|  |  |
| --- | --- |
| cid:image002.gif@01D0F5EE.FB1F79F0 | **Procurement Strategy Checklist** |

|  |  |
| --- | --- |
| **LUV Ref** |  |
| **Procurement Project Title** |  |
| **Departmental Procurer** |  |
| **Procurement Unit Lead** |  |
| **Date Checklist Completed** |  |

*The following checklist is to assist in ensuring that key elements of the procurement strategy have been considered.*

| **No.** | **Check** | | **✓** | **Note** |
| --- | --- | --- | --- | --- |
| 1 | Alignment with University **policies/strategies**? | |  |  |
| 2 | **Business case** for the procurement, particularly where a new requirement, including:   * Options appraisal? * Recognition of dependencies and attributable (integration) costs? | |  |  |
| 3 | **Total contract value** known, including firm period and extension options? | |  |  |
| 4 | **Budget** in place? VAT rate/reverse charge VAT?  *Note: If a new requirement, check with the respective Management Accountant.* | |  |  |
| 5 | **Saving/efficiency/added value** (incl. sponsorship)opportunity? | |  |  |
| 6 | Clear **what** is being procured; goods, services, works, combination? Support and training? | |  |  |
| 7 | Full understanding of **volume** requirements, including maverick spend, scalability? | |  |  |
| 8 | All relevant **stakeholders** spoken to, including:   * **Internal customers / end users**? * **Potential collaborative partners**? | |  |  |
| 9 | Understanding of the **supply market** and its likely response to the contract opportunity? | |  |  |
| 10 | Procurement **routes** options appraisal undertaken (including any framework options and lotting strategies)?  *Note: Where a contract is not to be divided into separate lots, the reason for this decision must be stated here. Where the contract is to be divided into lots, the number of lots for which tenderers may bid, and the number of lots which may be awarded to any one tenderer, including the criteria for making such a decision, should also be noted* | |  |  |
| 11 | Is it intended to **buy, hire or lease**? (If leasing, will the lease be with a third party?)  *Note: The Head of Financial Control must be sent any lease documents once signed* | |  |  |
| 12 | Who is to be on the **tender evaluation panel**? Sense in involving a student representative(s)?  *Note: For £50k+ contracts, panellist must complete the Conflict of Interest Declaration Form at the outset* | |  |  |
| 13 | Clear **exit strategy** (e.g. mitigation of risks listed at 15-27 below, clause allowing for termination for convenience, alignment with other potential collaborative partners’ contracts)? | |  |  |
| 14 | Established contract **advertising** strategy?  *Note: £30k+ contracts must be advertised on Contracts Finder where the contract opportunity is openly advertised. If the market is small/niche (above), consider openly advertising* | |  |  |
|  | Proportionate account taken of risks/impacts: | |  |  |
| 15 | * **Financial stability**? Guidance, incl. risk assessment, [here](https://uniofleicester.sharepoint.com/sites/staff/finance/procurement/SitePages/Financial%20vetting%20of%20suppliers.aspx) | |  |  |
| 16 | * **Insurance levels/Indemnity limits**? Guidance, incl. risk assessment, [here](https://uniofleicester.sharepoint.com/sites/staff/finance/procurement/SitePages/A%20guide%20to%20supplier%20indemnity%20and%20insurance%20cover.aspx) | |  |  |
| 17 | * **IT element/interfaces**, including Cloud-based products? (incl. compatibility with IT stack)(Contact IT Business Partner) | |  |  |
| 18 | * **Data protection**? Is Personal Data and/or Special Category Data to be processed? If so, contact [records.management@le.ac.uk](mailto:records.management@le.ac.uk) to add to the Records of Processing Activities (ROPA)   *Note: A Data Protection Impact Assessment (*[*DPIA*](https://uniofleicester.sharepoint.com/sites/staff/information-assurance-services/SitePages/Requesting-a.aspx)*) may be required once the ROPA has been assessed* | |  |  |
| 19 | * **Business continuity / Disaster Recovery**   (e.g. escrow)?  *Note: Important that supplier has robust, tested plans, if the University is highly dependent on its delivery of the contract, with limited contingencies* | |  |  |
| 20 | * **Health and safety**?(For construction, the supplier must comply with our Contractors’ General Code of Safe Practice) | |  |  |
| 21 | * **Sustainability** – The Procurement Unit uses:   Sustainability Impact Assessments at X:\Finance\Work\Procurement\Policy & Strategy\Sustainability\SIA  Sustainability tender questions at X:\Finance\Work\Procurement\Templates & Forms\ITT\Library of Tender Questions | | | |
