



MAPS

Methodology for Assessing
Procurement Systems

Sustainable Public Procurement

SUPPLEMENTARY MODULE

VERSION 2 – MARCH 2021



Contents

- Purpose and Use of the Methodology 4
- MAPS Analytical Framework..... 4
- MAPS Module Sustainable Public Procurement (SPP)..... 4
- Compliance with MAPS Methodology 7
- Preamble 9
- Analysis of Context..... 10
- Pillar I. Legal, Regulatory, and Policy Framework 12
 - SPP-Indicator 1. The public procurement legal framework covers sustainable procurement principles 12
 - SPP-Sub-indicator 1(a) – Coverage of sustainability criteria 12
 - SPP-Sub-indicator 1(b) – Procurement methods..... 13
 - SPP-Sub-indicator 1(c) – Rules on participation 13
 - SPP-Sub-indicator 1(d) – Procurement documentation and specifications 14
 - SPP-Sub-indicator 1(e) – Evaluation and award criteria 15
 - SPP-Sub-indicator 1(f) – Contract management..... 16
 - SPP-Indicator 2. Implementing regulations and tools support SPP 17
 - SPP-Sub-indicator 2(a) – Implementing regulations to define sustainable procurement procedures 17
 - SPP-Sub-indicator 2(b) – Model documents for sustainable procurement and standard contract conditions..... 17
 - SPP-Sub-indicator 2(c) – Tool kit to support sustainable procurement 18
 - SPP-Sub-indicator 2(d) – Sustainable Procurement Manual 19
 - SPP-Indicator 3. Policy and strategy provide an enabling framework for implementing sustainable procurement 19
 - SPP-Sub-indicator 3(a) – Sustainable procurement policy 19
 - SPP-Sub-indicator 3(b) – Sustainable procurement strategic action plan..... 20
- Pillar II. Institutional Framework and Management Capacity 21
 - SPP-Indicator 4. Sustainable procurement is mainstreamed and well integrated into the public financial management system 21



SPP-Sub-indicator 4(a) – Budget laws and accounting procedures	21
SPP-Indicator 5. The country has institutions in charge of SPP	22
SPP-Sub-indicator 5(a) – Responsibilities, funding and staffing of normative/regulatory function...	22
SPP-Sub-indicator 5(b) – Certification function	22
SPP-Indicator 6. Procuring entities’ policies and strategies embrace SPP.....	23
SPP-Sub-indicator 6(a) – Procuring entities’ sustainable procurement strategy	23
SPP-Sub-indicator 6(b) – Centralised procurement body	24
SPP-Indicator 7. Sustainable procurement is embedded in an effective information system	24
SPP-Sub-indicator 7(a) – Publication of information on sustainable procurement	25
SPP-Sub-indicator 7(b) – Use of e-Procurement to support sustainability.....	25
SPP-Indicator 8. The public procurement system has a strong capacity to develop and accelerate the shift to more sustainable procurement.....	26
SPP-Sub-indicator 8(a) – Training, advice and assistance on sustainable procurement	27
SPP-Sub-indicator 8(b) – Monitoring of sustainable procurement	27
Pillar III. Public Procurement Operations and Market Practices	29
SPP-Indicator 9. Sustainable procurement practices achieve stated objectives	29
SPP-Sub-indicator 9(a) – Sustainability considerations during the planning stage	29
SPP-Sub-indicator 9(b) – Sustainability considerations during the selection and contracting stage	30
SPP-Sub-indicator 9(c) – Sustainability considerations during the contract management stage	31
SPP-Indicator 10. The private sector contributes to a more sustainable procurement market.....	32
SPP-Sub-indicator 10(a) – Dialogue and partnerships between public and private sector	33
SPP-Sub-indicator 10(b) – Private sector’s organisation and access to the sustainable procurement market.....	33
SPP-Sub-indicator 10(c) – Key sectors and sector strategies to improve sustainability.....	34
Pillar IV. Accountability, Integrity and Transparency of the Public Procurement System.....	35
SPP-Indicator 11. Transparency and civil society engagement foster sustainability in procurement..	35
SPP-Sub-indicator 11(a) – Civil society supports sustainability in procurement	35
SPP-Indicator 12. The country has effective control and audit systems that cover sustainability in procurement	35
SPP-Sub-indicator 12(a) – Audit framework for sustainable procurement	36
SPP-Indicator 13. Procurement appeals mechanisms are effective and efficient	36
SPP-Indicator 14. The country has ethics and anticorruption measures in place:	36
ANNEXES	37
Annex 1 – MAPS SPP Indicator System	37



Annex 2 – MAPS SPP Assessment Criteria expressed in Quantitative Terms..... 39



INTRODUCTION

Purpose and Use of the Methodology

The Methodology for Assessing Procurement Systems (MAPS) is intended to provide a harmonised tool for use in the assessment of public procurement systems. The methodology has been designed to enable a country, with or without support of external partners, to conduct an assessment of its procurement system to determine its strengths and weaknesses: the resulting information can serve as the basis for the design of harmonised system development and reform initiatives to improve capacity and to address weaknesses. The assessment provides the country with information it can use to monitor the performance of its system and the success of the reform initiatives in improving performance. In identifying weaknesses in the current system in a country, external partners are also provided with information that helps them determine risks to the funds they provide to partner countries.

MAPS Analytical Framework

The MAPS analytical framework consists of a core assessment methodology and a number of supplementary modules.

The MAPS core methodology provides a comprehensive approach for assessing procurement systems. It defines the structure to conduct a country context analysis, presents a refined indicator system for assessing the quality and performance of the system in terms of outcomes and results and describes the key elements of the assessment process. The assessment report provides context to the assessment and exhibits the detailed results of the evaluation.

Supplementary modules complement the core assessment methodology. The modules focus on specific policy areas of public procurement and can be used by countries depending on their particular needs. Some of the modules have been designed as stand-alone tools. However, to facilitate a coherent and holistic approach to public procurement assessments and reform, it is generally recommended that the application of a MAPS module should follow or be embedded in a comprehensive assessment using the MAPS core methodology.

MAPS Module Sustainable Public Procurement (SPP)

The MAPS SPP module is intended to provide a harmonised tool for use in the assessment of sustainable public procurement.

SPP is a strategic approach that promotes the integration of the three pillars of sustainable development, i.e. economic development, social development and environmental protection. It is defined a "process



whereby organisations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life basis in terms of generating benefits not only to the organisation, but also to society and the economy whilst minimizing damage to the environment”¹.

The assessment of sustainable public procurement is heavily dependent on information provided by a MAPS core assessment. Therefore, a comprehensive MAPS assessment is generally recommended before the SPP tool is applied. The findings of this core assessment should be used to ensure a proper understanding of the country context and the specific environment public procurement operates in. The integrated application of the SPP tool will sharpen its focus and help avoiding the duplication of efforts. The MAPS SPP module has not been designed as a stand-alone assessment tool.

The table below highlights the sections and indicators of the core methodology that assess specific aspects pertaining to SPP. It illustrates the information readily available establishing the starting point for the modular based assessment.

MAPS Core Assessment: Indicators specifically linked to SPP	
Analysis of Country Context	<p>The Analysis of Country Context provides contextual information to ensure that any MAPS assessment is based on a good understanding of the context in which public procurement institutions and other stakeholders operate in a particular country.</p> <p>It focuses on a number of potentially important factors, all of which are highly relevant to SPP assessments:</p> <ol style="list-style-type: none"> 1. Political, economic and geostrategic situation of the country 2. Public procurement system and its links with the public financial management and public governance system 3. National policy objectives and sustainable development goals 4. Public procurement reform
Assessment of Public Procurement Systems	<p>Assessments based on the MAPS core assessment tool provide plenty of information and data on the quality and performance of the country’s public procurement system. The key findings, recommendations, and programs the government is implementing to improve the system are elaborated in the MAPS assessment report and further detailed in annexes.</p> <p>All of this information is relevant to the assessment of sustainable public procurement. It should be thoroughly reviewed before and when applying the SPP module to get a complete picture and assess whether a country’s procurement system is sound and sustainable.</p> <p>The following indicators specifically address a number of considerations highly relevant to SPP:</p> <ul style="list-style-type: none"> - Indicator 3(a) – Sustainable Public Procurement

¹ Department for Environment, Food and Rural Affairs (2006): Procuring the Future: Sustainable Action Plan: Recommendations from the Sustainable Procurement Task Force. London, in: <http://collections.europarchive.org/tna/20080530153425/http://www.sustainable-development.gov.uk/publications/procurement-action-plan/documents/full-document.pdf>



		- Indicator 9 (a – c) – Public procurement practices
Indicator system		Assessment criteria²
Indicator 3 assesses the extent to which the legal and policy framework supports the sustainable development of the country and the implementation of international obligations.		
3(a)	Sustainable Public Procurement	<p>Sub-indicator 3(a) is exclusively dedicated to SPP. It comprises the following assessment criteria:</p> <ul style="list-style-type: none"> - The country has a policy/strategy in place to implement SPP in support of broader national policy objectives (a) - The SPP implementation plan is based on an in-depth assessment; systems and tools are in place to operationalize, facilitate and monitor the application of SPP (b) - The legal and regulatory framework allows for sustainability (i.e. economic, environmental, and social criteria) to be incorporated at all stages of the procurement cycle (c) - The legal provisions require a well-balanced application of economic, environmental, and social criteria to ensure value for money (d)
Indicator 9 looks at actual performance and assesses whether public procurement practices achieve the stated objectives. The assessment follows the public procurement cycle and entails the review of actual procurement cases. Some of the assessment criteria applied provide a glance at certain sustainability considerations, e.g.:		
9(a)	Planning	<ul style="list-style-type: none"> - Needs analysis and market research guide a proactive identification of optimal procurement strategies (a) - The requirements and desired outcomes of contracts are clearly defined (b) - Sustainability criteria, if any, are used in a balanced manner and in accordance with national priorities (c)
9(b)	Selection and contracting	<ul style="list-style-type: none"> - Throughout the bid evaluation and award process, confidentiality is ensured and appropriate techniques are applied to determine best value for money based on the criteria stated in the procurement documents and to award the contract (e) - Contract clauses include sustainability considerations, where appropriate, and provide incentives for exceeding define performance levels and disincentives for poor performance (g)
9(c)	Contract management	<ul style="list-style-type: none"> - Procurement statistics are available and a system is in place to measure and improve procurement practices (e)

The module on SPP is intended to provide an assessment tool that integrates sustainable public procurement in general procurement assessments and reforms and helps transforming public procurement systems into more sustainable ones. It aims to:

- › Enable a country to assess its legal and institutional framework, operations and market practices, and the accountability, integrity and transparency of SPP
- › Identify strengths and weaknesses of SPP

² Assessment criteria rephrased according to Report on Public Consultations (12 January 2017)



- › Facilitate the implementation of reforms to advance SPP
- › Complement the MAPS core methodology
- › Integrate the existing tools related to SPP
- › Support the implementation and reporting of SDG 12.7 and related goals.³

The module covers the following issues from a sustainability perspective:

- › Legal, regulatory and policy framework
- › Institutional arrangements and inter-ministerial cooperation
- › Strategic plans to implement SPP and build capacities
- › Sustainable procurement cycle
- › Sustainable procurement operations
- › Engagement of private sector and other stakeholders
- › Controls, evaluations, and reporting
- › Ethics
- › Awareness, communication and outreach
- › Networking

The SPP module comprises 29 sub-indicators to be assessed. The indicators rest on the four pillars of the MAPS methodology: a) the existing legal and policy framework; b) the institutional framework and management capacities; c) procurement operations and market practices; and d) accountability, integrity, and transparency of the procurement system.

