RPC
Responsible Procurement Code

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 Job title: EHS Officer Department: UCL Estates 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.
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. Alex's EHS Officer role incorporates responsible procurement within its remit.

UCL also works with SUPC and are an associate member of the LUPC. Members of the procurement team are active in the SUPC and LUPC sustainable committees and working groups.

Procurement structure:

Circa 12,000 staff and 42,000 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.

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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:

The 'Sustainable UCL 2019-2024' Sustainability Strategy was launched in November 2019. Procurement is embedded throughout the strategy however "The Loop" campaign is the key focus for resource use, consumption and supply chains, and can be considered UCL's ambitions for responsible procurement.

The Loop has two key goals 1. Choose the best products for people and planet   2. Reduce our waste by 20% Per Person by 2024
Each of these goals has a set of commitments and actions and KPIs.
UCLs EMS incorporates all of the Loops KPIs and is used to monitor and measure.

Evidence reviewed:

UCL 2034 Strategy 'Sustainable UCL 2019-2024'   Link here
EMS matrix of objectives commitments and targets
Goals spreadsheet – The Loop Goals, Commitments and KPIs

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Recommendations:

None

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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 here. The policy was approved by the Procurement Strategy Committee in 2010.

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.

The Procurement Team are in the process of writing a new Sustainable Procurement Policy 2021. In the policy it is made clear that UCL does not procure under the public procurement regime. The draft policy sets out clear procedures and requirements for buyers including a matrix of risk/complexity, value for money and contract management, reference to NETpositive to manage suppliers.

Evidence reviewed:

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

Recommendations:

The draft 2021 Sustainable Procurement Policy sets out clearly the process that should be taken when purchasing goods and services. It is recommended that the policy includes how the buyer's decisions impact The Loops KPIs, how they will be measured and reviewed and how their decisions ultimately impact the University's sustainability performance.

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 through NETpositive, as part of their contract, during the tender process or during meetings with UCL contract managers.

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:

The Loop Campaign and the Procurement Business Plan combine to form a strategy for UCL. The Sustainability strategy and the Loop campaign were launched in 2019. This included workshops and a main launch event attended by academics and students. The strategy is available on the UCL website. The strategy has been approved by the Provost and UCL Council.
The "Change Possible" Strategy 2019-2024 for UCL sets out the three founding principles and the vision for sustainable UCL. The Loop is the key principle for sustainable procurement. The priority actions are: Achieve Platinum certification in the Responsible Procurement Code, continue to engage with our top 500 suppliers, all major suppliers within high-risk categories are signed up, Modern Slavery audits of major suppliers in high risk categories, work with our suppliers with the aim of introducing sustainability ratings for products on the e-market place and canteens
The business plan sets out how Procurement will embed sustainability into their operations.   .

Evidence reviewed:

change_possible._the_strategy_for_a_sustainable_ucl_2019-2024
2020_01_14 Sustainability Work Schedule ALL 2019 2020
2020_02_11 Strategy implementation plan.

Recommendations:

For the next audit the auditor would like to see how the Procurement Business Plan has been used to embed sustainable procurement within the team and how it will be used to help achieve the Sustainability strategy.

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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 Sustainability Strategy and the Loop Campaign have been well communicated since launching in 2019. UCL has utilised its website, undertaken Loop workshops with buyers, used the Green Impact Scheme to engage Green Champions, newsletters.
The Procurement team have been engaged through lunch and learn sessions, contact with Alex Jones.
Ian Galloway has been engaging senior academic members through weekly meetings to discuss procurement practices and a monthly dashboard is provided showing spend and sustainability. Faculties have been invited to the procurement workshops (CAM, Estates, IT, Telecoms and travel).
Hannah Biggs, Sustainability Projects Lead has strengthened the communication ability of the Procurement Team.
Suppliers are informed of the strategy and objectives through the website, NETPositive and workshops.
The UCL Procurement Communication Plan includes communicating the procurement objectives.

Evidence reviewed:

Green Impact tools
Planning round communications to Faculties
UCL Communication Plan
Sharepoint pages for staff

Recommendations:

The auditor was pleased to see the steps taken to engage Faculties and academic members on sustainability and procurement. Further work is required to ensure that all buyers within all faculties are aware of the positive impacts that they can make by procuring sustainably. This could include compulsory attendance at workshops or workshops or training sessions run for each Faculty.

