Responsible Procurement Code review - Auditor report

Organisation:	Auditee representative:
Name: University College London (UCL) Address 1: Bidborough House, 38-50 Bidborough Street City/Town: London County: London Post Code: WC1H 9BT Number of employees: *12,000*	Name: Alex Jones, John Feraday Job title: EHS Officer, Director of Procurement Department: UCL Estates, UCL Procurement Telephone: (Alex) 020 3108 9067 Email: alexander.jones@ucl.ac.uk,

Company profile/background information:

The UCL has campuses across the UK as well as in Qatar and Adelaide. The scope of this audit covers just the UK sites. Sustainability function is part of the department of estates. Alex's role is new and incorporates responsible procurement.
The procurement function is part of the department of finance. The purchasing function is devolved from procurement. All members of staff at the UCL can send out purchasing orders. Each faculty has its own budget. They receive centrally funded money in addition to research funded money. The latter is generally assigned to a specific person which makes it difficult for the procurement team to control purchasing from this budget. For purchasing, staff use an ORACLE ordering system which is underpinned by the e-market place, science warehouse. 10% of the purchasing goes through the latter.

The Procurement Team consists of 5 category managers and their assistants. The team focuses on tendering and frameworks. Following the recent TOPS (Transforming Our Professional Services) Programme review 5 new posts have been created in the Procurement Team. The TOPS review also recommended that purchasers in faculties be centralised into smaller teams
The UCL also works with SUPC and are an associate member of the LUPC. Members of the procurement team are active in a number of the SUPC and LUPC sustainable committees and working groups.

During the audit John Feraday, Director of Procurement informed that he will be retiring from his position at the end of January 2019. He will be replaced by Simon Hill from the SUPC.

Procurement structure:

Circa 12,000 staff and 40,000 students

Scope of the audit: Geography – all offices, All UCL's UK activities including: teaching, research, support, student accommodation. Excludes UCLU student's union. Scope the same as that for the UCL EcoCampus Environmental Sustainability Management System.

RPC
Responsible Procurement Code

RPC review, part 1:

Policy, Strategy and Communications

Q.1. Does your organisation have agreed overarching sustainability objectives and do they include responsible procurement?

☐	No objectives have been set.
☐	Our organisation has agreed on overarching sustainability objectives, but no objectives have been set in relation to responsible procurement.
☐	In addition to having agreed overarching sustainability objectives in place, we have linked them to responsible procurement. These are then communicated to staff, suppliers and other key stakeholders.
☒	As well as having agreed overarching sustainability objectives, including responsible procurement, that have been communicated to our staff, suppliers and other key stakeholders, the sustainability objectives fit with our corporate objectives.

Details:

UCL 2034 20-year strategy has sustainability embedded throughout. UCL's
Environmental Sustainability Policy 2018 – contains aims & objectives including the optimisation of sustainable procurement and is signed off by the President and Provost Professor Michael Arthur (5/05/2018).

UCL Environmental Sustainability Strategy 2013 - "*2.2 To enable, empower and support all UCL communities to address their environmental sustainability effects*" with a target of achieving Level 5 on the Flexible Framework by 2014
The Green UCL website communicates the policy and strategy to staff and links through to the procurement website.

Evidence reviewed:

UCL Environmental Sustainability Policy 2015 v5.0 (Version May 2015)
UCL 2034 Strategy
UCL 2034, A 20-year strategy for UCL, page 14: focus on sustainable procurement and minimisation of waste
Design UCLs Future – link to consultation strategy
Minutes General Lab equipment meeting 20 June 2018, Linda Tyrell attending. Included section on Sustainability and Ethical Standards Across the Supply Chain

Recommendations:

In the 2015 audit it was recommended that the sustainability objectives were made more concise. The auditor was pleased to see UCL are in the process of developing a new sustainability strategy. Staff and students have the opportunity to input through the consultation. There are several objectives and actions from the various policies and strategies that could require considerable time and resources to achieve e.g. reaching level 5 of the Flexible Framework by 2014

UCL also provided evidence that they are working closely and influencing the SUPC and LUPC on sustainable procurement. The procurement team evidenced their influence and Alex sits on the environment and sustainable group.

Anthesis

RPC
Responsible Procurement Code

Policy, Strategy and Communications

Q.2. Does your organisation have a responsible procurement policy?

