

The Barnsley, Doncaster, Rotherham and Sheffield Combined Authority

Contract Procedure Rules



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Section 1

How to Buy

Introduction

The contents of this document outline the Contract Procedures for the Combined Authority. The Combined Authority has decided that Sheffield City Council will provide its Commercial and Financial support. For the avoidance of doubt these procedures do not apply to the South Yorkshire Passenger Transport Executive where they are acting on their own authority.

Step 1

Check to see whether the Combined Authority already have a local contract / framework contract in place for what you need to buy. If so this needs to be used following the appropriate process.

Step 2

If there is no contract in place, you will need to undertake the following depending on how much you are likely to spend:

- **Less than £250**
- **Between £250 - £2,499**
- **Between £2,500 - £25,000 (Goods)**
- **Between £2,500 - £50,000 (Services)**
- **Above £25,000 (Goods) or Above £50,000 (Services)**

Less than £250

You need to obtain one verbal or written quote and record the details as an audit trail. This should be stored locally for a minimum of one year and produced on request.

Between £250 - £2,499

You should obtain a minimum of three competitive quotations, verbal or written and record details as an audit trail. These should be stored locally for a minimum of one year and produced on request.

Value £2,500 - £25,000 (Goods)

Goods are items that are tangible or physical for example furniture, stationery, IT equipment etc.

You should obtain three or more written quotations and record details as an audit trail. These should be stored locally for a minimum of one year and produced on request.

Guidance may be sought from Sheffield City Council if you are unsure what steps you need to follow to obtain formal quotations.

Between £2,500 - £50,000 (Services)

Services are mainly intangible and usually a 'pay on use' basis for example Consultancy, Cash Collection, Translators etc.

You should obtain three or more written quotations and record details as an audit trail. These should be stored locally for a minimum of one year and produced on request.

Guidance may be sought from Sheffield City Council if you are unsure what steps you need to follow to obtain formal quotations

Above £25,000 (Goods) or Above £50,000 (Services)

Sheffield City Council must be involved and under normal circumstances lead on a formal tendering process.

Only Sheffield City Council are authorised to award contracts, in conjunction with and on behalf of the Combined Authority.

Step 3

The next step is to check whether the chosen supplier is on the Combined Authority's financial system (managed and maintained by Sheffield City Council).

If the supplier is on the system then standard finance procedures can be followed.

If the supplier is not on the system then a Trade Supplier Request will need completing. The Trade Supplier request form should be sent to the Trade Suppliers inbox (managed and maintained by Sheffield City Council). Trade Suppliers will then perform checks to ensure the supplier is eligible to be added to the system, request bank details from the supplier and reply to you when this has been approved.

Information on what is a Trade and what is a Non-Trade supplier is available in Appendix A.

The supplier must be on the system before an order is placed.

Step 4

Once the supplier is on the system and the appropriate steps above have been followed, then an order can be raised and issued to the supplier.

Once an order has been placed (for over £250) a P2P declaration form must be completed (See Appendix G).

The order will then go through the appropriate approval routes, including both financial and procurement approval.

Once the invoice for the goods / services is received the order will be matched on the system.

For any further advice or guidance on following correct procedures please contact Sheffield City Council

Section 2

Trade Suppliers

The Trade Suppliers Team is responsible for setting up and maintaining supplier records within the Combined Authority's financial system.

To help ensure your request for a New Trade Supplier, Amend Trade Supplier or Reactivate Trade Supplier is dealt with in a timely fashion, please follow the process below:

Is your supplier Trade or Non Trade? (See Appendix A)

- Non Trade - contact FSSGsuppliers@sheffield.gov.uk or phone 205 3480
- Trade - See below

Is your supplier already on the Combined Authority's financial system? (See Appendix B)

- **Yes**

If so is your supplier record active?

- **Yes**

You do not need to complete a trade supplier form, please raise your Purchase Order (See Appendix C).

Always ensure you are consistent with Contract Procedure Rules

- **No**

You will need to complete a Request New/Amend Supplier form (See Appendix D) and send to tradesuppliers@sheffield.gov.uk

- **No**

You will need to complete a Request New/Amend Supplier form (See Appendix D) and send to tradesuppliers@sheffield.gov.uk

What Happens Next?

Once Trade Suppliers receive your request they will send an email to the supplier containing a secure weblink (webmanager) for the supplier to input their company details and banking information. When the supplier completes this link it will automatically send an email to the Trade Suppliers inbox for the team to amend / create the record on the system. Trade Suppliers will inform the requester when this has been completed.

To help minimise delays, it would be advantageous for the requester to contact their supplier and inform them the weblink will be arriving shortly.

Please note, Trade Suppliers cannot take responsibility for unreturned webmanagers, any requests over 1 month old will be issued a reminder and then should no response be received the request will be deleted from the workflow.

Should you have any questions regarding this process, please contact Sheffield City Council

Section 3

EU Directives

- **EU Thresholds from 1 January 2014** (Public Contracts Regulations 2006)
(Figures are net of VAT)
 - **Public Contracts**
 - Works (£4,322,012)
 - Supplies & Services (£172,514)
 - GPA Bodies - Supplies & Services (£111,676)
 - **Utilities Contracts**
 - Works (£4,322,012)
 - Supplies & Services (£345,028)
 - **Defence & Security**
 - Works (£4,322,012)
 - Supplies & Services (£345,028)
- **Timescales** (from dispatch to OJEU)
 - **Open Procedure:**
 - 52 days to return of tender (Tender documents to be issued within 6 days of request).
 - **Restricted Procedure:**
 - 37 days for applicants to register interest 40 days from dispatch of tender to return of tender.
 - **Time limits can be reduced:**
 - By 7 days when notices are compiled and submitted electronically.
 - By 5 days where unrestricted electronic access to all contract documentation is provided (for tender receipt stage in open and restricted procedures).

BUT: all time limits in any case must be **reasonable** in relation to the nature of the contract.
- **Competitive Dialogue**

Option for complex contracts when open or restricted procedure would not allow a contract to be awarded. It allows the contracting authority to enter into dialogue with potential bidders to develop suitable alternatives to meet their requirements and decision on who to invite to tender.

 - **Key Points:**
 - Must always involve competitive tenders.
 - Award to be solely on basis of MEAT (Most Economically Advantageous Tender) not lowest price.

- The notice must set out needs, requirements and award criteria.
- The bids must be evaluated against the criteria in the notice or a descriptive document.
- All bidders must be treated equally.
- Bidders may drop out at any stage if dialogue does not meet needs.

- **Framework Agreements (FA)**

An agreement with one or more suppliers where terms are established for a given period but where there isn't necessarily a commitment to buy.

- **Key points:**

- Duration limited to 4 years (unless reasonableness test could be applied).
- Can be a single or multi supplier framework.

- **If there are multiple suppliers then:**

- If possible and criteria sufficiently detailed, award to preferred supplier.
- If criteria are not sufficiently detailed hold a mini competition.

- **Public Contracts (Amendment) Regulations 2009 (SI 2009/2992)**

The above change in EU legislation regarding Procurement came into effect on 20th December 2009. It affected new EU procurement processes starting on or after 20 December 2009.

- **The Remedies Directive**

- **Voluntary Ex Ante Transparency (VEAT) Notice**

- **The Remedies Directive**

The amendments mainly affect former Regulation 32 (the standstill or Alcatel period) and Regulation 47 (enforcement).

- **The key changes are:**

- An obligation to release full reasons for the award at the start of the standstill period rather than waiting for requests.
- An obligation to allow extra time for tenderers to receive the standstill notice if it is being sent by non-electronic means.
- New penalties of ineffectiveness for certain serious breaches of the procurement rules were introduced (e.g. contract cancellation, Civil financial penalties and contract shortening).
- Introduction of a mandatory requirement for contracting authorities to suspend a procurement exercise whenever legal proceedings are raised in respect of a contract award decision.

- **What Does This Mean?**

1. Currently the information that needs to be passed to unsuccessful suppliers at the start of the Alcatel/standstill 10 day period is:
 - Name and evaluation score of the successful supplier
 - The evaluation score and ranking (e.g. 4th of 8) of the unsuccessful supplier

The onus is on the supplier to request feedback on their tender submission(s). In order to increase transparency and comply with the new legislation, all suppliers should be given feedback about their performance and the reasons why the successful supplier was selected above all the others.

The new legislation puts an obligation on the contracting authority to provide feedback to suppliers as part of the procurement process. The logical point at which this should occur is when the Alcatel letters are sent to suppliers i.e. at the start of the 10 day standstill period when a supplier has been selected but before the contract is signed.

To capture feedback for suppliers, it is very important at the planning stage of the tender to ensure that the specification is comprehensive and covers all aspects of the desired outcome. Elements of the specification should then be converted into award criteria. These should be listed and weighted accordingly and this information should be included as part of the Invitation to Tender (ITT).

It should be remembered that suppliers can only be evaluated on those elements that are listed in the award criteria. At this stage it is worth compiling a scoring matrix to use when the submitted ITT's are being evaluated. This ensures that the evaluation panel will be aware of the criteria that they are assessing the supplier on and that a standard scoring system will be used by all the panel members.

Panel members should be encouraged to make a note of any significant good or adverse points as they read through each submission. The scoring matrixes should then be summarised for each supplier, giving an average score and the relevant comments made by the evaluation panel should be used as the basis for feedback.

2. Ideally, communications with suppliers should be electronic; but if relaying information about Alcatel/standstill period by post or other non-electronic form, then make allowances for any delay that this may incur.
3. Current Alcatel legislation allows for challenges to be made by unsuccessful suppliers within the 10 day standstill period. If a challenge is made during this period, then provided that all the required feedback has been given and the selection has been made fairly, the award can still be made (let the challenging supplier know that this is still going to happen).

If the challenging supplier is still not satisfied, they have to serve a legal notice and let us know that this is what they are doing. It is only if the Court agrees with them that the award may have to be set aside. Any challenges made after the Alcatel period, if successful, would not affect the contract and only result in the challenging supplier possibly receiving damages.

