



THE UNIVERSITY of EDINBURGH

**Estates Committee
Raeburn Room, Old College
Wednesday 9 December 2015, 9.30-12.30pm**

AGENDA

1 Minute (closed) **A**
To approve the minute of the previous meeting held on 16 September 2015.

2 Matters Arising
To raise any matters arising.

SUBSTANTIVE ITEMS

3 Estates Annual Capital Plan 2015-2025 **B**
To note a paper from Director of Estates.

3.1 Ten Year Forecast (summary) - 2015-16 – December **C**
To note a paper from Depute Director of Finance.

4 Central Bioresearch Services Estates Review **D**
To note a paper from Director of Corporate Services.

5 Edinburgh Bioquarter Estates Overview and Infrastructure project update **E**
To endorse paper from College of Medicine & Veterinary Medicine.

6 Student Experience **F**
To consider and approve a paper from Director of Estates.

7 GeoSciences New Build at King's Buildings – Feasibility Study and Outline Business Case **G**
To endorse a paper from College of Science & Engineering.

8 University Collections Facility, South Gyle **H**
To approve a paper from Chief Information Officer & Librarian to the University.

9 University Signage Protocol **I**
To approve a paper from Director of Estates.

Cont'd...

ROUTINE ITEMS

- 10 Estates Committee Sub-Group Approvals** **J**
To approve a paper by the Depute Director - Estate Development.
- 11 Development Trust Campaign Capital Project Update (Closed)** **K**
To note an update from Director of Development and Alumni Services.
- 12 Strategic Acquisitions** **L**
To note paper from Director of Estates.
- 13 Space Enhancement and Management Group Report** **M**
To approve a paper from the Vice-Principal Planning, Resources and Research Policy.
- 14 Small Works Bids 2016-17** **N**
To approve a paper from the Director of Estates.

ITEMS FOR FORMAL APPROVAL/NOTING (Please note these items are not normally discussed.)

- 15 College of Medicine and Veterinary Medicine 2025 Estates Overview** **O**
To note a paper from College of Medicine & Veterinary Medicine.
- 16 University Purchasing Protocol** **P**
To approve a paper from Head of Estates Planning and Special Projects.
- 17 College of Humanities and Social Sciences Summary Report** **Q**
To note a paper from Head of College of Humanities and Social Science.
- 18 College of Medicine & Veterinary Medicine Summary Report** **R**
To note and approve a paper from College Registrar, Medicine & Veterinary Medicine will comprise.
- 19 College of Science and Engineering Summary Report** **S**
To note a paper from College of Science & Engineering.
- 20 Support Groups Summary** **T**
To approve a paper by Director of Estates & Buildings.
- 21 Date of next meeting:** 23 March 2016 -09:30 – 12:30 to be held in the Raeburn Room, Old College.

If you require this agenda or any of the papers in an alternative format e.g. large print please contact Angela Lewthwaite on 0131 651 4384 or email Angela.Lewthwaite@ed.ac.uk



ESTATES COMMITTEE

9 December 2015

University Signage Protocol

Description of paper

1. The purpose of the paper is to seek Estates Committee approval to implement a University Signage Protocol which will introduce a consistent and inclusive approach to signage across the University estate.

Action requested

2. Estates Committee is asked to approve the implementation of the University Signage Protocol.

Recommendation

3. It is recommended that Estates Committee endorse the University Signage Protocol to allow implementation to commence in 2016.

Background and context

4. The University, at present, has an inconsistent approach to signage, with different sign colours, types and layouts in place across the campus and within buildings. To ensure a consistent approach going forward, a signage protocol document has been developed for use by anyone involved in the specification or procurement of signage.

Discussion

5. Over this year, the Estates Department has carried out a review of current signage to examine consistency, inclusivity, brand continuity, presence and best practice and to develop a signage strategy for the University.

6. This strategy has been developed in to a protocol document which introduces a signage family which enables provides a consistent look and experience from the edge of the campus to a final destination within a building.

7. The protocol document will be issued to any party likely to be involved in the procurement of signage to provide a consistent and inclusive approach and provide guidance to ensure inclusivity, consistency of appearance and a clear brand across the Estate.

8. Appendix A provides a summary of the background and highlights the outcomes. The full protocol document is located under 'Information' on the Estates Committee wiki at link <https://www.wiki.ed.ac.uk/display/UCC/Estates+Committee>

Resource implications

9. Implementation of the signage protocol will be funded by the development programme on a project by project basis.

Risk Management

10. There is a small reputational risk in not having a consistent approach to corporate appearance and wayfinding across the campus.

Equality & Diversity

11. The protocol identifies inclusivity as of paramount importance and has considered and consulted upon Equality and Diversity aspects. The outcome of which is recommended signage standards which will enable effective communication with a diverse audience, who range in age, nationality, and physical and cognitive ability. An Equality Impact Assessment on the document has been undertaken.

Next steps/implications

12. The Protocol will be distributed to Heads of Schools and Departments and all external consultants for information and to Estates Staff for implementation from 1st January 2016.

13. The Estates Department will engage with City of Edinburgh Council on the more prominent public signage aspects with a view to implementing (subject to permissions) the prominent signage at Old College, Edinburgh College of Art and Moray House (Canongate) by the end of 2016.

Consultation

14. An extensive consultation has been undertaken in the preparation of the protocol with input from The Principal, Vice Principal for Student Experience, Estates Department, Recruitment and Admissions, Staff Counselling, Student Services, EUSA, Disability Office, Information Services, Communications and Marketing, CHSS, CSE and CMVM, Sport and Exercise, Accommodation Services and City of Edinburgh Council.

Further information

15. Author

Tommy Angus
Estate Development Manager
26 November 2015

Presenter

Gary Jebb
Director of Estates

Freedom of Information

16. This paper is open



ESTATES COMMITTEE

9 December 2015

J

Estates Committee Sub-Group Approvals

Description of paper

1. This paper provides a consolidated list of decisions taken by Estates Committee Sub-Group (ECSG) since the last Estates Committee met on 16 September 2015.

Action requested

2. Estates Committee is asked to homologate the decisions taken by ECSG referred to in point 5.

Recommendation

3. The Committee is recommended to homologate ECSG decisions taken since Estates Committee last met on 16 September. This procedure will enhance governance arrangements.

Background and context

4. This paper addresses the 'transparency' concern with regard to the operation of the ECSG, stated in the effectiveness review (Paper M refers).