☐	We do not have a policy in place specifically focusing on responsible procurement.
☒	Our organisation has a responsible procurement policy in place which is endorsed by a senior official within the organisation, such as the CEO, and, where appropriate, it is communicated to staff and suppliers.
☐	In addition to the above, our responsible procurement policy is continuously reviewed and enhanced by the procurement and supply chain teams.
☐	Our responsible procurement policy also covers the implications of the responsible procurement policy on the following: supply chain risk, process integration, marketing, supplier engagement, measurement, review process.

Details:

UCL does have a "Sustainable Procurement Policy". This is available on the UCL Sustainability internet pages. The policy was approved by the Procurement Strategy Committee in 2010. The policy is communicated to staff and suppliers informally.

The UCL Environmental Sustainability Procedure, 8.1.1.1 Responsible procurement is the procedure to support the ESMS and ensure that all procurement activities are undertaken at UCL in a way to minimise financial, ethical and environmental risks.

Evidence reviewed:

Sustainable Procurement Policy 2010 on the UCL Sustainability internet pages
UCL Environmental Sustainability Procedure, 8.1.1.1 Responsible procurement

Recommendations:

The "Sustainable Procurement Policy" should be reviewed and updated regularly. Ideally, the procurement and sustainability teams would participate in this process. Additionally, the policy should be formally endorsed by a senior official, as done with the "UCL Environmental Sustainability Policy".

In order to make sure, staff and suppliers are aware of the policy, it should be communicated to them once it has been reviewed and, if necessary, updated. With suppliers, this could be done as part of their contract, during the tender process or during meetings with UCL contract managers. The Green UCL website, for example, could be used to communicate the policy to staff

Anthesis

Policy, Strategy and Communications

Q.3. Does your organisation have a responsible procurement strategy?

☐	Our organisation does not have a responsible procurement strategy.
☒	Our organisation has a responsible procurement action plan or a responsible procurement strategy in place which is based on our responsible procurement policy.
☐	Additionally, our responsible procurement action plan / strategy has been endorsed by the CEO and has been communicated to staff and suppliers. The strategy is incorporated into our sustainable development / sustainability strategy.
☐	Further to the above, our responsible procurement action plan / strategy includes wider supply chain risks and links into our wider corporate and sustainability strategies.

Details:

UCL has embedded responsible procurement within its Procurement Strategy 2016 – 2020. Includes section 7. Delivering Responsible Procurement which includes key objectives and actions.

Under Mission Statement within the strategy – The procurement function will: - embed environmental, social and ethical considerations into our procurement processes as part of commitment to Responsible Procurement
4. Delivering modern and effective procurement solutions – objectives include: To consider the Whole Life Costs of procurement decisions, particularly the financial, environmental, social and ethical impact on our assessment of value for money and to raise awareness of sustainability within the supply chain and procurement cycle.
There is also links to the UCL 2034 strategy.

The links to the strategy is on the UCL sustainability internet pages – the link was not working.

Evidence reviewed:

Procurement Strategy 2016 – 2020 Version 1.6 November 2018

Recommendations:

The strategy should be endorsed at a senior level within UCL.

The strategy could also be promoted further on the UCL Policy & strategy and Responsible procurement internet pages.

Policy, Strategy and Communications

Q.4. How do you communicate and review your objectives, policies and strategies?

☐	We do not have a process in place to communicate or review our sustainability objectives, responsible procurement policy or strategy.
☐	We communicate our sustainability objectives, the procurement policy and strategy to all relevant stakeholders (i.e. Board / Management, suppliers, procurement and supply chain teams).
☒	We communicate our sustainability objectives, the procurement policy and strategy, as above, to the relevant stakeholders. Additionally, we have developed a communication plan to support it. Additionally, we gather feedback in order to keep improving communications.
☐	In addition to the above, key stakeholders, including the supply chain team, scrutinise the objectives, the policy and the strategy internally to inform management decision.

Details:

The UCL internet pages includes links to the policies and strategies and objectives. There are information pages on responsible procurement and tools and resources for suppliers. There is also information for UCL stakeholders on the green UCL pages. The Procurement and purchasing provide information on eco-labels, procurement training, stationery and white goods purchasing.
The Green Impact scheme is used to communicate the objectives and strategy within UCL departments and students (environmental competition and accreditation scheme that allows departments and divisions across the university to improve their environmental impact).
Suppliers are informed of the strategy and objectives through the Net Positive scheme. Key suppliers have also been sent the procurement strategy.
The UCL Procurement Communication Plan includes communicating the sustainability objectives under the 'Development and improvement of internal and external relationships' section.