Under the new legislation, once the contract has been awarded, challenges can be made within the next 6 months. If a challenge is made within 6 months on the grounds of ineffectiveness, then the contract may have to be set aside and if the claim is upheld, additional financial penalties may also be applied.

4. Under the new legislation, if a legal challenge is made in respect of a contract award decision then there will be a mandatory requirement for the contracting authority to suspend the procurement exercise.

- **Voluntary Ex Ante Transparency (VEAT) Notice**

Also from December, a new type of contract announcement has been introduced, called a Voluntary Ex Ante Transparency (VEAT) notice.

A public body may use this when they have awarded a contract using the Negotiated Procedure (without prior advertising), Part B services or service concessions, and therefore have not published a contract notice in the OJEU.

The content of a VEAT notice will include full details of the awarding authority, justification for awarding the contract without prior publication in the OJEU, and the details of the successful supplier.

- ***What does this mean?***

- Firstly, it shows greater transparency, notifying the market place that a supplier has been appointed for an opportunity which may not have been advertised in the OJEU. As such, it could provide key market intelligence which you could follow up as a possible sub-contract opportunity.
- Secondly, it affords suppliers the right to contact the awarding authority and raise an objection regarding the announcement, should the supplier believe that a competitive process could have been run and that they themselves could have been capable of fulfilling the contract.

Section 4

Buying Consultancy

This guide has been written to help you understand how to correctly procure consultancy services and comply with both UK and EU regulations, and ensure value for money. (Please note that **all** tendering activity **must** be undertaken in conjunction with Sheffield City Council).

Stage 1- Identifying the need for Consultancy

Before going out to tender (if required) for consultancy you will need to develop a clear specification for the work, and ensure that the appropriate governance has been applied. This will include completing a Commissioning Template (See Appendix E), based on the following principles:

Definition of Consultancy

- Consultancy should:
 - Be time limited or ad hoc;
 - Not form part of 'business as usual' operations;
 - Not replace the role that would have been carried out by an Authority Officer if one was available - if this is the case you should consider employing an interim manager or temporary member of staff.

When to Employ Consultants

- You should only appoint a consultant when:
 - The work cannot be handled internally or as part of an existing contract where the existing contract offers better value;
 - The consultant can bring relevant new knowledge and experience that adds value;
 - There is demonstrable and achievable value for money as a result of their employment; and
 - All necessary authorities have been given.

Governance

Before going out to the market you will need to obtain the appropriate authority. All consultancy contracts over £25,000 must be signed off by either the Head of Paid Service or Finance Director. Contracts below £25,000 can be signed off by a direct report to the Head of Paid Service. In addition to this, all initial requests for consultancy with an estimated value of more than £2,500 should be via a Commissioning Template cleared by Sheffield City Council before you go out to tender.

Commissioning Template

The Commissioning Template should record the rationale for engaging a consultant, including confirmation that the required knowledge or expertise is not available in-house or as part of an existing contract (where the existing contract offers better

value), or from another less expensive source than consultants. It should clearly set out the purpose, aims, and outputs, and how you will manage the contract to ensure that these are achieved. It should also include details about how you will act on the advice received so that expenditure is not wasted. You should forward the template to the Sheffield City Council for clearance.

- Sheffield City Council will:
 - Ensure that the appropriate business case is made,
 - Ensure that appropriate procurement arrangements are made,
 - Liaise with the requesting manager on any issues, results of further approvals and generally support them through the process.

Following the initial approved commission if it is found that the consultancy is required for additional time and/or cost it will be necessary to go through the above process again for an extension if the additional cost is more than 10% of the original approved value.

N.B. Consultants still need to be registered on the Combined Authority's financial system prior to any award.

Without prior approval of consultancy commissions the consultancy will not be paid.

Stage 2 – Planning and Conducting the Procurement

This section outlines what you will need to know in order to plan a tender. Sheffield City Council will work with you to provide any additional advice, guidance, and model documents to support you through the tender process.

Developing a Specification for Consultancy

Before advertising the tender opportunity you will need to complete the relevant tender documents, which should include a clear specification. Consultants will submit their proposal based on the information in the specification, and their submission will form the basis of any eventual contract. The specification should be output based, and should include the background to the work that you require. When developing a specification for consultancy you will need to identify the work to be undertaken, include clearly defined goals, how you will measure quality and performance, and how you will pay for the services, for example by lump sum or daily/hourly rates for a specified period of time.

In some cases you may wish to include the contract value or expected budget for the work. The advantage of this is that the bids are likely to come in around the price that you have set and you will have some assurance that the proposals will be within the allocated budget. The risk is that by setting a price, you will not have a clear idea of the market price for the work, and may be spending more than necessary. Where the price is indicated in the specification, your evaluation criteria should be weighted towards value for money (which tender offers the most for the price you have set) rather than cost.

For some consultancy work, it is not possible to fully define the scope of the project at the outset. For example, the project might be divided into stages, and the activity at the second stage may be dependent on options offered or recommendations made by the consultant as part of the first stage. Where this is the case you should ensure that consultants are asked to submit day rates for additional work, and indicative prices for subsequent stages of the work where possible as part of their pricing schedule. To ensure fair competition you should include as much detail as possible about the potential scope of the project in the advert and specification. You could be at risk of challenge from other suppliers if you were to award additional work to an existing supplier that had not been advertised.

Procurement Rules and Regulations

This section outlines the basic procurement rules.

All public sector procurement is governed by both European legislation and UK National Law. In addition, all procurement must comply with these Contract Procedure Rules.

- **European Legislation (EU Procurement Directives)** – The EU directives require Local Authorities to advertise and award contracts in the Official Journal of the European Union (OJEU); follow specified timescales; and award contracts, either on the basis of 'lowest price', or 'most economically advantageous tender' (a consideration of both quality and cost). Although the EU Directives take precedence over UK law, they only fully apply to contracts over a certain value, which changes every two years.
- **National Law** - All public sector contracts, no matter what their value, must comply with UK law which requires Local Authorities to demonstrate 'Value for Money,' which means considering a balance of both the price and quality. By asking organisations to submit competitive tenders it ensures that public money is spent in a way that is fair, open, honest, and accountable.
- **Contract Procedure Rules** - Depending on the value of the contract, Contract Procedure Rules define how we are required to tender.
 - For a contract with a value of less than £50,000, you must:
 - Obtain 3 quotations (verbal or written) when the value exceeds £250.
 - Invite 3 written quotes where the value exceeds £2,500.
 - For a contract with a value of more than £50,000, you must:
 - Use the full competitive tender process.
 - Appropriately advertise the tender opportunity.

Tendering for Consultancy

There are several ways in which you can tender for consultancy services:

- **Framework arrangements:** A framework is set up where the Combined Authority may have a need for services to be provided as and when needed. A contract is established (through a formal tender process) with one or more

suppliers on the understanding that the Combined Authority can call on those suppliers to provide the required services on an ad hoc basis.

Crown Commercial Services (CCS) have several framework arrangements covering the range of consultancy services which the Combined Authority may access. To select a supplier from the framework you will need to conduct a 'mini competition' by inviting three or more of the suppliers on the framework to submit a proposal. The advantage of using a framework arrangement is that the formal tender process has already taken place so you can be sure that the correct procedures have been followed, prices have already been negotiated so you can be sure that you will achieve value for money, and the mini competition process allows you to have your contract in place more quickly than a full tender process.

- **Restricted Procedure:** The restricted procedure is a two-stage process, where a contract is advertised, and interested parties must first complete a 'Pre-Qualification Questionnaire'. The information provided in this questionnaire is evaluated to assess the suitability of organisations to tender for the contract, in terms of their technical, economic, and financial capability. Following this evaluation, a shortlist of organisations that meet our criteria is drawn up. These organisations are invited to submit a tender and will be sent full tender documents to be completed by a specified deadline. Using this process you are able to restrict the number of tenders you receive to shortlist of usually around 3-5 suppliers.
- **Open Procedure:** The open procedure is a one-stage process where a contract is advertised and all interested parties may submit a tender. If you tender for a contract using this procedure you will be required to evaluate all the responses that you receive.

Stage 3 – Management, Monitoring, and Review of Consultancy Services

The purpose of contract management is to ensure that the results achieved match the goals. As part of your ongoing relationship and management of the contract, you should agree a monitoring plan and have systems in place that allow you to monitor against the requirements set out in the contract and to report on progress. The contract documents will include the method statement which sets out how the consultant proposes to deliver the requirement. This should include an assumed number of days and clear timescales for the work.

The basis for payment should be clear and agreed as part of the contract. The pricing schedule should set out what the consultant will be paid and when. Wherever possible it should link to outcomes, such as delivery of a project plan or report, rather than inputs such as hours spent, and you should agree processes for clearance for any change in costs.

In some cases it may not be possible to fully define the scope of the project and the final cost at the outset. For example, the project might be divided into stages, and the activity at the second stage may be dependent on options offered or recommendations made by the consultant as part of the first stage. Where this is the case, the consultant should have included day rates for additional work and

indicative prices for subsequent stages of the work as part of their tender. As part of the contract management process you should ensure that you review your requirements regularly with the consultant.

Before commissioning further work you should have a clear specification which outlines the requirement, and the consultant should submit a revised proposal. You must agree the expected timescales, outputs, and cost before further work commences, and you should record this in writing before any additional cost is incurred. This will allow you to control the budget and ensure that unexpected cost or 'scope creep' is avoided. Where spend exceeds 10% of the original value signed off you must seek further clearance. Spend is monitored on a regular basis and any unapproved consultancy spend will not be authorised.

When the contract comes to an end you should carry out a post assignment review to record the lessons learned and where possible incorporate them for the future. Where appropriate you should work with others to agree a plan to implement the findings, and consider the method of assessing long term benefits and savings. Where possible you should facilitate opportunities for skills transfer to reduce the need to engage external consultants in the future.