The indicators are expressed in qualitative and/or quantitative terms, as appropriate.

Compliance with MAPS Methodology

The modular assessment should fully comply with the core Methodology for Assessing Procurement Systems (MAPS), 2018 Version. The methodology comprises the following sections:

Section I – User’s Guide

Section II – Analysis of Country Context

Section III – Assessment of Public Procurement Systems

The Methodology and its supplementary modules are available online on www.mapsinitiative.org

³ Sustainable Development Goal (SDG) 12.7: Promote public procurement practices that are sustainable, in accordance with national policies and priorities.



The MAPS Secretariat offers support to all users of the MAPS methodology on request including:

- › Advice to country teams for planning and management of a MAPS assessment including quality review of Concept Notes and Terms of References for MAPS assessments
- › Advice to MAPS assessment teams on the MAPS methodology
- › Quality review of MAPS assessment reports (in collaboration with the MAPS Technical Advisory Group) to provide certification of assessments that meet the quality standards specified.

Further information, templates, and guidance on applying the MAPS methodology and transforming public procurement systems are available on www.mapsinitiative.org



ASSESSMENT OF SUSTAINABLE PUBLIC PROCUREMENT

Preamble

Sustainable Public Procurement (SPP) builds on the principles and best practices of “traditional” public procurement and considers additional factors to obtain social, environmental and economic benefits appropriately for procuring entities, its supply chain and society as a whole. It introduces new practices to contribute to social development and environmental protection and to achieve value for money and stimulate innovation.

SPP has emerged as a powerful strategic instrument governments increasingly use to help achieve national policy objectives. Most prominently, the 2030 Agenda for Sustainable Development calls on governments to promote public procurement practices that are sustainable, in accordance with national policies and priorities.⁴

The potential benefits of SPP are manifold and often they are mutually reinforcing. For example, sustainable supply chains can generate economic benefits such as job and income creation, social benefits such as improved working conditions and skills development, and environmental benefits, e.g., reduction of hazardous waste or increased energy efficiency. Cost for societies, for example caused by pollution or global warming can be reduced.

At the organisational level, achieving best value for money does not necessarily mean to go for the offer with the lowest purchase price but to select the best offer within the parameters set. That is why the consideration of price and non-price attributes and the application of life cycle costing are at the core of SPP. Even in cases where upfront cost for sustainable products are higher, reduced cost for use, maintenance and disposal may result in reduced total cost and financial savings.

The implementation of SPP is mainly an integration challenge. “Traditional” public procurement systems are the foundation for SPP, but legal frameworks, policies, tools, institutions, information systems, as well as competencies of procurement professionals and public and private stakeholders need to advance to effectively embed sustainability in public procurement practices. This MAPS module builds on the comprehensive MAPS methodology for assessing public procurement systems (MAPS core methodology) and provides an integrated approach for assessing the quality and performance of sustainable public procurement systems.

⁴ United Nations General Assembly: Transforming our world: the 2030 Agenda for Sustainable Development. Resolution 70/1 adopted by the General Assembly on 25 September 2015. A/RES/70/1. Goal 12.7: “Promote public procurement practices that are sustainable, in accordance with national policies and priorities.”



Analysis of Context

The application of MAPS should be preceded by a context analysis to ensure that the assessment is based on a good understanding of the context in which public procurement institutions and other stakeholders operate in a particular country. During the assessment and in developing responses to the findings, the political and institutional environment should be considered to ensure that the reforms are anchored in countries' needs.

Section II of the MAPS core methodology outlines the information that should be gathered at the country level (refer to Section II – Analysis of Country Context). The context analysis comprises, for example, a mapping of key stakeholders that are linked formally and informally to public procurement structures. The assessment report is structured as follows:

1. Brief review of the most relevant aspects of the country's political, economic, and geostrategic situation;
2. The public procurement system and its links with the public finance management and the public governance systems;
3. National policy objectives with a focus on issues that influence public procurement; and
4. Public procurement reform including government ownership, reform priorities, key stakeholders, incentives and challenges that may affect the success of reforms.

Depending on the depth of the country context analysis at hand, a deeper analysis of the enabling environment may be warranted and the prepared list of key stakeholders may need to be completed to ensure that issues of particular interest to the assessment of sustainable public procurement are taken into account.

1) Enabling environment

An enabling environment is needed for SPP to thrive. These factors are economic, political, administrative, socio-cultural, and resources:⁵

There is ample evidence that a certain level of development favours the implementation of SPP. As of today, SPP is mainly implemented in high-income countries and in a number of developing countries that perform rather well in terms of broader development indicators. A country embarking on SPP should not be in a state of emergency where basic needs should be satisfied first. The existence of an economy that encourages free market competition and is supportive of investments and innovation is an advantage.

High-level political commitment and long-term government vision expressed in national SPP policies and action plans are pivotal since the benefits of SPP may only be attained in the longer-term. Notably, there needs to be a general preparedness and funding to pay a potentially higher initial purchase price to benefit from a lower total cost over the lifespan of a product.

⁵ Brinkerhoff, DW 2004. The Enabling Environment for Implementing the Millennium Development Goals: Government Actions to Support NGOs. Washington.

Roos, R 2012. Sustainable Public Procurement – Mainstreaming sustainability criteria in public procurement in developing countries. Lüneburg: Centre for Sustainability Management.



A robust public procurement system, environmental protection and social laws are pivotal administrative factors. A country interested in SPP should have, for example, laws addressing pressing environmental challenges (e.g., the treatment of hazardous waste, regulations on energy efficiency), occupational safety, and the prevention of corruption. The country should also respect the ILO declaration on fundamental principles and rights at work, which bans forced and child labour, establishes the right to form trade unions and ensures non-discrimination,⁶ and other international resolutions (e.g., UN Guiding Principles on Business & Human Rights; International Labor Conference Resolution on global supply chains). A strong public procurement regulatory framework and related capacities should be in place that ensures economy and efficiency, equal opportunities to compete, and a transparent process. It should encourage the development of domestic industries and include checks, balances, and a low level of corruption.

The alignment of national policies with the 2030 Sustainable Development Agenda would be another important driving force behind SPP. An increasing number of countries are developing national frameworks and set targets to achieve the sustainable development goals (SDG) including SDG 12.7, the promotion of public procurement practices that are sustainable.

Finally, the implementation of SPP requires policies and investments in technology, research, education and information. Adequate funding and the development of institutional capacity are required at several layers of government, the private sector and other stakeholders.

The context analysis should be sufficiently elaborate for these factors to be considered during the assessment and in developing responses to the findings. The analysis should also capture specific objectives related to SPP and the level of ambition the government might possibly have. For example, to interpret the assessment results properly and to recommend the way forward it is essential to know whether the country's focus is to lay the foundation for SPP and gradually embed sustainable procurement practices, or whether the government aims to substantially enhance sustainable procurement practices and eventually become a leader in implementing SPP.⁷

2) List of key stakeholders

The context analysis should comprise a thorough mapping of key stakeholders having an interest both in public procurement and in sustainability. The key stakeholders should be engaged as part of the assessment and as part of the future reform process.

⁶ ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up, 1998. The core standards include: (a) freedom of association and the effective recognition of the right to collective bargaining; (b) the elimination of all forms of forced or compulsory labor; the effective abolition of child labor; and (d) the elimination of discrimination in respect of employment and occupation. <http://www.ilo.org/declaration/lang--en/index.htm>.

⁷ The UK Government Sustainable Procurement National Action Plan, for example, comprises a flexible framework of key behavioral and operational changes, which defines five stages of sustainable procurement performance (foundation level, embed level, practice level, enhance level, and lead level). Department for Environment, Food and Rural Affairs, 2006. https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/69417/pb11710-procuring-the-future-060607.pdf



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 eighteen sub-indicators.

There are different ways to establish a legal foundation for SPP, depending on the legal system and tradition in a country. Some countries rely on strong laws, which does not mean that specific laws on SPP are needed. SPP related provisions should rather be incorporated in the general legal framework for public procurement to facilitate sustainable procurement practices as a matter of routine.

By contrast, some countries have successfully introduced green or sustainable procurement by relying on soft law instruments, such as guidelines. Regardless of the approach, the legal framework needs to be conducive to SPP and its interpretation should be straightforward.

This assessment of SPP reviews (1) whether the existing legal framework includes adequate and clear provisions to effectively support the implementation of SPP, (2) the extent to which sustainability has been integrated in regulatory instruments and tools that supplement the law and help making sustainable procurement operational, and (3) whether the country's SPP policy and strategy provide an enabling framework for transforming the national public procurement system into a more sustainable one.

SPP-Indicator 1. The public procurement legal framework covers sustainable procurement principles

This indicator assesses whether the existing legal framework includes adequate and clear provisions to support the implementation of SPP effectively. It comprises six sub-indicators (a-f).

SPP-Sub-indicator 1(a) – Coverage of sustainability criteria

The indicator system of the MAPS core methodology is guided by the principles of economy, efficiency, and transparency (primary objectives of public procurement). The core methodology also assesses whether the legal framework supports horizontal policy objectives. Notably, it reviews whether the legal framework allows for sustainability (i.e. economic, environmental, and social criteria) to be incorporated in any or, all stages of the procurement cycle. It also determines whether the legal provisions require a balanced application of sustainability criteria to ensure value for money. (Refer to indicator 3 of the MAPS core methodology).

This sub-indicator takes a more detailed look at these legal provisions. It assesses whether the legal framework encourages public procurement practices that stimulate development and diffusion of environmentally sound goods, works and services and promotes the integration of the three pillars of sustainable development, which are economic development, environmental development, and social protection. In particular, it reviews whether sustainability is clearly stated as one of the core principles or objectives of public procurement. It also reviews the extent to which the consideration of sustainability criteria in all its forms (including, but not limited to the selection and award) in public procurement is



permitted (voluntarily) or even mandated and whether provisions exist requiring a well-balanced use of sustainability criteria to ensure value for money.

