

**SUSTAINABLE PROCUREMENT PROJECT PLAN**

**UNIVERSITY OF SOUTHAMPTON**

**Approval**

**Justin Candy** .....  
**Head of Procurement**

**Date** .....

**Malcolm Ace** .....  
**Director of Finance**

**Date** .....



## **Sustainable Procurement Project Plan**

### **Executive Summary**

Sustainable purchasing is all about taking environmental and social factors into account in purchasing decisions. It's about looking at what our products are made of, where they come from and who has made them. It's also about looking at whether we need to make the purchase at all. If we consider all these factors, we can make better choices about what we buy, who we buy it from and how often we buy it. Ultimately, it is about minimising the environmental and social impacts of the purchases we make.

In 2004/05, we spent £110M on non-pay items with about 30,000 suppliers. We aim to adopt a sustainable procurement policy to change the behaviour and attitudes of staff, students and suppliers to the purchasing of goods and services and deliver economic, social and environmental benefits.

We have teamed up with the Environmental Association of Universities and Colleges (EAUC) in a three year project to introduce sustainability criteria into our purchasing activities. A Project Team has been set up. The Project Executive is Justin Candy (Head of Procurement) and the Project Manager is Dr Neil Smith (Environment Manager).

The project is about:

1. Buying power - finding the balance of environmental excellence, social equality and economic prosperity
2. Whole life costs - accepting we may have to pay more up front to get the full benefits
3. Raising awareness - changing the way we and our suppliers view buying products & services

We will:

1. Gain Senior management commitment and support for the implementation of a sustainable procurement policy.
2. Include sustainability criteria in tender specifications and provide an assessment tool for their evaluation
3. Raise awareness of staff involved in buying goods and services to sustainability issues
3. Work with suppliers so that 80% of non-pay spend is with suppliers who have an Environmental Management System by 31<sup>st</sup> December 2008.
4. Work with the Students Union to try and influence student spending decisions.
5. Develop and implement monitoring and reporting systems to assess the impact of the policy
6. Work with other HEIs and local government bodies to share best practice.
7. Inform a wide audience of the benefits of sustainable procurement.

Please contact Dr Neil Smith (26679; [nfs@soton.ac.uk](mailto:nfs@soton.ac.uk)) or John Gordon (Purchasing Officer; 23907) for more information about the project and to find out how you can buy goods and services more sustainably.

# **Sustainable Procurement Project Plan**

## **1. Background**

Everything we buy and use has an impact on the environment and on people and communities. Products such as computers, stationery, vehicles and furniture have impacts throughout their life, and it's the same for the services we buy such as waste management, water and energy.

HEIs are huge consumers of products and services. They have to meet the needs of teaching, research and administrative staff, not to mention hundreds of thousands of students. This involves buying paper, computers, communications technologies such as phones and faxes, furniture, specialist research equipment and even musical instruments. It also means providing heating, lighting, water, waste services, transport and accommodation as well as cleaning and maintaining buildings and grounds.

### **1.1 Purchasing at the University**

We spent about £110M in 2004/05 on non-pay items (see Appendix A), and has about 30,000 suppliers. Budgets are devolved to Schools who must follow the Purchasing Policy ([link](#)). The main elements of this Policy are:

- i) Orders over £20k must be authorized by the Purchasing Services Manager
- ii) Heads of Schools authorize staff to make purchases
- iii) Authorised staff must follow competitive tender rules and use the approved Suppliers and Conditions of Contract for the supply of goods and Services

As a result, there is an estimated 500 to 1000 staff involved in making purchases, using many different management and IT systems. This is a very inefficient use of resources and may also reduce the buying power of the University to get the best value for money when purchasing goods and services.

The Policy does not contain any reference to sustainable procurement principles. An example of a sustainable procurement policy is shown in Appendix B. The pre-tender questionnaire used by Estates and Facilities does ask whether a contractor has an Environmental Management System but no account is taken of the answer in awarding the contract.

We are a member of the Southern Universities Procurement Consortium (SUPC). This Committee has started to specify environmental criteria in purchasing contracts.

### **1.2 Government & HEFCE policy**

The Office of Government Commerce and Defra have published guidance on environmental issues in purchasing (OGC and Defra, 2003) which points out that

environmental issues should be considered at the earliest stage in purchasing and when setting the Specification. Value for money applies to the award stage of the process.

Sustainable procurement supports the objectives of the Government's sustainable development strategy (Defra, 2005):

- Effective protection for the environment
- Prudent use of natural resources
- Social progress which recognizes the needs of everyone
- Maintenance of high and stable levels of economic growth and employment

Gershon identified £100M savings per year by HE Sector procurement by 2008 (Gershon, 2004). There are potential conflicts between sustainable procurement and EU/Government procurement rules. For example, use of local suppliers with social and environmental benefits may be in conflict with EU law requiring competition without geographic discrimination (see Risk Register).

The Government's Sustainable Procurement Task Force was set up in May 2005 to develop a national action plan for ensuring that public procurement fully contributes to sustainable development in the UK. The action plan - *Procuring the Future* - was launched on 12<sup>th</sup> June 2006 and sets out how to embed sustainable development considerations into procurement and investment decisions across the UK public sector.

The Task Force produced six key recommendations and identified a number of specific actions for public sector procuring organisations. Using the Flexible Framework (see Appendix C) the plan then identifies milestones for organisations to measure progress and performance.

The action plan suggests that all colleges and universities should be at Level One on the Flexible Framework by April 2007 and at Level Three by April 2009 (with one level at Level 5). EAUC/EAF has produced a checklist to help universities monitor performance against the targets in the Action Plan (see Appendix D).

The total non-pay spend in the English higher education sector is £4 billion per annum. HEFCE recognized the need for staff involved in procurement to be aware of the environmental pressures on the supply of goods and services and aims to work with sector procurement bodies to develop sustainable procurement policies and guidance (HEFCE, 2005).

