasing importance of performance over compliance;
3. Improving coordination;
4. Emphasising the universality of the MAPS approach.

1. Evolution of public procurement within public policy and development policy.

Public procurement as a policy and research area progressed substantially in recent years. The most immediate reason why a MAPS revision was called lies in this progress. It goes beyond the scope of this paper to describe this development in detail; to grossly simplify, public procurement as a government function developed from an administrative function to a strategic function, and this change was driven by many prominent international organisations, led by the OECD. In the past, public procurement was considered as the simple purchasing of goods, services and works for the government. Now, in the majority of the cases, the strategic aspects of this activity are being highly

(6) Representatives from the following countries and organisations participated in the exchanges of the stakeholder group: Afghanistan, African Development Bank (AfDB), Agency for Public Management and eGovernment (Difi) in Norway, Asian Development Bank (ADB), Australia's Department of Foreign Affairs and Trade, Global Affairs Canada, Caribbean Development Bank (CDB), Chile, Council of Europe Development Bank (CEB), Colombia, European Bank for Reconstruction and Development (EBRD), European Investment Bank (EIB), European Commission, Expertise France, Georgia, GIZ – commissioned by the German Federal Ministry for Economic Cooperation and Development, Inter-American Development Bank (IADB), Islamic Development Bank (IsDB), Organisation for Economic Cooperation and Development (OECD), Philippines, Senegal, SIGMA (Support for Improvement in Governance and Management), United States Agency for International Development (USAID), World Bank, Zambia, as well as independent public procurement consultants.

appreciated and accounted for, when developing and assessing the functioning of public procurement systems. Countries actively use the governmental purchasing power within a more general understanding, pursuing strategic goals beyond the narrow ones of the past. This, however, made the public procurement function much more complex than before, requiring more sophisticated legal and institutional frameworks and in turn requiring an assessment of the quality of the public procurement system that takes account of that.

International frameworks have been reflecting this shift: most notably, in 2015, the OECD developed a new standard for public procurement systems. This standard was adopted by the OECD member countries through the OECD Recommendation of the Council on Public Procurement.⁽⁷⁾ This recommendation is based on twelve integrated principles, which function together without any prioritisation:

- Access;
- Accountability;
- Balance;
- Capacity;
- Efficiency;
- E-procurement;
- Evaluation;
- Integration;
- Integrity;
- Participation;
- Risk management;
- Transparency.

These principles describe in an aspirational way how a state-of-the-art public procurement system should look and operate. They cover the entirety of the procurement system and the entirety of the public procurement cycle. Together with many other international standards⁽⁸⁾ and the procurement frameworks of the MDBs, it provides a background and an inspiration for the new MAPS, moving it away from the benchmark model only (defining minimum requirements) towards a principles-based and fully aspirational approach.

2. Increasing importance of performance over compliance.

A second development is related to this expansion in approaches to public procurement. Generally, the quality of a system was increasingly based on

(7) See the OECD Web site on Recommendation on Public Procurement.

(8) EU Public Procurement Directives, 2014, UNCITRAL Model Law, 2011, WTO/GPA, 2014 etc.

performance considerations which cannot be assessed by applying a checkbox-style assessment. Instead of assessing mere de-jure compliance, assessors and policy makers are increasingly interested in qualitative evaluations, taking into account de-facto performance. In turn, because of this greater interest, more data has been (and has to be) gathered. This facilitates performance-based assessments in a way that was not possible before. The revised methodology now includes indicators that support this aim, while the previous version of the MAPS was not designed to conduct this type of assessment.

3. Improving coordination.

A third development that sparked the revision of the MAPS was the insight that coordination around assessments and reform was necessary. In fact, countries were faced with an increasing burden to undergo repeated, cumbersome assessments. A revision of the MAPS could introduce changes that facilitated self-assessments, and reduce the burden of repeated assessments by having coordination and mutually reliability/recognition. Stakeholders to the MAPS revision hope to improve coordination around MAPS assessments to exploit synergies, thereby reducing individual costs for assessments and alleviating assessment fatigue on the part of the countries. One ambition has been to revise MAPS in order to create a stronger basis for mutual recognition of assessments, by making the assessments more comparable and by possibly creating an independent party that would supervise the assessment processes. Previously, two assessment teams might not arrive at the same conclusions in the same country when applying the same methodology in the same period of time. This concept of “mutual reliance” was a strong component of the discussions and a large motivation to devote resources to the revision.

