PROCUREMENT POLICY

1st August 2024 to 31st December 2025

Operational Owner:	Lisa Jeffries Director of Procurement
Executive Owner:	Andrew Grice, Director of Finance
Effective date:	1st August 2024

SECTION 2 – GOVERNANCE

2.1 Procurement Board

The Procurement Board oversees procurement's strategic direction and management University-wide, including its subsidiary companies.

2.2 Conflict of Interest

2.2.1 All Procurement Department staff involved in procurement activities complete an annual declaration of outside interests.

2.2.2 Employees must report any perceived or actual conflicts of interest related to contract awards through their line manager, referencing Appendix 2, Section 14.5 for guidance.

2.2.3 All stakeholders participating in tendering, including external consultants, must complete conflict of interest forms.

2.3 Internal and External Appraisal

2.3.1 The Procurement Department contributes to the annual Procurement Value Survey (PVS) to benchmark efficiencies.

2.3.2 University internal audits include procurement activities as part of the Annual Plan approved by the Audit Committee.

2.3.3 The Procurement Department conducts audits in alignment with the Procurement Board's directives.

2.4 Reports, Statistics, and Key Performance Indicators

2.4.1 Procurement provides statistics and key performance indicators for analysis and decision-making as needed.

2.4.2 The Procurement Department aligns its performance with Higher Education sector indicators and reports to the Procurement Board annually.

2.5 SpendingFunds

2.5.1 This policy applies to all University funds, ensuring careful expenditure regardless of funding source.

2.5.2 A documented audit trail is required for all purchases, regardless of acquisition method.

2.6 Procurement Training and Guidance

2.6.1 The University offers training and guidance on procurement, legislative compliance, and buying procedures.

SECTION 3 - APPENDICES

APPENDIX 1: PROCUREMENT PRINCIPLES

This appendix lays down the principles governing our procurement process, ensuring transparency, integrity, and excellence in every facet of our operations.

The procurement process adheres to the following principles:

1.1 Regulatory Compliance

All procurement activities comply with relevant UK regulations as detailed in Appendix 3.

1.2 Strategic Spend Management

Spend categories are strategically managed to identify opportunities for cost savings through consolidation, ensuring maximum Value for Money (VfM) and fostering collaborative procurement.

All activity relating to Land, buildings and estates related services must involve the Estates Directorate.

All activity relating to digital technology must involve the DTS Directorate.

1.3 Monitoring and Aggregation

Purchase Orders (POs) under £30,000 are reviewed to prevent disaggregation of spend and to identify opportunities for aggregation where appropriate.

1.4 Risk Management

Risks are managed in a compliant and effective manner, with appropriate consideration of the risk levels involved.

1.5 MAT Approach

The Most Advantageous Tendering (MAT) approach is employed, focusing on total lifecycle costing and value rather than just price. This ensures procurement delivers optimal cost, quality, and benefits to students.

1.6 Collaborative Purchasing

1.7 Fairness and Transparency

All purchasing decisions are made with equal treatment, non-discrimination, transparency, and proportionality in mind.

1.8 Market Analysis

Market analysis is conducted for goods, services, and works where appropriate, as detailed in Appendix 2, Section 7.

1.9 Sustainability and Equality

Sustainability, equality, and diversity considerations are integral to all purchasing decisions, aligning with the University's Corporate Social Responsibility commitments (see Appendix 5 for details).

1.10 Health and Safety Compliance

All procurement activities comply with relevant Health and Safety legislation and codes of practice (see Appendix 4 for details).

1.11 Supplier Code of Conduct

Suppliers contracting with the University must adhere to the Procurement Code of Conduct, as outlined in Appendix 2, Section 18.

1.12 Responsible Procurement

Responsible procurement criteria are applied in the award of contracts where appropriate (see Appendix 5 for further details).

APPENDIX 2: PROCUREMENT PROCESSES

This appendix serves as a guiding framework for all procurement activities, ensuring adherence to regulatory standards, ethical practices, and optimal outcomes for the institution and its stakeholders.

1 Thresholds and Contracts

1.1 Contracts Below £30,000

2.1 *Delegation of Authority*

The Director of Procurement may delegate the authority to sign contracts and conduct tender processes as deemed appropriate.

