

UNIVERSIDAD PARA LA COOPERACIÓN INTERNACIONAL
(UCI)

Procurement Methodology for the United Nations Office on Drugs and Crime in
Mexico

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APPROVAL PAGE

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To Whom It May Concern:

Natalia Alvarado Mata, identification number 305030705, Bachelor in English with a focus on translation, hereby states that the project titled: **Procurement Methodology for the United Nations Office on Drugs and Crime in Mexico**, carried out by Luis Felipe Alfaro Navarro, has been revised.

The project was carried out to obtain the Master's in Project Management Degree. Aspects such as paragraph form, language quirks in written language, orthography, punctuation, and other aspects related to syntax and grammar were inspected and proofread. Therefore, taking into account the changes that were made, the project is ready to be presented.

Sincerely,

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EXECUTIVE SUMMARY (ABSTRACT)

Since 2017, the United Nations Office on Drugs and Crime (UNODC) in Mexico started to reform its organizational structure into programs and pragmatic pillars instead of projects. This change has led to an increase in the organization's activities and staff, which has tripled in the last year to 150 people.

Currently, the organization has a weakness: there is neither accurate planning nor a management of procurement procedures according to the project's requirements due to the uncertainties that exist with donors and also a deficient planning. In view of the increasing number of new activities and the development of projects, the organization must increase its management and procedural efficiency so that the procurement subunit can comply with all requirements and with the best attainable quality. In the past, there was no proper planning to use budgets and request necessary services and goods for the implementation of the projects. That has brought many negative consequences, such as the overload of work and pressure for the operations team, because the team tries to meet their requests at the last minute, and that also damages the quality and cost. So, many times, the projects have implemented their activities with a higher cost compared to their budget and not with the quality expected.

The procurement methodology for the UNODC project's in Mexico is based on the development of a new methodology of procurement procedures that will be implemented with the Mexican Penitentiary System Project, and based on its result, it will be sought to be applied to other projects and promote an improvement in the development of operations and thus improve the efficiency of every project implementation.

The methodology will be based on the formulation of good practices and procurement methods of the United Nations Secretariat to promote efficiency and transparent processes for low value procurement (frequent purchases that are worth less than \$ 10,000 USD) and also in major bidding processes that have a worth up to \$ 10,000 USD. Each requisition needs governance to respect a fair competition in the market and ethical guidelines to implement good practices by the procurement team members.

The main objective was to implement a procurement management methodology with the Mexican Penitentiary System Project based on the procurement norms of the Secretary of the United Nations, headquarters, and central office of the organization, to organize the process of acquisition and procurement and then apply it to different projects in the UNODC in Mexico.

The specific objectives are to do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency, to implement procurement standardized procedures so that each project can have clear outcomes from such procedures, to map the acquisitions forecasted for the following semester through an acquisition plan for the same period in order to consider potential best practices when developing the procurement methodology, to create new procurement templates to facilitate the analysis of needs and characteristics of the project, and to apply the methodology to the Mexican Penitentiary System Project in order to evaluate it.

The methodology for this research was analytical. A procurement plan was created for the next 4 months, and after the information was collected and evaluated, it was used in an inductive approach to generate a strategy to train the members of the projects with the new procurement processes and determine the best methods to manage each requisition and achieve the best results.

In conclusion, the new methodology could be developed with the Mexican Penitentiary System Project with great results due to the improvement of procurement procedures and an implemented strategy developed by the project and the members of the procurement subunit.

It is recommended to implement different strategies with each project because they have different organizations, donors, and events that require open communication, training, and guidance in the acquisition processes.

1. INTRODUCTION

The United Nations Office on Drugs and Crime has 28 active projects supporting Mexico in the definition and application of a global approach to the issues of international organized crime, drugs, criminal justice, organized crime, smuggling of migrants, anti-money laundering, human trafficking, smuggling of migrants, the fight against corruption, wildlife, and fisheries crimes.

The Liaison and Partnership Office focuses its efforts towards the development of innovative responses to existing and emerging challenges as well as the provision of technical capabilities to the federal, state, and municipal governments of Mexico. In addition, the Office promotes centers of excellence in strategic areas and works to develop efficient models and identify best practices to improve the joint commitment of international challenges.

These strategies work thanks to the coordination of projects and a successful administrative management. In view of the increase in new activities and project developments, the organization must propose a better management of procedures so that the subunit of acquisitions can comply with all the processes requested and with the best possible quality.

The procurement methodology for the Liaison of Partnership Office of the UNODC project in Mexico will design a new methodology for the procurement procedures, and it will be implemented within the Mexican Penitentiary System Project. Based on the project results, the proposed methodology will potentially be applied to other projects and will promote an improvement in the development of operations in the office and thus improve the efficiency of project implementation.

1.1. Background

UNODC in Mexico is changing its organizational structure into programs and pragmatic pillars instead of projects. This change has meant that the staff of the organization has tripled to 150 people as more events and activities also arise. The main purpose of the project is to create a methodology to organize all the requirements and needs of the project and formulate a strategy to accomplish all of them with the best quality and the lowest possible cost.

1.2. Background in the Implementation Project

According to the information provided by the National Security Commission (CNS), in February 2015, the total prison population in Mexico was 257,291; 94.8% are men and 5.2% are women. There is a total of 387 prisons in Mexico, of which 20 belong to the federal government, 285 to state governments, and the remaining 102 to Mexico City and municipal governments. Most of these prisons face several challenges related to mismanagement by prison officials, specifically concerning inmates' safety, security, and reintegration into society.

The UNODC is committed to achieving health, security, and justice for all citizens, confronting the threats of illicit drugs, organized crime, and terrorism worldwide. Hence, it assists member states in strengthening their legislative, justice, and health systems.

The Mexican Penitentiary System Project of UNODC seeks to support the Mexican government in strengthening its structure and management of the penitentiary system through a restorative justice approach and with therapeutic elements to achieve higher standards for the treatment of prisoners. These supplemental standards will take into consideration the "Mandela Rules" in order to ensure that people in conflict with the law not only serve their sentences without impunity in safe, secure institutions, but also that their human rights are protected, and that they receive the necessary resources for successful rehabilitation and reintegration into society.

1.3. Statement of the Problem

There is not an appropriate planning or management of the procurement procedures according to the needs of the projects due to the uncertainty that exists with the contributions of the donors, calendars of activities, and also the procedures of solicitation that do not allow the necessary time to carry out a correct market study and offer the best services and products for the projects at the UNODC.

This situation has produced bad results in the executing projects and a bad relationship with the donors. For example, many of the trainings given by the members of the Mexican Penitentiary System Project to the public institutions to promote the human rights of prisoners have not been implemented or have been

postponed because many of the required services were not planned and were requested in the last minute, so they result in a discontent in the counterpart, and this may imply a decrease of fund contributions in the future.

The organization is changing its structure and focus. The new system is specialized in programmatic units. These units have been created to unify the objectives of the projects and to have an improved organization. It is important to emphasize the labor of the operations unit because it goes hand in hand with these changes. The operation procedures are the oxygen of the projects. The administrative area is divided with the following subunits: finance, procurement, human resources, and travel.

Due to the nature of the processes, the projects have had great difficulty in planning their requisitions. There is a great need to establish templates for applications, update the manual, and implement new policies to create greater efficiency in the procedures. Approximately 60% of the funds provided by donors are used to request products and services through the procurement unit. This project will be very useful for the management of the programs and their impact with each of their activities. In the second semester of 2019, the new procurement methods were implemented and there has been an advance in the control of the purchasing processes and also a large decrease in costs. We have noticed how suppliers have reduced their prices to almost 50% in order to be competitive and also awarded.

1.4. Purpose

UNODC LPOMEX is changing its organizational structure into programs and programmatic pillars instead of projects. This change has meant that the staff of the organization has tripled to 150 people as more events and activities also arise. The main purpose of the project is to create a methodology to organize all the requests and needs of the project and formulate a strategy to accomplish all of them with the best quality and cost. It is expected to create an improved communication and process system to be able to analyze the needs of the projects and plan a strategy to be able to have the time to do an evaluative market study and offer services that meet demand. New formats will be implemented, such as a request form, terms of references, a catalog of suppliers, a statement of award, a technical and financial

evaluation, and a procurement plan format. These new processes will be implemented with a project, but it is intended that in the future, it will be used by the entire office to deliver better services to the projects and create transparent and accessible information.

1.5. General Objective

To create a procurement management methodology with the Mexican Penitentiary System Project to organize the procurement processes of all the services and products related to the projects of the United Nations Office.

1.6. Specific Objectives

1. To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes
2. To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures
3. To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology
4. To create new procurement templates to facilitate the analysis of needs and characteristics of the project
5. To apply the methodology to the Mexican Penitentiary System Project in order to evaluate it
6. To analyze the impact of the new procurement strategy in the knowledge areas of the projects

2. THEORETICAL FRAMEWORK

2.1. Company/Enterprise Framework

The UNODC is the world's leading office in the fight against illicit drugs and international organized crime. It was founded in 1997 when the United Nations Programs for the International Drug Control (UNDCP) together with the Center for International Crime Prevention established the United Nations Office for Drug Control and Prevention of Crime (ODCCP) to assist the governments in their struggle against illicit drugs, crime, and terrorism. Subsequently, on March 15, 2004, an office was created with its own legal personality and with legal powers. Through the bulletin STSGB / 2004/6, issued by the General Secretariat of the United Nations, the United Nations Office on Drugs and Crime (UNODC) was created.

UNODC has 50 offices around the world, with a presence in more than 150 countries. Ninety percent of the UNODC budget comes from voluntary contributions, mainly from governments. (United Nations, 2013b).

Nowadays, UNODC is one of the specialized offices of the United Nations that aims to carry out field work through comprehensive programs that serve as national or regional nuclei of action and technical expertise. Applied either where the threats of crime, drugs, and terrorism are severe or where any of these problems are growing. In close consultation with the member countries of the United Nations, UNODC determines the priorities of the comprehensive programs, which facilitates the coalition of governments with its work and promotes a strong sense of ownership and commitment to regional cooperation. As a result of this process, the strategic structure of UNODC can respond to local needs, offering tailored assistance packages, which improves the impact and sustainability of our efforts. (United Nations, 2013b).

2.3.1. Mission

The mandate of the UNODC is to contribute to the achievement of crime prevention and criminal justice for all by making the world safer from crime, drugs and terrorism (United Nations, 2013b).

2.3.2 Vision

UNODC does not have a vision.

2.3.3. Organizational Structure

In order to achieve its mission, the UNODC develops a wide range of initiatives and programs under five pillars that work in:

- Regulatory work to assist countries in the ratification and application of international treaties and development of appropriate national legislation.
- Technical cooperation projects to strengthen the capacity of the member states in the fight against the problems posed by illicit drugs, crime, and terrorism.
- Research and analysis to increase knowledge and understanding of issues related to drugs and crime. In addition to expanding the information base for policy and operational decision making.

The following chart shows how the office is divided into the programmatic pillars; each area is led by a senior manager and the representative is in charge of the organization in Mexico.

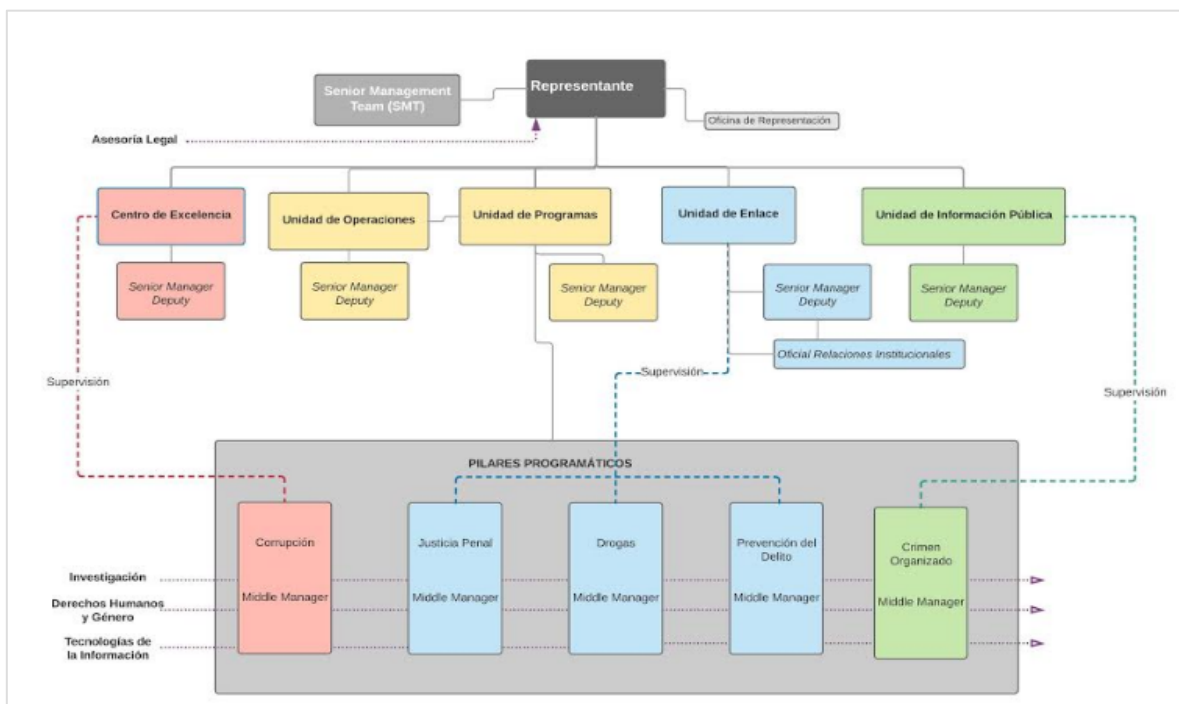


Figure 1. Organizational Structure of the UNODC.
Source: United Nations (2013b).

2.3.3. Products Offered

UNODC is mandated to assist member states in their fight against illicit drugs, crime, and terrorism. In the Millennium Declaration, member states also resolved to intensify the fight against transnational organized crime in all its dimensions, to redouble efforts to implement the commitment to fight the world drug problem, and to take concerted action against international terrorism.

2.2. Project Management Concepts

At the end of 2018, the strategic vision of Mexico's Office was achieved, moving from a project-oriented organization to one based on programs. This new organizational structure seeks to take advantage of the strengths of all staff and promote the empowerment of managers, as one of the managerial competencies to be enhanced during the year.

2.2.1 Project

According to the Project Management Institute (PMI, 2017): "A project is a temporary endeavor undertaken to create a unique product, service, or result" (p.4). The programmatic pillars of the LPOMEX are the following: corruption, crime prevention, criminal justice, drugs, and organized crime, and each is compound by the following topics and projects:

Table 1. Programmatic pillars of UNODC LPOMEX

Programmatic Pillars:	Criminal Justice	Drugs	Organized Crime	Crime Prevention
Projects	<ul style="list-style-type: none"> • Criminal Justice • Prisons 	<ul style="list-style-type: none"> • Monitoring of Illicit Crops • Prevention and Treatment of Drug Consumption • Fraudulent Medicine • Alternative Development 	<ul style="list-style-type: none"> • Money Laundering • Wildlife • Fisheries Crime • Cybercrime • Terrorism • Human Trafficking • Smuggling of Migrants 	<ul style="list-style-type: none"> • Urban Security • Police • Firearms

2.6.2. Project Management

According to the Project Management Institute (PMI, 2017), project management is the application of knowledge, skills, tools, and techniques to project activities to meet the project requirements, for instance, UNODC LPOMEX created different units in the beginning of 2019 that supervise the implementation of the projects and the administrative work of the operation unit to improve the efficiency and impact of the organization. Each unit is based on the following project life cycle and responsibilities:

Initiation:

- To define the necessities and opportunity areas to formulate a possible solution

Planning:

- To achieve funds from donors who are interested in the strategy and the impact of the project
- To plan the implementation of the project together with the resources and the budget obtained

Execution:

- Implementation and monitoring of actions according to the desired objective

Closure:

- Final review of results and resources used to prepare a final report to the partner and to the United Nations

Table 2. Units of UNODC LPOMEX

Units:	Program Unit	Liaison Unit	Public Information Unit	The Center of Excellence	The Operations Unit
Responsibilities	<p>-To coordinate the LPOMEX program through planning, monitoring, control, and evaluation of the program and supervision of the operations unit, ensuring programmatic management based on results, standardizing management processes and quality control</p> <p>-To monitor the implementation and policy advice of the programmatic pillars</p> <p>-To monitor projects, advise on their implementation, identify their deviations, and propose modifications that allow obtaining the committed results</p>	<p>-To liaise the LPOMEX with government authorities, potential donors, civil society, academia and the private sector, leading and coordinating the establishment of partnerships and cooperation initiatives</p> <p>-Supervision and maintenance of cooperative relations with state governments and municipal governments</p> <p>-To provide review and quality control of concept notes for new initiatives of cooperation</p>	<p>-To design and implement a strategic communication plan of the LPOMEX encompassing the different communication channels, ensuring dissemination and positioning equitable of the different thematic pillars</p> <p>-To diffuse, through the different media, the image and work of the UNODC and the LPOMEX with government authorities, the private sector, civil society organizations, donors, and representatives of the international community in Mexico</p>	<p>-To strengthen statistical, analytical, and monitoring capacities in government fields, victimization, public safety, and justice</p> <p>-To advise the research methodologies within the LPOMEX program</p> <p>-To provide technical assistance to the countries of the region to improve the quality and quantity of criminal statistics, public safety, corruption, government, and justice through surveys and administrative records</p>	<p>-To carry out the hiring of services and personnel as well as the acquisitions for the operations of the LPOMEX and of each project demand according to the norms and applicable dispositions</p> <p>- To control, administrate, and advise on the use of the resources of the LPOMEX, considering the applicable dispositions in force, the time and manner that the development of the projects demands, and the requirements of the infrastructure of the Office demand</p>

2.6.2.1. The three pillars of the UNODC work program are

1. Technical cooperation projects in the field to improve the capacity of member states to act against illicit drugs, crime, and terrorism
2. Research and analysis work to increase knowledge and understanding of drugs and crime problems and broaden the evidence base for political and operational decisions
3. Normative work to assist states in the ratification and implementation of relevant international treaties, the development of national legislation on drugs, crime, and terrorism, and the provision of a technical secretariat and substantive services to the bodies created under those treaties

To achieve its objectives, the UNODC strives to integrate and incorporate the gender perspective, especially in its projects for the provision of alternative livelihoods as well as those against human trafficking.