The engagement of suppliers should be improved. Good work has been done informing and engaging key suppliers e.g. catering, furniture but further work is needed to inform more suppliers on the strategy and to involve them in meeting the goals. .

In the next audit the auditor would 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:

Alex Jones, EHS Officer is the identified responsible procurement champion at UCL. Although Alex clearly has responsible procurement within his job description and has time fixed to support the Procurement team the UCL champion should ideally be a senior team member within the Procurement Team.

Evidence reviewed:

Alex Jones JD

Recommendations:

The responsible procurement champion should be senior management within the Procurement Team to ensure leadership commitment and to inform management decisions.

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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 Procurement Team have received training through lunch and learn sessions.
A list of free sustainable procurement training is available to on the UCL website

Alex Jones attended training on Sustainable Procurement, led my NetPositive in Feb 2020

Evidence reviewed:

Lunch and learning slides – Netpositive and RPC
Green Impact training

Recommendations:

A key part of the Procurement Business Plan should be to ensure all Procurement staff are formally trained on sustainable procurement. A formal training plan should be created 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.

The Warp IT reuse platform should be utilised more by UCL. This would require improved communication and guidance on its use. Particular categories e.g. lab equipment, consumables, chemicals, furniture and particular faculties could be targeted to maximise reuse of products.

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:

All new UCL starters are required to complete some mandatory training modules including 'Change possible: Be part of a sustainable UCL' which includes information on the Loop and procurement processes.

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

There are no UCL responsible procurement training modules.

Evidence reviewed:

"induction-probation" policy
Induction slides – introduction to environmental sustainability at UCL, resources and you, waste hierarchy

Recommendations:

Consideration should be given to the development of a UCL responsible procurement module. An option could be to make sure employees who are going to use the ordering system have completed the 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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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:

UCL demonstrated communications to staff and students including its bespoke procure sustainably web pages.
The new supplier collaboration case studies are a great addition to the communications and highlight key achievements made.

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)
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Evidence reviewed:

Resources available to staff to help them procure sustainably - https://www.ucl.ac.uk/sustainable/staff/loop-resources/reusing
The work UCL does - https://www.ucl.ac.uk/sustainable/get-involved/procurement
Supplier collaboration case studies - https://www.ucl.ac.uk/sustainable/supplier-collaboration
Awards – Fairtrade University awards, Uswitch University Renewable Energy Report 2020,

Recommendations:

The supplier case studies should be used as key tools to engage existing and new suppliers to promote and encourage responsible procurement practices.

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.

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:

Ian Galloway has undertaken a detailed spend analysis including data for all the faculties. A dashboard has been created that is shared with the faculties.

Each year the Sustainability team 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 2018-2019 xls
Defra prioritisation exercise presentation
8.1.1.1 Responsible Procurement v2.0 22.06.2018
UCL 2018-19 Spend Sent to SUPC: Spend information by supplier used to calculate scope 3 emissions

Recommendations:

None

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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.

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.

Modern Slavery action plans have been created for procurement categories. These are reviewed annually.

Evidence reviewed:

Defra Prioritisation Exercise
Identifying opportunities template
Impact analysis guide and presentation
Completed impact analysis for couriers and managed print
Modern Slavery 2020 action plan

Recommendations:

The new Procurement Business Plan should include how the findings from the Impact analysis and the Defra prioritisation exercise should be used 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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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:

UCL has a process in place in which sustainability is considered in all stock PQQs and ITTs – each now has a sustainability section. The impact analysis process and engagement with the Sustainability Team allows for additional sustainability questions to be added into the tender documents.
Due to devolved control over contracts KPIs are not included in all contracts – only for large contracts.

There are some good contract examples where sustainability has been considered including the catering contract (CH&Co) 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. This was only for the key contracts e.g. Furniture, catering .

Evidence reviewed:

Stock tender documents
Furniture tender documents. Appendix A specifications – includes environmental disposal methods, environmental product declarations, packaging minimisation
.

Recommendations:

Further work is needed to implement KPIs within other contracts and to monitor performance against 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.

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 in 2019 UCL has signed up an additional 500 suppliers to the NetPositive supplier engagement tool – now at 1,500 suppliers. These are mainly tier 1 key suppliers. Responses to sustainability questions can be monitored and performance monitored. An action plan is also generated for suppliers
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.