4. Universality of the MAPS approach.

The fourth reason for revising the MAPS was to stress the universality of the underlying aim of MAPS: to assist and support countries in improving their public procurement systems, regardless of their current status. Giving priority to this universal goal also contributed to ensuring the relevance of MAPS in the future when countries evolve. Many countries that benefitted from previous MAPS assessments indeed graduated from their status as developing country into mid-income range (such as Chile or Colombia). Constantly striving to improve their public procurement systems, their systems outgrew the previous MAPS. At the same time, the new MAPS indicator framework, targeting the entire procurement system, harbours great potential for more advanced reform. This aspect is also framed by the launch of the SDG in September 2015, defining a universal set of aims, valid for all countries. The

revised MAPS is therefore aligned with this standard: instead of providing a low common denominator or benchmark, the revised MAPS provides aspirational goals of what constitutes a good public procurement system, applicable to all countries no matter from what development level or economic strength they are coming.

One tangible way to allow for this universal applicability in any given country context was realised by introducing optional modules in addition to a ‘core’ MAPS tool that focus on assessing the main (common and basic) features of a procurement system. In fact, MAPS was expanded to a “suite” model, with indicator frameworks for specific and particular topics of a public procurement system that can be added to the assessment as needed, therefore providing a more comprehensive vision of the system. At the time of writing, six optional modules are being developed, on the following topics:

- Agency-level assessments;
- E-procurement;
- Professionalization;
- Public-private partnerships and concessions;
- Sector market analysis;
- Sustainable public procurement.

This list is not exhaustive. These topics were developed taking into consideration the priorities and current trends in the implementation of optimal procurement systems as understood by the MAPS Stakeholders Group. Additional optional modules may be added in the future, as per proven demand from countries or institutions.

Following the substantive review of the MAPS indicator system, the first draft of the revised MAPS was vetted. In the summer of 2016 (from August to October), the draft was publicly available for comment on an OECD Web site;⁽⁹⁾ the draft was also widely circulated in the public procurement and policy communities. Overall, 25 comments were received from 35 countries, agencies, civil society organisations and procurement experts from five continents. Some contributions were submitted jointly. In addition to the solicitation of comments remotely, the MAPS draft was first presented and discussed with a larger audience in a November 2016 meeting in Dakar, Senegal, co-organised by the Senegalese public procurement authority *Autorité de Régulation des Marchés Publics* (ARMP) and the OECD. Overall, the intention has been to create an inclusive revision process, as evidenced

(9) See the OECD Web site on the consultation on the revised Methodology for Assessing Procurement Systems (MAPS).

by this broad public consultation in addition to the already very representative stakeholder group on the revision of the MAPS. The feedback has been overall positive. Comments generally positively acknowledge some innovations in the MAPS which responded to the criticisms and goals described earlier. Further improvements were called for with respect to addressing some questions of policy making, as well as technical aspects related to the concrete formulation of indicators. A summary of the feedback can be accessed at the consultation website.⁽¹⁰⁾ In the first half of 2017, the MAPS was tested in a limited number of countries, both developed and developing ones (Norway, Chile and Senegal). These assessments follow the goal of testing whether the revised MAPS methodology works in practice and in what areas it has to be improved, but were nevertheless very comprehensive assessments of a country's public procurement systems, which allowed the national authorities to build on the assessments. The lessons learned from these testing exercises were taken up together with the feedback of the public consultation in the second draft of the revised MAPS, which was presented in October 2017.

