A PRACTICAL GUIDE TO
THE UNITED NATIONS GLOBAL COMPACT FOR HIGHER EDUCATION INSTITUTIONS:

Implementing the Global Compact Principles and Communicating on Progress

United Nations Global Compact

About the United Nations Global Compact

The United Nations Global Compact is a call to companies everywhere to voluntarily align their operations and strategies with ten universally- accepted principles in the areas of human rights, labour, environment and anti-corruption, and to take action in support of UN goals, including the Millennium Development Goals. The UN Global Compact is a leadership platform for the development, implementation, and disclosure of responsible corporate policies and practices. Launched in 2000, it is largest corporate responsibility initiative in the world, with over 8,000 signatories based in 140 countries.

For more information: www.unglobalcompact.org

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Disclaimer

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Welcome

It is with great pleasure that we welcome you as a new higher education participant of the United Nations Global Compact. As an academic institution, you have joined the world's leading voluntary corporate citizenship initiative, which includes thousands of businesses from every continent, in addition to hundreds of other stakeholders, including non-profit organisations and public institutions.

We have developed this guide to provide assistance during your journey as a participant, in the spirit of maximizing the benefits that participation in the Global Compact offers. It is intended to steer you through the key participation requirements and help you develop a strategic approach to drive your institution's success and achieve your objectives. Our goal is to continuously improve this guide to fit the needs of new participants. Your feedback is therefore very much appreciated.

While the Global Compact requires a leadership commitment, it is as crucial in higher education as in business that participants pursue an engagement strategy that involves all organisational functions and permeates the institution's strategy, operations, and culture. This holistic approach will help generate maximum value by positioning your organisation well to manage the spectrum of emerging challenges and opportunities in the context of globalisation. We hope you find this guide useful in this endeavor.

Georg Kell
Executive Director
UN Global Compact

Welcome from the UN Global Compact Academic Working Group

Welcome to the United Nations Global Compact. With your commitment, you have joined a fast- growing network of businesses, academic institutions, and other stakeholders from around the world seeking to contribute to a more inclusive and stable global market.

As academic institutions, many of us believe that our educational mission already addresses many of the Global Compact's principles. However, purposely extending the reach of these principles beyond what we do in the classroom enables us to more completely align our operations with universal values, helping us to take an additional leadership role in managing and minimizing the many risks institutions face in this age of global complexity.

Commitment to the Global Compact also promises to help higher education institutions (HEIs) attract the best students, as the expectations of new generations of students are changing and increasingly focused on universal values. Academic institutions implementing and publicly embracing the principles of the UN Global Compact should have a competitive advantage in that they will also be able to fully prepare their students to assume responsibility in their professional and civil life. The benefits for academic institutions are therefore extensive.

The tangible benefits of the Global Compact are felt by all of our participants, educational institutions, non-governmental organisations (NGOs), small businesses and multinational corporations alike. The adage that you can "do well by doing good" has indeed become one of the strongest value propositions in support of inculcating a conscious culture of social responsibility across all dimensions of business practice, perhaps especially within educational institutions. I daresay that the Academy has a special responsibility to lead in this area, for institutions of higher education are at their best and most noble when they combine theory with praxis. Through our embodiment of the normative framework of the Global Compact across academic institutions, we can serve as important exemplars of what can happen when complex organisations consciously take on the challenge of living as responsible corporate citizens.

There are many ways in which the Global Compact can provide valuable support as you embark on your journey. This guide will help you understand the expectations of your participation, but also outline different options of engagement to better leverage the strengths of the Global Compact to the benefit of your institution.

I hope you will find this publication useful in your efforts.

Sincerely,
Dr. Mitch Leventhal
Vice Chancellor for Global Affairs, State University of New York (SUNY)
and Senior Advisor on Academic Affairs, UN Global Compact

Introduction and Overview

The United Nations Global Compact is the world's largest voluntary corporate sustainability initiative. Organisations join the Global Compact because they share the conviction that business practices rooted in universal principles contribute to more stable and inclusive economies, more prosperous and thriving societies, and a more educated citizenry. The Global Compact has been widely adopted by businesses, but until now the process for adoption by HEIs has not been clearly mapped. With the publication of this Guide, HEIs are encouraged to participate in the Global Compact as deeply and meaningfully as the thousands of traditional corporate and organisational participants that have adopted its principles for over a decade.

Thousands of participating companies from nearly 140 countries, as well as many non-business participants report regularly on their progress. The Communication on Progress (COP) has become a hallmark of the Global Compact, since it provides organisations with a tangible reference point as they continue to improve processes and operations to create more optimal social conditions at home and in the world.

A unique feature of the Global Compact is that participation not only commits the institution as a whole, but specifically its leadership. Within education, the personal involvement of top administrators is an important signal to faculty, staff, students, alumni, and other stakeholders that the institution's citizenship engagement is a strategic and operational priority. An institution-wide commitment can thus have tremendous influence on the quality of Global Compact implementation.

The Commitment

Participation in the UN Global Compact is a visible commitment to the implementation, disclosure, and promotion of ten universal principles.

An HEI joining the initiative is expected to:
- make the UN Global Compact and its principles an integral part of institutional strategy, day-to-day operations, and campus culture;
- incorporate the UN Global Compact and its principles in the institution's highest-level decision-making processes;
- take actions in support of UN goals and issues, including the Millennium Development Goals;
- communicate regularly with its stakeholders on progress made to implement the principles, ideally integrated into the Communication on Progress (COP); and
- advance the UN Global Compact and the case for responsible organisational practices through advocacy and active outreach to peers, students and alumni, corporate and community partners, and the public at large.

There are a variety of engagement opportunities to further maximize the benefits of participation in the Global Compact, a number of which are outlined in this guide, supported by examples from member institutions committed to implementing the Global Compact.

