



Indicator Matrix – Sustainable Procurement module

2023

Pillar I. Legal, Regulatory, and Policy Framework

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

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| **Sub-indicator 1(a)** **Coverage of sustainability criteria**The legal framework meets the following conditions: |
| **Assessment criterion 1(a)(a):**Sustainability is clearly stated as a core principle or objective of public procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 1(a)(b):**Sustainability encompasses economic, environmental, and social considerations (sustainability considerations). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 1(a)(c):**The legal framework allows for, and has clear provisions on the inclusion of sustainability considerations throughout the procurement process. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 1(a)(d):**The legal framework provides for a well-balanced approach to sustainability considerations, requiring observation of proportionality. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 1(b)** **Procurement methods** The legal framework meets the following conditions: |
| Assessment criterion 1(b)(a):The procurement methods prescribed promote innovative approaches in support of sustainable procurement |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(b)(b):Options to reserve certain contracts for certain suppliers in connection with sustainability considerations or other preferential schemes, if any exist, are in support of national policy objectives and do not violate the principles of non-discrimination and competition, or any international obligations. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 1(c)Rules on participationThe legal framework meets the following conditions: |
| Assessment criterion 1(c)(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. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(c)(b):Qualification criteria, including specific environmental and social experience and competencies, should be linked to the subject matter of the contract. |
| Conclusion: Choose an item. |
| Red flag Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(c)(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. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 1(d)Procurement documentation and specificationsThe legal framework meets the following conditions: |
| Assessment criterion 1(d)(a):The use of output based (functional) specifications is permitted, as appropriate. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(d)(b):Sustainability requirements may be based on existing eco-label or social-label criteria, if they are not discriminatory and other valid forms of verification are permitted. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 1(e)Evaluation and award criteriaThe legal framework meets the following conditions: |
| Assessment criterion 1(e)(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. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(e)(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. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(e)(c):Provisions specify whether cost of externalities could be considered if expressed in monetary terms and how. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 1(f)Contract managementThe legal framework meets the following conditions: |
| Assessment criterion 1(f)(a):Any specific contract management functions required for SPP are legally defined and responsibilities are clearly designated in the legal framework. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(f)(b):Procedures are clearly defined to ensure the enforcement of contract clauses. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 1(f)(c):Contract management includes consideration of sustainability outcomes, covering the entire lifespan of the procurement. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |

SPP-Indicator 2. Implementing regulations and tools to support sustainable public procurement

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| **Sub-indicator 2(a)** **Implementing regulations to define sustainable public procurement procedures**Implementing regulations have the following characteristics: |
| **Assessment criterion 2(a)(a):**Regulations that supplement and detail the provisions of legal the legal framework include provisions on the application of sustainable public procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 2(a)(b):**Regulations pertaining to sustainable public procurement are clear, comprehensive, and part of a consolidated set ofregulations readily available in a single accessible place. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 2(a)(c):**Responsibility for maintenance is clearly established and the regulations on sustainability are updated regularly. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 2(b)** **Model documents for sustainable public procurement and standard contract conditions** |
| Assessment criterion 2(b)(a)Model documents or templates for use along the procurement cycle are reflecting sustainability considerations,in particular for key risk areas. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(b)(b):There is a set of tender model documents, clauses or standard wording related to sustainability whose use ismandatory. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(b)(c):Standard contract conditions include meaningful sustainability considerations, applicable to the most commontypes of contracts. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 2(c) Tool kit support sustainable public procurement |
| Assessment criterion 2(c)(a):There is a tool kit available to support implementation of sustainability considerations throughout the public procurement cycle. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(c)(b):The country has measures in place that enable procuring entities to define sustainable product criteria in an authoritative and transparent manner. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(c)(c):There is a standard methodology or tool supporting reliable life cycle costing calculations. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(c)(d):The tool kit is publicly accessible and regularly updated. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 2(d) Sustainable public procurement manual |
| Assessment criterion 2(d)(a):Sustainable procurement requirements, processes, techniques and tools are fully integrated in a user’s guideor manual for procuring entities to ensure the correct implementation of procurement laws and regulations. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 2(d)(b):Lessons learned are evaluated and reflected in regular updates of the manual. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |

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

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| **Sub-indicator 3(a)** **Sustainable public procurement policy** |
| **Assessment criterion 3(a)(a):**The country has adopted a SPP policy based on an assessment of the needs of the country with regards to SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(b):**The SPP policy is aligned with overall government policy goals and is coherent with international obligations. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(c):**The SPP policy is appropriately linked to broader government programs (e.g. sustainable development strategy) and it is an integral part of the national public procurement system. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| **Assessment criterion 3(a)(d):**Key stakeholders have contributed to SPP policy development. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendations** |
| Sub-indicator 3(b) Sustainable public procurement strategic action plan |
| Assessment criterion 3(b)(a):The country has adopted a strategic action plan for implementing the SPP policy based on an assessment of the needs of the country with regards to SPP.  |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 3(b)(b):The SPP strategic action plan includes objectives, priorities, targets, measures, responsibilities, timelines, andestimated costs/funds. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 3(b)(c):The SPP strategic action plan includes clear monitoring arrangements and responsibilities. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendations |
| Assessment criterion 3(b)(d):Key stakeholders have contributed to SPP’s strategy development. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis  |
| Gap analysis |
| Recommendations |

Pillar II. Institutional Framework and Management Capacity

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

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| **Sub-indicator 4(a)** **Budget laws and accounting procedures**  |
| **Assessment criterion 4(a)(a):**Budget laws and financial procedures support life cycle costing by providing flexibility between investment budgets and recurrent budgets and create sound incentives for procuring entities and public buyers in making value for money decisions. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 4(a)(b):**Environmental and social accounting systems are in place and allow for ex-post life cycle assessments of procurements. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |

SPP Indicator 5. The country has institutions in charge of sustainable public procurement

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| **Sub-indicator 5(a)** **Responsibilities, funding and staffing of normative/regulatory function**The following functions are clearly assigned to one or several agencies without creating gaps or overlaps in responsibility: |
| **Assessment criterion 5(a)(a):**Providing advice on SPP to procuring entities |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(b):**Drafting the national SPP policy (cf. sub-indicator 3(a)) |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(c):**Developing SPP strategies (cf. sub-indicator 3(b)) |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(d):**Monitoring and evaluation of implementation and impact of SPP.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(e):**Proposing changes/drafting amendments to legal provisions related to SPP |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(f):**Providing implementation tools and documents to advance SPP and support training and capacity development |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(g):**Publishing requirements and holders of eco-labels and social labels |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis**  |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(h):**Ensuring inter-agency/-ministerial collaboration and cooperation on SPP |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(i):**Managing communication (awareness, outreach, exchange of best practices, communication ofbenefits/impacts) |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(a)(j):**Reporting on SPP |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 5(b)** **Certification function** |
| **Assessment criterion 5(b)(a):**The legal and regulatory framework clearly defines rules for verification or certification of sustainabilitystandards. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(b)(b):**The use of internationally recognised certification or accreditation schemes is permitted. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 5(b)(c):**The country has established credible certification institutions. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |

SPP-Indicator 6. Procuring entities’ policies and strategies embrace sustainable public procurement

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| **Sub-indicator 6(a)** **Procuring entities’ sustainable public procurement strategy** |
| **Assessment criterion 6(a)(a):**Procuring entities are aware of national policies, strategic plans and legislation on SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(a)(b):**Procuring entities have mechanisms in place to assess risks and opportunities related to their SPP strategies. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(a)(c):**Procuring entities undertake activities to translate national priorities on SPP into their own strategies. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(a)(d):**Procuring entities have performance measures in place to monitor and follow up on their SPP efforts |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 6(b)****Centralised procurement body** |
| **Assessment criterion 6(b)(a):**Centralised procurement bodies are aware and participate, as appropriate, in the design of national policies,strategic plans and legislation on SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(b)(b):**Centralised procurement bodies assess risks and opportunities related to SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(b)(c):**Centralised procurement bodies undertake activities to translate national priorities on SPP into their own strategies. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 6(b)(d):**Centralised procurement bodies have performance measures in place to monitor and follow up on their SPP efforts. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |

