

# Public Sector Sustainable Procurement Assessment Framework

Developed by Forum for the Future, revised 2006\*

Forum for the Future is the UK's leading sustainable development charity. <http://www.forumforthefuture>

**Purpose:** Forum for the Future have designed this Assessment Framework, in conjunction with Value Wales, to help public sector organisations determine the extent to which they are currently considering sustainable procurement within their organisation. It incorporates the recommendations of the UK Sustainable Procurement Task Force (UKSPTF) report 'Procuring the Future, June 2006 in respect of the 'Flexible Framework Tool' which is the method recommended by the UKSPTF for public sector scrutiny.

## What does this Assessment Framework do?

- It guides you through a detailed appraisal of your organisation's sustainable procurement capabilities giving you the big picture.
- It will help your organisation undertake an initial evaluation – "where are you now?" and help you improve your organisation's performance by identifying priority areas for change and plan improvements to enable procurement to be carried out in an efficient, effective and sustainable manner.
- It will act as a monitoring tool to measure on-going progress and to help embed sustainable procurement by following the recommended 12-month Action Plan process.

## How does it work?

- The Assessment Framework is structured to help you to track progress in 3 key areas –

*Strategic & Management issues*

*Procurement issues*

*Outcomes & Results*

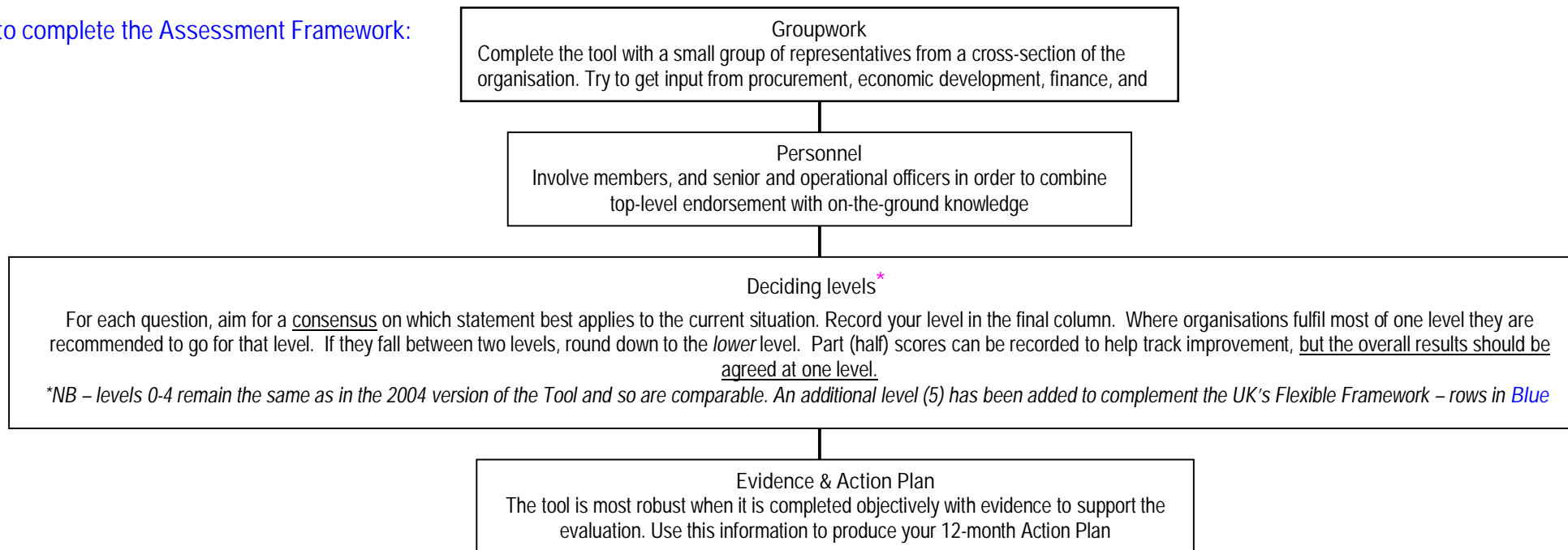
Furthermore as you are going through the Framework it will highlight the priorities for your organisation and inform the writing of your 12 month Action Plan (Section 5).

The Action Plan process is key, completing the Framework alone will not help your organisation to improve its sustainable procurement performance – what will make the difference is the development and implementation of an ongoing 12 month Action Plan.

Following submission of both your Assessment Framework and 12 Month Action Plan to Value Wales [VWPSwansea@wales.gsi.gov.uk] a 12 month review will be arranged to give you the opportunity to discuss progress and barriers to assist VW to develop training and support measures. You will also benefit from the experience of other organisations signed up to the Sustainable Procurement Programme.

\* *The Assessment Framework has recently been updated to reflect the findings of "Procuring the Future" – the national action plan produced by the UK government's Sustainable Procurement Task Force (UKSPTF), 2006, and to incorporate elements from the UKSPTF's 'Flexible Framework' – a one-page benchmarking tool that covers 5 elements: People; Policy, Strategy & Communications; Procurement Process; Engaging Suppliers; Measurements & Results. These have been incorporated into Section 2 of the Framework and are blocked in as the **Blue** rows.*