SPP Sub-indicator 1(a): Assessment criteria

The legal framework meets the following conditions:

- (a) Sustainability is integrated as a core principle or objective of public procurement.
- (b) Sustainability encompasses economic, environmental, and social criteria (sustainability criteria).
- (c) There are clear provisions on the inclusion of sustainability criteria throughout the procurement process.
- (d) The legal framework provides for a well-balanced approach to sustainability criteria, requiring observation of proportionality.

SPP-Sub-indicator 1(b) – Procurement methods

Sub-indicator 1(b) of the MAPS core methodology assesses permissible procurement methods and the circumstances under which each method is appropriate. Procurement methods should comprise competitive and less competitive procedures (e.g. single sourcing when appropriate), and provide an appropriate range of options to ensure value for money, fairness, transparency, proportionality and integrity. In this context of SPP, this sub-indicator assesses how available procurement methods are aligned with sustainability considerations.

Choosing the right approach to the market is particularly important for sustainable procurement, since SPP can be a major driver for innovation and help stimulate environmentally and socially conscious markets, particular in sectors where public purchasers represent a large share of the market.

For example, framework agreements or joint procurement arrangements (where the needs of several government agencies are pooled) offer opportunities for procuring entities to sustainability, while leveraging knowledge, stimulating competition and achieving economies of scale (or ensuring the economic dimension of sustainability is considered.)

Options to reserve certain contracts for certain suppliers, for example micro and small enterprises, social enterprises that work with disadvantaged groups, etc., may also be considered as long as they are in support of national policy objectives and do not violate the principles of non-discrimination (see below) and competition, or any international obligations.

SPP Sub-indicator 1(b): Assessment criteria

The legal framework meets the following conditions:

- (a) The procurement methods prescribed support innovative approaches in support of sustainable procurement.
- (b) Options to reserve certain contracts for certain suppliers in connection with sustainability considerations, if any, are in support of national policy objectives and do not violate the principles of non-discrimination and competition, or any international obligations.

SPP-Sub-indicator 1(c) – Rules on participation

This sub-indicator complements the MAPS core methodology, sub-indicator 1(d), which assesses the policies that regulate participation and selection to ensure that they are non-discriminatory.

A number of issues are of particular importance to sustainable procurement and the assessor should review the respective legal provisions in detail.



There may be rules on rationalizing the supply chain or margins of preferences for certain categories of firms. The purpose of such restrictions could, be for example, to create positive effects on local employment and development or to support industrial policies. However, such concessions – if excessive relative to the expected benefits of the horizontal objectives – can deter effective competition and reduce efficiency. The assessor should assess whether such provisions are adequate and justified, so as not to undermine the economy and efficiency of the system. These types of rules should be in line with international agreements ratified by the country (e.g., WTO-GPA, Association Agreements, or Free Trade Agreements) in accordance with national policy objectives. In judging adequacy and justification of such practices, in addition to international good practices, the assessor is asked to take into account the country context. He or she should also consider to what extent these measures are well-balanced, taking into account all dimensions of sustainability as well as general public procurement principles.

The assessor should determine whether the legal framework permits procuring entities to take into account specific environmental and social experience and competencies to assess the bidder's eligibility and ability to perform a specific contract. Qualification criteria should be linked to the subject matter of the contract.

Exclusion criteria may apply to suppliers that have breached environmental laws or failed to pay social contributions. This may be especially the case if the breach constitutes professional misconduct according to national legislation such as clandestine employment or violation of national laws on health and safety at work. Exclusion criteria could also apply to suppliers that have failed to perform on sustainability related factors in a contract. The process to reach decisions on administrative debarment should be clearly defined, including any possible appeals (refer to the MAPS core methodology, sub-indicator 1(d)).

The use of standard contract conditions and contract clauses that define minimum standards should be considered.

SPP Sub-indicator 1(c): Assessment criteria

The legal framework meets the following conditions:

- (a) Restrictions to participation such as rules on rationalizing the supply chain or preferences for certain categories of firms, if any, are adequate and justified and do not undermine the economy and efficiency of the system.
- (b) Qualification criteria, including specific environmental and social experience and competencies, should be linked to the subject matter of the contract.
- (c) Exclusion criteria apply to suppliers that have breached environmental or social laws, in particular if the breach constitutes professional misconduct according to national legislation, and to suppliers that have failed to perform on sustainability related factors in a contract, subject to due process.

SPP-Sub-indicator 1(d) – Procurement documentation and specifications

Sub-indicator 1(e) of the MAPS core methodology assesses the degree to which the legal framework specifies the content of procurement documents. The indicator description highlights that the use of output based (functional) specifications can trigger innovation.

Sustainability depends on innovative solutions. Detailed technical sustainability requirements should be addressed through either precise conformance (technical) or performance (functional) specifications. Specific requirements should set a sustainable standard that is to be met by suppliers or that allows suppliers to propose their ideas, innovations, and approaches to managing the sustainability risk.



This sub-indicator assesses whether the legal framework permits the definition of performance requirements and desired outcomes of the goods, works, and services including consulting services to be procured, as a precondition for drafting functional specifications and whether the legal framework provides flexibility for bidders to present sustainable alternatives, for example by submitting variants.

Sustainability requirements may arise from country's policies on economic, social, and environmental sustainability such as SME development, equality requirements, health and safety requirements, vehicle emissions standards, packaging, etc. Desired environmental impacts could relate to the use of renewable raw materials, energy or water consumption during use, greenhouse gas emissions and air pollutants, lifespan of products⁸, recycling or reuse at the end of the product life, packaging and transport, or waste. Social impacts could encompass accessibility standards for people with disabilities, measures to avoid accidents at work, conditions for safe storage of hazardous materials to safeguard health and safety for workers in work or service contracts, among others.

Sustainability requirement can be based on existing eco-label or social-label criteria, as long as reference to labels is not discriminatory and other valid forms of verification are permitted.

SPP Sub-indicator 1(d): Assessment criteria

The legal framework meets the following conditions:

- (a) The use of output based (functional) specifications is permitted, as appropriate.
- (b) Sustainability requirements may be based on existing eco-label or social-label criteria as long as they are not discriminatory and other valid forms of verification are permitted.

SPP-Sub-indicator 1(e) – Evaluation and award criteria

The MAPS core methodology, sub-indicator 1(f), assesses the quality and sufficiency of the legal framework in respect to objectivity, transparency, and confidentiality of the evaluation process.

From a sustainable procurement perspective, it is important that the law allows for the selection of the most economically advantageous tender. This implies that other evaluation and award criteria can be taken into account beyond the purchase price (non-price attributes) to ensure best value for money. This SPP sub-indicator (1) seeks to verify that the use of price and non-price attributes and the consideration of life cycle costs⁹ and environmental/social characteristics is permitted as appropriate to ensure value for money decisions and (2) assesses whether the legal framework contains the necessary provisions to allow for an effective implementation of the concept.

The principle of value for money requires the evaluation of relevant costs and benefits, along with an assessment of risks and life cycle costs, as appropriate.

SPP sometimes requires higher initial cost for sustainable goods, works or services including consulting services, but there may be long-term savings in total operating and disposal costs. Life cycle costing

⁸ The term "products" comprises goods, works, and services including consulting services.

⁹ Life cycle cost is the sum of all of the costs deriving from the use of goods, services or works during their entire life span, including the purchase, operating, maintenance and end-of-life costs. For further details: <http://www.sigmaweb.org/publications/Public-Procurement-Policy-Brief-34-200117.pdf>



establishes the total cost of ownership over the anticipated lifespan of procurements. If life cycle costing is applied, the lifespan of the product or works, and the net present value need to be considered. Calculating the net present value requires an assumption about future costs such as energy, maintenance or fuel prices. A discount rate has to be determined to compensate for the depreciation of future returns on an investment. The legal provisions should be assessed to ensure that future cost predictions could be taken into account in the evaluation process.

The assessor should review whether the methodology by which the procuring entity determines life cycle costs and the data bidders must provide to make this determination is specified in the procurement documents.

The assessor should also review whether the cost of externalities could be considered, provided they are expressed in monetary terms. Externalities capture impacts (positive or negative) imposed on the environment or society such as greenhouse gas emissions.

SPP Sub-indicator 1(e): Assessment criteria

The legal frameworks meets the following conditions:

- (a) The use of price and non-price attributes and the consideration of life cycle cost are permitted as appropriate to ensure objective and value for money decisions.
- (b) When life cycle costing is used, the methodology by which the procuring entity determines life cycle cost and the data bidders must provide to make this determination should be specified in the procurement documents.
- (c) Provisions specify whether cost of externalities could be considered if expressed in monetary terms and how.

SPP-Sub-indicator 1(f) – Contract management

The MAPS core methodology, sub-indicator 1(i), assesses whether the legal framework appropriately establishes contract management functions.

It is at the contract management stage that desired sustainability outcomes are delivered. This SPP sub-indicator focuses on the legal framework for effective monitoring of contract clauses designed to ensure social or environmental standards, compliance with International Labour Organization (ILO) core standards, application of specific environmental management measures for construction works, etc. Some of the contract clauses may require monitoring way beyond the delivery date stated in the contract.

The legal framework specifying contract management should be adequate to ensure that the contract management function can be fulfilled in support of sustainability. For example, contract clauses and key performance indicators stated in the contract might require the ability to collect data. Supplier relationships may need to be managed and strengthened to maintain focus on key sustainability risks and opportunities. Reports could be considered for major contracts analysing the key success areas and containing lessons learned to improve sustainability. Any evaluation period for contract implementation should cover the entire lifespan of the procurement, in particular when the contract was awarded based on life cycle costing (LCC) or total cost of ownership (TCO).

SPP Sub-indicator 1(f): Assessment criteria

The legal framework meets the following conditions:

- (a) Functions for undertaking contract management for sustainable procurement are legally defined and responsibilities are clearly designated in the law.
- (b) Procedures are clearly defined to ensure the enforcement of contract clauses.
- (c) Contract management includes consideration of sustainability outcomes, covering the entire lifespan of the procurement.



SPP-Indicator 2. Implementing regulations and tools support SPP

This indicator assesses the extent to which sustainability has been integrated in regulatory instruments and tools that supplement the law and help making sustainable procurement operational. It comprises four sub-indicators (a-d).

SPP-Sub-indicator 2(a) – Implementing regulations to define sustainable procurement procedures

Regulations provide the details that explain and enable the application of the legal framework in a variety of applications. The sub-indicator assesses the extent to which sustainability criteria have been incorporated in the country's procurement regulations.

