The UN Environment SPP Guidelines

Farid Yaker, Programme Officer
UN Environment
Workshop on Sustainable Public Procurement
Entebbe, 7 August 2018
The SPP Approach
**Objective 1:**
Provide policy support and technical assistance to countries for the design and implementation of SPP/Ecolabelling policies

**Objective 2:**
Promote worldwide implementation of SPP through increased cooperation between key stakeholders and a better understanding of its potential benefits and impacts.
Assisting 16 governments through the UN Environment Sustainable Public Procurement and Eco-labelling & EaP-GREEN Project Countries (2013-2017)
Goals of the Approach

- To guide countries in the development and application of national SPP policies and action plans.

Policy Framework

- Legitimizes actions
- Informs the market

Action Plan:

- Defines responsibilities
- Outlines stages of implementation
Summary of the Approach

- **4 steps**
  - 1. Launch of the project and governance structure
  - 2. Status Assessment, Legal Review, Prioritisation, Market analysis
  - 3. SPP Policy and Action Plan
  - 4. SPP Implementation

- **Ongoing training during the process**
- **Application adapted to national context**
The Guidelines of UNEP’s SPP Approach incorporate the lessons drawn from the testing of the MTF Approach to SPP that UNEP rolled out in 7 pilot countries from 2009 to 2012.
Expected outcomes

- Status Assessment
- Legal review
- Prioritization
- Market analysis

- Selection of priority products

- SPP Policy and Action Plan

- Implementation
1. Launch of the project and governance structure

2. Status Assessment, Legal Review, Prioritisation, Market analysis

3. SPP Policy and Action Plan

4. SPP Implementation

Training
1. Launch of project and governance structure

- Preliminary steps
- National Focal Organization: tasks and composition
- Steering Committee: tasks and composition
1. Launch of project and governance structure

**Preliminary steps**

- Letter of Expression of Interest (EOI)
- Preliminary discussions
- Initial study of context
- Letter of commitment
- Launch visit/mission
- Initial training
1. Launch of project and governance structure

Launch visit and inception workshop

- **Goals:**
  - To assess political commitment
  - To appoint the National Focal Organization (NFO)
  - To establish the scope
  - To plan the composition of the Steering Committee (SC)
  - To assess internal resources
  - To establish a schedule for implementation
  - Funding modalities
1. Launch of project and governance structure

- Appointment of NFO
- Establishment of Steering committee
Examples of institutional framework & responsibilities

Model of shared responsibility & accountability at different levels

STEERING COMMITTEE

Ministry A (or Department)
- Focal point A

National Focal Organization
- National Focal Point

Ministry B (or Department)
- Focal point B

Supporting Organization(s)
Consultants & Experts

UNEP
Examples of institutional framework & responsibilities

Institutional mapping for Action Plan implementation

- **Supervising Committee**
  - Supervises & monitors action plan implementation
  - Controls the action of NFO & SPP implementation Unit
  - Reviews and approves main outputs

- **National Focal Organization (NFO)**
  - Responsible for the coordination and the execution of the SPP action plan
  - Responsible for defining and carrying out/ following up on legal amendments, capacity building, SPP tools development
  - Reviews outputs prior to approval by the SPP TF
  - Supervises the execution of tasks by local consultants if need be
  - Coordinates with UNEP
  - Monitors & reports to the Taskforce on Action plan implementation progress

- **National Focal Point**

- **Supporting Organizations Consultants & Experts**
  - Provide support & guidance on SPP action plan implementation
1. Launch of project and governance structure

SC, Composition

- Different Ministries (Environment, Economy, Industry, Social Affairs, etc.)
- Other levels of administration
- Private sector associations
- Universities, research centers and experts
- Third sector

Nominal (and substitute) representative with decision-making powers

Co-chaired by the Ministry of Environment and Economy (procurement)
SPP Approach: Step 2

1. Launch of the project and governance structure

2. Status Assessment, Legal Review, Prioritisation, Market analysis

3. SPP Policy and Action Plan

4. SPP Implementation

Training
Preliminary studies: A. Status Assessment

- **Status Assessment**
- Legal review
- Prioritization
- Market analysis

Flowchart:

- Status Assessment
- Legal review
- Prioritization
- Market analysis
- Selection of priority products

Result:

- SPP Policy and Action Plan
- Implementation
### 2. Preliminary studies

#### Status Assessment

- **Goals:**
  - Assess current levels of SPP in country/entity.
  - Understand the steps required to improve SPP.
  - Identify resources to improve SPP.
  - Increase awareness-raising on international commitment to SPP.
  - Check progress of the country at a later stage.
  - Compare SPP practices with others.
2. Preliminary studies

Status Assessment

Tools:
- Status assessment questionnaire

Define scope:
- Implementing agency.
- All the central administration (including autonomous companies).
- All levels of administration (national, regional, local).
SAQ Expected outcomes

- Greater knowledge of the current situation
- Identification of areas for improvement
- Baseline for future assessments
- Internal awareness-raising regarding SPP
- Gradual appropriation of project
Preliminary studies: B. Legal Review