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

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| **Sub-indicator 7(a)** **Publication of information on sustainable public procurement**The information system meets the following requirements: |
| **Assessment criterion 7(a)(a):**Information on SPP is an integral part of the country’s information system as assessed in sub-indicator 7(a) ofthe MAPS core methodology. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 7(a)(b):**Annually, analytical information on SPP is published. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (b):Number of annual reports with information on SPP published* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 7(a)(c):**Annual statistics are published communicating the results of SPP (outputs and outcomes). \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (c):Number of annual statistics published* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 7(a)(d):**Case studies are published or other methods are used to contextualize the benefits of SPP. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicator to substantiate assessment of sub-indicator 7(a), assessment criterion (d): Number of case studies published**Source: Centralised online portal.* |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 7(b)** **Use of e-Procurement to support sustainability** |
| **Assessment criterion 7(b)(a):**e-Procurement systems in use possess appropriate technical features to facilitate SPP practices. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 7(b)(b):**Suppliers (including micro, small and medium-sized enterprises) are capable of participating in a sustainablepublic procurement market increasingly dominated by electronic means. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Recommended quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (b):**- Bids submitted online in procedures with sustainability considerations (in %)**- Bids submitted online by micro, small and medium-sized enterprises in procedures with sustainability considerations (in %)**Source: e-Procurement system.* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 7(b)(c):**The system manages data for the entire SPP process and allows analysis of trends, levelsof participation, efficiency and economy of SPP and compliance with requirements. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Quantitative indicators to substantiate assessment of sub-indicator 7(b) Assessment criterion (c):**- Number of contracts with sustainability considerations and in % of total number of contracts**- Value of contracts with sustainability considerations and in % of total value of contracts**- Total value of contracts with sustainability considerations awarded through competitive methods in most recent fiscal years.**Source: e-Procurement system.* |
| **Gap analysis** |
| **Recommendation** |

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

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| **Sub-indicator 8(a)** **Training, advice and assistance on sustainable public procurement** |
| **Assessment criterion 8(a)(a):**Existing procurement training programs create awareness and understanding of government policies and thebenefits of SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(a)(b):**Existing competency frameworks and/or certification systems include SPP considerations. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(a)(c):**Procurement training programs appropriately cover sustainability, including the legal and regulatory framework and implementation. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(a)(d):**Staff with procurement related functions (including external members of committees that have been assignedprocurement related functions) have the necessary competencies and skills to implement SPP. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Quantitative indicators to substantiate assessment of sub-indicator 8(a) Assessment criterion (d):**Number of SPP training days per staff**Source: HR department.* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(a)(e):**Existing advisory service or help desk functions appropriately cover sustainability considerations. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 8(b)** **Monitoring of sustainable public procurement**The country’s performance measurement system meets the following conditions: |
| **Assessment criterion 8(b)(a):**The system includes the monitoring of institutionalisation of sustainable public procurement versus set targets. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(b)(b):**The system measures intermediate outcomes with regards to the implementation of the SPP policy. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(b)(c):**The system includes the assessment of development outcomes. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(b)(d):**Findings from monitoring and evaluation are used to inform strategic policy making and communication on SPP.  |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 8(b)(e):**To improve the system, SPP is integrated in strategic planning and results frameworks. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |

## Pillar III. Public Procurement Operations and Market Practices

SPP-Indicator 9. Sustainable public procurement practices achieve stated objectives

