



United Nations Economic Commission for Europe (UNECE)

UNECE

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Team of Specialists on Public-Private Partnerships

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**Zero Tolerance to Corruption
Evaluator's Assessment Document**



Zero Tolerance for Corruption Evaluator's Assessment Document

- The evaluator's assessment document serves as an evaluation tool to analyze the extent to which a PPP unit and/or public entity is meeting the conditions laid down in the Charter to Zero Tolerance for Corruption in PPPs.
- The assessment document will be used in conjunction with an assessment guide which will provide commentary on the application and completion of the evaluation and assessment.



Zero Tolerance for Corruption

Evaluator's Assessment Document

8. Do the PPP units/public entities promote management excellence and integrity in public service?	
9. Do the PPP units/public entities ensure proper dissemination of the code of conduct within all staff members?	
10. Do the PPP units/public entities enforce adherence to the code of conduct by having in place an effective compliance department?	
11. Do the PPP units/public entities have in place a proper grievance handling mechanism and ensure protection for whistleblowers (including a policy on bullying)?	
12. Do the PPP units/public entities use automated or computerized accounting, payroll and PPP processes (including solicitation components that reduce human error or improper influence)?	
13. Do the PPP units/public entities have controls in place to discourage PPP unit/public entity employees being employed by entities awarded PPP contracts?	
Comments:	

Qualification and Track record	0-3
1. Do the PPP units/public entities employ sufficient number of qualified PPP specialists with project transaction experience?	
2. Do the PPP units/public entities have internal technical capacity or the means to retain qualified external assistance to handle specialized PPP matters, including the use of past or current PPP project experience and approaches?	
3. Do the PPP units/public entities exhibit knowledge of International PPP experience or incorporate external international expertise?	
4. Do the PPP units/public entities undertake projects where development bank or other international financial institution standards apply?	
Comments:	

Training and Staff Appraisal System	0-3
1. Do the PPP units/public entities have programs to expand PPP training and knowledge?	
2. Do the PPP units/public entities conduct regular trainings on ethical code of conduct, conflict of interest and receiving gifts policy?	

3. Do the PPP units/public entities include components of ethical code of conduct and conflict of interest in their periodic staff evaluation system?	
Comments:	

B. Oversight and Creation of a PPP Enabling Environment

Accountability and Transparency	0-3
1. Do the PPP units/public entities use PPP model agreements or templates and exercise clarity in language in all their contract papers and external communications?	
2. Do the PPP units/public entities use transparent and openly communicated approval mechanisms (including the use of clear authority and transparent approval and award processes)?	
3. Do the PPP units/public entities exhibit simplified administrative functions and enforce administrative accountability?	
4. Do the PPP units/public entities restrict civil servants from having interests in proposer entities?	
5. Do the PPP units/public entities ensure proper retention of public records as well as access to these records?	
6. Do the PPP units/public entities enforce a culture of open information: publicize the non-confidential terms and conditions of the contract after selection or award (including a clear articulated basis and finality of award)?	
7. Do the PPP units/public entities examine proposer integrity and require proposers to be non-biased and transparent?	
8.	
Comments:	

Legal and Regulatory framework	0-3
1. Do the PPP units/public entities face rigorous auditing procedures themselves?	
2. Do the PPP units/public entities actively encourage auditing of their own practices?	
3. Do the PPP units/public entities facilitate formulation of PPP laws, regulations and policies to create a more conducive and predictable business environment?	
4. Do the PPP units/public entities work within specific sectors, contracting forms, or other identified scope such that their responsibilities are well defined and they are prone to developing expertise and capacity?	



Zero Tolerance for Corruption

Evaluator's Assessment Document

Oversight and Creation of a PPP Enabling Environment*

- Legal and Regulatory Framework
- Accountability and Transparency

Underlying Organizational Capability

- General Human Resource
- Qualification and Track Record
- Training and Staff Appraisal System

Technical Capability

- Consultation with the Market
- Competitive Tendering
- Consultation with other Stakeholders

***Note –Comments and critical review are on-going and the Assessment Document remains subject to change and finalization.**



Zero Tolerance for Corruption Evaluator's Assessment Document

Consultation with other Stakeholders	0-3
1. Do the PPP units/public entities ensure balanced stakeholder or civic involvement (i.e. public vetting of PPP decisions or approaches)?	
2. Do the PPP units/public entities ensure involvement of an attorney general, public counsel, or other probity, fairness advisor or auditor?	
3. Do the PPP units/public entities carry out consultation with other applicable government entities affected or involved with the PPP project?	
Comments:	



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