Evidence reviewed:

Green Impact pages on the UCL website
Green Impact NUS work book
Supplier engagement pages on the UCL website
UCL Communication Plan

Recommendations:

The Green Impact scheme is a great way for departments and students to understand the sustainable influence that they can have when they make purchases and how this links to the overarching objectives and strategies.

As mentioned in question 1 the auditor is pleased to see that the sustainability strategy is being revised and the number of objectives are being reduced. During the next audit the auditor would like to see how the revised strategy has been communicated along with the new objectives to staff, students, suppliers and other stakeholders. Also, how the objectives have been applied so they are relevant for staff and students in their day to day activities. The key procurement contacts in each department will be one of the key factors in this process.

The auditor would also like to see how the objectives, policies and strategies do inform management decision.

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People and Leadership

Q.5. Have you identified a responsible procurement champion in your organisation?

☐	We have not identified a responsible procurement champion.
☐	Our responsible procurement champion is placed at senior management level within the organisation to inform management decision.
☐	Our responsible procurement champion is placed at senior management level within the organisation to inform management decision and influences procurement processes and best practice as well as policy development in this area.
☒	Additionally, the role of the responsible procurement champion is part of this person's job description.

Details:

The Director of Procurement, John Feraday acts as the responsible procurement champion. He influences procurement processes and best practice by communicating with contract managers and tries to streamline the ordering process to improve visibility in the procurement function. John reports to the Finance Director who has a direct link with the UCL Board.

Since the last RPC audit Alex Jones has been appointed. Alex has been working with John and the procurement team since March 2017 to implement responsible procurement. The UCL Sustainability Director reports to Fiona Ryland (Chief operating Officer) who sits on the UCL Board.

As mentioned previously, John will be retiring in the end of January 2019. Simon Hill from the SUPC will be taking over from John and the responsible procurement responsibilities should be passed over and included within his JD.

Evidence reviewed:

E-mail "Sentence for website": "[…] As the UCL Director of Procurement, I am happy to champion our commitment to ensuring that the goods and services we purchase, provide long term value for money to UCL and are manufactured, delivered consumed and disposed of in an environmentally and socially responsible manner. […']

Alex Jones JD – includes responsible procurement responsibilities

Recommendations:

None

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People and Leadership

Q.6. Have staff received responsible procurement training?

	☐	None of our staff have received responsible procurement training. OR Some staff have received training a few years ago.
	☒	Key procurement and supply chain staff have recently (up to 18 months ago) received training in responsible procurement principles.
	☐	Our procurement and supply chain staff as well as employees of the wider team (i.e. carrying out day-to-day purchasing processes, liaising with suppliers etc.) have recently (up to 18 months ago) received training in this area.
	☐	A training plan has been put in place, including responsible procurement training for our procurement and supply chain staff.

Details:

The 2017-18 training plan focuses on 3 key areas – modern slavery, IR35 and diversity & inclusivity.
Evidence of staff training was provided – training to key purchasers on the 7 March 2018. The slides indicate a good coverage of sustainability including circular economy, warpit, whole life costing and Fairtrade
The UCL Procurement communications plan mentioned in question 5 details the training planned for staff and key staff buyers
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Evidence reviewed:

Email from John Feraday booking in training 7 March 2018
Training plan 2017-18

Recommendations:

During the audit it was clear that training is a focus area for UCL. For the next audit the auditor would like to see a formal training plan in place covering the procurement team, key purchasers, departmental procurement leads, all staff, students and suppliers and the frequency and types of training provided. Induction and refresher training should also be included within the plan.
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Responsible Procurement Code

People and Leadership

Q.7. Do you make staff aware of responsible procurement and supply chain management during the induction process?

☐	Sustainability is not included within the induction process
☐	Sustainability is part of the induction.
☒	In addition to covering sustainability generally, responsible procurement is also part of the induction but not in detail.
☐	Responsible procurement and wider sustainable supply chain management concepts are part of the induction process. It includes information on the basic principles (What? / Why? / How?).