SPP Sub-indicator 2(a): Assessment criteria

Implementing regulations have the following characteristics:

- (a) Regulations that supplement and detail the provisions of the procurement law comprise the application of sustainable procurement.
- (b) Regulations pertaining to sustainable procurement are clear, comprehensive, and part of a consolidated set of regulations readily available in a single accessible place.
- (c) Responsibility for maintenance is clearly established and the regulations on sustainability are updated regularly.

SPP-Sub-indicator 2(b) – Model documents for sustainable procurement and standard contract conditions

Model documents (such as standard bidding documents) contain the basic required clauses that will be incorporated into individual contracts. Standard contract conditions set forth the general terms and conditions of a contract; they are mandatory in their use and not subject to negotiations (refer to sub-indicators 2(b) and 2(c) of the MAPS core methodology).

This sub-indicator assesses the extent to which existing model documents and the standard contract conditions comprise sustainability clauses. A clear definition of requirements is necessary for bidders to understand their obligations and to effectively implement sustainable procurement. If model documents are not available, there should be, as a minimum, a set of standard and mandatory clauses and templates that will help in the formulation of the procurement documents.

Contract clauses are generally the most appropriate stage in the procurement process to include social considerations. This is especially true for considerations related to employment and labour conditions such as the obligation to recruit unemployed persons or persons with disabilities or to comply with fundamental human rights guaranteed by the ILO core conventions (prohibition of forced labour and child labour, right to freedom of association and collective bargaining, non-discrimination in terms of employment and occupation).

Contract clauses can also be used to include environmental considerations. Environmental considerations may, for example, include efficient product delivery at off-peak traffic times to reduce transport impact, reuse/recycling of packaging, reports on greenhouse gas emissions caused in delivering the products, minimisation of waste and the efficient use of resources such as electricity and water on construction



sites, or the application of specific environmental management measures for construction works such as EMAS or ISO 14001.

SPP Sub-indicator 2(b): Assessment criteria

- (a) Model documents or templates for use along the procurement cycle are reflecting sustainability considerations, in particular for key risk areas.
- (b) There is a set of tender model documents, clauses or standard wording related to sustainability whose use is mandatory.
- (c) Standard contract conditions include meaningful sustainability considerations, applicable to the most common types of contracts.

SPP-Sub-indicator 2(c) – Tool kit to support sustainable procurement

This sub-indicator assesses the instruments and tools the country relies on to anchor sustainability throughout the procurement cycle. Common approaches include the following:

- › Definition and use of model specifications (core sustainable product/works execution criteria) for selected (prioritised) product, construction and/or service categories
- › Use of existing eco-labels or social labels to help specifying sustainable products and as a form of verification
- › Directives on the evaluation of environmental benefits (e.g., establishing how the evaluation of fuel consumption or CO2 emissions should be done)
- › Directives on calculating life cycle costs (including net present value)
- › Supplier self-declarations
- › Standardised test and certification procedures
- › Life cycle assessments¹⁰
- › More sophisticated software tools for environmental calculations and impact (e.g., for alternative designs)
- › National database for online calculations and environmental impact tools

SPP Sub-indicator 2(c): Assessment criteria

- (a) There is a tool kit available to support implementation of sustainability considerations throughout the procurement cycle.
- (b) The country has a system for defining core sustainable product criteria.
- (c) There is a standard methodology or tool supporting reliable life cycle costing calculations.
- (d) The tool kit is publicly accessible.

¹⁰ Life cycle assessment (definition): “process of evaluating the effects that a product has on the environment over the entire period of its life thereby increasing resource-use efficiency and decreasing liabilities. It can be used to study the environmental impact of either a product or the function the product is designed to perform. LCA is commonly referred to as a “cradle-to-grave” analysis. LCA’s key elements are: (1) identify and quantify the environmental loads involved; e.g. the energy and raw materials consumed, the emissions and wastes generated; (2) evaluate the potential environmental impacts of these loads; and (3) assess the options available for reducing these environmental impacts.” For further details:

[https://www.eea.europa.eu/help/glossary/eea-glossary/life-cycle-assessment#:~:text=Life%2Dcycle%20assessment%20\(LCA\),use%20efficiency%20and%20decreasing%20liabilities.&text=LCA%20is%20commonly%20referred%20to,%2Dto%2Dgrave%22%20analysis.](https://www.eea.europa.eu/help/glossary/eea-glossary/life-cycle-assessment#:~:text=Life%2Dcycle%20assessment%20(LCA),use%20efficiency%20and%20decreasing%20liabilities.&text=LCA%20is%20commonly%20referred%20to,%2Dto%2Dgrave%22%20analysis.)



SPP-Sub-indicator 2(d) – Sustainable Procurement Manual

As highlighted in sub-indicator 2(d) of the MAPS core methodology, a user’s guide or manual for procuring entities is an important implementation tool that can help provide staff with information that incorporates the law, policies and procedures.

SPP involves new ways of working and public procurement officers will face new challenges or barriers. To support this transformation and achieve progress over time, it is important to systematically link and embed sustainable procurement techniques and procedures in the general procurement manual.

The user’s guide or manual for procuring entities should reference and further explain legal and regulative requirements, processes, techniques and tools for sustainable procurement (refer to sub-indicator 2(c)). The importance of continuous learning should be reflected in the manual given that the cutting edge of sustainable procurement is steadily moving.

SPP Sub-indicator 2(d): Assessment criteria

- (a) Sustainable procurement requirements, processes, techniques and tools are fully integrated in the user’s guide or manual for procuring entities to ensure the correct implementation of procurement laws and regulations.
- (b) Lessons learned are evaluated and reflected in regular updates of the manual.

SPP-Indicator 3. Policy and strategy provide an enabling framework for implementing sustainable procurement

The MAPS core assessment, indicator 3, assesses whether horizontal policy objectives and obligations deriving from international agreements are consistently reflected in the public procurement legal framework. It also undertakes an initial review of the country’s policy and strategy to implement SPP.

This indicator provides a more in-depth assessment of the country’s SPP policy and SPP strategy. It comprises two sub-indicators (a-b).

SPP-Sub-indicator 3(a) – Sustainable procurement policy

This sub-indicator assesses whether (1) the country has adopted a sustainable procurement policy; (2) this policy is coherent with national policy objectives and international obligations; (3) key stakeholders have contributed to policy development.

The application of sustainability criteria (economic, environmental, social) needs to be carefully balanced on a case-by-case basis. Options need to be analysed to ensure that the most effective option is used to achieve a certain goal. Clear and consistent policies that explain the policy goals and objectives of procurement help procurers taking good decisions. The policy should convey the benefits of SPP, support innovation, and be tailored to the local requirements.

Procurement practitioners and key public and private stakeholders (e.g., ministries/departments, local government level, business associations, research institutions) should be involved at the early stages of policy development and provide their advice, for example under the guidance of an interdepartmental task group.



The SPP policy should be based on an in-depth assessment that considers the country context, legal requirements, market conditions, risks and opportunities and potential barriers and the policy should set clear priorities.¹¹

SPP Sub-indicator 3(a): Assessment criteria

- (a) The country has adopted a SPP policy.
- (b) The SPP policy reflects overall government goals and is coherent with international obligations.
- (c) Key stakeholders have contributed to SPP' policy development.

SPP-Sub-indicator 3(b) – Sustainable procurement strategic action plan

This sub-indicator assesses whether (1) the country has adopted a strategic action plan focusing on sustainable public procurement; (2) the SPP strategic action plan is coherent and sufficiently detailed; and (3) the SPP strategic action plan is adequately mainstreamed into broader national development plans.

SPP strategic action plans provide an excellent opportunity for governments to demonstrate leadership and commitment. They also help create bottom-up ownership, which is one of the most important factors for success.

Transforming a public procurement system into a more sustainable one is a cyclical process. The development of a strategic action plan is a continuation of the assessment exercise and it helps to clarify the vision and the objectives articulated in the SPP policy (refer to sub-indicator 3(a)). The strategic action plan should include the strategic goals, solutions to risks, barriers or other issues identified during the assessment and clear implementation and monitoring arrangements. It should be grouped around the key themes addressed in this MAPS assessment. Appropriate attention should be given to the engagement of stakeholders and to the communication of the plan.

The SPP strategic action plan should be appropriately linked to broader government programs such as the national sustainable development strategy to convey its legitimacy and elevate its effectiveness. The strategic action plan should seek to establish sustainable procurement as an integral part - and not an addition - to the national public procurement system. Monitoring of implementation is addressed in sub-indicator 8(c).

SPP Sub-indicator 3(b): Assessment criteria

- (a) The country has adopted a strategic action plan for implementing the SPP policy.
- (b) The SPP strategic action plan comprises objectives, priorities, targets, measures, responsibilities, timelines, and estimated costs/funds.
- (c) The SPP strategic action plan comprises clear monitoring arrangements and responsibilities.
- (d) The SPP strategic action plan is appropriately linked to broader government programs (e.g., sustainable development strategy); it is an integral part of the national public procurement system.
- (e) Key stakeholders have contributed to SPP's strategy development.

¹¹ In case a country has not developed a national SPP policy yet, the findings of a MAPS assessment (core assessment and supplementary modules) will provide useful inputs to developing such a policy. The Guidelines of the UN Environment SPP approach provide additional guidance and tools for establishing a governance structure, drafting a SPP policy and subsequent action plans, and SPP implementation.



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.

SPP is particularly dependent on inter-ministerial collaboration, cutting edge management techniques and pertaining competencies. Pillar II of this assessment focuses on linkages with the public financial management system, regulatory functions, procuring entities and systems to manage and improve SPP.

SPP-Indicator 4. Sustainable procurement is mainstreamed and well integrated into the public financial management system

This indicator focuses on specific linkages between SPP and the public financial management system. It comprises one sub-indicator to be assessed (a).

SPP-Sub-indicator 4(a) – Budget laws and accounting procedures

The interactions between the procurement system and the public financial management system are assessed in detail in sub-indicators 4(a) and 4(b) of the MAPS core methodology.

This sub-indicator assesses whether budget laws and financial procedures support life cycle costing. It also seeks to verify the existence of environmental/social accounting systems (non-monetary and monetary accounting).

SPP can have significant economic benefits. While upfront cost for sustainable goods, works or services including consulting services (purchase cost) may be higher, a more comprehensive evaluation of economic, environmental and social costs and benefits can lead to reduced total cost comprising purchase, use, maintenance and disposal (life cycle costs). Budget laws should provide some flexibility between investment budgets and recurrent budgets to allow for value for money decisions.