### **1.3 What is sustainable purchasing?**

Sustainable purchasing is all about taking environmental and social factors into account in purchasing decisions (See Appendix E) (HEPS & Forum for the Future, 2003). It's about looking at what our products are made of, where they come from and who has made them. It's also about looking at whether we need to make the purchase at all. If we consider all these factors, we can make better choices about what we buy, who we buy it

from and how often we buy it. Ultimately, it is about minimising the environmental and social impacts of the purchases we make.

#### **1.4 What are the drivers for sustainable purchasing?**

- i) Ensuring compliance with legislation – on environment, social responsibility and procurement legislation.
- ii) Cost savings. A whole life costing approach has demonstrated that more environmentally friendly products can save money. For example, in reducing waste disposal costs. Costs can be cut through economies of scale. Also, internal costs can be cut by reducing administrative effort associated with purchasing decisions.
- iii) Protecting reputation and building image. Corporate image is enhanced through sustainable purchasing strategies since they demonstrate to a wide audience including suppliers, customers and the public at large that the organisation is concerned with all of the consequences of its operations and activities.
- iv) Achieving organisational objectives. Purchasing can add value by helping to stimulate markets for environmentally preferred goods and services, particularly through joint working and by encouraging suppliers to aim for continuous improvement across a range of issues including environment. The results are better quality products from better performing suppliers. This will enhance the University's reputation as a 'good customer'.
- v) Rationalising the supplier base. Contract specifications requiring suppliers to demonstrate their social and environmental credentials can be a way to reduce the supplier base.
- vi) Ensuring security of supply. Environmental pressures are already having an impact on the security of supply of vital goods and services. Threats can be posed from the elimination of certain substances (such as hazardous chemicals) through regulation, for example.
- vii) Risk management. Business risks are posed to organisations through the operations of their suppliers and contractors - where contractors are in breach of environmental regulations, for example.

#### **1.5 Why sustainable purchasing here and now?**

This project is timely are a number of reasons:

- i) Government and HEFCE commitment to adopt sustainable purchasing policies and practices.
- ii) Support the University's commitment to sustainable development, and reduce costs through the way we buy goods and services
- iii) Opportunity to take advantage of the support and guidance offered by the EAUC three year project
- iv) Implementation of an e-procurement project which aims to replace existing purchasing systems.
- v) Support other University environmental initiatives, such as the Carbon management project and recycling.

## **1.6 What is this project about?**

Sustainable procurement is about:

1. Buying power - finding the balance of environmental excellence, social equality and economic prosperity
2. Whole life costs - accepting we may have to pay more up front to get the full benefits
3. Raising awareness - changing the way we and our suppliers view buying products & services

## **2. Project Plan**

### **2.1 Aim**

To adopt a sustainable procurement policy to change the behaviour and attitudes of staff, students and suppliers to the purchasing of goods and services and deliver economic, social and environmental benefits.

### **2.2 Objectives**

1. To gain commitment from the University to adopt a sustainable procurement policy.
2. To achieve the flexible framework levels by April 2007 and 2009 to improve University's purchasing practices.
3. To raise awareness and provide support for all those involved in purchasing to ensure the policy is put into practice.
4. To work with suppliers to deliver the policy and aim for 80% of University non-pay spend to be with suppliers who have an EMS by 31<sup>st</sup> December 2008
5. To ensure procedures link into the implementation of the new financial system to ensure it reflects and reinforces the change in Policy.
6. To develop and implement measurement tool(s) to assess the impact of the sustainable procurement policy on University purchasing.
7. To work with the Student Union to influence the spending decisions by students
8. To work with other HEIs and public bodies to develop and implement best practice
9. To communicate the aims and benefits of the policy to the University community

### **2.3 As a result of this project, what do we want to do differently?**

#### **i) Senior Managers:**

- a) Sign-off and support the implementation of a sustainable procurement policy
- b) Support the Project and Procurement Team in achieving the Project objectives
- c) Support staff involved in adopting sustainable purchasing decisions

#### **ii) Purchasing Services:**

- a) Develop and implement Sustainable Procurement Policy
- b) Develop guidance on sustainable procurement for staff and suppliers
- c) Support staff to implement the Policy, including awareness training

- d) Develop and implement tender evaluation criteria and assessment for environmental and social aspects
- e) Develop measurement tool(s) to assess impact of the Policy
- f) Audit performance of staff and suppliers
- g) Influence buying decisions by staff based on sustainable criteria
- h) Adopt and share best practice with other HEIs, government bodies & suppliers

**iii) Staff involved in purchasing:**

- a) Be aware of the sustainable procurement policy
- b) Trained on how to implement the policy
- c) Adopt sustainable procurement criteria in buying decisions, including EMS and whole life costs
- d) Use the contracts negotiated by the Procurement Team for all 'routine' purchases

**iv) Suppliers:**

- a) Understand University Policy and how impacts on them
- b) Work with the University to improve environmental and social aspects of products and services

**v) Students:**

- a) Raise awareness of how buying habits impact on the environment
- b) Student Union implements a sustainable procurement policy

## **2.4 Activity Plan**

Appendix F sets out how the Project Team aims to achieve these objectives and outcomes. The detail for a number of sub-projects already underway is shown in Appendix G. More detail on the activities in the project plan is shown in Appendix H. These will be updated as the project progresses.

## **2.5 Timescale**

This is a three year project and forms part of the EAUC sustainable procurement project.

Start date: Sept 2005

End date: Sept 2008

## **2.6 Resources**

Senior management commitment is essential if this project is going to be success and the sign-off of the Policy by the VC is seen as a vital step. The project team will be supported by the EAUC to achieve this aim.