The Global Compact IS…
- a voluntary initiative to promote sustainable development and good corporate citizenship
- a set of values based on universally accepted principles
- a global network of organisations and their stakeholders
- a learning community

The Global Compact is NOT…
- legally binding
- a means of monitoring institutional behavior and enforcing compliance
- a performance standard or management system
- a regulatory, certification or accrediting body
- a public relations channel

The Value of Participation: The Critical Role of Higher Education

As the complexity of HEI operations increasingly overlaps with societal interests and development objectives, and as HEIs develop global activities in many locations and contexts, responsible HEI practices and cross-sector partnerships play a more important role than ever before. To foster a more inclusive and stable global market, the active engagement of higher education will be critical. At the same time, responsible HEI practices not only contribute to the well-being of stakeholders, they have increasingly become a long-term value proposition for the institution itself. It makes business sense for HEIs to invest in creating a sound environment in which to operate, and to partner with the corporate sector in a common mission of global citizenship

In 2007, the Principles of Responsible Management Education (PRME) initiative was launched at the Global Compact Leaders' Summit in Geneva, with the goal of instilling the principles of the Global Compact into business schools and their curricula. PRME's mission focuses on management education and the institutions and programs that teach in this field. Its particular emphasis is placed on curriculum, instruction and research. PRME has grown into a significant movement, more than 400 member institutions from over 60 countries.

In harmony with this initiative, the goal of the Global Compact Academic Working Group is to facilitate the adoption and dissemination of the Global Compact in all categories of HEIs across the globe, with an initial focus on business operations, gradually extending to faculty research and the curriculum across all disciplines. The mission, vision and objectives of the Working Group are:

Mission:
To promote the adoption and implementation of the Global Compact's ten principles holistically by HEIs, through the creation and dissemination of applicable tools.

Vision:
To create a context in which HEIs are able to build upon their awareness of their social responsibilities and have the necessary tools to fulfill these obligations.

Objectives:
- Develop guidelines for academic institutions to implement the Global Compact principles in their goals, strategies, and operations.
- Build upon awareness within the global academic community regarding its social responsibility and available tools for implementation and self-assessment.
- Evaluate the sustainability of the guidelines and highlight best practices.

Engaging in the Global Compact and implementing the principles can help HEIs to:
- be a role model for their stakeholders — faculty, staff, students, businesses and the community;
- expand and deepen views about research and development;
- improve organisational integration of environmental, social and governance issues;
- address HEI opportunities and risks;
- improve operational efficiencies;
- mitigate risk at home and abroad;
- access the experiences and good practices of peers, networking with other enlightened organisations;
- acquire practical know-how;
- attract, motivate and retain faculty and staff;
- enhance institutional reputation;
- engage in a proactive and constructive dialogue with civil society and other stakeholders;
- establish better links with the United Nations; and
- take a leadership role on critical issues.

Our End Goal: CSR in Higher Education

Recent financial, ecological and social crises have raised questions concerning the responsibility of the corporate world. Paralleling these concerns, the role of HEIs in educating and training decision makers — and the role they may have played in these crises — has come under increased scrutiny as well. The

latest wave of corporate scandals is, once again, placing pressure on HEIs to emphasize ethics, social responsibility, and sustainable practices.

In order to fulfill their mission in a world in perpetual transformation, HEIs must recognize that their own actions should reflect the values and norms which they claim to embody. This means deepening their own commitment to corporate social responsibility (CSR) at the operational level.

Although developing coursework on CSR is critical and encouraged, it is equally important to recognize the moral imperative of the Hippocratic Oath, "Doctor, heal thyself," and internalize these practices across HEIs as well. While these issues have always been a part of the educational mission of colleges and universities, through participation in the Global Compact, HEIs move the focus beyond the classroom and research projects into their own institutional operations.

Our main objective is to enhance the operation of HEIs, focusing on their broader responsibilities as organisations, corporate entities, schools, and agents of wider social change.

The differentiating factor between HEIs and traditional corporate entities is the double dimension of their responsibility. Through their daily operations, as with all organisations, HEIs have a direct and immediate impact on society and the environment. As educational institutions, they also have a broader responsibility to frame and disseminate knowledge and capabilities concerning both positive (e.g., employment) and negative (e.g., discrimination, pollution) externalities.

 Going beyond the current student body, the behavior and actions of alumni reflect directly back upon their institutions. Especially in HEIs, the paradigms, frameworks and tools taught in different programs readily shape the behavior and decisions of future professionals, from short-term corporate visions to a broader, multi-stakeholder focus.

The exhibit on the opposite page captures the scope of this responsibility for HEIs.

The first level of responsibility, which is common to all organisations, concerns social, environmental and economic performance dimensions:

- **Social:** working conditions of staff, diversity policy, social dialogue, integration of stakeholders, training, governance, etc.
- **Environmental:** transport and building policy, responsible purchasing, policy concerning reduction of greenhouse gas emissions, etc.
- **Economic:** territorial, investment policy, green business, contribution to the community, sustainable development performance indicators, etc.

As schools, HEIs have a second level of responsibility to produce socially responsible citizens who include sustainability issues in their professional management decisions and take part in developing socially and environmentally responsible, ethical companies. In all disciplines, it is important that educators at every level help shape the behaviour and decision-making skills of its students — our world's future.

SCOPE OF RESPONSIBILITY

SOCIAL	ENVIRONMENTAL	ECONOMIC

HEI RESPONSIBILITY

AS ORGANISATIONS

SOCIAL	ENVIRONMENTAL	ECONOMIC
• Personal well-being • Personal development • Health & safety • Human rights • Social & cultural diversity • Employability	• Waste and pollution • Natural resource preservation • Energy • Climate change • Biodiversity preservation	• Financial transparency • Financial sustainability • Community development • Anti-corruption • Governance

AS SCHOOLS

SOCIAL	ENVIRONMENTAL	ECONOMIC
• Socially responsible behavior of graduates and partners • Personal and professional well-being of graduates	• Inclusion of environmental sustainability issues in the managerial decisions made by graduates	• Participation of graduates in the economic and ethical development of society

LEVERS OF ACTION

AS ORGANISATIONS

SOCIAL CAPITAL	ENVIRONMENTAL CAPITAL	ECONOMIC CAPITAL
• Working and learning conditions • Diversity policy • Access to knowledge • Intellectual Development • Social dialogue • Stakeholder engagement	• Transportation policy • Building solutions • GHG emissions management • Sustainable purchasing	• International strategy • Local community involvement • Investment and remuneration policy • Quality and efficiency management • Risk management • Sustainable performance indicators

IN PROGRAMMES & RESEARCH

INTELLECTUAL CAPITAL

• Pedagogical approach • Curriculum content • Learning by doing	• Research themes • Transversal research • Exemplary behavior	• Evolving information sources • Provident of standards

Adapted From Euromed Management /Kedge 2009

Implementing the Principles

HEIs that have signed on to the Global Compact commit to implementing the GC's ten principles into their strategies and operations. However, small colleges and large universities alike are sometimes uncertain about the right approach. While there is no single "correct" method or model, it is important that implementation of the ten principles is understood as a long-term commitment to continuous performance improvement.