Discussion

5. Since the Estates Committee last met, ECSG approved the following contract awards. It should be noted that these projects were previously approved by Estates Committee / Court and are already contained in the fully approved (fully funded) Estates Capital Plan:

Fully Approved (fully funded) Projects

- 79 and 81 Dalkeith Road to provide a new model Confucius Institute - Main contract awarded to Morris & Spottiswood tender figure £603,958.52 excluding VAT.

The project is majority funded by the Confucius Institute Headquarters of China for the amount of \$1.2M (which converted to £771.64K), with UoE providing the surplus \$400K (which converted to £253.36K) – resulting in a total project budget of £1,025,000. These works were noted by Estates Committee on 25th March 2015 in the support group summary report. The tender figure is on budget, as per the construction cost limit of £659,800.

The works are scheduled to commence December 2015 with contract completion scheduled for May 2016.

- 29 George Square to consolidate the Celtic and Scottish Studies collection – Main contract awarded to G H I Contracts tender figure of £1,018,277.06. The approved overall budget for the project is £2.2M. Works commenced on 16 November 2015.

Estates Committee on 22 May 2015 approved the Business Case and the outstanding balance of £0.524M to be provided 50:50 from College of Humanities and Social Science and University Corporate resources. The cost consultant estimates a split of 72% Capital, 28% Revenue for the project construction cost.

- Law School Refurbishment, Old College – main contract awarded to Graham Construction tender figure of £18,294,697.91. Works commencement on 2 November 2015.
The project was endorsed by Estates Committee on 30 March 2013 for a total project cost of £35M.
- Redevelopment of the Pleasance Complex – main contract awarded to Clark Contracts Ltd tender figure of £1,165,268.89. Works commencement date of 5 October 2015.
The project was endorsed by Estates Committee on 25 March 2015 and approved an additional £5.48M to progress the phased redevelopment of the Pleasance.
- Warrender Park Crescent Student Accommodation – Phase 2 – Window Replacement - main contract awarded to Clark Contracts Ltd tender figure of £433,719.38.
- Buccleuch Place and Meadow Lane Student Accommodation - main contract awarded to Graham Construction tender adjusted tender figure of £21,829,660.83. Works commencement on 16 November 2015.
The project was endorsed by Estates Committee on 10th December 2014 for a total project cost of £29.73M.

6. A list of works contracts awards (greater than £250,000) over the period 16 September 2015 to 30 November is included as Appendix A.

Resource implications

7. Fully Approved (fully funded) Projects – No additional implications. Projects already contained in the Fully Approved (fully funded) Estates Capital Plan.

Risk Management

8. There are no specific risks identified.

Equality & Diversity

9. No specific Equality and Diversity issues are identified.

Next steps/implications

10. If recommendation is approved, Estates will oversee the process.

Consultation

11. Convener, Director of Estates, Head of Estate Development, Head of Estates Planning and Special Projects and Head of Estates Finance.

Further information**12. Author**

Graham Bell,
Depute Director, Head of Estate Development
Andrew Haddon, Head of Estates Finance
30 November 2015

Presenter

Graham Bell
Depute Director, Head of
Estate Development

Freedom of Information

13. This is an open paper.

Appointed Contractor	Project Description		Contract Award
Clark Contracts Ltd	The Wellcome Trust Critical Care Laboratory for Large Animals	£	405,181.40
Clark Contracts Ltd	Argyle House - Fit Out for Edina	£	253,226.95
Graham Construction	Old College Redevelopment for the School of Law	£	18,294,697.91
Clark Contracts Ltd	Warrender Park Crescent Refurbishment Phase 2	£	433,719.38
Clark Contracts Ltd	Fleeming Jenkin room G.169 Laboratory Refurbishment	£	300,349.87
Clark Contracts Ltd	Systems Medicine - Fit-Out of Top Floor	£	364,020.07
Morris and Spottiswood	Confucius Institute, 79 and 81 Dalkeith Road	£	603,958.52
GHI Contracts	Celtic and Scottish Studies, 29 George Square	£	1,018,277.06
Clark Contracts Ltd	Redevelopment of the Pleasance Complex	£	1,165,268.89
Graham Construction	Buccleuch Place and Meadow Lane Student Accommodation	£	21,829,660.83
		Total £	44,668,360.88



ESTATES COMMITTEE

9 December 2015

Space Enhancement and Management Group Report

Description of paper

1. This paper provides a report from the Space Enhancement and Management Group (SEMG) meeting held on 18 November 2015.

Action requested

2. Estates Committee is asked to:

- endorse the Timetabling data modelling 3 year programme proposal (Appendix attached) and endorse the projected costs of £127K.
- note the key points discussed at the SEMG meeting.

Recommendation

3. Estates Committee is recommended to endorse the Timetabling data modelling and projected costs of £127K.

Background and context

4. The Space Enhancement and Management Group is tasked with delivering the Space Enhancement and Management Policy approved by Court on 12 May 2014. Discussions held centred around implementing this policy by promoting the optimal use of space to all the University estate, this excludes residential accommodation.

Discussion

Academic Year 2015:16 Teaching Allocation – Update

5. In order to improve utilisation of teaching space, the Timetabling Unit introduced a new teaching space allocation process for this academic year 2015-16. This new scheduling approach proved challenging to deliver all core teaching activities across the general teaching zones: Central, King's Buildings and Holyrood. In conjunction, the significant estate development programme also impacted on the new scheduling approach, both of which affected the student experience.

6. In order to mitigate risk, SEMG endorsed the recommendation to establish a formal data modelling process to enable the University to make key strategic decisions eg changing teaching practices / estate development. The process would help mitigate risk and improve the student experience. The process would include contingency planning.

7. SEMG further endorsed the commissioning of a global, offline timetable pilot exercise that would provide evidence of timetabling flexibility and demonstrate a greater spread of teaching across the week without negatively impacting on student experience.

8. At the moment, there are no direct resource implications, however the implementation of a timetable pilot exercise will generate longer-term resource implications. The attached Appendix contains the detailed 3 year programme proposal.

The projected costs of £127,000 are noted in the table below:

	2015/16	2016/17	2017/18	Total
Grade 7 staff costs*	£37,987	£39,120	£40,289	£117,396
Implementation & support	£10,000			£10,000
Total	£47,987	£39,120	£40,289	£127,396 (£127,000)

* based on appointment on 1st spine point, plus 20% additional staff costs.

2014/15 Repurposing Programme – Update

9. Due to the success in delivering a high-quality, high-efficiency teaching estate, SEMG agreed to continue the limited repurposing of surplus teaching space process through the strategic governance of SEMG. – Paper F refers.