N.B. The steps articulated in stages 2 and 3 are 'typical' of all procurements whether they are for goods or services.

Section 5

Document Storage

Tender Documentation:

The method for storing tender documents is via Yortender and will be the responsibility of Sheffield City Council. Staff should adhere to the appropriate retention periods as prescribed by CIPFA (see table below).

In accordance with changes to Contracts Standing Orders, hard copies of tenders will only be accepted where the supplier does not have the means to upload tender submission via Yortender, or in exceptional circumstances.

A hard copy of the successful tender(s) will be kept by Sheffield City Council. After the terms of the contract have expired the contracts will be retained for the period prescribed by CIPFA (see table below).

Other documentation:

The storage of all other documentation should, wherever possible, be stored electronically (without the production of hard copies); hard copies of documents should only be printed as absolutely necessary. If documentation is in relation to a tender exercise, it should be attached to the relevant tender within Yortender under the 'Attachment' tab, keeping all documentation in a single place.

Version Control:

Version control is critical to ensure the most recent document or draft record is used.

Disposal of Electronic Documentation:

The appropriate retention periods should still be adhered to when storing documentation electronically; it is the responsibility of the lead officer to ensure that documentation is deleted from our records at the appropriate time, complying with the principles of the Data Protection Act.

Retention Periods:

Type of Record	Recommended Retention
Pre Contract Advice	
The process of calling for expressions of interest	2 years after contract let or not proceeded with
Specification and Contract Development	
The process involved in the development and specification of a contract	<i>Ordinary Contract:</i> 6 years after the terms of contract have expired. <i>Contracts Under Seal:</i> 12 years after the terms of the contract have expired.
Tender Issuing and Return	
The process involved in the issuing and return of a tender (Opening Notice)	1 year after start of contract
Evaluation of Tender	
Successful tender document	<i>Ordinary Contract:</i> 6 years after the terms of contract have expired. <i>Contracts Under Seal:</i> 12 years after the terms of the contract have expired.
Unsuccessful tender document	1 year after start of contract
Post Tender Negotiation	
The process in negotiation of a contract after a preferred tender is selected	1 year after the terms of contract have expired
Awarding of Contract	
The process of awarding contract	<i>Ordinary Contract:</i> 6 years after the terms of contract have expired. <i>Contracts Under Seal:</i> 12 years after the terms of the contract have expired.
Contract Management	
Contract operation and monitoring	2 years after terms of the contract have expired.
Management and amendment of contract	<i>Ordinary Contract:</i> 6 years after the terms of contract have expired. <i>Contracts Under Seal:</i> 12 years after the terms of the contract have expired.

All documentation is to be destroyed as confidential waste

Section 6

Freedom of Information

The Freedom of Information Act provides citizens with the power to request information from the Combined Authority relating to almost any aspect of the business. As such, all Freedom of Information (FOI) requests need to be dealt with as a priority, and there is a 20 working day timeframe within which the Combined Authority must provide the information that has been requested.

You may at some time receive an FOI request directly from a member of the public or a supplier. You may also get asked to contribute to an FOI response that is being co-ordinated by another constituent or non-constituent Council.

Generally, there are 2 ways that you can get involved in responding to FOIs:

- **Direct Requests:** FOI requests that come direct, are actioned 'in-house' and a response is issued.
- **Indirect Requests:** FOI requests that are being dealt with by another constituent or non-constituent Council, but who contact you for support with specific aspects of the request.

The following procedures apply if you are contacted directly about an FOI request:

- **Direct Requests:** if you receive an FOI request directly from a member of the public, or from an organisation or supplier:
 - For non-commercial requests respond directly to the requestor.
 - For commercial requests, forward immediately to Sheffield City Council.
 - All requests and responses will need to be retained in a central location
- **Indirect Requests:** occasionally, you may be contacted by another department who are co-ordinating an FOI response and require input from your department. If you receive an indirect request:
 - For non-commercial requests respond directly to the requesting department with all relevant information.
 - For commercial requests, forward immediately to Sheffield City Council.
 - All requests and responses will need to be retained in a central location

Section 7

Community Right to Challenge

The Localism Act 2011 has created the Community Right to Challenge, which will give community and voluntary sector organisations and groups of Combined Authority staff the right to 'challenge' local authorities (including the Combined Authority) by putting forward an Expression of Interest in running their services. A successful challenge would result in a competitive procurement exercise in which the challenger would be able to take part along with other interested organisations.

General information on the Localism Act 2011 and the provisions relating to the Community Right to Challenge can be found on the Department for Communities and Local Government website.

Any Expressions of Interest received by the Combined Authority should be immediately discussed with Sheffield City Council.

Section 8

Procurement Case Law

For the most recent procurement case law developments, please visit the Cabinet Office Website for further information.

General Guidance

Due to the recent case law on procurement and particularly on evaluation of bids, when carrying out any procurement exercise, the following guidance should be kept in mind:

- A decision should be taken at the beginning of the procurement process as to what evaluation criteria will be used to evaluate bids, whether this will be broken down into sub-criteria or even sub-sub-criteria, and what the weighting for each criterion will be. These criteria, and their respective weightings, should be notified to **all** bidders in sufficient time for the bidders to take them into account when preparing their tenders, most likely at the ITT stage.
- If a decision is taken that no sub-criteria or sub-sub-criteria are going to be used, and that only high level award criteria will be notified to bidders then this decision must be adhered to. In this case, the evaluation can only take place by applying the general award criteria without referring to any sub-criteria at all. This is not likely to be a preferred approach for complex or technical contracts.
- Evaluation criteria cannot be decided at a later stage i.e. after bids are submitted, nor can they be changed throughout the procurement procedure. It is therefore critical to ensure that evaluation criteria are carefully considered and can be applied throughout the whole procurement exercise.
- The essential point to remember is: be transparent with bidders. Anything that could affect the preparation of their tender should be disclosed. By telling them what you are looking for, you will get back higher quality bids, as well as reducing the risk of challenge.
- A distinction must be made between criteria that can be used at PQQ stage, and criteria that can be used to evaluate bids:
 - qualification criteria at PQQ stage can include assessment of general eligibility to participate, technical and professional ability and economic and financial standing
 - award criteria can include an assessment either of price alone or of the Most Economically Advantageous offer, which includes a range of factors (Regulation 30 of Public Contracts Regulations 2006)
- However, qualification criteria cannot be used as award criteria and vice versa.
- Bidders should be notified what the range of marks are and how they can achieve the higher marks with their tender. If top marks are to be awarded for

not just meeting but exceeding our requirements, this should be made very clear from the start.

Section 9

Terms & Conditions

It is essential that standard terms and conditions are used when buying goods or services. Likewise, having attached those terms and conditions to our tender documents, it is essential to insert those same terms and conditions into the subsequent contract.

Because no two requirements are the same, the standard terms and conditions will, in most cases, need to be supplemented with additional special terms and conditions, as relevant to the specific contract.

In this regard, it is your responsibility to ensure that the terms and conditions included with your tender documents are relevant and applicable to the goods or services that you are buying.

The standard terms and conditions and the standard forms of contract will vary depending on whether you are procuring goods or services - contact Sheffield City Council for advice on using model Terms & Conditions.

Section 10

Glossary

A glossary of terms frequently used in procurement:

Best and Final Offer (BAFO)

The detailed and fully priced offer submitted by the bidder for the contract following the invitation to submit a BAFO proposal. With acceptance, the offer becomes legally binding on both parties.

Call Off Contract

A contract made following a formal tendering process with one or more contractors, suppliers or service providers for a defined range of works, goods or services covering terms and conditions (including price) which users 'call off' to meet their requirements.

Competitive Dialogue Procedure

This tender procedure is only used in particularly complex or highly specialised procurements where a specification for the goods, works or services cannot be fully articulated. A requirement is advertised and interested parties complete a Pre-Qualification Questionnaire. The questionnaires are evaluated and a shortlist is drawn up. The short-listed organisations are then invited to develop one or more solutions to meet the requirements.

Competitive Tendering

Awarding contracts by the process of seeking competing bids from more than one organisation.

Consortium

An unincorporated group of firms or individuals, often formed to tender for a contract, with a view to forming an organisation or working in some other way in the event of winning.

Contract

A binding agreement made between two or more parties, which is intended to be enforceable by law.

Contract Value

The total monetary value of a contract over its full duration (not annual value).

Contractor

An organisation or individual who undertakes works, supplies goods or provides services.

Corporate Contract

Contracts for the use and benefit of the organisation as a whole.

E-Procurement

The use of electronic methods at every stage of the procurement process from identification of requirement through to payment, and potentially to contract management.

EU Procurement Directives

The European Union (EU) Procurement Directives, and the Regulations that implement them in the UK, set out the law on public procurement. Their purpose is to open up the public procurement market and to ensure the free movement of goods and services within the EU.

The rules apply to purchases by public bodies and certain utilities which are above set monetary thresholds. They cover all EU Member States and, because of international agreements, their benefits extend to a number of other countries worldwide.

Where the Regulations apply, contracts must be advertised in the Official Journal of the EU (OJEU) and there are other detailed rules that must be followed. The rules are enforced through Member States' courts, and the European Court of Justice (ECJ).

EU Thresholds

These thresholds indicate above which value the EU Procurement Directives apply. The current levels can be found within the EU Directives section

Evaluation

Detailed assessment of contractor, supplier or service provider offers, against financial and quality criteria.

Framework Agreement

An arrangement under which a contracting authority establishes with a provider of goods, works or services, the terms under which contracts subsequently can be entered into, or 'called-off' (within the limits of the agreement) when particular needs arise.

Invitation to tender (ITT)

An invitation to contractors, suppliers or service providers to bid for the provision of works, goods or services.

Market Brief

The Market Brief is for information only, and provides an outline of the requirements for the contract.