Commitment is also needed from Finance and the Schools to the aims of project and to provide resources to achieve its objectives. This is a major undertaking as it involves changes to the way purchasing staff work. This will be easier to achieve if it is linked to the new Finance Management System due to be implemented between August 2007 and

April 2008. Good communication to the range of staff affected by the project will be key to its success (see Communication Plan).

HR will need to be kept informed as this is a change management project. The Project Manager will keep the Environmental Management Sub-Committee and Green Group informed of progress with the project.

The School of Management has a wealth of research expertise and knowledge in greening the supply chain and it is proposed that a member from the School sits on the Project Team to take advantage of this resource. There is also the possibility of identifying student projects, particularly for the review of the SU purchasing policy.

One of the aims of the project (as required by the EAUC) is to influence student purchasing. A SU representative on the Project Team would help achieve this objective by providing a communication channel to the student population and influencing the SU purchasing policy.

#### **i) Project Team**

Sponsor: Professor Bill Wakeman, VC

Co-sponsor: Malcolm Ace, Director of Finance

Project Executive: Justin Candy, Head of Procurement

Project Manager: Dr Neil Smith, Environment Manager

Project Team:

John Gordon, Purchasing Officer

Professor Richard Lamming (Head of School of Management) (Dr Ian Harwood)

Mr John Beale (Assistant Director, Commercial Activities)

Dr Ian Williams (Civil Engineering & Environment)

Candy Snelling (Student Union Environment & Ethics Officer)

Ms Inez Scudder (ISS)

#### **ii) Key stakeholders**

The following groups are likely to be involved in the project at some stage:

i) Purchasing officers

ii) Senior management

iii) Finance Directors

iv) Budget holders

v) Internal customers

vi) Staff buying in goods and services

vii) Staff and students who use products and services

#### **iii) Who does what?**

- Project Executive – provides overall direction; resolves conflict issues (that PM can't resolve); reports to and influences key stakeholders
- Project manager – provides day-to-day direction; ensure meet objectives to time and budget; co-ordinate work of core team; communicate with key stakeholders

- Project Team – support the Project Manager to deliver objectives; communicate to staff and students; take responsibility for specific projects; identify opportunities; prepare business cases; implement changes; review success/failure; influence others
- Key stakeholders – support project & the team; identify opportunities; prepare business cases; implement changes; review success/failure; influence others

#### **iv) Costs**

The cost for being part of the EAUC project is £3,150 over three years. Other costs are mainly staff time for managing and implementing the project. The project manager and Contracts Manager are expected to spend at least 10 per cent of their time on the project. They will attend a “Train the Trainer” course to enable them to deliver awareness training across the University. They will also attend EAUC workshops to share best practice and learn from other HEI projects and experience. They will learn and apply the risk based tool to prioritise those suppliers and products that need to be tackled first.

The Project Team will meet as required, and this is likely to be at least quarterly. The Team members will need to implement change in their department/area and influence others.

Most of the internal staff costs will be absorbed, as the projects will be part of the day job. All staff who are involved in buying goods and services will need to find the time to read and implement guidance material and attend training.

EAUC is expected to contribute support to the project, in terms of training material and best practice guidance.

### **3. Communications plan**

The Corporate and Marketing Service (CAMS) will help the Project Manager and Purchasing Officer to deliver the communication plan for the project (see Appendix I).

The purpose of the plan is to identify the key messages, audiences and media to ensure information is shared with interested groups at the right time using the most appropriate media.

The objectives of the Communication Strategy are:

- To gain commitment from key stakeholders and University staff for the principles of sustainable procurement to deliver the objectives of the project.
- To help staff involved in purchasing to adapt and change their behaviour.
- To identify major risks to the project at an early stage to allow management action to minimise these risks.
- To provide information about the project to a wide audience using a variety of media to raise awareness of what trying to achieve.
- To receive feedback from interested parties to ensure the project is responsive to changing priorities.

- To provide accurate information and guidance to staff to ensure they are able to make the right decisions.
- To monitor progress with the objectives to evaluate the success of the project.

#### Approach to Stakeholder Communication

- Communication will be face to face where possible, particularly for critical messages and where stakeholders are greatly affected by the project or where their seniority makes their involvement critical
- The programme will use existing media and committees to help communicate key messages
- Feedback will be sought to enable the Project Manager and Executive to evaluate the success of the communication and the project. This will include questionnaires to assess progress.

#### Reporting internally:

1. Progress and Annual reports to Finance and Environmental Management Sub-Committees
2. Quarterly reports to Project Executive - to include finance, risk and progress against the objectives.
3. Articles in Bulletin, Purchasing and other publications
4. Web pages
5. Other communication routes will be used as appropriate

#### Reporting externally:

1. Workshops with EAUC HE Group
2. SUPC meetings
3. Meetings with sustainable business partnerships
4. Articles for HEI sector

### **4. Risk Management**

See Appendix J.

### **5. References**

Defra (2005) Securing the Future - UK Government sustainable development strategy. <http://www.sustainable-development.gov.uk/publications/uk-strategy/uk-strategy-2005.htm>

Gershon (2004) Releasing resources to the front line. Independent Review of Public Sector Efficiency. [http://www.hm-treasury.gov.uk/media/B2C/11/efficiency\\_review120704.pdf](http://www.hm-treasury.gov.uk/media/B2C/11/efficiency_review120704.pdf)

HEFCE (2005) Sustainable development in higher education. [http://www.hefce.ac.uk/pubs/hefce/2005/05\\_28/](http://www.hefce.ac.uk/pubs/hefce/2005/05_28/)

HEPS and Forum for the future (2003) Purchasing for sustainability. Guidance for Higher Education Institutions. [www.heps.org.uk](http://www.heps.org.uk)