The new catering contract awarded to CH&Co includes sustainability meetings and the appointment of a sustainability contract manager which is great progress. .

Evidence reviewed:

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

Recommendations:

It was good to see more suppliers being signed up to Netpositive. This sign up process needs to be enhanced to cover all tier 1 suppliers and any high risk suppliers identified through the risk priortisation exercise. The tool also needs updating to make it more user friendly and the outputs including the action plans need to be used in the contract management process.

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)

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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. 'Key Suppliers Master 2021' spreadsheet. Suppliers are listed against whether they are on Netpositive, Sedex member, Modern Day Slavery Statements, Sustainability Meetings. The plan is to add KPIs and monitor these. The tool has been used to engage suppliers on Modern Slavery.

UCL use the NetPositive tool as their key method of engaging with key suppliers. The tool is free to suppliers. It is now mandatory for all new suppliers to sign up to NetPositive.

Suppliers were also engaged as part of the Loop launch campaign – invited to workshops to inform the sustainability strategy.

UCL can also demonstrate great examples of supplier engagement with its previous catering contractor Sodexo and Stationery contractor Banner, Merchandise/Allwag, Mobile handsets/Abzorb, IT hardware/Insight Direct.

Evidence reviewed:

NetPositive tool information from the UCL web pages
Catering food working group
 Mobile absorb .

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:

The Loop has now generated some responsible procurement KPIs including Nos of responsible suppliers, Specify products with the highest environmental and wellbeing standards, % of contracted suppliers offering sustainability products/services. Number of types of single use plastic items removed.

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 Defra prioritisation is used to measure the sustainability impacts from the procurement activities.

Evidence reviewed:

The Loop KPIs
UCL KPIs catering – includes single use plastic, food waste reductions, removal of disposables

Recommendations:

The Loop campaign and associated KPIs now provides a platform to encourage and improve responsible procurement practices and their measurement in all contracts.

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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. In 2020 UCL have been accredited at 1 star as a Fairtrade University.

UCL have submitted a self-assessment tool provided by EAUC to measure and compare sustainability including a section on procurement.

Evidence reviewed:

HESA Scope 3 supply chain 2018 19

Recommendations:

Further work can be undertaken to review best practice, identify learnings and opportunities for UCL, and gain senior management support for additional action..

Social Sustainability

Details:

UCL have in place policies that incorporate human rights and labour issues – human resources policies, market pay policies, Prevention of Bullying, Harassment and Sexual Misconduct Policy, Safeguarding Children and Adults at Risk Policy, Procurement Strategy (.PDF) and Purchasing Procedures/Policies, Fairtrade policy.

UCL Modern slavery statement – reviewed each year https://www.ucl.ac.uk/procurement/suppliers/slavery-stmt

Plans are in place to RAG rate suppliers based on their risk. This needs to be a priority area for UCL.

The Defra priortisation tool is used to assess social risks linked to the ETI base code. The plan is to undertake a more detailed assessment.

UCL have looked a joining Sedex and/or Slave Free Alliance as potential 3rd party organisations to support UCL to have better control and understanding of supply chains.

Further comments to part 1

Additional findings and recommendations:

Many of the actions and responsibilities delivered by the Sustainability Team need to be embedded within Procurement processes and duties. This will enhance progress and ensure sustainability is managed, monitored and measured correctly.
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RPC review, part 2:

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

Total spend (excluding VAT)	£263,354,000

Purchasing categories and risks

Are any of the categories provided in 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	£18,140,824	MEDIUM	LOW	LOW	
2	Stationery	£1,598,442	MEDIUM	MEDIUM	MEDIUM	
3	Laboratory/Animal House	£69,739,859	HIGH	LOW	MEDIUM	
4	Travel & Transport	£30,714,270	HIGH	HIGH	HIGH	
5	Printing	£3,384,110	MEDIUM	HIGH	HIGH	
6	Computer	£36,544,300	MEDIUM	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

Responsible spend

Category 1: Contract purchase details

Category type:	Catering
Contract spend (excl VAT)	£18,140,824
Contract supplier:	CH&Co
Type of product or service:	Catering
Share of contract vs. category spend %	48%

Environmental / socio-economic benefits:

Prevention: waste generation, Promotion: responsible sourcing, Recycling: waste, Engagement: SMEs, Promotion: fair employment

Implementation: ethical sourcing, Promotion: Disadvantaged employment, Promotion: Healthy eating

Apprentices, local staff targets, employing homeless, Free meals, Food Policy, on site composter, redistribution schemesVegan food

Environmental / socio-economic evidence reviewed:

Documents from CH&CO and contract and ITT documents see KPIs to show ongoing improvement and monitoring.

