SDG Indicator 12.7.1
SPP Index Calculation Methodology & Guidelines

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# SPP Index Methodology: SDG indicator 12.7.1

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1. INTRODUCTION TO SDG INDICATOR 12.7.1

The 2030 Agenda for Sustainable Development, “a plan of action for people, planet and prosperity”, was adopted by all United Nations Member States in 2015. It seeks to build on the Millennium Development Goals, recognizing the eradication of poverty as the greatest global challenge, and the determination of Member states to “take the bold and transformative steps which are urgently needed to shift the world onto a sustainable and resilient path” and to “realize the human rights of all and to achieve gender equality and the empowerment of all women and girls”.

It includes 17 Sustainable Development Goals (SDGs) and 169 targets, among which Goal 12 specifically addresses the need to “Ensure sustainable consumption and production patterns” through eleven different targets, one of which – target 12.7 – aims to “Promote public procurement practices that are sustainable, in accordance with national policies and priorities.”

Public procurement represents an average 12% of GDP in OECD countries and 14.5% in low-income countries. Thus, it has a high impact on a country’s economic development and can play a critical role in promoting the inclusive and sustainable economic growth upheld by the SDGs. Currently, public procurement – which is generally guided by the principles of fairness, transparency, openness, and non-discrimination – is evolving into a strategic instrument aimed at fostering sustainable development and contributing to market transformation.

Many countries are designing and implementing sustainable public procurement policies. This was acknowledged by the international community when it designed a specific target – 12.7 – to foster more sustainable public procurement practices, and indicator – 12.7.1– to measure the “Number of countries implementing Sustainable Public Procurement policies and action plans.”

| Goal 12: Ensure sustainable consumption and production patterns. |
| SDG target 12.7: Promote public procurement practices that are sustainable, in accordance with national policies and priorities. |
| SDG indicator 12.7.1: Number of countries implementing Sustainable Public Procurement policies and action plans. |

As the custodian to SDG indicator 12.7.1, UNEP has been given the responsibility of designing a methodology allowing for the measurement of this indicator.

Because of the nature of SDG indicator 12.7.1, it is important to assess whether countries:

(i) Have developed SPP policies and actions plans and,
(ii) Are implementing them.
**The developed methodology therefore** aims to assess the level of implementation of sustainable public procurement (SPP) in a single country, so as to determine which countries will be counted as actually implementing such policies and action plans in the final measurement of SDG indicator 12.7.1.

The **present guidelines** are meant to provide detailed explanations and definitions regarding this methodology leading to the assessment of SDG indicator 12.7.1.

In order to do so, it is important that users of this methodology have a clear understanding of two key definitions: what is (i) Sustainable Public Procurement (SPP), and; (ii) a Sustainable Public Procurement Action Plan.

### 2. DEFINING SPP AND THE SPP ACTION PLAN

**What is Sustainable Public Procurement (SPP)?**

Sustainable Public Procurement is “a process whereby public organizations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life cycle basis in terms of generating benefits not only to the organisation, but also to society and the economy, whilst significantly reducing negative impacts on the environment.”[1]

**What is a Sustainable Public Procurement Action Plan?**

A Sustainable Public Procurement (SPP) action plan[2] is a policy document articulating the priorities and actions a public authority will adopt to support the implementation of SPP. Plans usually address the environmental, social and economic dimensions of SPP, and recognise the potential for SPP to realise SDGs. In some cases, a country action plan may focus on a single aspect of sustainability, being either **environmental** (e.g. ‘Green’ public procurement action plan), **social** (e.g. reference to human rights, fair trade, focus on employment of minorities, etc.), or **economic** (e.g. promotion of SMEs’ participation in tenders, etc.).

A comprehensive action plan would usually show different sections to articulate its implementation in time, and focus on:

<table>
<thead>
<tr>
<th>Components of a Sustainable Public Procurement Action Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>o Grounding the action plan’s objectives <strong>in national priorities or international commitments</strong>, or highlighting their relation to the Sustainable Development Goals.</td>
</tr>
</tbody>
</table>

[1] Definition updated by the Multistakeholder Advisory Committee of the 10YFP SPP Programme from: Procuring the Future – the report of the UK Sustainable Procurement Task Force, June 2006. The footnote to the definition reads: Sustainable Procurement should consider the environmental, social, and economic consequences of: Design; material use; manufacture and production methods; logistics; service delivery; use; operation.

[2] Examples of action plans can be found in the resource library of the One Planet Network website, at https://www.oneplanetnetwork.org/knowledge-hub
Creating/ensuring an enabling legal framework.

Allocating dedicated resources to the implementation of the action plan (e.g. setting up a taskforce to manage and support the implementation of SPP; allocating a specific budget to the implementation of SPP).

Developing SPP tools to facilitate its implementation by public procurement practitioners and to ensure that sustainability aspects are considered at all stages of the product lifecycle (production, transportation, product disposal/recycling, etc.) and throughout the supply chain.

Planning capacity-building measures (development of a training module, training of trainers, training of procurement practitioners, etc.).

Developing a communication plan.

Monitoring SPP implementation and measuring results/outcomes for further improvement.

Conducting a dialogue with the market (meeting with suppliers and/or holding training sessions).

3. FOR WHOM ARE THE PRESENT GUIDELINES INTENDED?

The present guidelines primarily seek to provide guidance for (national and sub-national) government representatives, policy makers and public procurement practitioners, in the reporting on SDG indicator 12.7.1.

Furthermore, the methodology itself endeavours to offer insights and, potentially, a means to help identify gaps in the current implementation of sustainable public procurement policies.

These guidelines may also be of interest to government agencies wishing to take a common stepwise approach to measure SPP actions and policies in their country. The methodology may apply to beginning countries, as well as to those already implementing a SPP plan and looking to improve and report on their efforts in the context of SDG 12. The present methodology is also designed to be flexible, to adapt to specific country circumstances and existing practices.