Details:

As part of the induction and probation process, new employees are required to complete a variety of mandatory training. One of them being the e-learning module "Green Awareness UCL" which is on the UCL's moodle pages.

Records are available to review who has completed the training, but participation is not enforced.

Evidence reviewed:

"induction-probation" policy
Induction slides – introduction to environmental sustainability at UCL, resources and you, waste hierarchy
Staff induction pack provided – includes information on the green impact scheme

Recommendations:

The green awareness training, which is meant to be mandatory for all staff should be enforced. An option could be to make sure employees who are going to use the ordering system have completed the e-learning module.

The next step would be to incorporate a "refresher" function to remind staff of responsible procurement principles and requirements when using the ordering system.
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Anthesis

People and Leadership

Q.8. How do you share your knowledge on responsible procurement and supply chain management?

☐	We do not share our knowledge in this area.
☐	We publicise achievements on responsible procurement and / or supply chain management through, for example: our website, social media networks, internal newsletter or magazines.
☐	We participate in external award schemes for responsible procurement / supply chain management.
☒	We publish case studies showcasing our responsible procurement / supply chain achievements and efforts.

Details:

During the audit UCL demonstrated a number of impressive case studies demonstrating their knowledge sharing. These include a number of awards (Camden Business Sustainability Awards, Camden Business Awards)
Case studies are shown on the UCL internet including the EPEAT gold rated procurement of ISD's laptops, desktops and monitors. The use of Warp-it, the reuse platform
The SUPC and LUPC are also used to exchange responsible procurement knowledge. The procurement and sustainability team sit on working groups and attend conferences.

Evidence reviewed:

Camden Climate Change Alliance website – UCL winners of Outstanding Contribution to Environmental Sustainability
Camden Business Sustainability Awards
UCL website pages promoting Outstanding Contribution to Environmental Sustainability award
UCL website – Warp-it and EPEAT ratings

Recommendations:

From the audit it is clear that the UCL have implemented some impressive responsible procurement initiatives and have produced case studies and entered for awards.

It is recommended that the UCL develop case studies highlighting the achievements made by departments participating in the green impact awards. Focus on responsible procurement achievements could encourage other departments to see the financial and sustainability benefits of taking part and implementing other responsible procurement initiatives.

UCL should also look into other procurement awards to showcase their achievements.

The case studies and awards can then be shared with the supply chain to inspire innovations and encourage responsible procurement.

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Procurement Process

Q.9. Have you analysed your expenditure?

☐	We have not carried out an expenditure analysis.
☐	We can break down our expenditure by sector / supplier / product type etc. if necessary.
☐	We break down our expenditure into further detail than mentioned above (i.e. by sector / supplier / product type / commodity) and analyse our spend categories (goods and services). An analysis can focus on, for example, economic, financial or sustainability impacts on your business operations, reputation or shareholder value etc.
☒	We carry out an expenditure analysis, as described above, on an annual basis.

Details:

The raw data that the annual expenditure analysis is based on can be broken down into category areas, suppliers, products and by user (school / faculty / department).

Each year the Sustainability and procurement teams use the spend data to undertake a prioritisation exercise using the Defra Prioritisation tool. The findings from this were shared with the procurement and sustainability teams in a workshop.

Spend data by supplier is sent to SUPC for the calculations of scope 3 emissions. This is calculated using the HESCET tool.

Evidence reviewed:

Prioritisation Exercise 2018 xls
Defra prioritisation exercise presentation
8.1.1.1 Responsible Procurement v2.0 22.06.2018
UCL 2013-14 Spend Sent to SUPC: Spend information by supplier used to calculate scope 3 emissions

Recommendations:

In addition or as replacement for some of the information provided in the annual report, it might be useful to provide departments / faculties / schools with a breakdown of their spend by category and / or supplier. This would make the expenditure information more tangible for the reader. Along with this information should be the findings from the prioritisation exercise and how departments could reduce their impacts.

The prioritisation workshop could become an annual event and participation encouraged from key procurement staff in all departments and key suppliers. This could also form part of an important responsible procurement training element involving various stakeholders.

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Procurement Process

Q.10. Have you identified your organisation's sustainability impacts from procurement and supply chain management?