Centralisation of Teaching Space – Update

10. SEMG noted the position and constraints that had prevented the completion of the first phase of centralised management of general teaching space, covering the Central, Holyrood and King’s Buildings teaching zones for the start of 15/16 academic year.

11. SEMG confirmed that additional Timetabling Services and Learning Spaces Technology staff resource costs – 2015-16 - £102,300 and 2016-17 - £118,900 should be attributed through a transfer of resource from Colleges to central support areas.

12. SEMG agreed that maintaining the equipment replacement programme was a recurrent budget that Colleges and Support Groups should seek funding via the normal Planning and Budgeting 2016-17 round.

13. SEMG recognised the projected annual rolling equipment replacement programme and the additional revenue spend circa £115,048 be applied for by ISG Support Group via Planning and Budgeting process to support the process of migrating locally-managed teaching space to “centrally resourced” for 16/17.

Teaching Accommodation Group – Update

14. SEMG supported the 2 year programme 2016-17 presented in Appendix A and recommended funding (circa £3.5M) be sought via the next Estates Committee. – Separate Paper F refers.

15. SEMG noted that the list of rooms prioritised by timetabling and listed under the 16/17 heading may be supplemented/reviewed as further consultations take place.

NPRAS – Treatment of Space

16. SEMG endorsed the moratorium that Colleges and Support Groups should not seek alternative financial mechanisms when dealing with space costs relating to New Build / Major Refurbishments within the Estate.

The current NPRAS and Actual costs system should only be used for the remaining lifecycle of the NPRAS space transactions process whilst the current RAM pilot is in progress.

Space Enhancement and Management Update Including Income Per m² Analysis

17. SEMG noted that income per m² non-residential space now continues to improve year-on-year. In 2014-15 the University's total income/m² increased by 3.3% to £1,258. This exceeds the 1% growth target set in the Strategic Plan. SEMG supported the request that next year's report should present the target figure.

Space Rationalisation Annual Reports - Colleges and Support Group

18. SEMG welcomed the annual space management reports from Colleges and Support Group which assist the 10 year Estates Strategy, map costs and provides a snapshot of trends over a 15 year period.

Resource implications

19. There are resource implications in respect of implementing the Space Enhancement and Management Policy as discussed in Points 8.

Risk Management

20. If recommendations are not carried out then the current impetus to achieve a step change improvement in teaching space utilisation and to repurpose surplus rooms to improve the student and staff experience will be attenuated.

Equality & Diversity

21. There is no predicted impact on equality and diversity.

Next steps/implications

22. Next steps for key recommendations:

- 1) Section 8: if approved, immediate recruitment to and implementation planning for key modelling projects detailed in Paper M appendix
- 2) Section 9: opportunities for contribution towards repurposing continue to be identified through the consolidated budget for teaching space refurbishment
- 3) Section 11: Updated staff resource costs to be submitted to Colleges as part of centralisation staff resource transfer process
- 4) Section 14: Pending budget approval, two-year programme to be confirmed and scheduled.

Consultation

23. Endorsed by SEMG on 18 November 2015

Further information

24. Author

Scott Rosie, Head of Timetabling Services
Angela Lewthwaite, Secretary to SEMG
Jane Johnston, Head of Estates Planning and Special Projects
30 November 2015

Presenter

Professor Jonathan Seckl
Vice-Principal Planning, Resources and Research Policy and Convener of SEMG

25. Full reports are located at hyperlink <http://www.semg.estates.ed.ac.uk>

Freedom of Information

26. This paper is open

Timetable data modelling, 3 year programme proposal: 2016-2018

1. Executive summary

Since the implementation of Shared Academic Timetabling (SAT) in March 2012, the ability to access good quality centralised timetabling and booking data has led to a continually increasing demand for data modelling and analysis to support key University strategic objectives. This paper sets out the case for a modelling project cycle, focusing on:

- Recommendations
- How modelling can support key University strategies
- Modelling to date
- Emerging/potential modelling projects
- Timetabling Unit (TTU) resource
- Funding

2. Recommendations

Recommendations emerging from this proposal are:

- 1) The implementation, in the first instance, of a three-year modelling programme (2016-2018) that supports both estate and student experience strategic objectives
- 2) Funding approval to make a three-year, fixed-term appointment, at Grade 7 level, to co-ordinate the delivery of all specified modelling projects

3. Strategic objectives

The University has complex and powerful timetable planning tools, when used in conjunction with good quality data these tools can deliver a wide-range of predictive timetable modelling scenarios which can support, inform and influence key University strategies. Table 1 summarises key related strategies from both Student Experience Services and University strategic plans:

SES Strategic F/work	SES Strategic F/work	UoE Strategic Plan	UoE Strategic Plan	UoE Strategic Plan
Student Experience Primary Activity	Student Experience Dev Themes	UoE Strategic Goal	UoE Strategic Enabler	UoE Strategic Theme
<ul style="list-style-type: none"> • Academic • Student Services 	<ul style="list-style-type: none"> • Technology • Focus • Equality & Diversity • Resources & Impact 	<ul style="list-style-type: none"> • Excellence in Education • Excellence in Innovation 	<ul style="list-style-type: none"> • People • Infrastructure 	<ul style="list-style-type: none"> • Outstanding Student Experience • Equality and Widening Participation

Table 2: Strategic alignment

4. Modelling to date

To date, the Timetabling Unit has delivered on a range of bespoke modelling and statistical analysis from requests by stakeholders across the University. SAT has delivered the tools, data and skills to enable the TTU to provide a high level of support in this area, with the table below summarising some of the key contributions over the past three years

Modelling exercise	Sponsor	Outcome/benefit
Ongoing, regular statistical analysis of teaching space usage	SEMG/Estates & Buildings/Colleges/Schools/Corporate Services/IS	Delivering on: <ul style="list-style-type: none"> • Support in establishing utilisation targets • Confirming areas for usage improvement • Predicting space requirements for new build projects/decant projects • Year-on-year usage trends
Timetabling modelling for School decant	Biological Sciences	Confirmed impact of decant from dedicated teaching space in Darwin Building
Timetable modelling to determine space requirement for new build	Geosciences	Confirmed opportunity to revise initial provision estimate downwards – subsequently updated in architect plans
Timetable modelling to identify flexibility in Yrs 2-5 timetable	Engineering	Identified range of flexibility options which School is considering for 16/17 timetable
Timetable modelling for new Holyrood Outreach Centre	E&B/Law/IAD	Confirmed extent to which both identified ‘priority’ users could consolidate core activities in this new space
Modelling to identify flexibility around current Weds pm teaching policy	SES/EUSA/EUSU	Identified extent to which EUSA/EUSU preference to remove all instances of Weds pm teaching would impact on wider timetable
Global mapping of programme rules against core teaching activities	TTU	Enables quick and easy analysis for clash-free timetable options for Schools during planning phase
Many small-scale exercises to identify flexibility and impact of new course introduction	Schools (various)	Identification of timetabling flexibility/efficiency

Table 2: modelling to date

5. Future modelling

A number of substantial projects, significantly beyond the scale of those detailed in section 3, are beginning to emerge, as well as a general increase in the overall level of demand for this service. These modelling projects will be crucial in supporting key University estate and timetabling strategies.