3 Single Action Waivers (SAWs)

3.1 *SAW Requirement*

Single Action Waivers must be completed for all goods, services, and works over £30,000 (including VAT) when a competitive quotation/tender process is not feasible. These are only agreed exceptionally and are not required if the requirement can be procured using an existing appropriate preferred supplier, via a Consortium/National or University contract.

3.2

Procurement Department

Procurement Department

13 Tender Report

13.1 Comprehensive Tender Report for Higher Threshold Tenders

When the tender exceeds the £100,000 threshold, Procurement is responsible for compiling a tender report upon the tender process's conclusion. This report, may be subject to stakeholder or Board approval, precedes any contract award and serves as an integral part of the audit trail.

14 Risk Management

14.1 Mitigation of Risks

All procurement activities are conducted with careful consideration to mitigate risks, ensuring the University operates within acceptable risk thresholds. This entails:

- Ensuring acceptable and appropriate contractual terms and conditions.
- Adherence to the University's Financial Regulations, procedures, and relevant procurement legislation.
- Ensuring fairness and impartiality in procurement processes to avoid disadvantaging bidders.

14.2 Procurement Risk Oversight

The Director of Procurement actively monitors procurement-related risks in alignment with University policies and reports findings accordingly.

15 Due Diligence

15.1 Assurance of Supplier Integrity

Procurement and Finance conduct due diligence on prospective suppliers, including:

- Verification of necessary insurances to fulfill contractual obligations.
- Ensuring no involvement in modern slavery or human trafficking.
- Assessment of supplier credibility, reliab11 (ab11 (abp-1 (a 0.461 0 T-5 ( )]TJ

16.1 Ethical Supplier Standards

The University upholds a Supplier Code of Conduct, outlining expected behaviours from suppliers contracting with the University.

16.2 Compliance with Legislation

Suppliers are expected to adhere to all relevant legislation and regulations within their operating jurisdictions.

16.3 Integrity and Transparency

All University suppliers are expected to uphold principles of integrity, transparency, and governance.

16.4 Additional Guidance

Further guidance on the Supplier Code of Conduct is available on the Procurement website.

17 Contract and Supplier Management

17.1 Proactive Contract Management

Procurement leads contract management activities, collaborating with key stakeholders to ensure suppliers fulfill contractual obligations.

17.2 Operational Efficiency

Effective contract management begins during project planning, with specifications and contract documents structured to optimize operational and financial performance.

17.3 Ongoing Evaluation

Regular business and contract review meetings, facilitated by Category Managers, ensure contractual compliance and performance maximisation.

17.4 Defined Roles and Responsibilities

Procurement collaborates with key stakeholders to establish clear roles, responsibilities, and accountability for ongoing contract and supplier management.

17.5 Performance Measurement

Suppliers are continuously evaluated against pre-agreed Key Performance Indicators (KPIs) outlined in the contract specifications.

18 Sale and Disposal of University Goods

18.1 Compliance with Financial Regulations

Sale or disposal of goods adheres to the University's Financial Regulations.

18.2 Waste Minimisation

The University's Re-use Policy promotes waste minimization through resource re-use, aligned with the Environmental & Energy Policy.

18.3 Approval Protocol

Disposal requests, including exceptional cases, must be approved by the Head of School/Function, in consultation with Procurement, considering health and safety implications.

18.4 Asset Utilisation

Unwanted items should be offered to other University users before disposal, in line with Sustainability Services guidelines.

18.5 Disposal Protocols

Certain items may be donated or sold under specific circumstances, with appropriate documentation and consultation with Sustainability Services and Procurement. However, hazardous waste and items covered by Waste Electrical and Electronic Equipment (WEEE) regulations must follow secure disposal processes coordinated by Sustainability Services.

APPENDIX 3: LEGISLATIVE AND CONTRACTUAL COMPLIANCE

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http://www.legislation.gov.uk/uksi/2006/246/contents/made

Waste Electrical and Electronic Equipment (WEEE) Regulations 2013
http://www.legislation.gov.uk/uksi/2013/3113/contents/made

Equality Act 2010
http://www.legislation.gov.uk/ukpga/2010/15/notes/contents

APPENDIX 4: HEALTH & SAFETY

This appendix outlines crucial health and safety considerations, ensuring all procurement activities align with legal requirements.