☐	We have not carried out a sustainability impact assessment of our procurement and supply chain activities.
☐	We have carried out a sustainability impact assessment of our procurement and supply chain activities.
☒	Carrying out the sustainability impact assessment as mentioned above we have included: the evaluation of products and services; the evaluation of key supply chain activities, such as delivery methods, manufacturing, compliance with international law (e.g. human rights).
☐	Using the sustainability impact assessment as described above, we manage the impacts through continuous evaluation and monitoring along all stages of the procurement process. This also includes assessing how procurement decisions affect other business areas and supply chain stakeholders (tier 1-3 suppliers as well as customer to end-of-life).

Details:

At a strategic level the DEFRA prioritisation tool is used to identify the sustainability impacts for key spend categories. The risk categories have been identified according to what UCL has influence over. These are ranked according to set sustainability risk categories and the level of influence on these categories to manage the impacts. As from the previous audit the categories, such as "Miscellaneous" and "Non influenceable spend" make it difficult to analyse the risk attributed to them.
Impact analysis is conducted by the sustainability and procurement teams and contract managers at a tender and purchase level.
There is a clear process in place with guidance notes, templates and presentations available.

Evidence reviewed:

Defra Prioritisation Exercise
Identifying opportunities template
Impact analysis guide and presentation
Completed impact analysis for couriers and managed print

Recommendations:

The implementation of the impacts analysis process shows good progress. The next step is to use the findings from this and the Defra prioritisation exercise to monitor and reduce the risks identified. The findings should be linked to the mandatory sustainability requirements in the tender process and KPIs – see next question 11
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Responsible Procurement Code

Procurement Process

Q.11. To what extent do you consider sustainability in contracts?

☐	We consider the best price as the main decision criterion in the procurement process.
☐	We have identified minimum sustainability criteria for products and services we buy.
☒	In addition to the above, sustainability is considered during the tender process but does not form part of the evaluation criteria. A supplier can therefore be awarded a contract regardless of their sustainability performance. We work with suppliers on improving their sustainability after they have been awarded the contract.
☐	Further to the above, we set targets with our suppliers to improve their sustainability performance. This includes a consideration of the wider supply chain (i.e. tier 2 suppliers, Original Equipment Manufacturers (OEMs)).

Details:

Significant progress has been made since the last RPC audit and UCL now have a process in place in which sustainability is considered in all Estates team tenders. It is now a mandatory requirements for all PQQs and ITTs to have a sustainability section. KPIs are not included in all contracts however all estate contracts must be considered for KPIs.

There are some good contract examples where sustainability has been considered including the catering contract (Sodexo) and the furniture tender. Discussions with the Furniture procurement manager also provided evidence of good examples of supplier engagement before and during the tender process to help influence the sustainability requirements in the contract including supplier workshops open to students and staff.

There was also evidence that engagement with suppliers on sustainable matters, post contract award, was happening and suppliers are providing suggestions of how they can improve their performance.

Evidence reviewed:

Furniture tender documents. Appendix A specifications – includes environmental disposal methods, environmental product declarations, packaging minimisation
Framework services agreement – no KPIs and limited sustainability requirements
Sodexo November 2018 sustainability report

Recommendations:

The catering contract with Sodexo was evidence of a good partnership relationship between client and contractor, with a good understanding and implementation of sustainability requirements in the contract. This contract should be used as a best practice case study for the other estate contracts.

Further work is needed to implement KPIs within other contracts and to monitor performance against these. During the audit it was discussed how these KPIs should be included within the procurement team meetings to allow open discussions on supplier performance. KPIs should also form part of a supplier contract meeting agenda.

Anthesis

Supply Chain Engagement

Q.12. How do you communicate with your suppliers on responsible procurement and supply chain management?

☐	We communicate 'passively' / '1 way' with our suppliers regarding responsible procurement.
☐	We have identified our key suppliers and engage with them through two-way communication.
☒	We develop relationships with our tier 1 and 2 suppliers and maintain regular communication on responsible procurement.
☐	Our bilateral communication with suppliers across the supply chain (i.e. tier 1-3) is based on a partnership approach (i.e. two-way communication and incentive building).

Details:

Since the last audit UCL use the NetPositive supplier engagement tool. 1,070 suppliers have signed up to the tool – these are mainly tier 1 key suppliers. Responses to sustainability questions can be monitored and performance monitored.
UCL also hold supplier workshops (see question 11).