Finally, there are three groups that support the organization to improve its implementation:

- Human rights advice and gender perspective
- IT services
- Legal unit

2.6.3. Project Life Cycle

A project life cycle is the series of phases that a project passes through from its start to its completion. It provides the basic framework for managing the project. The *PMBOK Guide* (PMI, 2017) identifies five process groups; they are initiating, planning, executing, monitoring, controlling and closing. All the LPOMEX projects have the same life cycles, and the procurement requests and reports have a significant impact in all the project cycles.

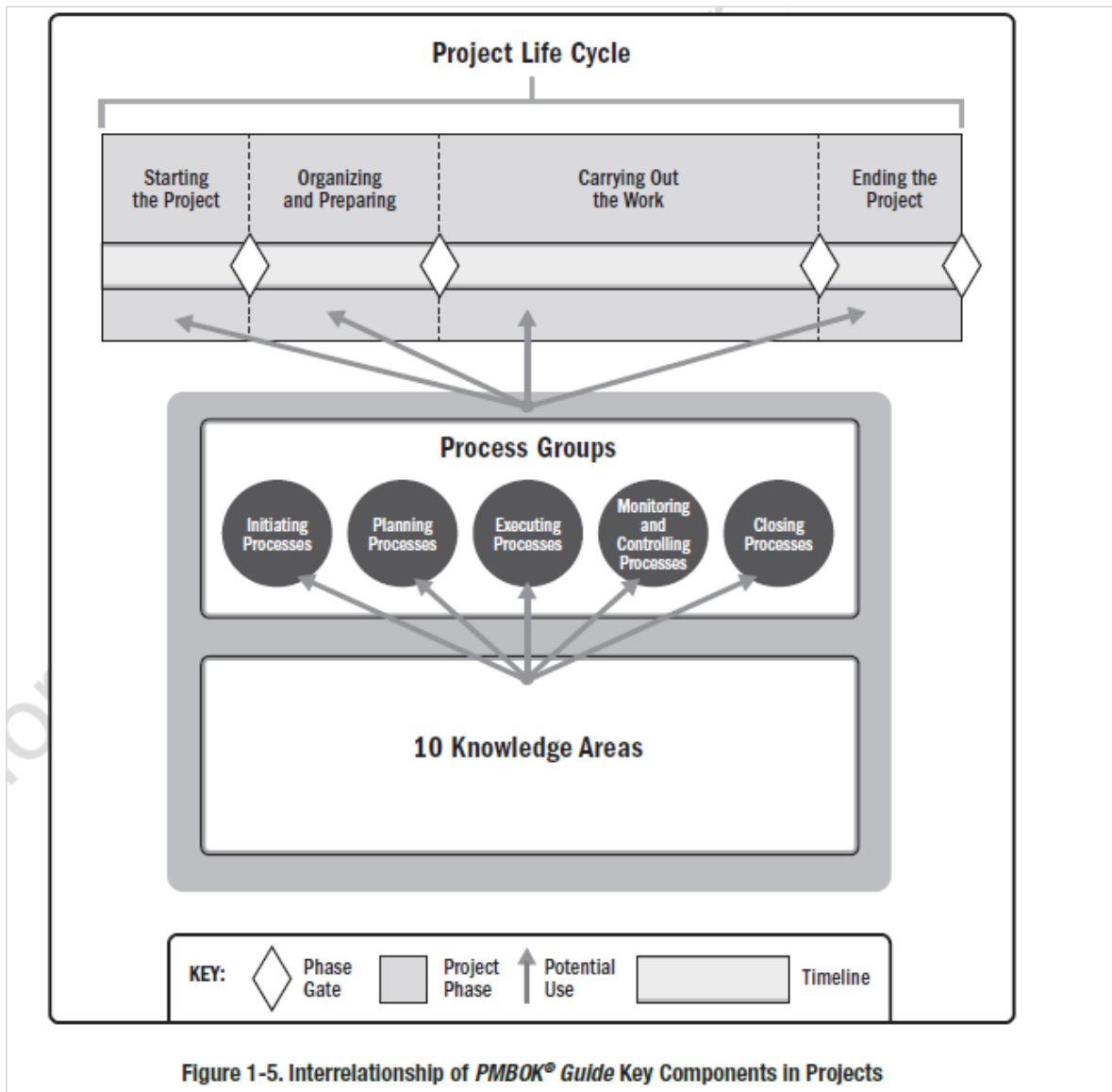


Figure 2. Project Life Cycles of PMBOK Guide Key Components in Projects.
Source: PMI (2017).

2.6.4. Project Management Processes

The procurement processes have an impact in all the project life cycles of the projects as it is explained in the following points.

Initiating Processes:

Each project requires and requests the necessary equipment for the staff, for example, computers and office equipment.

Planning Processes:

Part of the implementation of the new procurement methodology is to create a better communication with the projects and implement more meetings to stimulate the planification of the year requirements to guarantee the best quality and price.

One of the main purposes of the project is to be able to analyze the current processes of the organization and to be able to propose a new methodology that improves these procedures so that the projects have more impact.

The process that will take more dedication will be the procurement plan because it will require new practices to be able to train the Mexican Penitentiary System Project, and the subunit of procurement will formulate a strategy according to their needs and times. It will be the first time that a methodology will be implemented within the projects of the organization.

Executing Processes:

Part of the results and implementation that each project has depends in each activity with the governments as part of the trainings. The implementation of the activities produces more funds from the donors, for instance, more stability for the budget and the capacity for the human resources.

Monitoring and Controlling Processes:

The projects have a control of all their expenses due to the acquisition report that it is sent each week, and part of the objectives of this project is to improve it.

Closing Processes:

Each project needs a control to monitor all the expenses and debts to close all of the projects. The procurement report shows all the processes of each request and also the debts of the projects.

2.6.5. Project Management Knowledge Areas

The impact of this project the knowledge area of the project is the following:

Project integration management: The new methodology will define and coordinate the integration of requests to create new methodologies to offer better solutions for the implementation of the projects. The new procurement methodology will seek to be of great importance to be able to integrate processes and create a

more efficient system. The desired result is that the new implemented processes will be useful to impact in the evaluation of other areas, for example, the procurement plan will consider the necessary time to carry out a market study and offer a high-quality service on time and with a low cost to benefit the budget and the schedule of the project implementation .

Project scope management: The new procurement processes will present new solutions for the implementation of projects' activities.

Project cost management: The new processes assure a transparent market study that will assure the best quality for the least cost.

Project quality management: Part of the new implementation is to incorporate an organization quality policy regarding planning, managing, and monitoring resources to request the characteristics with time.

Project resource management: The good planification will prepare the procurement subunit of supply for all the requirements of the new personnel of the projects.

Project communications management: The procurement methodology will create new forms to improve the communication with the projects and know their necessities with anticipation.

- Project risk management: Part of the implementation of the project is to analyze their risk and offer a solution.
- Project procurement management: The procurement team will create different strategies to administer all the requests in the best way.
- Project stakeholder management: The principal stakeholders for the projects are the governmental institutions and their donors, for instance, the project will create methods to accomplish all their necessities and obtain good results.

2.6.6. Other Applicable Theory/Concepts Related to the Project Topic and Context

The project will be useful to be applied in the rest of UNODC LPOMEX projects and create a better way to plan, communicate, and implement the objectives of the organization through:

- Templates for request and evaluation of services
- An update will be made in the procurement manual according to the new restructuring processes.
- An update in the application monitoring system. The weekly report will be improved so that the projects will have a better control of acquisitions, costs, and times.
- The transparency and effectiveness of information will be enhanced.

The procurement methodology will be useful to improve the planification and monitoring processes of all the projects. Each project has different requisitions and necessities, but the new methods will organize them to procure the best quality and price with a fair competition. For example, UNODC LPOMEX has another project that monitors the crops in the Mexican territory, for instance, their requisitions are mainly aviation services to take images of the crops. The procurement methodology can be applied to all of the projects of the organization as part of the source strategy that includes the new methods.

3. METHODOLOGICAL FRAMEWORK

3.1. Information Sources

In order to comply with the first deliverable of the project, the procurement subunit of UNODC in Mexico will receive a procurement training from the procurement officer that will be useful to define the structure of the new procurement processes of the methodology. Later, there will be an analysis of the current processes and the procurement manual created in 2017 to determine the areas of opportunities and establish a new methodology to handle each requisition with more transparency and fair competition in the market, especially with the requisitions that have an upper value of \$10,000 USD. While the 17 implementation sessions are being carried out with the project, procurement officer, procurement team, and operations officer, the procurement team of UNODC in Mexico will create new templates to facilitate the implementation of the new procurement procedures, such as the application form, evaluation form, catalog, requisitions report, and inventory control that will be updated to create greater efficiency in the organization.

Finally, an evaluation method will also be created to involve the requisitioners and senior managers in all the procurement processes to promote the transparency and client orientation with all their necessities and requisitions.

1.1.1 Primary Sources

Primary sources of information are those that provide first-hand accounts of the events, practices, or conditions you are researching. In general, these are documents that were created by the witnesses or first recorders of these events at about the time they occurred. (Solber, 2000).

United Nations Procurement Manual: The new methodology will be based on the rules and policies that are instructed from the procurement manual of the United Nations Secretariat.

The project will follow the principal's principles for procurement activities within the UN system:

1. Best value for money
2. Accountability, integrity, and transparency

3. Fairness and effective competition
4. Best interest of the UN organizations concerned

Best value: Best value for money means selecting offers which present the optimum combination of factors such as appropriate quality, life-cycle costs (an accurate analysis of all costs involved), timely delivery and other parameters which can include social, environmental benefits or other strategic objectives which meet the end-user needs. Best value for money does not necessarily mean the lowest initial price option but rather represents the best return on investment, taking into consideration the evaluation criteria and quality requirements as specified in the solicitation documents. The principle of best value for money should inspire and guide the selection of the best contracting strategy and should be applied at the award stage to select the offer that effectively meets the stated requirement.

In order to uphold the principle of best value for money, the processes of soliciting offers and selecting a contractor should:

- Maximize competition
- Minimize the complexity of the solicitation, evaluation, and selection processes
- Ensure impartial and comprehensive evaluation of solicited offers
- Ensure selection of the contractor whose offer has the highest degree of realism and whose performance is expected to best meet the business unit's specifications, statement of work or terms of reference.
- Where possible ensure the highest social and environmental benefit to the society. (United Nations, 2017, p.8).

3.1.2. Accountability, Integrity, and Transparency

United Nations (2017) stated:

Accountability in procurement means that buyers must take ownership of all responsibilities and commitments that have been allocated to them; delivering outputs (for which one has responsibility) within the prescribed time and cost

and according to the required quality standards; operating in compliance with the FRR; supporting subordinates, providing oversight, taking responsibility for assignments, and taking personal responsibility for one's own shortcomings and those of the business unit, where necessary. This must be supported by a filing system, documenting the procurement process, signatures on key documents such as specifications, bidding documents, evaluation reports and approvals, with clear justifications for decisions made, thus leaving a clear audit trail of the actions and decisions taken. (p.8)

3.1.3. Fairness and Effective Competition

According United Nations (2017):

Competition conducted in a fair and transparent manner is at the heart of procurement in the UN. For competition to be effective, it must guard against collusion and be conducted based on clear and appropriate regulations, rules and procedures that are applied consistently to all potential suppliers. The procurement process should be carried out in a manner that gives all interested parties, both inside and outside the organization, the assurance that the process is fair. Business units are therefore responsible for providing the widest possible access to UN contract opportunities for the supply community through open competitive procurement processes, broad advertisement on relevant websites, unbiased specifications, clear and unambiguous evaluation criteria, etc.

Effective competition also means providing an appropriate solution to the organization's need with regards to quantity, quality and timeliness at the right price. It requires that the overall transaction cost to the organization in conducting the procurement process is minimized in the interests of the overall budget of the organization. Economy in the procurement process should protect the interest of the budget owner, while effective competition ensures the interest of the end-user is met. (p.9)

3.1.4. Best Interest of the Organization

United Nations (2017) stated:

The ultimate objective of procurement is to add value to the organization in fulfilling its mandate, goals and objectives. To a large extent the other three principles contribute to this principle, but this principle also includes concepts such as:

- Promoting the public good as specified in the mandate of the organization
- Maintaining the highest image, reputation and interest of the organization through execution of the procurement process in full conformity with the
- Respecting the interest of stakeholders. (p.9)

Current procurement manual of the UNODC: Not only it will be an analysis of the current procurement procedures, but an update will also be implemented according to the results of the methodology. The manual will be the second most important source to analyze all the procedures and create an innovative strategy to have better results (Garza, 2017).

The third primary source is the information that we will receive from the procurement training. It will be useful to start working in the new templates and evaluation methods based on the necessities and information that is needed to continue with a purchase order. (Appendix 4)

3.1.5. Secondary Sources

A secondary source of information is one that was created later by someone who did not experience first-hand or participate in the events or conditions you're researching. (Solberg, 2000).

1. The second main secondary sources are the databases and the procurement statistical report of 2018 and 2019 (with the information of January to June 2019) (United Nations, 2013b).

2. Monthly meeting with the projects to analyze their requisitions and necessities for the second semester of the year.

Table 3. Information Sources

Objectives	Information Sources	
	Primary	Secondary
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	<ol style="list-style-type: none"> 1. The United Nations Procurement Manual to analyze the norms and principles 2. The current procurement manual of the LPOMEX UNODC to analyze what processes can be improved with the new methodology 	<ol style="list-style-type: none"> 1. The databases and the procurement statistical report of 2018 and 2019
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	<ol style="list-style-type: none"> 1. The United Nations Procurement Manual to standardize all the principals and norms with the processes of UNODC LPOMEX 2. The current procurement manual of the LPOMEX UNODC 3. The training of the procurement officer will standardize the formal processes and methods with tenders. 	
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	N/A	<ol style="list-style-type: none"> 1. The results obtained from the procurement statistical report of 2018 and 2019 will facilitate the projections of requirements and the elaboration of the source strategy. 2. A monthly meeting with the projects to analyze their procurement plan for the second semester of the year

Objectives	Information Sources	
	Primary	Secondary
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	<ol style="list-style-type: none"> 1. The United Nations Procurement Manual and the current procurement manual of the LPOMEX in UNODC to know what is the basic information that the subunit requires to start the study market. 2. The procurement training will be used to ask for templates and analyze the current ones. 	N/A
To apply the methodology with the Mexican Penitentiary System Project and generate information to use it with different projects in the future	<ol style="list-style-type: none"> 1. The analysis of the current procurement manual of the LPOMEX in Mexico will be the base to create a new one with all the new methodology. 	<ol style="list-style-type: none"> 1. A monthly meeting with the projects to analyze their procurement plan and advise and explain to them the new processes.
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	The analysis of the current procurement manual of the LPOMEX in Mexico will be useful to summarize the impact of the knowledge areas of the new methodology.	<ol style="list-style-type: none"> 1. The databases and the procurement statistical report of 2018 and 2019 will serve as comparison of the new methodology and the results with the Mexican Penitentiary System Project.