As many different management models and approaches can assist in the process, key success factors in implementing the Global Compact principles include:

- treating the principles as an integral part of institutional strategy and operations as well as educational mission;
- clear commitments from senior-level administration;
- communication of the commitment throughout all levels of the organisation to ensure broad support for the principles;
- an environment favorable to new ideas and business innovation;
- developing measurable targets and a transparent system of communicating progress;
- willingness and ability to learn and adapt, and share good practices;
- dedication to practical actions;
- working with suppliers and corporate and community partners to extend corporate responsibility practices; and
- openness to engage and dialogue with the institution's stakeholders.

SPHERE OF INFLUENCE

HEIs are asked to embrace, support and enact the Global Compact's ten principles within their "sphere of influence." Perhaps the term is better described as spheres of influence, and envisioned as a series of concentric circles, where influence diminishes as the circles get bigger. The smallest circle includes an HEI's core activities in terms of its campus governance practices and operation as an institution. The middle circle covers the educational mission, perhaps where HEIs can exert the greatest influence on ESG (environment, social, governance) insight and performance. The outer circle, where control is perhaps the weakest, reflects broader local and global engagement, including interaction with the surrounding community, educational programs in other countries, the public policy dialogue and corporate engagement.

The UNGC Management Model in Higher Education

The "UN Global Compact Model in Higher Education" is intended to guide HEIs through the process of formally committing to, assessing, defining, implementing, measuring, and communicating an institutional sustainability strategy based on the Global Compact and its ten principles.

It is a simple, yet broad and flexible model to guide colleges and universities of all sizes through the process of organisational change to embrace corporate sustainability. This model, produced in collaboration with Deloitte and a range of corporate sustainability and management experts, has been modified to fit the unique nature of HEIs. It is particularly helpful for those just entering the sustainability realm, but also offers guidance on Leadership Practices for more experienced HEIs.

COMMIT — Leadership commitment to mainstream the Global Compact principles into strategies and operations and to take action in support of broader UN goals, in a transparent way

ASSESS — Assess risks, opportunities, and impacts across Global Compact issue areas

DEFINE — Define goals, strategies, and policies

IMPLEMENT — Implement strategies and policies through the company and across the company's value chain

MEASURE — Measure and monitor impacts and progress toward goals

COMMUNICATE — Communicate progress and strategies and engage with stakeholders for continuous improvement

THE GLOBAL COMPACT in Higher Education

INSTITUTIONALIZING GLOBAL COMPACT PRINCIPLES

While there are a number of approaches that colleges and universities have used to ensure institutionalization of the Global Compact principles, several HEIs have dedicated positions that oversee the process. La Trobe University (Australia), for example, appointed a Pro Vice-Chancellor (Sustainability) to drive the University's efforts to make sustainability and social responsibility a central component of the institution. The Office of the Pro Vice- Chancellor (Sustainability) leads and supports an ongoing emphasis on embedding sustainability principles in the university's operations and curriculum and conducting research that enhances the sustainability of the University's communities.

Bentley University (United States) created its Alliance for Ethics and Social Responsibility to amplify and extend the work of the core centers and initiatives on campus that focus on ethics, social responsibility, civic engagement and sustainability. The goal is to create greater awareness of, respect for, and commitment to these issues in teaching, research, campus operations, and external relations.

Euromed Management, one of France's top-ranked business schools, has a Center for Corporate Social Responsibility, whose director serves as a champion for these issues across the institution. Euromed Management has committed its programs to educate future managers with these ideals in mind, enabling them to "see the world through different eyes." The school also has 25 CSR officers who act as liaisons between the CSR Department and their own departments, helping to disseminate the CSR strategy across the campus and bring new ideas and insights that have the potential to shape school strategy.

The Ten Principles in Higher Education

The following pages are intended to clarify how the key concepts in the UN Global Compact's ten principles can be applied to HEIs, providing suggestions for practical steps HEIs can take at the outset of their implementation process, and sharing examples of what colleges and universities have been doing in this area. More comprehensive information on these principles as applied to the corporate world can be found on the Global Compact website at www.unglobal-compact.org/Issues/index.html.

RELATIVE TUITION COST

Educatis University (Switzerland) has a worldwide and uniform differentiated and transparent tuition policy based on the World Bank analytical income categories. The tuition fees for students from high-income countries are taken as base (100 percent) for the discounts offered to students from mid-income and low-income countries, which are published on the institution's homepage. The discounts are up to 40 percent for students from mid-income countries and up to 60 percent for students from low-income countries. Remuneration systems are based on the differentiated tuition fee scheme and applied worldwide without any discrimination.

HUMAN RIGHTS (Principles 1-2)

Human rights are commonly understood as those rights that are inherent to human beings (e.g., the right to education, freedom of speech). The concept of human rights acknowledges that every single human being is entitled to enjoy his or her human rights without distinction as to race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status.

PRINCIPLE 1: Businesses should support and respect the protection of internationally proclaimed human rights; and
PRINCIPLE 2: make sure that they are not complicit in human rights abuses.

The responsibility for human rights does not rest with governments or nation states alone. Human rights issues are important both for individuals and the organisations that they create. As part of their commitment to the Global Compact, HEIs have a responsibility to uphold human rights both on their campuses and more broadly within their sphere of influence.

Organisations can be complicit with respect to human rights violations on several levels. Direct complicity occurs when an organisation actively assists in human rights violations committed by others. Beneficial complicity suggests that an organisation benefits indirectly from human rights abuses committed by others. Silent complicity describes a situation where a company may not be assisting or encouraging human rights violations, nor benefiting from the actions of those that commit abuses, but is viewed as staying silent in the face of human rights abuses.