4. METHODOLOGY DEVELOPMENT PROCESS

UNEP, as the custodian to SDG indicator 12.7.1, has developed a methodology to measure the number of countries (effectively) implementing SPP policies and action plans.

In order to do so, the methodology offers a means to calculate an index defining the level of implementation of sustainable public procurement (SPP) in a single country, which will further allow to assess the number of countries implementing sustainable public procurement policies and action plans, as described in the official designation of SDG indicator 12.7.1.

The present chapter describes the steps which lead to the development of this methodology.

Early development of the methodology

The UN Environment Programme (UNEP) has leveraged the expertise and network of the One Planet Sustainable Public Procurement Programme3, as well as its own experience in building the capacities of

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3 To know more about the UNEP 10YFP program https://www.unenvironment.org/explore-topics/resource-efficiency/what-we-do/one-planet-network/10yfp-10-year-framework-programmes
countries, to develop the methodology for the indicator. The Programme builds synergies between various partners to accelerate the shift to SPP and achieve the SDG target on SPP. The One Planet network brings together actors from all regions and all sectors to bring together expertise, resources, innovation, and commitment towards a shift to more sustainable modes of production and consumption.

The development of this methodology is also part of the work plan of the One Planet Programme on Sustainable Public Procurement, which is a global multi-stakeholder platform which supports the implementation of SPP around the world.

The first draft of the methodology was developed in 2016 by a Technical Expert Group of the One Planet Sustainable Public Procurement Programme. In addition to UNEP, the Group included: ICLEI- Local Governments for Sustainability, the Korea Environmental Industry and Technology Committee (KEITI), Ecoinstitut and Industrial Economics (IEc).

In 2017, UNEP developed the second edition of the Global Review of Sustainable Public Procurement. National Focal Points in charge of SPP policies were identified in 55 countries and a survey circulated to assess the progress of SPP policies among Member States. The results of the survey provided elements to further refine the 12.7.1 methodology and better understand how indicator 12.7.1 could be measured. The updated methodology took into consideration the main components of a standard Sustainable Public Procurement policy.

Pilot testing of the methodology and design of associated reporting tools

June 2019 - September 2019: Initial consultation and pilot testing phase

Consultations and pilot testing sessions were conducted throughout the development process, so as to ensure consistency and robustness of the methodology.

A consultation was first conducted with experts in order to collect feedback on a preliminary copy of the methodology. An Excel-based calculation tool and a questionnaire were designed to evaluate the methodology, and facilitate practical pilot testing by national and sub-national government representatives.

52 experts from 40 different organizations provided their feedback regarding the methodology (6 of which were based in Africa, 11 in Asia, 26 in Europe, 5 in North America and 4 in South America).

23 national governments or provinces participated in the pilot testing process, 16 of which completed the whole process by filling the required Excel-based calculation tool and questionnaire.

February 2020: Official re-classification of SDG indicator 12.7.1 as a “Tier 2” indicator

In February 2020, SDG indicator 12.7.1 was re-classified from the “Tier 3” group of indicators to “Tier 2” category by the UN Inter-Agency Expert Group (IAEG), meaning that the “indicator is conceptually
clear, has an internationally established methodology and standards are available, but data are not regularly produced by countries”.

September – October 2020: Refinement of the methodology and pilot testing of the Excel-based calculator.

A second pilot testing session allowed for the methodology to be further tested at a smaller scale, a process which included the consultation of representatives from 10 federal and regional governments, and of 4 expert organisations, which allowed for the further fine-tuning of the calculation methodology.

5. SDG INDICATOR 12.7.1 MEASUREMENT AND SPP SCORE CALCULATION

This chapter provides a detailed description of how SDG indicator 12.7.1 will be assessed, and of the evaluation proposed for the measurement of the implementation of Sustainable Public Procurement at country level.

Assessment of the degree of SPP implementation at government level

So as to evaluate the “number of countries implementing a sustainable public procurement policy and action plans” (official designation of SDG indicator 12.7.1), a specific threshold above which a country is considered as having a sound SPP policy or action plan has been set, so as to determine whether this country will be considered compliant with the indicator and will be included in the final calculation of the indicator.

It is proposed that this assessment is based on the evaluation of a national government’s SPP implementation degree, scope and comprehensiveness, through the appraisal of:

(i) The existence of SPP policies, SPP legislation and/or regulatory requirements;

(ii) The efforts undertaken by countries to support the implementation of SPP and the outputs developed through these policies (outputs indicators) and;

(iii) The results achieved by these policies (outcome indicators).

This evaluation will be based on 6 specific parameters, which will lead to the calculation of a SPP Implementation Score.

\[
SPP\text{ Implementation Score} = A \times \sum_{i=b}^{F} \ i = A \times \sum\{B \; \cdots \; F\}
\]
Where each letter corresponds to the following:

<table>
<thead>
<tr>
<th>Denoted as</th>
<th>Parameter and sub-indicators</th>
<th>Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Existence of a SPP action plan/policy, and/or SPP regulatory requirements. 0 means no SPP policy in place, 1 means existence of SPP action plan, policy and/or SPP regulatory requirements at national, local or both levels.</td>
<td>0 or 1</td>
</tr>
<tr>
<td>B</td>
<td>Public procurement regulatory framework conducive to sustainable public procurement.</td>
<td>0 to 1</td>
</tr>
<tr>
<td>C</td>
<td>Practical support delivered to public procurement practitioners in the implementation of SPP.</td>
<td>0 to 1</td>
</tr>
<tr>
<td>D</td>
<td>SPP purchasing criteria/ buying standards / requirements.</td>
<td>0 to 1</td>
</tr>
<tr>
<td>E</td>
<td>Existence of a SPP monitoring system.</td>
<td>0 to 1</td>
</tr>
<tr>
<td>F</td>
<td>Percentage of sustainable purchase of priority products/services.</td>
<td>0-100%</td>
</tr>
</tbody>
</table>

It should however be noted that governments may contribute to the reporting effort, even though they may not be yet able to report on all items of the assessment (except for sub-indicator “A” below which is mandatory).