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| **Sub-indicator 9(a)** **Sustainability considerations during the planning state** |
| **Assessment criterion 9(a)(a):**Needs analysis, risk assessment and market research guide a proactive identification of optimal procurementstrategies to pursue sustainability considerations. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(a)(b):**Market consultations are carried out as appropriate, both for specific procurement processes and for keeping in touch with general developments relevant for SPP |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(a)(c):**Requirements and desired outcomes related to sustainability are clearly defined in the tender documents andcontracts. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(a)(d):**Options to increase efficiency are considered, e.g., framework agreements or consolidated procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(a)(e):**Different aspects of sustainability are considered and balanced, informed by risk analysis and in accordancewith national priorities. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(a)(f):**Unnecessary purchases are avoided. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* Recommended quantitative indicators to substantiate assessment of sub-indicator 9(a) Assessment criterion (f):**Value of unnecessary purchases avoided (p.a.)**Source for all: e-Procurement system or manual statistics* |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 9(b)** **Sustainability considerations during the selection and contracting stage** |
| **Assessment criterion 9(b)(a):**Procurement methods are chosen, documented, and justified in accordance with the purpose and incompliance with the legal framework. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(b):**Multi-stage procedures are used in complex procurements to ensure only qualified and eligible participantsare included in the competitive process. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(c):**There are no significant barriers to MSME participation as either main supplier or sub-contractor (as appropriate given market context and the object of the process). |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(d):**Clear and integrated procurement documents, standardised where possible and proportionate to the need,are used to encourage broad participation from potential bidders. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(e):**Procurement documents include well-balanced sustainability requirements that are linked to the subjectmatter of the contract, informed by the risk assessment in the planning stage. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(f):**Standardised product specifications or eco-labels or social labels are used to draft specifications, as prescribed in the legal and regulatory framework. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(g):**Evaluation and award criteria are objective, relevant and precisely specified in the procurement documents. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(h):**Sustainability considerations are included in the selection and award criteria. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (h):**- Number of procurement procedures with sustainability considerations (in % of total number of procedures).**- Value of procurement procedures with sustainability considerations (in % of total value of procedures).* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(i):**When non-price attributes and/or life cycle costs are used as award criteria, appropriate techniques arechosen and clearly described in the procurement documents to determine best value for money*.* \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (i):**- 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)* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(j):**Compliance with sustainability considerations is verified based on predetermined, valid mechanisms of verification. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(k):**Appropriate techniques are applied to determine best value for money based on the criteria stated in theprocurement documents and to award the contract. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(l):**Contract awards are announced as required, notably reflecting sustainability considerations as envisioned inthe call for tender. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(m):**Where appropriate, sustainability considerations are reflected in contract clauses. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*(m) Recommended quantitative indicators to substantiate assessment of sub-indicator 9(b) Assessment criterion (m):**- 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)* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(n):**Contract clauses provide incentives for exceeding defined performance levels and disincentives for poorperformance. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(o):**In consideration of economic sustainability, the selection and award process is carried out effectively,efficiently and in a transparent way. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Recommended quantitative indicators to substantiate assessment of sub-indicator 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)**- 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)**Source for all: e-Procurement, manual statistics or sample of procurement cases* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(b)(p):**There is evidence of application of sustainability considerations in framework contracts. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Sub-indicator 9(c)** **Sustainability considerations during the contract management stage** |
| **Assessment criterion 9(c)(a):**Contracts are implemented in a timely manner. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*Recommended quantitative indicators to substantiate assessment of sub-indicator 9(c) assessment criterion (a):**Time overruns (in %; and average delay in days)* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 9(c)(b):**Inspection, quality control, supervision of works and final acceptance of products is carried out to determinethat sustainability requirements are delivered. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*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 %)* |
| **Gap analysis** |
| **Recommendation** |
| Assessment criterion 9(c)(c):In consideration of economic sustainability, invoices are examined, time limits for payments comply withgood international practices, and payments are processed as stipulated in the contract. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(d):Contract amendments are reviewed, issued and published in a timely manner. \* |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Quantitative analysis*\*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 %)* |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(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. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(f):Opportunities for direct involvement of relevant external stakeholders in public procurement are utilised toensure outcomes in line with sustainability goals. \* |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Quantitative analysis*\*(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* |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(g):The records for contracts with sustainability considerations are complete and accurate and easily accessible ina single file. \* |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Quantitative analysis*\*Quantitative indicators to substantiate assessment of sub-indicator 9(c) Assessment criterion (g):**Share of contracts with sustainability considerations with complete and accurate records and databases (in %)15**Source for all: Sample of procurement cases.* |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(h):Appropriate methods are used to monitor and evaluate sustainability effects over the life span of products. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(i):There is evidence that sustainability clauses and/or sustainability performance indicators related to thecontract are enforced. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 9(c)(j):There is evidence that lessons learned are collected from individual procurements and used for continuousimprovement. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |

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

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| **Sub-indicator 10(a)** **Dialogue and partnerships between public and private sector** |
| **Assessment criterion 10(a)(a):**Procuring entities use established mechanisms to encourage an open dialogue and partnerships with theprivate sector to achieve sustainability in procurement. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*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.* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 10(a)(b):**The government has programs to raise awareness and help building capacity among private companies to meet public sector sustainability requirements. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| Assessment criterion 10(a)(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. \* |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Quantitative analysis*\*Recommended quantitative indicator to substantiate assessment of sub-indicator 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.* |
| Gap analysis |
| Recommendation |
| Sub-indicator 10(b) Private sector’s organization and access to the sustainable public procurement market |
| Assessment criterion 10(b)(a):The private sector is competitive, well organised, willing and able to participate in the public marketplace todeliver on sustainability demands. \* |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Quantitative analysis*\*(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 considerations awarded to domestic/foreign firms (and in % of total number of contracts with sustainability considerations)**- Total value of contracts with sustainability considerations awarded to domestic/foreign firms (and in % of total value of contracts with sustainability considerations)**- Share of contracts with sustainability considerations awarded to the top 10 and top 20 suppliers (in % of total value of contracts with sustainability considerations)**Source: e-Procurement system/Supplier Database.* |
| Gap analysis |
| Recommendation |
| Assessment criterion 10(b)(b):The government helps create adequate conditions to support the transformation to a more sustainable market. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 10(b)(c):Certification systems and sustainability labels do not inhibit private sector access to the market for sustainable products. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Sub-indicator 10(c) Key sectors and sector strategies to improve sustainability |
| Assessment criterion 10(c)(a):Key sectors are identified/prioritised to improve sustainability in public procurement based on risk-assessment, and analysis of market readiness |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |
| Assessment criterion 10(c)(b):Sector market participants are engaged in support of national policy objectives. |
| Conclusion: Choose an item. |
| Red flag: Choose an item. |
| Qualitative analysis |
| Gap analysis |
| Recommendation |

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

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

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| **Sub-indicator 11(a)** Civil society engagement supports sustainability in public procurement |
| **Assessment criterion 11(a)(a):**A transparent and consultative process is followed in policymaking related to SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 11(a)(b):**Programs to build the capacities of relevant stakeholders include sustainability in procurement. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 11(a)(c):**There is ample evidence that the government takes into account the input received from civil society on SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |

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

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| **Sub-indicator 12(a)** **Audit framework for sustainable public procurement**The country’s control and audit framework provides for the full integration of sustainability |
| **Assessment criterion 12(a)(a):**Written standards and procedures for internal and external controls and audit refer to legal andregulatory provisions and key elements of SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 12(a)(b):**Training programs for auditors include legal provisions and key elements of SPP. |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 12(a)(c):**Auditors are sufficiently skilled to conduct compliance and performance audits related to SPP. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\*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).**Source: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 12(a)(d):**There is ample evidence that sustainability is included in audits and follow-up measures. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* 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 for all: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendation** |
| **Assessment criterion 12(a)(e):**Systematic independent evaluations are regularly conducted to assess the economic, environmental, and socialimpacts of SPP. \* |
| **Conclusion**: Choose an item. |
| **Red flag**: Choose an item. |
| **Qualitative analysis** |
| **Quantitative analysis***\* 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: Ministry of Finance/Supreme Audit Institution.* |
| **Gap analysis** |
| **Recommendation** |