

2022 年联合国采购杯大学生英语词汇大赛

(联合国采购实务部分学习内容)

一、 基本情况

- 1、 内容来源：联合国管理高级别委员会采购网络发布
- 2、 主要内容：熟悉了解联合国采购与国际公共采购实务。包括联合国组织系统与采购指导原则、采购中的道德规范、组织采购策略、采购流程与实务等部分

二、 联合国采购实务学习与考察内容框架

- 1、 **联合国组织系统与采购指导原则**；包括联合国组织系统、联合国采购作为推进联合国政策目标的工具、指导原则、财务条例和细则（FRR）与采购程序、联合国采购改革、采购在联合国的专业化
- 2、 **采购中的道德规范**；包括整体简介、行为准则、管理原则、道德概念和原则、道德风险及其管理措施、采购周期中的潜在风险领域、组织层面的道德规范、供应商层面的道德规范
- 3、 **组织采购策略**；包括采购策略的目标、审查组织的任务和策略、制定采购策略的方式、检查组织的采购支出、分析组织的采购职能和能力、 确定战略采购目标、制定和实施企业级策略、衡量结果
- 4、 **采购流程**；包括市场调查、采购策略、招标、评估、合同授予审查和批准、合同

三、 联合国采购实务学习内容

(一) 基础综合知识

- 1、 在联合国系统内，采购活动的目标是及时获得货物、服务和工程，同时坚持以下指导原则：
 - 最高性价比

- 责任、廉正和透明
- 公平和有效竞争
- 符合联合国有关组织的利益

The objective of procurement activities within the UN system is the timely acquisition of goods, services and works while upholding the following guiding principles:

- Best value for money
- Accountability, integrity and transparency
- Fairness and effective competition
- Best interest of the UN organizations concerned

最高性价比是指选择能够提供各种因素最佳组合的报价，如适当的质量、生命周期成本（对所有相关成本的准确分析）、及时交付和其他参数，包括社会、环境效益或满足终端用户需求的其他战略目标。最高性价比不一定意味着最低的初始价格方案，而是代表在充分考虑招标文件中规定的评估标准和质量要求后，得到的最佳投资回报。最高性价比原则应该激励和指导最佳合同策略的选择，并且应该在授予阶段应用，从而选出有效满足规定要求的报价。

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.

2、可持续发展目标

- 目标 1 在全世界消除一切形式的贫困
- 目标 2 消除饥饿，实现粮食安全，改善营养状况和促进可持续农业
- 目标 3 确保健康的生活方式，促进各年龄段人群的福祉；
- 目标 4 确保包容和公平的优质教育，让全民终身享有学习机会
- 目标 5 实现性别平等，增强所有妇女和儿童的权能；
- 目标 6 为所有人提供水和环境卫生，并对其进行可持续管理
- 目标 7 确保人人获得负担得起的、可靠和可持续的现代能源
- 目标 8 促进持久、包容和可持续的经济增长，促进充分的生产性就业和人人获得体面工作
- 目标 9 建造具备抵御灾害能力的基础设施，促进具有包容性的可持续工业化，推动创新
- 目标 10 减少国家内部和国家之间的不平等
- 目标 11 建设包容、安全、有抵御灾害能力和可持续的城市和人类住区。
- 目标 12 采用可持续的消费和生产模式
- 目标 13 采取紧急行动应对气候变化及其影响
- 目标 14 保护和可持续利用海洋和海洋资源以促进可持续发展。
- 目标 15 保护、恢复和促进可持续利用陆地生态系统，可持续管理森林，防治荒漠化，制止和扭转土地退化，遏制生物多样性的丧失
- 目标 16 创建和平、包容的社会以促进可持续发展，让所有人都能诉诸司法，在各级建立有效、负责和包容的机构
- 目标 17 加强执行手段，重振可持续发展全球伙伴关系

The Sustainable Development Goals

Goal 1 End poverty in all its forms everywhere

Goal 2 End hunger, achieve food security and improved nutrition and promote sustainable agriculture

Goal 3 Ensure healthy lives and promote well-being for all at all ages

Goal 4 Ensure inclusive & equitable quality education and promote lifelong learning opportunities for all

Goal 5 Achieve gender equality and empower all women and girls

Goal 6 Ensure availability and sustainable management of water and sanitation for all

Goal 7 Ensure access to affordable, reliable, sustainable and modern energy for all

Goal 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

Goal 9 Build resilient infrastructure, promote inclusive and sustainable industrialization and foster

