

SPLC Maturity Model for Sustainable Purchasing Programs

Revised Apr 21 2017

Principles		Outcomes		Questions		Maturity Levels		
	Level	Outcome						
UNDERSTANDING The organization understands the environmental, social, and economic impacts of its purchasing.	Organization	The organization has assessed the (positive and negative) environmental, social, and economic impacts of its purchasing.	U-1.1: Environmental Impact Assessment How does your organization determine the range of environmental impacts included in its sustainable purchasing policy or program? U-1.2: Social Impacts Assessment How does your organization determine the range of social impacts included in its sustainable purchasing policy or program? U-1.3: Economic Impacts Assessment How does your organization determine the range of economic impacts included in its sustainable purchasing policy or program? U-1.4: Leadership's Understanding To what extent does senior leadership have a prioritized understanding of opportunities?	The scope includes non-regulatory issues identified on an ad hoc basis.	The scope includes relevant impacts identified and prioritized through a careful investigation and stakeholder engagement.	A process for identifying and prioritizing emerging impacts in an ongoing way is systematized and resourced.	The scope includes all relevant impacts identified and prioritized through analysis conducted by peers, industry, civil society organizations, or other external parties.	
	Employee / Buyer	Staff understand how to improve the relevant environmental, social, and economic performance of the purchasing they influence.	U-2: Staff Awareness To what extent do relevant staff know how to identify and take action on opportunities to improve the sustainability of the purchasing they influence? U-3.1: Supplier Input To what extent is the organization's understanding informed by suppliers? U-3.2: Stakeholder Input To what extent is the organization's understanding informed by other external stakeholders? U-3.3: Multi-stakeholder Collaboration How does the organization contribute to relevant multi-stakeholder efforts to understand the opportunity for broad market transformation?	Efforts to raise awareness and provide guidance are ad hoc.	Some relevant staff receive formal guidance on how to identify and take action on opportunities.	A formal process exists for documenting and disseminating lessons learned in ongoing way.	All relevant staff receive guidance on how to identify and take action on opportunities.	
	Supplier / Stakeholder	The organization's assessment of the environmental, social, and economic performance of its purchasing includes input from all relevant suppliers and external stakeholders.	U-3.1: Supplier Input To what extent is the organization's understanding informed by suppliers? U-3.2: Stakeholder Input To what extent is the organization's understanding informed by other external stakeholders? U-3.3: Multi-stakeholder Collaboration How does the organization contribute to relevant multi-stakeholder efforts to understand the opportunity for broad market transformation?	No formal program exists to solicit supplier input, but unsolicited input is reviewed and considered.	Input from suppliers is solicited on an ad hoc basis.	Input from suppliers is solicited in a systematic and ongoing way.	Input from suppliers is reviewed as part of high-level dialogues with suppliers, such as Annual or Quarterly Business Reviews.	
				U-3.1: Supplier Input To what extent is the organization's understanding informed by suppliers? U-3.2: Stakeholder Input To what extent is the organization's understanding informed by other external stakeholders? U-3.3: Multi-stakeholder Collaboration How does the organization contribute to relevant multi-stakeholder efforts to understand the opportunity for broad market transformation?	No formal program exists to solicit external stakeholder input, but unsolicited input is reviewed and considered.	Input from external stakeholders is solicited on an ad hoc basis.	Input from external stakeholders is solicited in a systematic and ongoing way.	External stakeholders recognize the organization as a leader in understanding the performance of its purchasing.
COMMITMENT The organization commits to implementing a sustainable purchasing program that takes responsibility for the environmental, social, and economic impacts of its purchasing.	Organization	The organization's sustainable purchasing program has the necessary resources and executive support for implementing strategies that improve the environmental, social, and economic performance of the organization's purchasing.	C-1.1: Program Resources To what extent has the organization resourced a sustainable purchasing program? C-1.2: Program Integration To what extent is the sustainable purchasing program integrated into strategic plans and commitments set by management? C-1.3: Commitment to Program Strategies To what extent has the organization committed to program strategies for meaningfully addressing the priority issues identified and prioritized in U-1.1-1.3? C-1.4: Priorities & Action Alignment To what extent is the organization addressing the range of issues identified and prioritized in U-1.1-1.3?	Resources (staff and budget) are assigned to design a sustainable purchasing program.	Resources are assigned to establish the program's operations.	The ongoing operation of the program is supported with dedicated resources and cross-functional participation.	Resources are assigned to support program evaluation, reporting, and continuous improvement processes.	
	Employee / Buyer	Management and relevant staff are engaged in developing the organization's sustainable purchasing strategies, and are accountable for implementation.	C-2.1: Staff Engagement To what extent are relevant staff engaged in development of the sustainable purchasing program's goals and strategies? C-2.2: Staff Accountability To what extent has your organization embedded sustainability into purchasing roles, responsibilities, and accountabilities?	Staff engagement is limited or ad hoc.	Relevant staff are actively engaged in developing goals and strategies.	A cross functional group of staff provides input into goal-setting and strategy development in an ongoing way.	Cross-functional group includes executive involvement.	