Method Statement

Tenderers' proposals for dealing with aspects of the work which are outlined in the specification, and where detailed operational information about the delivery of the contract is required.

Most Economically Advantageous Tender (MEAT)

The tender that will bring the greatest benefit having taken a number of factors into consideration, including quality and cost.

Offer

The supplier's offer to provide goods and/or services in response to a buyer's enquiry.

OJEU

The Official Journal of the European Union. This is the publication in which all contracts from the public sector which are valued above a certain threshold must be published.

Open Procedure

The open procedure is a one-stage tender process, where a contract is advertised, and all interested parties who express an interest are supplied with the tender which they may subsequently return.

Post-Tender Negotiation

Discussions with a supplier, or suppliers, after their offers have been received, with the aim of achieving clarifications and/or improvements. (Strict guidelines apply to conduct during this process.)

Pre-Qualification Questionnaire (PQQ)

A questionnaire sent to suppliers that are used to ascertain the suitability of organisations to tender for the contract, in terms of their technical, economic and financial capability.

Private Finance Initiative (PFI)

A route for procurement where, instead of owning the assets needed for their services, public authorities arrange for private sector bodies (often in the form of consortia) to provide and own them. These bodies then make the assets available, under operating leases, to enable public authorities to deliver the services required.

Procurement

The process of acquiring goods, works and services, covering acquisitions from third parties and from in-house providers. The process spans the whole life cycle, from identification of needs, through to the end of a contract or the end of the useful life of an asset.

Qualified Tender

A tender which is qualified because it does not fully meet the intended contractual requirements. Such tenders are not normally acceptable.

Quality Assurance (QA)

A discipline to assess quality standards, covering all activities and functions concerned with the attainment of quality.

Quotation

A written or verbal price given by a contractor, supplier or service provider.

Restricted Procedure

A two-stage tender process, where a contract is advertised, and interested parties must first complete a Pre-Qualification Questionnaire. Following this evaluation, a shortlist of the organisations that meet our criteria is drawn up. These organisations are invited to submit a tender and will be sent full tender documents to be completed by a specified deadline.

Services

Services provided by an external service provider (an individual or organisation) on behalf of the Combined Authority e.g. translators, consultancy etc.

Specification

A document detailing the requirements and standards for individual contracts, including the scope and specific details of the activities we require. It should present a clear, accurate and full description of needs, so that a proposed a solution can be developed to meet them.

Standing Orders

Rules and procedures governing our activities, for the procurement of goods, works and services.

Sub-Contracting

A contractor assigns part of the contract to another contractor(s).

Supplies

Goods either purchased or hired.

Those that have a value exceeding the current threshold defined by the EU rules will be subject to the European tendering requirements.

Tender

An official written offer to an Invitation to Tender that contains a cost proposal to perform the works, services or supplies required. This normally involves submission of the offer, which is sealed and delivered to a specific address, by a specified time and date.

TUPE Regulations

The Transfer of Undertakings (Protection of Employment) Regulations 1981 (as amended from time to time) implements the Acquired Rights Directive on the acquired rights of workers.

Value for Money

The provision of the right goods and services from the right source, of the right quality, at the right time, delivered to the right place and at the right price (judged on whole-life costs and not simply initial costs).

Works

Building, construction and engineering related. Those that have a value exceeding the current threshold defined by the EU rules will be subject to the European tendering requirements.

Section 11 – to be undertaken by Sheffield City Council only

Advertising Tenders

All contract tenders are required to be advertised to the public.

Please Note: Tenders can only be advertised by Sheffield City Council

If we are advertising this tender opportunity in the Official Journal of the European Union (OJEU), then it must appear in OJEU prior to being advertised anywhere else.

Section 12 – to be undertaken by Sheffield City Council only

Contracts Register Submission

The Combined Authority has a commitment to be transparent in how it does business, and this includes making information publicly available on who it does business with, for what purpose, at what price and for what duration. All of the information that is collected via the Contracts & Grants Register Submission Form contributes to this transparency & reduces the number of occurrences of one off data requests.

Much of the data is required by the Audit Team to ensure that, as an organisation, the Combined Authority is operating in a transparent and lawful manner.

Most of this data will be made available to the public in the form of the Combined Authority Contracts Register. In addition to providing the public with transparency regarding the money being spent, the Contracts Register fulfils a self-service role, allowing businesses to identify potential future commercial opportunities, which increases competitiveness and innovation within our marketplaces.

Internally, this data is used to perform detailed analysis in areas such as: the organisation's spending patterns, contract values, geo-location of suppliers, effectiveness of advertising and for cross-referencing of grant-funding.

Section 13 – to be undertaken by Sheffield City Council only

Opening Tenders

Summary of Tender Opening Process

This section details the requirements for tender submission; a summary is included below, and is the responsibility of Sheffield City Council:

- Process applies to all tenders
- All tenders should be undertaken electronically, using our electronic-tendering system, YORtender, unless a hard copy is specifically requested by the bidder
- Tenders received electronically shall be 'opened' within the electronic tendering system by the designated 'opening officer' – as described below
- Tenders received in hard copy shall be opened together at one time in a suitable place and in the presence of 2 designated officers – as described below
- In both electronic and hard-copy submission the opening officers shall be appointed by Sheffield City Council

e-Tendering: The Opening Ceremony

- ***How do I open a tender?***
 - Sheffield City Council will 'unseal' the tender at the time allocated via YORtender.
- ***Hard copy Tenders:***
 - If any hard copy tenders are expected two designated officers will be allocated to perform the opening of the tenders at the designated office
 - If there is a mixture of hard copy tenders and electronic tenders submitted, they must be opened by the same designated officers at the same time

Tendering Activity

Please note that in line with Contract Procedure Rules, **all** tendering activity **must** be undertaken in conjunction with Sheffield City Council.

Section 14 – to be used in very exceptional circumstances after approval by Combined Authority Finance Director only

Waivers

The Waiver form is a request to use a specific supplier without following Contract Procedure Rules and should only be used in very exceptional circumstances.

The process for requesting a Waiver of Contract Procedure Rules can be found below. The initial approval for a Waiver will be given by the Combined Authority Finance Director.

Sheffield City Council will process the Waiver request and will provide advice and guidance on the process and provide final approval if appropriate.

The Waiver Request Form (see Appendix F) must be used at all times. Requests not adhering to the set procedure will be returned to the requestor for re-submission.

All requests for Waivers of Contract Procedure Rules should be emailed to waiverrequest@sheffield.gov.uk

Waivers of Contract Procedure Rules Process

- ***What is a Waiver to Contract Procedure Rules?***

Where it is felt that compliance with Contract Procedure Rules (CSO) cannot be achieved, a Waiver to Contract Procedure Rules (WCSO) request will need to be submitted to Sheffield City Council for consideration following approval from the Combined Authority Finance Director. This should provide full details on why CSO cannot be met and if sanctioned, provides an exemption to the requirements of CSO.

Officers are required to follow CSO and as such, Waivers should only be requested in exceptional circumstances. The examples below provide an indication on when a waiver should be sought:

- Sole Supplier – the market has been investigated and this has shown that there is only one supplier of the product / service available.
- The contract is one required because of circumstances of extreme urgency which could not reasonably have been foreseen
- Insufficient time has been allocated to run a tender exercise, and an additional period of time is requested to allow for / enable an appropriate procurement project to be undertaken.
- Continuity of existing work – where a change in circumstances within a service area may result in the completion of a full tendering process being unfeasible. Such examples could be, a situation where an anticipated change in legislation or where a service may be involved in an outsourcing process. Additionally, where an item repair or maintenance can only be completed by the original manufacturer / supplier.

This list is not exhaustive, and the above circumstances are not guaranteed to result in a waiver being granted. The decision to sanction a waiver is at the discretion of the Director of Commercial Services at Sheffield City Council.

Certain types of expenditure are exempted from the competitive requirements of CSO, and as such do not require a Waiver; this includes such examples as land acquisition, compensation payments and customer refunds. Please contact Sheffield City Council for further information on these exemptions.

- ***Why do I need a Waiver?***

CSO sets out the governance requirements for how the Combined Authority spends its money, providing the framework to ensure that procurement is undertaken efficiently, legally and transparently. If there is a reason to operate outside of this framework, it is necessary to obtain a Waiver of the normal governance requirements.

If a Waiver is not sought and granted before operating outside of CSO requirements, then there could be the following consequences:

- Officers will not have the authority to spend money and/or award a contract
- Value for money may not be optimised
- If audited (either internally or externally), non-compliance will be highlighted and escalated
- Third parties may legally challenge the decision-making process
- It may open the Combined Authority to reputational and financial risk
- Individual officers could have their authority to raise/approve orders revoked
- Individual officers may face disciplinary procedures