5.1 CSE KB Masterplan modelling

As part of the College's planning for this major estates development project, the requirement for a full-scale, college-wide review of its current timetable delivery structure has emerged. As part of improved timetabling efficiency and flexibility, combined with longer-term teaching estate developments, the scope and remit of this project focuses on a number of clear outputs:

- 1) **Timetable flexibility:** to identify timetable flexibility within the current CSE programme structure – in a way that retains a commitment to student choice, whilst delivering an improved spread across the teaching week
- 2) **Growth:** To deliver the above through factoring-in planned/projected growth over a defined period and identifying a methodology for applying growth projections through the teaching curriculum
- 3) **Teaching estate:** based on analysis around flexibility and growth; to predict a level and capacity configuration of teaching space that delivers efficiency of use and informs KB Masterplan

Delivery estimate: 6-8 months @ 1xFTE

5.2 Holyrood relocation – School of HiSS

The planned relocation of HiSS to Charteris Land would have an impact on both this existing teaching building and the wider Holyrood campus teaching estate. The relocation of the School would expect to be accompanied by the relocation of the School's teaching to a campus with a heavy existing presence by occupying Schools (Education, OLL). Careful modelling analysis is required to assess the level of teaching space required to ensure all resident Schools can deliver their teaching.

This model would deliver the following outputs:

- 1) **Timetable flexibility:** Identifying timetable flexibility and efficiency across three Schools, all of whom deliver a complex range of activity durations and week delivery patterns that vary significantly from the core teaching standard
- 2) **Growth:** To deliver the above through factoring-in planned/projected growth over a defined period and identifying a methodology for applying growth projections through the teaching curriculum
- 3) **Teaching estate:** To assess the impact on the teaching estate through the loss of Charteris Land as a general teaching building and the extent to which the remaining Holyrood teaching estate may need to be reconfigured to accommodate the inclusion of HiSS teaching

Delivery estimate: 3 months @ 1xFTE

5.3 University-wide offline timetable pilot

The challenges experienced during 15/16 in delivering a teaching estate to meet timetabling demands were significant. The level of concurrent estate development activity placed intolerable pressure on the University's current timetable configuration, as well as on a range of support services, which could have been eased, if not eliminated, by a greater understanding of potential flexibility within the timetable and a greater acceptance that flexibility should be introduced.

A number of small scale timetable modelling projects have generally indicated a greater level of timetable flexibility than is generally recognised, but there is understandable caution surrounding the prospect of significant change to a timetable that has evolved over time to its current position. Producing clear evidence that flexibility exists and that change can work is the most effective enabler to timetable change.

In order to confirm evidence of opportunity for change, the recommendation is to implement a global, offline timetable pilot exercise.

This model would deliver the following outputs:

- 1) **Timetable flexibility:** identifying timetabling flexibility, across the entire taught curriculum, respecting core programme rules, in a way that retains a commitment to student choice, whilst delivering an improved spread across the teaching week
- 2) **Teaching estate:** assessing the impact on the teaching estate. Before and after models will return identical utilisation levels, but that 'after' will demonstrate the utilisation level through greater 'smoothing' across the teaching week

Delivery estimate: 1 year @ 1xFTE

5.4 CMVM timetable modelling

With the exception of Biomedical Science, who are fully integrated with central timetabling systems, MVM has not integrated with Shared Academic Timetabling, primarily through the existence of legacy systems already delivering online booking and personalised timetable services. The College now has concerns regarding the viability of maintaining these localised systems and sees potential benefits of integrating with centrally-supported timetable systems.

As part of assessing options for system migration, MVM Schools are keen to assess the planning capabilities of the University's timetabling system as a way of bringing greater efficiency to the existing time-consuming process of planning a variety of complex programme deliveries. The Schools are keen to implement a pilot scheme whereby a parallel planning and testing process is managed in timetabling alongside the live planning process.

This model would deliver the following outputs:

- 1) **Timetabling efficiency:** assessing time and effort saved through using dedicated timetable planning tools to plan the Schools' timetable delivery requirements, ensuring they are clash-free for students and staff
- 2) **Room booking system:** provide evidence that the timetabling system's room booking functionality can support local MVM room booking requirements

- 3) **Data integration:** provide evidence that extended timetabling services, such as personalised timetables, can lead to the retiral of existing local systems, or that existing local systems can efficiently consume data from the timetabling system

Delivery estimate: 8 months @ 1xFTE

5.5 Modelling growth

Modelling projects already detailed emphasise the growth experienced in this area. As modelling data and techniques continue to be improved and refined, it is certain demand will continue to grow. With this growth, it is important that significant modelling projects can be managed concurrently to ensure they can properly support business cases and planning requirements within tight deadlines. T

6. Resource

Table 2 summarises the current level of modelling and statistical analysis work. This has delivered significant benefits to the University and is currently delivered through 0.8 FTE. The Timetabling Unit cannot resource requests for additional modelling work without having an unacceptable impact on the Unit's core activity. The continued delivery of this current service level and the ability to cover the range of bigger projects emerging is calculated at 2.0 FTE.

Due to the specialist nature of timetable modelling, and the role it plays in influencing key University strategies, the provision of an additional 1.0 FTE, at grade 7, for a 3-year fixed-term contract, is recommended to oversee the delivery of a 3-year programme, plus a one-off implementation and support cost, which would include the specific projects covered in this paper.

