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Javna naročila - Integriteta in odgovornost - Zahteve in navodilo

Public procurement - Integrity and accountability - Requirements and guidance

Öffentliche Beschaffung - Integrität und Verantwortlichkeit - Anforderungen und Leitfaden

Achats publics - Intégrité et responsabilité - Exigences et recommandations

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Achats publics - Intégrité et responsabilité - Exigences
et recommandations

Öffentliche Beschaffung - Integrität und
Verantwortlichkeit - Anforderungen und Leitfadens

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EUROPEAN COMMITTEE FOR STANDARDIZATION
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CEN-CENELEC Management Centre: Rue de la Science 23, B-1040 Brussels

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EN 17687:2022 (E)

European foreword

This document (EN 17687:2022) has been prepared by Technical Committee CEN/TC 461 “Public procurement”, the secretariat of which is held by SIS.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by February 2023, and conflicting national standards shall be withdrawn at the latest by February 2023.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN shall not be held responsible for identifying any or all such patent rights.

Any feedback and questions on this document should be directed to the users’ national standards body. A complete listing of these bodies can be found on the CEN website.

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Introduction

0.1 Background

This document has been developed following the acceptance by CEN to deliver the European Commission's Pilot Project on Increased use of standards in Public Procurement - Output 3 (Integrity and Accountability Standard). The main objective with Output 3 is to deliver a European Standard focusing on integrity and accountability in public procurement.

The United Nations, together with international organizations such as the OECD, the European Union, International Financing Institutions and NGOs such as Transparency International, have played leading roles in recognizing the importance of good governance and developing technical guidance to enhance integrity in public procurement.

Failure to commit to the fundamental principles of integrity, accountability and transparency in public procurement can create room for corruption, undermine the effectiveness of public services and have a negative impact on the cost-efficiency of public spending. As an indirect result, such deficiencies can harm the public interest, undermine public trust and have a negative impact on citizens. Risks relating to corruption and fraud are important aspects of public procurement globally. The EU regulatory framework on public procurement and applicable national legislation provide a strong preventative mechanism against the occurrence of potential irregularities. The EU legal system is based on the fundamental principles of equal treatment, non-discrimination, mutual recognition, proportionality and transparency, with clear rules on how to conduct public procurement processes to comply with these principles.

A new generation of EU directives was adopted in 2014 that further underline the need for increased integrity and the inclusion of specific rules for situations of conflicts of interest and more stringent requirements on the exclusion of suppliers. However, the main challenges are normally not weak or absent regulatory or institutional frameworks at the member state level, but rather the implementation and practice at the level of contracting authorities and entities.

Integrity refers to the consistent alignment of, and adherence to, agreed ethical values, principles and norms. In other terms, it is not just about being true to oneself but also about being accountable to key stakeholders and operating in a transparent manner, such as how the procurement function is organized and managed to secure internationally recognized frameworks for integrity and accountability. Integrity and accountability are two components of good public governance, including sound financial management, and are closely linked to each other.

This document aims to provide a sound framework for generally accepted principles of integrity and accountability in public procurement.

Information marked as "NOTE" is for guidance in clarifying the associated requirement. "Notes to entry" used in Clause 3 provide additional information that supplements the terminological data and can contain provisions relating to the use of a term.

0.2 Structure of this document

Striving for integrity and accountability, which are objectives for any buyer organization, involves managing various constraints in different proportions. In this document, this is reflected in the balance between requirements and guidance.

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In order to enable the buyer organization to address integrity and accountability in its public procurement processes, this document is structured in the following way:

- Clause 1 to 3: the scope, normative references, which there are none, and terms and definitions which apply to this document;
- Clause 4: the fundamental principles underlying this document: integrity, accountability and transparency;
- Clause 5: governance within the buyer organization, including policies, behaviour and leadership;
- Clause 6: the public procurement process and the risks involved;
- Clause 7: stakeholder management, particularly in relation to market engagement, supply chain and end-user levels;
- Clause 8: consideration of the human factors within the buyer organization, particularly the skills and development of its workers, but also the mechanisms and measures taken by the buyer organization to apply this document;
- Clause 9: evaluation of the performance of the public procurement process;
- Clause 10: continuous improvement of the public procurement process;
- Annex A: guidance for the interpretation of the requirements;
- Annex B: guidance on common risks in the public procurement process.