OGC and Defra (2003) Joint note on environmental issues in purchasing.  
[http://www.ogc.gov.uk/sdtoolkit/reference/ogc\\_library/procurement/ogcdefrajointstatement.pdf](http://www.ogc.gov.uk/sdtoolkit/reference/ogc_library/procurement/ogcdefrajointstatement.pdf)

## Appendix A Breakdown of non-pay spend, 2004/05

Annual non-pay spend 2004/5 ~ £110million, broadly categorised as follows

a. Audio visual	0.6
b. Library	2.7
c. Catering	6.2
d. Medical	1.0
e. Agric Fish Ocean	0.6
f. Furniture	2.1
h. Cleaning	0.5
k. Computing	6.4
l. Laboratory	10.2
m. Workshop	2.5
p. Printing	1.4
q. Post	3.5
r. Professional bought in	7.7
s. Stationery	2.4
t. Travel & transport	3.3
u. Safety/security	2.4
v. Vehicles	0.6
w. Estates	30.0
x. Miscellaneous	1.1
Total	85million

This analysis is only of accounts where the spend exceeded £5000, 1300 accounts out of the total number, currently of the order of 30,000.

## **Appendix B Sustainable Purchasing Policy for City University**

**The University recognises its responsibility to carry out its purchasing activities in an environmentally responsible and sustainable manner. The University will therefore strive to:**

1. Comply with all relevant environmental legislation.
2. Investigate the impact of the University's spending in order to identify environmental impacts.
3. Encourage and persuade suppliers to operate environmentally friendly processes and supply environmentally friendly products.
4. Educate its suppliers concerning the University's sustainability objectives.
5. Work with key suppliers to bring about changes and thereby spread sustainability improvements throughout the supply chain.
6. Ensure that suppliers' environmental credentials are, as far as legally practicable, considered in the supplier appraisal process.
7. Ensure that, where appropriate, environmental criteria are used in the award of contracts.
8. Encourage internal purchasers to review their consumption of goods and materials, in order to reduce usage and adopt more environmentally friendly products, including the use of recycled products as appropriate.
9. Specify, wherever possible and reasonably practicable, the use of environmentally friendly materials and products.
10. Ensure that consideration is given to inclusion, within all specifications, of a facility for suppliers to submit offers for environmentally friendly alternatives.
11. Ensure that appropriate consideration is given to the costs and benefits of environmentally friendly alternatives.
12. Set measurable sustainable purchasing targets.
13. Identify partners for environmental benchmarking, and adopt best practice wherever possible.
14. Explore opportunities for recycling of materials as appropriate.
15. Address barriers to entry so that SMEs and local suppliers are encouraged to bid for appropriate work.

Source: [www.city.ac.uk/finance/procurement](http://www.city.ac.uk/finance/procurement)

## Appendix C: The Flexible Framework

	<b>Foundation</b>	<b>Embed</b>	<b>Practice</b>	<b>Enhance</b>	<b>Lead</b>
	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>Level 4</b>	<b>Level 5</b>
<b>People</b>	<ul style="list-style-type: none"> <li>- Sustainable procurement champion identified.</li> <li>- Key procurement staff have received basic training in sustainable procurement principles.</li> <li>- Sustainable procurement is included as part of a key employee induction programme.</li> </ul>	<ul style="list-style-type: none"> <li>- All procurement staff have received basic training in sustainable procurement principles.</li> <li>- Key staff have received advanced training on sustainable procurement principles.</li> </ul>	<ul style="list-style-type: none"> <li>- Targeted refresher training on latest sustainable procurement principles.</li> <li>- Performance objectives and appraisal include sustainable procurement factors.</li> <li>- Simple incentive programme in place.</li> </ul>	<ul style="list-style-type: none"> <li>Sustainable procurement included in competencies and selection criteria.</li> <li>- Sustainable procurement is included as part of employee induction programme</li> </ul>	<ul style="list-style-type: none"> <li>- Achievements are publicised and used to attract procurement professionals.</li> <li>- Internal and external awards for achievements are received.</li> <li>- Focus is on benefits achieved.</li> <li>- Good practice shared with other organisations.</li> </ul>
<b>Policy, Strategy &amp; Communications</b>	<ul style="list-style-type: none"> <li>- Agree overarching sustainability objectives.</li> <li>- Simple sustainable procurement policy in place endorsed by CEO.</li> <li>- Communicate to staff and key suppliers.</li> </ul>	<ul style="list-style-type: none"> <li>- Review and enhance sustainable procurement policy, in particular consider supplier engagement.</li> <li>- Ensure it is part of a wider Sustainable Development strategy.</li> <li>- Communicate to staff, suppliers and key stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>- Augment the sustainable procurement policy into a strategy covering risk, process integration, marketing, supplier engagement, measurement and a review process.</li> <li>- Strategy endorsed by CEO.</li> </ul>	<ul style="list-style-type: none"> <li>- Review and enhance the sustainable procurement strategy, in particular recognising the potential of new technologies.</li> <li>- Try to link strategy to EMS and include in overall corporate strategy.</li> </ul>	<ul style="list-style-type: none"> <li>- Strategy is: reviewed regularly, externally scrutinised and directly linked to organisations' EMS.</li> <li>- Sustainable Procurement strategy recognised by political leaders and is communicated widely.</li> <li>- Detailed review undertaken to determine future priorities and new strategy produced beyond this framework.</li> </ul>
<b>Procurement Process</b>	<ul style="list-style-type: none"> <li>- Expenditure analysis undertaken and key sustainability impacts identified.</li> <li>- Key contracts start to include general sustainability criteria.</li> <li>- Contracts awarded on</li> </ul>	<ul style="list-style-type: none"> <li>- Detailed expenditure analysis undertaken, key sustainability risks assessed and used for prioritisation.</li> <li>- Sustainability is considered at an early stage in the procurement process of most</li> </ul>	<ul style="list-style-type: none"> <li>- All contracts are assessed for general sustainability risks and management actions identified.</li> <li>- Risks managed throughout all stages of the procurement process.</li> </ul>	<ul style="list-style-type: none"> <li>- Detailed sustainability risks assessed for high impact contracts.</li> <li>- Project /contract sustainability governance is in place.</li> <li>- A life-cycle approach to cost/impact</li> </ul>	<ul style="list-style-type: none"> <li>- Life-cycle analysis has been undertaken for key commodity areas.</li> <li>- Sustainability Key Performance Indicators agreed with key suppliers.</li> <li>- Progress is rewarded or</li> </ul>