As detailed in question 11 there are some good examples of supplier engagement but this does not appear to be across all contracts.

Evidence reviewed:

Net Positive supplier engagement tool – UCL website pages
Office depot – contract manager provided evidence of good engagement with the supplier
Sodexo agenda 21 August 2018 and 14 November 2018 minutes

Recommendations:

Responsible procurement principles or sustainability related performance should be communicated to suppliers on a regular basis during catch-up meetings, for example. This should be formalised with use of a standard contract update meeting agenda which should include reporting on KPIs and developing case studies (where relevant)

The use of NetPositive is a great step forward. The auditor would like to see increased use of this tool to engage tier 1 and 2 suppliers and encourage sustainable performance.

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Supply Chain Engagement

Q.13. How do you engage your key suppliers?

☐	We have not identified our key suppliers.
☐	We have identified our key suppliers. We gather their feedback on our sustainability objectives, the responsible procurement policy and/or strategy.
☒	In addition to the above, we have developed a general supplier engagement programme with senior management by-in.
☐	In addition to the above, our supplier engagement programme aims at continuously improving sustainability along our supply chain through voluntary workshops and meetings or learning from suppliers etc.

Details:

UCL has identified its key suppliers. As mentioned in question 12 the UCL use the NetPositive tool as their key method of engaging with key suppliers. The tool is free to suppliers. It will be mandatory for all new suppliers to sign up to NetPositive.

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Evidence reviewed:

NetPositive tool information from the UCL web pages .

Recommendations:

It is clear that UCL intend to expand the use and functions of the NetPositive tool. This should include feedback from suppliers on the new sustainability strategy and how they can support the objectives.
The on-going supplier meetings should be formalised to include KPI performance and suggestions to improve sustainability performance of the contract.

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Measurement and Progress

Q.14. What do you measure in terms of your performance in responsible procurement and supply chain management?

☐	We do not measure our performance in this area. OR We measure the sustainability impacts of our business as a whole (i.e. not specifically of procurement / supply chain management).
☒	We have identified the key sustainability impacts of our procurement and supply chain functions through the monitoring of KPIs.
☐	We have carried out a detailed sustainability impacts assessment of our procurement and supply chain functions and manage the high risk impact areas (i.e. through KPIs).
☐	In addition to the above, we measure the outcomes and benefits of responsible procurement and supply chain management, e.g. the tonnes of CO_2 emissions saved, local employment, tonnes of waste diverted from landfill, water & energy savings, labour standards etc.

Details:

At a strategic level the EMS includes environmental impacts from procurement. As mentioned in previous questions some key contracts (catering and stationery) include sustainability monitoring however this is not uniform. The estates team does plan to include sustainability KPIs within all new contracts.
The Defra prioritisation is used to measure the sustainability impacts from the procurement activities.
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Evidence reviewed:

6.1.2.2 UCL Wide Aspects and Impacts Register - 04_06_2018 - Uploaded to Moodle
6.1.1.1 ESMS Risk Register- 19_06_2018 - Uploaded to Moodle

Recommendations:

A clear definition of the KPIs and how these can be achieved will help to identify how these can be incorporated in supplier contracts and / or post contract award supplier management. This will support the measurement of the UCL's performance in sustainable procurement and supply chain management.

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Measurement and Progress

Q.15. Do you compare your organisation's responsible procurement performance in this area with others?

☐	We do not currently benchmark our responsible procurement performance against peer organisations.
☐	We benchmark our responsible procurement performance against peer organisations.
☒	We use the benchmarking to establish good practice and areas for improvement.
☐	Senior management are informed and act on the benchmarking research, the good practice and areas for improvement.

Details:

UCL compare their responsible procurement performance against other universities by providing data into the estate management record which is managed by HESA. UCL participate in the People & Planet Green League which looks at a variety of environmental performance indicators.

Following the benchmarking UCL have introduced the Fairtrade University Accreditation.

Evidence reviewed:

HESA Scope 3 supply chain 2016 17
People and planet internet pages

Recommendations:

Progress has been made by UCL in regards benchmarking performance. Further work can be undertaken to review best practice, identify learnings and opportunities for UCL.