Environmental and social accounting systems enable the tracking of physical (non-monetary) and monetary data and establish the basis for sound ex-post life cycle assessments.

SPP Sub-indicator 4(a): Assessment criteria

- (a) Budget laws and financial procedures support life cycle costing by providing flexibility between investment budgets and recurrent budgets.
- (b) Environmental and social accounting systems are in place and allow for ex-post life cycle assessments of procurements.



SPP-Indicator 5. The country has institutions in charge of SPP

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. It is sub-divided in two sub-indicators to be assessed (a-b).

SPP-Sub-indicator 5(a) – Responsibilities, funding and staffing of normative/regulatory function

Indicator 5 of the MAPS core methodology assesses the institution in charge of the normative/regulatory function within the public sector in terms of its formal powers, responsibilities, and organisation.

This indicator assesses whether responsibilities and functions for the country-wide implementation of SPP have been assigned. Depending on the institutional set up chosen by a country, one institution may be in charge of all normative and regulatory functions including those specific to SPP. In other contexts, key functions may have been assigned to several agencies.

In any case, there should be no gaps or overlaps and the functions should be performed as a well-coordinated joint effort.

The normative/regulatory institution or the institutions entrusted with the normative/regulatory tasks should have a defined set of responsibilities that include the following specific tasks related to sustainable public procurement:

SPP Sub-indicator 5(a): Assessment criteria

The following functions are clearly assigned to one or several agencies without creating gaps or overlaps in responsibility:

- (a) Providing advice on SPP to procuring entities
- (b) Drafting SPP policies
- (c) Taking the lead in developing SPP strategies (implementation plans, improvement plans)
- (d) Monitoring and evaluation of SPP implementation
- (e) Proposing changes/drafting amendments to legal provisions related to SPP
- (f) Providing implementation tools and documents to advance SPP and support training and capacity development
- (g) Publishing requirements and holders of eco-labels and social labels
- (h) Ensuring inter-agency/-ministerial collaboration and cooperation on SPP
- (i) Managing communication (awareness, outreach, exchange of best practices, communication of benefits/impacts)
- (j) Reporting on SPP

SPP-Sub-indicator 5(b) – Certification function

This sub-indicator focuses on institutional aspects related to the certification function.

Certification refers to the confirmation of certain characteristics of products, production processes, or management systems. It involves the application of testing procedures and processes to determine whether the standards defined in procurement documents or contracts are met. Certification may also be required to verify data provided by suppliers, such as calculations of environmental benefits.



Procuring entities may choose different degrees of evidence, verification or certification needed at various points across the procurement cycle.

The use of specific certification or verification of an industry, environmental or social standard, code or management system standard, or codes of supplier conduct is prominent at the qualification stage. Examples include internationally recognised certification schemes that demonstrate a firm's ability to apply sustainable management measures such as ISO 14001 (Environmental management), EMAS (EU Eco-Management and Audit Scheme), SA 8000 (Social Accountability Standard), among others. Independent accredited certification institutions are used to certify compliance with the standards set.

Similar certification and accreditation schemes exist for a number of eco-labels and social labels and they are often used when drafting specifications.

The country may also rely on public testing facilities, research institutions, or private quality assurance institutions to perform tests and verify compliance with defined sustainability criteria.

SPP Sub-indicator 5(b): Assessment criteria

- (a) The legal and regulatory framework clearly defines rules for verification or certification of sustainability standards.
- (b) The use of internationally recognised certification or accreditation schemes is permitted.
- (c) The country has established credible certification institutions.

SPP-Indicator 6. Procuring entities' policies and strategies embrace SPP

This indicator focuses on procuring entities and their stance, policies, and strategies on SPP. There are two sub-indicators to be assessed (a-b).

SPP-Sub-indicator 6(a) – Procuring entities' sustainable procurement strategy

National laws, policies and strategies, as assessed throughout this methodology, provide the framework for a transparent and consistent implementation of SPP. However, to bring about change in the traditional procurement mindset, sustainability considerations need to be integrated in the strategies, management processes, tools and practices of procuring entities.

This sub-indicator assesses (1) whether procuring entities are aware of the national policies, strategic plans, and legislation on SPP; (2) whether procuring entities assess the implications of SPP in terms of risks¹² and opportunities for the entity¹³; and (3) whether actions are taken to implement SPP at the entity level consistent with national priorities.

Since the national framework may include both mandatory and voluntary provisions on sustainable procurement, the individual procuring entity can either follow progressive or defensive strategies in

¹² For example: Market preparedness (e.g. impact on small and medium sized companies), increased cost, lack of capacity, lack of guidance and tools, complexity, etc.

¹³ For example: Energy efficiency, improved compliance with social and labor laws, financial savings, innovation, promotion of supplier diversity, corporate social responsibility, reputation, etc.



implementing the national policy. The entity should therefore assess whether the specific conditions are favourable to sustainable procurement and what the priorities will be.

Entity level implementation plans should be developed to anchor SPP at the organisational level. The plan should focus on objectives and priorities in support of the national strategy and define entity level targets, measures, responsibilities, timelines, estimated costs/funds, and monitoring arrangements. Networking with other procuring entities, exchange of lessons learned, and communication with key stakeholders should be part of the approach.

SPP Sub-indicator 6(a): Assessment criteria

- (a) Procuring entities are aware of national policies, strategic plans and legislation on SPP.
- (b) Procuring entities have mechanisms in place to assess risks and opportunities related to their SPP strategies.
- (c) Procuring entities undertake activities to translate national priorities on SPP into their own strategies.

SPP-Sub-indicator 6(b) – Centralised procurement body

The MAPS core methodology, sub-indicator 6(b), provides a comprehensive assessment of centralised procurement bodies in terms of existence, status, responsibilities and staffing.

This SPP sub-indicator provides for an assessment of the centralised procurement body's stance, policy, and strategy on SPP (if existent). The assessment criteria are very similar to the above (SPP sub-indicator 6(a)). However, a centralised body – due to its role and sustained demand for certain products – may be in a unique position to champion SPP and to drive supply markets towards more sustainable solutions. A centralised procurement body may also be uniquely positioned to spearhead innovative approaches relating to certain product categories due to the level of technical expertise available in-house. Framework agreements or consolidated procurement arrangements, for example, offer good opportunities to mainstream sustainable procurement. Similarly, in contrast to championing the opportunities associated with SPP, a centralised procurement body has a specific role with regards to the risks associated with SPP. Due to its unique institutional position and role in spearheading SPP, a centralised procurement body is able to evaluate, determine and mitigate these risks, for example where sustainability goals in different pillars of sustainability might not be met, cancel each other out or need to be actively balanced.

SPP Sub-indicator 6(b): Assessment criteria

- (a) The centralised procurement body is aware and participates, as appropriate, in the design of national policies, strategic plans and legislation on SPP.
- (b) The centralised procurement body assesses risks and opportunities related to SPP.
- (c) The mandate of the centralised procurement body includes activities to implement sustainability considerations in support of national policy objectives.

SPP-Indicator 7. Sustainable procurement is embedded in an effective information system

The indicator reviews whether sustainability aspects are fully integrated in the existing information systems. There are two sub-indicators to be assessed (a-b).



SPP-Sub-indicator 7(a) – Publication of information on sustainable procurement

The MAPS core methodology, indicator 7, comprehensively assesses the extent to which the country has systems to publish procurement information.

This sub-indicator seeks to verify that the country's information systems are consistently used to provide public access to sustainable public procurement.

The system should also be utilised to create awareness and a better understanding of sustainable procurement, to engage the market and communicate the targets of the SPP policy to allow companies to anticipate the changes in order to accelerate the shift to sustainable procurement practices. For example, annual reports could provide information on the institutionalisation of sustainable procurement (e.g., information on SPP policy, action plans, prioritised products, leadership arrangements and responsibilities assigned, number of trained staff, activities involving engagement with suppliers, etc.). Reports should also communicate best practices and measurable outputs and outcomes achieved based on defined key performance indicators, such as number and value of public contracts with sustainability criteria, savings achieved through life cycle costing, reduction in greenhouse gas emissions, direct generation of employment opportunities, etc. (Refer to sub-indicators 7(b) and 8(c)). Methods used to contextualize the benefits of SPP should include modern technologies, such as webinars or social media.

SPP Sub-indicator 7(a): Assessment criteria

The information system meets the following requirements:

- (a) Information on SPP is an integral part of the country's information system as assessed in sub-indicator 7(a) of the MAPS core methodology.
- (b) Annually, analytical information on SPP is published. *(b)
- (c) Annual statistics are published communicating the results of SPP (outputs and outcomes). *(c)
- (d) Case studies are published or other methods are used to contextualize the benefits of SPP. *(d)

*(b) Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (b):
Number of annual reports with information on SPP published

*(c) Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (b):
Number of annual statistics published

*(d) Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (d):
Number of case studies published

Source: Centralised online portal.

SPP-Sub-indicator 7(b) – Use of e-Procurement to support sustainability

The MAPS core methodology assesses the extent to which e-procurement is used at the government level (sub-indicator 7(b)). It also evaluates whether the e-Procurement system or other information systems collect and manage data that allow for analysis of trends and performance of the entire procurement system (7(c)). A MAPS module dedicated to e-Procurement (forthcoming) complements the core methodology.



Additional efforts may be necessary to ensure that e-Procurement facilitates sustainable procurement practices and that essential data is collected and managed in the e-Procurement system or other information technology systems to allow for the evaluation of sustainable procurement policies.

The following is an exemplary list of features to be considered:

- › Classification system to ensure detailed tracking of sustainable procurement practice
- › Consideration of sustainability at different stages of the procurement process, for example:
- › Links to standardised product specifications
- › Incorporation of sustainability clauses
- › Value for money evaluations including life cycle costing
- › Links to more sophisticated tools such as environmental calculations
- › Monitoring of key performance criteria
- › E-catalogues flagging sustainable products and services
- › Links to recognised certification and accreditation systems
- › Links to recognised eco-labels and social labels
- › Supplier data base: Certifications, Corporate Social Responsibility initiatives, Self-declarations
- › Ensuring broad access to the electronic marketplace throughout the country, in particular for micro, small and medium enterprises

SPP Sub-indicator 7(b): Assessment criteria

- (a) e-Procurement systems in use possess appropriate technical features to facilitate sustainable procurement practices.
- (b) Suppliers (including micro, small and medium-sized enterprises) are capable of participating in a sustainable public procurement market increasingly dominated by electronic means. *(b)
- (c) The system manages data for the entire sustainable procurement process and allows analysis of trends, levels of participation, efficiency and economy of sustainable procurement and compliance with requirements. *(c)

*(b) Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (b):
 - Bids submitted online in procedures with sustainability criteria (in %)
 - Bids submitted online by micro, small and medium-sized enterprises in procedures with sustainability criteria (in %)
 Source: e-Procurement system.