Source: United Nations (2013b).

3.2. Research Methods

According to the Project Management Institute (PMI, 2017) a research method is a systematic plan for conducting research. The research methods that will serve as a basis for the project are the following.

3.2.1. Analytical Research

Analytical research is a specific type of research that involves critical thinking skills and the evaluation of facts and information relative to the research being conducted. After the information is collected and evaluated, the sources are used to prove support an idea; in this case, after doing the analysis, new templates and

procedures will be implemented to have better results in the procurement system. (Swartz,2017).

3.2.2. Inductive Approach to Research

An inductive approach is concerned with the generation of new theory emerging from the data. The new procurement methodology will be based on the manual and data of last year. (Thomas, 2006)

3.2.3. Training Sessions with the Procurement Specialist

UNODC Mexico will search for a temporary training to explain procurement procedures of the Secretariat of United Nations and implement it in the field office in Mexico. The taught methods by the procurement specialist will initiate the continuous meetings with the Mexican Penitentiary Project to create a common strategy to have improved results as a direct impact of the results, analysis, and training sessions.

Table 4. Research Methods

Objectives	Research Methods		
	Analytical Research:	Inductive Approach to Research:	Training Sessions
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	The project will start with an analysis of the current procurement processes to create a new strategy to implement the new methodology to improve the procurement procedures.	Based on the data of 2018, the procurement subunit will analyze a new update of procedures for all the projects of the organization.	The procurement officer will participate in the analysis of the current procurement procedures to give recommendations to implement the new methodology.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	The evaluation of the current procedures will be the base to create new ideas and strategies to implement the methodology.	Based on the data of 2018, the procurement subunit will analyze a new update of procedures for all the projects of the organization.	UNODC in Mexico will hire a temporary training to explain procurement procedures of the Secretariat of the United Nations and implement it in the field office in Mexico.

Objectives	Research Methods		
	Analytical Research:	Inductive Approach to Research:	Training Sessions
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	The project will implement a research that involves an evaluation of the future requisitions of the project to create a procurement strategy.	The training with the procurement officer will be useful to define the best format for the procurement plan.	The training with the procurement officer will be useful to define the best format for the procurement plan.
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	The methodology will use a method of evaluation after the implementation to have a feedback and reply the exercise with other projects.	After the first analysis, it will be the based to create new templates to manage the correct and necessary information.	Use the information to formulate the new methodology to facilitate the procurement processes with transparency
To apply the methodology to the Mexican Penitentiary System Project in order to evaluate it	The implementation of the analysis and also the evaluation of results of the methodology will produce a better organization and procedure system to have better project results.	Based on past information and results, the new methodology will propose new procedures to improve the impact of the project objectives .	The taught methods by the procurement specialist will initiate the continuous meetings with the Mexican Penitentiary Project to create a common strategy to have better results, thanks to the results, analysis, and training sessions.
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	The analysis of the current processes will be used as reference to know the impact of the procurement methodology.	Based on the data of 2018, the procurement subunit will analyze the impact of the methodology with the knowledge areas of the Mexican Penitentiary System Project.	The procurement officer will guide the procurement officer to analyze the impact of the knowledge areas of the project.

Source: Swartz (2017) and Thomas (2006).

3.3. Tools

A tool is a tangible source to produce a product or result and in this case, the new methodology will use the analysis of the previous processes, as one of the principles tools to propose new ones that will promote more efficiency and transparency.

3.3.1. SWOT Analysis

A SWOT analysis is a structured planning tool for reviewing and assessing the position and health of an organization. It is a scan of the internal and external factors to evaluate the strengths, weaknesses, opportunities and threats for any given situation. It provides the knowledge needed to understand the current situation in order to make more effective decisions and develop more successful strategies. This tool was selected because it allows to examine the gap between where we are now and where we need to be in the future. It can then be used as a basis to evaluate the business performance over time and to identify potential strategies for future. (Hay, 2006)

3.3.2. Decision tree

A decision tree is a useful tool for enabling choice between several courses of action. It provides a highly effective structure within which options can be explored and possible outcomes can be investigated. It also helps to form a balanced picture of the risks and rewards associated with each possible course of action. A decision tree is particularly useful when choosing between different strategies, projects or investment opportunities - particularly when resources are scarce (PMI, 2017).

3.3.3. Interviews

An interview is a meeting of people face to face, especially for consultation. This tool will be part of the initial analysis of the current processes, and it will also help to know all the necessities of the project in the next semester of the year to create a source strategy. The interview will be useful to capture information that will be useful in the implementation of the methodology (PMI, 2017).

Table 5. Tools: SWOT Analysis.

Objectives	SWOT ANALYSIS
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	1. After the first analysis of the procedures and also the results of the questionnaire, the SWOT analysis will be used to organize the information and also create a strategy to have better results.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	1. The analysis of the current processes and their weaknesses and opportunities will be used to establish a strategy to reduce risks in the implementation of the project.
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	1. The analyzed weaknesses of the project will be used as part of the risk management in the implementation of the acquisition plan of the project.
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	1. The conclusions of the SWOT analysis will be used to determine the necessary information of the templates to collect data easily.
To apply the methodology with the Mexican Penitentiary System Project in order to evaluate it	1. After the first analysis of the procedures and also the results of the training, the SWOT analysis will be used to help to organize the information and also create a strategy to have better results. The decision tree will be used as reference to analyze more strategies and solutions to achieve the deliverables.
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	1. The SWOT analysis will be used as reference to compare the impact of the new methodology in the Mexican Penitentiary System Project.

Source: PMI (2017) and Hay (2006).

Table 6. Tool: Decision Tree

Objectives	Decision Tree
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	2. The decision tree will be used as reference to analyze the current procurement processes of the LPOMEX.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	2. The decision tree will offer many options to implement the procurement methodology with the Mexican Penitentiary System Project.
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	2. The decision tree will be used as reference to analyze more strategies and solutions to achieve the deliverables.
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	N/A
To apply the methodology with the Mexican Penitentiary System Project in order to evaluate it	2. The decision tree will be used as reference to analyze more strategies and solutions to achieve the deliverables.
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	N/A

Source: PMI (2017) and Hay (2006).

Table 7. Tool: Interview

Objectives	Interview
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	3. The interview with the members of the project will be used to analyze which of the requisitions were not completed or had a problem.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	3. The interview will be one of the best methods to capture the necessities of the project and establish a good communication system through the new implementation of the methodology.
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	3. The interview will be essential to know the necessities of the project in the next semester of the year and create a source strategy.
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	3. The interview will serve as a revision of the current templates, and it will be analyzed with the project in case they need more information.
To apply the methodology with the Mexican Penitentiary System Project in order to evaluate it	N/A
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	3. The project can analyze if it is necessary to do a last interview to have a feedback and analyze the implementation of the new methodology.

Source: PMI (2017) and Hay (2006).

3.4. Assumptions and Constraints

Next, the definition of assumptions and constraints will be explained, and the ones that influence the project will be indicated. The mentioned assumptions are possible situations that can create positive or negative consequences in the project. On the other hand, constraints are limitations that must be considered in the different phases of the project.

3.4.1. Assumptions

An assumption is a belief that it is assumed to be true in the future. The assumptions are based on your knowledge, experience, or the information available on hand. These are anticipated events or circumstances that are expected to occur during the project's life cycle. The PMBOK® Guide defines an assumption as

anticipated events or circumstances that are expected during your project's life cycle. You make assumptions based on your experience or the information available on hand. Assumptions may not end up being true. Sometimes, they can be false, and it may affect the project, and this adds risk to the project (PMI, 2017).

The following chart will explain the assumptions that need to be considered in the moment to implement actions in order to obtain each objective.

Table 8. Assumptions

Objectives	Assumptions
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	<ul style="list-style-type: none"> It is assumed that the operations unit of the organization will authorize to use all the information of the last year to be able to perform the analysis of procurement processes.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	<ul style="list-style-type: none"> The methodology can be implemented with the project with the established times, hoping that there are no cases of emergency or work overload cannot permit the sessions.
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	<ul style="list-style-type: none"> It is assumed that the Mexican Penitentiary System Project will have the disposition to share the information and organize all the scheduled events that it has in the next semester.
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	<ul style="list-style-type: none"> It is assumed that the Mexican Penitentiary System Project will give a feedback and ideas to create new templates.
To apply the methodology with the Mexican Penitentiary System Project in order to evaluate it	<ul style="list-style-type: none"> The FGP will comply with the times scheduled by the university so the tutor can validate the main objectives. The implementation of the FGP will achieve the times that are proposed in the project.
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	<ul style="list-style-type: none"> The implementation of the procurement methodology with the Mexican Penitentiary System Project will be a success and the results will be analyzed.

Source: PMI (2017).

3.4.2. Constraints

Constraints are limitations imposed on the project, such as the limitation of cost, schedule, or resources, and it is necessary to work within the boundaries restricted by these constraints. (Praveen, 2019). The PMBOK® Guide defines constraints as limitations imposed on the project (PMI, 2017).

The constraints of the project are scope (achievement of the deliveries and results), schedule, and costs, as it will be explained in the following chart.

Table 9. Constraints

Objectives	Constraints
To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	N/A
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	<ul style="list-style-type: none"> Due to the missions in different locations of the projects, there is a possibility that the dates of the implementation of the new methods will be changed. (Schedule)
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	<ul style="list-style-type: none"> There is no proper planning of the project needs and requirements; this will hinder the implementation strategy with the project. (Scope)
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	<ul style="list-style-type: none"> A centralization of knowledge exists because the procurement subunit depends in the guidance of the procurement officer to review the new documentation, and he also has an overload of work. (Scope)
To apply the methodology with the Mexican Penitentiary System Project in order to evaluate it	<ul style="list-style-type: none"> The procurement subunit will face an overload of work and implement the new methodology, for instance, there are more risks to do a mistake in the quality of the implementation. (Scope)
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	N/A

Source: PMI (2017).

3.5. Deliverables

The PMBOK® Guide defines a deliverable as a tangible or intangible good or service produced as a result of a project that is intended to be delivered to a customer either internal or external (PMI, 2017).

Table 10. Deliverables

Objectives	Deliverables
To do an analysis of the current processes of Procurement and identify the areas of improvement to promote more transparency and efficiency in the processes	<ul style="list-style-type: none"> • Analysis of the Current Procurement Process Report.
To implement procurement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures	<ul style="list-style-type: none"> • Procurement Procedure Methods
To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology	<ul style="list-style-type: none"> • Acquisition Plan of the Mexican Penitentiary System Project
To create new procurement templates to facilitate the analysis of needs and characteristics of the project	<ul style="list-style-type: none"> • Template of Solicitation • Evaluation of Delivery • Procurement Plan • Statement of Award • Technical Analysis • Update in the Weekly Report of the Requisitions
To apply the methodology to the Mexican Penitentiary System Project in order to evaluate it	<ul style="list-style-type: none"> • Source Plan for the Next Semester of the Mexican Penitentiary System Project
To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project	<ul style="list-style-type: none"> • Matrix of Evaluation of the Knowledge Areas

Source: PMI (2017) and United Nations (2013b).

4. RESULTS

The following points will explain the accomplishment of all the desired results of each objective of the project. The results were analyzed based on the effectiveness of the implementation of the new procurement methodology with the Mexican Penitentiary Project and the impact in their 10 knowledge areas.

4.1. Procurement Process Analysis

The first delivery is based on the analysis of the current processes of procurement and identification of the areas of improvement to promote more transparency and efficiency in the processes. It includes the results of the annual report of 2018, analysis of the current manual, SWOT analysis, and decision tree, and it will be explained in the next points.

Deliverable Analysis of the Current Procurement Process Report

The following analysis was created by Luis Felipe Alfaro Navarro as part of the strategies of the transition period with the procurement methodology.

4.1.1. SWOT Analysis

The following SWOT analysis demonstrates the risks and advantages that the previous procurement processes had in order to create new ideas to formulate the new standardized procurement procedures.

Table 11. SWOT Analysis

Strengths	Weaknesses	Opportunities	Threats
<ul style="list-style-type: none"> Since 2017, the last procurement responsible, Laura Garza, did a manual to specify all the procedures to purchase goods and services for each project in UNODC. Each process of the requisitions was mentioned in the weekly report; that was a great achievement for the monitoring of processes for the projects. 	<ul style="list-style-type: none"> There is no planning for the next events or requirements of the projects. There is a short time to do the market study and that may affect the quality of the service/product that it is required. UNODC doesn't have internal methods to do tenders and purchases that have an upper value from \$10,000 USD. UNODC does purchase orders with a financial rule that specifies that UNDP (United Nations Development Programme) must do the market research for the purchases that have an upper value from \$10,000 USD. Using a third party to carry out the market study for an acquisition implies a risk in transparency and internal control of the processes. The procurement subunit has multiple responsibilities including internal procedures, such as purchase orders, registering the entry of the product and servicing of the 	<ul style="list-style-type: none"> The use of UNGM (United Nations Global Marketplace) and the register of all the suppliers that have worked with all the offices of the United Nations. There is a big opportunity to use the global catalog and expand the market analysis. The subunit of procurement can learn good practices from other offices of the United Nations to implement more methods to carry out each request with more transparency and fair competition in the market. The headquarters has implemented a common platform to unify all the administrative information of the field offices to have better control and monitoring on them. The system is called UMOJA (Swahili for "Unity"), and it was founded by the representative Ban Ki-moon in 2013. The main objectives of UMOJA are to provide a 	<ul style="list-style-type: none"> There is a big risk to manage all the procurement methods in a short time. There are more probabilities to have operational mistakes, to not comply with the principles of the United Nations, to not apply a fair competition in the market study, and finally, to offer a bad service because of the bad planning and also because the supplier will not have enough time to create a service or product with the best quality as possible

Strengths	Weaknesses	Opportunities	Threats
	<p>project, and ensuring payments are met. This is a big error because it involves centralization of duties. It is not transparent and ethic that the same team that performs the market research, later on asks for the payment of the delivery.</p> <ul style="list-style-type: none"> • The purchase orders have to be approved by the headquarters in Vienna; this implies more risks to not accomplish the requisitions on time. • In the actual procurement manual, it establishes 30 days to do the market research, award a supplier, do the delivery of product, and carry out the payment to the supplier. The times are not well defined because each service requires different periods of elaboration. • In summary, the total time triggers more risks in quality from the supplier and also more risks to not manage the 	<p>simplified and real-time approach to the Organization's management of finances, resources, and assets, centralize access to important data, and harmonize administrative procedures by implementing a new enterprise resource planning (ERP) software.</p> <ul style="list-style-type: none"> • UNODC Mexico can adopt the new implementation from the Secretariat of United Nations and create new procedures to manage the requisitions and offer all the transparent information to any external or internal audit. 	

Strengths	Weaknesses	Opportunities	Threats
	<p>internal procedures with focus and special attention.</p> <ul style="list-style-type: none"> • All the requisitions need 3 quotes from 3 different suppliers as a minimum to award a supplier and create a purchase order. • Human resource limitation for all the requests of 28 projects of UNODC in Mexico. This shortage provokes less analysis and also attention in the details. • Most of the projects send their market study, and the procurement subunit must review it to allow the award of the supplier. (These processes can be dangerous because they may cause a conflict of interest). 		

4.1.2. Statistics Summarize

The following statistics summarize the types of requisitions during 2018 and 2019 as part of the analysis of the previous processes. The following statistics summarize the types of requisitions during 2018 and 2019 as part of the analysis of the previous processes. The requisitions are divided as low value acquisition (less than \$ 10,000 USD) and tenders (greater than \$ 10,000 USD).

4.1.2.1. Annual Report of the Acquisitions of 2018

Based on the data of 2018, all the projects of UNODC requested 526 requisitions in the year.