	Supplier / Stakeholder	The organization's sustainable purchasing commitments are communicated to suppliers and other external stakeholders.	C-3.1: Supplier Engagement How does the organization communicate its sustainable purchasing commitments to suppliers? C-3.2: Stakeholder Engagement How does the organization communicate its sustainable purchasing commitments to other external stakeholders?	The organization's supplier information website expresses a general commitment to sustainable purchasing.	The organization's supplier information website describes the time-bound goals and strategies the organization has committed to.	The goals and strategies are included in ongoing two-way dialogues, such as supplier summits and annual business reviews.	The organization's executive leadership communicates the time-bound goals and strategies to the organization's full supply base.	
				C-3.1: Supplier Engagement How does the organization communicate its sustainable purchasing commitments to suppliers? C-3.2: Stakeholder Engagement How does the organization communicate its sustainable purchasing commitments to other external stakeholders?	The organization's sustainability or CSR website expresses a general commitment to sustainable purchasing.	The organization's sustainability or CSR website describes the time-bound goals and strategies the organization has committed to.	Messages about the time-bound goals and strategies are incorporated into ongoing communication channels with key stakeholders, such as investors, customers, and NGOs.	The organization's executive leadership communicates the time-bound goals and strategies in communications with external stakeholders.
RESULTS The organization delivers on its commitment to improve the relevant environmental, social, and economic impacts of its purchasing.	Organization	The environmental, social, and marketplace performance of the organization's purchasing meets or exceeds meaningful goals.	R-1.1: Program Evaluation To what extent does the organization measure the results of its sustainable purchasing program? R-1.2: Program Results To what extent has the program achieved meaningful results? R-1.3: Program Reporting To what extent does the organization report its results?	The organization informally assesses the extent of implementation of the program.	The organization uses quantitative metrics to formally assess the extent of implementation of the program.	The organization estimates its contribution to collective (society-wide) goals using relevant units.	Estimated contribution to collective (society-wide) goals is validated by an independent third party	
	Employee / Buyer	Staff are meeting or exceeding sustainable purchasing goals that are included in their performance expectations.	R-2.1: Staff Training To what extent are staff trained to support implementation of sustainable purchasing program? R-2.2: Staff Evaluation To what extent are staff evaluated on their contribution to the success of the sustainable purchasing program?	Some relevant staff receive training.	Most relevant staff receive training.	All relevant staff receive training.	All staff receive enough training and information to identify latent opportunities for improvement.	
	Supplier / Stakeholder	Suppliers and stakeholders actively support meaningful improvements in the environmental, social, and economic performance of the organization's purchasing.	R-3.1: Product Evaluation To what extent are sustainability criteria embedded in the evaluation of the products the organization purchases? R-3.2: Services Evaluation To what extent are sustainability criteria embedded in the evaluation of the services the organization purchases? R-3.3: Supplier Evaluation To what extent does the organization evaluate its suppliers' enterprise-wide sustainability? R-3.4: Supplier Development To what extent does the organization actively support the development of suppliers' sustainability performance?	Product evaluation includes sustainability criteria on an ad hoc basis.	Product evaluation includes sustainability criteria for some priority categories.	Product evaluation includes sustainability criteria for most priority categories.	Product evaluation includes sustainability criteria for all priority categories.	
				R-3.1: Product Evaluation To what extent are sustainability criteria embedded in the evaluation of the products the organization purchases? R-3.2: Services Evaluation To what extent are sustainability criteria embedded in the evaluation of the services the organization purchases? R-3.3: Supplier Evaluation To what extent does the organization evaluate its suppliers' enterprise-wide sustainability? R-3.4: Supplier Development To what extent does the organization actively support the development of suppliers' sustainability performance?	Service evaluation includes sustainability criteria on an ad hoc basis.	Service evaluation includes sustainability criteria for some priority categories.	Service evaluation includes sustainability criteria for most priority categories.	Service evaluation includes sustainability criteria for all priority categories.