## How to complete the Assessment Framework:

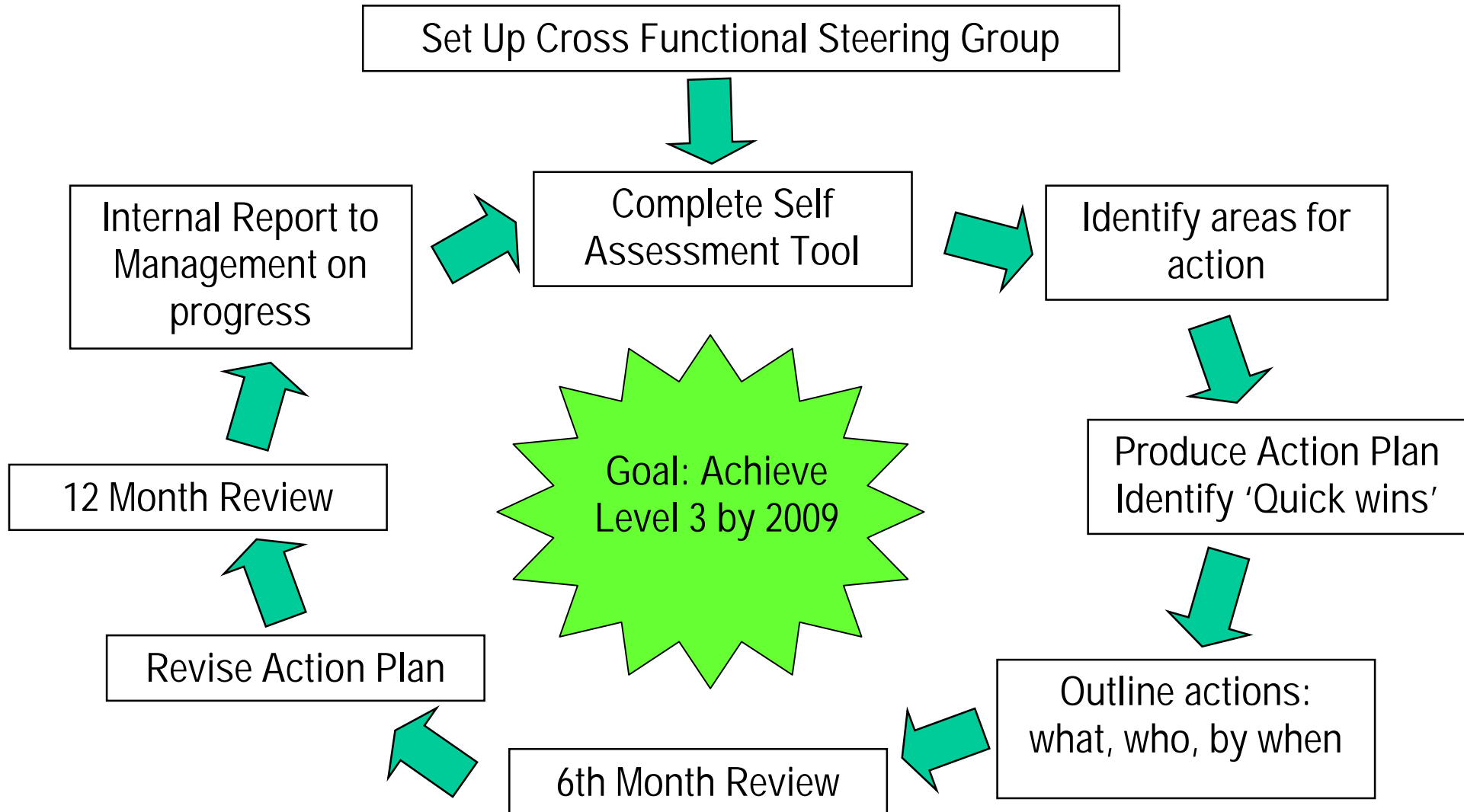


## Why should we complete the Assessment Framework?

This Assessment Framework is based on a number of Sustainable Procurement priorities, such as reduced resource consumption, sound environmental management, community development and regeneration, equalities, and supplier development. For these sustainable procurement priorities to be delivered it is essential that all public sector organisations first have a strong procurement function that manages people, suppliers and IT effectively. Once a strong procurement function has been established, sustainable development objectives can be integrated into all procurement activities.

As one of only three countries / regions which expressly include SD within their constitutions we in Wales are uniquely charged with taking action to achieve sustainable outcomes. Consequently, this Assessment Framework supports the Welsh Assembly Government's Sustainable Development duty that requires the Assembly to promote sustainable development principles in all its functions.

## Sustainable Procurement Action Plan - Process



To understand what Sustainable Procurement means it's important to first understand what is meant by "sustainable development" and "procurement"

Sustainable development (SD) is a process which enables people to realise their potential and improve their quality of life, now and in the future, whilst protecting the environment. Sustainable development policy should include long-term planning, consideration of impacts beyond the local area (regional, national and international impacts) and the integration of social, economic and environmental issues.

Procurement is the whole process of acquisition from third parties covering goods services and capital projects. The process spans the whole life cycle from initial concept through to the end of the useful life of the asset (including disposal) or end of the services contract (Better Value Wales 2000).

Sustainable Procurement (SP) is a key method for delivering an organisations SD priorities. It is all about taking social and environmental factors into consideration alongside financial factors in making these decisions. It involves looking beyond the traditional economic parameters and making decisions based on the whole life-cycle cost, the associated risks, measures of success and implications for society and the environment. Making decisions in this way requires setting procurement into the broader strategic context including value for money, performance management, corporate and community priorities.

*"Sustainable procurement – in short using procurement to support wider social, economic and environmental objectives, in ways that offer real long-term benefits, is how the public sector should be spending taxpayers money. Anything less means that today's taxpayer and the future citizen are both being short-changed. The message from the Task Force is simple: this is worth doing, there are clear benefits, it can be done, it is not difficult, it will not cost more in the medium term and will show real dividends in the long term."*