	<b>Foundation</b>	<b>Embed</b>	<b>Practice</b>	<b>Enhance</b>	<b>Lead</b>
	<b>Level 1</b>	<b>Level 2</b>	<b>Level 3</b>	<b>Level 4</b>	<b>Level 5</b>
	<p>the basis of value-for-money, not lowest price.</p> <p>- Procurers adopt 'quick wins'.</p>	<p>contracts.</p> <p>- Whole-life-cost analysis adopted.</p>	<p>- Targets to improve sustainability agreed with key suppliers.</p>	<p>assessment is applied.</p>	<p>penalised based on performance.</p> <p>- Barriers to sustainable procurement have been removed.</p> <p>- Best practice shared with other organisations.</p>
<b>Engaging Suppliers</b>	<p>- Key supplier spend analysis undertaken and high sustainability impact suppliers identified.</p> <p>- Key suppliers targeted for engagement and views on procurement policy sought.</p>	<p>- Detailed supplier spend analysis undertaken.</p> <p>- General programme of supplier engagement initiated, with senior manager involvement.</p>	<p>- Targeted supplier engagement programme in place, promoting continual sustainability improvement.</p> <p>- Two-way communication between procurer and supplier - with incentives - exists.</p> <p>- Supply chains for key spend areas have been mapped.</p>	<p>- Key suppliers targeted for intensive development.</p> <p>-Sustainability audits and supply chain improvement programmes in place.</p> <p>-Achievements are formally recorded.</p> <p>- CEO involved in the supplier engagement programme.</p>	<p>- Suppliers recognised as essential to delivery of organisations' sustainable procurement strategy.</p> <p>- CEO engages with suppliers.</p> <p>- Best practice shared with other/peer organisations.</p> <p>- Suppliers recognise they must continually improve their sustainability profile to keep the business.</p>
<b>Measurements &amp; Results</b>	<p>- Key sustainability impacts of procurement activity have been identified.</p>	<p>- Detailed appraisal of the sustainability impacts of the procurement activity has been undertaken.</p> <p>- Measures implemented to manage the identified high risk impact areas.</p>	<p>- Sustainability measures refined from general departmental measures to include individual procurers and are linked to development objectives.</p>	<p>- Measures are integrated into a balanced score card approach reflecting both input and output.</p> <p>- Comparison is made with peer organisations.</p> <p>- Benefit statements have been produced.</p>	<p>- Measures used to drive organisational sustainable development strategy direction.</p> <p>- Progress formally benchmarked with peer organisations.</p> <p>- Benefits from sustainable procurement are clearly evidenced.</p> <p>- Independent audit reports available in the public domain.</p>

## Appendix D: Action Plan checklist

### By April 2007 have you:

#### People

- Assessed your performance against the Flexible Framework?
- Identified a sustainable procurement champion?
- Trained key procurement staff in sustainable procurement?
- Included sustainable procurement as part of a key employee induction programme?

#### Policy, Strategy and Communications

- Agreed overarching sustainability objectives?
- A sustainable procurement policy in place endorsed by SMT / Principal?
- Communicated your intention and commitment to staff and key suppliers?

#### Procurement Process

- Undertaken an expenditure analysis and identified key sustainability impacts?
- Included general sustainability criteria in key contracts?
- Awarded contracts on the basis of value-for-money not lowest price?
- Taken the opportunity to adopt 'quick wins'?

#### Engaging Suppliers

- Undertaken key spend analysis and identified high sustainability impact suppliers?
- Targeted key suppliers for engagement and sought views on procurement policy?

#### Measurement and Results

- Identified key sustainability impacts of procurement activity?

### By April 2009 have you:

#### People

- Targeted refresher training on latest sustainable procurement principles?
- Included sustainable procurement factors in performance objectives and appraisal?
- Developed a simple incentive programme?

#### Policy, Strategy and Communications

- Augmented your sustainable procurement policy into a strategy covering risk, process integration, marketing, supplier engagement, measurement and a review process?
- Had your strategy endorsed by your SMT/ Principal?

#### Procurement Process

- Assessed all contracts for sustainability risks and identified management actions?
- Looked to manage risks throughout all stages of the procurement process?
- Set and agreed targets with key suppliers to improve sustainability?