Table 12. Annual Report of the Acquisitions of 2018

Low Value Acquisitions	Tenders
<ol style="list-style-type: none"> 313 low value acquisitions in 2018 The principal requisitioner of low value acquisitions in 2018 was the project GLOZ99 (state initiatives to strengthen crime prevention policy). The Mexican Penitentiary System Project (MEXW22) had low percentage of micro purchases in the year (5 requests). August was the month in which the procurement subunit most received solicitation in the year. (Annual Report of the Acquisitions of 2018, 2019) 	<ol style="list-style-type: none"> 213 acquisitions in 2018 The principal requisitioner in 2018 was the project MEXZ75 (prevention and combat of the illegal traffic of migrants in Mexico). The Mexican Penitentiary System Project (MEXW22) was the second project that requested more services and products in UNODC Mexico. January was the month in which the procurement subunit most received solicitation that had a greater value than \$10,000 USD.

4.1.2.1.1. Low Value Acquisitions, 2018



Figure 3. Number of solicitations classified by projects.

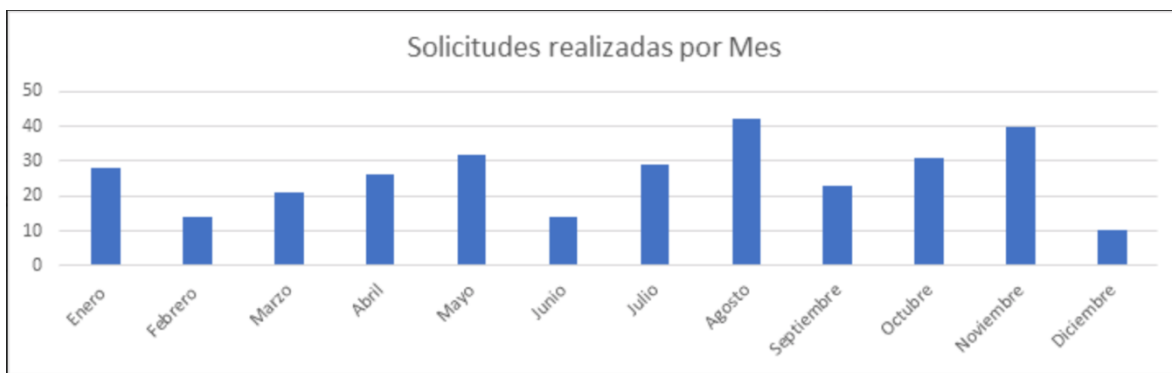


Figure 4. Number of solicitations classified by the month of the requisitions

4.1.2.1.2. Tenders, 2018



Figure 5. Number of solicitations classified by projects.



Figure 6. Number of solicitations classified by the month of the requisitions

4.1.2.2. Annual Report of the Acquisitions of 2019

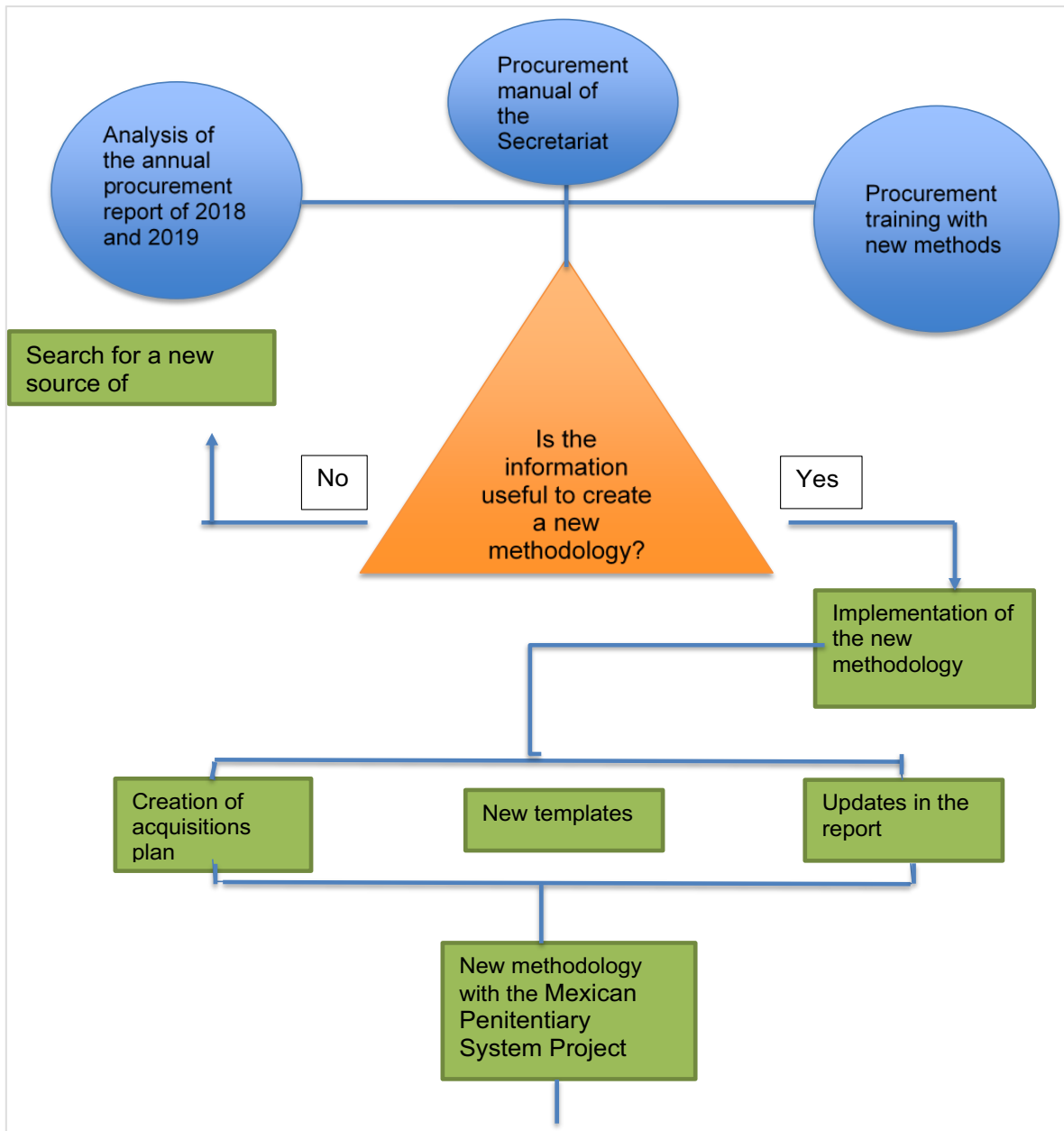
Based on the data of 2019, there were 404 solicitations requested to the procurement subunit.

1. 260 acquisitions were processed with a lower value than \$10,000 USD.
2. 144 acquisitions had a greater than \$10,000 USD.

The analysis of 2018 and 2019 demonstrates the following aspects.

In two quarters of the year, the procurement subunit has received more than half of low value acquisitions of the last year. The total forecast of solicitations by the end of the year will be 340 acquisitions (27 more acquisitions compared to the previous year). This means that each year, UNODC has more activities as part of the implementation of the project, and it is necessary to create a procurement strategy to cover and manage most of the solicitations with integrity and efficiency.

In two quarters of the year, the procurement subunit has received more than half of solicitations with a greater value than \$10,000 USD compared to the last year. The total forecast of solicitations by the end of the year will be 216 acquisitions (3 acquisitions more compared to the last year). These processes need a greater work in the market study to demonstrate a fair competition, transparency, and accountability to the donors and audits. The procurement officer will define new methods to have a better implementation system with all the procurement methods at the UNODC in Mexico.



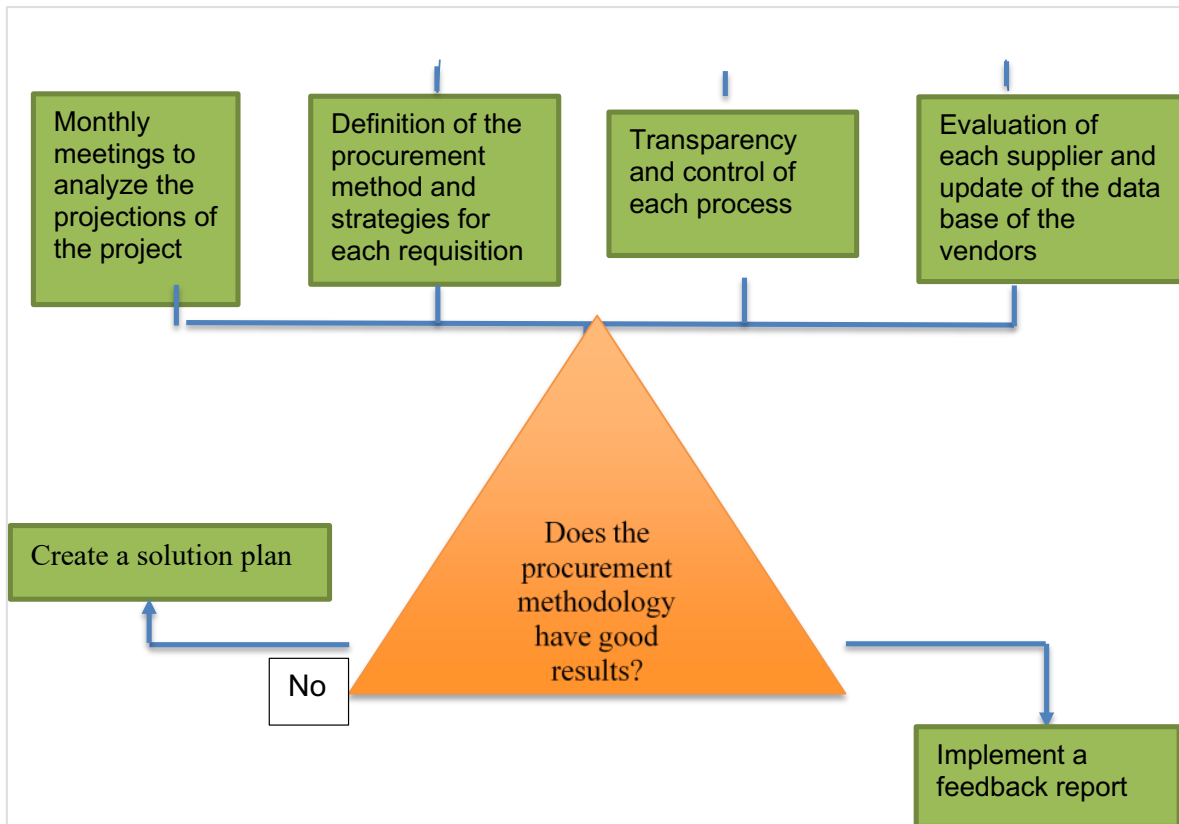


Figure 7. Decision Tree.

4.2. Procurement Standardized Procedures

4.2.1. Procurement Methods Taught by the Procurement Officer

The procurement officer, Tommaso Mussoni, gave us a training from May 6th, 2019 to May 10th, 2019 and taught us the procurement methods of the headquarters. Based on the provisions of the United Nations Financial Regulation and the procedures established in the United Nations Procurement Manual, the following are the authorized methods for carrying out procurement processes.

Table 13. Procurement Methods

Low Value Acquisition (LVA)	Request for Quotation (RFQ)	Invitation to Bid (ITB)	Request for Proposal (RFP)
<p>This is a simplified and informal contracting method for the purchase of easily accessible goods, standardized services, and small works, where the amounts to be contracted must not exceed the sum of US \$10,000. It is considered an informal bidding method.</p> <p>Acquisitions made with this method must follow the following procedure.</p> <p>The requesting project or the personnel of the procurement unit must request quotes from the suppliers of the different goods and / or services that it requires. Quotes can be obtained through email, through which the</p>	<ul style="list-style-type: none"> • The RFQ is a contracting method used for the acquisition of goods, service or works, or any combination thereof, by means of which suppliers are invited to present their offers, based on requirements clearly established in the tender document. • This method is used for contracts whose estimated amount is greater than US \$ 10,000 and less than US \$ 50,000. It is considered as an informal bidding method. • The RFQs will be carried out following the following procedure. • The requesting project will prepare the technical specifications or terms of reference that are an integral part of the RFQ document. • The requesting project may identify potential suppliers to be invited to submit offers. The following can be considered as sources of potential suppliers. 	<ul style="list-style-type: none"> • The ITB is a bidding method used for the acquisition of goods, services or works, or any combination thereof, by means of which suppliers are invited to submit their offers. • The ITB is normally used when the requirements are clearly established and / or are of relative or easy identification and / or its technical specifications are clear and direct (for example, computer equipment, furniture, machinery, audiovisual equipment, telecommunications equipment, etc.). 	<ul style="list-style-type: none"> • The RFP methodology is used when the requirements of the good or service are not clearly defined in the terms of reference, when they are complex in nature, and / or when they are not easily identifiable (for example, construction services, maintenance services, purchase of goods and services that must be installed, consulting services, etc.). • The RFP process is carried out in a similar way to that of ITB, with the exception that, due to the specific methodology of this type of tender:

Low Value Acquisition (LVA)	Request for Quotation (RFQ)	Invitation to Bid (ITB)	Request for Proposal (RFP)
<p>submission of written quotes is requested; electronic browsing, using catalogs and printing the corresponding prices; or in person.</p> <p>In the event that the quotes are not in writing, the applicant or the procurement staff will prepare a note to the archives.</p> <p>At a minimum, the requesting project or the procurement staff must obtain three (3) quotes.</p> <p>The quotes must be valid and complete with all the details to allow a direct comparison to achieve the best quality / price ratio when selecting the lowest price. If the applicant or the</p>	<ul style="list-style-type: none"> • Online databases that are accessible to the public • Conventional business directories, in print versions or electronic / web-based resources • Suppliers that are referred by the project based on their technical knowledge of the industry • The requesting project will send the following documents / information to the procurement unit. • Terms of reference / requirement specifications • Technical evaluation criteria • Cost estimation and budget confirmation • Once the RFQ has been approved, the procurement unit will proceed to invite, via email, the companies of the short list. • On the closing date / time established in the RFQ document, the procurement unit will receive proposals from bidders invited to participate. It is noted that an RFQ may be open (for receipt of quotes) 	<ul style="list-style-type: none"> • It is mandatory to tender a requirement as ITB when the estimated value of the purchase is > US \$ 50,000 and does not have a ceiling limit; that is, there may be ITBs that amount to several million US dollars. • The ITB process is carried out in a manner similar to that of RFQ, with the exception that, since it is a formal bidding method, it is required that: • The publication of a statement of interest request is made before the publication of the call for bids. • The number of participants is required to be greater according to the estimated value of the requirement. 	<ul style="list-style-type: none"> • Suppliers are required to submit their technical and financial proposals in separate envelopes (two-envelope system). • The technical evaluation criteria include variable criteria, which are used to determine the extent to which the proposals meet the stipulated requirements. These types of criteria are often used to measure quality and therefore constitute a good basis for assessing the optimal cost-quality ratio. Variable factors are usually expressed by qualifiers (for example, excellent, satisfactory, or

Low Value Acquisition (LVA)	Request for Quotation (RFQ)	Invitation to Bid (ITB)	Request for Proposal (RFP)
<p>procurement officer determines that the lowest quotation offer does not represent the best quality / price ratio, a written explanation must be registered for the approval of the certifying officer.</p> <p>The applicant must upload all quotes received in UMOJA and create and send the number of a purchase order.</p>	<p>to the market for 1 to 3 calendar weeks, depending on the nature and complexity of the good or service to be contracted.</p> <ul style="list-style-type: none"> • The procurement unit will forward the bids received to the requesting project team to proceed with their technical evaluation, based on the predetermined technical evaluation criteria. • The technical evaluation committee must be composed of at least two (2) people who will be responsible for reviewing the technical offers. The members of the committee may be two (2) members of the UNODC LPOMEX team that have a fixed term or service contract. Employees with IC contracts may be part of the technical evaluation as a technical support, but may NOT sign the technical evaluation report. • In those cases, in which the evaluation committee has questions about the content of the proposals received, it will prepare the corresponding questions 	<ul style="list-style-type: none"> • The bidding times are longer, from a minimum of 15 calendar days to 21 calendar days (in case a sample of products is requested). • There is a public opening session of the offers presented by the suppliers. • An ITB must begin with the publication of a request for expression of interest (EOI) that must be published on the web sites of the Procurement Division of the UN Secretariat and the UNODC LPOMEX website. The publication of the EOI document is coordinated by the procurement unit, based on a generic description of the requirement provided by 	<p>regular) or numerical qualifications.</p> <ul style="list-style-type: none"> • The purpose of the two-envelope system is to ensure that the technical evaluation focuses solely on the technical content of the proposals without the influence of the financial aspects of the proposal. This means that, compared to other bidding methods, there will be two different stages of evaluation; First, a technical evaluation of the proposals will be made; then, there will be a financial evaluation of the technically compliant proposals.