Innovation

Goal 10 Reduce inequality within and among countries

Goal 11 Make cities and human settlements inclusive, safe, resilient and sustainable

Goal 12 Ensure sustainable consumption and production patterns

Goal 13 Take urgent action to combat climate change and its impacts

Goal 14 Conserve and sustainably use the oceans, seas and marine resources for sustainable development

Goal 15 Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forest, combat desertification, and halt and reverse land degradation and halt biodiversity loss

Goal 16 Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

Goal 17 Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development



3、财务条例和细则（FRR）与采购程序

每个组织的财务条例和细则根据各自采购程序的规定，为进行采购的行政环境提供框架。财务条例和细则明确规定了采购的主要准则、采购工具和评估的类型、竞争性招标的优先地位，同时给出一些可能不符合组织最大利益的情况。

Financial Regulations and Rules (FRR) and Procurement Procedures

The FRR of each organization provide the framework for the administrative context within which procurement is carried out, as specified in its respective procurement procedures. The FRR specify key guidelines for procurement, types of procurement instruments and evaluations, primacy of competitive tendering while recognizing situations in which that may not be in the best interest of the organization.

4、联合国采购改革

自 1999 年开始改革以来，联合国的采购经历了重大转变。联合国采购改革中考虑的主要问题，可参阅若干联合国官方文件，特别是 1999 年 11 月 22 日的第 A/RES/54/14 号决议。为加强透明、效力和效率原则，同时充分体现联合国的国际性，该决议明确了采购改革举措需要遵循的方向。

UN Procurement Reform

Procurement at the UN has undergone significant transformation since

reforms were initiated in 1999. The main issues taken into consideration as part of UN procurement reform can be found in several UN official documents, particularly Resolution A/RES/54/14 of 22 November 1999. The Resolution specifies the direction that procurement reform initiatives need to follow in order to strengthen the principles of transparency, effectiveness and efficiency while also fully reflecting the international character of the UN.

- 为来自发展中国家和经济转型国家的供应商增加机会；普遍扩大各会员国供应商的参与范围；改善与供应商的沟通；改进供应商登记制度。
- 以竞争性招标为基础，采用更透明、公开、公正和更具成本效益的采购流程。
- 更多地使用现代电子通信方式来传播/接收关于征求建议书、投标邀请函和征求意向书的信息。
- Increased opportunities to suppliers from developing countries and countries with economies in transition; wider participation of suppliers from all Member States in general; and improvement of communication with suppliers; improvement of system for registration of suppliers.
- More transparent, open, impartial and cost-effective procurement processes, based on competitive tendering.
- Increased use of modern electronic means of communication to disseminate/receive information regarding requests

（二）采购中的道德规范

联合国采购流程涉及大量活动——从采购规划到合同监督和管理。所有采购从业人员必须遵守适用于采购活动的严格道德标准和责任，以保护采购流程的廉正、公平和透明。道德纪律涉及正确和错误行为的概念、道德义务、道德原则和价值体系以及道德品质。大多数与采购有关的原则，即公平、廉正、透明和责任，均以道德为基础。

5、道德概念和原则

无论是何组织，其职业道德行为标准都包含一些典型特征，包括以下承诺：

- 对条例和细则的忠诚和尊重
- 廉正
- 公正、公平和透明
- 保密
- 避免出现不当行为
- 尽职尽责

Ethical Concepts and Principles

Professional standards of ethical conduct, no matter what the organization, contain typical characteristics, including commitments to:

- Loyalty and respect for regulations and rules
- Integrity
- Impartiality, fairness and transparency
- Confidentiality
- Avoidance of appearance of impropriety
- Due diligence

6、透明

透明意味着无遮无掩。由于公共采购涉及公共资金的使用和会计，透明也许在所有采购活动中都至关重要。所有交易都要接受审查，但并不是所有组织都会执行

联合国这种程度的审查。因此，采购干事必须始终以所有审查都不会损害联合国、其领导人、成员组织、工作人员或计划的方式行事。

Transparency

Transparency means unimpeded visibility. Because public procurement involves the use of and accountability for public funds, transparency is, perhaps, paramount in all procurement activities. All transactions are subject to scrutiny but not all organizations experience such scrutiny to the degree of the UN. Therefore, procurement officers must always conduct themselves in such a way that any scrutiny would not damage the UN, its leaders, member organizations, staff, or programmes.