Some suggested steps:
- Develop your institution's business case for human rights ("Why are human rights relevant to our organisation?").
- Develop and encourage a transparent and-rights-aware approach in both educational mission and operational practices.
- Make use of existing human rights resources and guidance materials.
- Find out what your institution is already doing with respect to human rights, for instance under health and safety, labour relations, and human resource policies.
- Establish procedures for identifying and managing risks and opportunities related to human rights, and for addressing human rights impacts.
- Put in place management systems for human rights policy implementation, monitoring, and reporting across the institution.
- Learn from sector-wide business initiatives on human rights and consider a collective action approach with industry peers where appropriate.
- Provide mechanisms to protect employees who report potential human rights concerns within the institution or with business partners.

In 2007, the State University of New York – Geneseo established its Food Project to explore the relationships between food, environmental sustainability and social justice. Bringing together scholars, students, and activists, the Project explores these issues as they have unfolded on local, regional, national, and international levels, including the creation of a campus community garden to serve as a model for experiential learning and community building.

REACHING OUT TO VULNERABLE POPULATIONS

Istanbul Bilgi University's (Turkey) Center for Migration Research established the "Tarlabasi Community Center" in the Tarlabasi neighborhood of Beyoglu, Istanbul. The Center provides social and educational support for women and children who live under severe social discrimination and poverty in the city to which they have migrated. These people are the most vulnerable groups struggling with problems resulting from migration and poverty. The Community Center provides a place for the inhabitants of Tarlabasi to attend activities, realize and develop their abilities and communication skills, and strengthen their self-expression capacities. In addition, the University's Human Rights Law Research Centre focuses on raising awareness and protecting and developing human rights and humanitarian law both domestically and internationally. Finally, the Bilgi's Child Studies Unit started the "Pusulacik" project to support the dissemination of human rights education for children. Pusulacik is the Turkish version of Compasito, which is a manual for human rights education for children developed by the Council of Europe. The manual compiles various experiences of teachers, youth workers, social workers and NGOs from around Europe. Istanbul Bilgi University Child Studies Unit has translated the manual into Turkish, printed 2500 copies, and disseminated it to the experts that are working actively on children rights. The university has also been holding training programs for primary school teachers, social workers, youth workers and volunteers working on the subject.

HUMAN RIGHTS (ILLUSTRATIVE ISSUES)

- **Student admissions**
  - Relative tuition costs & practices
- **Safe & healthy work & study conditions**
  - Well-being of all organisational members: students, staff, administrators, faculty
- **Non-discrimination**
  - Urban v. rural access
  - Women v. Men
  - Indigenous v. non-indigenous
  - Equal pay for equal work
  - Elections
- **Freedom of expression & association**
  - Inclusive governance
  - Freedom of ideas & opinion across stakeholders
  - Contributions to public debate
  - International operations
- **Diversity: Accommodation (allowance) of differences**
  - Gender, religion, cultural, disabilities, dress
- **Fair Decision-making practices**
  - Merit-based allocation of faculty/staff development opportunities
  - Transparency in elections
  - Due process with respect to accusations
- **Respect of local cultures / Intercultural learning**

La Trobe University's employment terms and conditions, salary scales, classifications, and other entitlements are outlined in the La Trobe University Collective Agreement, which covers 99 percent of staff. A wide range of benefits and entitlements are also offered to staff members, including childcare facilities, parental leave and flexible work options.

LABOUR (Principles 3-6)

The Global Compact's labour principles are derived from the International Labour Organisation's (ILO) Declaration on Fundamental Principles and Rights at Work.

PRINCIPLE 3: Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;
PRINCIPLE 4: the elimination of forced or compulsory labour;
PRINCIPLE 5: the effective abolition of child labour; and
PRINCIPLE 6: the elimination of discrimination in respect of employment and occupation.

Some suggested steps:
- Ensure that institutional policies and procedures do not discriminate against individuals because of their views.
- Provide information needed for meaningful bargaining.
- Have a clear policy not to use, be complicit in, or benefit from forced labour.
- Write employment contracts in language easily understood by staff members, indicating the scope of and procedures for leaving the job.
- Be aware of countries, regions, sectors, and economic activities where there is a greater likelihood of child labour.
- Adhere to minimum age provisions of national labour laws and regulations.
- Develop and implement mechanisms to detect child labour.
- Support and help design community educational, vocational training, and counseling programmes for working children.
- In communities, encourage and assist in launching supplementary health and nutrition programmes for children removed from dangerous work, and provide medical care.
- Implement policies and procedures which make qualifications, skill and experience the basis for the recruitment, placement, training, and advancement of staff.
- Establish programs to promote access to skills development training.
- Provide staff training on disability awareness and reasonably adjust the physical environment.

DISABILITY SUPPORT

Esucela Technica Superior de Ingenieros Industriales-Universidad Politecnica Madrid (ETSII-UPM, Spain) created a disability support unit to promote a university free of barriers to ensure equal opportunities and non-discrimination for persons with disabilities. To achieve this goal, the University is developing programs that include improving accessibility in the Centers and removing architectural barriers; developing awareness programs; providing necessary technical and human resources for each student (sign language interpreters, adaptations and computer reading posts); providing teacher-mentors to advise students with disabilities; promoting labor programs and practices designed to promote the employability of students and graduates with disabilities; and establishing relationships with other public administrations and social organisations in the disability sector. Although this a centralized service to the entire university, there are specific individuals with responsibility for these issues in each center.

Bentley University's (USA) commitment to providing equal educational opportunities for students with disabilities and impairments is operationalized through its Office for Disability Services (ODS). The ODS provides academic and personal support to full- and part-time undergraduate and graduate students with diagnosed learning disabilities, including attention-deficit/hyperactivity disorder, psychiatric/psychological disabilities, deafness and hearing impairments, blindness and low-vision impairments, mobility/orthopedic disabilities, systemic disorders and medical conditions, and temporary disabilities.