*Sir Neville Simms – Chairman, UK Sustainable Procurement Taskforce 2006.*

## Section 1: Strategic and Management Issues

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
Commitment to sustainable development (SD)	All levels of staff show, on balance, little or no commitment to or awareness of SD.	SD seen as a 'bolt on' issue to be addressed if resources permit. No individual is charged with managing SD. No resources are dedicated to implementing SD.	Middle manager given responsibility for SD or environmental issues but not given sufficient resources. Little commitment to or awareness of SD demonstrated at senior management level.	Middle manager with responsibility for SD or environmental issues. Resources allocated on a limited basis. General awareness of and commitment to SD from some senior managers, who also act as champions.	Middle & senior managers, including key budget holders and policy makers, committed to and aware of SD. Cross-functional team established and resourced to address SD issues.	Commitment and awareness amongst all managers, Members and Chief Executive Officer (CEO) to support a corporate approach to SD. SD seen as responsibility of Management Board. SD championed at senior management level, and cross-functional team reporting into Management Board. Dedicated resources provided.	
SD Policy	Organisation's overarching social, economic and environmental objectives are not clearly defined. Corporate and Community Strategy objectives, and the objectives of operational and service plans sometimes undermine SD.	Organisation's overarching social, economic and environmental objectives: are defined but lack detail and influence. They are not reflected within operational and service plans, or Corporate and Community strategies.	Organisation's corporate objectives include detailed social, economic and environmental objectives that reflect SD principles. Although they are reflected within Corporate and Community strategies, they are only occasionally reflected in operational or service plans and strategies.	Organisation's corporate objectives and strategies include detailed social, economic & environmental objectives, as reflected in a SD Policy and/or Strategy. However these are still not fully aligned with operational or service plans and strategies, and cross-organisation working to deliver shared priorities only occurs on an ad-hoc basis.	Organisation's corporate objectives and strategies include and integrate social, economic and environmental objectives, and these fully align with operational and service plans and strategies. There is a range of activities underway to demonstrate delivery of SD.	Organisation's corporate objectives and strategies actively promote all aspects of SD and these flow clearly into operational and service plans and strategies. The organisation's SD policy is continually reviewed and benchmarked against peer organisations to ensure that it represents best practice. Stakeholders are also involved in the review process.	
Communication and training on SD	No SD training has been given to staff. No guidance has been issued, nor communication made.	Some SD guidance has been issued to staff on an ad hoc basis, and a few individuals have received basic SD training. Organisational corporate communication does not refer to SD.	Selected staff have completed SD training and awareness. Organisational communication refers to SD activities.	All selected staff have completed SD Training. Most staff have been briefed on organisation's SD plans, attended awareness sessions and been provided with guidance. Communication regularly covers SD.	Formal training on SD is standard throughout the organisation, and is provided on an on-going basis to all levels. Targets and progress are communicated widely.	In addition to level 4, positive contributions to sustainability are recognised and celebrated.	
Performance Measurement & SD monitoring	No existing record of organisation's SD impact, or legislative compliance. No process established to track or communicate SD performance. No Environmental Management System (EMS) in place or planned.	Some social, economic and environmental impacts have been identified and are used to a limited extent. Organisation is aware of and in compliance with environmental and social legislation.	Main social, economic and environmental impacts have been identified, and a process is being set up to record relevant data. Organisation is aware of and in compliance with environmental and social legislation. Limited EMS	Wider SD impacts identified and data systematically gathered and retained. Results communicated and problem areas actioned. EMS recently operational in some departments. Organisation considering	SD impact and performance data includes pollution prevention and carbon emissions. Results are communicated and used to form action plans. EMS is operational in all departments. Organisation has probably achieved	SD impact and performance data analysed to highlight trends and actions for continuous improvement. Targets are set and results published. Organisation has probably achieved IIP, and is certified to ISO 14001/ Eco-Management and Audit	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
			planned but not yet active.	relevant quality awards.	Investors in People (IIP).	Scheme (EMAS) or a sustainability management system.	
Mainstreaming Processes	No sustainability checklist or other mainstreaming technique has been devised for use in decision making. Standing Orders and processes do not support SD.	Sustainability checklist/ other mainstreaming technique has been devised for use in decision-making, but is hardly ever used. Standing Orders and processes make little or no reference to SD issues.	Sustainability checklist/ other mainstreaming technique is in place, and is used on an ad-hoc basis to help SD principles to be integrated into some corporate practice. Standing Orders and processes allow SD to be incorporated	A sustainability checklist/ other mainstreaming technique is in place that helps SD principles to be integrated into most corporate policy and practice. Standing Orders and processes encourage SD	A sustainability checklist is in place and is used consistently to integrate SD fully into all policy and practice (procurement and otherwise). Standing Orders and processes encourage SD	A sustainability checklist is in place and is used to integrate SD fully into all policy and practice (procurement and otherwise). The checklist criteria align with the SD objectives of the community strategy / corporate priorities, and therefore contribute to good performance management.	
Procurement structure and approach	No corporate procurement unit is in place. Procurement is undertaken on a departmental level with no co-ordination.	Procurement unit in place but does not influence all areas of spend, and is seen as having a mainly compliance driven role.	Established procurement unit has some influence over most key contracts	There is an established procurement unit, which has an early influence over all major contracts, but is not viewed as a strategic function.	Procurement is viewed as: a strategic function (rather than merely as supporting services) that brings added value to achieving corporate objectives. Procurement professionals are in place with a structure and remit that maximises delivery to the organisation. Procurement controls expenditure and has early involvement in all major expenditure.	In addition to Level 4, good procurement is recognised as sustainable procurement – delivering true value for money through social, environmental and economic considerations. This is the organisation's procurement ethos.	
AVERAGE score for this section (total scores divide by 6 rows in Strategic and Management Issues section)							

#### NEXT STEP: Action Planning

- Feed priority areas identified by your responses to Section 1 into your 12-month Action Plan. Identify 3-5 priorities to improve your Strategic & Management Issues performance over the next 12 months. Priorities identified here will compliment those from sections 2 and 3 to form your overall Action Plan
- Work towards the goal of achieving Level 3 of the Sustainable Procurement Assessment Framework by 2009
- Note: it is important to first embed sustainable procurement within your organisation's policies, processes, training etc before focusing on outcomes and results. For this reason, it is recommended that actions should be initially linked to Sections 1 and 2. Once a sound base of Strategic & Management issues (section 1) and Procurement Issues (section 2) has been established priorities can be identified to strengthen Outcomes & Results (section 3)

Now complete the Action Plan (Section 5) accordingly.