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Appendix 1

Details:
N/A

Further comments to part 1

Additional findings and recommendations:
The sustainability and procurement teams have made good progress with influencing responsible procurement outside of the contracts managed within estates, noticeably through training, information and guidance materials. There is still a lot of work to be undertaken but the teams should be commended on their efforts so far. The new sustainability strategy should include objectives around influencing all UCL purchasers.

RPC
Responsible Procurement Code

RPC review, part 2:

Step 1. What is your organisation's total annual procurement spend (including HR & financial services etc.)?

Total spend (excluding VAT)	£ 555,334,205

Purchasing categories and risks

Are any of the categories provided in the top 6 spend categories?

None of the spend categories provided form part of the top 6 spend categories..

What are the top 6 spend categories?

Other Public Bodies, Estates, Laboratories, Professional Services, Computing, Energy & Water

	Step 2: Category type	Step 3: Total spend per annum	Step 4: Environmental Risk (H,M,L)	Step 5: Socio-economic Risk	Sustainability Risk (H,M,L)	Notes
1	Catering	£2,693,7200.0	HIGH	HIGH	HIGH	
2	Furniture	£5,528,411.00	HIGH	HIGH	HIGH	
3	Cleaning	£255,385.00	LOW	MEDIUM	LOW	
4	Office Suppliers	£1,366,921.00	LOW	MEDIUM	LOW	
5	Safety & security	£8,876,288.00	LOW	MEDIUM	Low	
6	IT	£33,932,768.0	HIGH	HIGH	HIGH	

What was the process for assessing the risks?

The risk of the spend categories is assed using the DEFRA prioritisation tool.

Comments and Recommendations

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Responsible spend

Category 1: Contract purchase details

Category type:	Catering
Contract spend (excl VAT)	£2,693,720.00
Contract supplier:	Sodexo
Type of product or service:	Catering
Share of contract vs. category spend %	90%

Environmental / socio-economic benefits:

Sustainability criteria in the tender. see tender 2.3.10.   Use of Waste watch powered by LeanPath waste tracking system.

Food for Life Silver award achieved.   Recycling of packaging etc   Use of SME sub-contractors

Payment of London Living Wage rate (LLWr) to all staff   MSC fish purchased and promoted Increase in Fairtrade sales. Following UCL's sustainable food policy: -reducing meat consumption, -promoting flexitarian diet, -free range eggs, -MSC fish

Environmental / socio-economic evidence reviewed:

See ITT documents from tender.   See example monthly reports for progress against environmental plan and KPI monitoring.

see KPI monitoring screen grab.   See Msc certification for responsible sourcing.   See sustainable Food policy which Sodexo reports against. See the current policy, and the revised 2019 policy which Sodexo are feeding into.

See all sustainability meetings with Sodexo-excellent example of contract management   see Food for Life Accreditation

See Sodexo Procurement Policy

Supplier selection process
Has sustainability been included in the supplier selection process for this contract?

☒ Yes

☐ No

Continuous improvement
Is the organisation actively working with the current supplier to improve sustainability for this contract?

☒ Yes

☐ No

Further comments:

The Sodexo contract should be used as a best practice example for all contracts at UCL. .

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Category 2: Contract purchase details

Category type:	Furniture
Contract spend (excl VAT)	£5,528,411.00
Contract supplier:	7 suppliers
Type of product or service:	Furniture Provision and after sales services
Share of contract vs. category spend %	82%

Environmental / socio-economic benefits:

Suppliers are all required to offer a reuse and refurbishment scheme, so UCL can use second hand furniture and avoid buying new

Ergonomic and specialist accessibility furniture provision means staff have better welfare of correct equipment for their workstations

Environmental / socio-economic evidence reviewed:

ITT with sustainability questions 3a+3b on page 16+) which included question for take back and refurbishment scheme.

see JPA Framework Agreement specification (same for all other suppliers)

See presentation of supplier Premier Sustain on the work they carried out for UCL.

Supplier selection process
Has sustainability been included in the supplier selection process for this contract?

☒ Yes

☐ No

Continuous improvement
Is the organisation actively working with the current supplier to improve sustainability for this contract?