3. The New Methodology for Assessing Procurement Systems (MAPS 2018)

As previously mentioned, the new version of MAPS comes timely in the wake of the launch of the SDGs. Like the SDGs, MAPS will be relevant for all countries, irrespective of income level or development status. In addition, MAPS is anchored in the 2015 OECD Recommendation of the Council on Public Procurement and reflective of leading international procurement frameworks such as the UNCITRAL Model Law on Public Procurement (2011), the EU Directives on Public Procurement (2014), the procurement frameworks of most of the multilateral development banks, the procurement-related indicators of international standards (such as PEFA), and new trends towards open contracting initiatives. It provides a holistic assessment framework by establishing the criteria of an effective and efficient procurement system that countries should strive to achieve.

The new MAPS has in its core assessment tool three main sections:

- Section I – User's Guide;
- Section II – Analysis of Country Context;

⁽¹⁰⁾ *Ibid.*

- Section III – Assessment of Public Procurement Systems: 4 Pillars, 14 indicators, 55 sub-indicators; indicators are expressed in qualitative and/or quantitative terms (assessment criteria).

The MAPS analytical framework is presented in Fig. 1 below.

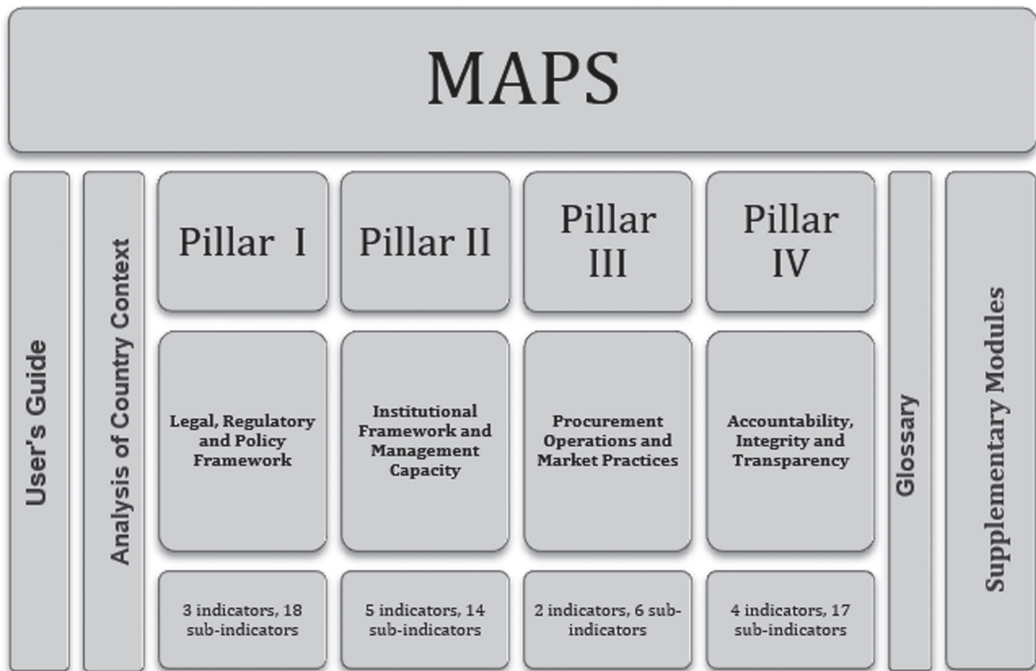


Fig. 1 – The MAPS Analytical Framework
 Source: MAPS Stakeholder Group

In terms of the analytical framework the new MAPS includes not only core indicators, but also supplementary modules, and require an analysis of the country context. The indicator system was enhanced and expanded and the scoring system was abandoned. The former scoring system had merits but turned out to be counterproductive, as countries tended to focus more on the result in itself than on the reasons that led to that result or on the areas for improvement deriving from it. Instead the new MAPS focuses on determining substantive or material gaps and will assign red flags (if necessary), based on a 3-step approach:

- Step 1: Review of the system applying assessment criteria expressed in qualitative terms;
- Step 2: Review of the system applying assessment criteria expressed in quantitative terms;
- Step 3: Analysis and determination of substantive or material gaps (gap analysis) to illustrate the need for developing adequate actions to improve the quality and performance of the system.