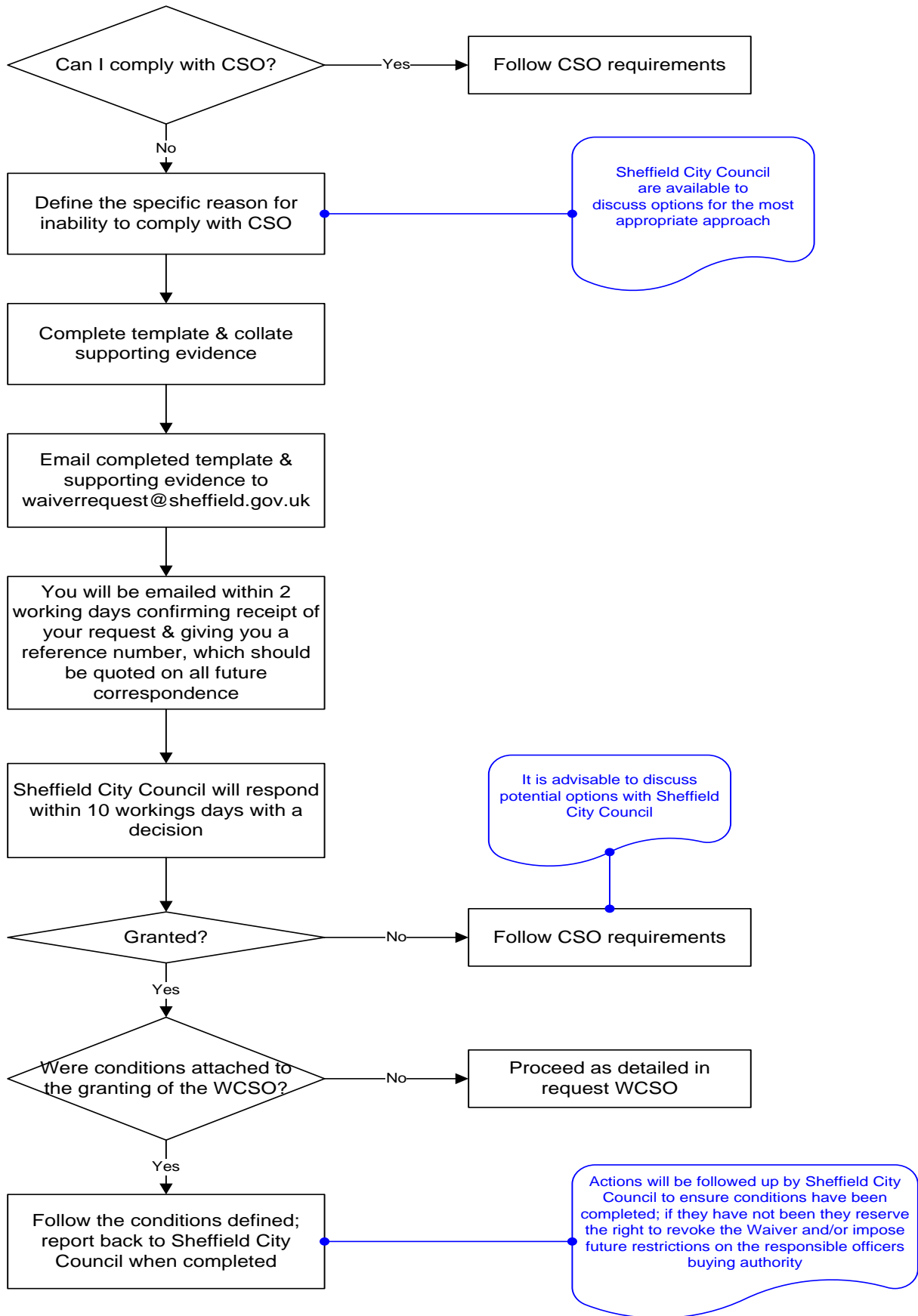
Waivers are granted for a specified period of time. Should you require an extension beyond the given expiry date, you must apply for another Waiver providing full details on the reasons for the request. Conditions may also be applied to the sanctioning of a waiver e.g. that a formal tender arrangement, if required must be undertaken by the end of the waiver period.

- ***When / How do I request a Waiver?***

You are advised to apply for a waiver as soon as it is identified that you are unable to comply with the requirements of CSO. Please see the below flowchart for additional guidance. Any waiver should always be requested in advance of the decision to award a contract. It is not acceptable to apply for a waiver after a commitment has been made to engage with any supplier.

To request a waiver, please complete the form in Appendix F. This should then be sent to waiverrequest@sheffield.gov.uk mailbox. Once a waiver request has been submitted you will receive an acknowledgement email within 2 working days, and unless further information is required, you can expect a decision to be made on the request within 10 working days.

Flowchart for Waivers



Section 15

Government Procurement Cards

Government Procurement Cards (GPC) will be issued to a named individual (the Cardholder). The card must only be used by that Cardholder. Cards are not transferable. The Cardholder will be responsible to their Line Manager and the Solutions Administrator at Sheffield City Council.

Prior to a Card being issued, the Cardholder must sign a Declaration Form (countersigned by their Line Manager) that they have read and understood the guide that accompanies the card and accept the responsibilities of being a Cardholder.

The GPC as held by individuals offers a simple method to purchase and pay for business-related, low value, non-recurring goods and services which are **NOT** covered by existing contracts or where a Purchase Order can be raised in advance.

The GPC looks, and is used, much like any other card and should be accepted by any establishment or organisation which accepts payment by Visa. However:

- It cannot be used to withdraw cash;
- It must not be used for any personal purchases;
- The card is a charge card, not a credit card and card balances will be settled by Direct Debit by Sheffield City Council

The GPC programme is managed by Sheffield City Council (SCC) and the contract is administered by Commercial Services. If you experience any difficulties in using the GPC, your Solutions Administrator at Sheffield City Council should be contacted in the first instance.

Failure by Cardholders and/or Line Managers to adhere to the policy and procedures in these Contract Procedure Rules, Financial Regulations (or associated finance procedures) or the Cardholder User Guide will result in withdrawal of their GPC facility. In addition, and as stated elsewhere in this guide, disciplinary action will be taken in certain circumstances.

The Combined Authority GPC

- The GPC card can be used to purchase any goods/services that are not prohibited or are not already covered by an existing contract;

- The Cardholder must adhere to the GPC procedures.

DO's AND DONT's

Do

- Use the GPC card carefully and securely
- Use the card in accordance with the agreed policy and procedures
- Ensure required quotes are included with monthly statement
- Keep records and paperwork relating to all transactions, including all vouchers/VAT receipts
- Submit all relevant paperwork within prescribed timescales
- Clarify with the Solutions Administrator any points you are not sure about
- Contact the supplier of the goods/services to clarify prices, deliveries, missing vouchers/VAT receipts
- Contact Barclaycard when there are any problems with transactions or the Barclaycard statement
- Complete a T&S form if you are using your GPC for **any travel and subsistence**, this must be included in your return to the Solutions Administrator

Don't

- Give your card to another person (even another card holder) to purchase goods/services on your behalf
- Use the card to buy personal items
- Use the card where it is possible to use a Purchase Order
- Attempt to use the card to withdraw cash
- Use the card to buy alcohol
- Use the card for goods or services covered by existing contracts
- Split orders to get around transaction limits
- Use the card to circumvent procurement policy, including the requirements for competitive tendering.
- Collect loyalty points against expenditure on your GPC

USE OF GOVERNMENT PROCUREMENT CARDS IN CONNECTION WITH INTERNET TRANSACTIONS USING INTERMEDIARY PAYMENTS AGENCIES SUCH AS PAYPAL

Cards MUST NOT be used in connection with transactions made over the internet through intermediary payment agencies such as PayPal, or similar organisations, or to subscribe to online services. Where there is no alternative to using intermediary payment agencies Sheffield City Council must be consulted prior to any transaction being placed.

GPC transactions are monitored centrally for misuse and this will now include the use of intermediary payment agencies. Cards used for such transactions may be stopped until the transactions have been investigated.

CORPORATE ACTIVITIES

Cardholders are permitted to use the GPC to purchase Travel and Subsistence not already covered by Purchase Order. However this must be done in a cost-effective way, compliant with the current T&S Policy and Procedures. They must also comply with any existing and future policy on the provision of hospitality.

TRAVEL AND SUBSISTENCE CLAIMS

You must complete a T&S Claims form if a GPC is used in connection with the acquisition of any goods and services which would usually be provided by the existing T&S Procedures, e.g. travel costs, accommodation costs. Supporting documentation such as Visa Card Vouchers/VAT Invoices/Receipts must be provided with the T&S claim form.

Even if you are not making a T&S claim a completed form is required to record the T&S expenditure against the GPC

- Separate entries should be made against the appropriate Account Codes to enable a clear distinction between T&S and Hospitality.
- Each transaction should appear on your statement and the receipts, quotes, documentation and Visa Card Vouchers/VAT invoices for each transaction must be kept and presented for authorisation to your Line Manager and Solutions Administrator.
- The monthly statement and all documentation must be presented to your Line Manager for authorisation, within 5 working days of receipt. This should then be forwarded onto the Solutions Administrator also within 5 working days.
- Failure to submit the statement and accompanying documentation in accordance with these procedures will be brought to the attention of the Finance Manager.

DECLARATIONS AND ACKNOWLEDGEMENTS

DECLARATION BY CARDHOLDER & LINE MANAGER

A GPC User Guide has been produced which sets out the policy and procedures to be followed when the GPC is being used. An important part of these procedures is the need for Cardholders to ensure that the GPC is used with due propriety.

An important part of these procedures is your responsibility to comply with the Government Procurement Card Guidelines and Contract Procedure Rules.

It is an Audit requirement that a Cardholder must confirm that they accept the responsibilities set out in the GPC User Guide.

Applicants to become a Cardholder must familiarise themselves with the GPC User Guide and should sign the Declaration (see Appendix H) then pass it to their Line Manager for Countersigning. The Line Manager should then return the original of this form to the Solutions Administrator at Sheffield City Council.

Section 16

Framework Agreements

Framework Agreements are available for Public Sector bodies to use and have been predominantly procured by the Governments Central Procurement Team - Crown Commercial Services ([CCS Website](#)), or by Sheffield City Council in certain circumstances.

The CCS website contains information required to purchase items through these agreements which will be available either from single or multiple suppliers.

The following Framework Agreements have been identified as suitable for use by the Combined Authority:

- Office Furniture
 - RM1501 Lot 1

- Stationary
 - RM917A Group 1
 - RM781

- Travel Management
 - RM808

- Information Technology
 - RM16892
 - RM721

- Telephony
 - RM1035

- Multi-Function Devices
 - RM1599 Lot 1

- Temporary Staff
 - RM692
 - Sheffield City Council Reed Contract

If you require any assistance with buying goods or services from these frameworks please contact Sheffield City Council.

Appendix A

Trade Supplier or Non-Trade Supplier

Supplier spend can be separated into 2 distinct categories:

- Trade
- Non Trade

You need to be aware of the differences between these two categories when you are requesting set up of a new supplier or amending the details of an existing one. The following notes outline the differences.

