

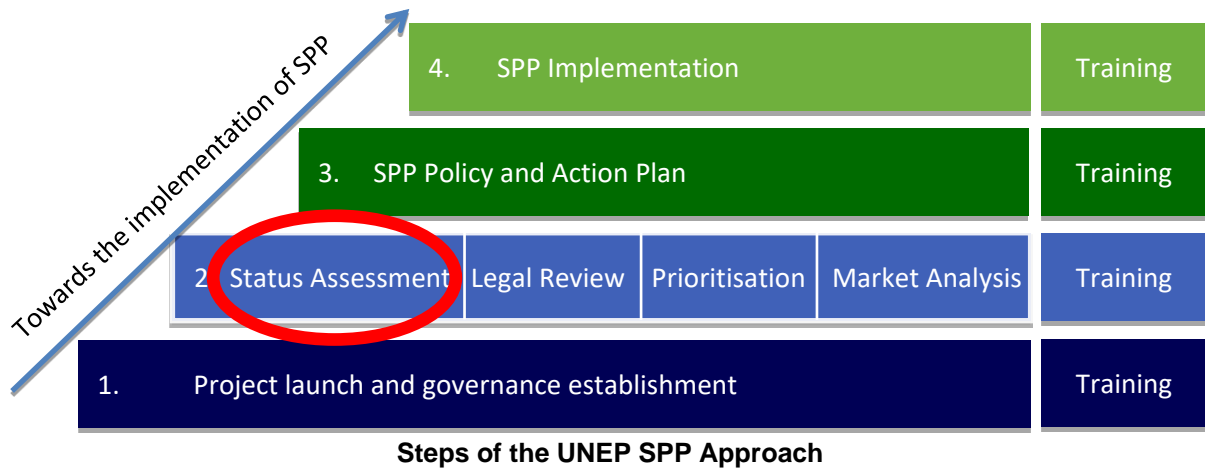
Instructions for the design of the Status Assessment Report

Objective of Work

UNEP provides support to countries to develop and implement Sustainable Public Procurement (SPP) policies by increasing awareness and building the capacities of policy makers and procurement managers.

The methodology applied at country- level is the “UNEP SPP Approach” which is conceived as a series of steps that must be followed by governments to first design and then implement an action plan (see below graph).

The SPP Approach stresses the need to **conduct a Status Assessment as a preliminary step of the implementation of Sustainable Public Procurement**. The Status Assessment report will allow to assess the current state of play of sustainable public procurement in the country, and understand what will be the actions needed and gaps to be filled to ensure the successful implementation of SPP. The information gathered will also serve as a baseline to track progress of SPP over time.



Objectives and Expected Output

Specific Objectives

The Status Assessment exercise mainly aims at:

- understanding the current SPP practices in the country;
- identifying potential barriers & opportunities for the implementation of SPP

It shall also contribute to raise awareness of procurement practitioners by helping them to:

- Identify what is happening nationally with regard to SPP;
- Understand existing gaps and necessary improvements;
- Compare their approach to SPP with other countries;
- Raise awareness of the international commitment to SPP

Moreover, it will serve as a basis for conducting further Status Assessments at later stages, and therefore provide a baseline against which the progress of the implementation of SPP in the country can be assessed.

Required tasks

One tool will be used to assess the SPP status of the country: the **Status Assessment Questionnaire (SAQ)**. The SAQ will be completed by the members of the Steering Committee and used to interview a limited number (less than 10) of Heads of procurement of designated procuring entities (ministries, large cities or public enterprises). The questionnaire is provided in Annex. The SAQ covers the following topics:

- 1) How is public procurement implemented in the country
- 2) What is the country's experience with SPP
- 3) How do interviewed organizations engage stakeholders
- 4) How is public procurement implemented in interviewed organizations
- 5) What are the main obstacles and opportunities for the implementation of SPP in the country

NOTE: Some of the questions can be adapted to the situation of the country. It is recommended that any changes made to questionnaire be first submitted to UNEP for approval.