Section 2: Procurement issues

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
<p>Policy, Strategy &amp; Communication</p> <p>(Based on UKSPTF Flexible Framework)</p>	<p>Either no procurement policy exists; or it is compliance focused and not supportive of SD; or it is unadopted/ followed only on an ad-hoc basis.</p>	<p>Organisation has agreed its overarching SD objectives. A simple sustainable procurement policy is in place endorsed by CEO. This is communicated to all staff and key suppliers. However benefits are not recorded and delivery is reliant on the personal commitment of individuals.</p>	<p>The sustainable procurement policy is regularly reviewed and improved, in particular considers improving supplier engagement and addresses equality and diversity issues. It is also part of the wider Sustainable Development strategy. It is communicated to all staff, suppliers and key stakeholders. However differences still exist in delivery between different parts of the organisation.</p>	<p>The sustainable Procurement policy has been developed into a strategy covering risk, process integration, marketing, supplier engagement, equality and diversity, measurement and a review process. The Strategy includes a clear Action Plan and is endorsed and supported by the CEO.</p>	<p>The sustainable procurement strategy is reviewed and enhanced, in particular recognising the potential of new technologies. The strategy is clearly linked to the organisation EMS and is included in overall corporate strategy. It also links to a regularly reviewed equality and diversity policy. The organisation is taking a consistent approach, and many benefits have been delivered.</p>	<p>The sustainable procurement strategy is reviewed regularly, externally scrutinised and directly linked to the organisations' EMS. It is recognised and supported by political leaders, and is communicated widely. A detailed annual review is undertaken to determine future priorities and a new strategy is produced beyond this framework. Full implementation achieved and business benefits are regularly realised.</p>	
<p>People</p> <p>(Based on UKSPTF Flexible Framework)</p>	<p>SD is not considered important within the personnel function. Job descriptions do not mention SD. The link between procurement and SD has not been made so no training or development is provided. Limited guidance materials have been made available to staff, but they are rarely used.</p>	<p>Key procurement staff have received basic training in sustainable procurement principles, and guidance materials have been made available (although they are not regularly used). Staff have little experience of integrating sustainability into procurement.</p>	<p>A Sustainable procurement Champion has been identified. All procurement staff have received basic training in sustainable procurement principles. Key staff have received advanced training on sustainable procurement principles in the last 12 months. However, there is no formal process to apply learning into work roles. All procurement staff has access to guidance materials that are used on a more regular basis. Sustainable procurement is included as key part of employee induction.</p>	<p>All staff undertake targeted refresher training on latest sustainable procurement principles. Performance objectives and staff appraisals include sustainable Procurement factors and learning is applied into work roles. Guidance materials are used on a regular basis. Sustainable procurement is included as key part of employee induction.</p>	<p>Sustainable procurement is included in staff competencies and selection criteria. Procurement staff have personal development plans which include sustainable procurement. Learning has enhanced performance. Sustainable procurement is included as key part of employee induction.</p>	<p>Achievements are publicised and used to attract and recruit procurement professionals. Good practice is promoted and recognised externally. Focus is on benefits achieved. Good practice is shared with other organisations. Comprehensive guidance and tools are applied to all major procurements and a partnership approach is adopted involving clients and procurement staff jointly.</p>	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
Procurement Processes  (Based on UKSPTF Flexible Framework)	The organisation does not have a clear picture of how much it spends on what, as an early step in considering how to prioritise improvements to sustainability.	Expenditure analysis undertaken and key sustainability impacts identified. Key contracts start to include general sustainability criteria. Contracts awarded on the basis of value-for-money, not lowest price. Staff have access to guidance on whole life costing, but this is rarely used. Procurers adopt Quick Wins.	Detailed expenditure analysis undertaken, key sustainability risks assessed and used for prioritisation. Sustainability is considered at an early stage in the procurement process of most contracts, but process timetables do not always allow time for SD to be assessed. Degree of whole-life-cycle cost analysis adopted, e.g. running and disposal costs are included in tender evaluation, but whole life costing is rarely used in specification decision making. Tenderers are encouraged to offer more sustainable variants in tender options.	All contracts are assessed for general sustainability risks and management actions identified. Risks managed throughout all stages of the procurement process. Whole-life-cycle analysis is applied more widely, both in specification drafting and tender evaluation. 'Invest to save' is sometime used in business case development. Targets to improve sustainability are agreed with key suppliers.	Detailed sustainability risks assessed for high impact contracts. Project/contract sustainability monitoring and controls are in place. A life-cycle approach to cost/impact assessment is applied and is a key part of the procurement process. 'Invest to save' is a common practice in relevant business case development.	SD is integral to all stages of all procurement. Life-cycle analysis has been undertaken for key expenditure / commodity areas. Sustainability KPIs agreed with key suppliers. Progress is rewarded or penalised based on performance. Barriers to sustainable procurement have been removed. Best practice is shared with other organisations. The benefits of savings from whole life costing are secured even if benefits accrue to other departments or other public sector organisations.	
E-Business	No use of E-Business tools to improve efficiency or contract accessibility.	Limited use of E-Business tools to improve efficiency or contract accessibility.	Organisation is piloting E-Business tools to improve efficiency. Good use is made of websites to share information. A few contracts have been advertised via the National Procurement Website (NPW)- www.buy4wales.co.uk	Organisation is adopting E-Business procedures to improve efficiency. Good use is made of websites to share information. A few contracts have been advertised via the NPW - www.buy4wales.co.uk	Organisation is making good use of E-Business (including appropriate use of websites, purchase cards, on-line catalogues etc). Contracts are regularly advertised through local / regional / national procurement portals (e.g. NPW).	In addition to Level 4, the organisation has an established record of using E-Business and in continually improving. All contracts are advertised through local / regional / national procurement portals (e.g.NPW).	
Collaboration / Leadership	No joint working with other organisations or willingness to adopt others' good practice. No sharing of own good practice with other authorities.	Organisation has worked with other authorities on a small number of one-off contracts / projects	Organisation sometimes works with other authorities, and sometimes shares areas of good practice. Sometimes responds to requests for data.	Organisation often shares areas of good practice within sector, and takes part in sectoral collaboration.	Organisation shares good practice as a matter of course and data across sectors, and works on regional or sectoral basis as appropriate.	Organisation leads by example in sharing good practice and data and assists others in the public sector to mainstream sustainable procurement.	
Ethical Procurement	No procedures are in place for considering sourcing issues e.g. ethics, fair trade, equality, animal welfare, traceability in supply chain or labour conditions.	Organisation has a policy statement on ethical sourcing issues but no action has been taken to implement it.	Organisation has a policy statement on ethical sourcing issues but only ad-hoc procurement of a small number of low value goods (e.g. tea, snacks, etc) are procured through ethical routes such as 'fair trade'.	Organisations policy statement is being implemented and the ethical issues in the policy are being addressed in <u>some</u> procurement processes.	Ethical sourcing and traceability issues over and above those covered by the Organisations policy statement are <u>standard</u> considerations for <u>general</u> procurement processes.	Ethical sourcing and traceability are considered as part of <u>all</u> procurement processes. Information on ethical criteria is easily available. Decisions have been made which have had a positive impact.	