7、尽职尽责

在联合国采购中，尽职尽责是指谨慎、充分地履行职责，避免粗心大意的做法或方法。

Due diligence

Due diligence, in the context of UN procurement, refers to carrying out duties carefully and thoroughly and avoiding careless practices or techniques. Due diligence requires that all activities by procurement officers be pursued in a manner that goes beyond the minimum effort.

8、道德风险及其管理措施

利益冲突

在与采购道德有关的风险情况中，利益冲突是一种非常常见的风险。

在采购环境中，可能发生三种类型的利益冲突。

- 实际利益冲突：一名工作人员在工作中受其私人利益影响时。
- 感知利益冲突：一名工作人员似乎会在工作中受其利益影响时。
- 潜在利益冲突：一名工作人员未来可能会在工作中受其私人利益影响时。

Conflict of interest

A very common risk situation related to ethics in procurement is the risk of a conflict of interest. There are three types of conflict of interest that could occur in the procurement environment.

- Actual Conflict of Interest: when a staff member is in a position to be influenced by their private interests when doing their job.
- Perceived conflict of interest: when a staff member is in a position to appear to be influenced by their interests when doing their job.
- Potential conflict of interest: when a staff member is in a position where they may be influenced in the future by their private interest when doing their job.

9、六步道德决策模型

以下是联合国工作人员在做出道德决定时应该考虑的六步道德决策模型。

- 评估局势，确定自己知道的事实，检视自己的认识
- 考验道德。哪些是利害攸关的道德问题？
- 帮助受影响的人。谁是利益相关方，他们在这种情况下，可能受到怎样的影响？
- 确定规则。确保遵守组织的行为准则
- 如有必要，寻求建议和指导
- 维护道德。做出最好的决定并采取行动。确保决定对所有利益相关方都公正公平

six-step ethical decision-making model

Below is a six-step ethical decision-making model which UN staff should consider when faced with making ethical decisions.

- Evaluate the situation, determine the facts that you know and check your perceptions
- Test the ethics. What are the ethical issues and questions at stake?
- Help those affected. Who are the stakeholders, and how might they be

affected by the situation?

- Identify the rule(s). Ensure compliance with organizational codes of conduct
- Call for advice and guidance, if necessary
- Stand up for ethics. Make the best possible decision and take action. Ensure the resolution is just and fair for all stakeholders

10、 职责分离

这是防止欺诈最基本且最有效的方式之一，因为它消除了“闭环”的可能性。闭环是指一个人同时拥有预算、供应、订购和支付的权限。每笔交易都应该分为几个阶段，且不应该给予任何处理所有阶段的权限。为确保采购流程公平透明，所有采购责任必须与支出和会计活动分开（包括对供应商的选择）。

Segregation of duties

This is the most basic and one of the most effective ways of preventing fraud since it removes the possibility of ‘closed loops’ , that is, one person having the authority to budget, provision, order and pay. Each transaction should be divided into a number of stages and no one person should ever have the authority to handle all of the stages. All purchasing responsibilities must be segregated (including supplier selection) from disbursement and accounting activities in order to ensure that the procurement process is fair and transparent.

（三）组织采购策略

采购职能的全价值链导向意味着采购工作要符合以下条件：与组织要实现的业务结果或价值相符；优化客户和利益相关方的满意度；支持持续学习过程；刺激市场中的产品/服务取得创新，以及以负责、透明和公平的方式取得财务成果。

Full value chain orientation of the procurement function would mean that procurement effort is; Aligned with the business results or values to be achieved by the organization; Optimizing client and stakeholder satisfaction; Supporting continuous learning processes; Stimulating product/service innovations in the market, and; achieving financial results in an accountable, transparent and fair manner.

11、 审查组织的任务和策略

制定和实施采购策略的指导原则是确保采购策略完全符合组织的总体任务和策略。因此，在着手制定供应和价值链管理策略之前，审查组织的任务和总体策略非常重要。

Reviewing the Organization' s Mandate and Strategy The guiding principle in developing and implementing a procurement strategy is to ensure that it is fully aligned with the overall mandate and strategy of the organization. Therefore, before embarking on the development of a supply and value chain management strategy, it is important to review the organization' s mandate and overall strategy.