Governments are asked to provide evidence for most sub-indicators (policy document, procurement guidelines inclusive of sustainability criteria, enabling legislation, training contents, “green” procurement contracts, etc.). A list of documents which may be provided as evidence is proposed in Annex 3.

To facilitate the data collection effort and reporting process, a Microsoft Excel®-based calculation tool was designed to collect inputs.

Compliance threshold

It is proposed that the specific threshold above which a country is considered as having a sound SPP policy or action plan and considered compliant with SDG indicator 12.7.1. is set at Score = or > 1.

Five classification groups are proposed to reflect the different stages in the advancement of SPP implementation:

- **Level 0: Insufficient data or implementation** (SPP Implementation Score below 1), therefore not complying with the expected level set.

  - Threshold

- **Level 1: Low level of implementation** (SPP Implementation Score ranging from 1 to 2).

- **Level 2: Medium-low level of implementation** (SPP Implementation Score ranging from 2 to 3).

- **Level 3: Medium-high level of implementation** (SPP Implementation Score ranging from 3 to 4).
Level 4: High level of implementation (SPP Implementation Score larger than 4).

Future inclusion of SPP implementation efforts at subnational level and public procurement value weighting

It should be noted that, for the assessment to reflect the degree of SPP implementation at subnational level as well, and not singly at federal level, it had been planned to calculate a country-level SPP implementation Index based on the aggregation of three sub-indices reflecting three different levels of government, including a weighting representing the government’s share of procurement in total public procurement value at country level (formula shown below), which would provide a fairer evaluation of SPP efforts at country level.

The actual scope of the national/federal government’s SPP implementation might indeed vary considerably from one country to another, as in some countries, SPP implementation when directed by the central government may apply to most public entities in the country, while in other countries, implementation conducted by the federal government might only represent a small share of public procurement at country level.

The proposed formula below included an additional weighting “p”, representing the share of the (considered) government’s public procurement value in the country’s Total public procurement value, and the global Country Index would be equal to the aggregation of three different sub-indices:

- **Sub-index 1**: based on data/information provided by a country’s federal/national government on SPP implementation.
- **Sub-index 2**: based on data/information provided by a country’s sub-national government(s) (higher level) – e.g. state(s), province(s), region(s).
- **Sub-index 3**: based on data/information provided by a country’s sub-national government(s) (lower level) – e.g. city(ies) or municipality(ies).

Where:

\[
\text{Sub-Index 1} = p \times A_1 \times \sum_{i=1}^{F_1} i_1 = p \times A_1 \times \sum \{B_1 \cdots F_1\}
\]

\[
\text{Sub-Index 2} = p \times A_2 \times \sum_{i=2}^{F_2} i_2 = p \times A_2 \times \sum \{B_2 \cdots F_2\}
\]

\[
\text{Sub-Index 3} = p \times A_3 \times \sum_{i=3}^{F_3} i_3 = p \times A_3 \times \sum \{B_3 \cdots F_3\}
\]

The first data collection exercise however showed that public procurement value at country level, or at the level of the considered government, is not always available, therefore not allowing for the calculation of such an index in the timeframe allocated for data collection.
The first reporting exercise, therefore, only take account of national/federal government SPP implementation efforts in the calculation of the SPP Index.

Subnational submissions received may however also be evaluated following the same evaluation framework, and, through the calculation of a similar score, be classified according to their level of SPP implementation, and compared with similar-level governments (higher-level subnational government – such as provinces, or states in the case of Brazil and the US – and lower-level subnational government – such as cities and municipalities).

6. DETAILED DESCRIPTION OF THE EVALUATION METHODOLOGY

This chapter provides a detailed presentation of the evaluation system used to determine the degree of SPP implementation by a given government, section by section.

It is important to note that Green Public Procurement, or Socially-Responsible Public Procurement activities may be considered in the scope of the following evaluation proposed for the measurement of Sustainable Public Procurement implementation.

6.1. A: Existence of a SPP action plan/policy, and/or SPP regulatory requirements

This sub-indicator aims to assess whether a country has developed an SPP action plan, SPP policy, or has enacted pro-SPP legislation.

SPP (or GPP – Green Public Procurement) may be addressed in very different ways. It may appear as a component of overarching policies such as Sustainable Development Strategies, Green Economy Roadmaps, etc. It may also be addressed directly with the adoption of a SPP action plan or policy, or through regulatory means4, such as specific provisions in the Public Procurement legal framework.

Each respondent is asked to specify, with supporting evidence and precise references to relevant instruments (law, policies, etc.), in which way(s) the national government supports the adoption and implementation of SPP.

In the case when sub-national data would also be considered in the calculation (sub-index 2 or 3), specific references to local measures or instruments in favour of SPP would also be required as evidence.

Evaluation scale:

Value = 0
No SPP action plan, policy, or similar document has been developed.

Value = 1

4 The United States have enacted Executive Order 13834 (and associated Implementing Instruction). In Italy article 34 of Public Contracts Code also includes SPP requirements.
A federal/national (or provincial, municipal, etc. in the case of sub-index 2 or 3) SPP action plan, policy and/or SPP regulatory requirements has/have been developed and approved by the government. Action plan, policy-related documents and relevant regulatory requirements should be accessible online.

In the case when no SPP policy or no SPP legislation was enacted, or when those cannot be supported by evidence, the attributed score will be 0, which will set the final score to zero.

6.3. B: Public procurement regulatory framework conducive to sustainable public procurement

This sub-indicator aims at assessing whether, in addition to political measures, specific provisions have been adopted in the legal and regulatory framework (applying to public procurement) to facilitate, or, in the most advanced case, to mandate the implementation of SPP.

B(a) Provisions in the legal and regulatory framework allow for sustainability considerations to be incorporated at the following stages of the procurement process (0.70 pts):

It is proposed that the scoring for B(a) be based on the stages of the procurement cycle below, to identify at which steps of the cycle sustainability considerations can be included.