- Status Assessment
- Legal review
- Prioritization
- Market analysis
- Selection of priority products

SPP Policy and Action Plan

Implementation
2. Preliminary studies

Legal Review

**Goals:**

- To get to know the legal context and policies related with public procurement and sustainability.
- To understand the financial structure linked to procurement
- To identify existing or developing sustainability criteria
- To identify legal obstacles and opportunities for SPP
- To propose recommendations to improve the legal framework and procedures
2. Preliminary studies

Legal Review

Contents:

- International legal framework
- Constitutional legal framework
- Administrative and regulatory legal framework
  - Budgetary regulations & Public procurement framework
  - Environmental, social, economic regulations (SD)
  - SPP obligations (if any)
- Analysis, Recommendations and proposals
- Conclusions
Examples of outputs

Vietnam, Legal Review

Mongolia, Legal Review
Examples of outputs

More outputs can be found here:
http://drustage.unep.org/resourceefficiency/what-we-do/sustainable-lifestyles/sustainable-procurement/project-countries
Legal Review expected outcomes

- Knowledge of legal possibilities to introduce sustainability criteria in public procurement
- Greater shared knowledge of legal interactions and relationship with SPP.
- Recommendations and proposals for improvement.
- Conclusions for implementing SPP from a legal perspective.
- Contributions to the SPP action plan and other policies.
Preliminary studies: C. Prioritization

- Status Assessment
- Legal review
- Prioritization
- Market analysis

Selection of priority products

SPP Policy and Action Plan

Implementation
2. Preliminary studies

Prioritization of products and services

- **Goals:**
  - To gear efforts towards the SPP policy/action plan
  - To prioritize robustly and coherently according to:
    - The risks of the different products and services
    - The priorities of the administration
    - The importance of the product group and the scope for action
    - Market capacity, prices, TCO, local production
  - To define actions for obtaining long-term outcomes
Overview of the Prioritization steps

A. Preliminary prioritisation of products
   - STEP 1: Develop a preliminary list of product categories.
   - STEP 2: List of most-purchased product categories
   - STEP 3: Preliminary market study

B. Risks & benefits assessment
   - STEP 4: Measure environmental impacts
   - STEP 5: Measure socio-economic impacts
   - STEP 6: Assess the existence of certification schemes
   - STEP 7: Master table

C. Selection of final categories for SPP
Preliminary studies: D. Market Analysis

- Status Assessment
- Legal review
- Prioritization
- Market analysis

Selection of priority products

SPP Policy and Action Plan

Implementation
2. Preliminary studies

Market analysis

Goals:

- To assess the production capacity of sustainable goods and services in the country.
- To determine the market's capacity of response (imports/national production) for SPP (current and future requirements).
- To identify existing certification or verification tools, as well as gaps.
- To assist in the planning of activities for gradual implementation of SPP.
2. Preliminary studies

Market analysis expected outcomes

- Identifying main sustainable product/service groups
- Getting to know the production/import outlook
- Identifying the role of Micro-SMEs in the production/import of the sustainable goods
- Detecting measures for sustainable consumption and production policies and associated regulations.
- Raising awareness among target sector companies.
- Defining criteria for SPP.
- Determining short, medium and long term actions.
2. Preliminary studies

Market analysis overview

- A. Introduction
- B. Identification of sub-categories of sustainable products & services used for pilot tenders
- C. Analysis of supply
- D. Analysis of demand
- E. Validation of sustainability criteria
- F. Conclusions and recommendations for SPP and contracting
SPP Approach: Step 3

1. Launch of the project and governance structure

2. Status Assessment, Legal Review, Prioritisation, Market analysis

3. SPP Policy and Action Plan

4. SPP Implementation
SPP Action Plan Goals:

- To get a commitment from all concerned parties to apply SPP.
- To provide solid, coherent and well-coordinated direction to apply SPP.
- To improve dialog with market and civil society.
- To provide incentives for the national industry (and SMEs) to develop sustainable products and services.
- To monitor progress in order to improve the approach and its implementation and to legitimize SPP.
SPP Action Plan Expected outcomes

- Systematic application of SPP in the country.
- Stimulation of the market of goods and services with improved environmental and social performance.
- Promotion of greater demand for these products and more sustainable companies.
- Greater return on public expenditure.
- Reduction of negative impacts and support for achieving sustainable development.
3. SPP Policy and Action Plan

**SPP Action Plan Overview**

A. Context & background
B. Legal Framework
C. Institutional framework & definition of roles and responsibilities
D. SPP Implementation
E. Capacity Building (Training & Awareness-raising)
F. Communication Strategy & Awareness-raising
G. Monitoring & Control
H. Budget
How to design an SPP Action Plan?

- To attain the goals established
- **What?** Actions to be carried out
- **Who?** Responsibilities
- **When?** Terms according to goals
- **How?** Resources
- **Monitoring?** Tasks, processes, people responsible

- Return and contributions for development of policies
Thank you!
Farid.yaker@un.org