	2015/16	2016/17	2017/18
Grade 7 staff costs*	£37,987.00	£39,120.00	£40,289.00
Implementation & support	£10,000.00		
Total	£47,987.00	£39,120.00	£40,289.00

* based on appointment on 1st spine point, plus 20% additional staff costs

7. Funding

Sponsors of some of the modelling projects detailed here have indicated a preparedness to provide funding to ensure adequate resource to ensure timely delivery of project remits. However, given the short-term nature of the projects listed, at least from the perspective of staff appointments, the ability to recruit to such specific timescales would be significantly compromised. This challenge could be further compounded through the need to repeat the modelling (or backfill) learning curve through each individual appointment as well as compromising the general level of University insight acquired through long-term post holders. As such, the recommendation is for a more centralised overview that recognises the strategic benefit derived from a formal programme that can deliver concurrent project analysis that informs and influences key strategies.

Scott Rosie
 Head of Timetabling Services
 November 2015



ESTATES COMMITTEE

Wednesday 9 December

Small Works Bids 2016-17

Description of paper

1. The purpose of the paper is to seek Estates Committee approval of the prioritised Small Works Programme, funded from the 2016-17 allocation, which is already budgeted in the University's Capital Plan.

Action requested

2. Estates Committee is asked to approve, under approved delegated arrangements, the prioritised Small Works Programme for 2016-17.

Recommendation

3. As programme priorities have been agreed between senior colleagues in Estates and the Colleges/Support Groups, and that a budget already exists within the Capital Plan, it is recommended that the programme is approved and implemented to meet College/Support Group objectives.

Background and context

4. The Small Works Programme has been in existence for around 20 years. Annually, Colleges and Support Groups are asked to prioritise their small works projects (typically up to £500k) and complete a 'Statement of Need' (SON) for each project. The SON elicits, for each project, the broad objectives of each project and how projects link with the University's Estate Strategy and Strategic Plan. A funding strategy is also considered as many projects are part funded from Colleges' and Support Groups' recurrent budgets.

Discussion

5. The prioritised list which summarises the bids and proposed allocation is attached as Appendix A.

6. The document, which has a summary page for each College/Support Group, shows a project by project estimated value, amount the College/Group are bidding for and how the remainder will be funded. Where projects are fully funded by the bid, no comments are included.

Resource implications

7. The Small Works Programme totals £2.15M and will be funded from University Corporate Resources already budgeted in the Estates Capital Plan.

Risk Management

8. There are no specific risks associated with the paper, although some reputational risks may be relevant to certain items where improvements are urgent, should the improvements not be supported.

Equality & Diversity

9. At this juncture, an Equality Impact Assessment has not been undertaken. Each project will be reviewed during design development for improvements in disability access and egress and any other relevant equality measures.

Next steps/implications

10. If the Small Works Programme is approved, Estates will implement this programme in consultation with Colleges and Support Groups in the financial year 2016/17.

Consultation

11. There has been consultation between senior colleagues in Estates and the Colleges and Support Group in order to finalise a prioritised list of project proposals.

Further information

12. Further information on the detail of each individual bid can be obtained from the Estates Department.

Author

Tommy Angus
Estates Development Manager
25 November 2015

Presenter

Gary Jebb
Director of Estates

Freedom of Information

13. This paper is open

SMALL CAPITAL BIDS 2015 / 2016

BUDGET	£	2,150,000.00
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ALLOCATIONS

COLLEGE OF SCIENCE AND ENGINEERING	£	403,125.00
COLLEGE OF HUMANITIES AND SOCIAL SCIENCES	£	403,125.00
COLLEGE OF MEDICINE AND VETERINARY MEDICINE	£	403,125.00
INFORMATION SERVICES	£	403,125.00
CSG / SASG	£	537,500.00

£	2,150,000.00
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TOTAL SPEND	£	2,150,000.00
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SMALL WORKS BIDS FOR 2015 / 2016
College of Science and Engineering

BID NUMBER	COLLEGE/ SUPPORT GROUP	SCHOOL DEPARTMENT	BUILDING NAME	PROJECT DESCRIPTION	ESTIMATED PROJECTS COSTS (£)	FUNDING SOUGHT FROM SMALL CAPITAL FUND (£)	DIFFERENCE (£)	OTHER FUNDING SOURCE/ COMMENTS	INSTITUTIONAL BENEFITS
1	College of Science and Engineering	GeoSciences	Grant Institute	Alterations to Room 3.316 to enhance the Cockburn Museum and Meetings areas	70,520	55,520	15,000	School contribution	This space is used for many public facing events for the School of Geosciences. It is now in need of an upgrade to help promote the School's work.
2	College of Science and Engineering	Informatics	Informatics Forum	Sub-division of a room to create 2 smaller spaces which will accommodate additional students	26,631	26,631	0		This will enhance the student experience by providing a less disruptive environment than the current single room.
3	College of Science and Engineering	Engineering	Sanderson Building	Refurbishment of first floor toilets	31,849	31,849	0		Currently these facilities are in a poor state. This is the area of the building that houses the Head of School and other management offices and is the 'front door' of the School of Engineering.
4	College of Science and Engineering	Engineering	Fleeming Jenkin Building	Creation of small student social space	31,448	31,448	0		The main benefit of this project is to enhance the student experience. This building currently has no welfare facilities.
5	College of Science and Engineering	GeoSciences	Drummond Street	Refurbishment of toilets	131,166	131,166	0		The toilets in this building are in a very poor state of repair. They are certainly do not provide a 'quality infrastructure'.
6	College of Science and Engineering	Chemistry	Joseph Black Building	Creation of a Student Hub	226,512	126,512	100,000	College/School will fund £100K of the cost from reserves. however, we feel that we should also take this opportunity to revise the specification of this bid and reduce the overall spend on this project.	The NSS results have consistently called for an improvement to both social and study space within the Joseph Black Building.
TOTAL					518,125	403,125	115,000		