To simplify referencing in this document, every requirement and recommendation in Clauses 4 to 10 has been placed in a numbered subclause.

The following verbal forms are used in this document:

- a) “shall” indicates a requirement;
- b) “should” indicates a recommendation;
- c) “may” indicates a permission;
- d) “can” indicates a possibility or capability.

1 Scope

This document specifies requirements and guidance for buyer organizations, with regards to integrity and accountability in public procurement processes from the identification of needs throughout the delivering of goods, services or work contracts.

This document is applicable to use by:

- a) buyer organizations;
- b) contributors;
- c) decision makers and their staff.

This document can have an impact on:

- individuals;
- suppliers and individuals acting in support of or on behalf of suppliers, including subcontractors; the official bodies of the member states and of the European organizations which intervene, directly or indirectly, in the public procurement process;
- organizations representing suppliers at the member state or European levels.

NOTE Further guidance for the interpretation and application of the scope and requirements of this document is provided in Annex A.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <https://www.electropedia.org/>

3.1 Terms related to concepts

3.1.1

accountability

state of being answerable for decisions and activities to the buyer organization's governing bodies, legal authorities and, more broadly, its stakeholders

[SOURCE: EN ISO 26000:2020, 2.1, modified – The word “organization” has been replaced with “buyer organization”.]

3.1.2

integrity

consistent alignment of, and adherence to, agreed ethical values, principles and norms

[SOURCE: OECD Recommendation on Public Integrity, 2017.]

EN 17687:2022 (E)**3.1.3****integrity pact**

contract between a buyer organization and suppliers bidding for public contracts that they will abstain from corrupt practices and will conduct a transparent procurement process

Note 1 to entry: An integrity pact may be monitored by an independent third party.

3.1.4**transparency**

open, comprehensive and understandable presentation of information

[SOURCE: EN ISO 14040:2006, 3.7.]

3.1.5**value for money**

most advantageous combination of cost, quality and sustainability to meet customer requirements

3.1.6**international norms of behaviour**

expectations of socially responsible organizational behaviour derived from customary international law, generally accepted principles of international law, or intergovernmental agreements that are universally or nearly universally recognized

Note 1 to entry: Intergovernmental agreements include treaties and conventions.

Note 2 to entry: Although customary international law, generally accepted principles of international law and intergovernmental agreements are directed primarily at states, they express goals and principles to which all organizations can aspire.

Note 3 to entry: International norms of behaviour evolve over time.

[SOURCE: EN ISO 26000:2020, 2.11.]

3.1.7**competence**

ability to apply knowledge and skills to achieve intended results

[SOURCE: EN ISO 9000:2015, 3.10.4, modified – The notes to entry have been removed.]

3.1.8**effectiveness**

extent to which planned activities are realized and planned results are achieved

[SOURCE: EN ISO 9000:2015, 3.7.11, modified – Note 1 to entry has been removed.]

3.1.9**risk**

effect of uncertainty on objectives

[SOURCE: ISO 31000:2018, 3.1, modified – The notes to entry have been removed.]

3.1.10

risk appetite

amount and type of risk that an organization is willing to pursue or retain

[SOURCE: ISO Guide 73:2009, 3.7.1.2.]

3.2 Terms related to organizations

3.2.1

organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

[SOURCE: EN ISO 9000:2015, 3.2.1, modified — Note 2 to entry has been removed.]

3.2.2

project

temporary endeavour to achieve one or more defined objectives

[SOURCE: ISO 21500:2021, 3.15.]