☒ Yes

☐ No

Further comments:

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Anthesis

Category 3: Contract purchase details

Category type:	Cleaning
Contract spend (excl VAT)	255,385.00
Contract supplier:	Sodexo
Type of product or service:	Soft services)
Share of contract vs. category spend %	Unknown

Environmental / socio-economic benefits:

WAS AWARDED 2018/19 NO SPEND DATA.   reduction: water pollution.   reduction: land Pollution

promotion: fair employment,

Environmental / socio-economic evidence reviewed:

ITT with sustainability question

See specification. This requires supplier to use paper and chemical products which comply with Government Sustainability Buying Standards. Also supplier must use sustainable compost and bedding which is peat free

Use of pesticides, chemical weed killers and artificial fertilisers shall be minimised

Supplier selection process
Has sustainability been included in the supplier selection process for this contract?

☒ Yes

☐ No

Continuous improvement
Is the organisation actively working with the current supplier to improve sustainability for this contract?

☒ Yes

☐ No

Further comments:

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Category 4: Contract purchase details

Category type:	Office Suppliers
Contract spend (excl VAT)	£1,366,921.00
Contract supplier:	Office Depot
Type of product or service:	Stationary
Share of contract vs. category spend %	75%

Environmental / socio-economic benefits:

Sustainability in SUPC Framework Tender. The stationary catalogue contains entries which have an environmental/social benefit. Typically these items contain recycled content or are responsibly sourced. The catalogue also promotes Fairtrade products

Office Depot generate review reports which highlight spend on environmental/social products. This also shows opportunities to discontinue not sustainable items where sustainable alternatives are available. Office Depot and UCL developed a project to calculate costs and co2 from their current delivery model, and ways of reducing deliveries.

Environmental / socio-economic evidence reviewed:

See SUPC Tender guide which specified 10% weighting for Sustainability and Ethical Standards across the supply chain.

In folder "qr_all_awarded_suppliers_2019_01_10_122320" see the response from Office Depot on Questions. See folder "tender documents" and file "Appendix B" to see the questions.

See consolidation report showing plan to reduce deliveries. See report showing catalogue for items which have environmental/social benefit and spend data/trends. Office Depot support UCL in promoting sales of sustainable items. See the presentation for sustainable alternatives to plastic servewere. This was raised a contract meeting, see the agenda for this. These have been aded to our shop, replacing plastic alternatives

Supplier selection process
Has sustainability been included in the supplier selection process for this contract?

☒ Yes

☐ No

Continuous improvement
Is the organisation actively working with the current supplier to improve sustainability for this contract?

☒ Yes

☐ No

Further comments:

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Category 5: Contract purchase details

Category type:	IT
Contract spend (excl VAT)	£33,932,768.00
Contract supplier:	8 suppliers
Type of product or service:	IT Hardware
Share of contract vs. category spend %	16%

Environmental / socio-economic benefits:

Only buy most energy efficient equipment, as defined by Energy Star and EPEAT ratings

EPEAT criteria assess models on whole life cycle, from factory conditions, energy use, refurbishment, and recyclability

Environmental / socio-economic evidence reviewed:

See EPEAT Criteria.   See EPEAT information.

See list of UCL standard hardware purchased 2017/18 As chosen by UCL Information Service Department. These are the only items UCL staff can have. They are highest EPEAT rating

See sustainability benefits, written by suppliers in folder "Supplier Sustainability Benefits" part of the tender process

Supplier selection process
Has sustainability been included in the supplier selection process for this contract?

☒ Yes

☐ No

Continuous improvement
Is the organisation actively working with the current supplier to improve sustainability for this contract?

☐ Yes

☒ No

Further comments:

No evidence was provided to demonstrate continuous improvement.

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Further comments for part 2

Additional findings and recommendations:

The UCL should harness the best practice in place with some of its suppliers, such as Sodexo, to inform ITTs and contracts with suppliers, as well as contract management to go forward.

The following should be harmonised across the supplier base:
- Setting of sustainability targets with the supplier that feed in to the UCL's objectives
- Collection of data with the help of the supplier to monitor and measure progress against the targets
- Regular communication with the suppliers.

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Responsible Procurement Code review - Auditor report

Audit date:
25 January 2019

Audited achievement	
Overall	**GOLD**

Part 1	*GOLD*
Policy, Strategy and Communication	*67%*
People	*81%*
Procurement Process	*80%*
Supply Chain	*75%*
Measurement	*63%*

Part 2	*GOLD*

Auditor	Signature
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