LABOR (ILLUSTRATIVE ISSUES)

- **Freedom of association for staff & students**
- **Forced/Compulsory Labor Controversies**
  - Adjunct Professors & Exploitative Contracts
  - Holding Passports of Laborers
- **Commitment to Fair Trade**
- **(Sub-)Contracted Labor Policies**
  - Abroad (international campus operations)
  - Domestic (Outsourcing)
- **Disability Issues & Compliance**
- **Student Labor Policies**
  - Work Study & Assistantships Internships
- **Hiring & Advancement Practices/ Policies Discrimination**
  - Design of Programs (day/evening)
  - Hiring & promotion practices
- **Work/Life Balance**
  - Virtual Teams & Use/Abuse of Technology
  - Meeting times/expectations
- **Workplace Health & Safety Issues**
  - Communication of Hazards
  - Global Assignments
  - Medical Waste Removal
  - Computer/Technology Disposal

ENVIRONMENT (Principles 7-9)

PRINCIPLE 7: Businesses should support a precautionary approach to environmental challenges;
PRINCIPLE 8: undertake initiatives to promote greater environmental responsibility; and
PRINCIPLE 9: encourage the development and diffusion of environmentally friendly technologies.

Precaution involves the systematic application of risk assessment (hazard identification, hazard characterization, appraisal of exposure and risk characterization), risk management, and risk communication. When there is reasonable suspicion of harm and decision makers need to apply precaution, they have to consider the degree of uncertainty that appears from scientific evaluation.

Higher education institutions have the responsibility to ensure their activities do not cause harm to the environment of their neighbors. Society also expects HEIs to be good neighbors. Organisations gain legitimacy through meeting the needs of society, and increasingly society is expressing a clear need for more environmentally sustainable practices.

Specific steps include:
- Provide information to students and stakeholders about potential environmental risks of products and services.
- Join industry-wide efforts to share knowledge and deal with issues, in particular production processes and products around which a high level of uncertainty and sensitivity exist.
- Establish sustainable production and consumption programs with clear performance objectives to take the organisation beyond compliance in the long-term.
- Establish institutional policy on the use of environmentally sound technologies.
- Measure, track and communicate progress in incorporating sustainability principles into institutional practices.
- Share and disseminate information illustrating the benefits of using clean technologies.
- Use life-cycle assessments (LCA) in the development of new technologies and products.

THE BLACKOUT CHALLENGE

Working with the Bentley Green Society, a student organization focused on environmental issues and activism, Bentley University's (Massachusetts) Office of Sustainability held an energy reduction competition. During the "2010 Blackout Challenge," Bentley students competed to reduce energy use in their residence halls. Weekly updates created rivalry amongst students and between residence halls, making the 2010 Challenge the most successful competition yet.

Three residence halls – Cape, Castle, and Stratton – produced the highest percentage reduction in electricity use at 9.4 percent. Together, all of the residence halls on campus saved 56,670 kWhs of electricity during the month of February, which was enough electricity to power 5.3 homes for an entire year. An outside donor volunteered to match the total kWhs saved with a $5,667 donation to The Water Project, a non-profit organisation working to rebuild drinking water wells in Haiti after the 2010 earthquake.

OFFICE OF SUSTAINABILITY

As a way of promoting a campus-wide commitment to sustainability, many HEIs have established Sustainability Offices. These departments are typically charged with establishing institutional practices that promote environmental sustainability, including measures to increase energy and water efficiency while decreasing waste generation, with the ultimate goal of shrinking the HEI's carbon and ecological footprints. HEIs with sustainability offices include LaTrobe University (Australia), the State University of New York- Geneseo, and Bentley University (US).

PURCHASING

Euromed Management (France) launched a Research Chair focusing on the ecological, environmental, and economic dimensions of the purchasing function. The Sustainable Purchasing Chair is funded by three major companies (L'Occitane, SNCF, and Sodexo), together with three NGOs (WWF , Max Havelaar, and Extra-Muros), which all serve on the steering committee. With professors specialized in marketing, purchasing, strategy and supply chain management, the Chair has adopted a multi-faceted approach. Two illustrative projects are an analysis of what "sustainable sourcing" means in practice and an assessment of the organisational implications of sustainable sourcing.

Due to the active participation of the partners, the Chair influences not only how the school trains students but also how it conducts its own purchasing operations.

ENVIRONMENT (ILLUSTRATIVE ISSUES)

- **Environmental Footprint: Programs & Policies**
  - Operations
  - Transportation & Travel
  - Recycling
  - Campus Usage
  - Food services
  - On-line education /less paper use
- **Green/responsible purchasing practices**
- **Waste Removal & Treatment**
- **Pollution**
- **Natural Resources/ Energy Preservation**
  - Water preservation
  - Oil, electricity
- **Climate Change Issues**
- **Biodiversity (On and off campus)**
  - Preserving, planting
- **Compare to Existing Tools for Higher Education**
  - AASHE (US)
  - Green Campus Report Card (US)
  - HEFCE (UK)

Anti-corruption challenges are especially significant for higher education in developing countries. In India, for example, Assam University has taken on efforts to combat widely used governance practices embedded in nepotism and favouritism. The institution sees the significance of the implementation of the Global Compact in raising the visibility of these concerns, ensuring reporting progress via COPs, and creating stronger advocacy to combat these practices.

ANTI-CORRUPTION (Principle 10)

PRINCIPLE 10: Businesses should work against corruption in all its forms, including extortion and bribery.

Corruption, defined as the abuse of entrusted power for private gain, can take many forms that vary in degree from the minor use of influence to institutionalized bribery. Corruption poses risks to an HEI's reputation and increases exposure to legal, financial and other risks.

The Organisation for Economic Co-operation and Development (OECD) defines extortion as: "the solicitation of bribes is the act of asking or enticing another to commit bribery. It becomes extortion when this demand is accompanied by threats that endanger the personal integrity or the life of the private actors involved."

Bribery is defined as "an offer or receipt of any gift, loan, fee, reward or other advantage to or from any person as an inducement to do something which is dishonest, illegal or a breach of trust, in the conduct of the enterprise's business."

Some suggested steps:
- Introduce and implement effective zero-tolerance policies and programs, and adopt an organisation-wide ethics code.