Trade Spend

This is when the orders are for goods, works or services from either a company, or an organisation or an individual.

This description applies regardless of which order type is raised.

It also applies when the money for the purchase is provided through a grant / external funding. For example, you may have a grant to replace the surfacing in a children's playground. If you place an order with a paving company to do that work it is Trade Spending.

This description applies where;

- the goods, services or works are delivered directly to the Authority, e.g. a delivery of copier paper, windows cleaned in a Combined Authority Building; OR
- the services or works are to be delivered on behalf of the Authority, e.g. payment to Private Landlords to provide Bed & Breakfast accommodation to homeless families; OR
- the Authority gives a 'grant' to a voluntary / charity organisation for them to provide services e.g. Children's Activities, which will be evaluated / measured for outputs

Please contact Sheffield City Council if you are in doubt about the category of your supplier.

Non Trade Spend

This is when the Authority makes a payment to an individual or organisation but;

- will not receive any goods, services or works
- will not have any services delivered or work done on its behalf.

For the Authority to make a payment to an individual or organisation, a purchase order must be raised. Although some of these payments are not for goods or services supplied, e.g. insurance claims, the organisations and individuals that we pay are referred to as 'Suppliers' and their records are kept in the financial system Supplier Address Book.

Payments can only be made by raising an order through the financial system.

Please contact Sheffield City Council if you are in doubt about the category of your supplier.

Appendix B

Finding Suppliers on the Financial System

There are a number of reasons why you would need to find a supplier on the financial system:

- To find out if a supplier is already set up before you send a request for a new one to be set up
- To find the supplier when you are raising a Purchase Order
- To find the payment terms of a supplier, i.e. standard 30 days or less

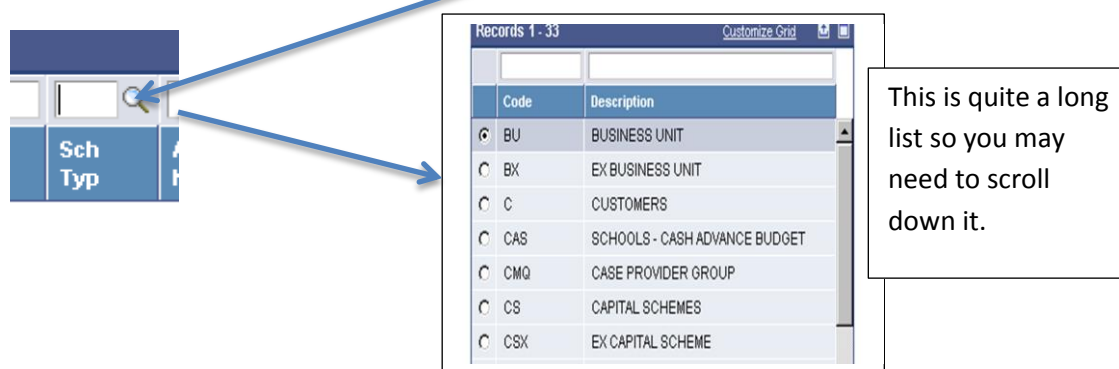
To do all of these enquiries effectively you need to know which **search type** to use and some basics about using **searching for a name**.

Search by Type

The Address Book holds the details of current and ex-Employees, Customers, Suppliers, Schools and Business Units.

When you go into the Address Book, one of the columns on the screen is “Sch Typ” (Search Type). Usually located on the far right hand side.

When you click in the white box a ‘magnifying glass will appear. Clicking on this will open up a list of codes for all the different groups.



Suppliers are more technically known as Vendors so the search type will begin with a **V**. However, as you can see from the list below there are also ex-suppliers and non-active suppliers etc. listed. When you are looking for a supplier it is advisable to check all of these categories.

<input type="radio"/>	V	SUPPLIERS
<input type="radio"/>	VD	SUPPLIER NOT MIGRATED TO MYBUY
<input type="radio"/>	VX	EX SUPPLIERS
<input type="radio"/>	VX1	NOT ACTIVE PASS TO PROCUREMENT
<input type="radio"/>	VX2	FSSG USE ONLY

It is very easy to check a supplier in all these categories – you just put V* in the search type box. The asterisk (*) is called a ‘wild card’ and means your search will also pick up VX, VX1 etc.

Search by Name

To find a supplier you may have to search for the name in more than one way – including using the * wild card described above.

Take for example that you wanting to buy some stationery and you have been told that the company we buy it from is called Roberts. If you search using **Roberts** you will not find it. If someone tells you it is RA Roberts and you search using this you will still not find it. This is because the company’s proper, full name is R A Roberts (Office Equipment) Ltd. (note the space between to R and the A!)

If you search using *Roberts* you will find it

Search if a Supplier is already Set Up

Go to Address Book Enquiry

Address Book Enquiry - Work With Addresses

Put in the name you are looking for, e.g. *ROBERTS* and the search type V*. Press ‘Find’ at the top of the screen

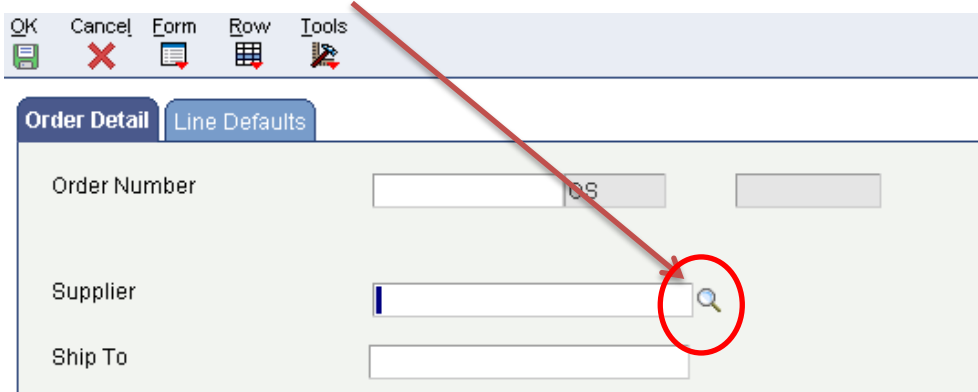
Address Number	Search Type	Alpha Name
203217	V	B C ROBERTS (CONT
203217	V	B C ROBERTS (CONTRACTING) LTD
207777	V	R A ROBERTS (OFFICE EQUIPMENT) LTD
307598	VD	ROBERTS & CO

If the Code in the Search Type is VX, VX1 or VD you will need to complete the Amend / Reactivation section of the ‘Supplier (Trade and Non-Trade) –Request for a new one or to amend an existing one.’

If the supplier you want to use is not listed at all in the Address Book you need to complete a 'Supplier (Trade and Non-Trade) –Request for a new one or to amend an existing one' Form.

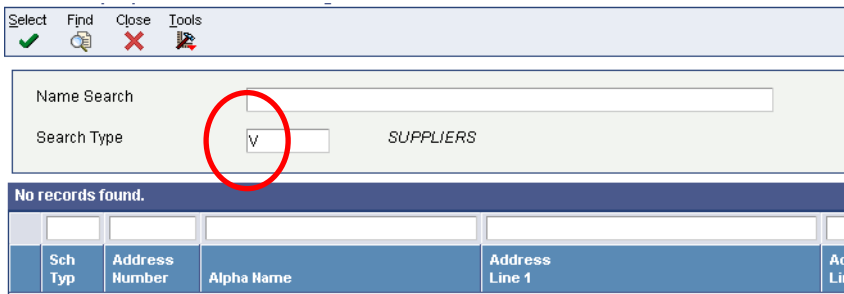
Find a Supplier When Raising a Purchase Order

When you are in the order raising screen click into the Supplier box and the magnifying glass will appear.



When you click on the magnifying glass the Address Book will appear.

N.B. the Search Type box already has a V in it – and this is all it will search on. That is because you can only raise an order to an active supplier. If you cannot find the supplier you want to use through this screen go back and follow the instructions on finding out if a supplier is already set up



Search for the name as described above. Select the supplier by clicking in the button to the left of the name.

	V		STRESS POINT ROBERTS OFFICE EQUIPMENT
	V	207777	R A ROBERTS (OFFICE EQUIPMENT)
	V	310544	TREVOR ROBERTS ASSOCIATES LTC

The Combined Authority Contract Procedure Rules

Payment Terms - A/P	<input type="text" value="N15"/>	<i>Net 15 Days</i>
Payment Instrument	<input type="text" value="B"/>	<i>BACS (UK EFT)</i>
Factor/Special Payee	<input type="text" value="207777"/>	<i>R A ROBERTS (OFFI</i>

Appendix C

Raising a Purchase Order

Standard Purchase Order


In the financial system following the steps below to raise a Standard Purchase Order:

- 1 Click the **SCC Task View** menu
- 2 Click the **Purchase to Pay** menu
- 3 Click the **Purchasing** menu
- 4 Click the **Daily Processing** menu
- 5 Click the **PO Entry** menu
- 6 Click the **Standard (OS)** menu
- 7 Click the **Add** button
- 8 Complete the **Supplier** field.
- 9 Complete the **Branch/Plant** field
- 10 Complete the **Account Number** field
- 11 Complete the **Item Number** field with the description of the goods/services
- 12 Complete the **Quantity Ordered** field
- 13 Complete the **Unit Cost** field
- 14 Click the **Report Code 1** field and select as appropriate
- 15 Click on to the line below

Add a line attachment - will appear as "text" lines when the order is printed

- 16 Click in the tick box on the left hand side of the order line
- 17 Click the **Row** button
- 18 Select the **Line Attachments** item from the drop down menu
- 19 Click the **Text** button
- 20 Click in the **Text Input Area** and complete the details as required
- 21 Click the **Save** button

Viewing/Checking the line attachment

- 22 Click the  **Attachment** icon against the order line and view
- 23 Click the **Cancel** button

Before you close out of the screen, you should make a note of the **Order Number**. Your order will now require approval at the appropriate level, before it can be printed and sent to the supplier. Orders over the value of £2,500 also require approval by Procurement. Please see the separate STT lesson to show you how to deal with orders over £2,500.