SMALL WORKS BIDS FOR 2015 / 2016

College of Humanities and Social Sciences

BID No.	SCHOOL DEPARTMENT	BUILDING NAME	PROJECT DESCRIPTION	ESTIMATED PROJECTS COSTS (£)	FUNDING SOUGHT FROM SMALL CAPITAL FUND (£)	DIFFERENCE	OTHER FUNDING SOURCE/ COMMENTS	INSTITUTIONAL BENEFITS
1	ECA	Reid Hall	installation of lighting rigs and fixtures	93,037	73,037	20,000	ECA to fund £20K	Lighting is limited in functionality and restricts the use of the hall as a performance space. Improvements will improve teaching quality, increase utilisation of the hall and allow more external events to take place.
2	ECA	Hunter Building	Textiles work room Phase 2	14,890	14,890	0		This room is in a very poor state of repair and urgently needs replacement fixed cupboards and worktops. This will help provide a more enjoyable experience in these rooms for students.
3	ECA	Alison House	Ladies toilets	53,494	53,494	0		Toilets are in poor state of repair and in urgent need of upgrade. This project will provide a more attractive toilet to improve staff, student and visitor experience.
4	ECA	Alison House	gents toilets	37,264	37,264	0		Toilets are in poor state of repair and in urgent need of upgrade. This project will provide a more attractive toilet to improve staff, student and visitor experience.
5	SPS	CMB	convert 2 multi occ offices, to form two single and one multi-occ space	138,936	98,936	40,000	SPS to fund 40k	SPS has an acute shortage of single occupancy offices, which are core to the delivery of effective supervision in Social Science disciplines. This project will convert a large inflexible space in to two single occupancy offices and a larger multi occupancy space. This will rationalise the space and improve the quality of contact with students.
6	SPS	CMB	convert printpod to meeting pod	67,032	40,219	26,813	SPS to fund 40%	This will rationalise the space used by the printing facilities and introduce collaborative spaces for use by staff and students.
7	HCA	WRW	signage element to improving access and circulation	1,500	1,500	0		There is currently no wayfinding signage in place to and from the lecture theatre, this leads to crush points as students all leave via one route, when another is available.
8	OLL	Paterson's land	reconfiguration of OLL reception room	68,266	40,960	27,306	OLL to fund up to 40%	The existing space is poorly laid out and space can be rationalised to allow more staff to be student facing. The project will improve space to allow a better student facing contact point and introduce privacy areas for one to one student meetings.
9	IASH	Hope Park Square	upgrading of ground floor and main stairwell	39,825	39,825	0		The activity in this building involves around 150 international visiting scholars/professors each year. The reception and circulation areas are in very poor condition and currently reflect badly on the University, this project will enhance the facility and the University's international reputation.
10	Education	Holyrood campus	Feasibility study fees to explore outdoor classroom	3,000	3,000	0		If an outdoor classroom can be achieved then this will ensure innovative learning opportunities are explored and maximised and will influence young teachers to explore such opportunities in Schools nationally.
TOTAL				517,244	403,125	114,119		

SMALL WORKS BIDS FOR 2016 / 2017

College of Medicine and Veterinary Medicine

BID No.	SCHOOL DEPARTMENT	BUILDING NAME	PROJECT DESCRIPTION	ESTIMATED PROJECT COSTS (£)	FUNDING SOUGHT FROM SMALL CAPITAL FUND (£)	DIFFERENCE (£)	OTHER FUNDING SOURCE / COMMENTS	INSTITUTIONAL BENEFITS
1	CMVM	Large Animal Surgery	Refurbishment of the Large Animal Surgery	300,000	150,000	150,000	£100k contibution from 15-16 plus £150,000 from 2016-2017 Bid £50k bid 17/18	Supports clinical service which provides substantial income as well as resresearch activity
2	CMVM	MEC WGH	contribution to upgrade of student hub	300,000	78,125	221,875	Meet university objective to enhance student facilities\Experience	Part of plans to increase Medical student satisfaction with facilities and build common sense of communtiy across campuses
3	CMVM	IGMM	contribution to integration works associated IGMM\WGH space	400,000	75,000	325,000	Space rationalisation	Allows space return to NHS while upgrading essential microscopy and research faciities
4	CMVM	Usher Institute/old medical school	upgrade works to doorway one Entrance and stairwell	50,000	50,000	0	Create institute\identity, enhance staff \morale and retention	Enhance staff satisfaction and part of change management of transitional split institutie. University reputation through attractive entrance space
5	CMVM	CMVM	contribution Audio Visual replacement in line with college AV prioritised list	600,000	50,000	550,000	Meet University objective to enhance student experience	Many AV installations are no longer fit for purpose. Renewal will improve teaching capability and learning for students.
				1,650,000	403,125	1,246,875		

SMALL WORKS BIDS FOR 2015 / 2016
INFORMATION SERVICES GROUP

BID No..	SCHOOL DEPARTMENT	BUILDING NAME	PROJECT DESCRIPTION	ESTIMATED PROJECT COSTS (£)	FUNDING SOUGHT FROM SMALL CAPITAL FUND (£)	Difference (£)	OTHER FUNDING SOURCE / COMMENTS	INSTITUTIONAL BENEFITS
1	Collections	Main Library	New visitor centre / exhibition space	120,000	120,000	0		This work will vastly improve the user experience for anyone visiting an exhibition in the Main Library exhibition space on the ground floor. Presently, visitors have to be signed in at the front reception desk and be issued with a visitor pass, which can take some time. The improved access to the exhibition area will improve the user experience. Improvements to the 'shop front' exhibition area will bring this space into line with other University exhibition areas - to make this a more consistently positive experience for users.
2	User Services Division	Murray Library and KB Centre	This project will make changes to three areas. 1) to add three standalone points for users to use the DiscoverEd facility, this will free up three study spaces in the Murray Library. 2) To add teaching facilities to a group study room in the KB Centre. 3) to repaint the group study areas in the Murray library.	10,000	10,000	0	Other funding from ISG SCW surplus funds	There is huge pressure on study spaces in all libraries of the University. This project will change 3 desks in the Murray Library into standard study desks and create three new small standalone points where users can electronically search the library resources provided by the University. These standalone points will be easy to recognise and aid users in finding what they require in the Murray Library. The refresh of the group study areas will make these areas a much improved student experience as the walls are very marked and in a relatively recently refurbished building this can look quite bad. The addition of teaching facilities is a small change with a big impact. This additional facility will make one group study area more flexible and will reduce the incidents of staff using portable kit.
3	IT Infrastructure Division	JCMB	To upgrade elements of the datacentre to make the facility more energy efficient (increase the PUE - power usage effectiveness - a metric to measure the energy efficiency of a datacentre)	49,920	49,920	0	Other funding from ISG SCW surplus funds	Fits with the University strategic goal to be more sustainable. Reflects best practice for IS to lead efficient use of power in this vital University resource.
4	User Services Division	Main Library	To refresh the furniture on the ground floor of the building and to create a secure shutter on the café servery to enable the café seating to be used when the café is closed.	62,600	62,600	0	Other funding from ISG SCW surplus funds	The Main Library is an incredibly well used space by students and the high usage results in damage to the furniture. This project will refresh some of the furniture in the ML. If the café area can be secured out of hours (open 8.30 - 6 or later at some periods) then the seating in the cafe area could provide additional spaces for students. The seating in this area varies (booths, sofas, table and chairs) and could prove a great space for students to use when the cafe is closed.
5	User Services Division	New College	To make changes to the helpdesk area of the New College library. These changes will address a number of H&S concerns for staff working in this area and make the helpdesk a better student experience.	50,000	50,000	0	Other funding from ISG SCW surplus funds	The helpdesk area of New College Library has remained unchanged for many years. This helpdesk area is very cluttered and dated looking. New College is a spectacular space and we wish to improve the appearance and functionality of this space to make for an improved student experience and to make this a safer working environment for our helpdesk staff. This project will address both these issues.
6	User Services Division	Various site libraries	To retrofit the desktop power supply to various study desks across the site libraries.	111,000	110,605	395	Other funding from ISG SCW surplus funds	One of the most commonly cited pieces of feedback on study areas is the requirement for additional or improved desktop power. This project will retrofit desk top power (including USB charging capability) to study desks across the University estate. This will also reduce incidents where floor boxes are damaged due to accidental misuse by students.
				403,520	403,125	395		