1 University Responsibilities

1.1 The Health and Safety at Work Act imposes a general duty on the University to ensure that all plant, articles, and substances used at work are safe and do not pose risks to health.

1.2 If applicable, the Estates Department must approve any purchases of goods, works, and services that could impact the building or building services.

1.3 The Management of Health and Safety at Work Regulations mandate the University to effectively plan and control risks by carefully selecting and designing equipment, articles, and substances.

1.4 Further guidance and information can be accessed from Health & Safety Services: link

2 School/Function Responsibilities

2.1 The Head of School or Function authorising the purchase must ensure that selected goods and services are safe and pose no health risks.

2.2 Goods/services usage plans should undergo a risk assessment. Specifications must align with the assessment's findings.

2.3 Schools/Functions should seek advice from their Health & Safety Co-ordinator or the Health and Safety Services Director if unsure about legislation or responsibilities.

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APPENDIX 5: RESPONSIBLE PROCUREMENT

This appendix outlines the University's commitment to responsible procurement practices, emphasising collaboration with stakeholders and suppliers to achieve sustainability goals and comply with environmental legislation.

1 University Commitment

The University acknowledges its responsibility to conduct all procurement activities in a socially responsible and environmentally sustainable manner.

2 Sustainable Procurement Practices

The Procurement Department is committed to integrating sustainable procurement practices into all operations, collaborating with stakeholders to ensure compliance with relevant environmental legislation. Actions include:

2.1 Procurement Decision Making

- Considering University Sustainability Policies and the Environmental/Energy Management System (EMS/EnMS) in all procurement decisions.
- Assessing ongoing spend impact on environmental aspects.
- Incorporating UN Sustainable Development Goals into procurement activities, including corporate social responsibility, diversity & inclusion, modern slavery, and anti-corruption.
- Considering full life cycle cost and carbon footprint, including maintenance, running, environmental impact, and disposal costs.
- Collaborating with SMEs and local suppliers where appropriate.

2.2 Supplier Collaboration

- Engaging suppliers to commit to the University's Supplier Code of Conduct and Sustainability Policies.
- Exploring circular economy opportunities for recycling, reconditioning, and retm12[(Fa001 Tc 0.00-0.001 Tc -ti)1 (t)-3 (i3 (t)-3(c)-1)-3 (i)-4 (101 Tc -0.027 T u(i)1

2.3 Collaboration with Internal Customers

- Reviewing consumption of utilities, goods, and materials with internal customers to reduce usage and adopt environmentally sound products.
- Specifying environmentally sound materials and products where practicable, and providing opportunities for suppliers to offer environmentally sound alternatives.
- Addressing obstacles that may restrict SMEs and local suppliers from bidding for goods/services or works.

3 Additional Guidance

Further guidance and information are available from Sustainability Services: link

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APPENDIX 6: MODERN SLAVERY AND HUMAN TRAFFICKING

This appendix emphasises the University's commitment to combat modern slavery and human trafficking, outlining its zero-tolerance policy, transparency efforts, and avenues for reporting concerns.

1 Understanding Modern Slavery and Human Trafficking

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APPENDIX 7: RETENTION OF DOCUMENTS

The Procurement Department and the relevant Schools/Functions should retain the documents detailed in the table below for the required retention periods.

Type of document	Responsibility for retention	Period of retention
Original copies of all signed contracts not under seal[1]	Procurement Department	At least 6 years from expiry of the contract
Original copies of all signed contracts executed under seal	Procurement Department	At least 12 years from expiry of the contract
Copy orders	These will be held electronically in the finance system.	At least 6 years from expiry of the contract
Delivery notes	Schools, Functions and Halls	At least 6 years from expiry of the contract
Copies of tender documentation	Schools, Functions and Halls	During the tender process
Pre-procurement advice, Find a tender, specification and contract development documentation, SQ & ITT	Procurement Department (held electronically in the	

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