1/ Defining technical specifications (0.30 pts)

Sustainability requirements can be included in contracts to procure products or services (0.20 pts), by the means of:

- **Technical specifications** defining a minimum level of sustainability (environmental and/or social-related criteria) in products or services procured. Those requirements could be, for example: the use of sustainable / recycled raw material in the product procured; the biodegradability of products; environmentally friendly packaging; limited power consumption; or a guarantee of availability of parts and components.

  **Or:**

  - **Type I Eco-labels or social labels** (or relevant sustainability standards), can be used as reference to specify the minimum level of compliance in terms of sustainability of the product or service procured.

Sustainability requirements may also take a more elaborate shape, as **functional or output/performance-based specifications** (additional 0.10 pts). Such specifications indicate what the procured items should achieve in terms of the functions performed, the level of performance reached, or the delivered outputs/outcomes (for example, light bulbs with limited energy consumption, or vehicles with limited CO₂ emissions).

2/ Sourcing of suppliers (0.10 pts)

When sourcing suppliers:
o **Pre-qualification / Selection criteria** can be applied (0.05 pts)
Selection criteria assess the suitability of an economic operator to carry out a contract. For example, suppliers may be asked to provide proof of compliance with social or environmental standards, evidence that they have adopted an environmental management system approach or a supply-chain management and tracking system.

o **Exclusion criteria** can be applied (0.05 pts):
Suppliers in breach with environmental or social laws, or, not complying with certain environmental or social standards (such as ILO core conventions), can be excluded from the procurement process.

3/ **Award criteria (0.20 pts)**

When defining award criteria, sustainability considerations may be included by the means of:

o **Award criteria** (0.15 pts)
The legal and regulatory framework allows for contract award to be based on **criteria other than price** (i.e. **sustainability criteria**), for instance by resorting to the "Best Value for Money" or "Most Economically Advantageous Tender (MEAT)"\(^5\) approaches.

o **Life-cycle costing (LCC)**\(^6\): The legal and regulatory framework allows for LCC\(^7\) to be used in the evaluation of tenders (0.05 pts).
LCC means **considering all the costs that will be incurred during the lifetime of a product, work or service** (purchase price including delivery, installation costs; operating costs and maintenance; end-of-life costs such as disposal)\(^8\).

5/ **Contract performance (0.10 pts)**

**Sustainability requirements** can be specified in **contract performance clauses** (0.10 pts).
For example, by requiring: compliance with labour rights in the supply chain (e.g. ILO core standards); an efficient use of resources such as electricity and water on construction sites; the reduction of CO\(_2\) emissions associated with transport; packaging taken away for reuse, recycling or appropriate disposal.

**B(b) Provisions in the legal and regulatory framework mandate the procurement of sustainable alternatives (0.30 pts)**

The procurement of sustainable alternatives is:

- **possible/ voluntary**: the legal and regulatory framework allows the practical implementation of SPP. Public authorities may choose to procure more sustainable alternatives (0 additional pts), but are not mandated to do so.

\(^5\) See proposed definition in the *Useful Terms and Abbreviations* section.
\(^6\) Ibidem.
\(^7\) Ibidem.
- mandatory, for some categories of products/services. The legal and regulatory framework mandates the procurement of sustainable products/services, at least for some categories.

For example:
- The EU “Clean Vehicles” Directive “making it mandatory for contracting authorities to take energy and environmental impacts into account when purchasing road transport vehicles”.
- Sustainable alternatives to be mandatorily purchased, whenever products falling into “priority” categories (product groups for which specific labels, specifications or minimum sustainability criteria have been identified), are procured. For example, public administrations may have to mandatorily procure more sustainable alternatives from an official catalogue of products bearing the national ecolabel.

6.4. C: Practical support delivered to procurement practitioners in the implementation of SPP

With a view to assess efforts in terms of practical support given to public procurement practitioners, the evaluation grid below is suggested (cumulated values).

- Guidelines and tools, or an official catalogue of eco-labelled products, have been developed and are periodically revised (0.20 pts).
- Specific communication channels (newsletter, website, intranet, social media, etc.) are used to provide information or tools to procurement practitioners, at least twice a year (0.20 pts).
- Training sessions are organised at least once a year to build the capacity of public procurement practitioners in the implementation of SPP/GPP (0.20 pts).
- Best practice or (at least 3) case studies are shared with procurement practitioners (please only take account of studies developed in the last 3 years), which may include the translation of relevant documents developed by other countries (0.20 pts).
- A helpdesk is available for procurement practitioners (0.20 pts).

6.5. D: SPP purchasing criteria\textsuperscript{10}/ buying standards / requirements

\textbf{D(a): Environmental criteria (0.40 pts):}

Environmental purchasing criteria have been defined, or specific sustainability standards or ecolabels have been recommended for use by the applicable government(s) for up to 20 categories of products\textsuperscript{11} (hereto...

\textsuperscript{9} Source: European Union 2016 Buying Green handbook on Green Public Procurement, 3\textsuperscript{rd} edition, available at https://ec.europa.eu/environment/gpp/buying_handbook_en.htm

\textsuperscript{10} Purchasing criteria usually correspond to a set of detailed specifications intended to facilitate the purchase of sustainable products or services by public procurement practitioners. Examples of criteria or buying standards can be found below:
- UK government buying standards: https://www.gov.uk/government/organisations/department-for-work-pensions/about/procurement#sustainable-procurement
- US federal sustainable purchasing requirements: https://sftool.gov/greenprocurement

\textsuperscript{11} Usually categories chosen as a priority for SPP implementation would be categories representing the largest amount of spend or having the most significant impacts in terms of outcomes.
referred as “priority” product categories). Criteria and/or sustainability standards/ecolabel criteria are periodically revised based on comprehensive review, and recommendations are updated (at least every five years).