	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
Equality & Diversity (E&D)	No Equality & Diversity Policy in place, therefore no consideration of equalities issues within procurement.	A regularly reviewed general Equality & Diversity Policy is in place. Organisation has signed up to the "Equality Standard" or equivalent, which maps out its improvements in this area. Still no consideration within procurement.	Procurement Policy includes E&D. Key procurement staff have been identified to undertake E&D training and understand links with procurement.	Procurement Policy specifies that all staff involved in procurement are required to undertake E&D training and understand links with procurement. E&D issues are integrated into the contracting process as appropriate. E&D issues are promoted with suppliers.	Equality & Diversity issues are considered as standard through every part of the procurement process. E&D issues are clearly communicated to suppliers and are acted upon by suppliers.	Equality & Diversity issues are considered as standard through every part of the procurement process. E&D outcomes are monitored, and publicised, with suppliers.	
Engaging Suppliers & Developing Supplier Relationships  (Based on UKSPTF Flexible Framework)  The Opening Doors Charter for SME Friendly Procurement in Wales has been substituted for the equivalent National SME Concordat in England that is referred to in the Flexible Framework.	Minimal 'arms length' contact with suppliers leading to low mutual understanding. No information on organisational expenditure or supply chains, and no processes for engaging with suppliers. Little awareness of the impact of procurement decisions on the wider community. There is no strategy to make contracts more accessible, or remove barriers to SMEs / social enterprises (SE's) / Third Sector.	Key supplier spend analysis undertaken and high sustainability impact suppliers identified. Key suppliers targeted for engagement and views on procurement policy sought. Improved knowledge of local economy and the impact of procurement on the community. The Opening Doors Charter for SME Friendly Procurement (The Opening Doors Charter) has been adopted but is only a peripheral influence. Some ad hoc attempts at making contracts more accessible to SMEs / SE's / Third Sector have been tried	Detailed supplier spend analysis has been undertaken and used to identify strategic suppliers. General programme of supplier engagement initiated, with senior manager involvement. Suppliers can discuss issues during formal reviews. Post tender supplier de-briefing is always carried out. The Opening Doors Charter has been adopted and is being implemented and there is a strategy for making contracts more accessible to SMEs / SE's / Third Sector.	Targeted supplier engagement programme in place, promoting continual sustainability improvements. A two way communication between procurer and supplier exists, with incentives. Procurement officers have a good understanding of the market place for key commodities. Supply chains for key spend areas have been mapped, as have local supply chains which impact on the local community. Supply chain opportunities are supported by creating networking opportunities. Informative supplier de-briefing is carried out. Opening Doors charter is being implemented and some progress has been made in making contracts more accessible to SMEs / SE's / Third Sector.	Key suppliers targeted for intensive development. Sustainability audits and supply chain improvement programmes in place. Achievements are formally recorded. CEO involved in the supplier engagement programme. Procurement is proactive in local supply chain development and in evaluating the impact of procurement on the wider community. Procurement positively encourages new suppliers (including SMEs) and organises / attends education/ networking events. An increasing number of bids are received from new suppliers. The Opening Doors Charter implementation is effective in engaging new SMEs/ SE's / Third Sector.	Effective supplier strategy and relationship management is delivering benefits. Suppliers recognised as essential to delivery of organisations' sustainable procurement strategy and are involved in SD action plans. CEO engages with suppliers. Best practice shared with other/peer organisations. Suppliers recognise they must continually improve their sustainability profile to keep the client's business. Procurement works to stimulate innovation and help new entrants (e.g. through sector based discussion and promotion of procurement opportunities). The Opening Doors Charter is fully operational and suppliers are invited to indicate if and how they intend to create opportunities in their supply chains for SMEs/ SE's / Third Sector enterprises.	
Contract Monitoring, Measurements &	There is no structured monitoring of the	Key sustainability impacts of procurement activity	Detailed appraisal of the sustainability impacts of the	Sustainability measures refined from general	Measures are integrated into a balanced score card	Measures are used to drive organisational sustainable	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Result & comments
Results (Based on UKSPTF Flexible Framework)	sustainability performance of procurements or suppliers.	have been identified. Simple measures are in place and are being applied, although this is often reliant on the personal commitment of individuals. Contract / supplier performance management is left to individual budget holders, and monitoring does not address SD issues on a regular basis	procurement activity has been undertaken. Measures are implemented to manage the identified high-risk impact areas, although differences still exist in delivery between individual departments. Identification and delivery of benefits is in the early stages. Contract / supplier performance measurement processes with identified key suppliers do monitor relevant SD issues.	departmental measures to include individual procurers / contracts and are linked to development objectives. Suppliers are encouraged to generate effective management information. Some clear benefits have been delivered. Appropriate contract / supplier management processes monitor SD performance.	approach reflecting both input and output. Comparison is made with peer organisations. Benefit statements have been produced, and these are used to identify and agree action plans to improve SD. Appropriate contract / supplier management processes monitor SD performance Data is used to jointly identify and agree with suppliers action plans to improve SD.	development strategy direction. Progress formally benchmarked with peer organisations. Benefits from sustainable procurement are clearly evidenced and realised. Independent audit reports available in the public domain. All contract/supplier management processes monitor SD performance. Positive outcomes from SD action plans developed and agreed with suppliers have been achieved and recorded.	
AVERAGE score for this section (total scores divide by 9 rows in Procurement Issues section)							

**NEXT STEP: Action Planning**

- Feed priority areas identified by your responses to Section 2 into your 12-month Action Plan. Identify 3-5 priorities to improve your Procurement Issues performance over the next 12 months. . Priorities identified here will compliment those from sections 1 and 3 to form your overall Action Plan
- Work towards the goal of achieving Level 3 of the Sustainable Procurement Assessment Framework by 2009
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Now complete the Action Plan (Section 5) accordingly.