| a | If estimated total contract value £100k+, Is Social Value Portal to be used? | * **Slavery/human trafficking** within the supply chain, particularly in low pay sectors (e.g. agriculture, construction, hospitality and manufacturing) and less developed countries?   *Note: The Procurement Unit uses the Government’s Modern Slavery Assessment Tool at X:\Finance\Work\Procurement\Policy & Strategy\Sustainability\Modern Slavery Act 2015\Risk Assessment* |  |  |
| b | * **Equality** (e.g. latest web accessibility standards)? |  |  |
| c | * **Environment** (e.g. carbon emissions)? |  |  |
| d | * **Local economy** (e.g. apprenticeship, internship clauses, advertise arising £25k+ subcontract opportunities via Contracts Finder)? |  |  |
| e | * **SME-friendly**? (e.g. unwarranted barriers not created in response to these risks/issues, and by Ts&Cs (below)) |  |  |
| 22 | * **Intellectual property rights**? | |  |  |
| 23 | * **TUPE**? Guidance, incl. risk assessment, [here](https://uniofleicester.sharepoint.com/sites/staff/finance/procurement/SitePages/TUPE%20procurement%20guidance.aspx) | |  |  |
| 24 | Agreed **Selection and Award criteria** (including **price/quality** split)? | |  |  |
| 25 | Established structure of **pricing schedule**?  *Note: If determined as scalable (above), consider a sliding scale of unit prices by volume, or rebates* | |  |  |
| 26 | University’s standard **terms and conditions** to be used?  *Note: Framework agreement call-off Ts&Cs and JCT forms of contract, are also acceptable. Any changes to default insurance levels/indemnity limits (above) need reflecting in the Ts&Cs* | |  |  |
| 27 | Any **external funding body requirements** are reflected in the tender document / contract conditions (e.g. ERDF requirements)? | |  |  |
| 28 | Involves the purchase of materials, technology and/or knowledge which (i) could have **military application** (ii) will require an End Use Certificate and/or (iii) explicitly requires compliance with domestic or international Export Control regulations?  *Note: The Procurement Unit holds special clauses at X:\Finance\Work\Procurement\Templates & Forms\\_Terms & Conditions\Export Control* | |  |  |
| 29 | A product/software to **process payments** for the University, whether e-commerce or physical credit/debit card via PDQ machine?  *Note: If card via PDQ m/c, PCI DSS attestation of compliance required from provider and processor, and include the clause at X:\Finance\Work\ Procurement\Templates & Forms\\_Terms & Conditions\PCI Compliance. If e-commerce, usually via Flywire. If income, University bank details uploaded? If refunds, D/D set up on University bank account? If D/D,* *bank account data to be processed? Contact Head of Financial Control* | |  |  |
|  | Effective ongoing **contract management** is assisted by: | |  |  |
| 30 | * **Dedicated Contract Manager**? | |  |  |
| 31 | * **Management information**? | |  |  |
| 32 | * **Service Level Agreement / Key Performance Indicators**? (Technical and/or Contract based)   *Note: A maximum of six KPIs are advisable* | |  |  |
| 33 | * **Liquidated damages**? | |  |  |
| 34 | * **Reset** for checking and tracking on-site supplier staff? | |  |  |
| 35 | Appropriate to use **Sciencewarehouse e-Catalogue**?  *Note: If so, include the Catalogue Agreement within the Invitation to Tender* | |  |  |
| 36 | Opportunity for **payment efficiencies**, e.g. via consolidated invoices, e-invoicing or embedded pCard? | |  |  |
| 37 | Agreed procurement **timetable**, including availability of evaluators, internal approval dates, presentation/demos and any acceptance testing? | |  | Added as an appendix? |
| 38 | Alignment with any **governance/approvals**, beyond the Contract Award Approval Form (CAAF) process? | |  |  |

**Appendix: Procurement timetable**

| **Activity/Stage** | **Deadline / Period** | **Responsible Person** |
| --- | --- | --- |
| *PIN published* |  |  |
| *Supplier engagement day* |  |  |
| Specification drafted |  |  |
| Terms and conditions established |  |  |
| *SQ drafted* |  |  |
| ITT drafted/assembled |  |  |
| Find a Tender Notice, *SQ,* ITT published |  |  |
| *SQ return date* |  |  |
| *SQ evaluation/shortlisting* |  |  |
| *Unsuccessful SQ & ITT letters* |  |  |
| *Bidders conference* |  |  |
| Tender returns |  |  |
| Tender evaluation*/shortlisting* |  |  |
| *Tender interviews/presentations/demos* |  |  |
| Contract award decision and CAAF approvals |  |  |
| *Acceptance and/or User testing* |  |  |
| Intention to award letters issued  *(Noting that subject to successful testing)* |  |  |
| Standstill period |  |  |
| Contract award  *(Noting that subject to successful testing)* |  |  |
| Find a Tender contract award notice published |  |  |
| Implementation |  |  |
| Contract commencement |  |  |