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 CH&Co 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:	Stationery
Contract spend (excl VAT)	£1,598,442
Contract supplier:	Banner
Type of product or service:	Office supplies
Share of contract vs. category spend %	64%

Environmental / socio-economic benefits:

Substitution: recycled, Substitution: responsible sourcing, Implementation: FairTrade, Reduction: carbon, Reduction: single use plastic

Framework Tender from a consortia. See the consortia scoresheetw which includes carbon reduction, packaging, energy reduction, labour conditions. Banner have reviewed product provision for environmental/social benefit. will remove items from online shop and replace with sustainable items.   Banner reduced deliveries

Environmental / socio-economic evidence reviewed:

Framework Tender from a consortia. See the consortia scoresheet which includes carbon reduction, packaging, energy reduction, labour condition

Contract document

Product review spreadsheet and Stakeholder engagement document show how Banner and UCL are improving sustainability of products and delivery mechanisms of the contract

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 3: Contract purchase details

Category type:	Laboratory/Animal House
Contract spend (excl VAT)	749,574
Contract supplier:	X11 suppliers
Type of product or service:	Laboratory Equipment Supply, Installation, Delivery and Post Installation Services)
Share of contract vs. category spend %	1%

Environmental / socio-economic benefits:

Promotion: fair employment, Implementation: ethical sourcing, reduction: carbon reduction

Tender questionnaire waited at 10%, Asked for companies to explain how they adpot and put into practice the Ethical Trading Initiative Base Code and provide proof of monitoring and reporting: http://www.ethicaltrade.org/eti-base-code ETI. also asked for Method statement on how the Supplier will ensure sustainability across the supply chain.

Environmental / socio-economic evidence reviewed:

Tender returns form suppliers to see specifics.. 4.2.4 is the sustainability section.

Tender report and guidance document

Meeting notes demonstrates how the contract is reviewed

Agreement overview on carbon reporting and sustainability requirements

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:	Travel & Transport
Contract spend (excl VAT)	£?
Contract supplier:	Out to tender
Type of product or service:	
Share of contract vs. category spend %	75%

Environmental / socio-economic benefits:

Promotion: sustainable travel choices, reduction: Carbon emissions, Promotion: Inclusivity

Ensure booking system provides, Carbon footprint of journeys, Sort my greenest choice, European rail booking online, warning signals, carbon offsetting

Environmental / socio-economic evidence reviewed:

ITT tender documents with sustainability requirements

info on current contract with Key Travel

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:	Printing
Contract spend (excl VAT)	£2,000,000
Contract supplier:	Xerox
Type of product or service:	Office Managed Print service
Share of contract vs. category spend %	59%

Environmental / socio-economic benefits:

Reduction: paper, Reduction: Carbon, Reduction: Waste, implementation: Tree planting, Reduction: energy, Reduction: pollution

Xerox provide full departmental printing reports and offset printing via printreleaf who plant trees, Contract requires preference of using refurbished printers,

Environmental / socio-economic evidence reviewed:

Print releaf certificate.

Scoresheet award section for question on refurbished printers, energy consumption, print reporting, sustainable ink

Meetings with Xerox head of Sustainability and further meeting notes

Tender Evaluation Report which shows Sustainability made up 7.5% weighting of ITT

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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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 CH&Co 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.

RPC
Responsible Procurement Code

Responsible Procurement Code review - Auditor report

Audit date:
4 February 2021

Audited achievement	
Overall	**GOLD**

Part 1	*GOLD*
Policy, Strategy and Communication	*78%*
People	*75%*
Procurement Process	*80%*
Supply Chain	*75%*
Measurement	*88%*

Part 2	*PLATINUM*

Auditor	**Signature**
Name: Andy Marsh, Anthesis UK Ltd. Address: Unit J, Taper Studios, 175 Long Lane City/Town: London Post Code: SE1 4GT	

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