The new MAPS is designed to work with a colour mechanism (green, yellow and red), to allow an immediate recognition of the current situation for each of the indicators in each pillar. Should the assessor identify reasons that are likely to prevent adequate actions ‘red flags’ should also be assigned (e.g. disagreement on assessment results; national laws /international agreements impose contrary obligations; other reasons preventing appropriate improvements) etc.

A huge emphasis was also put on improving the assessment process by developing a set of supporting tools, such as concept notes, terms of reference, new data collection methodologies and engagement of stakeholders, from the initial planning to the validation of the assessment results, including a strong stance on quality assurance and peer review mechanisms.

On a pillar by pillar analysis we can highlight the improvements described below. In general terms, we can say that the MAPS Stakeholders Group introduced plenty of innovations in the new methodology (innovations since 2003 when MAPS was initially developed). These changes reflect the modern understanding of public procurement in the international scene, the alignment towards the SDGs and the linkages between the pillars and the optional modules, allowing a complete coverage of the procurement cycle in a comprehensive and strategic manner. Most of the indicators were streamlined and the assessment criteria refined to give a global vision for public procurement, moving away from the development angle only.

3.1. Pillar I – Legal, Regulatory and Policy Framework

Pillar I deals with the legal aspects of the system. The main novelty is indicator 3, which is new and looks at some basic aspects of Sustainable Public Procurement – SPP (e.g. whether the country has adopted a policy to implement SPP in support of broader national policy objectives, and whether the legal framework permits the consideration of sustainability criteria (economic, environmental, social criteria) in public procurement. It also analyses international obligations, looking at legal obligations relating to public procurement that originate from membership in international and/or regional associations

or other binding agreements, e.g. consistent reflection in corresponding laws and regulations. Table I below provides an overview of the 3 indicators of Pillar I.

Table 1 – MAPS Pillar I – Legal, Regulatory and Policy Framework

Indicators	Content
1 Legal framework achieves principles; complies with obligations	<i>Are laws and regulations covering all aspects of public procurement?</i> <ul style="list-style-type: none"> • Regulations for the entire procurement cycle • E-procurement, data management • Public procurement principles
2 Supporting regulations and tools	<i>How are the laws translated into practice?</i> <ul style="list-style-type: none"> • Implementing regulations • Model documents, templates • Guidance
3 Secondary policy objectives, international obligations	<i>What is the overarching framework?</i> <ul style="list-style-type: none"> • Sustainable Public Procurement (SPP) • Obligations deriving from international agreements

3.2. Pillar II – Institutional Framework and Management Capacity

Pillar II assesses the institutional setting and the management capacity providing new approaches. Indicator 5 contains criteria about the assignment of functions without gaps or overlaps, the way authorities are in line with responsibilities assigned or are free from possible conflicts of interest. Indicator 7 is new and addresses electronic procurement, to understand to which extent e-Procurement is currently used and what is the existing capacity to deal with it or the corresponding strategic plans. Another novelty relates to the treatment given to open data and disclosure of information in support of the concept of open contracting. Indicator 8 is also new and bundles several components relevant for managing and improving the public procurement system as a whole, such as training, advice and assistance, professionalisation, performance measurement systems that focus on outcomes vs. set targets, development impact, and strategic plans to improve the system. Table 2 highlights the relevant topics in each indicator of Pillar II.

Table 2 – MAPS Pillar II – Institutional Framework and Management Capacity

Indicators	Content
4 Mainstreaming and integration with the PFM system	<i>Is the procurement system well-coordinated?</i> <ul style="list-style-type: none"> • Planning, budgets • Financial procedures
5 Institution in charge of the normative / regulatory function	<i>How is the procurement regulator structured?</i> <ul style="list-style-type: none"> • Status, responsibilities • Organisation, funding, staffing, level of independence
6 Procuring entities and their mandates	<i>How are procuring entities structured?</i> <ul style="list-style-type: none"> • Responsibilities, mandates • Centralized procurement body
7 Information systems	<i>How is procurement information managed?</i> <ul style="list-style-type: none"> • Publication, information technology, e-Procurement • Strategies
8 System's capacity to develop and improve	<i>How does the system learn?</i> <ul style="list-style-type: none"> • Training, assistance for procurers • Procurement as a profession • Performance monitoring