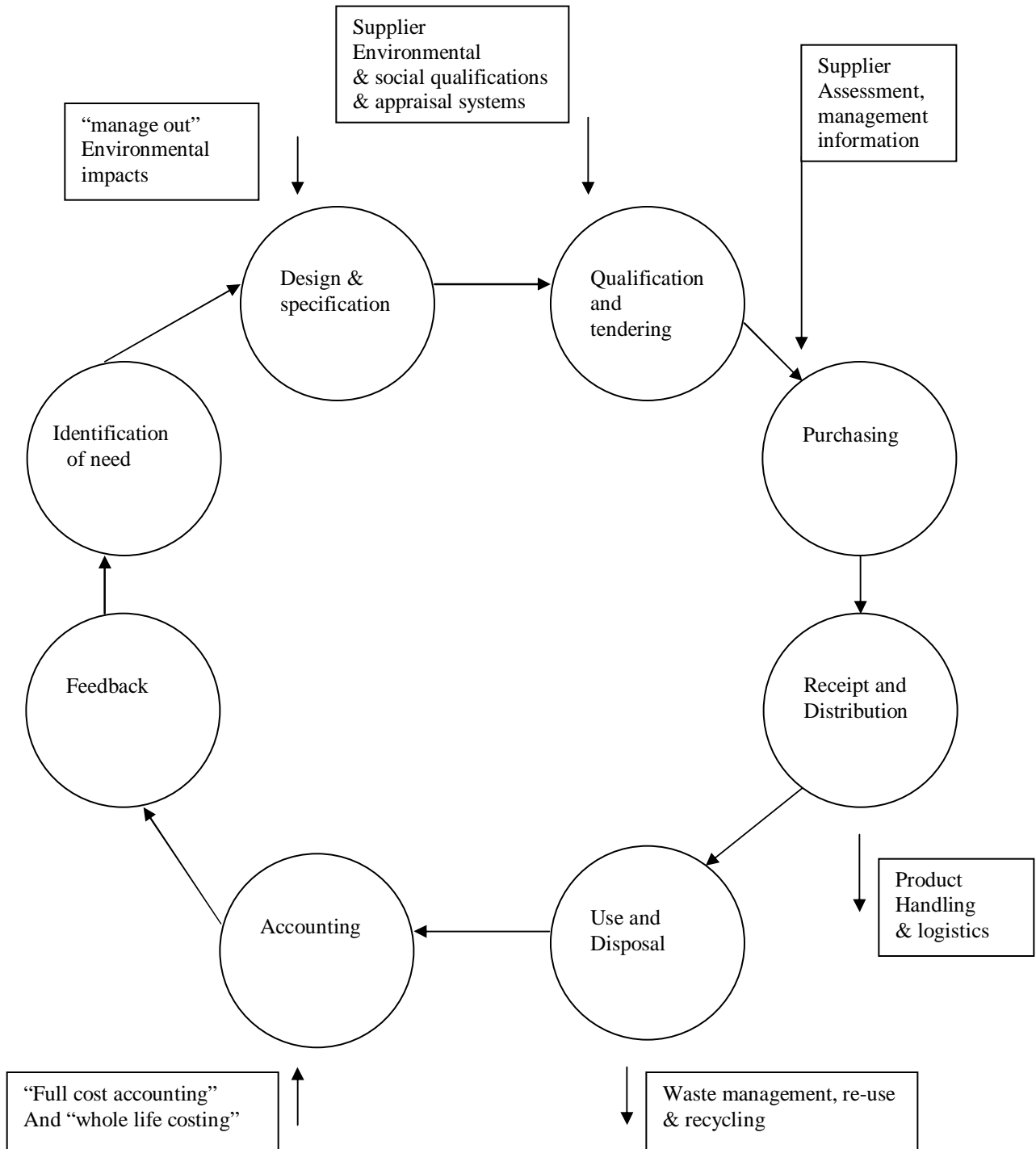
#### Engaging Suppliers

- Put in place a targeted supplier engagement programme, promoting continual sustainability improvement?
- Developed two-way communication between procurer and supplier including incentives?
- Analysed and mapped supply chains for key spend areas?

#### Measurement and Results

- Refined sustainability measures from general departmental measures to include individual procurers and linked these to development objectives?

**Appendix E The role of procurement in managing environmental and social aspects (after Barbara Morton)**



**Appendix F Activity Plan**

<b>Objective</b>	<b>Activity</b>	<b>Date</b>	<b>Who</b>
1. Gain commitment of Senior Management	<ul style="list-style-type: none"> <li>▪ Sign-off of project plan by JC/MA</li> <li>▪ Draft Policy</li> <li>▪ Sign-off of Policy by Finance Committee</li> <li>▪ Presentations to key stakeholders (Senior Accountants &amp; Heads of Schools &amp; Professional Services)</li> <li>▪ See Communication plan (Appendix I)</li> </ul>	Feb 2006 Feb 2006 March 2006  Mar – July 2006	NS/JG NS/JG NS/JC  NS/JC
2. Achieve flexible framework levels (See Appendices C & D)	<ul style="list-style-type: none"> <li>▪ Achieve Level 1</li> <li>▪ Achieve Level 3 &amp; one at Level 5</li> </ul>	April 2007 April 2009	JC/NS JC/NS
2. Raise staff awareness & introduce Policy & procedures	<ul style="list-style-type: none"> <li>▪ Presentation to Finance &amp; Purchasing staff</li> <li>▪ Attend EAUC “train the trainer” training</li> <li>▪ Attend EAUC Social issues in procurement training</li> <li>▪ Evaluate where we are now (eg by questionnaire)</li> <li>▪ Awareness workshop</li> <li>▪ Develop &amp; introduce procedures</li> <li>▪ Set up Purchasing Team</li> <li>▪ Audit of purchasing staff</li>   <li>▪ 1:1 sessions (as required)</li> <li>▪ Articles in Bulletin etc</li> <li>▪ Review specific items using sustainability criteria:               <ul style="list-style-type: none"> <li>- Paper (University adopts recycled paper for all print and photocopying)</li> <li>- Stationary (restrict range of stationary to items with some recycled content)</li> <li>- Fleet vehicles (develop sustainability criteria)</li> <li>- E&amp;F maintenance (awareness training)</li> </ul> </li> <li>▪ See Communication plan</li> </ul>	March 2006 22 March 2006 20 April 2006 March 2006 May 2006 May 2006 May 2006 Jan 2007  On-going On-going  April 2006 Aug 2006 Feb 2006 June 2006	NS/JG NS/JG NS/JG NS/JG JG NS/JG JG Procurement Team NS/JG  JD JC  NS NS/JG
3. Raise awareness of suppliers	<ul style="list-style-type: none"> <li>▪ Update Procurement contract specification to include</li> </ul>	Dec 2005	NS/JG

