

Checklist: Review of Compliance

Document 11 - 2018



Checklist: Quality Review of compliance

**INTRODUCTION**

The Methodology for Assessing Procurement Systems (MAPS)1  has been revised. It includes a validation and quality assurance mechanism that can be used by the country or the institution that carries out the assessment to ensure compliance with the MAPS methodology, quality and objectivity and as a result the external certification of MAPS assessments.

The MAPS Secretariat, once established, will offer upon request, advice to country teams for planning and management of MAPS assessments including process and document review to ensure that the assessment has been carried out in compliance with the MAPS methodology (formal review of the assessment process and assessment report). The MAPS Technical Advisory Group (TAG) will carry out the technical review of MAPS assessments. The TAG will work in close cooperation with the MAPS Secretariat. It will prepare comments and guidance, review the final report, and provide clearance of the report for further action (publication, dissemination, etc.) in concurrence with the country assessed.

**PURPOSE**

This template provides a checklist for performing a formal review of the assessment process and the assessment report before a MAPS Secretariat is in place. It can be used by the country or the institution that carries out a MAPS assessment to ensure consistency with the MAPS methodology. The TAG will provide its technical review of MAPS assessments also undertaken during this transition period to confirm the quality and objectivity of the assessment results.

 Methodology for Assessing Procurement Systems (MAPS), Version of September 2017

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| MAPS Assessment – General Information |
| 1. Country assessed: |  |
| 2. Assessment started: |  |
| 3. Assessment carried out by:* Lead Institution
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| 4. Current status: |  |
| 5. Next steps: |  |
| 6. Checklist completed by:* Institution:
* Name:
* Designation:
* Date:
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|  |
| 7. Checklist to be shared with:* Institution(s):
* Name(s):
* Designation(s):
* Date (circulated):
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| A) Formal Review of the Assessment Process |
| Step | **User’s Guide Reference** | **Consideration** | **Yes (Date) / No** | **Data/Comments** |
| 1. Planning and Preparing the Assessment |
| Concept Note  | *Section I,* *Paragraph 31* | Prepared?  |  |  |
| Concept Note Template used?  |  |  |
| Annex 1 (Composition of teams) completed? |  |  |
| Comments requested/by whom? |  |  |
| Feedback received and incorporated? |  |  |
| Any specific issues identified? |  |  |
| Quality assurance by Technical Advisory Group (TAG)? |  |  |
| Assessment Report to be published? |  |  |
| Gaps, if any: |  |  |
| MAPS Assessment Steering Committee  | *Section I,**Paragraph 32* | Established? |  |  |
| Chair:- Institution- Name- Designation |  |  |
| Members: - Institution- Name- Designation |  |  |
| MAPS Assessment Team | *Section I, Paragraph 33* | Self-/Joint/External assessment? |  |  |
| Lead:- Institution- Name- Designation |  |  |
| Members:- Institution- Name- Designation |  |  |
| 2. Analysis of Country Context |
| Structure and scope | *Section II, Analysis of Country Context* | Prepared? |  |  |
| Outline followed?  |  |  |
| 3. Conducting the Assessment |
| Timetable  | *Section I,* *Paragraph 37**Section III, Assessment of Public Procurement Systems* | Established? |  |  |
| Assessment period: |  |  |
| Data collection | Desk reviews conducted?  |  |  |
| Interviews with key stakeholders conducted? |  |  |
| Surveys conducted? |  |  |
| All qualitative indicators applied? |  |  |
| All mandatory quantitative indicators (15) applied? |  |  |
| Additional quantitative indicators applied? |  |  |
| Gaps, if any |  |  |
| Sample cases reviewed? (Ind. 9)  |  |  |
| Analysis of findings | Strengths and weaknesses identified? |  |  |
| Recommendations | Recommendations developed?  |  |  |
| 4. Validation of Findings |
| Validation exercise and reviews  | *Section I,* *Paragraph 38-39* | Validation exercise conducted? |  |  |
| Review by TAG agreed upon and conducted? |  |  |
| TAG Chair:- Institution- Name- Designation |  |  |
| TAG Members: - Institution- Name- Designation |  |  |
| 5. Assessment Report |
| Assessment Report | *Section I,* *Paragraph 40-41* | Available? |  |  |
| Version (Draft/Final): |  |  |
| Language: |  |  |
| Was the preparation of an action plan part of the process (optional)? |  |  |
| Assessment Report includes an action plan? |  |  |
| B) Formal Structural Review of the Assessment Report |
