

Template: Assessment Report under the Professionalisation module

VERSION 1.0 – MaY 2023





[Name of country]

Assessment of the Public Procurement system

[Date]

[Logos of main institutions]

# Intellectual property disclaimers

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# Acronyms

# Executive summary

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### Overview of compliance

The following table provides an overview of the findings of the assessment on the level of sub-indicators. Each sub-indicator is identified depending on the findings (full compliance / gaps identified / substantive gaps identified). This table also shows the red flags identified.

| **PILLAR I** | | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- | --- |
| **1. The legal framework includes appropriate regulations on public procurement professionalisation** | 1(a) – Rules on professionalisation |  |  |  |  |
| 1(b) – Rules on private sector participation |  |  |  |  |
| **2. Implementing regulations and tools to support public procurement professionalisation** | 2(a) – Recognition of public procurement as a professional function |  |  |  |  |
| 2(b) – Implementing regulations define the professionalisation policy |  |  |  |  |
| 2(c) – Strategic and specialised procurement, horizontal policy objectives and international obligations |  |  |  |  |

| **PILLAR II** | | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- | --- |
| **3. Professionalisation is a key component of the public procurement system** | 3(a) – The professionalisation is a key component of the public procurement system |  |  |  |  |
| **4. Professionalisation takes place in an environment of planning, monitoring and evaluation** | 4(a) – Professionalisation planning |  |  |  |  |
| 4(b) – Public procurement information systems include data suitable for the efficient support of professionalisation |  |  |  |  |
| 4(c) – Monitoring and evaluation of professionalization policy |  |  |  |  |
| **5. Professionalisation is based on sound principles and standards** | 5(a) – Professionalisation policy is based on sound principles and standards |  |  |  |  |

| **PILLAR III** | | **Full compliance** | | **Gaps identified** | | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **6. The public procurement system has adequate financial mechanisms to finance the cost of education, training and certification of public procurement professionals** | 6(a) – Existence of adequate budgetary resources | |  | |  |  |  |
| **7. Public procurement is recognised as a professional career line in the country’s public service** | 7(a) – Existence of a public procurement competency framework | |  | |  |  |  |
| 7(b) – Existence of a career path of public procurement within the civil service | |  | |  |  |  |
| 7(c) – The career path of public procurement is competitive compared to the rest of the civil service | |  | |  |  |  |
| **8. Market conditions favour the development of professionalisation** | 8(a) – Competitive professionalisation assets | |  | |  |  |  |
| 8(b) – Access to professionalisation assets | |  | |  |  |  |
| 8(c) – Open and inclusive professionalisation market | |  | |  |  |  |

| **PILLAR IV** | | **Full compliance** | **Gaps identified** | **Substantial gaps identified** | **Red flags** |
| --- | --- | --- | --- | --- | --- |
| **9. The professionalisation policy considers ethics and accountability** | 9(a) – Ethical considerations in the professionalisation policy |  |  |  |  |
| 9(b) – Management for results and accountability |  |  |  |  |
| **10. The country has mechanisms that support professional integrity in public procurement** | 10(a) – Supplementary mechanisms for supporting professional integrity in place |  |  |  |  |
| 10(b) – Implementation of mechanisms to sanction professionals for their unethical behaviour |  |  |  |  |

# 1. Introduction

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# 2. Analysis of Country Context

## 2.1. Political, economic and geostrategic situation of the country

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## 2.2. The Public Procurement System and its links with the public finance management and public governance systems

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## 2.3. National policy objectives and sustainable development goals

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## 2.4. Public Procurement Reform

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# 3. Assessment

## 3.1. Pillar I - Legal, Regulatory and Policy Framework

The MAPS core methodology, Pillar I, assesses the existing legal, regulatory and policy framework for public procurement. It evaluates the adequacy of the structure of the legal framework, its clarity, and the precedence of the different instruments to minimize inconsistencies in application. Pillar I comprises three indicators and a total of eighteen sub-indicators.

This assessment of professionalisation reviews (1) whether the existing legal framework includes adequate and clear provisions to effectively support the public procurement professionalisation; and (2) whether implementing regulations and tools supplement the legal framework and supports public procurement professionalisation.

### Prof-Indicator 1. The legal framework includes appropriate regulations on public procurement professionalisation

The indicator covers how the different legal and regulatory instruments regulate the professionalisation of public procurement.

To provide stability to professionalisation at the level of the legal framework, it is important that regulations clearly define professionalisation as a strategic objective in the public procurement system. Being an area in which a balanced participation of public and private sectors is essential (including the normative/regulatory function, public and private academic institutions, professional associations, content and training providers, certification bodies, among others), the legal framework should include references to such participation, or at least not contain provisions that may result in restriction of private sector participation.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 1**

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| --- | --- | --- |
| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 2. Implementing regulations and tools to support public procurement professionalisation

This indicator verifies that the implementing regulations and tools of the public procurement system include support for professionalisation, as well as the internal and external recognition of the importance of professionalisation in the performance of the national procurement system.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 2**

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| --- | --- | --- |
| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.2. Pillar II - Institutional Framework and Management Capacity

The MAPS core methodology, Pillar II, assesses how the procurement system as defined by the legal and regulatory framework in a country is operating in practice through the institutions and management systems that are part of the overall public sector governance in the country. It comprises five indicators and a total of fourteen sub-indicators.