Low Value Acquisition (LVA)	Request for Quotation (RFQ)	Invitation to Bid (ITB)	Request for Proposal (RFP)
	<p>and send them to the procurement unit to be transmitted to the bidders officially. At this stage of the bidding process, neither the applicant nor the evaluation committee may directly contact the participating provider (s).</p> <ul style="list-style-type: none"> • The procurement unit, when submitting the questions of the evaluation committee, shall establish, as a peremptory time for the bidders to answer said questions, the term of two to three business days. • Once the replies of the bidders have been received by the procurement unit, the evaluation committee will carry out the technical evaluation report in accordance with the parameters and criteria pre-established in the RFQ document. • The technical evaluation act or technical evaluation report must be sent, duly signed by the evaluation committee, to the procurement unit. 	<p>the requesting project. Depending on the complexity and nature of the goods or services being acquired, a recommended minimum of 10 days of publication for the EOI should be granted.</p> <ul style="list-style-type: none"> • Once the ITB has been approved, the procurement unit will proceed to invite, via email, the short list companies. • Subsequently, the ITB will be opened for a minimum period of 15 calendar days (21 calendar days if product samples are requested). • Upon receiving offers from suppliers, the procedures for preparing a technical and commercial report will be followed with all the 	<ul style="list-style-type: none"> • The methodology based on criteria, points, weighting factors, and final score can include from basic models to complex mathematical models based on algorithms. The weighting consists in determining the relative importance of each evaluation criterion to use a rating system that allows to determine if the offer or proposal of a supplier meets or exceeds the minimum requirements stipulated in the specifications and compares that offer or proposal objectively with the others.

Low Value Acquisition (LVA)	Request for Quotation (RFQ)	Invitation to Bid (ITB)	Request for Proposal (RFP)
	<ul style="list-style-type: none"> • The procurement unit will review the technical evaluation report, and if there are any comments, it will be returned to the evaluation committee. If the technical report is accepted, the procurement unit will proceed with the commercial and financial evaluation. • In order to have a solid basis for establishing the concept of "best price and quality relationship" or best value for money (BVM), there must be at least three (3) offers to evaluate. Among the offers that meet the requirements and specifications requested, the bidder with the most competitive price evaluated will be considered for the award of the contract / purchase order. 	<p>characteristics described in the ITB.</p> <ul style="list-style-type: none"> • Once the final amount is obtained and the winning bidder is known, a presentation will be prepared to the different approval committees. • For cases that need review and approval by the committee, approval times may vary between 3 and 4 weeks from the date of submission of the case. • Once the relevant approvals have been obtained, the contract / purchase order will be made, and the delivery of the good / service with the supplier will be coordinated. 	<ul style="list-style-type: none"> • In summary, compared to the ITB, the process times vary due to the time required to develop evaluation criteria and the times to carry out the technical and financial evaluation.

Source: T. Mussoni (personal communication, 2019).

The procurement officer also explained another method that is called direct hire, and it is an exception to the rule.

Direct contracting is a contracting method that allows the award of a contract without competition. UNODC staff can only use this method when it is not feasible to undertake a competitive process and there are adequate justifications.

Direct hiring must be justified based on the following causes.

- There is no competitive market (monopoly or price legislation established by national authorities).
- Compatibility of need and consistency with existing equipment, systems, or technologies where high-impact changes may have negative or other economic consequences for end users
- Existence of a cooperation agreement or short or long-term contract with other organizations of the United Nations System
- Use of competitive processes with identical requirements of the last 4 months if the prices and conditions of the offer remain competitive. In the application of this justification, the four (4) minimum conditions mentioned must be met: a) the requirements are identical; b) the previous purchase was the result of the competitive process; c) the purchase (not the selection process) was made during the last 4 months; and d) prices and conditions have remained the same in the last 4 months.
- Emergencies due to natural disasters, epidemics, or unforeseen real crises, which cannot be delayed, as it can result in the imminent or endangered loss of human life or excessive damage to valuable properties or deter the delivery of basic human needs.
- The proposed contract is for relevant services that cannot be objectively evaluated.
- Under the direct contracting modality, a contract must be awarded to a supplier, whose offer substantially conforms to the requirements established in the technical specifications or terms of reference, at an acceptable price, obtained either by request or formal negotiations.

4.2.2 Internal Guide for the Development of the Terms of Reference Shared from the Procurement Officer

The purpose of this internal guide is to provide guidelines to assist in the development and drafting of terms of reference (ToR) for applications, which define the requirements of UNODC LPOMEX to ensure best values and practices.

The first and most important meaning to start the guide is the definition of a requirement:

A requirement constitutes as part of an application document and constitutes a crucial and integral part of the resulting contract/purchase order. Its purpose is to describe the products/items to be developed, produced or provided, and/or the services/works to be performed, as well as the methods by which the applicant determines that the requirement(s) has been met. The way a requirement is formulated affects the type and cost of the final contract, provides controls that regulate the contractor's effort, provides a change control and the basis for performance measurement (T. Mussoni, Personal communication, 2019).

The requirement must be clear, concise, and unambiguous, as the procurement process revolves around, is affected by, and depends on it. Failed projects are often traceable to the language of the requirement, approach, terminology, and content. The clarity of the requirement will affect the administration and management of the contract, as it defines the scope of the work to be done. This is important, as any work that falls outside the requirement may require a new bidding process, which in turn will unnecessarily increase costs to the Organization.

The development steps to create terms of reference are the following.

1. The project with the technical procurement responsibility must ensure that it has sufficient knowledge and expertise in the involved technical areas, including procurement and any other unit that can provide corresponding constructive support or that will be responsible for providing services/goods under the responsibility of the UN.

2. The project must identify all requirements of the documents, specifications, standards, and any other relevant instructions. It must establish a bibliography to be used by the requirement development team.
3. The project must identify the resources, scheduling, technical costs, and constraints in the project. Prepare a detailed list showing the requirement and the selected requirement/article as they apply to the main part or appendices of the requirements; this allows the project to identify the criteria that will be used to evaluate bids submitted by vendors.

Each term of references has:

1. Introduction: This section should provide a general description of the project as well as highlight the background to the project and what is achieved with the project. As the requirement often accompanies an application document. The introduction and fund are necessary for tender providers to familiarize their organizations with the project.
2. Scope of works: This section should provide a brief account of what is expected to be achieved as a result of this area of work. While deliverables and specific tasks will be presented in the work requirements section, this section should highlight what is and is not included in the scope of the project in broader terms.
3. Execution period: This section must define the period of time during which the project will be carried out. The time frame for the project can be predetermined or based on a completion date to match some external requirement (i.e., start of a scheduled event). This may include a number of days for service delivery or a required delivery date for receipt of a product/item. It is important to define the execution period, as this is usually a variable in the cost of the project. In addition, if there are delays in a project and the project will not be completed within the defined performance period, a contract modification may be necessary, and project costs will increase as well.
4. Place of execution/delivery: This section should describe the place where the work will be performed by the supplier. In some cases, the supplier

may carry out all or part of its work at the customer's location site. Use INCOTERMS (2010 version) to define the responsibilities of each party and the respective terms and conditions of delivery of the goods.

5. Work requirements / product: This section should include a description of the actual tasks, results, and outputs that the project will require in order to deliver the services. Such work requirements must be specified at a level of detail that will allow potential bidders to identify all elements of the costs associated with this requirement and consequently submit a bid. This should include the tasks that must be completed for the successful completion of this project/contract. In relation to the goods / products requirement, this section should include all the technical specifications of the required product. As with all other parts of the requirements, every effort should be made to include as much detail as possible.
6. Quality standards: This section should include quality system standards, such as ISO -, ANSI -, GMP -, or other internationally recognized, national or corporate/industrial standards, developed and granted to the supplier, demonstrating the supplier's ability and experience to provide the applicable goods, services, or works in a satisfactory manner. Standard norms establish a number of requirements, specifications, guidelines, or characteristics that can be used constantly to ensure that the material, product, processes, and services conform to the intended purposes.
7. Scheduled milestones: This section should define the schedule of deliverables and milestones for this project. Since the requirement often accompanies the bidding documents for the project, it is imperative that all milestones, tasks, and scheduling information be as accurate as possible since suppliers will have to consider these elements in their proposals. That project timeline (if revised and approved by the UN) will be added to the purchase order/contract and will be contractually attached.

4.2.2.1 Final Recommendations to Determine the Terms of Reference

In conclusion, the following recommendations to create a term of reference are:

- **Required language.** Make sure that the mandatory language is used in the proper context. Use the word "must" when referring to the contractor's obligations and the word "should" when referring to UN obligations when the requirement of an express provision is binding. Use the word "must" to indicate non-binding preference and "may" to indicate that there are no mandatory provisions.
- **Active language.** The emphatic form of verbs should be used when the intention is to require the contractor or the UN to do something. For example, "security guards should patrol the perimeter every hour," rather than "the perimeter should be patrolled by guards every hour".
- **Indicating the requirement.** Avoid using the phrase "unless otherwise specified".
- **Avoid ambiguity.** Some types of words and phrases are very susceptible to misinterpretation. Therefore, it is very important to avoid the use of words and phrases that obscure the meaning and make communication difficult when preparing a document as binding for both parties as the requirement demands.
- **Inaccurate words.** Using the right words to convey specificity or accuracy is always a challenge, especially in technical writing. Among the most commonly used words that create difficulties are "implement", "realistic", "concept", "approximate", "parameters", "concept", "reasonable", "substantial", and "functional". When using these words, caution should be exercised to ensure that they are clarified in the adjacent text or otherwise defined.

4.2.3. Definition of Strategic Goods that Need an Official Request and Permission from the Headquarter:

The procurement officer mentioned in the training that any of the field offices need a procurement authorization from the headquarters when the purchase is a strategic good and is part of the following category.

Table 14. Strategic Goods and Services Matrix

STRATEGIC GOODS AND SERVICES MATRIX		
I. OPERATIONALIZATION OF THE STRATEGIC GOODS AND SERVICES MATRIX		
<ul style="list-style-type: none"> • Authority to undertake procurement of Strategic Goods and Services is retained by DOS. • Entities may request Local Procurement Authority from Director PD to undertake procurement of Strategic Goods and Services, if procuring such goods/services in amounts above the Low Value Acquisitions (LVAs) threshold of \$10,000. Please refer to the guidance on LVAs contained in the Procurement Manual as certain items cannot be purchased through LVA. • Entities may order directly against systems contracts established by DOS without Local Procurement Authority, with the exception of vehicles which are to be purchased through PD for all UN Secretariat entities. • Authority to undertake procurement of Goods and Services that are not listed below is fully delegated to Heads of Entity. • Authority to enter into Letters of Assist (LOAs) is retained by DOS. 		
II. STRATEGIC GOODS AND SERVICES MATRIX		
Strategic Goods and Services	Associated Goods and Services/ Categories for central procurement	Subcategories
Aviation	Air Transportation Services	Short & long-term passenger air charter, short term passenger LoAs, Standby air charter capacity, long-term cargo air charter
	Airborne ISR	Military ISR (intelligence, surveillance, reconnaissance), commercial ISR including aerial photography
	Airfield & Air Operations Support	Aviation management solutions (e.g. satellite tracking, AIMS, eMOP).
	Military Aviation	Fixed wing, rotary wing
Transportation	Freight Forwarding ("FF") & 3PL	Air cargo charter, short-term cargo LoAs, sea charter
Vehicles	Vehicle Fleet	All types of self-propelled vehicles and boats (Note: rental of vehicles is not a strategic service – no LPA required)

Engineering Design & Construction	Engineering Design & Construction	Engineering (design, architectural) services, construction & commissioning services (Note: the service is strategic and requires LPA when the total cost of the project exceeds \$250,000)
Accommodation	Accommodation	Modular prefabricated structures, tentage, specialty structures (kitchen, workshops, warehousing, medical facilities, communication facilities)
Power Generation	Power Generation	Conventional gensets, renewable energy, storage & distribution, lighting, power management/efficiency
Water & Waste Water Treatment	Water & Waste Water Treatment	Bulk water sourcing or well development, drinking water treatment, waste water treatment, storage & distribution, ablutions
Physical Security Infrastructure	Physical Security Infrastructure	Specialty perimeter (incl. gates) & shelter & overhead/blast protection, observation towers, weapons/ammunition/explosive storage
Food	Rations	Food supplies to uniformed personnel, including combat ration packs
Fuel	Fuel	Aviation fuel, ground fuel, LPG, lubricants
Financial Services	Financial Services	Commercial insurance (Note: mandatory local third-party liability vehicle insurance is not a strategic service – no LPA required), health insurance management service, trading platforms, banking services, audit services
Professional Services	Professional Services	Legal services, management consulting services
Security	Security Services	Armed guard services, specialized services (e.g. detection & clearing of mines, ammunition disposal)
	Staff Security & Safety	Body Armor, weapons & ammunition, PPE, close protection equipment, uniforms & accoutrements
	Threat Detection	Surveillance equipment & systems, facility access control systems, screening/inspection equipment & systems (not IT), mortar detection, ECM and other specialized systems
Medical Equipment	Medical & Dental Equipment & Supplies	Medical equipment & accessories (incl. installation & maintenance), dental equipment & supplies, medical consumables (incl. medical PPE), diagnostics products (test kits)

Pharmaceuticals	Pharmaceuticals	Pharmaceuticals (incl. vaccines), blood & blood products
Information & communications technology*	IT Services	Technical support services, IT management consulting, helpdesk, network operations, security consulting
	IT Software	Application licensing (including satellite imaging), security software, systems management software, ERP, CRM, cloud solutions, desktop application
	Communications	Satellite bandwidth (including transponder bandwidth) MPLS, medium orbit satellite, satellite, routers, switches, conferencing solutions, repeaters
	IT Hardware	Servers, storage, PC's, laptops, printers, scanners, radios

*Subcategories being verified by OICT

III. OWNERSHIP OF THIS DOCUMENT

This document will be maintained by OASG/OCSM.

IV. CURRENT VERSION

Internal version, 14 December 2018

Source: United Nations (2019).

4.3. Acquisition Plan of the Mexican Penitentiary Project

On September 10, 2019, the procurement subunit had the first meeting with the Mexican Penitentiary System Project to analyze their requirements for the rest of the year and create a source strategy. The acquisition plan received from the projects is the following.

Table 15. Acquisition plan of the Mexican Penitentiary Project

Fecha de Solicitud	Proyecto	Bien o servicio	ID del bien o servicio	Descripción del bien o servicio	Si es un bien, indique la cantidad estimada requerida (número de unidades)	Si es un servicio, indique el plazo estimado (número de días, semanas o meses)	Ubicación donde se requieren el bien o servicio
21/08/2019	MEXW22	Bien		Bolsas Ecológicas	200	1mes	CDMX
03/09/2019	MEXW22	Servicio		Diseño		3 meses	CDMX
03/09/2019	MEXW22	Servicio		Diseño Editorial		3 meses	CDMX
09/09/2019	MEXW22	Servicio		Estrategia de comunicación		3 meses	CDMX
09/09/2019	MEXW22	Servicio		Impresiones		3 meses	CDMX
09/09/2019	MEXW22	Servicio		Corrección de estilo		3 meses	CDMX
09/09/2019	MEXW22	Bien		Laptop	6		CDMX

Llenado por el Proyecto						
Rango estimado del bien o servicio	Valor total estimado del bien o servicio (USD)	Método de Adquisición	Requiere ITS Clearance	Tiempo máximo de proceso de adjudicación (Días hábiles)	Requiere LPA	Días adicionales si requiere LPA
< USD 10,000	500.00	Low Value Acquisition (LVA)	No	20	No	0
< USD 10,000	500.00	Low Value Acquisition (LVA)	No	20	Si	20
< USD 10,000	8,000.00	Low Value Acquisition (LVA)	No	20	Si	20
< USD 10,000	5,000.00	Low Value Acquisition (LVA)	No	20	Si	20
> USD 10,000 / < USD 50,000	15,000.00	Request for Quotation (RFQ)	No	20	Si	20
< USD 10,000	8,000.00	Low Value Acquisition (LVA)	No	20	Si	20
< USD 10,000	4,000.00	Low Value Acquisition (LVA)	Si	20	Si	20

			Llenado por la Sub Unidad de Adquisiciones			Llenado por el Proyecto											
Tiempo máximo de proceso de adjudicación (Días hábiles)	Fecha de ENTREGA del bien o servicio que requiere el proyecto	Fecha aproximada de ADJUDICACIÓN del bien o servicio de acuerdo a la fecha de solicitud y al tipo de requerimiento.	Fecha aproximada de entrega del bien o servicio	Comentarios sobre las fechas de entrega propuestas.	Semáforo de la solicitud	Calendario de entrega/s de bienes o de inicio/s de servicios											
						Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
20	16/09/2019	18/09/2019	16/09/2019	servicio y se adjudic	●									X			
40	01/10/2019	#¡REF!	01/10/2019	cto ya envío la solici	●										X	X	X
40	01/10/2019	#¡REF!	01/10/2019	cto ya envío la solici	●										X	X	X
40	15/10/2019	#¡REF!	15/10/2019	servicio va a depend	●										X	X	X
40	15/10/2019	#¡REF!	15/10/2019	pr imprimir y especif	●										X	X	X
40	15/10/2019	#¡REF!			●										X	X	X
40	15/10/2019	29/10/2019	15/10/2019	los tiempos con la s	●										X	X	

Source: Mexican Penitentiary Project (personal communication, 2019).