### Section 3: Outcomes & Results

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Results & Comments
High SD Risk Goods & Services (Based on the UKSPTF priorities)	There is no structured approach to focusing sustainable procurement activity on the UK top 10 priority areas identified by the UKSPTF (see below as relevant to the organisation's activities).	The organisation has adopted the OGC "Quick Wins" product list and the Common Minimum Standards (as relevant to construction projects) in all relevant priority areas.  Level 1 on the Flexible Framework requires public sector organisations to have adopted minimum mandatory standards in all (relevant) Top 10 priority areas.	As well as focusing on the UK top 10 priority areas, the organisation has undertaken it's own prioritisation assessment to identify priority areas of expenditure for attention.  In addition, some social or economic issues are also taken into account on an ad-hoc basis.	In addition to the Quick Wins and Common Minimum Standards (which primarily focus on environmental criteria), the organisation includes social considerations when developing product specifications etc.	Minimum environmental, social and economic criteria are <u>regularly</u> integrated into procurement activities, for UK top 10 priority areas and organisation-specific priority areas.	Minimum environmental, social and economic criteria are integrated into <u>all</u> procurement activities, for UK top 10 priority areas and organisation-specific priority areas. The criteria area regularly reviewed to ensure that they continue to represent best practice.	
<i>These priorities were established through a combination of sustainability risk, influence on the market, and scope to improve.</i>  (Based on UKSPTF Flexible Framework)	<p><i>Top 10 priorities:</i></p> <ul style="list-style-type: none"> <li>• Construction (building, refit, operations, maintenance, roads, etc)</li> <li>• Health and social work (operating costs, care homes, social care provision)</li> <li>• Food</li> <li>• Uniforms, clothing and other textiles</li> <li>• Waste</li> <li>• Pulp, paper and printing</li> <li>• Energy</li> <li>• Consumables - office machinery, computers, white-goods etc</li> <li>• Furniture</li> <li>• Transport (business travel, motor vehicles)</li> </ul> <p><i>Further Taskforce priorities:</i></p> <ul style="list-style-type: none"> <li>• IT / computer services</li> <li>• Pharmaceuticals</li> <li>• Telecommunications, radio, tv</li> <li>• Chemicals</li> </ul>						