Objective	Activity	Date	Who
	<p>questions on EMS/Policy</p> <ul style="list-style-type: none"> <li>▪ Identify forthcoming tenders and contracts that might have an impact</li> <li>▪ Pilot tender evaluation criteria &amp; assessment to include environmental and social aspects in University area</li> <li>▪ Introduce tender evaluation criteria &amp; assessment University-wide</li> <li>▪ Attend EAUC Approaches to supplier engagement training</li> <li>▪ Attend EAUC risk based approach training</li> <li>▪ Use EAUC risk based approach to analyse supplier base and prioritise suppliers based on cost and environmental risk</li> <li>▪ Contact suppliers and supply information on new policy and contract specification, particularly those without EMS/Policy</li> <li>▪ Develop guidance/support for suppliers on sustainability (possibility of link up to Office Depot)</li> <li>▪ Update E&amp;F contractor's specification (based on Chas)</li> <li>▪ Audit suppliers</li> <li>▪ Review feedback from suppliers</li> <li>▪ Aim for target of 80% of non-pay spend is with suppliers who have EMS by 31<sup>st</sup> Dec 2008</li> <li>▪ See Communication plan</li> </ul>	<p>Quarterly</p> <p>March 2007</p> <p>Aug 2007</p> <p>10 March 2006 8 June 2006 Aug 2006</p> <p>Sept – Dec 2006</p> <p>June 2006</p> <p>Mar 2007 Aug 2007</p> <p>Sept – Dec 2007 31 Dec 2008</p>	<p>JG</p> <p>NS/JG</p> <p>NS/JG</p> <p>NS/JG JG JG</p> <p>JG</p> <p>JG/NS</p> <p>NS Procurement Team</p> <p>JG NS/JG</p>
4. Finance system	<ul style="list-style-type: none"> <li>▪ Work with the Project Manager to ensure the new system reinforces the aims of the Policy.</li> </ul>	<p>Aug 2007</p>	<p>JC/JG</p>
5. Develop measurement tool(s) to assess the impact of the sustainable procurement policy on University purchasing	<ul style="list-style-type: none"> <li>▪ Evaluate staff/students views on purchasing</li> <li>▪ Review existing tool(s)/KPIs</li> <li>▪ Develop &amp; test tool(s)/KPIs</li> <li>▪ Implement tool(s)/KPIs</li> </ul>	<p>March 2006 Aug 2007 Jan 2008 Aug 2008</p>	<p>NS/JG JG JG JG</p>

<b>Objective</b>	<b>Activity</b>	<b>Date</b>	<b>Who</b>
	<ul style="list-style-type: none"> <li>▪ Review staff/student feedback on the project</li> </ul>	Annual	NS
6. Raise awareness of students	<ul style="list-style-type: none"> <li>▪ Investigate purchasing policy of SU (student project)</li> <li>▪ Influence SU purchasing policy</li> <li>▪ Feedback from SU &amp; students (project)</li> <li>▪ See Communication plan</li> </ul>	Nov 2006 - May 2007 June 2007 Nov 2007 – May 2008	NS/JG/SU rep NS/JGS/SU rep NS/JGS/SU rep
7. Work with other bodies	<ul style="list-style-type: none"> <li>▪ Attend EAUC meetings</li> <li>▪ Implement best practice guidance</li> <li>▪ Influence SUPC policies</li> <li>▪ Work with local government bodies</li> <li>▪ See Communication plan</li> </ul>	Nov 2005 & on-going On-going On-going On-going	NS/JG JG JC JC
8. Communication	<ul style="list-style-type: none"> <li>▪ See Communication plan</li> </ul>	On-going	NS/JG supported by CAMS

## Appendix G Plan for specific projects

<b>Project</b>	<b>Description</b>	<b>Owner</b>	<b>Date</b>
1. Recycled stationery products	Restrict products available to staff to those containing recycled material.	JC	Aug 2006
2. Influence Fleet vehicle purchasing policy (linked to carbon management project)	Influence change to E&F fleet & VC car so that adopt environmentally friendly vehicles. Look to influence wider Fleet management	NS	Mar 2006
3. Use of recycled paper for print & photocopy	Use of recycled paper for undergraduate prospectus	JD/CAMS	Dec 2005
	Use of recycled paper for all CAMS publications	JD/CAMS	Jan 2006
	Use of recycled paper for print & photocopying	JD (with support from WRAP)	June 2006

### Key

JC – Justin Candy

NS – Neil Smith

JD – John Davidson

CAMS – Corporate & Marketing Services

WRAP – Waste Resources Action Programme

## Appendix H Detailed Plan

The timetable for the first phase of the project is show in the following table and will be updated as the project progresses:

Activity	When	Who
1. Meeting with Finance Director	Jan 2006	JC/NS/JG
2. EAUC meeting	29 Nov 2005	NS/JG
3. Final Project Plan	Feb 2006	NS/JG
4. Progress report to Environmental Management sub-committee	1 <sup>st</sup> Dec 2005	NS
5. Sign-off of Project Plan by JC/MA	Feb 2006	NS/JG
6. Communication to staff/students - Bulletin article - Web page	TBC	NS/JG with CAMS support
7. Agree membership for Project Team	Feb 2006	NS
8. First Project Team meeting	TBC	NS/JG
9. Meetings with key stakeholders (Deans & Heads of Schools)	Dec – Apr 2006	NS/JG/JC
10. Meeting with CAMS & WRAP re: UG prospectus	3 <sup>rd</sup> Jan 2006	JD/NS/WRAP/CAMS
11. Meeting with Malcolm Ace	9 <sup>th</sup> January 2006	NS/JC/JG
12. Progress report to Environmental Management sub-committee	26 <sup>th</sup> Jan 2006	NS
13. Presentation to senior accountants	TBC	JC/NS
14. Discussion with Procurement Team	TBC	NS/JG/JC
15. Presentation to Finance department	TBC	NS/JG/JC
16. Progress report to Environmental Management sub-committee	16 <sup>th</sup> March 2006	NS