*(c) Quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (c):
 - Number of contracts with sustainability criteria and in % of total number of contracts
 - Value of contracts with sustainability criteria and in % of total value of contracts
 - Total value of contracts with sustainability criteria awarded through competitive methods in most recent fiscal years.

Source: e-Procurement system.

SPP-Indicator 8. The public procurement system has a strong capacity to develop and accelerate the shift to more sustainable procurement.

This indicator focuses on the strategies and ability of the public procurement system to develop and accelerate the shift to sustainable public procurement. There are two sub-indicators to be assessed (a-b).



SPP-Sub-indicator 8(a) – Training, advice and assistance on sustainable procurement

The MAPS core methodology assesses the quality of training programs, the existence of advisory service or help desk functions to resolve questions by procuring entities and their stakeholders, and whether the country's public service recognizes procurement as a profession (sub-indicators 8(a) and 8(b)).

This sub-indicator assesses whether sustainability considerations are fully integrated in the country's public procurement training and professionalisation strategy. In doing so, all dimensions of sustainability should be considered. The following SPP related topics should be covered in procurement training programs:

- › Potential benefits of SPP to create understanding
- › The country's policy and implementation plan to implement SPP in support of national policy objectives to create awareness
- › The way in which the legal and regulatory framework supports the inclusion of sustainability considerations in public procurement
- › Basic and in-depth training to enhance competencies and skills of the procurement workforce to confidently use the specific tools and documents provided to facilitate behavioural change
- › Monitoring and evaluation and analysis of lessons learned to effect change and accelerate the shift to sustainable procurement

This sub-indicator also assesses whether a help desk advisory service functions for procuring entities, suppliers and the public and provides assistance in harnessing opportunities for more sustainable and innovative solutions. Cross-cutting views and specific technical knowledge is often needed to reach the country's sustainable procurement goals.

Sustainable procurement should be an integral element of efforts to recognize procurement as a profession. A MAPS module dedicated to Professionalisation complements the core methodology.

SPP Sub-indicator 8(a): Assessment criteria

- (a) Existing procurement training programs create awareness and understanding of government policies and the benefits of SPP.
- (b) Procurement training programs appropriately cover sustainability, including the legal and regulatory framework and implementation.
- (c) Staff with procurement related functions (including external members of committees that have been assigned procurement related functions) have the necessary competencies and skills to implement SPP. *(c)
- (d) Existing advisory service or help desk functions appropriately cover sustainability considerations.

*(c) Quantitative indicators to substantiate assessment of sub-indicator 8(a) Assessment criterion (c):

Number of sustainable procurement training days per staff

Source: HR department.

SPP-Sub-indicator 8(b) – Monitoring of sustainable procurement

Monitoring of compliance and measurement of performance to improve the public procurement system is comprehensively covered in sub-indicator 8(c) of the MAPS core methodology.



This sub-indicator assesses whether the established monitoring system provides for the measurement of the following: (1) the institutionalisation of SPP; (2) the intermediate outcomes of SPP; and (3) the impacts of SPP. Monitoring of implementation versus set targets is indispensable to confirm whether SPP policies work, to develop strategies and adapt goals as necessary.

Institutionalisation measurement focuses on the strategic process of implementing SPP. It focuses on the following aspects: the existence of a SPP policy; number of agencies that have SPP action plans in place and monitor progress; leadership, responsibilities, and coordination roles and mechanisms established or assigned; number of staff dedicated to SPP; number of product groups prioritised and with criteria developed; integration in procedures and tools; number of staff trained; numbers of activities involving engagement with suppliers; and monitoring and reporting systems in place.

The measurement of intermediate outcomes of procurement processes targets the transactional level. Typical indicators include the value and number of procurements with sustainability criteria, savings achieved through value for money comparisons and life cycle costing, and number and value of contracts with certain categories of supplier to measure diversity or the share of locally manufactured products, among others.

The evaluation of the effectiveness of sustainable procurement in terms of contributing to achieving national policy objectives such as poverty reduction, good governance or reducing the impacts of climate change is more challenging. However, case studies can provide valuable insights by measuring environmental impacts as well as economic and social benefits of sustainable procurement.

The system should include feedback loops to the SPP policy and the legal and regulatory framework. It should also include the exchange of best practices and networking among practitioners to improve sustainable procurement practices.

SPP Sub-indicator 8(b): Assessment criteria

The country's performance measurement system meets the following conditions:

- (a) The system includes the monitoring of institutionalisation of sustainable public procurement versus set targets.
- (b) The system measures intermediate outcomes with regards to the implementation of the SPP policy.
- (c) The system includes the assessment of development outcomes.
- (d) Findings from monitoring and evaluation are used to support strategic policy making and communication on sustainable procurement.
- (e) To improve the system, sustainable procurement is integrated in strategic planning and results frameworks.



Pillar III. Public Procurement Operations and Market Practices

The MAPS core methodology, Pillar III, examines the operational efficiency, transparency, and effectiveness of the procurement system by selecting and reviewing a sample of actual procurement cases of a number of 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.

The SPP module, Pillar III, complements the empirical analysis of public procurement practices by incorporating some key sustainability aspects.

SPP-Indicator 9. Sustainable procurement practices achieve stated objectives

The objective of this indicator is to collect empirical evidence on how sustainable procurement principles, rules, and procedures formulated in the legal and policy framework are implemented in practice. In assessing the implementation of SPP, the assessors should pay attention to all dimensions of sustainability, i.e. environmental, social and economic aspects. To reflect this multidimensional approach, all sub-indicators include assessment criteria that not only reflect social and environmental aspects, but also assessment criteria reflective of the economic dimension. These assessment criteria, by nature, are closely linked to the general principles of public procurement, which are also assessed with a different perspective in the core MAPS indicator framework. The assessor should assess whether the implementation of SPP balances different dimensions of sustainability adequately. For that reason, the following sub-indicators assess concepts like efficiency, integrity and transparency that contribute substantially to achieving an overall sustainable public procurement system.

The application of indicator 9 requires the selection and the review of a sample of actual procurement cases (files) that are considered to represent examples of sustainable procurement. Sampling methods and size should be carefully considered since they determine the representativeness and certainty of the assessment results.

In addition to reviewing files, this part of the assessment uses the information systems that are in operation, such as e-Procurement. Indicator 9 comprises three sub-indicators to be assessed individually (a-c), mirroring the different stages of the public procurement process.

SPP-Sub-indicator 9(a) – Sustainability considerations during the planning stage

The groundwork for pursuing sustainability considerations is laid in the planning stage of procurement. This sub-indicator assesses whether needs analyses and market research take into account sustainability considerations and are conducted to define sustainability requirements. It also evaluates whether the desired results in terms of sustainability are clearly defined and aligned with overarching objectives, and whether requirements follow a balanced approach, considering all dimensions of sustainability.



The assessment of sustainability considerations during the planning stage focuses on the following criteria:

SPP Sub-indicator 9(a): Assessment criteria

- (a) Needs analysis, risk assessment and market research guide a proactive identification of optimal procurement strategies to pursue sustainability considerations.
- (b) Requirements and desired outcomes related to sustainability are clearly defined in the tender documents and contracts.
- (c) Options to increase efficiency are considered, e.g., framework agreements or consolidated procurement.
- (d) Different aspects of sustainability are considered and balanced, informed by risk analysis and in accordance with national priorities.
- (e) Unnecessary purchases are avoided. *(e)

*(e) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (e):
Value of unnecessary purchases avoided (p.a.)
Source for all: e-Procurement system or manual statistics

SPP-Sub-indicator 9(b) – Sustainability considerations during the selection and contracting stage

This sub-indicator focuses on the extent to which sustainability considerations are pursued in the selection and contracting stage, while also maintaining objectives like value for money.

The sub-indicator assesses the extent to which SPP is conducted using competitive procedures, and whether appropriate and fair techniques have been applied in the bid evaluation and award stage to determine the most sustainable solution. Several assessment criteria make reference to general public procurement objectives, to ensure that SPP procedures are still conducted effectively, efficiently and in a transparent way.

The assessment of sustainability considerations during the selection and contracting stage focuses on the following criteria:

SPP Sub-indicator 9(b): Assessment criteria

- (a) Procurement methods are chosen, documented, and justified in accordance with the purpose and in compliance with the legal framework.
- (b) Multi-stage procedures are used in complex procurements to ensure only qualified and eligible participants are included in the competitive process.
- (c) Bids from micro, small and medium sized enterprises are not discouraged.
- (d) Clear and integrated procurement documents, standardised where possible and proportionate to the need, are used to encourage broad participation from potential bidders.
- (e) Procurement documents include well-balanced sustainability requirements that are linked to the subject matter of the contract, informed by the risk assessment in the planning stage.
- (f) Standardised product specifications or eco-labels or social labels are used to draft specifications, as prescribed in the legal and regulatory framework.
- (g) Evaluation and award criteria are objective, relevant and precisely specified in the procurement documents.
- (h) Sustainability considerations are included in the selection and award criteria. *(h)
- (i) When non-price attributes and/or life cycle costs are used as award criteria, appropriate techniques are chosen and clearly described in the procurement documents to determine best value for money. *(i)
- (j) Compliance with sustainability criteria is verified based on predetermined, valid mechanisms of verification.
- (k) Appropriate techniques are applied to determine best value for money based on the criteria stated in the procurement documents and to award the contract.
- (l) Contract awards are announced as required, notably reflecting sustainability considerations as envisioned in



<p>the call for tender.</p> <p>(m) Where appropriate, sustainability considerations are reflected in contract clauses. *(m)</p> <p>(n) Contract clauses provide incentives for exceeding defined performance levels and disincentives for poor performance.</p> <p>(o) In consideration of economic sustainability, the selection and award process is carried out effectively, efficiently and in a transparent way. *(o)</p> <p>(p) There is evidence of application of sustainability considerations in framework contracts.</p>
<p>*(h) Quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (h):</p> <ul style="list-style-type: none"> - Number of procurement procedures with sustainability criteria (in % of total number of procedures). - Value of procurement procedures with sustainability criteria (in % of total value of procedures).
<p>*(i) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (i):</p> <ul style="list-style-type: none"> - Number of procedures that use non-price attributes (in % of total number of procedures) - Value of procedures that use non-price attributes (in % of total value of procedures)
<p>*(m) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (m):</p> <ul style="list-style-type: none"> - Number of procedures with contract clauses that define sustainability standards (in % of total number of procedures) - Value of procedures with contract clauses that define sustainability standards (in % of total value of procedures)
<p>*(o) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (o):</p> <ul style="list-style-type: none"> - Average time to procure goods, works, and services including consulting services: Average number of days between advertisement/solicitation and contract signature (for each procurement method used) - Average number (and %) of bids that are responsive (for each procurement method used) - Share of procedures that have been conducted in full compliance with publication requirements (in %) - Number (and %) of successful procedures (successfully awarded; failed; cancelled; awarded within defined timeframes)
<p>Source for all: e-Procurement, manual statistics or sample of procurement cases</p>

SPP-Sub-indicator 9(c) – Sustainability considerations during the contract management stage

The contract management stage is the point during which sustainability impacts materialise. This sub-indicator assesses the extent to which goods, works or services, including consulting services, are delivered according to the contract agreement, i.e. whether they deliver on the sustainability requirements set. Aside from aspects directly related to sustainability considerations of the contract, the sub-indicator also assesses seemingly more general aspects. These aspects, like timeliness or recordkeeping, are assessed to ensure that a) the economic dimension of sustainability is reflected while aiming at other sustainability considerations, and b) ensure contract management does not unduly jeopardise general procurement principles while aiming for increased sustainability.