This assessment of professionalisation reviews (1) the integration of professionalisation in the country’s public procurement system; (2) whether professionalisation policy is part of a well-articulated planning, monitoring, and evaluation environment; and (3) the use of sound principles and standards.

### Prof-Indicator 3. Professionalisation is a key component of the public procurement system

This indicator assesses whether professionalisation is a key component of the public procurement system and how it interrelates with other elements of the system, evaluating the capacity of the procurement system to support the professionalisation and the latter to provide the expected benefits to the system.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 3**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 4. Professionalisation takes place in an environment of planning, monitoring and evaluation

This indicator assesses whether the legal and regulatory framework clearly and adequately specifies the institutions in charge of sustainable public procurement and it reviews their responsibilities, funding arrangements and staffing.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 4**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 5. Professionalisation is based on sound principles and standards

This indicator refers to the use of sound principles and standards in the professionalisation policy.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 5**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.3. Pillar III - Public Procurement Operations and Market Practices

The MAPS core methodology, Pillar III, assesses the operational efficiency, transparency, and effectiveness of the procurement system by selecting and reviewing a sample of actual procurement cases of several procuring entities. It also looks at the market as one means of judging the quality and effectiveness of the system when putting procurement procedures into practice. Pillar III of the MAPS core methodology comprises two indicators and a total of six sub-indicators.

This assessment of professionalisation reviews (1) the existence of mechanisms integration to finance at least partially the education and training related costs of professionalisation; (2) whether public procurement is recognized as a professional career line; and (3) whether procurement education, training and certification are developed in a transparent market, free of distortions and where the field of play is levelled.

### Prof-Indicator 6. The public procurement system has adequate financial mechanisms to finance the cost of education, training and certification of public procurement professionals

One of the challenges of professionalisation is the cost of education, training and certification. Adequate funding is necessary to ensure quality education, training and certification that contributes to the sustainable development of the procurement professionalisation market.

Public funds allocated in the procurement entities’ budgets must be available to finance at least partially the costs of education and training of their procurement officers.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 6**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 7. Public procurement is recognised as a professional career line in the country’s public service

As a complement to the sub-indicator 8(b) of the core methodology (Recognition of procurement as a profession), this indicator evaluates specific aspects of such a recognition, like the existence of a competency framework, as well as a career path and how it compares to others, in terms of levels of remuneration and stability. This indicator is divided into three sub-indicators (a-c), which are evaluated individually.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 7**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 8. Market conditions favour the development of professionalisation

Experience has shown that an open, transparent and diversified market, free of distortions and where the field of play is levelled, that provides not only a broad range of professionalisation services but also several and diverse approaches.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 8**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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## 3.4. Pillar IV - Accountability, Integrity and Transparency of the Public Procurement System

The MAPS core methodology, Pillar IV, assesses the integrity of the public procurement system. It reviews the appropriateness of controls and anti-corruption measures and it covers means to enhance transparency. Pillar IV comprises four indicators and a total of seventeen sub-indicators.

This assessment of professionalisation reviews (1) whether the professionalisation policy considers ethical and accountability; and (2) the existence of mechanisms that support professional integrity in public procurement.

### Prof-Indicator 9. The professionalisation policy considers ethics and accountability

This indicator evaluates the inclusion of ethical and integrity aspects in the professionalisation policy and plans and the ways in which the policy promotes a culture of management for results and accountability in the profession. There are two sub-indicators (a-b) contributing to this indicator.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 9**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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### Prof-Indicator 10. The country has mechanisms that support professional integrity in public procurement

This indicator evaluates the existence of mechanisms that support professional integrity in public procurement and that sanction unethical conduct by procurement professionals.

In many cases, these mechanisms will be integrated into the general national fiscal control system, and in others will be part of the supervisory mechanisms established by the procurement normative/regulatory function, or a combination of both, so the assessors could find that the required information coincides with that raised for the evaluation of Indicator 12 of the core methodology.

* **Synthesis of the indicator**

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* **Findings**

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* **Gaps**

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* **Recommendations**

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**Summary of substantive gaps and recommendations of Prof-Indicator 10**

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| **Substantive gap** | **Risk classification and red flags** | **Recommendations** |
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# 4. Consolidated Recommendations

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# 5. Strategic Planning

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| **Proposed action** | **Timeline** | **Responsible institutions** |
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# 6. Validation

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# Annexes/Appendices

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