3.3. Pillar III – Procurement Operations and Market Practices

Pillar III goes beyond the original MAPS traditional approach by addressing the procurement operations and the functioning of the system in practice. It is a breakthrough pillar, closing the gap between qualitative and quantitative assessments, between compliance-based analysis and performance measurement indicators. In spite of having just two indicators this pillar is quite comprehensive in its analysis. Indicator 9 was designed with the objective of collecting empirical evidence on how the procurement system works in practice, by looking at the practical implementation of procurement principles, rules and procedures formulated in the legal and policy framework. The focus is on the results of the procurement procedures, specifically those that have a higher impact in terms of value for money, improved service delivery, trust in government and secondary policy objectives. It is a demanding exercise as it requires the selection and review of a (representative) sample of actual procurement cases. To substantiate the assessment, the use of additional quantitative indicators is recommended.

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Indicator 10 contains aspects related to the market and key procurement sectors and also the interaction with the private side, such as the participation of civil society in consultative processes when formulating changes to the system, or measures that can improve access to the government marketplace by the private sector. Table 3 below reflects how these indicators are framed.

Table 3 – MAPS Pillar III – Procurement Operations and Market Practices

	Indicators	Content
9	Public procurement practices	<i>How does the system perform in practice?</i> <ul style="list-style-type: none"> • Planning • Selection • Contract management
10	Public procurement market	<i>How is the private sector involved in public procurement?</i> <ul style="list-style-type: none"> • Dialogue, partnerships • Organisation, access to public procurement • Key sectors and sector strategies

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

The last pillar of the MAPS provides a decisive contribution to a complete assessment of a public procurement system by looking at indicators designed to assess key dimensions, such as integrity or transparency. It is also innovative as it includes open contracting principles and it is aligned with the upgraded PEFA framework in some of its sub-indicators. It also recognizes the role civil society can play as a safeguard against inefficient and ineffective use of public resources. That includes among others a focus on making public procurement more competitive and fair or improving contract performance. The pillar also provides clear guidance and visionary directions towards the establishment, independence and capacity of the appeals bodies. Finally, the last indicator covers a wide array of measures to prevent, detect and penalize corruption in public procurement. Reflecting the innovative and evidence base approach of the new MAPS, several quantitative indicators are recommended to substantiate the assessment of indicator 14. Table 4 provides an overview of the content for each of the indicators of Pillar IV.

Table 4 – MAPS Pillar IV – Accountability, Integrity and Transparency of the system

	Indicators	Content
11	Transparency and civil society engagement	<i>How is the public involved in procurement?</i> <ul style="list-style-type: none"> • Consulting the public and civil society, access to information by the public
12	Effective control and audit systems	<i>How is the control system in charge of procurement working?</i> <ul style="list-style-type: none"> • Laws, organisation, procedures, coordination, enforcement in the control system on procurement • Qualification and training
13	Appeals mechanisms	<i>How is the appeals system working?</i> <ul style="list-style-type: none"> • Process for challenges and appeals • Independence, capacity, decisions of the appeals body
14	Ethics and anticorruption measures	<i>How is integrity in procurement safeguarded?</i> <ul style="list-style-type: none"> • Laws on prohibited practices • Implementation of integrity measures (training, code of conduct, reporting, enforcement, procurement documents) • Stakeholder support

4. The governance structure of the New MAPS

As explained in the previous sections, following a general consensus and understanding towards creating a global and more effective instrument to assess public procurement systems worldwide, the MAPS was revised between 2015-2018 by a wide group of stakeholders, organised successfully in an informal manner, that formed the so-called informal MAPS Stakeholder Group, coordinated by the OECD as the informal secretariat. The updated core methodology was presented in October 2017 and endorsed by the OECD Working Party of the Leading Practitioners in Public Procurement, the formal OECD body in charge of public procurement matters. While the previous MAPS development and the revision were informal, the MAPS Stakeholder Group is now working towards institutionalising the new MAPS and its supporting structures to ensure sustainable implementation of the MAPS initiative and the subsequent follow up, including any remaining aspects of the revision process (such as the completion of the optional modules.)