- 24 Click the **OK** button
- 25 Click the **Cancel** button

Call Off Purchase Order

In the financial system following the steps below to raise a Call Off Purchase Order:

- 1 Click the **SCC Task View** menu
- 2 Click the **Purchase to Pay** menu
- 3 Click the **Purchasing** menu
- 4 Click the **Daily Processing** menu
- 5 Click the **PO Entry** menu
- 6 Click the **Call Off (OP)** menu
- 7 Click the **Add** Button
- 8 Click the **Supplier** Field and enter the relevant address book number
- 9 Complete the **Branch/Plant** field.
- 10 Complete the **Account Number** field.
- 11 Complete the **Item Number** field with the description of the goods / services
- 12 Complete the **Unit Cost** field.
- 13 Complete the **Report Code 1** field

Line Attachment On Call Off orders, only one line attachment will be printed, this has to be attached to the first line of the order

- 14 Click the tick box against the 1st line of entry
- 15 Click the **Row** button
- 16 Select the **Line Attachments** item from the drop down menu
- 17 Click the **Text** button
- 18 Click the **Text Input Area** button. Add additional information for the supplier as required
- 19 Click the **Save** button
- 20 Click on the line below to confirm previous input

Order Header Attachment - if required – used for internal information

- 21 Click the **Order Attachment** hyperlink in the order header – (under Order Date)
- 22 Click the **Text** button
- 23 Click in the **Text Input Area** - Input your name, the date and a contact number, and information as required
- 24 To attach a document, Click the **File** button
- 25 Click the **Save** button to return to the input screen
- 26 Click the **OK** button
- 27 Before you close out of the screen, you should make a note of the **Order Number**.
- 28 Click the **Close** button

Your order will now require approval at the appropriate level, before it can be printed and sent to the supplier. When printed, Call Off orders are in the form of a letter.

Appendix D

New / Amend Supplier Form

REQUEST FOR A TRADE SUPPLIER (NEW)													
<p>Please note it is the responsibility of the BUSINESS UNIT manager to ensure the SUPPLIER details contained in this form have been verified and are accurate</p> <p>1. All fields are mandatory and must be completed before returning to Trade Suppliers (tradesuppliers@sheffield.gov.uk) 2. This form must be completed in full by the Business Unit Manager, as named in OEO 3. If you are requesting the addition of a Trade Supplier (by this we mean you are buying goods, works or services), Business Unit Managers must carefully consider whether the expenditure is business critical before any goods or services are ordered.</p>													
<p>Key</p> <p> Person Requesting Management Confirmation of Verification New Trade Supplier Trade Amend Supplier</p>	<p>Click To Submit To The Trade Suppliers Team</p>												
<p>Failure to adhere to this procedure will result in the Supplier not being set up/amended</p>													
<p>For help completing this form: Trade Suppliers: Tradesuppliers@sheffield.gov.uk 0114 2735624</p>													
<p>Details of Person Requesting</p> <table border="1"> <tr><td>Name</td><td></td></tr> <tr><td>Portfolio</td><td></td></tr> <tr><td>Job Title</td><td></td></tr> <tr><td>Phone No</td><td></td></tr> </table>		Name		Portfolio		Job Title		Phone No					
Name													
Portfolio													
Job Title													
Phone No													
<p>SECTION A - MANAGER VERIFICATION - Your request will not be processed unless ALL fields are completed</p> <p>By completing this section I confirm that the details contained within this form are accurate and correct, and the supplier details have been verified by a known contact within the supplier organisation</p> <table border="1"> <tr><td>Name</td><td></td></tr> <tr><td>Job Title</td><td></td></tr> <tr><td>Portfolio</td><td></td></tr> <tr><td>Phone No</td><td></td></tr> <tr><td>Email Address</td><td></td></tr> </table>		Name		Job Title		Portfolio		Phone No		Email Address			
Name													
Job Title													
Portfolio													
Phone No													
Email Address													
<p>TYPE OF REQUEST</p> <p>Please indicate the type of request <input type="text" value="NEW SUPPLIER"/></p>													
<p>SECTION B - NEW TRADE SUPPLIER</p> <p>Please enter details of the new supplier:</p> <table border="1"> <tr><td>Full Business Name</td><td></td></tr> <tr><td>Business Contact Person</td><td></td></tr> <tr><td>Business Phone Number</td><td></td></tr> <tr><td>Business Email Address</td><td></td></tr> <tr><td>Business City (location)</td><td></td></tr> <tr><td>Business Post Code</td><td></td></tr> </table>		Full Business Name		Business Contact Person		Business Phone Number		Business Email Address		Business City (location)		Business Post Code	
Full Business Name													
Business Contact Person													
Business Phone Number													
Business Email Address													
Business City (location)													
Business Post Code													
<p>The Council's Standing Orders state that you must use an Internal Supplier or a Corporate Contractor to supply goods / services whenever possible. If your needs can be fulfilled via this route, then your request will be rejected. Check the Contracts Database for details of current Corporate Contractors and Internal Suppliers.</p> <p>What do you intend to purchase from this supplier? <input type="text"/></p> <p>How much do you propose/plan to spend with this supplier? e.g. over the next 12 months. <input type="text"/></p> <p>If you have purchased these goods or services on a previous occasion, please state below which supplier you used, and explain why you are not purchasing from this supplier on this occasion.</p> <p>Previous Supplier Name <input type="text"/> Why not using on this occasion <input type="text"/></p> <p>It is a requirement of Council Standing Orders that the correct process is followed for the amount of money that will be spent. Please advise below, which procurement process you have followed.</p> <p>Procurement process followed: <input type="text"/></p> <p>If you selected option (d), (e) or (f) above, please provide the following additional information: (d) Details of the tender reference number, and the name of the Procurement Professional involved (e) The Waiver Number and Date of Issue (f) Explanation of alternative process used</p> <p>Additional Information <input type="text"/></p>													
<p>Thank you for taking the time to complete this form.</p>													
<p>Suppliers Use Only:</p> <table border="1"> <tr><td>Supplier Number</td><td><input type="text"/></td></tr> <tr><td>Industry Classification</td><td><input type="text"/></td></tr> <tr><td>Date / Time Received by Supplier Team</td><td><input type="text"/></td></tr> <tr><td>Date / Time set up by Supplier Team</td><td><input type="text"/></td></tr> <tr><td>Supplier Team Contact</td><td><input type="text"/></td></tr> <tr><td>Supplier Team Notes</td><td><input type="text"/></td></tr> </table>		Supplier Number	<input type="text"/>	Industry Classification	<input type="text"/>	Date / Time Received by Supplier Team	<input type="text"/>	Date / Time set up by Supplier Team	<input type="text"/>	Supplier Team Contact	<input type="text"/>	Supplier Team Notes	<input type="text"/>
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Supplier Team Contact	<input type="text"/>												
Supplier Team Notes	<input type="text"/>												

REQUEST FOR A TRADE SUPPLIER (AMEND)													
<p>Please note it is the responsibility of the BUSINESS UNIT manager to ensure the SUPPLIER details contained in this form have been verified and are accurate</p> <p>1. All fields are mandatory and must be completed before returning to Trade Suppliers (tradesuppliers@sheffield.gov.uk) 2. This form must be completed in full by the Business Unit Manager, as named in OEO 3. If you are requesting the addition of a Trade Supplier (by this we mean you are buying goods, works or services), Business Unit Managers must carefully consider whether the expenditure is business critical before any goods or services are ordered.</p>													
<p>Key</p> <p> Person Requesting Management Confirmation of Verification New Trade Supplier Trade Amend Supplier</p>	<p>Click To Submit To The Trade Suppliers Team</p>												
<p>Failure to adhere to this procedure will result in the Supplier not being set up/amended</p>													
<p>For help completing this form: Trade Suppliers: Tradesuppliers@sheffield.gov.uk 0114 2735624</p>													
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Name													
Job Title													
Portfolio													
Phone No													
Email Address													
<p>TYPE OF REQUEST</p> <p>Please indicate the type of request <input type="text" value="AMEND/REACTIVATE"/></p>													
<p>SECTION B - AMEND/REACTIVATE TRADE SUPPLIER (All fields are mandatory)</p> <p>OEO Supplier Number <input type="text"/> Full Business Name <input type="text"/> Business Email Address <input type="text"/> Brief details about the changes and or why you wish to re-activate this supplier <input type="text"/></p> <p>What do you intend to purchase from this supplier? <input type="text"/> How much do you propose/plan to spend with this supplier? e.g. over the next 12 months <input type="text"/></p>													
<p>Thank you for taking the time to complete this form.</p>													
<p>Suppliers Use Only:</p> <table border="1"> <tr><td>Supplier Number</td><td><input type="text"/></td></tr> <tr><td>Industry Classification</td><td><input type="text"/></td></tr> <tr><td>Date / Time Received by Supplier Team</td><td><input type="text"/></td></tr> <tr><td>Date / Time set up by Supplier Team</td><td><input type="text"/></td></tr> <tr><td>Supplier Team Contact</td><td><input type="text"/></td></tr> <tr><td>Supplier Team Notes</td><td><input type="text"/></td></tr> </table>		Supplier Number	<input type="text"/>	Industry Classification	<input type="text"/>	Date / Time Received by Supplier Team	<input type="text"/>	Date / Time set up by Supplier Team	<input type="text"/>	Supplier Team Contact	<input type="text"/>	Supplier Team Notes	<input type="text"/>
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Date / Time set up by Supplier Team	<input type="text"/>												
Supplier Team Contact	<input type="text"/>												
Supplier Team Notes	<input type="text"/>												

Appendix E

Commissioning Template for Consultancy & Interim Managers

Managers must complete this Commissioning Template before obtaining consultancy services or Interim Managers. This should be sent to Sheffield City Council who will co-ordinate clearance & advise on the most effective method of procurement where appropriate.

