

1 By way of information, this examiner's checklist would be undertaken and managed by an
2 agency located outside the UN in a member state. The agency would be responsible for the
3 following:

- 4 • Hiring the evaluator
- 5 • Maintaining liaison with the Government body wanting to be evaluated
- 6 • Ensuring and overseeing that the evaluation has been undertaken correctly
- 7 • Guaranteeing that the evaluation has been done so that the award of the certificate is a
8 genuine recognition of the achievement of compliance with the Zero Tolerance to Corruption
9 charter

10 In addition, it is probably assumed but is still to be finalized that this certificate will be given in
11 two stages:

12 **Stage 1:** The certificate could be seen as Category 1 compliance when the Government agency
13 has agreed to be evaluated, the preliminary engagement has taken place, and at the outset
14 presents no major corruption issues.

15 **Stage 2:** The certificate could be seen as Category 2 compliance when the government agency
16 satisfactorily meets a sufficient number of the conditions as set out in the document below.

17 For the moment, we would kindly ask the reviewers to help us operationalize this tool of
18 evaluation by answering the following questions.

19



United Nations
Economic Commission of Europe
Zero Tolerance for Corruption
Evaluator's Assessment Document

Subject:
Review Date:
Publish Date:

Other:

24

25 Review Scoring for each question = N/A – Not Applicable

26 0 – None Demonstrated

27 1 – Minimally Demonstrated

28 2 – Moderately Demonstrated

29 3 – Significantly Demonstrated

30

31 As a supplement to this document, evaluators will receive a guideline with information on the
32 scoring system. Individual weights will be assigned to each category of questions, depending on
33 their relative importance in assessing adherence to the conditions laid down in the Charter to
34 Zero Tolerance for Corruption in PPPs.

35



36 **A. Enabling Environment for PPPs**

I. Legal and Administrative Framework	0-3
1. Do the public entities responsible for PPPs have in place a clear, simplified, well scoped, independent administrative structure?	
2. Do the public entities responsible for PPPs or their parent authorities adhere to the UNECE's Charter for Zero Tolerance to Corruption in PPPs?	
3. Do the public entities responsible for PPPs comply with or support formulation of PPP favorable laws, regulations, policies and treaties?	
4. Do the public entities responsible for PPPs work within specific sectors, contracting forms, or other identified scope?	
5. Do the public entities responsible for PPPs operate according to ethical laws and regulations?	
Comments:	

37

II. Human Resources Capacity	0-3
1. Do the public entities responsible for PPPs have recruitment standards which reflect the broad base of the population and ensure a representative balance?	
2. Do the public entities responsible for PPPs have a tracking system to ensure that minorities are given opportunities for development, promotion as well as to participate in training programs?	
3. Do the public entities responsible for PPPs utilize justifiable and appropriate staff remuneration and working conditions?	
4. Do the public entities responsible for PPPs have recruitment standards which examine employee candidate integrity?	
5. Do the public entities responsible for PPPs employ sufficient number of qualified PPP specialists with project transaction experience?	
6. Do the public entities responsible for PPPs have and/or focus on developing internal PPP project experience and capacity?	
7. Do the public entities responsible for PPPs have the means and capacity to retain and manage qualified and/or specialized independent advisors?	
8. Do the public entities responsible for PPPs have programs to expand PPP training and knowledge?	



9. Do the public entities responsible for PPPs foster capacity in project contract management and ethical project implementation practices?

Comments:

38

39 **B. Organizational Integrity**

I. Organizational Standards

0-3

1. Do the public entities responsible for PPPs promote management excellence and integrity in public service?

2. Do the public entities responsible for PPPs have in place, disseminate, train, and/or enforce a sound set of code of conduct and/or ethical standards?

3. Do the public entities responsible for PPPs select or operate under processes for selecting projects based on socio-economic needs rather than political needs?

4. Do the public entities responsible for PPPs undertake projects where international financial or institutional standards apply?

Comments:

40

II. Organizational Accountability

0-3

1. Do the public entities responsible for PPPs operate within a structured legal and regulatory environment that encourages ethical behavior?

2. Do the public entities responsible for PPPs exercise clarity in language in documentation?

3. Do the public entities responsible for PPPs employ mechanisms to achieve administrative accountability?

4. Do the public entities responsible for PPPs have in place a proper grievance mechanism or process?

5. Do the public entities responsible for PPPs use systems to reduce human error or improper influence?

6. Do the public entities responsible for PPPs have controls in place to discourage PPP unit/public entity employees being employed by entities awarded PPP contracts?



Comments:

41

III. Organizational Transparency	0-3
1. Do the public entities responsible for PPPs use transparent and widely communicated decision making processes and/or approval mechanisms?	
2. Do the public entities responsible for PPPs enforce a culture of transparency and access to information?	
3. Do the public entities responsible for PPPs publicize the solicitation widely, accessibly and in a reasonable and timely manner?	
4. Do the public entities responsible for PPPs ensure clear, uniform, formal and ethical communications, consultations, and negotiations with private sector?	
5. Do the public entities responsible for PPPs ensure proper retention of and access to public and private project records?	
Comments:	

42 **C. Tendering Standards**

I. Organization of Competitive Tendering	0-3
1. Do the PPP units/ public entities have procedural controls in place and foster integrity in PPP procedures, tender, and awards?	
2. Do the public entities responsible for PPPs employ PPP procurement conditions that foster competition?	
3. Do the public entities responsible for PPPs examine proposer integrity and require proposers to be non-biased and unaffiliated with public entities, personnel, or advisors?	
4. Do the public entities responsible for PPPs have controls in place for incurring financial obligations in the pre-qualification and tendering process?	
5. Do the public entities responsible for PPPs implement fair and consistent Owner and proposer interaction?	
6. Do the public entities responsible for PPPs open, compare and evaluate proposals in a transparent and objective system?	
7. Do the public entities responsible for PPPs mandate substantiated and written	



evaluation reports?	
8. Do the public entities responsible for PPPs require proposers to make financial certifications or guarantees?	
9. Do the public entities responsible for PPPs use objective, competent, and neutral evaluators?	
10. Do the public entities responsible for PPPs use clear, simple, open, neutral, and uniform tender materials and processes?	
Comments:	

43

II. Consultation with other Stakeholders	0-3
1. Do the public entities responsible for PPPs ensure balanced stakeholder or civic involvement?	
2. Do the public entities responsible for PPPs ensure involvement of an attorney general, public counsel, or other probity, fairness advisor or auditor?	
3. Do the public entities responsible for PPPs carry out consultation with other applicable government entities affected or involved with the PPP project?	
Comments:	

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