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Results & Comments
Energy management	Energy consumption is not monitored, and no energy comes from renewable sources. Specifications for IT equipment, light-bulbs motors etc are <u>not</u> low usage.	Energy consumption is monitored on an ad hoc basis. No energy comes from renewable sources. Some areas buy low usage IT equipment, light bulbs, motors etc. Some staff are aware of how they can manage their own consumption but implementation is reliant on the personal commitment of individuals.	Energy consumption is monitored for some sections, but efficiencies have yet to be achieved. Less than 10% of energy comes from renewable sources. Some awareness raising on how staff can manage their own consumption has been undertaken but it is not communicated in a co-ordinated way and is reliant on the personal commitment of individuals and section managers.	Energy consumption is monitored across all sections. Procurement involved in establishing energy strategy. As a minimum, contracts have options for low usage IT equipment, light bulbs, motors etc. Less than 10% of energy comes from renewable sources. An organisation wide staff awareness campaign communicates how individuals can manage their consumption and is included in induction training.	Energy consumption is monitored and reported across organisation. An Energy strategy and the business case for any required investment has been agreed. Procurement involved in implementation. Energy consumption has fallen by 5-10%. Between 20% and 50% of energy comes from renewable sources. All specifications for new IT equipment, light bulbs, motors etc are for low usage, and 50% of equipment is in this category. A staff awareness campaign communicates how individuals can manage their consumption and is included in induction training.	IT is used to monitor energy consumption in all sections. Energy strategy is delivering benefits. Energy consumption has fallen by 20%. Alternative energy sources are used to reduce reliance on fossil fuel throughout organisation, with the maximum possible coming from renewable sources. 100% of IT equipment, light bulbs, motors are low usage. A staff awareness campaign communicates how individuals can manage their consumption and is included in induction training. All staff attend energy awareness refresher courses.	
Use of Recycled materials	No procedures are in place for considering recycled content when procuring goods, works and services	Any procurement of recycled materials is small-scale and ad hoc.	There may be a policy statement on procuring recycled content, but no co-ordinated action is taken to implement this. The policy statement encourages suppliers to offer recycled copier and printing papers wherever practical to do so. The policy statement encourages suppliers to offer recycled options or products with recycled content wherever practical to do so.	Some specifications for the procurement of goods, works and services include recycled content. Other purchases (e.g. aggregates, construction material etc) also specify recycled contents.	Organisation is regularly specifying a recycled content in a number of relevant areas of its procured goods, works and services – e.g. aggregates and construction material.	Organisation is specifying high standards for recycled content in all relevant goods, works and services. For example: <ul style="list-style-type: none"> <li>• Construction: at least 10% of materials value of projects &gt;£500k derive from recycled content, and contractors provide evidence of best practice</li> <li>• Highways</li> <li>• Paper – all office paper has a minimum 70%, and printing papers a minimum 50%, recycled content.</li> </ul> Policy that all Copier/Office, Printing and Tissue Paper must contain the recommended minimum recycled content	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Results & Comments
Waste management	<p>Waste management practices, and hazardous waste procedures are in place but not reviewed annually.</p> <p>Waste is not segregated for recycling and/or specialist disposal.</p> <p>Suppliers are not encouraged to reduce packaging or minimise waste.</p>	<p>Organisation is compliant with legislation. Waste management practices and hazardous waste procedures are reviewed periodically.</p> <p>Waste is segregated for recycling and/or specialist disposal in different buildings on ad hoc basis. Suppliers are not encouraged to reduce packaging or minimise waste</p>	<p>Waste management practices and hazardous waste procedures are reviewed periodically. Cleaning / facilities and waste services contracts clearly cover responsibilities. Waste is always segregated for recycling and/or specialist disposal in most buildings. Staff have options to recycle office waste' i.e. are recycling facilities made generally available for the internal working of the organisation. Data on waste is recorded. Waste levels are probably increasing.</p>	<p>Waste management practices and hazardous waste procedures are reviewed annually and a pollution prevention plan agreed. Cleaning / facilities and waste services contracts encourage suppliers to reduce landfill and improve recycling. Waste is segregated for recycling and/or specialist disposal in most sections. Some suppliers have been influenced to taken action to reduce packaging, establish recycling or minimise waste Total waste has not increased and recycling has improved on last year.</p>	<p>Waste management practices, and hazardous waste procedures are reviewed and updated annually. Contracts for cleaning / facilities and waste services have all reduced landfill and improved recycling. Waste is segregated for recycling and/or specialist disposal throughout organisation. Key suppliers have been influenced taken action to reduce the negative environmental impact of their products or services. Total waste has reduced and recycling substantially improved on last year.</p>	<p>Waste management practices, and hazardous waste procedures are reviewed and updated annually. Waste management contracts pursue Best Practicable Environmental Option according to the '3 R's – reduce, re-use, and recycle', Operators are encouraged to improve their performance on an on-going basis. Through joint action plans with suppliers, the negative environmental impact of a large number of products or services has reduced.</p>	
Water management	<p>Water usage is not monitored, and no effort is made to reduce consumption.</p>	<p>Water usage is monitored on ad hoc basis, and has probably remained static over the year. No consideration of recycling or re-use.</p>	<p>Water usage is monitored on ad hoc basis and some effort has been made to reduce consumption and / or promote recycling and reuse, with limited effect.</p>	<p>Water usage is monitored in most departments and there have been some successful efforts to reduce consumption and promote recycling / reuse. Procurement is involved in reviewing opportunities for further improvements.</p>	<p>As for Level 3.</p> <p>Also, water usage is monitored in most departments, and has reduced over the last year. Decisions on implementing water recycling and reuse have been implemented in appropriate contracts.</p>	<p>As for Level 4. Water usage is regularly monitored throughout the organisation. Water consumption has fallen on a year on year basis. Appropriate suppliers are actively involved in continually improving water management.</p>	
Building & Construction	<p>New build and estates management do not consider any of the following issues:</p> <ul style="list-style-type: none"> <li>• Resource efficiency</li> <li>• Use of sustainable materials</li> <li>• Reducing adverse visual impacts</li> <li>• Users health and well-being, safety and ease of use</li> <li>• Transport impacts</li> <li>• Pollution</li> <li>• Ecology</li> </ul>	<p>New build and estates management may consider some of the issues listed in Level 0, but on an ad hoc basis.</p> <p>BREEAM rating (or NEAT equivalent) would not exceed 'pass'.</p>	<p>New build and estates management consider the issues listed under Level 0, for important projects only.</p> <p>BREEAM rating (or NEAT equivalent) would not exceed 'pass'.</p> <p>Construction sites have a Site Waste Management Plan consistent with DTI guidance.</p>	<p>New build and estates management routinely consider the issues listed under Level 0 for all projects, and procurement are involved in these reviews.</p> <p>BREEAM rating of "Good" (or NEAT equivalent) is achieved on all new build.</p> <p>Construction Site Waste Management Plan includes measuring and</p>	<p>New build projects take action to address all the issues listed under Level 0, early on in the project. Estates management have action plans to improve all areas in existing buildings.</p> <p>Procurement has implemented appropriate actions to improve sustainability of procurement.</p> <p>BREEAM standard of</p>	<p>There is an established process to address all of the issues listed in Level 0, in both new build and on-going estates management.</p> <p>New build and estates management work together, and with procurement to achieve this.</p> <p>BREEAM standard of 'excellent' (or NEAT equivalent) is achieved wherever possible.</p>	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Results & Comments
	<ul style="list-style-type: none"> <li>Local community</li> <li>Amenity value</li> </ul> <p>No BREEAM or NEAT measurement made.</p>			improving performance on waste minimisation and recycling.	"very good" (or NEAT equivalent) is achieved on all new build.		
Transport	No transport policy is in place. No efforts made to use low emission, fuel-efficient vehicles and clean fuel.	Any efforts to reduce environmental and social impact of staff 'business mileage' or fleet mileage through procurement have been small-scale and ad hoc.	Business travel management policy is in place but is informal and not adhered to. Some consideration is given to emission standards and fuel efficiency i.e. the Travel management policy determines when hire is applicable and if so the size of vehicle is matched to numbers travelling.	Formal business travel management policy is in place but not reviewed regularly. Initial efforts made to reduce need to travel and to promote sustainable travel options. Some departments use low emission, fuel-efficient vehicles and clean fuel.	Formal business travel management policy is in place and is reviewed regularly but not annually. Initial efforts made to reduce need to travel and to promote sustainable travel options. Some departments use low emission, fuel-efficient vehicles and clean fuel, and these options are available on vehicle hire and lease contracts.	Formal business travel management policy is in place and reviewed annually. Procurement also promotes reduction in transport impacts e.g. through reducing delivery/collection frequencies. Low emission, fuel-efficient vehicles and clean fuel are used throughout organisation, and these are the preferred product on vehicle hire and lease contracts. A policy is in place to reduce need to travel business and fleet mileage and to promote sustainable options when travel can't be avoided.	
Food	Food provision is not co-ordinated across the organisation.	Food procurement is controlled but decisions are cost based. There is no consideration of nutrition or the benefits of developing local supply chains, and little data.	Food procurement is controlled but decisions are cost based. There is an understanding of the benefits of procuring, fresh, seasonal and nutritious food, but there is little record of progress in this regard.	Organisation knows how much food is locally sourced, and the benefits of procuring, fresh, seasonal and nutritious food are understood and healthy food choices are provided. Food procurement decisions are made on a cost/quality basis. Menus and food comply with set standards. In the NHS hospital catering services comply with the WAG Nutrition and Catering Framework.	Organisation is implementing action plan to increase the amount of fresh, seasonal and nutritious food, and has succeeded for a few specific products. Menus or specifications have been changed to improve nutritional content and a nutritionally balanced menu is provided in line with Food Standards Agency Balance of Good Health. Fairly traded and organic products are available as options.	The amount of fresh, seasonal and nutritious food procured has increased year on year. The use of fairly traded and organic products is promoted internally and use has increased. An organisational nutrition strategy has been developed and implemented in line with recommendations in the WAG 'Food for Thought' sustainable public sector procurement guidance.	