The assessment criteria evaluate timely implementation, inspection and invoice processing, as well as contract amendments. Likewise, statistics, monitoring and information management are employed in support of sustainability during contract management. Evidence of analysis to feed into future improvements could for example include reports detailing such analysis or repeated procurement procedures. The assessment criteria also cover record keeping and stakeholder engagement.

The assessment of sustainability considerations during the contract management stage focuses on the following criteria:



SPP sub-indicator 9(c): Assessment criteria

- (a) Contracts are implemented in a timely manner. *(a)
- (b) Inspection, quality control, supervision of works and final acceptance of products is carried out to determine that sustainability requirements are delivered. *(b)
- (c) In consideration of economic sustainability, invoices are examined, time limits for payments comply with good international practices, and payments are processed as stipulated in the contract.
- (d) Contract amendments are reviewed, issued and published in a timely manner. *(d)
- (e) Procurement statistics are available and a system is in place to measure and improve procurement practices, and the system and its statistics take into account sustainability aspects.
- (f) Opportunities for direct involvement of relevant external stakeholders in public procurement are utilised to ensure outcomes in line with sustainability goals. *(f)
- (g) The records for contracts with sustainability considerations are complete and accurate and easily accessible in a single file. *(g)
- (h) Appropriate methods are used to monitor and evaluate sustainability effects over the life span of products.
- (i) There is evidence that sustainability clauses and/or sustainability performance indicators related to the contract are enforced.
- (j) There is evidence that lessons learned are collected from individual procurements and used for continuous improvement.

Source: Sample of procurement cases

*(a) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(c) assessment criterion (a):
Time overruns (in %; and average delay in days)

*(b) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(c) assessment criterion(b):
Quality control measures and final acceptance carried out as stipulated in the contract (in %)

*(d) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(c) assessment criterion (d):
Contract amendments (in % of total number of contracts; average increase of contract value in %)

*(f) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(c) assessment criterion (f):
Percentage of contracts with direct involvement of civil society: Planning phase; Bid/Proposal opening;
Evaluation and contract award, as permitted; Contract implementation)¹⁴

*(g) Quantitative indicators to substantiate assessment of sub-indicator 9(c) Assessment criterion (g):
Share of contracts with sustainability criteria with complete and accurate records and databases (in %)¹⁵

Source for all: Sample of procurement cases.

SPP-Indicator 10. The private sector contributes to a more sustainable procurement market

The objective of this indicator is to assess the market response to sustainable procurement solicitations. While this response may be influenced by many factors related to the general economic climate and business environment, national policies to support the private sector, and the existence of strong financial institutions, the indicator focuses on collaboration and partnership between the public and private sector in achieving sustainability. There are three sub-indicators to be assessed (a-c).

¹⁴ Preferably split into the different process phases to cover the concept of open contracting more specifically.

¹⁵ PEFA Indicator PI-24.1



SPP-Sub-indicator 10(a) – Dialogue and partnerships between public and private sector

This sub-indicator assesses whether the government in its dialogue and partnerships with the private sector considers issues that are essential for sustainable public procurement to succeed. For example, contracting authorities could organise supplier events and use other channels to stay abreast of developments with its suppliers or in the market. In any exchange with suppliers, standards of integrity and transparency should be observed. It reviews whether information seminars are offered at a regularly basis that raise awareness and competence among suppliers and their supply chains to meet public sector sustainability requirements. These approaches should consider the needs of micro, small and medium sized enterprises to support supplier diversity in accordance with national policies and priorities (e.g., the inclusion of marginalised groups). This could, for example, include programs to help SMEs improve their participation and chances of award and initiatives encouraging bidders to recruit local labour among disadvantaged populations without causing discrimination based on nationality.

As public procurement is a key driver in the transition towards a circular economy, the dialogue should extend to industries, which have a key role in ‘closing the loop’ of product lifecycles and within supply chains. The public and private sector should work jointly towards establishing a circular economy which aims to provide a coherent framework in which resources are kept in use for as long as possible and where products and materials are recovered and regenerated at the end of each service life.

SPP Sub-indicator 10(a): Assessment criteria

- (a) Contracting authorities use established mechanisms to encourage an open dialogue and partnerships with the private sector to achieve sustainability in procurement. *(a)
- (b) The government has programs to raise awareness and help building capacity among private companies to meet public sector sustainability requirements.
- (c) There are activities to ensure supplier diversity and the inclusion of micro, small and medium enterprises in the sustainable public procurement market, in accordance with national policies and priorities. *(c)

*(a) Recommended quantitative indicator to substantiate assessment of sub-indicator 10(a) Assessment criterion (a): Perception of openness and effectiveness in engaging with the private sector on SPP (in % of responses).
Source: Survey.

*(c) Recommended quantitative indicator to substantiate assessment 10(a) Assessment criterion (c): Number of participants in programmes to ensure supplier diversity and inclusion of SMEs in the SPP market.
Source: Normative/Regulatory function.

SPP-Sub-indicator 10(b) – Private sector’s organisation and access to the sustainable procurement market

The indicator assesses whether private sector capacity and participation leads to a sufficient level of competition in sustainable procurement.

An important aspect is the organisational and technical capacity of micro, small and medium-sized enterprises to produce and deliver sustainable products. Sustainable production requires looking at the supply chain and investing in the design of safer products, resource efficient technologies and processes, trained employees and conditions of work that protect workers from occupational hazards and are economically rewarding. The assessor should assess whether the government helps create adequate conditions to support the transformation towards a more sustainable public procurement market (e.g., through providing information and advice, grants or micro credits to facilitate investments, public private partnerships).



The assessor should also assess whether micro, small or medium-sized enterprises – or local firms in general – face any particular barriers related to commonly used forms of validation or certification, for example high certification costs. In collaboration with business associations and certification institutions, the government could help find solutions to identified problems. For example, verification and certification processes could be harmonised and local certification facilities could be established to reduce costs.

SPP Sub-indicator 10(b): Assessment criteria

- (a) The private sector is competitive, well organised, willing and able to participate in the public marketplace to deliver on sustainability demands. *(a)
- (b) The government helps create adequate conditions to support the transformation to a more sustainable market.
- (c) Certification systems and sustainability labels do not inhibit private sector access to the market for sustainable products.

*(a) Recommended quantitative indicator to substantiate assessment of sub-indicator 10(b) Assessment criterion (a):

- Share of registered suppliers that are participants in the public procurement market and awarded contracts for sustainable products (in % of total number of registered suppliers)
- Total number of contracts with sustainability criteria awarded to domestic/foreign firms (and in % of total number of contracts with sustainability criteria)
- Total value of contracts with sustainability criteria awarded to domestic/foreign firms (and in % of total value of contracts with sustainability criteria)
- Share of contracts with sustainability criteria awarded to the top 10 and top 20 suppliers (in % of total value of contracts with sustainability criteria)

Source: e-Procurement system/Supplier Database.

SPP-Sub-indicator 10(c) – Key sectors and sector strategies to improve sustainability

Sustainable procurement is usually implemented in incremental steps. Prioritisation is required to achieve quick wins (where markets are ready to deliver sustainable products) and to progressively leverage public purchasing power to drive innovation and to help create more sustainable markets.

Prioritisation should be based on an assessment of risks associated with the procurement of goods, works and services including consulting services in terms of expenditure, environmental impact and socio-economic impact. It should also include a market readiness analysis to identify the sectors and product categories that promise scope to do more. Based on the analysis of demand and supply, opportunities should be tapped to accelerate the shift to sustainable procurement. Market participants should be engaged to find solutions to main obstacles and to help developing the local supply of sustainable products and services.

A MAPS module dedicated to sector market analysis (forthcoming) complements the core methodology. The United Nations Environment Programme provides regularly updates market analyses for specific categories and products.

SPP Sub-indicator 10(c): Assessment criteria

- (a) Key sectors are identified/prioritised to improve sustainability in public procurement.
- (b) Sector market participants are engaged in support of national policy objectives.



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 SPP assessment reviews whether the country's integrity framework takes sustainability considerations into account.

SPP-Indicator 11. Transparency and civil society engagement foster sustainability in procurement

Civil society, in acting as a safeguard against inefficient and ineffective use of public resources, can contribute to making sustainable procurement more competitive and fair, improving contract performance and securing results.

This indicator assesses whether measures to effectively engage civil society in public procurement encompass sustainability in public procurement. There is one sub-indicator to be assessed (a).

SPP-Sub-indicator 11(a) – Civil society supports sustainability in procurement

This sub-indicator assesses the following: 1) whether consultative processes and programs to build capacities of civil society organisations create awareness of the potential benefits of sustainable public procurement and a good understanding of the specific legal provisions, tools, and practices; 2) whether there is evidence for direct participation by citizens to improve sustainability in procurement; and 3) whether there are effective feedback and redress mechanisms for matters related to sustainable public procurement.

SPP Sub-indicator 11(a): Assessment criteria

- (a) A transparent and consultative process is followed in policymaking related to SPP.
- (b) Programs to build the capacities of relevant stakeholders include sustainability in procurement.
- (c) There is ample evidence that the government takes into account the input received from civil society on SPP.

SPP-Indicator 12. The country has effective control and audit systems that cover sustainability in procurement

The MAPS core methodology, indicator 12, comprehensively assesses the quality, reliability, timeliness, and effectiveness of the country's internal and external control framework.

This indicator seeks to verify that the audit framework covers sustainable procurement and that auditors have the required capacities to appropriately address sustainability in internal and external audits. It comprises one sub-indicator to be assessed (a).