The commonly used groups of products and services below are proposed for reference. Responding countries shall choose up to 20 categories from the suggest list below of 24 categories, and indicate the product or service groups closest to those. They may also indicate two categories of their choice, in the case when relevant product groups would not fall into the ones pre-listed below.

A maximum 0.40 points will be attributed for up to 20 categories of products or services considered (0.02 points per category) for which environmental criteria or ecolabels/sustainability standards have been set or recommended.

In the case when the scope of categories would be smaller than that of the ones listed below, or when several small categories would be identified as belonging to one larger family, they would count as only one product or service category.

For example:
- Three small groups of products defined as “Finishing Materials for Wall or Ceiling”, “Paints” and “Indoor floor coverings” would all fall into the larger “Building interior products” category, and therefore generate 0.02 points (not 0.06 points).
- Two small groups of products defined as “LED lamp bulbs” and “Fluorescent lamp bulbs” would all fall into the larger “Lighting products and equipment” category, and therefore generate 0.02 points (not 0.04 points).

<table>
<thead>
<tr>
<th>Commonly-found categories of products and services to be used as reference for evaluation</th>
<th>0.02 points for each category</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>o Appliances</td>
</tr>
<tr>
<td>2</td>
<td>o Building interior products (carpeting, wallboards, paint and stains, etc.)</td>
</tr>
<tr>
<td>3</td>
<td>o Building management and maintenance</td>
</tr>
<tr>
<td>4</td>
<td>o Cleaning products, janitorial and laundry services</td>
</tr>
<tr>
<td>5</td>
<td>o Construction materials and services (including concrete, insulation materials, etc.)</td>
</tr>
<tr>
<td>6</td>
<td>o Doors and windows</td>
</tr>
<tr>
<td>7</td>
<td>o Electricity acquisition and Renewable energy</td>
</tr>
<tr>
<td>8</td>
<td>o Food, catering services and vending machines</td>
</tr>
<tr>
<td>9</td>
<td>o Furniture</td>
</tr>
<tr>
<td>10</td>
<td>o Healthcare, biomedical equipment and supplies</td>
</tr>
<tr>
<td>11</td>
<td>o Heating, venting and cooling products</td>
</tr>
<tr>
<td>12</td>
<td>o Landscaping and park services</td>
</tr>
<tr>
<td>13</td>
<td>o Lighting products and equipment (incl. lamp bulbs, indoor and outdoor lighting).</td>
</tr>
<tr>
<td>14</td>
<td>o Meeting and conference services</td>
</tr>
<tr>
<td>15</td>
<td>o Office electronics (incl. computers, monitors and imaging equipment) and electronic equipment leasing</td>
</tr>
<tr>
<td>16</td>
<td>o (Non-paper) Office supplies</td>
</tr>
<tr>
<td>17</td>
<td>o Paper and paper products</td>
</tr>
<tr>
<td>18</td>
<td>o Road Design, Construction and Maintenance</td>
</tr>
</tbody>
</table>
D(b): Consideration of social, economic and governance-related issues (0.40 pts):

This item aims to assess whether procurement is used as a strategic instrument to deliver SPP objectives in terms of social, economic and governance-related issues.

A maximum **0.40 additional points** will be attributed when social, economic or governance-related criteria are considered in the procurement of products or services (examples of the inclusion of such criteria in procurement contracts shall be provided as proof).

A list is proposed below as reference. As for environmental purchasing categories, it is suggested that governments indicate those general focus areas into which the used social, economic, or governance-related criteria fall. Governments will be required to further list specific criteria falling under those focus areas, which are considered in public procurement practice. Up to 10 considerations may be selected, among which one ‘blank’ item may be indicated in the case when one of the focus areas addressed by the government would not fall into listed considerations. 0.04 pts will be granted per selected focus area listed below.

<table>
<thead>
<tr>
<th></th>
<th>Social, economic, and governance-related focus areas</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>o Protecting against human rights abuses (for example, discrimination, unsafe working conditions child labour, forced labour, and human trafficking). It is advised to refer to the UN Guiding Principles for Business and Human Rights in the definition of such considerations.</td>
</tr>
<tr>
<td>2</td>
<td>o Protecting and promoting groups at risk (for example, minorities, indigenous people, persons with disabilities, migrant workers) through social inclusion, which may include employment opportunities.</td>
</tr>
<tr>
<td>3</td>
<td>o Promoting compliance with ILO standards and decent work</td>
</tr>
<tr>
<td>4</td>
<td>o Promoting transparency and accountability and combatting corruption</td>
</tr>
<tr>
<td>5</td>
<td>o Promoting SMEs</td>
</tr>
<tr>
<td>6</td>
<td>o Promoting fair trade (for example, by ensuring fair living wages for those along the supply chain)</td>
</tr>
<tr>
<td>7</td>
<td>o Promoting gender equality (for example, through the promotion of women-led businesses, or requiring a certain percentage of women in the workplace)</td>
</tr>
<tr>
<td>8</td>
<td>o Promoting opportunities for social economy enterprises (NGOs, etc.)</td>
</tr>
<tr>
<td>9</td>
<td>o Promoting Responsible Business Conduct among suppliers. Governments may refer to the OECD Guidelines for Multinational Enterprises when defining these.</td>
</tr>
<tr>
<td>10</td>
<td>o Promoting inclusive and equitable quality education, and lifelong learning opportunities for all (such as apprenticeship or training opportunities)</td>
</tr>
</tbody>
</table>

D(c): Risk-assessment and impact prioritization (0.20 points)
0.20 additional points will be attributed if, when defining sustainability criteria or standards for those groups of products or services, a risk-assessment analysis has been conducted to identify which product or services would show the highest potential environmental or social impact, and priority has been given to dealing with those categories first.

For example, a country may choose to focus on products and services with the highest risks in terms of human rights abuse, or environmental degradation:
- e.g. focusing on child labour issues in the supply chain of the “Textiles” category, or;
- e.g. focusing on the sourcing of wood from sustainably-managed forests in the supply chain of the “Furniture” category, to limit further deforestation.