The procurement subunit had an interview with the procurement officer, and together, we achieved the following conclusions of the procurement templates.

- The solicitation template needs to include all the necessary characteristics, such as budget, purpose, and evaluation criteria, to accomplish a good study market.
- Members need to be trained on how to develop terms of reference so they can identify what they need and can request it in the best way.
- A supplier evaluation format is required to create a monitor system.
- A document that justifies in a clear way the awarded of a supplier is required: (Statement of Award).

Later, the procurement subunit worked in the templates, and the procurement officer approved them. The proposed templates are the following.


4.4. Procurement Templates

4.4.1 Template of Solicitation


The acquisitions subunit added new details where it requests more specifications to be able to be clear about the requisition, such as:

- Quantity
- Description
- Purchase purpose
- Budget
- Impact of the purchase in the logical framework of the project
- Supplier suggestions


Table 16. Template of Solicitation



UNITED NATIONS



NATION UNIES



UNODC
Oficina de las Naciones Unidas
contra la Droga y el Delito

SOLICITUD DE COMPRA

Proyecto (Nombre y clave):

Fecha de solicitud:

Fecha de entrega:

Solicitante:

Lugar de entrega:

WBSE:

Detalles de la compra					
Cantidad	Descripción / Service ID	Objetivo de la compra	Monto disponible	Comentarios y especificaciones	Resultado y producto del marco lógico

Indique a continuación nombre, e-mail, teléfono de contacto y de ser posible RFC, página web, y dirección de proveedores que sugiera se contacten para invitarlos a participar en el proceso de adjudicación:


Nombre	e-mail	Teléfono	RFC	Dirección web	Dirección

Source: Procurement Sub Unit (2018).

4.4.2. Template: Evaluation of Supplier

The procurement officer recommends that we use the vendor evaluation used in the headquarters as seen below:

Table 17. Evaluation of Supplier

UNITED NATIONS		NATIONS UNIES	<input type="checkbox"/> Progress Evaluation <input type="checkbox"/> Final Evaluation
SUPPLIER PERFORMANCE REPORT STRICTLY CONFIDENTIAL, NOT FOR RELEASE OUTSIDE OF THE UNITED NATIONS <i>(For use in evaluating performance of suppliers supplying goods, materials or equipment and not contracted services)</i>			
		REPORT DATE: (d/m/y)	
SPECIALIST'S NAME: _____			
P.O. NO./CONTRACT NO.: _____		CONTRACT PERIOD: _____	
CONTRACT TITLE AND BRIEF DESCRIPTION: _____			
UN RECEIVING OFFICER AND OFFICE: _____			
Where appropriate, attach a supplementary sheet, related documentation or correspondence giving details.			
A. CONTRACT COMPLIANCE			
			Yes
			No
1. Was delivery made in accordance with the contract?			<input type="checkbox"/>
2. Did the supplier supply in conformity with specifications?			<input type="checkbox"/>
3. Were shipping and related documents in conformity with the contract?			<input type="checkbox"/>
4. Has the supplier performed in accordance with any post-delivery service or support arrangements or warranty provisions incorporated in the contract?			<input type="checkbox"/>
5. Was the supplier responsive to queries during supply period?			<input type="checkbox"/>
6. Would you use the specialist again? If not, attach an explanation.			<input type="checkbox"/>
Comments by the Requisitioning Office, if different from those of the UN Receiving Officer:			

Name and signature		Date	
B. PROCUREMENT DIVISION/SECTION ACTION			
Reviewed by Case Officer: _____			
Name		Signature	Date

Source: United Nations (2019).

4.4.3. Template: Procurement Plan

As part of the procurement officer training, he gave to the procurement subunit of the LPOMEX a template to request to the projects an acquisition plan for the rest of the year. The procurement plan is composed of the following characteristics.

- Specification of the requisition: good, service, or work
- Category number according to the United Nations catalog
- Description of good, service, and work
- Location
- Draft
- Required amount or term of service

For example:

Table 18. Template: Procurement Plan

Field Office: Goods, Services or Works	Product Category	Description of Goods, Services or Works	Location Where Goods, Services, Works are required	Project	Quantity / Term (2)
Services	3001410	Graphic Design Service	Mexico	MEXZ75	12 months
Services	3000335	Web Developer	Mexico	E4J	11 months
Services	3000719	Hotel-ing Service	Mexico	MEXU56	12 months
Services	3000728	Interpreter Service	Mexico	MEXX35	12 months
Services	3000233	Training Service	Mexico	MEXZ75	9 months
Services	3001497	Video Production Service	Mexico	MEXZ75	11 months
Services	3000719	Hotel-ing Service	Mexico	MEXZ75	9 months
Services	3000719	Hotel-ing Service	Mexico	MEXZ75	1 month
Services	3000719	Hotel-ing Service	Mexico	MEXW22	11 months
Services	3000737	Courier Service	Mexico	MEXZ75	9 months
Services	3000719	Hotel-ing Service	Mexico	MEXW55	9 months
Services	3000789	Local Trucking Service	Mexico	MEXW55	9 months
Services	3000729	Printing Service	Mexico	MEXZ75	9 months
Services	3000729	Printing Service	Mexico	E4J	5 months
Services	3000789	Local Trucking Service	Mexico	MEXZ75	9 months
Services	3000317	Cafeteria Service	Mexico	GLOZ83	9 months
Services	3001038	Maint & Rpr: Vhcl Servicing Equip	Mexico	MEXU56	9 months
Services	3000737	Courier Service	Mexico	GLOZ83	8 months
Services	3000719	Hotel-ing Service	Mexico	XCAS26	8 months
Services	3001410	Graphic Design Service	Mexico	GLOZ83	8 months
Services	3000719	Hotel-ing Service	Mexico	GLOZ83	1 month
Services	3000719	Hotel-ing Service	Mexico	MEXZ75	7 months
Services	3001363	Statistical Information Service	Mexico	MEXZ93	5 months
Services	3000660	Technical Writer	Mexico	MEXW22	7 months
Services	3000768	Event & Catering Service	Mexico	MEXZ98	1 month
Services	3000719	Hotel-ing Service	Mexico	GLOZ83	8 months
Services	3000729	Printing Service	Mexico	MEXZ75	8 months
Services	3000660	Technical Writer	Mexico	MEXZ98	2 months
Services	3001409	Solution Architect	Mexico	MEXW41	2 months


Source: United Nations (2019).

4.4.4. Template: Statement of Award

The procurement officer explained the set of approvers who have to review and accept each of the purchase orders and contracts that have a value greater than USD \$ 10,000. For this purpose, the statement of award is used to explain the financial rule of the United Nations that specifies the award of the supplier(s) and all the processes of each tender.

The purpose of this document is to promote transparency and explain all purchasing processes to any internal audit or review.

Table 19. Template: Statement of Award


	
UNITED NATIONS NATIONS UNIES	
STATEMENT OF AWARD Procurement Division	
<u>Complete as appropriate:</u>	
Headquarters Committee on Contract (**): Meeting No: HCC/ <input type="text"/> Case No: <input type="text"/> Date case reviewed: <input type="text"/> Date approved by ASG/OCSS: <input type="text"/> NTE Approved by the ASG/OCSS: Currency <input type="text"/>	
<small>(**) Attach only relevant pages (or flag pages in file submitted) of HCC minutes for new awards or amendments reviewed by HCC</small>	
Name of Vendor: <input type="text"/> UNGM ID: <input type="text"/> Vendor ID: <input type="text"/> OR Umoja BP Number: <input type="text"/> Registration level: Click here to select level Period of recommended award and/or extension(s) at UN's option (specify if the recommended extension is beyond the originally approved period): <input type="text"/> Additional information (**): <input type="text"/> <small>(***) If no HCC review is required: provide case synopsis and, if applicable, confirmation of funds availability (Note: in amendments, provide reason/request to amend, contractor's performance report, etc., as applicable)</small> Contract/PO NTE calculation rational (if different from total approved NTE): <input type="text"/>	
After signature by vendor (****):	
Prepared by: <input type="text"/> <input type="text"/> Click here to select title	Date: <input type="text"/> <input type="text"/> <input type="text"/> Date
Reviewed by: <input type="text"/> <input type="text"/> Click here to select title	Date: <input type="text"/> <input type="text"/> <input type="text"/> Date
Reviewed by: <input type="text"/> (if applicable) <input type="text"/> Click here to select title	Date: <input type="text"/> <input type="text"/> <input type="text"/> Date
Reviewed by: <input type="text"/> (if applicable) <input type="text"/> Click here to select title	Date: <input type="text"/> <input type="text"/> <input type="text"/> Date
Approved by: <input type="text"/> <input type="text"/> Click here to select title	Date: <input type="text"/> <input type="text"/> <input type="text"/> Date
(****) Sign here if the document is same as approved and can be counter-signed by the UN (please explain any minor acceptable deviation from the approved document under 'comments' below): Comments: <input type="text"/>	
<small>In case of substantial changes (please consult Section Chief if in doubt), please attach a new SOA for review and</small>	

Source: United Nations (2019).

4.4.5. Template: Technical Analysis

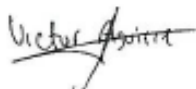
The format to qualify the technical criteria was developed by the procurement sub-unit of the LPOMEX with the main objective to compare each of the requirements and verify whether or not all suppliers invited to the tender have met each criterion.

Table 20. Template: Technical Evaluation

 UNODC <small>Organización Internacional de Policía Criminal</small>			Technical Evaluation			
PROYECTO			MEXZ75			
NÚMERO DE PROCESO			RFQ - 3200020720			
OBJETO DEL PROCESO			Servicio de Hotelería para el taller a realizarse en Saltillo, Coahuila			
MONTO			\$50,000 USD			
WBSE			SB-005607.11.01			
SOLICITUD DE COTIZACION			25/10/2019			
PLAZO DE RECIBIDO			30/10/2019			
INFORMACION DE PROVEEDORES			Turismo y Convenciones S.A de C.V		TRAVENTS S.A de C.V	
BP			1110126991		1110127355	
PERSONA DE CONTACTO			Juan Emilio Bolaños		Karla Chamorro	
EMAIL			jebolanos@tycgroup.com		reservaciones@travents.com.mx	
TELÉFONO			5561220393		55101140	
ITEM	Area of Evaluation	DOCUMENT	CUMPLE/NO CUMPLE	COMENTARIOS	CUMPLE/NO CUMPLE	COMENTARIOS
1	Existencia de la Empresa	Copia Simple de Certificado de inscripción de la empresa o documento que acredite la existencia legal de la empresa.	CUMPLE		CUMPLE	
2	Existencia de la Empresa	Copia simple documento único de identidad/ pasaporte del Representante Legal/DUI o Persona Autorizada.	CUMPLE		CUMPLE	

3	Perfil de la Empresa	Presentación de Boucher (formato digital) del Hotel que muestre los servicios ofertados.	CUMPLE		CUMPLE	
4	Perfil de la Empresa	Presentar opciones de menú	CUMPLE		CUMPLE	
5	Documentos	Deberá completar y enviar el Anexo I - Tabla de Precios y Anexo II Criterios de Evaluación Técnica	CUMPLE	PROPUESTA ECONÓMICA QUE CUMPLE EL MONTO DE LA SOLICITUD	CUMPLE	
6	Documentos	Deberá presentar firmada y sellada la lista de medidas de seguridad y cuestiones importantes.	CUMPLE		NO CUMPLE	

Firma:

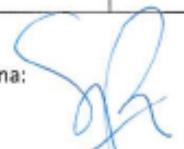


Evaluado por: Victor Aguirre

Cargo: Oficial Nacional de Prevención y Combate al Tráfico Ilícito de Migrantes

Fecha: 4/11/2019

Firma:



Testigo: Suzana Paz

Cargo: Oficial de Operaciones

Fecha: 4/11/2019

Source: United Nations (2019).

4.4.6. Template: Weekly Report of the Requisitions

The procurement subunit added the new processes for the tenders that have an upper value of \$10,000 USD based on the recommendations of the procurement officer. (The report explains each process of the method of the procurement guidelines).

Table 21. Template: Weekly Report of the Requisitions

Procurement 2019					COMPRAS			
Licitaciones					SHOPPING CART			
					Proyecto	UAFI		
					Solicitud del pedido* Mínimo 15 días hábiles antes de ETA	Confirmación de recepción de información completa	APROBACIÓN DE LA DOCUMENTACIÓN	ESTUDIO DE MERCADO
Proyecto	WBSE	Referencia	Pedido	Recepción física	Fecha	Fecha		
5 MEX275	SB-005607.11.01	Servicio de Hotelería			viernes 16 de agosto de 2019	martes 30 de julio de 2019	martes 30 de julio de 2019	martes 30 de julio de 2019
6 MEX275	SB-005607.11.01	Servicio de Hotelería			viernes 23 de agosto de 2019	lunes 26 de agosto de 2019	lunes 26 de agosto de 2019	lunes 26 de agosto de 2019
7 MEX275	SB-005122.09.01	Servicio de Hotelería			jueves 12 de septiembre de 2019	viernes 20 de septiembre de 2019	viernes 20 de septiembre de 2019	viernes 20 de septiembre de 2019
8 MEX275	SB-005607.11.01	Servicio de Actuación- Capacitación			jueves 5 de septiembre de 2019	Revisión con el Procurement Officer	martes 17 de septiembre de 2019	martes 17 de septiembre de 2019
9 MEX275	SB-005607.11.01	Servicio de Hotelería			jueves 12 de septiembre de 2019	viernes 20 de septiembre de 2019	viernes 20 de septiembre de 2019	viernes 20 de septiembre de 2019

SELECCIÓN DEL MÉTODO DE ADQUISICIONES							
UAFI	Shopping Cart	LPOMEX					
Creación de SC (2 días)	# Shopping Cart	Aprobación de SC (2 días)		Publicación de la Licitación	Evaluación	Adjudicación (Nombre de Proveedor)	# Purchase Order
Fecha	SC	Fecha					PO
RFQ	lunes 26 de agosto de 2019	1000571399	lunes 26 de agosto de 2019	29 de agosto de 2019	4 de septiembre de 2019	5 de septiembre de 2019	
Contratación Directa	miércoles 7 de agosto de 2019	1000566568	miércoles 7 de agosto de 2019	N/A	N/A	Cruz Roja Mexicana IAP	2200143476
Contratación Directa	jueves 26 de septiembre de 2019	1000580432	jueves 26 de septiembre de 2019	N/A	N/A	Cruz Roja Mexicana IAP	
RFQ	martes 17 de septiembre de 2019	1000578127	martes 17 de septiembre de 2019	24 de septiembre de 2019			
RFQ	lunes 23 de septiembre de 2019	1000579633	lunes 23 de septiembre de 2019	24 de septiembre de 2019			

FINANZAS							
PAGO AL PROVEEDOR							
Recepción de factura	UAFI	# Service Entry Sheet	# Goods Receipt	LPOMEX	UAFI	UAFI	BANCO
Creación de SES/GR (2 días)				Aprobación de SES/GR (2 días)	Envío del pago a finanzas (1 día)	Voucher ID	Transferencia bancaria nacional (1 día)
Fecha	SES	GR		Fecha	Fecha	Fecha	Proveedor seleccionado
viernes 23 de agosto de 2019	viernes 23 de agosto de 2019	1001280225	N/A	martes 27 de agosto de 2019	jueves 29 de agosto de 2019	DV 510104468	Cruz Roja Mexicana IAP

Source: United Nations (2019).