SPP-Sub-indicator 12(a) – Audit framework for sustainable procurement

This sub-indicator assesses the following: 1) whether the written standards and procedures for internal and external controls and audits address legal provisions and key elements of SPP; 2) whether the existing procurement training programs for auditors encompass sustainability requirements; 3) whether auditors are sufficiently qualified to conduct compliance and performance audits related to sustainable public procurement; and 4) whether there is evidence that sustainability is included in audit reports and follow-up actions.

SPP Sub-indicator 12(a): Assessment criteria

The country's control and audit framework provides for the full integration of sustainability:

- (a) Written standards and procedures for internal and external controls and audit make reference to legal and regulatory provisions and key elements of SPP.
- (b) Training programs for auditors include legal provisions and key elements of SPP.
- (c) Auditors are sufficiently skilled to conduct compliance and performance audits related to SPP. *(c)
- (d) There is ample evidence that sustainability is included in audits and follow-up measures. *(d)
- (e) Systematic independent evaluations are regularly conducted to assess the economic, environmental, and social impacts of SPP. *(e)

*(c) Recommended quantitative indicators to substantiate assessment of sub-indicator 12(a) Assessment criterion (c):
Number of auditors with specialised knowledge in sustainable public procurement (in % of total number of auditors working on procurement audits).

*(d) Recommended quantitative indicators to substantiate assessment of sub-indicator 12(a) Assessment criterion (d):
- Number of audit reports with comments and recommendations on sustainable public procurement (in % of all procurement related audits)
- Share of internal and external audit recommendations related to SPP implemented within the timeframes established in the law (in % of total number of recommendations related to SPP)
Source: Ministry of Finance/Supreme Audit Institution.

*(e) Recommended quantitative indicators to substantiate assessment of sub-indicator 12(a) Assessment criterion (e):
Number of independent evaluations assessing the economic, environmental, and social impacts of SPP.

Source for all: Ministry of Finance/Supreme Audit Institution.

SPP-Indicator 13. Procurement appeals mechanisms are effective and efficient

Refer to MAPS core assessment. There are no specific SPP indicators.

SPP-Indicator 14. The country has ethics and anticorruption measures in place:

Refer to MAPS core assessment. There are no specific SPP indicators.



ANNEXES

Annex 1 – MAPS SPP Indicator System

Pillar I – Legal, Regulatory, and Policy Framework	
1	The public procurement legal framework covers sustainable procurement principles
	1(a) – Coverage of sustainability criteria 1(b) – Procurement methods 1(c) – Rules on participation 1(d) – Procurement documentation and specifications 1(e) – Evaluation and award criteria 1(f) – Contract management
2	Implementing regulations and tools support SPP
	2(a) – Implementing regulations to define sustainable procurement processes and procedures 2(b) – Model documents for sustainable procurement and standard contract conditions 2(c) – Tool kit to support sustainable procurement 2(d) – Sustainable Procurement Manual
3	Policy and strategy provide an enabling framework for implementing sustainable procurement
	3(a) – Sustainable procurement policy 3(b) – Sustainable procurement strategic action plan
Pillar II – Institutional Framework and Management Capacity	
4	Sustainable procurement is mainstreamed and well integrated into the public financial management system
	4(a) – Budget laws and accounting procedures
5	The country has institutions in charge of SPP
	5(a) – Responsibilities, funding and staffing of normative/regulatory function 5(b) – Certification function
6	Procuring entities’ policies and strategies embrace SPP
	6(a) – Procuring entities’ sustainable procurement strategy 6(b) – Centralised procurement body
7	Sustainable procurement is embedded in an effective information system
	7(a) – Publication of information on sustainable procurement 7(b) – Use of e-Procurement to support sustainability
8	The public procurement system has a strong capacity to develop and accelerate the shift to more sustainable public procurement
	8(a) – Training, advice and assistance on sustainable procurement 8(b) – Monitoring of sustainable procurement
Pillar III – Public Procurement Operations and Market Practices	
9	Sustainable procurement practices achieve stated objectives
	9(a) – Sustainability considerations during the planning stage 9(b) – Sustainability considerations during the selection and contracting stage 9(c) – Sustainability considerations during the contract management stage
10	The private sector contributes to a more sustainable procurement market
	10(a) – Dialogue and partnerships between public and private sector 10(b) – Private sector’s organisation and access to the sustainable procurement market 10(c) – Key sectors and sector strategies to improve sustainability
Pillar IV – Accountability, Integrity and Transparency of the Public Procurement System	
11	Transparency and civil society engagement foster sustainability in procurement



	11(a) – Civil society supports sustainability in procurement
12	The country has effective control and audit systems that cover sustainability in procurement
	12(a) –Audit framework for sustainable procurement
13	[Procurement appeals mechanisms are effective and efficient] N.A.
14	[The country has ethics and anticorruption measures in place] N.A.



Annex 2 – MAPS SPP Assessment Criteria expressed in Quantitative Terms

Indicator		Quantitative Indicators (Minimum)	Recommended Quantitative Indicators
7(a)	Publication of information on sustainable procurement		7(a) Assessment criterion (b): Number of annual reports with information on SPP published Source: Centralised online portal.
			7(a) Assessment criterion (c): Number of annual statistics published Source: Centralised online portal.
			7(a) Assessment criterion (d): Number of case studies published Source: Centralised online portal.
7(b)	Use of e-Procurement to support sustainability	7(b) Assessment criterion (c): Number of contracts with sustainability criteria and in % of total number of contracts Source: e-Procurement system.	7(b) Assessment criterion (b): Bids submitted online in procedures with sustainability criteria (in %) Source: e-Procurement system.
		7(b) Assessment criterion (c): Value of contracts with sustainability criteria and in % of total value of contracts Source: e-Procurement system.	7(b) Assessment criterion (b): Bids submitted online by micro, small and medium-sized enterprises in procedures with sustainability criteria (in %) Source: e-Procurement system.
		7(b) Assessment criterion (c): Total value of contracts with sustainability criteria awarded through competitive methods in most recent fiscal years. Source: e-Procurement system.	
8(a)	Training, advice and assistance on sustainable procurement		8(a) Assessment criterion (c): Number of sustainable procurement training days per staff Source: HR department.
9(a)	Sustainability considerations during the planning stage		9(a) Assessment criterion (e): Value of unnecessary purchases avoided (p.a.) Source: e-Procurement system or manual statistics
9(b)	Sustainability considerations during selection and contracting stage	9(b) Assessment criterion (h): Number of procurement procedures with sustainability criteria (in % of total number of procedures). Source: e-Procurement system or manual statistics	9(b) Assessment criterion (i): Number of procedures that use non-price attributes (in % of total number of procedures) Source: e-Procurement system or sample of procurement cases



		9(b) Assessment criterion (h): Value of procurement procedures with sustainability criteria (in % of total value of procedures). Source: e-Procurement system or manual statistics	9(b) Assessment criterion (i): Value of procedures that use non-price attributes (in % of total value of procedures) Source: e-Procurement system or sample of procurement cases
			9(b) Assessment criterion (m): Number of procedures with contract clauses that define sustainability standards (in % of total number of procedures) Source: e-Procurement system or sample of procurement cases
			9(b) Assessment criterion (m): Value of procedures with contract clauses that define sustainability standards (in % of total value of procedures) Source: e-Procurement system or sample of procurement cases
			9(b) Assessment criterion (o): Average time to procure goods, works, and services including consulting services: Average number of days between advertisement/solicitation and contract signature (for each procurement method used) Source: e-Procurement or sample of procurement cases
			9(b) Assessment criterion (o): Average number (and %) of bids that are responsive (for each procurement method used) Source: e-Procurement or sample of procurement cases
			9(b) Assessment criterion (o): Share of procedures that have been conducted in full compliance with publication requirements (in %) Source: e-Procurement or sample of procurement cases
			9(b) Assessment criterion (o): Number (and %) of successful procedures (successfully awarded; failed; cancelled; awarded within defined timeframes) Source: e-Procurement or sample of procurement cases
9(c)	Sustainability considerations during contract management stage	9(c) Assessment criterion (g): Share of contracts with sustainability criteria with complete and accurate records and databases (in %) Source: Sample of procurement cases	9(c) Assessment criterion (a): Time overruns (in %; and average delay in days) Source: Sample of procurement cases.
			9(c) Assessment criterion (b): Quality control measures and final acceptance carried out as stipulated in the contract (in %) Source: Sample of procurement cases.



			9(c) Assessment criterion (d): Contract amendments (in % of total number of contracts; average increase of contract value in %) Source: Sample of procurement cases.
			9(c) Assessment criterion (f): Percentage of contracts with direct involvement of civil society: Planning phase; Bid/Proposal opening; Evaluation and contract award, as permitted; Contract implementation) Source: Sample of procurement cases.
10(a)	Dialogue and partnerships between public and private sector		10(a) Assessment criterion (a): Perception of openness and effectiveness in engaging with the private sector (in % of responses). Source: Survey.
			10(a) Assessment criterion (c): Number of participants in programmes to ensure supplier diversity and inclusion of SMEs in the SPP market. Source: Normative/Regulatory function.
10(b)	Private sector's organisation and access to the sustainable procurement market		10(b) Assessment criterion (a): Share of registered suppliers that are participants and awarded contracts for sustainable products (in % of total number of registered suppliers) Source: e-Procurement system/Supplier Database.
			10(b) Assessment criterion (a): Total number and value of contracts with sustainability criteria awarded to domestic/foreign firms (and in % of total number of contracts with sustainability criteria) Source: e-Procurement system
			10(b) Assessment criterion (a): Total value of contracts with sustainability criteria awarded to domestic/foreign firms (and in % of total value of contracts with sustainability criteria) Source: e-Procurement system/Supplier Database.
			10(b) Assessment criterion (a): Share of contracts with sustainability criteria awarded to the top 10 and top 20 suppliers (in % of total value of contracts with sustainability criteria) Source: e-Procurement system
12(a)	Audit framework for sustainable procurement		12(a) Assessment criterion (c): Number of auditors with specialised knowledge in sustainable public procurement (in % of total number of auditors working on procurement audits). Source: Ministry of Finance/Supreme Audit



			Institution.
			12(a) Assessment criterion (d): Number of audit reports with comments and recommendations on sustainable public procurement (in % of all procurement related audits). Source: Ministry of Finance/Supreme Audit Institution.
			12(a) Assessment criterion (d): Share of internal and external audit recommendations related to SPP implemented within the timeframes established in the law (in % of total number of recommendations related to SPP). Source: Ministry of Finance/Supreme Audit Institution.
			12(a) Assessment criterion (e): Number of independent evaluations assessing the economic, environmental, and social impacts of SPP. Source: Ministry of Finance/Supreme Audit Institution.