Evidence that said analysis has been conducted shall be provided.

6.6. E: Existence of a SPP monitoring system

This sub-indicator aims to assess whether the SPP action plan implementation progress, and the practical results of SPP implementation itself, are monitored.

An evaluation scale is proposed below, so as to measure the scope and level of detail of monitoring.

E (a) Monitoring of SPP action plan / policy implementation (0.40 pts)

For each of the items below, a certain number of points will be attributed, and cumulated:
- The progress of the SPP action plan / policy implementation is monitored (0.20 pts).
- A specific target been set for sustainable procurement implementation (0.10 pts).
- The progress towards the achievement of this target is monitored (for example, a specific percentage of "green", or socially-responsible contracts) (0.10 pts).

E(b) Monitoring of SPP implementation (0.60 pts)

For each of the items below, a certain nb of points will be attributed, and cumulated:
- The number and/ or value of contracts which included sustainability requirements is (are) monitored (0.30 pts).
- The monitoring aspects also entail the measurement of sustainability outcome(s) (such as the monitoring of reduction in CO2 emissions, or the creation of green jobs) (0.10 pts).
- The monitoring of SPP-related data is carried out by the means of (from 0.10 to 0.20 pts):
  a. Surveys, self-assessment, or traditional reporting to management, or internal/external audit, or; (0.10 pts)
  b. An information system, or; (0.15 pts)
  c. An elaborate e-procurement platform (0.20 pts)
6.7. F: Percentage of sustainable purchase of priority products/services

This section aims at assessing the actual percentage of “sustainable” purchasing in the total value of the considered government’s procurement spend.

Governments will be asked to provide:
- The total value of contracts which included sustainability requirements,
- The total value of the considered government’s public procurement (i.e. the value of concluded contracts).
Based on the information provided, a percentage reflecting the weight of sustainable procurement in the government’s procurement will be calculated.

Governments will be required to specify what was considered a “sustainable” purchase in the calculation and provision of those figures.

A government which would be tracking the percentage in terms of number of contracts, and not in terms of value may also provide that type of information.

7. HOW WERE KNOWLEDGE GAPS ADDRESSED?

The SPP index has been designed to minimize the risk of data gaps by selecting easily verifiable and measurable sub-indicators (e.g. sub-indicator A: existence of a SPP policy, 0 for no and 1 for yes).

Additionally, most of the sub-indicators are addends; this implies that the absence of one or more of the addends (one or more of the sub-indicators) will not significantly impact the global score and will not result in a global data gap. Therefore, countries which are implementing a SPP policy (A=1), but which are not able to calculate some addends (letters B, C, D, E, and F), will only be marginally affected.

In order to minimize data gaps, UNEP developed this methodology in close consultation and collaboration with the departments in charge of SPP policy design, implementation and monitoring which will be the main contributors to the data collection effort.

Staff dedicated to SPP action plan implementation, capacity building of practitioners and dialogue with the market, although being key components of a successful implementation of SPP, have not been included in this indicator. It was originally intended that those aspects be included as well; however, due to difficulties in collecting and interpreting this information, it was chosen not to take account of such data in the assessment.

The 2017 UNEP “Factsheets on Sustainable Public Procurement in national governments”, a supplement to the 2017 Global Review of Sustainable Public Procurement, may also be used to complement missing

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12 Ibidem (see footnote 4)
13 Countries should consider the largest base of public procurement when calculating this value, i.e. the value of all public procurement contracts per “priority” product group, awarded by public procurement entities, and public bodies with procurement functions.
information, as it features 40 country factsheets which illustrate the state of sustainable public procurement policies, activities, programmes, monitoring and evaluation systems in national governments around the world. The main research aim of this 2017 Global Review was to explore the progress made in terms of SPP in the previous three years at a global scale while highlighting regional trends.

As noted above, the index can be used not only to report on SDG Indicator 12.7.1, but also to benchmark the performance of countries. It will serve as a maturity model which will motivate countries to progress and will help them identify gaps and areas in which they should concentrate to enhance their SPP strategies.
APPENDIX

ANNEX 1: Useful terms and abbreviations

**Best Value for Money**: can be defined as the “optimum combination of whole-life cost and quality to meet the end-user's requirements.” (Source: European Union *Buying Social*\(^\text{14}\) guide).

**Life-cycle costing (LCC)**: (*Definition adapted from: https://ec.europa.eu/environment/gpp/lcc.htm*)
Life-cycle costing (LCC) is used to evaluate costs which may not be reflected in the purchase price of a product, work or service, and which will be incurred during their lifetime, such as:
- Purchase price and all associated costs (delivery, installation, insurance, etc.);
- Operating costs, including energy, fuel and water use, spares, and maintenance;
- End-of-life costs (such as decommissioning or disposal) or residual value (i.e. revenue from sale of product)”

LCC may also include the cost of externalities (such as greenhouse gas emissions). (…) Often this will lead to ‘win-win’ situations whereby a greener product, work or service is also cheaper overall.

**MEAT**: The **Most Economically Advantageous Tender** (MEAT) criterion enables the contracting authority to take account of criteria that reflect qualitative, technical and sustainable aspects of the tender submission as well as price when reaching an award decision (Source: [https://www.felp.ac.uk/content/most-economically-advantageous-tender-meat](https://www.felp.ac.uk/content/most-economically-advantageous-tender-meat)).