In fact, one of the most important points of consensus generated when the revision of the MAPS started was the agreement by all partners that a new, modern and effective approach towards managing the new tool was needed, if it was to

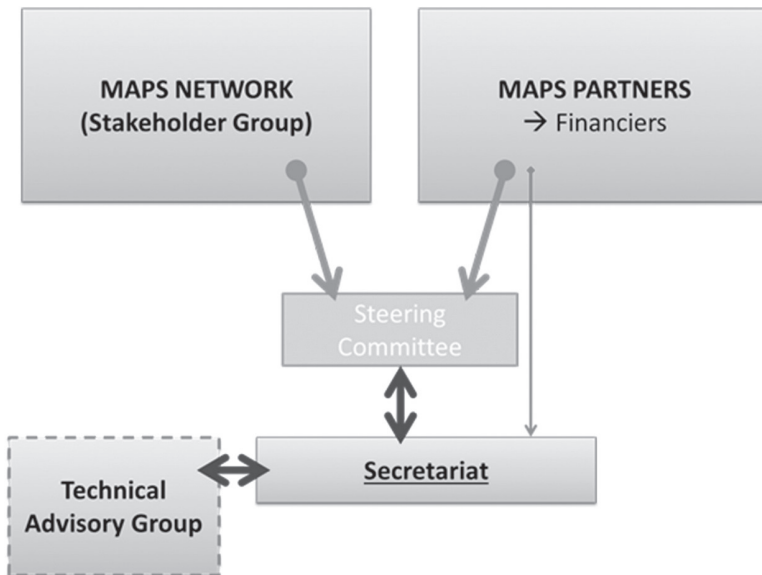
achieve the expected objectives. To achieve that in a sustainable way, the stakeholders supporting the MAPS have been working over the last three years to attain a governance structure reflective of the aspirational features of the tool; *i.e.* harmonised, universal and a basis for reforms. To reach these ambitious goals it was necessary to conceive not just a central entity that could act as the guardian of the methodology, be the repository of the information, provide guidance and training or monitor the performance of the MAPS – the formal MAPS Secretariat – but also to embed it in the other pieces of the surrounding environment.

In fact, to ensure the attainment of the objectives of the MAPS initiative, it was considered necessary to create a comprehensive and inclusive governance structure, capturing the different experiences, sensitivities, backgrounds and expectations of the stakeholders. The following paragraphs detail the vision for the MAPS Secretariat and the governance structure, as it had been agreed by the MAPS Stakeholder Group at the time of writing. Aside from the Secretariat, the core-governing bodies are suggested to be:

- The MAPS Partners (*i.e.* financial);
- The MAPS Network;
- The Steering Committee;
- The Technical Advisory Group.

Their envisioned corresponding tasks are outlined below as agreed previously, irrespective of a possible implementation at a later stage; figure 2 provides an overview of the governance structure.

Fig. 2: MAPS Governance Structure



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Source: MAPS Stakeholder Group

4.1. MAPS Partners

The MAPS Partners would represent the financiers of the secretariat providing a certain minimum amount. The amount of funding provided by each member is contingent upon their capabilities, taking into account the different demand for MAPS-related services from each of the development banks.

4.2. MAPS Network

The MAPS Network is a formal continuation of the informal Stakeholder Group on the Revision of the MAPS. This grouping includes the founders of the MAPS and other interested parties, including non-paying members with an interest in the tool. The MAPS Network would ensure representation and inclusion of parties that might be implicated by MAPS assessments (such as countries) or that have a voice on topics featured in the MAPS, such as countries or non-paying international organisations like the OECD and World Bank as the original sponsors of the MAPS. The group would remain open.