INNOVATION The organization actively promotes internal and external innovation that advances a positive future.	Organization	The organization actively encourages and supports new approaches that improve the environmental, social, and economic impacts of its purchasing and supply chains.	I-1.1: Non-financial Award Criteria What proportion of eligible procurements include non-financial award criteria that directly address potential environmental, social, and/or economic impacts? I-1.2: Performance-based Specifications What proportion of eligible procurements use performance-based specifications to clearly communicate environmental, social, and/or economic goals for which creative solutions are requested? I-1.3: Total Cost of Ownership & Full Cost Accounting What proportion of eligible procurements is evaluated using total cost of ownership (TCO) and/or full cost accounting (FCA)? I-1.4: Approach for Procuring Innovation How many different strategies are part of the organization's approach to procuring innovation?	5% to 25%	26% to 50%	51% to 75%	76% to 100%	
	Supplier / Stakeholder	The organization engages and assists suppliers and stakeholders in developing new approaches that improve the environmental, social, and economic impacts of its purchasing and supply chains.	I-3.1: Small and Medium Enterprise Purchasing What proportion of eligible procurements are made Small and Medium Enterprise (SME)-friendly? I-3.2: Supporting Supplier Innovation To what extent does the organization actively promote supplier innovation? I-3.3: Supplier Diversity To what extent does the organization promote supplier diversity?	5% to 25%	26% to 50%	51% to 75%	76% to 100%	
				I-3.1: Small and Medium Enterprise Purchasing What proportion of eligible procurements are made Small and Medium Enterprise (SME)-friendly? I-3.2: Supporting Supplier Innovation To what extent does the organization actively promote supplier innovation? I-3.3: Supplier Diversity To what extent does the organization promote supplier diversity?	Offers an opportunity for all suppliers to provide input on procurement processes.	Hosts a meeting for all interested suppliers at least once per year, to receive input on how to improve procurement processes to foster supplier innovation.	Actively engages the supplier community on a pre-competitive basis in advance of tendering.	Established mentoring programs to develop and grow suppliers' capacity to deliver innovations that address environmental, social, and economic impacts.
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TRANSPARENCY The organization solicits and discloses information that supports a marketplace of innovation.	Organization	The organization actively encourages and enables transparency of information about the environmental, social, and economic performance of products, services, and supply chains.	T-1.1: Product Sustainability Disclosure In the past year, what actions did your organization take to encourage the disclosure of information about the sustainability of products or services? T-1.2: Product Information Sharing To what extent does the organization share relevant information about the sustainability of the products or services it uses? T-1.3: Streamlining Product Transparency To what extent does the organization contribute to efforts to streamline the sharing of sustainability information about products or services?	Requested sustainability-related product information for some relevant solicitations.	Requested sustainability-related product information for most relevant solicitations.	Required suppliers to disclose sustainability-related product/service information.	Supported and/or participated in multi-stakeholder initiatives to encourage disclosure of sustainability-related product/service information.	
	Supplier / Stakeholder	The organization engages suppliers and stakeholders in collecting and disclosing information about the environmental, social, and economic performance of products, services, and supply chains. (removed "relevant" [suppliers and stakeholders / products...])	T-3.1: Transparency Risk Assessment To what extent have you assessed whether you are buying products from supply chains with a high risk of hidden impacts? (e.g., corruption, conflict minerals, sweatshop apparel, illegal forestry) T-3.2: Beneficial Ownership Disclosure To what extent does the organization require suppliers to disclose their beneficial owners? T-3.3: Supplier Sustainability Disclosure To what extent do you give preference to or incentivize suppliers for publicly reporting their current sustainability performance? T-3.4: Public Supplier Performance Goals To what extent do you give preference to or incentivize suppliers for publicly reporting targets and timelines for improving their sustainability performance?	Assessment is primarily reactive to media coverage, public interest advocacy, or proposed legislation.	Assessment includes risks identified through a one-time careful investigation and stakeholder engagement.	A process for identifying and prioritizing risks in an ongoing way is systematized and resourced.	Assessment includes all relevant risks identified through analysis conducted by peers, industry, civil society organizations, or other external parties.	
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				T-3.1: Transparency Risk Assessment To what extent have you assessed whether you are buying products from supply chains with a high risk of hidden impacts? (e.g., corruption, conflict minerals, sweatshop apparel, illegal forestry) T-3.2: Beneficial Ownership Disclosure To what extent does the organization require suppliers to disclose their beneficial owners? T-3.3: Supplier Sustainability Disclosure To what extent do you give preference to or incentivize suppliers for publicly reporting their current sustainability performance? T-3.4: Public Supplier Performance Goals To what extent do you give preference to or incentivize suppliers for publicly reporting targets and timelines for improving their sustainability performance?	In some solicitations.	In some solicitations and with a segment of current suppliers.	In most solicitations or with most current suppliers.	In all solicitations and for all current suppliers.
			T-3.1: Transparency Risk Assessment To what extent have you assessed whether you are buying products from supply chains with a high risk of hidden impacts? (e.g., corruption, conflict minerals, sweatshop apparel, illegal forestry) T-3.2: Beneficial Ownership Disclosure To what extent does the organization require suppliers to disclose their beneficial owners? T-3.3: Supplier Sustainability Disclosure To what extent do you give preference to or incentivize suppliers for publicly reporting their current sustainability performance? T-3.4: Public Supplier Performance Goals To what extent do you give preference to or incentivize suppliers for publicly reporting targets and timelines for improving their sustainability performance?	In some solicitations.	In some solicitations and with a segment of current suppliers.	In some solicitations and with a segment of current suppliers in high risk categories.	In all solicitations and for all current suppliers in high risk categories.	