ANTI-CORRUPTION (ILLUSTRATIVE ISSUES)

- **Financial Transparency & Accountability**
  - Gifts & Donations
  - Student Fees
- **Responsible purchasing practices**
- **Recruitment & Admissions/Selection**
  - Students & Faculty
- **Contracting & Policy**
  - Extortion & Bribery
  - Faculty-Student Bribery
- **Research & Human Subject-related Issues**
  - Falsification of results
  - Plagiarism
  - Funding Applications
- **Assessment Challenges- for students, faculty, researchers, etc.**
  - Exams
- **Intellectual Property Issues**
- **Fraud Prevention Practices**
- **Transparency in Promotion and Tenure**
- **Fair/Due Process**

- Train employees to ensure that an ethical culture is developed within the HEI and integrated in management systems.
- Adopt internal reporting procedures.
- Be accountable and transparent in all HEI transactions.
- Cooperate with authorities investigating and prosecuting cases of corruption.
- Check with your human resources or other relevant departments to see if any of the following exist:
  › An employee training programme on how to identify bribery and corruption.
  › A code of conduct and ethics that includes a requirement for administrators, faculty, staff and students to review and sign off on the code regularly.
  › An ethics "assist line" for reporting suspected violations (as well as associated use statistics).
  › An investigations procedure that addresses violations, and provides information on results.

ANTI-CORRUPTION IN INTERNATIONAL STUDENT RECRUITMENT PROCESSES

Like many universities, the State University of New York (SUNY) utilizes international student recruitment agencies to meet its enrollment objectives. While agencies can be extremely helpful to both students and universities, serious concerns exist due to unscrupulous operators who may charge students significant fees for unnecessary services, forge transcripts, falsify records, or even write application essays. SUNY has therefore made it a matter of policy only to work with agents who have gone through a comprehensive certification process managed by the American International Recruitment Council (AIRC), which involves external due diligence, a prescribed professional development program, a self-study, and an external site review undertaken by a university member of AIRC. Like other certification and accreditation processes, this involves a significant investment of time and money on the part of agents, and proven breaches of the certification standards can result in disciplinary action up to and including revocation of certification. SUNY's commitment to a voluntary regulatory regime is intended to protect students from the corrupt practices of unscrupulous agents.

The Communication on Progress (COP)

While the Communication on Progress (COP) policy was originally developed as an annual mandatory requirement for corporate Global Compact participants,the Global Compact, based on the recommendation by the Global Compact Academic Working Group, expects HEIs to take actions in line with their commitment, and encourages academic participants to communicate biennially on their corporate responsibility efforts. A "Communication on Progress" (COP) is a public communication to stakeholders (e.g., students, administrators, faculty, staff, community partners and civil society, employers, media, government) on the progress the HEI has made in implementing the ten principles and, where appropriate, in supporting UN goals through partnerships.

The COP policy is based on the concepts of public accountability, transparency, and continuous improvement. It serves many important purposes, including:

- helping to ensure the credibility of institutional engagement in the Global Compact;
- providing a reference point to measure comparative progress in subsequent periods;
- providing a repository of data on corporate responsibility practices that can be used by other HEIs and stakeholders for purposes of learning and analysis; and
- protecting the integrity of the Global Compact initiative.

The Value of the COP

The value of sustainability reporting in general, but specifically the COP, lies in both the preparation of the report (internal benefits) and in sharing it publicly (external benefits).

INTERNAL BENEFITS: THE COP…
- motivates an HEI to define a sustainability vision and strategy;
- stimulates the integration of corporate sustainability activities into their core operational practices;
- improves shared governance and leadership commitments, and promotes senior-level administration involvement in preparing, reviewing, and endorsing the report;
- supports efforts to identify organisational risks and opportunities;
- encourages internal information sharing and learning by connecting different academic and administrative departments; and
- stimulates internal assessment of progress, thereby contributing to continuous performance improvement.

EXTERNAL BENEFITS: THE COP…
- demonstrates active participation in the Global Compact and outlines related actions to incorporate the principles into institutional strategy and operations;
- improves institutional reputation, due to increased transparency and trust;
- enhances stakeholder relations by articulating a sustainability vision, strategy and implementation plan;
- supports knowledge-sharing and learning by providing information on a broad range of organisational actions in different sectors and regions; and
- provides increasingly demanded information on environmental, social and governance performance to outside stakeholders.

The COP Process

STEP ONE: COP ELEMENTS:

Every COP must contain three elements:
- a statement by the top institutional official or board expressing continued support for the Global Compact and renewing the institution's ongoing commitment to the initiative and its principles;
- a description of practical actions that the HEI has taken (and plans to take) to implement the Global Compact principles in each of the four issue areas (human rights, labour, environment, anti-corruption); and
- a measurement of outcomes using, as much as possible, indicators or metrics such as those developed by the Global Reporting Initiative (GRI).

A COP can be fully integrated in existing stakeholder communications (such as annual institutional or sustainability reports), it can be issued as a supplement to a formal report, or it can be created as a stand-alone document. The Global Compact Office welcomes COPs in all languages.

STEP TWO: SHARING THE COP WITH THE ORGANISATION'S STAKEHOLDERS

A COP is not a communication with the Global Compact Office or a Global Compact Local Network. Rather, it is a communication from a HEI to its stakeholders on progress made in implementing the ten principles. Making a COP widely available to internal and external stakeholders is an essential component of communicating progress. Participants are encouraged to use the established methods of stakeholder communication (e.g., websites, direct mailings, employee alerts). Posting a COP on the Global Compact website - although required - is not considered a sufficient effort to share the information with organisational stakeholders.

STEP THREE: SUBMITTING THE COP TO THE GLOBAL COMPACT DATABASE

Participants are required to submit an electronic version of their COP (preferably a PDF file) — and, if available, a link (URL) to the web page that contains their COP — to the Global Compact COP database (www. unglobalcompact.org/admin). HEI participants submitting a COP to the online database are required to provide additional information intended to improve the searchability of the COP's content. COPs that meet the minimum requirements are published on the Global Compact's public website (www.unglobalcompact.org).

For detailed instructions on preparing, sharing, and submitting a COP, as well as useful examples from both small and large organisations, please visit the website www.unglobalcompact.org/COP/ or see the "Practical Guide to the United Nations Global Compact Communication on Progress" available on the Global Compact website.