| Section | **User’s Guide Reference** | **Consideration** | **Yes / No** | **Comments** |
| 0. Executive Summary | *Section I,* *Paragraph 41, First bullet point* | Prepared? |  |  |
| In accordance with report template? Summary of:- Background- Country context- Overview of assessment results against the 4 pillars- Recommendations- Process of validation- Action plan (if applicable) |  |  |
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|  |  |
| 1. Introduction | *Section I,* *Paragraph 41,**Second bullet point* | In accordance with report template? - Background/Context- Scope - Methodology- Team- Process |  |  |
| Limitations encountered in the assessment? |  |  |
| 2. Analysis of Country Context | *Section I,* *Paragraph 41,**Third bullet point**Section II, Analysis of Country Context* | Political, economic, geostrategic situation? |  |  |
| The public procurement system and its links with the public finance management and governance systems? |  |  |
| National policy objectives and sustainable development goals |  |  |
| Procurement reform |  |  |
| Other issues (if any) |  |  |
| 3. Assessment | *Section I,* *Paragraph 41,**Fourth bullet point**Section III, Assessment of Procurement Systems* | In accordance with report template? |  |  |
| Pillar level: Summary |  |  |
| Indicator level: - Findings- Substantial gaps incl. “red flags”/risk classification- Recommendations |  |  |
| Ongoing government programmes / initiatives addressed? |  |  |
| Changes (progress, deterioration in the system) since last MAPS assessment addressed? |  |  |
| 4. Consolidated Recommendations | *Section I,* *Paragraph 41,**Fifth bullet point* | In accordance with report template? |  |  |
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| 5. Strategic Planning (if Action Plan is part of the process) | *Section I,* *Paragraph 41,**Sixth bullet point, and**Paragraphs 42-45* | If prepared (could be attached in an annex), for which period? |  |  |
| Aligned with other reform initiatives? |  |  |
| Short-, medium- and long-term measures defined? |  |  |
| Roles, responsibilities, process, resources, timelines, results framework, monitoring and evaluation, and communication defined? |  |  |
| 6. Validation of Findings | *Section I,* *Paragraph 41,**Seventh bullet point, and**Paragraphs 38-39* | Findings validated (Date)? |  |  |
| Validation process described? |  |  |
| Disagreements regarding assessments results? |  |  |
| Comments received by TAG? |  |  |
| TAG comments taken into account? |  |  |
|  |  | Comments and how they have been addressed summarized in an annex to the report? |  |  |
| 7.Annex: Detailed Assessment ResultsStep 1: Review of the system applying assessment criteria expressed in qualitative terms | *Section I, Paragraph 41,**Eighth bullet point, and**Paragraphs 15-16, 28* | Has the provided template (MAPS Indicator Matrix; Excel or Word file) been used? |  |  |
| Does the Assessment Report include a detailed comparison of the actual situation in relation to the assessment criteria including changes that may be underway (sub-indicator level)? |  |  |
| Is the analysis of selected procurement cases (Indicator 9) clearly described? |  |  |
| Is this section complete? Does it address all indicators, sub-indicators, and assessment criteria? |  |  |
| Step 2: Review of the system applying defined set of quantitative indicators | *Section I, Paragraph 41,**Eighth bullet point, and**Paragraphs 17-19* | Are the detailed findings of this analysis included in the annex? |  |  |
| Are all mandatory quantitative indicators covered? If not, how many are covered (x/15)? |  |  |
| Have additional recommended quantitative indicators been assessed?  |  |  |
| Step 3:Analysis and determination of substantive or material gaps (gap analysis) | *Section I, Paragraph 41,**Eighth bullet point, and**Paragraphs 20-24* | Was any further analysis conducted to substantiate the gaps identified in steps 1 and 2? |  |  |
| Is additional evidence reflected in the annex? |  |  |
| Are all areas exhibiting less than full/substantial achievement of the described standard (“substantive gaps”) clearly marked? |  |  |
| Are actions suggested to improve quality and performance of the system? |  |  |
| Have factors been identified that are likely to prevent appropriate action to improve the system? |  |  |
| Are red flags assigned (in case such factors have been identified)? |  |  |
| 8. Additional Annexes |  | List of documents reviewed during the assessment |  |  |
| List of stakeholders interviewed (Institution, Name, Function, Date) |  |  |
| List of people included in the validation and/or TAG |  |  |
| Others, if any (e.g.: web links to institutions, questionnaires):  |  |  |
| 9. Additional observations |  | Additional observations, if any |  |  |