	Level 0	Level 1	Level 2	Level 3	Level 4	Level 5	Results & Comments
Supplier performance and policies	Organisation has no knowledge of suppliers' policies and performance.	Suppliers are sometimes asked for information on equal opportunities and health and safety policies but this is not kept or used. There are unlikely to be any contracts that have considered social issues.	Site based suppliers are only rarely considered for internal training. Procurement records information on supplier equal opportunities and health and safety policies. A few specific contracts may address social issues in contract conditions.	Site based suppliers are allowed to attend internal training (e.g. health and safety training). Suppliers are aware of organisation's social policies. Procurement uses its records to encourage suppliers to develop their own staff and improve equal opportunities and diversity or working conditions, supporting International Labour Organisation standards. Specific contracts address social issues in contract conditions.	Site based suppliers regularly attend appropriate organisational briefing or training sessions. Some specifications and contract conditions require suppliers to develop their own staff and address equal opportunities and diversity or working conditions in a specific manner. Key suppliers have improved performance on health and safety, working conditions, equality and diversity, and meet ILO standards. Organisation's social policies are clearly communicated.	In addition to Level 4 – A 'partnership working' ethos characterises the organisations approach to supplier relationship management which with an effective supplier strategy is delivering benefits by encouraging improved supplier performance. Suppliers recognise they must continually improve their social, environmental and economic performance to remain competitive. Suppliers are recognised as essential to the delivery of the organisations' policies and are involved in policy reviews. Supplier's policies reflect the organisations policy aims. Best practice is shared with other/peer organisations.	
AVERAGE score for this section (total score divide by 9 rows in Outcomes and Results section)							

#### NEXT STEP: Action Planning

- Section 3 enables Outcomes & Results to be benchmarked, and for progress to be tracked thereafter. It also facilitates action planning targeted on outcomes. Outcomes and results will also be positively affected by making progress on Sections 1 (Strategic and Management Issues) and 2 (Procurement Issues).
- However, as it is important to first embed sustainable procurement within your organisation's policies, processes, training etc before focusing on Outcomes and Results, priority areas should initially be drawn from Sections 1 and 2.
- Once a sound base of Strategic & Management issues (section 1) and Procurement Issues (section 2) has been established priorities can be identified in to strengthen Outcomes & Results (section 3).

Now complete the Action Plan (Section 5) accordingly.

## Section 4: Overall Organisational Results

(Please refer to Appendix 1 for a completed Example)

### Instructions:

1. Refer back to each section (1-3) to calculate your overall score by taking an average across all headings within that section.
2. Refer back to the blue highlighted rows denoting material from the UKSPTF's Flexible Framework. Look at the level you assigned to each highlighted row, and enter the appropriate level value for each row on the table below. This gives you a quick overview of where your organisation stands on the Flexible Framework.
3. Find your organisation's overall level on the whole SPAF by entering the appropriate level value calculated by instruction 1 above for Sections 1-3.

	0 Not yet on level 1	Level 1 Foundation organisation	Level 2 Embedding organisation	Level 3* Practicing organisation	Level 4 Enhancing organisation	Level 5 Leading organisation
Section 1: Management Issues						
Section 2: Procurement Issues						
Policy, Strategy & Communications (Flexible Framework)						
People (Flexible Framework)						
Procurement Processes (Flexible Framework)						
Engaging Suppliers (Flexible Framework)						
Contract Monitoring Measurement & Results (Flexible Framework)						
Section 3: Outcomes & Results						
UKSPTF Flexible Framework organisation level						
OVERALL level of the organisation						

\* There is an expectation that all public sector organisations will achieve at least at Level 3 by 2009, whilst achieving Level 5 in at least one area.



## Section 5: Action Planning

- Based on your response to Sections 1 and 2 (in the first instance), complete the 12-month Action Plan by identifying 6-10 SMART actions (3-5 from each section) to improve your organisation's sustainable procurement performance and work towards the goal of achieving Level 3 of the Sustainable Procurement Assessment Framework by 2009
- Note: it is important to first embed sustainable procurement within your organisation's policies, processes, training etc before focusing on outcomes and results. For this reason, actions should initially focus on Sections 1 and 2.
- Please refer to the Procurement Route Planner ([www.buy4wales.co.uk](http://www.buy4wales.co.uk)) for further supporting guidance and information

Priority Areas for Action:	Current Level	Actions (NB: these need to be SMART: Specific, Measurable, Achievable, Realistic, Time limited)	Required Outcome	Responsibility <i>e.g. department or personnel</i>	Review of Progress:	Completion Date:
Priority 1:						
Priority 2:						
Priority 3:						
Priority 4:						
Priority 5:						
(NB: add more rows as necessary)						

**Appendix 1: Completed Example** - Calculating your overall organisation's results on both the Sustainable Procurement Assessment Framework (SPAF) and the UK Sustainable Procurement Taskforce's (UKSPTF) 'Flexible Framework'

Instructions:

1. Refer back to each section (1-3) to calculate your overall score by taking an average across all headings within that section.
2. Refer back to the blue highlighted rows denoting material from the UKSPTF's Flexible Framework. Look at the level you assigned to each highlighted row, and enter the appropriate level value for each row on the table below. This gives you a quick overview of where your organisation stands on the Flexible Framework.
3. Find your organisation's overall level on the whole SPAF by entering the appropriate level value calculated by instruction 1 above for Sections 1-3.

	0 Not yet on level 1	Level 1 Foundation organisation	Level 2 Embedding organisation	Level 3* Practising organisation	Level 4 Enhancing organisation	Level 5 Leading organisation	Sub Totals
Section 1: Management Issues			2				2
Section 2: Procurement Issues				3			3
Policy, Strategy & Communications (Flexible Framework)				3			3
People (Flexible Framework)					4		4
Procurement Processes (Flexible Framework)				3			3
Engaging Suppliers (Flexible Framework)			2				2
Contract Monitoring Measurement & Results (Flexible Framework)			2				2
Section 3: Outcomes & Results			2				2
UKSPTF Flexible Framework organisation level	Add up total level scores for Blue UKSPTF rows and divide by 5 (the number of rows to find where your organisations sits on the UKSPTF Flexible Framework)						14 ÷ 5 = 2.8 round down = level 2
OVERALL level of the organisation on Sustainable Procurement Assessment Framework	Add up total level scores for ALL rows (both the Blue UKSPTF rows and 3 sections of the SPAF and divide by 8 (the total number of rows to find where your organisations sits on the SPAF)						21 ÷ 8 = 2.6 round down = level 2

\* There is an expectation that all public sector organisations will achieve at least at Level 3 by 2009, whilst achieving Level 5 in at least one area.