12、 制定采购策略的方式

组织采购策略的制定（第 1 步）始于对组织以下方面的审查和分析：

- 任务、战略方向和目标
- 采购组合：采购源、采购地点、采购方式、采购对象和采购量；包括研究主要供应市场、了解采购情况、展开风险分析以及评估机构对主要供应市场的影响。
- 采购职能——其职责和结构、系统、能力和流程。

How to Develop a Procurement Strategy

reviewing and analysing the organization' s:

- Mandate, strategic direction and objectives
- Procurement portfolio: what and how much is purchased from who, where

and how;

including studies of key supply markets, procurement profiles, risk analysis and an assessment of the agency' s impact on its key supply markets.

- Procurement function - its role and structure, systems, capability and processes.

13、 检查组织的采购支出

组织采购策略的制定首先审查和分析组织的任务、战略方向和目标，以及其采购组合：采购源、采购地点、采购方式、采购对象和采购量；包括研究主要供应市场、了解采购情况、展开风险分析以及评估机构对主要供应市场的影响（第 1 步）。

Examine the Organization' s Procurement Spend

An organizational procurement strategy is developed by first reviewing and analysing the organization' s mandate, strategic direction and objectives, together with its procurement portfolio: what and how much is purchased from whom, where and how; including studies of key supply markets, procurement profiles, risk analysis and an assessment of the agency' s impact on its key supply markets (step 1).

14、 分析组织的采购职能和能力

要完成分析，就还需要（仍在第 1 步）在分析采购组合的同时，分析采购职能和能力。此分析包括：

- 职责、责任、结构和报告
- 采购系统和流程
- 采购技能和能力

在所有这三种情况中，重要的是它们在匹配和反映采购组合的要求方面是适当的。

Analyzing the Organization' s Procurement Function & Capability

To complete the analysis, it is (still at step 1) also necessary to look

at the procurement function and capability in parallel with the analysis of the procurement portfolio. This analysis includes:

- Roles, responsibilities, structure and reporting
- Procurement systems and processes
- Procurement skills and capacity

In all three cases, it is important that they are appropriate in terms of matching and mirroring the requirements of the procurement portfolio.

15、 确定战略采购目标

下一步将根据采购组合的审查和分析，确定组织的战略采购目标（第 2 步）。在这个过程中，重要的是将预期采购活动与总体组织目标联系起来。不仅需要对组织的采购支出和需求 属性有透彻的了解，还需要对组织运营或交付的供应市场有深入的了解。应该在相同的背景下，分析和解决与采购要求和供应商的质量、能力和及时性有关的因素。另外还必须确定和管理其他风险和机会，以及采购的总成本。

Identifying Strategic Procurement Objectives

Based on the procurement portfolio review and analysis, the strategic procurement objectives of the organization will need to be identified next (step 2).

In this process, it will be important to link the foreseen procurement activities to the overall organizational objectives. There needs to be a thorough understanding of the organization' s procurement expenditure and demand attributes but also in-depth knowledge of the supply markets in which the organization is operating in or delivering to. In the same context, factors related to the quality, capacity and timeliness of the procurement requirement and the supplier should be analysed and addressed. Other risks and also opportunities will also have to be identified and managed, together with the total cost of the procurement.

(四) 采购流程

16、 市场调查

采购流程的一个重要因素是市场调查。市场调查是一项在市场上寻找合适的产品和服务，以及适合提供这些产品和服务的合格供应商的活动。不仅如此，市场调查还有其他目的——收集和分析有关市场能力的信息，以满足组织的要求，如获得最新的成本信息，确定适当的技术和替代产品，以及确定适当的供应商资格标准。开展全面市场调查，识别和邀请相关供应商，通过允许最相关和最合适的供应商参与竞争，进而确保最大限度的竞争。市场调查会让人更深入地了解市场。

Market Research

An important element of the procurement process is market research. Market research is an activity to find suitable products and services on the market and qualified suppliers who are available to provide those products and services. It also aims at collecting and analysing information about capabilities within the market to satisfy the organization's requirements, such as obtaining updated cost information, determining the appropriate technology and alternative products, as well as identifying appropriate supplier qualification criteria. A thorough market research, leading to identification and invitation of relevant suppliers, ensures maximized competition, by allowing the most relevant and suitable suppliers to compete. Market research leads to a better understanding of the market.