4.5 Procurement Methodology

4.5.1 Source Plan for the Next Semester of the Mexican Penitentiary System Project

The sourcing plan for the project was created based on the recommendations for each of the requirements to meet the desired quality and date.

In total, the project requires 8 goods and services, and they will work as follows to ensure the highest quality acquisition for the lowest price.

1. Organic bags: They have already been processed, and the delivery date is yet to be defined. The supplier has already been awarded and accepted by the project.
2. The procurement sub-unit recommended unifying the next requisitions (design and editorial) to expedite delivery and consolidate specifications.
3. The procurement subunit is working in the market study.
4. For the next requirement, the project members were notified that the delivery time of the service will depend on the characteristics they require, and the supplier will define the date.
5. The procurement subunit is still waiting for the correct terms of reference and a realistic date to be able to carry out the market study.
6. In the fifth request, it was recommended to specify the materials to be printed and to specify an estimated quantity.
7. In case the project doesn't have a specific quantity, the procurement subunit recommended to use estimates based on the historic requests.
8. In the last request, it was commented to the project that it was going to evaluate the times with the IT subunit since it is going to make a consolidated order for all the office.

4.6. Evaluation Matrix of Knowledge Areas

Knowledge Area Analysis:

The following matrix explains the impact of the implementation of the new procurement methodology in the Mexican Penitentiary System Project. The impact will be specified with the 10 knowledge areas of the project.

Table 22. Template: Evaluation Matrix of Knowledge Areas

Knowledge Areas	Impact
4.6.1 Project Integration Management	<p>1. As part of the initiation phase of the project, the project charter and the project management plan were developed correctly, and the supervisors of the project had a lot of enthusiasm with the initiative.</p> <p>2. All the deliverables were accomplished. Six of nine key deliverables required the procurement processes in 2019. The required services to accomplish these objectives were hotel, design, print, transportation, and editorial service that were delivered with the best quality.</p> <p>3. The procurement subunit had a training from the procurement officer, and the information obtained was managed correctly to implement all the new methods.</p> <p>4. The project had different changes in the schedule, but the implementation was managed correctly.</p>
4.6.2 Project Scope Management	<p>1. The requirements of the project were very explicit, and the project achieved all the expected results due to a great teamwork and good management of resources.</p> <p>2. The main fact that proves the implementation of all the required actions is where the representative of the organization sends a memorandum to inform the personnel of the new procurement norms and rules.</p> <p>3. The procurement methods are still in function, and each day is improving with the practice.</p> <p>4. The new methodology helped to rebuild new processes that promote the transparency of the management of the actions and requirements of the project.</p>
4.6.3 Project Schedule Management	<p>1. The schedule of the project was well implemented, but due to different changes in the time of the procurement officer, approvals from the operation officer, representative, and meetings with the projects, the implementation of the project was postponed.</p> <p>2. The rescheduling of the deliverables of the project didn't affect the implementation process; actually, it improved the implementation of the actions to create the new methodology.</p> <p>3. The estimate duration of the first schedule was too ambitious due to the time of the procurement team and also of the members of the project.</p>
4.6.4 Project Cost Management	<p>1. The project didn't have funds to implement the methodology because the procurement training was a support from the headquarters.</p> <p>2. The project had a tremendous result the use of the budget of the projects. The transparency of the study market makes more competition between the projects, and the procurement team noticed that the costs of the quotes diminished; therefore, the team ensured a better management of their funds.</p>
4.6.5 Project Quality Management	<ul style="list-style-type: none"> • The new methodology promotes more competence between the supplier and that force to request the best quality as is indicated in the terms of reference. • Two aspects that needed an improvement in the delivery quality of the services were:

Knowledge Areas	Impact
	<ul style="list-style-type: none"> • The opportunity to review and correct changes in case of emergencies • The delivery of products that did not meet the necessities of the project due to the lack of the specifications in the initial request • The new template: The evaluation of the supplier promotes a constant and documented review that serves to ask for the best quality and request the best performance to the supplier's thanks to the feedback. • The procurement team had meetings with the members of the project to determine the necessities and characteristics. Also, the team reviewed the availability of the supplier to archive the expected results of each requisition.
4.6.6 Project Resource Management	<p>1. The project did not need more resources. The new methodology was implemented from the procurement team and with the guide of the procurement officer.</p> <p>2. The new methodology has a positive impact in the new requirements of UNODC LPOMEX. For example, all the new personnel need computers and accessories, and the new procurement methods facilitate the source of all the required goods and services of the organization.</p>
4.6.7 Project Communications Management	<p>1. The communication in all the phases of the project was well implemented because the information that the procurement officer gave was canalized in the procurement team and was transmitted to the colleagues through new procurement methods and rules to create more transparency.</p>
4.6.8 Project Risk Management	<p>1. The project assumes all the risks that produce the bad planning, times, and events that the project and the procurement team have. The mitigation actions were developed through the implementation as part of the management of the control change.</p> <p>2. One of the principal risks in the project was the implementation with the project, but the procurement team was supported by the representative and the operations officer.</p>
4.6.9 Project Procurement Management	<p>1. The procurement methods implemented by the new methodology promote a better control of all the requisitions. The new processes ensure the transparency and competition in the market.</p> <p>2. The methodology generated a new system of evaluation of suppliers that will demand the best quality of the services and goods.</p>
4.6.10 Project Stakeholder Management	<p>1. The stakeholders were well identified and managed due to the constant meetings with the procurement team, officer, and members of the project.</p> <p>2. Finally, the procurement team gave constant trainings to make the new methods known, especially to use correctly their funds for their purchases because they did not estimate the budget correctly.</p> <p>For more information, please see Annex 4, page 101.</p>

Source: United Nations (2019).

Finally, the representative of the organization sent an internal memo to announce the new procurement procedures with a transition period of a month (July 22th to August 31st, 2019).

This announcement makes the new mandate to implement the new processes, methods, and procurement rules of the UNODC LPOMEX official.




UNODC
Oficina de las Naciones Unidas
contra la Droga y el Delito

Oficina de Enlace y Partenariado en México

Ref: REG/ADMN/MEX/2019/289

MEMORANDO INTERNO

Para: STAFF UNODC - LPOMEX

De: Antonino De Leo 
Representante UNODC – LPOMEX

Asunto: Nuevo flujo de trabajo para las solicitudes de adquisiciones

Fecha: 22 de julio de 2019

Por este medio me permito informarles que en abril de este año la LPOMEX ha iniciado una transición del flujo de trabajo de los procesos de adquisiciones gestionados a través del PNUD México, hacia el Sistema UMOJA del Secretariado. Dado que la LPOMEX no cuenta con una Delegación de Autoridad de Adquisiciones (DPA), dichos procesos son llevados a cabo con la asistencia del PNUD. Este mecanismo implica la adopción de dos sistemas separados para registrar las transacciones, costos adicionales, no homologación y diversidad de procesos y sobre todo una limitada delegación de responsabilidades lo que afecta la eficiencia, eficacia y transparencia de los procesos.

Por ello, la LPOMEX estableció un plan de cooperación con el *Procurement Unit* y la Oficina Regional para Centroamérica y el Caribe Panamá (ROPAN), que permitirá reorientar el flujo de manera ordenada y clara, guiada directamente por el *Procurement Officer Regional* de ROPAN. En este sentido, a partir del próximo 1 de agosto todas las solicitudes de *Procurement* requeridas a la Unidad de Operaciones serán procesadas a través del sistema UMOJA y enviadas para autorización del *Procurement Unit*, alineados totalmente a la normatividad del Secretariado General de las Naciones Unidas. Durante el periodo de transición (22 de julio al 31 de agosto), las solicitudes arriba de USD 30,000 y/o de bienes estratégicos (ver anexo) que sean recibidas serán analizadas para determinar el flujo de proceso más adecuado, de acuerdo a la naturaleza y temporalidad del requerimiento, en tanto que las solicitudes menores a dicho monto, y que no sean bienes estratégicos serán procesadas a través del PNUD.

Ref: REG/ADMON/MEX/2019/289/2

Es importante señalar que la implementación de este nuevo flujo de trabajo requerirá poner especial atención en la planificación y claridad de las solicitudes de compras de bienes y contrataciones de servicios. Para ello, recomiendo que los planes de adquisiciones de cada proyecto se encuentren actualizados regularmente para que permitan una respuesta oportuna de la Unidad de Operaciones a sus requerimientos.

De manera específica, me permito comunicarles los siguientes criterios y parámetros estimados del nuevo flujo de trabajo:

1. Todos los procesos serán realizados por la subunidad de adquisiciones, en conjunto con el Oficial Regional de *Procurement* y el *Procurement Unit* de UNODC HQ. En este sentido, todas las cotizaciones serán solicitadas directamente por la subunidad de adquisiciones, a través del flujo de procesos de UMOJA.
2. Para compras menores a USD 50,000 el proceso de adjudicación podrá tomar de 15 a 20 días hábiles, mientras que para compras igual o mayores a USD 50,000 la adjudicación tomará de 20 a 25 días hábiles aproximadamente, dependiendo de las especificaciones y calidad de información que proporcione el proyecto para iniciar el proceso.
Adicionalmente, se debe considerar para ambos casos un periodo estimado de 3 a 5 días hábiles para la formalización del contrato. Es importante tomar en cuenta el periodo de entrega por parte del proveedor, el cual dependerá de la naturaleza del requerimiento, debiendo contar con el *clearance* de IT en caso de que aplique.
3. El personal de proyecto únicamente podrá enviar sugerencias de contactos de proveedores, si así lo estiman conveniente.
4. En solicitudes de compras iguales o mayores a USD 10,000 y menores a USD 50,000 la subunidad de adquisiciones gestionará 5 cotizaciones, mientras que las compras iguales o mayores a USD 50,000 los proveedores mínimos para cotizar serán los siguientes:

Valor estimado de la compra	Número mínimo de proveedores
Entre US\$ 50,000 – US\$ 200,000	10
Entre US\$ 200,000 – US\$ 1,000,000	15
Entre US\$ 1,000,000 – US\$ 5,000,000	20
>US\$ 5,000,000	25

5. Los bienes estratégicos requerirán un proceso de *Local Procurement Authority* (LPA), el cual es autorizado por la sede en Viena y por el Secretariado en Nueva York (se anexa listado de servicios) e implica un proceso de validación de 15 a 20 días hábiles adicional a los mencionados en el punto 2.

Figure 8. Representative Memorandum
Source: A. De Leo (personal communication, 2019).

5. CONCLUSIONS

9. The new procurement methodology was created with the expectation to develop new methods that ensure transparency and fair competition in order to obtain the best quality and price in all the requisitions of the Mexican Penitentiary System Project. The project accomplished all the expected results, and now, all the processes are in processes of implementation with all the UNODC LPOMEX.
10. The first step of the methodology consisted in the analysis of the procurement processes that were used since 2017. It was important to determine all the previous procurement processes and generate new ideas to manage all the requisitions with more transparency and efficiency.

The main conclusions of the first analysis were:

- The necessity to create procurement methods for the tenders and requisitions that require a technical and financial evaluation
- There were processes that could be managed as one strategic request and could reduce time and resources (strategic sourcing).
- The members of the projects of UNODC LPOMEX did not know how to request their needs.
- It was urgent to create an evaluation report for the suppliers.

2.1. After the first analysis, the procurement team created new standardized procedures based in the United Nations Procurement Manual that guarantee a workflow that manages each requisition with the best methodology and archives it. Later, the procurement team received a training from the Procurement Officer of the region to help to implement the new methods. The Procurement Officer shared the guide to create the terms of reference, that was shared with all the organization to help the requisitioners to define their necessities, and standard procurement processes of the Headquarter to create new administrative rules to improve the efficiency and the transparency of each requisition.

- 2.2. One of the main advantages that the creation of these processes had was the map of each procurement method, for instance, the procurement team dominates the nature of each requisition and could recommend the best source strategy to obtain the expected results. The Procurement team develop a communication system that were based in constant meetings to with the Mexican Penitentiary System Project in order to support them.
- 2.3. The work between the procurement subunit and the Mexican Penitentiary System Project promoted a proper planning of their future purchases. The conclusions and recommendations of its strategic plan ensured a correct organization within the procurement team to meet all your requirements in the best way. The acquisition plan is used as a strategic tool to control the planification of the projects and also the preparation of the procurement team to develop the study market based on each request. The first acquisition planning was implemented in the best way due to the communication between the parties, and all the requirements were sourced with the best quality and price.
- 2.4. Later, the creation of the new templates facilitates the analysis of each requisition and also their planification and evaluation. It generated new options to communicate all the processes and their norms. The representative of the UNODC LPOMEX sent an internal memo to communicate the new procurement procedures and templates and since the 1st of August of 2019, the new methodology was officially announced.
- 2.5. The project used the 10 knowledge areas to analyze the results and impact of the implementation of the new procurement methodology in the Mexican Penitentiary System Project, obtaining the following results: 1) a better communication with the requisitioners due to the meetings conducted; 2) a decrease in the budget expenses of the project, thanks to the new procurement methods that generate a

developed study market that promotes more competition between the suppliers, lower prices and better quality; 3) a decrease of the fraud risk, due to the greater transparency and ethics in the procurement process based in the international norms of the United Nations Procurement Manual; 4) the implementation of the new methodology had an implementation delay due to the workload of the personnel of the project, but at the end, each procurement process was accomplished in time as it was requested; 5) finally, the procurement methodology has a great impact in the integral functionality of the organization because it is the main source to do all the activities of the project and achieve their indicators in the penitentiary centers.

- 2.6. In the end, the new methodology promotes the efficiency of procurement processes that impact the time, cost, and quality of each of the services and goods required by the Mexican Penitentiary System Project. This project, in general, had a correct planning and management of resources. The only areas affected were the time and schedule because the procurement training had to be received first in order to concentrate the information, develop new methods that promoted transparent processes, and generate a communication system with the procurement team and also with the project members. The project has been monitored for its deliverables and their quality, in this case the Mexican Penitentiary System Project has had a great development in the planning of its events since the new methodology has supported it to organize all their requirements and budget for each activity in the future. These results have created a better implementation of their objectives and therefore accomplished their commitment with their beneficiaries, donors and organization.

6. RECOMMENDATIONS

Below, it will mention the lessons learned from the implementation of the new procurement methodology and also explain the recommendations for the main stakeholders based in the results of the project.

Mexican Penitentiary System Project:

The first analysis of the previous procurement processes caused a warning for the operations officer and later by the representative because most of the project requisitions were not planned and also were requested a few days in advance, therefore a better template was created for the procurement control to monitor, not only the process of each acquisition, but also its planning, comparing the time of request with its planning in its procurement plan. The representative carried out a constant monitoring of these results in order to promote better planning and also implementation of the objectives.

The main recommendations for the project, based on the results of the new methodology, are the following:

- Continue to improve the planning in their procurement plan because even though there is progress, half of their requests during the last quarter of 2019 were not included in their procurement plan and also did not meet the time frame set out in the procurement memorandum.
- The members of the project should continue with the communication system implemented in the methodology so that, they can determine what are their future needs and also receive feedback from the procurement team to determine the best sourcing strategy.

UNODC LPOMEX:

The organization realized that it must have greater monitoring in each of the administrative processes because they can affect not only the achievement of its objectives but also the image of the institution.

The following recommendations for the UNODC LPOMEX are based in the analysis of the previous processes and results of the new procurement methodology:

- In order to complete the new implementation of transparent and efficient processes in the office, it is necessary to create a better roll and function distribution. The organization needs a manager to certify each of the procurement processes in order to have greater control over the project actions and each project in the UNODC LPOMEX must assign a requester and must have its role so that it can be made responsible for its requests.
- The project has been successful, therefore to apply it to the rest of projects of the UNODC LPOMEX, it is necessary to know that each project has different requirements; that's why each plan for the implementation of the projects needs to be analyzed with the members of each project through constant meetings.
- It is recommended to create more communication system through meetings and revisions to train other colleagues, to promote a better understanding of the procurement norms and rules. The personnel need to realize the benefits of the new methodology in order to participate and support it.
- It would be positive to make a brief presentation of the results of the Mexican Penitentiary System Project to share the information and assure their commitment and support.

Procurement team:

The procurement methodology has increased the transparency of the processes; however, it has produced a greater workload because now the whole process is managed by the procurement team. Thus, the procurement sub-unit has realized that due to rising project needs and requests it is necessary to:

- Increase the number of human resources in the team in order to meet the requirements with the best possible quality.
- Frequent training for the procurement staff.