Please note that it is important that this process is followed otherwise it will not be possible to pay for the services.

1.	Rationale for using external resources – including alternatives considered and the reason for their rejection. Do the skills exist in-house, has direct recruitment on a temporary or fixed term been considered?
2.	Overview of the wider context of the engagement – including how it supports the overall delivery of Combined Authority Objectives
3.	Identify in what capacity external resources are being engaged – clearly state the outcome in terms of expectations, deliverables and benefits of the engagement. For Interim Managers state the role or post within the funded establishment which is being filled
4.	Measurement – What success should look like, timeframe for delivery (what is to be achieved and when?) and estimated or quoted cost
5.	Management Arrangements – how will these external resources be managed and performance reviewed?
6.	How will the result of the consultancy be used – how will any recommendations be implemented, how will any reports/products of the consultancy be used?

Completed by Commissioning Manager (Name):

Date:

Appendix F**Waiver Request Form – The Combined Authority**

Please complete all Sections 1 – 9 (this section must be fully completed)

1.	Report Author	
2.	Responsible Officer (if different)	
3.	Contact Telephone Number	
4.	Team	The Combined Authority
5.	Department	
6.	Title of Waiver Request	
7.	Projected costs of Waiver (exc. VAT)	
8.	Proposed waiver end date	
9.	Supplier	

To be completed by Sheffield City Council:

10.	Date Received	
11.	Reference Number	
12.	Request Decision	Granted / Refused (delete)
13.	Legal Services Officer (if required)	
14.	Waiver elapses (date)	
15.	Any Conditions	
16.	Deadline for completion of Conditions	
17.	Conditions fulfilled (date)	
18.	Date Notified Author of Decision	
19.	Approval (if granted) – sign and date	

Report

1.	Background / Context (Where the request is related to work undertaken by the service provider under an earlier appointment, full details - including the procurement process used - should be provided.)												
2.	Waiver Reason – you must provide details on why you are unable to comply with CSO along with any evidence (for example, if the reason is ‘sole provider’ then you must attach evidence of market testing which supports this conclusion; a Waiver will not be granted without such evidence)												
<p>Options:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">Sole Provider</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> <td style="width: 40%;">Insufficient time to run tender</td> <td style="width: 10%; text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Continuity of existing work</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Emergency requirement</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Other</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Retrospective Order/ Goods ordered in advance</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table> <p>* For Retrospective Orders / Goods ordered in advance, please do not complete this waiver request until the matter has been discussed with Sheffield City Council.</p> <p><i>Please provide additional details / evidence here:</i></p> <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>		Sole Provider	<input type="checkbox"/>	Insufficient time to run tender	<input type="checkbox"/>	Continuity of existing work	<input type="checkbox"/>	Emergency requirement	<input type="checkbox"/>	Other	<input type="checkbox"/>	Retrospective Order/ Goods ordered in advance	<input type="checkbox"/>
Sole Provider	<input type="checkbox"/>	Insufficient time to run tender	<input type="checkbox"/>										
Continuity of existing work	<input type="checkbox"/>	Emergency requirement	<input type="checkbox"/>										
Other	<input type="checkbox"/>	Retrospective Order/ Goods ordered in advance	<input type="checkbox"/>										
3.	Proposal - including costs , supplier(s) and length of arrangement (NB. a Waiver is granted for a specified time, so you must state an end date in your proposal)												
4.	Summary of actions to ensure CSO are followed in the future (see point 4 – General Completion Notes below)												
5.	If you have requested a Waiver for this or a similar requirement before, specify brief details and Reference Number												

6.	Evaluation Criteria and Outcome

Appendix G

P2P Declaration Form

P2P DECLARATION FORM				
Process in brief for the following request:				
1	The order raiser must complete all the appropriate sections of this form in consultation with the Business Unit Manager, as named in OEO.			
2	The declaration form must be attached to all orders over £250.00			
3	Your Purchase Order will not be approved by Commercial Services without the declaration form being attached and completed correctly.			
4	Attach this completed form to the Header of the Purchase Order			
Section A – Procurement section: This section must be completed if you are paying an organisation or individual for goods, services or works.				
Q1	The process we have followed for this Purchase Order is fully compliant with the Contract Standing Orders in respect of having the relevant authority to award the contract, probity and demonstrating value for money.	<table border="1"> <tr> <td style="text-align: center;">YES <input type="checkbox"/></td> <td style="text-align: center;">NO <input type="checkbox"/></td> </tr> </table>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
YES <input type="checkbox"/>	NO <input type="checkbox"/>			
Q2	It is a requirement of Contract Standing Orders that the correct process is followed for the amount of money that will be spent. Please indicate below which procurement process has been followed.			
A	Supplier is a corporate contractor.	<input type="checkbox"/>		
B	Value £0 - £250: As a minimum, obtain 1 verbal quote and record the details. Please include supplier details in 'Additional Information' below::	<input type="checkbox"/>		
C	Value £250 - £2,500: As a minimum, obtain 3 competitive quotations, verbal or written, and record the details. Please include supplier details in 'Additional Information' below::	<input type="checkbox"/>		
D(i)	Value £2,500 - £25,000 (GOODS ONLY): Invite 3 or more written quotations, and record the details. Please include supplier details in 'Additional Information' below:	<input type="checkbox"/>		
D(ii)	Value £2,500 - £50,000 (SERVICES ONLY): Invite 3 or more written quotations, and record the details. Please include supplier details in 'Additional Information' below::	<input type="checkbox"/>		
If options A - D selected, please provide supplier details in the box below:				
E(i)	Over £25,000 (GOODS ONLY): Formal tender process followed (provide additional information below)	<input type="checkbox"/>		
E(ii)	Over £50,000 (SERVICES ONLY): Formal tender process followed (provide additional information below)	<input type="checkbox"/>		
F	I have obtained a Waiver of Standing Orders for this expenditure (provide additional information below)	<input type="checkbox"/>		
G	I have not carried out any of the above (provide additional information below)	<input type="checkbox"/>		
If you selected option (E), (F) or (G) above selected, please provide the following additional information in the box below:				
For E(i) or E(ii)	Details of the tender reference number, and the name of the Procurement Professional involved.			
For F	The Waiver Number and Date of Issue.			
For G	Explanation of alternative process used.			
Additional Information (E) (F) (G)				
Q3	What goods, services or works are you intending to buy from this supplier?			
Q4	Is there any form of contract in place between SCC and this supplier? If 'Yes' , please provide the contract reference number here:	<table border="1"> <tr> <td style="text-align: center;">YES <input type="checkbox"/></td> <td style="text-align: center;">NO <input type="checkbox"/></td> </tr> </table>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
YES <input type="checkbox"/>	NO <input type="checkbox"/>			
Section B - If the payment falls outside of standing orders please indicate which one of the following statements applies. Further information can be found about these exceptions by following the highlighted links below.				
Compensation Payments and/or reimbursements		<input type="checkbox"/>		
Compulsory Purchase Orders		<input type="checkbox"/>		
Statutory Undertakers		<input type="checkbox"/>		
Sole Source Organisation (e.g. DVLA, Land Registry etc)		<input type="checkbox"/>		
Grant payment -	Gifting <input type="checkbox"/>	Investing <input type="checkbox"/>		
If you need any advice on the questions on this Form please contact Sheffield City Council.				

Appendix H

GPC Declaration Form

I confirm that I have read and understand the GPC User Guide and Contract Procedure Rules and I accept the responsibilities and obligations of being a Visa Card Government Procurement Cardholder.

I agree to only making purchases with the card in accordance with this GPC User Guide, Contract Procedure Rules, Financial Regulations and other applicable policies and procedures in force. I am aware that the misuse of a Card for gain will be treated as fraud in accordance with the disciplinary rules and procedures.

I agree to inform my Line Manager and Solutions Administrator in writing if my circumstances change.

I agree to return the Card if I leave my present post, or earlier on request.

Applicant Name [print]	_____
Applicant Signature	_____
Applicant Department	_____
Date	_____

DECLARATION BY APPLICANT LINE MANAGER

I support the above named officers application to hold a GPC in order for them to undertake their official duties and I accept my responsibilities and obligations as their Line Manager.

Line Manager Signature	_____
Line Manager Name [print]	_____
Date	_____

The signed form should be returned to the Solutions Administrator:

Steve Bottomley
SCC Finance
Floor 8
Moorfoot
Sheffield
S1 4PL

Appendix I

Sheffield City Council Contacts Page

Procurement, Freedom of Information and Community Right to Challenge

- Jason Swann
 - jason.swann@sheffield.gov.uk
 - 0114 2053186
 - 07854 039956
 - Commercial Services, Level 2, North Wing, Moorfoot, Sheffield, S1 4PL

Finance System

- Julie Fletcher
 - julie.fletcher@sheffield.gov.uk
 - 0114 2053023
 - Finance, Level 8, East Wing, Moorfoot, Sheffield, S1 4PL

Finance Manager

- Gareth Sutton
 - gareth.sutton@sheffield.gov.uk
 - 0114 2736046
 - Finance, Level 8, East Wing, Moorfoot, Sheffield, S1 4PL

Treasury and Government Procurement Cards (Solutions Administrator)

- Stephen Bottomley
 - stephen.bottomley@sheffield.gov.uk
 - 0114 2735135
 - Finance, Level 8, East Wing, Moorfoot, Sheffield, S1 4PL

Trade Suppliers

- Trade Supplier Team
 - tradesuppliers@sheffield.gov.uk
 - 0114 2736864
 - Commercial Services, Level 2, North Wing, Moorfoot, Sheffield, S1 4PL

Waivers

- Waivers Team
 - waiverrequest@sheffield.gov.uk
 - 0114 2736015
 - Commercial Services, Level 2, North Wing, Moorfoot, Sheffield, S1 4PL