BID No.	SCHOOL DEPARTMENT	BUILDING NAME	PROJECT DESCRIPTION	ESTIMATED PROJECT COSTS (£)	FUNDING SOUGHT FROM SMALL CAPITAL FUND (£)	Difference (£)	OTHER FUNDING SOURCE / COMMENTS	INSTITUTIONAL BENEFITS
1	CSG	46 Pleasance	Refurbish Male Changing 1 and reception area at 46 Pleasance	660000	232918	427082	Additionally funded through previous small works bid and Sport and Exercise funding.	The staff and Student Experience will be improved by facelifiting a reception area and a changing facility that are now outdated. This is in line with the university startegic plan.
2	USG / CSG	Old Porters Lodge	Refurbish 2 storey building for Staff Counselling	181152	124070	57082	Additional funding from CSG, USG and Disability improvement funds	Addresses need for space for OH required due to increase in demand. Sustainability benefits around new facility.
3	USG	Forrest Hill	New TV recording studio on top floor	296325	155466	140859	Additionally funded from previous small capital bid approval for same facility at Patersons Land	Space efficiency 171m2 released. Improved media training and video facilities. Energy efficiencies achieved through modern lighting and improved insulation.
4	USG	Old College	Lighting Upgrade to Principal's suite and area outside GF meeting rooms	25047	25047	0	New small capital bid for Old College upgrades	The lighting presently in use at the Old College is not efficient in terms of its energy consumption nor is it aesthetically pleasing to the eye. The principle entertains within the ground floor of the Playfair stair and the institutions reputation will benefit from a revised lighting scheme.
				1162523	537500	625023		



ESTATES COMMITTEE

9 December 2015

Estates Department Purchasing Protocol

Description of paper

1. The purpose of the paper is to seek Estates Committee approval to implement an Estates Department Purchasing Protocol which will introduce a mandatory approach to all of the procurement activities undertaken by the Estates Department.

Action requested

2. Estates Committee is asked to approve the implementation of the Estates Department Purchasing Protocol.

Recommendation

3. It is recommended that Estates Committee approves the Estates Department Purchasing Protocol to allow implementation from 5 January 2016.

Background and context

4. The Estates Department has a key strategic aim to ensure procurement legislative compliance across the department and the Purchasing Protocol has been developed to ensure that all staff are equipped with the tools to achieve this and further that all staff are aware of their procurement responsibilities.

Discussion

5. The Estates Department has worked with the Procurement Office to develop this protocol and the relevant procedures. It is intended that the use of this is mandatory for all purchasing and procurement activities undertaken by the Estates Department, and the procedures must be followed.

6. Provided Estates Committee approves the Purchasing Protocol, this will be issued to all Estates staff who have a purchasing or procurement responsibility and the necessary training will be arranged for staff to reinforce the key principles of the protocol.

7. The Purchasing Protocol is written in compliance with current legislation however a major review of procurement legislation is anticipated for implementation in the first half of 2016. These legislative amendments are likely to require the Estates Department Purchasing Protocol to be amended. It is recommended that a review is carried out in early 2016 as soon as the new legislation is released to ensure continued procurement compliance. Strict version control will be implemented to ensure that all Estates staff are aware of the up to date procedures.

8. The Estates Department Purchasing Protocol is issued to Estates Committee as Appendix A.

Resource implications

9. Implementation of the Purchasing Protocol will be funded from the Estates department revenue budget including any necessary training.

Risk Management

10. There is a procurement risk and consequential reputational risk in not having a consistent mandatory approach for all Estates procurement activities.

Implementation of the Purchasing Protocol will ensure that all staff are aware of their procurement responsibilities.

Equality & Diversity

11. There are no Equality and Diversity issues.

Next steps/implications

12. The Protocol will be issued to all Estates staff who have a purchasing or procurement responsibility and the necessary training will be arranged for staff.

Implementation of the policy will be from 5 January 2016.

Consultation

13. The Purchasing Protocol has been prepared in conjunction with the Procurement Department.

Further information

14. Author

Jane Johnston
Head of Estates Planning and Special
Projects
1 December 2015

Presenter

Jane Johnston
Head of Estates Planning and Special
Projects

Freedom of Information

15. This paper is open



The University of Edinburgh
Estates Department

PURCHASING PROTOCOL

Version 1
December 2015

Contents

Section 1 Introduction	3
Section 2 Reference	4
Section 3 Procurement	5
Section 4 Segregation of Duties	7
Section 5 Delegated Authority	8
Section 6 Estates Tender Review Panel and General Guidance	10
Section 7 Framework	13
Section 8 Detailed Protocol for Procurement (£0k to £50k)	14
Section 9 Detailed Protocol for Procurement (£50k to OJEU)	15
Section 10 Detailed Protocol for Procurement (OJEU)	21
Section 11 Step by Step Guidance for Procuring	29
Section 12 General Templates	32
Section 13 £1k to £5k	33
Section 14 £5k to £50k	34
Section 15 £50k to OJEU	35
Section 16 OJEU	36
Appendices A to D	37

Quality Assurance & Version Control`

Version: 1

Date Approved:

Approving Body:

Estates Committee and
Director of Procurement

Implementation Date:

5th January 2016

Supersedes:

Consultation Undertaken:

Procurement Office

Target Audience:

All Estates Department Staff
Procurement Staff working with Estates

Supporting Procedure(s):

Delegated Authority Schedule

Review Date:

Proposed March 2016

Author:

Estates Department/Procurement Office

Responsible Manager:

Head of Estates Planning and Special Projects

Background

Key to the success of any project begins with selecting the right people to be appointed or the most appropriate materials to be installed. This is a crucial part of the professional service which the Estates Department provides for the University. Our projects, construction works and equipment are funded from the 'public purse' therefore we must take the responsibility of spending that money very seriously. Responsibility for both procurement and payment lies with the department and not any one individual. The process of selecting the right supplier or service can take time, involve multiple individuals and evidence of getting value for money and awarding a contract and ordering the correct goods/services then paying supplier what is due can be complicated. It is very important that we protect the University, the Department and ourselves as individuals by applying the procurement rules consistently.