ANNEX 2: Indicative list of international conventions or agreements which may be relevant to SPP

**List of relevant International Labour Organization (ILO) conventions:**
- [Equal Remuneration Convention, 1951 (No. 100)](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Working time](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Occupational Safety and Health](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Wages](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Maternity Protection](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Migrant Workers](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)
- [International Labour Standards on Indigenous and Tribal Peoples](https://www.ilo.org/wcmsp5/groups/public/---dgrenew/---dgrenew1/---advisory/---locof/documents/publication/wcms_382630.pdf)

Further International Labour Standards can be found at the following link for further reference: https://www.ilo.org/global/standards/subjects-covered-by-international-labour-standards/lang--en/index.htm

International agreements in the environmental field:

- The 1979 Geneva Convention on Long-Range Transboundary Air Pollution (LRTAP)
- Stockholm Convention on Persistent Organic Pollutants (POPs)
- United Nations Framework Convention on Climate Change (UNFCCC) - Kyoto Protocol
- Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention)
- Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- The Montreal Protocol on Substances That Deplete the Ozone Layer
- Rotterdam convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade
- Convention on Biological Diversity
- Aarhus Convention On Access To Information Public Participation In Decision Making And Access To Justice In Environmental Matters
- Convention On The Transboundary Effects Of Industrial Accidents
- Convention on the Prevention of Marine Pollution by Dumping of Wastes and Other Matter
- International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto (MARPOL 73/78)
- The Antarctic Treaty
- The Regional Agreement on Access to Information, Public Participation and Justice in Environmental Matters in Latin America and the Caribbean
- Paris Agreement
- UN Convention on the Law of the Sea

Relevant instruments in the field of human rights:

- UN Guiding Principles on Business and Human Rights
- 9 core UN human rights treaties
- UN Declaration on the Rights of Indigenous Peoples
### ANNEX 3: Suggestion of documents which may be provided as evidence

<table>
<thead>
<tr>
<th>Section</th>
<th>Relevant documents which can be provided</th>
</tr>
</thead>
</table>
| **A: Existence of a SPP Action plan / policy, and / or SPP regulatory requirements** | • SPP Action Plan.  
• SPP policy.  
• Other overarching policy including SPP-focused sections (with specific references in the Excel®-based file to the sections/pages with the relevant contents).  
• SPP regulatory requirements included in public procurement laws or in sectoral legislations. |
| A SPP action plan, policy and/or SPP regulatory requirements has/have been developed and approved by the government. Action plan, policy-related documents and/or relevant regulatory requirements should be accessible online. |                                                                                                                                  |
| **B. The Public Procurement regulatory framework is conducive to sustainable public procurement** |                                                                                                                                  |
| B(a) Provisions in the legal and regulatory framework allow for sustainability considerations (environmental and/or social) to be incorporated at the following stages of the procurement process: |                                                                                                                                  |
| 1/ Defining technical specifications                                      | • Relevant regulatory or legal provisions specifying that sustainability requirements can be included.  
• Examples of technical specifications inclusive of sustainability requirements / references to Eco-labels. |
| o Sustainability requirements (environmental and/or social) can be included in technical specifications. AND / OR |                                                                                                                                  |
| o Type I Eco-labels, social labels, or relevant sustainability standards can be used as reference to specify the minimum level of compliance. |                                                                                                                                  |
| o Functional / Output-based / Performance-based specifications can be used as criteria. Such specifications indicate what the procured items should achieve in terms of the functions performed, the level of performance reached, or the delivered outputs/outcomes (for example, light bulbs with limited energy consumption, or vehicles with limited CO2 emissions). |                                                                                                                                  |
| 2/ Sourcing of suppliers                                                 | • Relevant regulatory or legal provisions which may specify that minimum compliance criteria can refer to a specific level of performance, or outputs delivered by a product or service.  
• Examples of technical specifications inclusive of performance-based criteria. |
| o Sustainability requirements can be specified as pre-qualification / selection criteria: |                                                                                                                                  |
| o Sustainability requirements can be specified as exclusion criteria      |                                                                                                                                  |
| 3/ Award criteria                                                        | • Relevant regulatory or legal provisions which may specify that qualification / selection / exclusion criteria based on sustainability requirements.  
• Examples of such pre-qualification / selection criteria based on sustainability requirements. |
| o The legal and regulatory framework allows for contract award to be based on criteria other than price (including sustainability criteria), for instance by resorting to the "Best Value for Money" or "Most Economically Advantageous Tender (MEAT)" approaches. |                                                                                                                                  |
| 4/ Contract performance:                                                 | • Relevant regulatory or legal provisions which may specify that contract clauses may include sustainability requirements.  
• Past examples of awarded contracts which execution clauses included sustainability requirements. |
| o Sustainability requirements can be specified in contract performance clauses. For example: requiring compliance with labour rights in the supply chain (e.g. ILO core standards); requiring an efficient use of resources such as electricity and water on construction sites; reduction of CO2 emissions associated with transport; packaging taken away for reuse, recycling or appropriate disposal. |                                                                                                                                  |
| 8(b) Provisions in the legal and regulatory framework mandate the procurement of sustainable alternatives | Relevant regulatory or legal provisions which may specify that the procurement of “greener”, or socially-responsible alternatives is mandatory for certain products or services. |
| **C: Practical support delivered to procurement practitioners on the implementation of SPP/GPP** | Web link to the developed guidelines and tools, the catalogue, etc. specifying the last year of revision. |
| o Guidelines and tools, or an official catalogue of eco-labelled products, have been developed and are periodically revised |                                                                                                                                  |
## D: SPP purchasing criteria / buying standards / requirements

### D(a): Environmental criteria
- Documents showing such developed criteria or recommendations, such as: https://ec.europa.eu/environment/gpp/eu_gpp_criteria_en.htm. Please note that in the case of European Union countries, if EU GPP criteria are used by a member country as their own, those criteria should have been adapted (and translated, if relevant, in local language of the country), and shared with procurement practitioners.
- Official reports or guidelines including links and references to those criteria.
- Official reports on the inclusion of such criteria in public procurement.
- Examples of tenders or contracts concluded, which included such criteria.
- Legal documents mandating the use of such criteria in public procurement.

### D(b) Social, economic, and governance-related criteria
- Documents showing such developed criteria or recommendations.
- Official reports or guidelines including links and references to those criteria.
- Examples of tenders or contracts concluded, which included such criteria.
- Official reports on the inclusion of such criteria in public procurement.
- Legal documents mandating the use of the criteria in public procurement.