Methodology of Work

The methodology of work will consist in:

- **STEP 1:** Determining whether the status assessment exercise will cover all public authorities at a national level, or only one or more designated procuring entities involved in the SPP project.
- **STEP 2:** Collecting data and information:
 - Adapt the SAQ to the situation of the country if needed.
 - Send out the SAQ to members of the Steering Committee¹. Note: The SAQ can be filled by all the Steering Committee members at the same time, providing that they bring that day the necessary information requested in the questionnaire.
 - Collect the filled in questionnaires.
 - Conduct interviews with the Chief Procurement Officers and other relevant stakeholders of selected public procurement entities, using as a guide the SAQ (make appointments with Heads of procurement / other relevant stakeholders, carry out interviews, draft interviews reports).
 - Consolidate the responses and submit the consolidated document to the Head of the Steering Committee.
- **STEP 3:** Drafting the status assessment report summarizing the main outcomes obtained through the questionnaire and the interviews.
- **STEP 4:** Submitting the draft report to UNEP for review, before receiving final approval from the Head of the Steering Committee.
- **STEP 5:** Addressing comments from the Steering Committee and finalizing the assessment report

N.B. By broadening the base of individuals and levels of government involved in completing the Status Assessment, characteristics of the different institutions and sectors will emerge and a richer assessment will be gained.

¹ To complete the questionnaires, use and analyse information available on procurement database (if applicable); identify current set of specifications used in public procurement, etc.

Status Assessment Report

Based on the results of the completed questionnaire and conducted interviews, the Status Assessment Report shall summarize the main outcomes, and will follow the table of contents below:

Introduction

- a. List organizations and persons who completed the questionnaire;
- b. Explain the method use to analyze the data collected (numeric formulas used, statistics, spider web diagrams, bar diagrams, etc).

1) Public procurement processes and practices in the country

- a. **Institutional landscape** of public procurement: Which ministries/institutions are in charge of the procurement legislation, training of procurers, central purchasing, audits?
- b. **Procurement structure**: Is the national/federal government's procurement mostly centralized/decentralized/outsourced/mixed?
- c. **Budget** management: How does the national/federal government manage its budgets?
- d. **Regulations** and international agreements applied to public procurement:
 - o Which international agreements do you apply in your procurement practices?
 - o Is the national/federal government a member of the World Trade Organization (WTO) Government Procurement Agreement and Regional Agreements?
 - o How is the Labor clause in (public) contracts convention 1949 (No. 94) applied in procurement in the local country? Which ILO Core Conventions are applied in procurement practice?
- e. **How is public procurement monitored?** Main figures: global value of public procurement, percentage of GDP, breakdown between central procurement, local authorities, public enterprises, etc.

2) Country's experience with SPP and GPP

- a. **National approach to sustainable development**: is there one and does it include public procurement?
- b. **National approach to SPP**: is there one and what sustainability aspects are covered in public procurement? Has there been some progress with regards to SPP (in terms of already including SPP in national legislation, having done empirical SPP processes in some public entities or good practices, etc?)
- c. **Training**: Does the national/federal government provide general training on procurement/how to implement SPP in the country (e.g. good procurement skills development such as influencing, negotiating, contract law), if so to which target group and at which level of government?

3) Stakeholders' engagement and awareness-raising

- a. Are **suppliers** engaged in the government's implementation of SPP? Are they engaged to develop more sustainable products and services? How are suppliers engaged in the public procurement processes in general?
- b. Are **other stakeholders** such as Non-Governmental Organizations, consumer organizations, general public, involved in the development and promotion of SPP?
- c. **How do they co-operate** and work with public authorities to promote and implement SPP?

4) Procurement implementation in interviewed organizations

- a. Describe **procurement processes and practices** in interviewed organizations.
- b. **Procurement structure:** Is procurement mostly centralized, decentralized, outsourced, or mixed? Please provide a graph showing the share of organizations (based on questionnaire results).
- c. **What support do organizations receive on SPP** from the national government (law, training, tools, etc.)? Which aspects of sustainability are covered (economic, social, environmental?)
- d. **Training:** Does the government provide staff with procurement training? To what extent does training cover sustainability issues?
- e. Have organizations already **identified products/services** that have the highest economic, environmental and social impacts?
- f. **Suppliers' evaluation:** How do the organizations evaluate suppliers? To what extent do the organizations apply sustainability criteria when buying products/services? Are bids from suppliers evaluated other than based on price?
- g. **Contract management:** do the organizations continue to manage contracts after they have been awarded?
- h. **Procurement monitoring & reporting:** Do organizations undertake any monitoring and reporting on procurement?

Conclusions and recommendations

- a. Summarize the outcomes related to the state of SPP in the country.
- b. Identify main obstacles and opportunities for the implementation of SPP in the country. The obstacles will need to be addressed during the SPP implementation process, taking advantage of the identified opportunities.

Deliverable

- **A Status Assessment report** in line with the above structure (approx. **20 pages** including appendices). The report must be sent to UNEP in English.
- All material prepared must be in line with the graphic identity of the SPPEL project (the logo will be provided by UNEP).