COPs and the Spirit of Continuous Improvement

The Global Compact categorizes business participants based on their level of disclosure on progress made in integrating the Global Compact principles and contributing to broader UN goals. Differentiation levels are applied annually based on the most recent COP submitted and on the degree to which this COP demonstrates progress along two critical dimensions:

- **Global Compact implementation.** Businesses are expected to make continuous progress in their implementation of all Global Compact principles, and, ultimately, to achieve best practices described in the Blueprint for Corporate Sustainability Leadership.
- **Transparency and disclosure.** Businesses are expected to communicate directly with their stakeholders and to be transparent about the policies and processes they have put in place to manage sustainability risk and opportunities. HEIs are also expected to progress towards the use of standard reporting guidelines (e.g. the Global Reporting Initiative reporting framework), verification, and, ultimately, towards integrated financial and sustainability reporting.

Higher education participants are encouraged to submit their first COP on the Global Compact website within two years of the date of joining the initiative, and, in the spirit of the two dimensions noted above, update their performance on a regular basis, at least once every two years.

The spirit of continuous improvement reinforces the Global Compact's objective of changing institutions' practices through transparency, dialogue and stakeholder vetting. The Global Compact will not itself assess the performance of HEIs. Instead, the goal is to develop a public platform that enables stakeholders to make more informed choices as investors, employees and/or consumers, ultimately ensuring that HEIs live up to their commitment to the Global Compact.

GC Levels

GC Active level is for participants that address all Global Compact issue areas and communicate directly with stakeholders. At this level, the goal of the programme is to encourage comprehensive implementation of the principles and the adoption of accepted standards of disclosure and transparency, such as those of the Global Reporting Initiative.

GC Advanced level is for participants that strive to be top performers and declare that they have adopted and reported on a range of best practices in sustainability governance and management, based on the Blueprint for Corporate Sustainability Leadership and the UN Global Compact Management Model. **Note:** *Organisations whose COPs do not meet the minimum COP requirements will be given a one-time, 12-month "Learner" grace period from the date of submission of their COP to submit a new COP that meets all minimum requirements. The Global Compact Office will provide active support and assistance through the Learner Platform.*

GC Advanced Level

The GC Advanced level aims to create a higher standard for corporate sustainability performance and disclosure. Institutions have an opportunity to identify themselves as GC Advanced by demonstrating that they have adopted and report on a range of sustainability governance and management processes, many of them based on the *Blueprint for Corporate Sustainability Leadership* and the *UN Global Compact Management Model.*

- **Benchmarking best practice**.
  The GC Advanced level provides a framework for institutions and stakeholders to benchmark sustainability performance against best practices and identify extra-financial opportunities and risks.
- **Focus on management systems**.
  The GC Advanced level focuses on the management systems that institutions use to integrate the ten principles in their strategies and operations. Such management systems can inform forward-looking analysis, reflecting systematic processes to manage risks and opportunities. They can also be used to benchmark performance with other institutions in similar circumstances.

Maximizing the Value of Your COP

Based on the input and experiences of participants and other key stakeholders, the Global Compact has identified practical ways in which institutions can maximize the value of the COP process, for example by improving the quality of COP content and taking steps to enhance the credibility of the report. Following are suggestions for creating the most value through a company's COP:
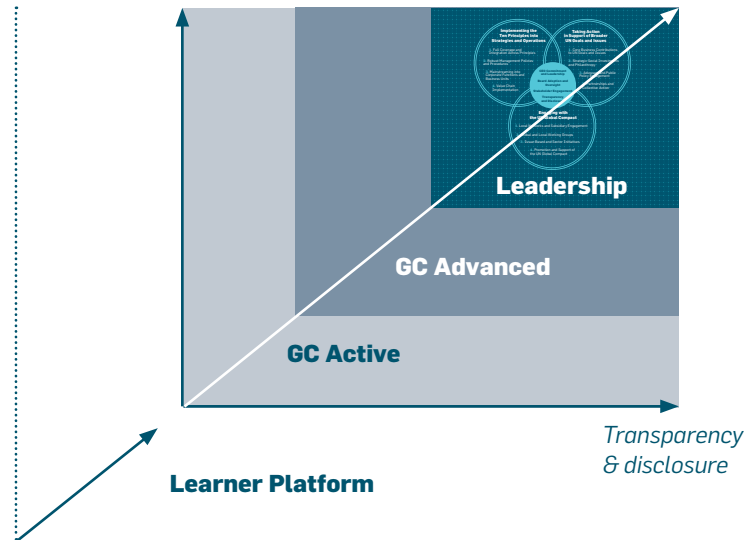
PROCESS EFFECTIVENESS
Look for Connections
Review the ten principles closely in order to understand the connections that exist between the principles and the institution's vision, strategy, polices, activities, and measurement and reporting systems already in place for current internal, government, investor or industry association reporting (e.g., your institution's biennial report). To avoid duplication of efforts and to minimize reporting fatigue, institutions are encouraged to integrate their COP into other disclosures, such as annual or sustainability reports.

CONTENT QUALITY
Be Complete
While HEIs are encouraged to report on the progress made in all four issue areas in the Global Compact, there is no expectation that all four issue areas will be addressed to the same extent. Some issue areas may be more material to a HEI's context and operation than others. Additionally, the Global Compact Office recognizes that small colleges and HEIs often lack the resources to provide as much depth and breadth in their COPs as corporations. However, the information contained within a COP should be complete and accurate enough to assess and understand the organisation's performance in relationship to the ten principles and related issues.

Provide Context

A COP should put an institution's actions and indicators into context so that readers can make informed judgments on the institution's progress in implementing the Global Compact principles.

Ensure Relevance

COPs should contain all information necessary for a stakeholder to judge the sustainability performance of the institution, as well as how the institution has determined its priorities in regard to the principles. An effective way to determine relevance is through a stakeholder dialogue process (e.g., AA1000), or the "materiality" process described in the Global Reporting Initiative (GRI) G3.1 Guidelines.

Define Boundaries

Some institutions specifically define the boundaries of their responsibilities. This can be useful in managing stakeholder expectations and fostering dialogue about the boundaries, especially regarding their suppliers. For example, HEIs operating in developed nations should not simply reference their compliance with local laws governing issues related to the Global Compact principles (e.g., human rights). They are also encouraged to demonstrate how the institution is upholding these rights and/or ensuring they are not violated.