### Key

JC – Justin Candy

NS – Neil Smith

JG – John Gordon

JD – John Davidson

CAMS – Corporate & Marketing Services

WRAP – Waste Resources Action Programme

## Appendix I Communication plan

<b>Channel</b>	<b>Mechanism</b>	<b>Target audience</b>	<b>Timing</b>	<b>Message</b>	<b>Sender</b>
Meeting	1:1 meetings	Key stakeholders	Feb 2006 and as required	Information about project & gain support for the project	NS/JG
Meeting	1:1 meetings	Project team	Mar 2006	Information about aim of project & gain commitment for their role.	NS/JG
Meeting	Presentation to Senior Accountants	Senior Accountants	April 2006	Details of project, aim, timescale, resources etc	NS/JG
Meeting	Committee	Finance Committee	As required & annual report	Progress reports	NS/JG
Meeting	Team meeting	Procurement team	March 2006	Information about project & gain support for the project	NS/JG
Meeting	Team meeting	Finance department	March 2006	Information about project & gain support for the project	NS/JG
Meeting	Estates & Facilities Board	Board members	Monthly	Progress reports	NS
Meeting	Workshop	HE/EAUC	29.11.05 As required	Share best practice	NS/JG
Meeting	Environmental Management sub-committee	Committee members	Twice per term	Progress reports	NS
Meeting	Sustainable Business Partnership	Local businesses	Quarterly	Progress reports	NS
Training	Workshop	Key stakeholders	April 2006	Background to project, where are we now and what want to achieve	NS/JG supported by EAUC
Written articles	Bulletin	Staff	As required	Project progress and major events	NS/JG supported by CAMS
Written articles	Dolphin Neighbourhood	Local community	As required	Information on the project and progress	NS/JG supported

<b>Channel</b>	<b>Mechanism</b>	<b>Target audience</b>	<b>Timing</b>	<b>Message</b>	<b>Sender</b>
				reports	by CAMS
Written articles	Annual review	HE community	Annual	Progress report	NS/JG supported by CAMS
Written articles	Letters to contractors/consultants	Suppliers	Sept – Dec 2006 & as required	Information on project and offer to work with them	NS/JG supported by CAMS
Written articles	Purchasing newsletter	Purchasing staff	As required	Information on project and progress reports	NS/JG supported by CAMS
Written articles	Annual report	Finance & Estates and Facilities Committees Staff and students	Annual	Progress report	NS/JG supported by CAMS
Written articles	Policy	Staff and students		Raise awareness of policy	NS/JG supported by CAMS
Written articles	Web pages	Staff and students	As required	Overview of the project and progress reports. Vehicle for consultation and feedback. Publish Case Studies	NS/JG supported by CAMS
Written articles	Partnership meetings	Partnerships such as Southampton & Hampshire Partnerships, SEEDA etc	As required	Information about the project and major items of interest.	NS/JG supported by CAMS
Written articles	Case studies	HEIs and local government	As required	Case studies	NS/JG supported by CAMS
Written articles	Press releases	Local and national press	As required	Information on major events	NS/JG supported by CAMS
Written material	Questionnaires	Staff, students & suppliers	As required	Monitor progress & identify changes to project	NS/JG
Conferences, workshops etc	Presentation	HE community	As required	Information about the project and major items	NS/JG supported

<b>Channel</b>	<b>Mechanism</b>	<b>Target audience</b>	<b>Timing</b>	<b>Message</b>	<b>Sender</b>
				of interest. Case studies.	by CAMS

**Appendix J Risk Register**

<b>Risk</b>	<b>Probability</b>	<b>Consequences</b>	<b>Score</b>	<b>Management action</b>	<b>Score</b>
1. Lack of senior management support	Medium	High	High	<ul style="list-style-type: none"> <li>▪ EAUC present to senior managers</li> <li>▪ VC signs off Policy</li> <li>▪ Finance manager is Project Executive</li> </ul>	Low
2. Lack of resources to support project	Medium	High	High	<ul style="list-style-type: none"> <li>▪ Gain commitment from senior managers for involvement in project</li> <li>▪ Keep informed of progress</li> </ul>	Medium
3. Lack of support by core team because of other priorities	Medium	High	High	<ul style="list-style-type: none"> <li>▪ Workshop with EAUC to enthuse and explain project</li> <li>▪ Provide support &amp; guidance</li> <li>▪ Provide opportunity for feedback/initiatives Gain commitment</li> </ul>	Medium
4. Conflict with Govt/EU rules	High	High	High	<ul style="list-style-type: none"> <li>▪ Influence Government policy/guidance through EAUC and HEFCE</li> <li>▪ Provide tight contract specification on social and environmental aspects</li> </ul>	Low
4. Schools decide to opt-out	Medium	Medium	Medium	<ul style="list-style-type: none"> <li>▪ Gain commitment from Heads of Schools by explaining economic, social &amp; environmental benefits</li> <li>▪ Identify quick wins to show what can be achieved</li> </ul>	Low
5. Contracts already in place	High	Low	Medium	<ul style="list-style-type: none"> <li>▪ Work with current supplier to improve performance</li> <li>▪ Prepare brief for re-tender</li> </ul>	Low
6. Supplier has no interest in changing approach	Low	Low	Low	<ul style="list-style-type: none"> <li>▪ Work with supplier to help them understand consequences of action</li> <li>▪ Prepare brief for re-tender</li> </ul>	Low

	Consequences			
Probability	Very low	Low	Medium	High
High	Low	Medium	Medium	High
Medium	Low	Medium	Medium	High
Low	Low	Low	Medium	Medium
Very Low	Very low	Low	Low	Low