- A new control system must be created between the requests and the project procurement plans in order to be able to give weekly results to the operations officer.
- Trainings to the projects' members, so that they can create joint strategies and thus select long-term methods that cover all the needs of the office, for example a long-term agreement for the most required services such as hotel and transport services, design and printing.

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APPENDICES

Appendix 1: FGP Charter

PROJECT CHARTER.	
Date	Project Name:
27/12/2019	Procurement Methodology for the United Nations Office on Drug and Crime in Mexico
Knowledge Areas / Processes	Applicacion Area (Sector / Activity)
<p>It should indicate the knowledge areas and process groups which are related to the project.</p> <p>Knowledge areas: project procurement management</p> <p>Process groups: plan procurement management, conduct procurements, and control procurements</p>	Humanitarian projects, specifically in the United Nations Office on Drug and Crime in Mexico
Start Date	Finish Date
19/5/2019	31/12/2019
Project Objectives (General and Specific)	
<p>General Objective:</p> <p>To create a procurement management methodology for the Mexican Penintentiary System Project to organize the procurement processes of all the services and products related to the project and that can later be applied in other projects in the United Nations Office on Drug and Crime in Mexico.</p> <p>Specific Objectives:</p> <ol style="list-style-type: none"> 1. To do an analysis of the current processes of procurement and identify the areas of improvement to promote more transparency and efficiency in the processes 2. To implement standardized procedures for all the procurement processes so that each project can have clear outcomes from such procedures 3. To map the acquisitions forecasted for the following semester through an acquisition plan for the following semester in order to consider potential best practices when developing the procurement methodology 4. To create new procurement templates to facilitate the analysis of needs and characteristics of the project 5. To apply the methodology to the Mexican Penintentiary System Project in order to evaluate it 	

6. To analyze the impact of the new procurement strategy in the knowledge areas of the Mexican Penitentiary System Project

Indicators and Means of Verification by Outcome and Outputs:

- Update of the new processes of the procurement methodology of the United Nations Office on Drug and Crime in Mexico. The way to verify it is to define new procedures and make them known to all the members of the organization.
- Promote the first time to create a procurement plan from the projects.
- Monitoring and control report with the project using a weekly project report with the procurement sub unit in order to facilitate the administration of their activities and resources for the members of the project

Project Purpose or Justification (Merit and Expected Results)

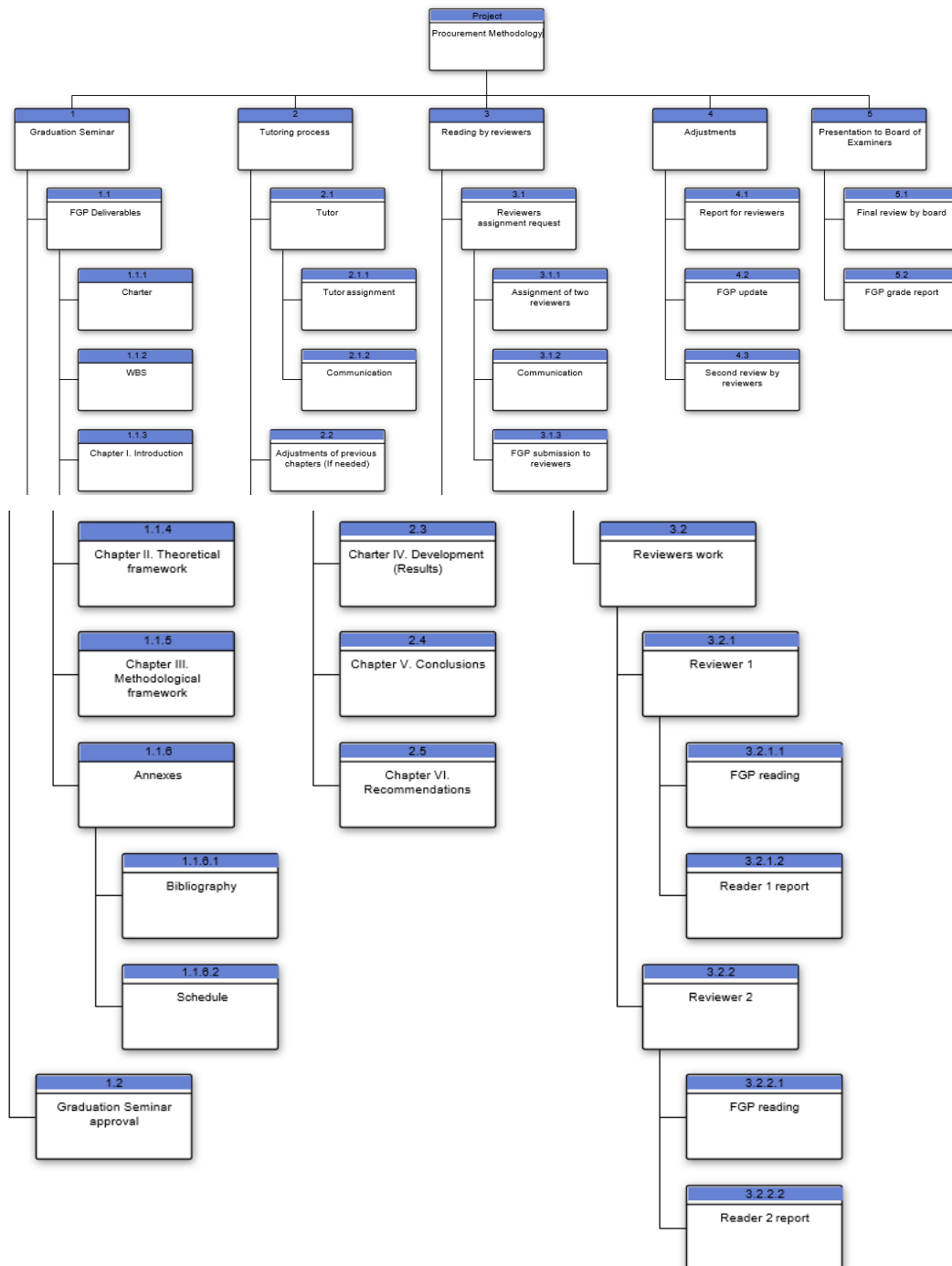
UNODC Mexico is changing its organizational structure into programs and specialized topics instead of projects. This change has meant that the staff of the organization has tripled to 150 people, and more events and activities also arise. The main purpose of the project is to implement a methodology to organize all the solicitations and needs of the projects of the United Nations Office on Drug and Crime in Mexico and formulate a strategy to accomplish all of them with the best quality and cost.

Description of Product or Service to be Generated by the Project – Project Final Deliverables

1. Analysis of the current procurement processes report
2. Procurement procedures method
3. Acquisition plan of the Mexican Penitentiary System Project
4. Template of solicitation
5. Evaluation of supplier
6. Procurement plan
7. Statement of award
8. Technical analysis
9. Update in the weekly report of the requisitions
10. Source plan for the next semester of the Mexican Penitentiary System Project
11. Matrix of evaluation of the knowledge areas

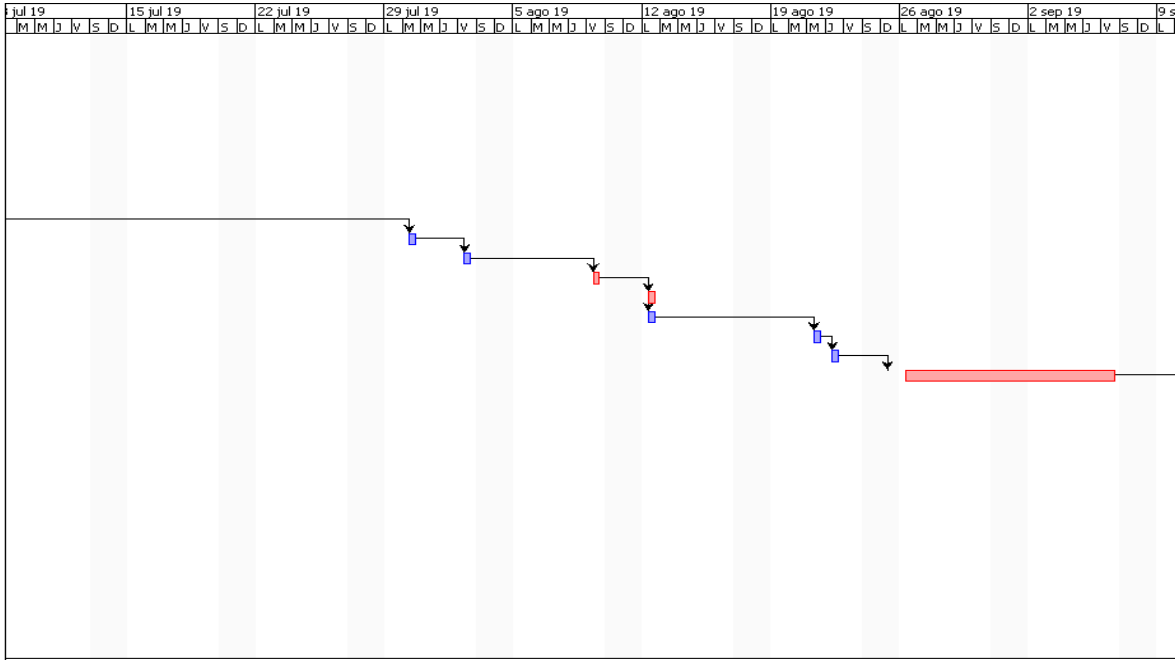
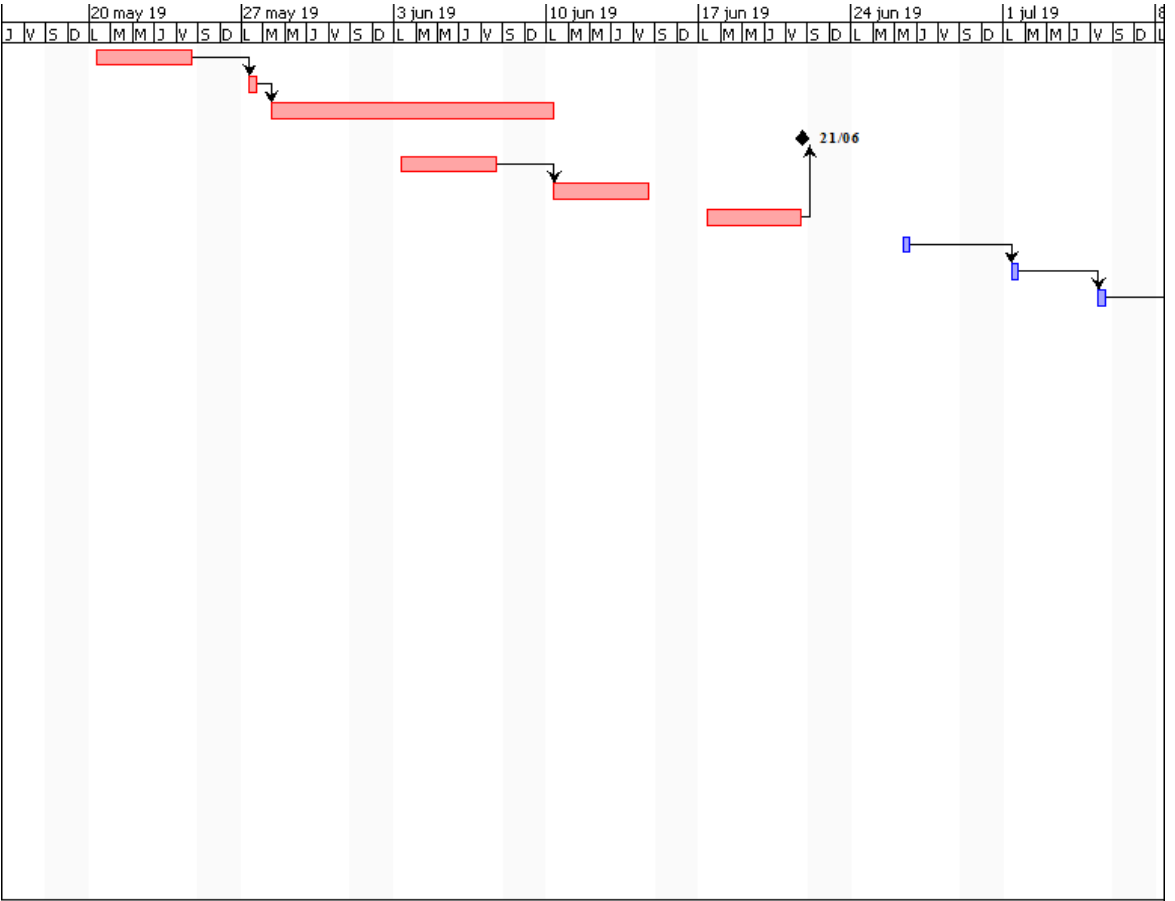
Appendix 2: FGP WBS

Final Graduation Project



Appendix 3: FGP Schedule

	Nombre	Duración	Inicio
1	Elaboration of Project Charter	5 days?	19/05/19 08:00 AM
2	Creation of WBS	1 day?	27/05/19 08:00 AM
3	Introduction	9.25 days?	28/05/19 08:00 AM
4	First Meeting with the Project	0 days	21/06/19 05:00 PM
5	Analysis of Procurement processes	5 days?	3/06/19 08:00 AM
6	Elaboraion of the analysis report	5 days?	10/06/19 08:00 AM
7	Creation of he Theoretical Framework	5 days?	17/06/19 08:00 AM
8	First Meeting to propose the methodology	0.875 days?	26/06/19 09:00 AM
9	Second Meeting to Implement the Methodok	1 day?	1/07/19 08:00 AM
10	Third Meeting to Implement Methodology	1 day?	5/07/19 08:00 AM
11	Fourth Meeting to Implement Methodology	1 day?	30/07/19 08:00 AM
12	5th Meeting of Implementation	1 day?	2/08/19 08:00 AM
13	6th Meeting of Implementation	1 day?	9/08/19 08:00 AM
14	7th Meeting of Implementation	1 day?	12/08/19 08:00 AM
15	8th Meeting of Implementation	1 day?	12/08/19 08:00 AM
16	9th Meeting of Implementation	1 day?	21/08/19 08:00 AM
17	10th Meeting of Implementation	1 day?	22/08/19 08:00 AM
18	Final Report Elaboration	10 days?	25/08/19 08:00 AM
19	Tutoring Process	5 days?	23/09/19 08:00 AM
20	Final Conclusions and Recommendations	5 days?	16/09/19 08:00 AM
21	Tutoring Process	1 day?	23/09/19 08:00 AM
22	Tutor Assignment	1 day?	24/09/19 08:00 AM
23	Communicaion wih the Tutor	7.5 days?	25/09/19 08:00 AM
24	Adjustments	1 day?	4/10/19 01:00 PM
25	Develop Final Results	1 day?	7/10/19 01:00 PM
26	Develop Conclusions	1 day?	8/10/19 01:00 PM
27	Develop Recommendations	1 day?	9/10/19 01:00 PM
28	Reading by Reviewers	1 day?	10/10/19 01:00 PM
29	Final Adjustments	7 days?	11/10/19 01:00 PM
30	Presentation of Board of Examiners	1 day?	22/10/19 01:00 PM
31	Final review by the board	5 days?	23/10/19 01:00 PM
32	FGP grade work	1 day?	30/10/19 01:00 PM



Appendix 4: Other Relevant Information

Influence of Stakeholder	Keep Satisfied <ul style="list-style-type: none"> Members of the Mexican Penitentiary System Project Mexican Penitentiary System Project's Counterparts 	Actively Engage <ul style="list-style-type: none"> Procurement Officer Procurement Subunit Suppliers
	Monitor <ul style="list-style-type: none"> Finance Subunit 	Keep Informed <ul style="list-style-type: none"> Operations Officer Representative Members of the HQ
	Interest of Stakeholder	

Impact of Risk (Consequence)	Major		The Mexican Penitentiary System Project doesn't send the plan of acquisition to plan their requisitions.	The project doesn't have time to implement the new procurement methodology due to the availability of the members of the Penitentiary System Project.
	Moderate		The unexpected changes or amendments in the new methodology of processes	The support of the high supervisors to implement the methodology
	Minor		Loss of quality and fair competence in the study market due to the lack of implementation of the procurement methodology	
		Unlikely	Moderately	Highly Likely
		Probability of Risk (Likelihood)		