### D(c) A risk-assessment analysis has been conducted to identify which product or service would show the highest potential environmental (and/or social impact), and priority has been given to setting criteria for those categories first.
- Web link or said analysis report should be provided as evidence.

## E: Existence of a SPP monitoring system

### E (a) Monitoring of SPP action plan / policy implementation
1. Is the progress of your SPP action plan / policy implementation monitored?
2. Has a specific target been set for sustainable procurement implementation? (for example, specific % of "green", or socially-responsible contracts)
3. Is the progress towards the achievement of your target monitored?

- Please provide any details and relevant link or document which may indicate that this progress is tracked.
- Please indicate which target has been chosen, and provide links and specific references to the mention of this target.
- Please provide any proof of target monitoring.

### E(b) Monitoring of SPP implementation
1. Is the number and/or value of contracts which included sustainability requirements monitored? (If yes, please provide more details on the scope and data monitored, in column E)
2. Does monitoring also entail the measurement of sustainability outcomes? (such as the monitoring of reduction in CO2 emissions, or the creation of green jobs)
3. How is data monitored? via surveys, self-assessment, internal/external audit, or traditional reporting to management via an information system via an elaborate e-procurement platform

- Please provide proof of such monitoring (if possible, web link or screenshot, or presentation of the said monitoring system).
- Please describe in detail the kind of data monitored, and kindly provide screenshots.
- Please provide proof of such monitoring, as documents, conducted self-assessments, reports, etc., or, if possible, web link or screenshot, or presentation of the said monitoring system.

## F: Percentage of sustainable public procurement
- Please provide details regarding what has been considered a “sustainable” contract in the definition and calculation of this total value.
- Please provide any document supporting those figures.
ANNEX 4: Microsoft Excel®-based tool used to collect data and calculate the SPP score

### Main page

**SDG 12.7.1. INDEX CALCULATOR**
**MAIN PAGE**

**Reporting Guidelines & Overview of Final Index**

**Please specify your country name:**

<table>
<thead>
<tr>
<th><strong>REPORTING GUIDELINES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Please provide your contact information in the <strong>CONTACT DETAILS</strong> tab.</td>
</tr>
<tr>
<td>2. If it is empty, please provide the Total Value of Public Procurement at county level below in cell ECIT.</td>
</tr>
<tr>
<td>3. Please provide data regarding SPP implementations and Public Procurement values in specific tabs, depending on the type of government you are representing:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>If you are reporting for a:</th>
<th>If you are reporting for a:</th>
<th>If you are reporting for a:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal National Government</td>
<td>Region, Province or State</td>
<td>City or Municipality</td>
</tr>
<tr>
<td>4. Please provide the Total Value of Public Procurement for your federal/national government in cell ECIT.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Please click here to provide your inputs in <strong>SDS OVERVIEW STATES PROVINCES</strong>.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Please click here to start from the tab named <strong>SDS OVERVIEW OF CITIES</strong>.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### SUMMARY OF PARTICIPATING ENTITIES

<table>
<thead>
<tr>
<th>Year of reference: 2019</th>
<th>Total Value of Public Procurement</th>
<th>% in [country] Total Public Procurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>County’s Total Public Procurement</td>
<td>0</td>
<td>100.00%</td>
</tr>
<tr>
<td>Federal National government</td>
<td>0</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

List of participating sub-national governments and total value of their public procurement (Regions, Provinces or States)

<table>
<thead>
<tr>
<th>Region</th>
<th>Total Value of Public Procurement</th>
<th>% in [country] Total Public Procurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>0.0000%</td>
<td>0.0000%</td>
</tr>
<tr>
<td>B</td>
<td>0.0000%</td>
<td>0.0000%</td>
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<td>C</td>
<td>0.0000%</td>
<td>0.0000%</td>
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<tr>
<td>D</td>
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<td>0.0000%</td>
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<td>E</td>
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</tr>
<tr>
<td>J</td>
<td>0.0000%</td>
<td>0.0000%</td>
</tr>
</tbody>
</table>
# Federal/National Government SPP Implementation Evaluation Spreadsheet

## (Sections A and B)

<table>
<thead>
<tr>
<th>Sub-Indicators and Scoring Details</th>
<th>Mini Score</th>
<th>Supporting Documents or Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Existence of a SPP Action Plan</strong>&lt;br&gt;Policy, and planning implementation requirements</td>
<td>1</td>
<td>Please click on the cells below and select an answer from the drop-down list. Please provide more details to support your answer, and briefly specify links to relevant documents.</td>
</tr>
<tr>
<td><strong>B. The Public Finance Management framework to enhance public procurement</strong>&lt;br&gt;Key position in the local government framework for ensuring that public procurement is the key position in the implementation of the SPP.</td>
<td>1</td>
<td>Please click on the cells below and select an answer from the drop-down list. Please provide more details to support your answer, and briefly specify links to relevant documents.</td>
</tr>
<tr>
<td><strong>C. Proactive planning</strong>&lt;br&gt;Information about the SPP is made public</td>
<td>1</td>
<td>Information about the SPP is made public. Public awareness is crucial.</td>
</tr>
<tr>
<td><strong>D. Performance monitoring</strong>&lt;br&gt;Monitoring and reporting on the implementation of the SPP</td>
<td>1</td>
<td>Monitoring and reporting on the implementation of the SPP. Performance indicators are essential.</td>
</tr>
<tr>
<td><strong>E. Accountability</strong>&lt;br&gt;Assessment and evaluation of SPP implementation</td>
<td>1</td>
<td>Assessment and evaluation of SPP implementation. Accountability is fundamental.</td>
</tr>
</tbody>
</table>

**Notes:**
- **Mini Score:** 1 to 5 (1 being the lowest and 5 being the highest)
- **Supporting Documents or Details:** Links and details to support the mini-score selection.