3.2.3

governance

system by which the organization is directed, controlled and held accountable to achieve its core purpose over the long term

Note 1 to entry: Governance is about the whole organization and encompasses everything that the organization is and does.

[SOURCE: BS 13500:2013, 2.7, modified — Notes 2 and 3 to entry have been removed.]

3.2.4

top management

person or group of people who direct and control the organization at the highest level

[SOURCE: EN ISO 9000:2015, 3.1.1, modified — The notes to entry have been removed.]

3.2.5

business model

organization's approach to operating in its environment

[SOURCE: ISO 30400:2016, 3.4.]

EN 17687:2022 (E)**3.2.6****buyer organization**

organization defined as contracting authority or contracting entity by public procurement rules

Note 1 to entry: In the case of Public Administration, buyer organization can include all the administrative bodies that take part in the whole life cycle of public procurement.

[SOURCE: Directive 2014/25/EU of the European Parliament and of Council of 26 February 2014 on public procurement.]

3.2.7**supplier**

organization that provides products, services or works

Note 1 to entry: A supplier can be an economic operator as defined by Directive 2014/24/EU of the European Parliament and of Council of 26 February 2014 on public procurement.

Note 2 to entry: A supplier can also be any other economic operator in the supply chain, for example a subcontractor or second tier supplier.

[SOURCE: EN ISO 9000:2015, 3.2.5, modified – The word “works” has been added to the definition, the example and notes to entry have been removed and a new note 1 to entry has been added.]

3.2.8**works**

outcome of building or civil engineering activities taken as a whole which is sufficient in itself to fulfil an economic or technical function

[SOURCE: Directive 2014/24/EU of the European Parliament and of Council of 26 February 2014 on public procurement.]

3.2.9**interested party****stakeholder**

person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity

[SOURCE: EN ISO 9000:2015, 3.2.3, modified – The example and note 1 to entry have been removed.]

3.2.10**policy**

intentions and direction of an organization as formally expressed by its top management

[SOURCE: EN ISO 9001:2015, 3.2.10.]

3.2.11**ethical behaviour**

behaviour that is in accordance with accepted principles of right or good conduct in the context of a particular situation and is consistent with international norms of behaviour

[SOURCE: EN ISO 26000:2020, 2.7.]

3.2.12**social responsibility**

responsibility of an organization for the impacts of its decisions and activities on society and the environment, through transparent and ethical behaviour

[SOURCE: EN ISO 26000:2020, 2.18, modified — The word “that” followed by a list in the definition have been removed and the notes have been removed.]

3.2.13**key performance indicator****KPI**

indicator of performance deemed by an organization to be significant and giving prominence and attention to certain aspects

[SOURCE: EN ISO 14031:2013, 3.17.]

3.2.14**code of conduct**

agreement on rules of behaviour for members of a group or organization

3.3 Terms related to procurement**3.3.1****procurement**

activity of acquiring products, services or works from suppliers

Note 1 to entry: The procurement process considers the whole cycle from identification of needs through to the end of a services contract or the end of the life of products.

[SOURCE ISO 20400:2017, 3.18, modified — The word “works” has been added to the definition, note 1 to entry has been changed and note 2 to entry has been removed.]

3.3.2**public procurement**

procurement by a buyer organization regulated by public procurement rules

Note 1 to entry: Rules can be international, national, regional or local, including from governing bodies such as the EU.

3.3.3**supply chain**

sequence of activities or parties that provides products or services to the organization, directly or indirectly

[SOURCE: ISO/TS 26030:2019, 3.3, modified — Note 1 to entry has been removed.]

3.3.4**contributor**

person or organization directly or indirectly involved in the public procurement process in support of, or on behalf of, a buyer organization

Note 1 to entry: A contributor can be an internal party (for example a buyer, technician, Data Protection Officer, company lawyer or director), an external party (for example a consultant, an auditor or architect) or a semi-external party (for example a member of a ministerial cabinet or an agent preparing the decisions of decision-making bodies).