To ensure a meaningful inclusion of the MAPS Network in the governance of the MAPS, a limited number of MAPS members would participate in the Steering Committee. As an initial number, five members of the MAPS Network would take seat in the Steering Committee:

- One representative of the developing countries;
- One representative of bilateral assistance providers;
- One representative of the development banks;
- Two representatives for the original sponsors of the MAPS and major contributors to the revision process, the World Bank and the Chair of the Working Party of the Leading Practitioners in representation of the OECD.

Participation in the Steering Committee would rotate.

4.3. Steering Committee

The Steering Committee would be the oversight body over the Secretariat. It would consist of all financiers of the initiative, plus five members of the MAPS Network. The participants from the MAPS Network would rotate, and would be included to maintain a link to the constituency that is unable to contribute financially but should be heard in the oversight over the secretariat (such as developing countries).

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4.4. Technical Advisory Group

The primary task of the Technical Advisory Group is to ensure intrinsic and even quality of individual MAPS assessments, also providing a forum to raise concerns related to individual MAPS assessments.

While the concrete Technical Advisory Group supervising different MAPS assessments will differ, each member of the MAPS Network and member of the Steering Committee would designate a contact point that serves as the first contact for the MAPS Secretariat with regards to MAPS assessments. In general, the Technical Advisory Group for each country assessment would review assessment reports and other documents as needed, and could provide comments to the assessment.

4.5. The MAPS Secretariat

The MAPS Secretariat would be established to ensure sustainable support of the MAPS Initiative and all activities related to the MAPS, including fulfilling a range of functions to support scale-up and utilisation of the new MAPS. It was designed building on previous experiences and already established structures that provide examples of good practices. The MAPS Secretariat would be the 'guardian' of the revised MAPS. The MAPS Stakeholder Group agreed to work together towards having the OECD as the host institution to the MAPS Secretariat. The informal MAPS Stakeholder Group agreed on the following objectives for the Secretariat:

1. Promotion of the MAPS;
2. Quality control/assurance of assessments and assessors;
3. Impact studies around the use of MAPS, including collection of statistics/data;
4. Maintenance of the MAPS (future improvements);
5. Training for officials and assessors.

The Secretariat would be in charge of the day-to-day management and coordination in furtherance of roll-out and global utilisation of the MAPS. The Secretariat would also facilitate quality assurance of MAPS assessments, and assist countries in planning and conducting MAPS assessments.

It is estimated that the multilateral development banks alone would conduct approximately 20 to 25 MAPS assessments per year on average. This estimate is based on the number of assessments conducted by the multilateral development banks from the creation of MAPS in 2004/5 until 2016, and takes into consideration that some of these assessments overlapped in the past with regards to the evaluated country. A MAPS Secretariat would be able to coordinate the different assessments and ensure that a country is

not assessed several times within a short period of time by different actors. An independent quality check of the assessments is necessary to achieve this consolidation of the MAPS assessments. To ensure that all parties trust and use the same MAPS assessment, each assessment should be vetted by an independent, neutral institution – the MAPS Secretariat. The MAPS Secretariat could also link parties who wish to conduct an assessment of the same country, to potentially create synergies. In addition, a secretariat could support countries wishing to conduct self-assessments.

The below paragraphs explain in brief the rationale behind each suggested objective and the outcomes that are envisioned.

4.6. Objective 1: Promotion of the tool/MAPS

- Establish access to past MAPS assessments: the Secretariat would maintain a publicly accessible, electronic database with those MAPS assessments that have been conducted under the guidance of the Secretariat, *i.e.* that have passed the quality check and that have been cleared by the respective governments.
- Provide help desk-type support to assessors using the MAPS methodology: The Secretariat would provide technical support to those who wish to apply MAPS and would facilitate the use of the MAPS. It would be possible to establish a basic help-desk function immediately.
- Conduct outreach and communication related to the MAPS: MAPS as a tool is an established brand. In addition to the tasks related to the MAPS assessments as described above, the Secretariat would conduct limited MAPS-related outreach and communication to maintain the “MAPS brand” to ensure visibility and to gather feedback.