ILLUSTRATIVE INDICATORS & METRICS

Commitment to UNGC
- Statement of membership in UNGC
  Indicator: Completion of acceptable COP/SIP
  Metric: Yearly reporting, initial benchmarking, comparative assessment

Human Rights
Disclosure of organisational policies & practices, training
- Student admissions
  Indicators: Equal admission opportunities, equal treatment/learning opportunities, scholarships, differentiated fees
  Metrics: Statistics relative to relevant population, initial benchmarking, comparative assessments (internal & external)
- Non-discrimination
  Indicators: Equal treatment/opportunity
  Metrics: Statistics relative to relevant population, initial benchmarking, comparative assessments (internal & external)
- Freedom of expression & association
  Indicators: Engagement of students, staff, administrative & faculty projects related to civil society
  Metrics: yearly reporting, initial benchmarking, comparative assessment
- Safe & healthy work & study conditions
  Indicators: Periodic & anonymous surveys of key stakeholders
  Metrics: Benchmarking, comparative assessment, accident rates

Labour
Disclosure of management practices and policies, training
- Freedom of association for staff & students
  Indicators: Policies, range of student groups on campus, staff forums/open town meetings
  Metrics: Average hours of training per year per employee by employee category, number of attendees at forums/town meetings
- Hiring & advancement practices
  Indicators: Clearly stated and communicated policies, fair treatment, due process & mediation
  Metrics: Openness of processes (e.g., discussion meetings), ombudsman position

- Commitment to Fair Trade
  Indicators: Fair Trade products and brands available on campus, inclusion of Fair Trade policies in research and teaching
  Metrics: Third-party inspection and certification of products and brands, course syllabi and assignments
- (Sub)contracted labour policies
  Indicators: Assessment of contractor policy/commitment, transparency
  Metrics: Subcontractor oversight audits, open subcontractor competition bids

Environment
Disclosure, consumption, institutional practices, goal setting, training
- Environmental Footprint: Programs & Policies
  Indicators: Operations, transportation & travel policies, recycling, energy/water consumption, food services, on-line education /less paper use
  Metrics: Amount of recycled paper, reduction of waste
- Green/Responsible Purchasing Practices
  Metrics: Energy Star appliance purchases, use of Green Seal certified cleaning products
- Waste Removal & Treatment
  Indicators: Institutional policy, workshops for faculty/staff and incoming students
  Metrics: Hazardous waste communication practices, total weight of waste by type and disposal method

Anti-Corruption
Disclosure of organizational practices & policies, training, avenues for raising ethical concerns
  Indicators: Contracting policies, Campus-wide ethics committees & assist lines
  Metrics: Percentage & total number of business units analyzed for corruption-related risk, outreach efforts by college/university ethics committee
- Education & Research
  Indicators: Plagiarism programs, proactive educational efforts, research oversight to prevent falsification of results/study outcomes
  Metrics: Number of students attending anti-plagiarism workshops, number of academic integrity cases/hearings

Resources and Tools

The **Plan Vert** is a sustainable development strategy designed by France's Conférence des Grandes Ecoles and Conference of University Presidents, the French government and non-governmental organizations within the framework of the Grenelle Environment Roundtable. It consists of objectives and actions drawn from the European Sustainable Development Strategy and is designed to pilot and evaluate those actions.
http://www.cge.asso.fr/Societe/Referentiel_CGE-CPU_2012_EN.pdf

The **Sustainability Tracking, Assessment & Rating System™ (STARS)** is a U.S.-based, transparent, self-reporting framework for colleges and universities to measure their sustainability performance. STARS® was developed by the Association for the Advancement of Sustainability in Higher Education with broad participation from the higher education community.
www.stars.aashe.org

Learning in Future Environments (LiFE) is a comprehensive performance improvement system developed by the Environmental Association of Universities and Colleges (EAUC) specifically to help colleges and universities manage, measure, improve and promote their social responsibility and sustainability performance. LiFE gives institutions an instinctive and easy-to-use performance management system that helps them directly improve and promote their activities. *www.thelifeindex.org.uk*

The Assessment Instrument for Sustainability in Higher Education (AISHE), was developed and validated in the Netherlands in 2000-2001 by DHO, the Dutch Foundation for Sustainable Higher Education. With the help of AISHE results, universities or their departments can be awarded the 'Certificate of Sustainable Higher Education', which is a star system, enabling universities to acquire 1, 2, 3 or 4 stars. AISHE can be applied freely by any university.
http://www.hu2.se/2010v/AISHE_2.0_Manual_-_2nd_draftswa.pdf

The Globally Responsible Leadership Initiative (GRLI) is a partnership of companies, business schools and learning organisations working to develop a next generation of globally responsible leaders. The GRLI engages in thought leadership, advocacy and projects to achieve measurable impact. Founded in 2004 by the European Foundation for Management Development and the UNGC, today it comprises 70 partner (member) organisations committed to transforming leadership development. *www.grli.org*

The Global Reporting Initiative (GRI) is a non-profit organization that works towards a sustainable global economy by providing sustainability reporting guidance. GRI has pioneered and developed a comprehensive Sustainability Reporting Framework that is widely used around the world. The Framework enables all organizations to measure and report their economic, environmental, social and governance performance — the four key areas of sustainability. *www.globalreporting.org*

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The Ten Principles of the United Nations Global Compact

HUMAN RIGHTS

Principle 1   Businesses should support and respect the protection of internationally proclaimed human rights; and

Principle 2   make sure that they are not complicit in human rights abuses.

LABOUR

Principle 3   Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining;

Principle 4   the elimination of all forms of forced and compulsory labour;

Principle 5   the effective abolition of child labour; and

Principle 6   the elimination of discrimination in respect of employment and occupation.

ENVIRONMENT

Principle 7   Businesses should support a precautionary approach to environmental challenges;

Principle 8   undertake initiatives to promote greater environmental responsibility; and

Principle 9   encourage the development and diffusion of environmentally friendly technologies.

ANTI-CORRUPTION

Principle 10   Businesses should work against corruption in all its forms, including extortion and bribery.