17、 招标

采购干事应确保招标文件创造一个公平的竞争环境，即所有潜在供应商应/将同时收到相同的信息，使他们能够准备标书；应制定可衡量的评估标准，使供应商有同样的机会获得合同；在联合国组织和选定供应商之间公平分配的商业风险；

最终合同的条款应该清楚地表达出来，以便供应商理解他们应该承诺的权利和义务。

Solicitation

Procurement officers should ensure that the solicitation documents create a level playing field, i. e., all potential suppliers should/are to receive the same information at the same time, to enable them to prepare their offers; measurable evaluation criteria that will allow suppliers the same chance of being awarded the contract should be developed; commercial risks fairly distributed between the UN organization and selected supplier; and the terms of the eventual contract should be clearly expressed so that suppliers understand the rights and obligations they will be expected to commit themselves to.

18、 接收和开封标书

在招标流程之后，标书由授权的工作人员接收、登记、存储、开封和移交。这一正式流程的目的是确保透明和保密。

Receipt and Opening of Offers

After the solicitation process, offers are received, registered, stored, opened, and handed over by authorized staff members. The purpose of this formal process is to ensure that transparency and confidentiality are maintained.

19、 评估

评估流程包括初步审查和评估所收到的标书，确定其一般和正式的有效性，评估对规范和需求的响应性及其遵从性，所有这些都都在招标文件中作了定义。评估流程分析每份标书的成本和收益，并确定每份标书的价格和价值。评估，以及招标文件中规定的需求定义，评估标准及方法，是随后选择为组织提供最高性价比的

标书的依据。

Evaluation

The evaluation process consists of the preliminary examination and evaluation of the offers received, establishment of their general and formal validity, and assessment of responsiveness to specifications and requirements and compliance therewith, all as defined in the solicitation document. The evaluation process analyses each offer's cost and benefit and determines the price and value of each. Evaluation, together with the requirement definition and the evaluation criteria and method specified in the solicitation document, are the basis for the subsequent selection of the offer that provides the best value for money for the organization.

20、 成立评估小组

对于接收的响应投标邀请函或征求建议书的标书，通常在采购干事监督和协调情况下进行评估，采购干事与评估小组一起进行评估。评估小组的任务是确保供应商及其标书符合招标文件的要求，并根据预先确定的评估标准评估标书。

Establishing the evaluation team

Evaluation of offers received in response to an ITB or RFP is usually overseen and coordinated by the procurement officer who conducts the evaluation together with an evaluation team. The task of the evaluation team is to ensure that the suppliers and their offers satisfy the requirements of the solicitation documents and to evaluate the offers according to the predefined evaluation criteria.

21、 合同授予审查和批准

合同授予审查是合同签订过程中的一个重要步骤。它对所开展采购流程的可接受性和准确性提供独立的书面意见，并由拥有适当授权的最高级别采购当局或干事

（授标机构）提议承付资金。授标是指在授标机构的权限内，在对采购流程进行独立审查的基础上，正式决定和批准与中标供应商订立合同，如服务合同或采购订单或长期协议。授标阶段标志着采购流程的成功结束，也是合同最终确定和执行的起点。

Contract Award Review and Approval

Contract award review is an essential step in the contracting process. It provides for independent written advice on the acceptability and accuracy of the procurement process undertaken, and the proposed commitment of funds by the highest-level procurement authority or officer with the appropriate delegated authority (awarding authority). Award is the formal decision and approval to establish a contract, e.g., services contract or purchase order, or an LTA, with a successful supplier, based on independent review of the procurement process within the limits of awarding authority. The award phase marks the successful conclusion of the procurement process and the starting point for contract finalization and execution.

22、 合同

除了低值采购外（不同组织限额不同），需要书面合同来正式确定义务。每个组织的财务条例和细则中通常会作出相应规定。合同是在“要约”和“接受”的基础上形成的，且对于联合国组织系统的采购而言是一份书面文件，包含联合国组织和供应商之间的协议、条款和条件，并作为义务的证明。联合国各组织之间常见的合同文书有采购订单、服务和工程合同、长期协议、系统合同、一揽子采购订单、租赁协议等。在联合国系统中，合同的基础是竞争性招标程序

Contract

A written contract is required to formalize an obligation, with the exception of low value purchases (thresholds vary among organizations).

This is usually stipulated in the FRR of each organization. A contract is formed on the basis of an “offer” and an “acceptance” and in the context of procurement in the UN system of organizations, is a written document, containing the agreement, and the terms and conditions, between the UN organization and the supplier, and which serves as proof of the obligation. Contractual instruments common among UN organizations are purchase orders, contracts for services and works, LTAs, system contracts, blanket purchase orders, lease agreements, etc. In the UN system contracts are based on competitive solicitation processes.