4.7. Objective 2: Quality control/assurance of assessments and of assessors

- Conduct quality monitoring and provide ‘certification’ of assessments that meet the quality standard specified in the MAPS. The quality assurance mechanism is at the core of the functions of the Secretariat to ensure credibility of MAPS assessments and support mutual reliability. The Secretariat would be in charge of ensuring the quality of the assessments conducted with the approval of the MAPS Secretariat.
- The Secretariat would be able to provide basic quality assurance functions by reviewing and approving the terms of reference and concept notes of MAPS assessments. The MAPS Secretariat would conduct formality checks of the MAPS assessments. This means that the MAPS

Secretariat would review the process and documents associated with a given MAPS assessment, such as TORs, concept notes, and other planning documents. The Technical Advisory Group would provide an additional level of quality assurance for the MAPS assessments. The vetting process for MAPS assessors is envisioned as an incremental process, step-by-step building up to a structured process (in line with the Secretariat's capacity.)

4.8. Objective 3: Impact studies around the use of MAPS, including collection of statistics/data

- Monitor the impact of the MAPS: This task would include a) the collection of data / statistics about the use of MAPS beyond the mere collection of conducted assessments (e.g., by conducting evaluations and surveys around the assessments); b) the analysis of the data, and c) the publication of studies of the collected statistics. Given the complexities of impact evaluation, and to allocate sufficient attention and expertise to this important aspect, the Secretariat would develop a coherent strategy and a framework for impact assessment related to the MAPS.

4.9. Objective 4: Maintenance of the tool (future improvements)

- Monitor over time to what extent MAPS as a tool remains adequate for fulfilling its stated purpose and trigger future revisions where necessary to improve the tool: The MAPS Secretariat would fulfil tasks to ensure that the MAPS remains up-to-date. This would include organising periodic reviews and meetings of the stakeholders and bodies in the governance structure, keeping abreast with regards to other, international instruments and methodologies, as well as related tools and initiatives, and to trigger future revisions to the MAPS.

4.10. Objective 5: Training for officials and assessors

- Provide training for public procurement officials, assessors and any other interested stakeholders in relation to the aspirational standards set in the MAPS: This task would include designing training modules and delivering or providing support to delivering training on how to conduct an assessment with the methodology, how to address findings from an assessment and how to implement changes for a better public procurement

system. This task of the Secretariat would focus on conveying knowledge about the MAPS, without aiming at a certification.

5. Conclusion

As mentioned in the introduction, evaluating public procurement, its strategies and systems, its complexities, its interactions and linkages to broader policy objectives or to public finance management in general is far from being an exact science or a finished task. However, there is a clear understanding amongst the international community about the need to improve methodologies and tools and provide global standards to help countries assessing the functioning of their procurement systems in a clear, sound and impactful way. A convergence of wills and needs originated the first Methodology for Assessing Procurement Systems, MAPS, back in 2003/2004, allowing it to be used by donors and development banks around the world over the past 15 years, and making it one of the most recognized tools for assessing public procurement. An even stronger convergence, interest and commitment from relevant partners started the revision process of this methodology back in 2015.

As explained in the previous sections, the new MAPS was prepared and developed to emerge as the global international standard to assess public procurement in all countries, irrespective of their income level or development status. All steps that were taken in the recent years will allow creating a robust foundation for a sustainable application of the revised MAPS in the years to come. The new MAPS is a great improvement from the previous methodology. It generated a global consensus among all parties. It has a clear governance model and quality assurance mechanisms. Its goals are clear and the structures that were designed will help achieving them. All partners to the MAPS initiative need to play their role properly to ensure that the MAPS will be universal, harmonized and a true global standard. In that regard, the independent MAPS Secretariat will play a very important role in guaranteeing that the objectives of the new MAPS are achieved. The innovation that was put in the collaborative approach that built the new MAPS is reflected in the quality of the tool but also in the sustainable approach that is envisaged for its future. With this in mind it is possible to say, starting from now, that the paradigm of evaluating public procurement systems has changed. And that it has a new standard, the Methodology for Assessing Procurement Systems, the MAPS, our contribution to better policies for better lives.