This guide has been developed to assist staff with the key responsibilities.

"The Estates Department is responsible for largest procurement activity by value and volume in the University. Procurement specialists work with Estates staff and are here to help. This handy guide gives an overview of key points in what is a rapidly changing legal environment."

Karen Bowman – Director of Procurement

Overview

This Purchasing Protocol has been jointly developed by the Estates Department and the Procurement Office. Its use is mandatory for all purchasing and procurement activities undertaken by the Estates Department, and the procedures must be followed. Only in very exceptional circumstances can variations to the procedures be permitted with the prior approval of the Estates Tender Review Panel and the Director of Procurement.

In common with all public contracting authorities, the procurement of Goods, Works and Services by the University is governed currently by laws including the Public Contracts Regulations 2012 as amended.

The University will take due cognisance of the Procurement Reform (Scotland) Act 2014 and its related Statutory Guidance, as issued, or policy notes updating these and by the rules and principles of both EU and relevant UK and Scots Law legislation and case law advice from procurement solicitors.

The Scottish procurement reform programme oversees changes to the procedures and will shortly be looking at construction procurement review. This Protocol will be updated and amended and you must make sure you have the latest version.

Definitions

The following lists out some of the common terms that are used in procurement.

Procurement	The acquisition, whether under formal contract or otherwise, of goods, works and services from third parties. We are a public contracting authority adhering to Scottish Public Procurement Policy Handbook, the Scottish Model of Procurement and the University Procurement Strategy.
APUC	Advanced Procurement for Universities and Colleges
Contractor/Supplier/contracting entity/provider	A sole supplier, partnership, limited company or public limited company or supported business awarded a contract to provide goods, works or services or works related services as required by the University.
Tenderer	An organisation submitting a bona fide sealed bid to supply the University
OJEU	Official Journal of the European Union
PQQ	Pre-qualification Questionnaire
ITTQ	Invitation to Tender Questionnaire
MEAT	Most economically advantageous tender (best quality/price ratio)
Tender Log reference	Unique procurement tendering reference for quotations and tenders

Categories

Categories of commodities constituting goods:

- All equipment and consumables

Categories of activities constituting services:

The kind of services which may need to be procured by Estates Department are listed below and are different from works (see next section)

The law currently has two types of services Part A (for which full procedures apply) and Part B for which simpler rules apply. To see the list of Part A services and the list of activities constituting works see – Appendix A

University of Edinburgh’s Procurement Policy and Strategy

The University of Edinburgh has a clear institutional procurement policy:

- We aim to meet our needs for goods, services and works in a way that achieves value for money on a whole life basis and generates benefits not only to the organisation, but also to society, the economy and the environment.
- We aim to offer procurement excellence to deliver the Strategic Plan as a ‘truly international university firmly rooted in Scotland’ and assist us ‘to increase our global impact and our contribution to society’.

The University of Edinburgh’s procurement of goods, services or works, will

- be transparent and create the most economically advantageous balance of quality and cost;
- be driven by desired results to meet the University Strategic Plan goals, enablers and themes;
- reduce the burden on administrative and monitoring resources; lead to simplified or routine transactions using eProcurement tools;
- be based upon open and fair competition;
- Follow all appropriate regulations and legislation including, but not limited to the Public Contracts (Scotland) Regulations 2012 as amended or replacement legislation which is imminent.

The University of Edinburgh’s Court approved a Procurement Strategy which underpins the University Strategic Plan and can be read here: <http://www.ed.ac.uk/schools-departments/procurement/policies-procedures/strategy>

Procurement Office

The Procurement Office is part of Corporate Services and is led by the Director of Procurement Karen Bowman FCIPS. The team are Members of the Chartered Institute of Procurement and Supply (MCIPS) and provide help and advice on all aspects of buying Goods, Works and Services for the University and tools for via ordering or tendering and selecting suppliers (shortlisting) and awarding contracts via transparent criteria Most Economically Advantageous Tender (MEAT) whilst achieving best overall value for money. The adoption of MEAT promotes best practice in this procurement activity and ensures that legal requirements are adhered to i.e. risk is minimised and best value is achieved. The new rules call this best price/quality ratio. It can also include certain sustainability and social responsibility considerations e.g. equalities duties, bribery act, fair work statutory guidance applied legally and related to the subject of the contract.

The Procurement Office is responsible for providing expert guidance to the Estates Department on all aspects of procurement and Directors have specific delegated authority of the University Court (DAS) which should be referred to at all times.

Lead Responsibility for Procurement

The lead responsibility for procurement activities is set out in the matrix below and is dependent on the value of the total purchase. It should be noted that the Procurement Office or the Head of Estates Planning and Special Projects can advise on procedural and procurement queries at any stage in the procurement process and should be sought to advise to ensure consistently handling if questions arise from tenderers or after contract award from unsuccessful tenderers.

Estates Department	Procurement (£0 to £50k)	Procurement (£50k- OJEU threshold)	European Procurement (above OJEU threshold)
Estates Planning and Special Projects	Estates Department	Estates Planning and Special Projects in conjunction with Procurement Office	Estates Planning and Special Projects in conjunction with Procurement Office
Estates Development	Estates Department	Estates Development, Estates Planning and Special Projects in conjunction with Procurement	Estates Development, Estates Planning and Special Projects in conjunction with Procurement
Estates Operations	Estates Department	Estates Operations and Estates Planning and Special Projects in conjunction with Procurement	Estates Operations and Estates Planning and Special Projects in conjunction with Procurement

Estates Administration	Estates Department	N/A	N/A
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The Procurement Office will lead on establishing or joining collaborative (e.g. APUC) Framework Agreements which will be of use to the Department.

OJEU Timescales & Thresholds

Procurement threshold values change every two years and should be checked with the Procurement Office prior to selecting the procurement responsibility noted above. The new levels will be published on 1 January 2016. Note that the project values whole life but estimated without VAT.

- **Supplies & Services £172,514 up until 31 December 2015 and £164,176 from 1 January 2016**
 - **Services estimated over 48 months if recurring or contract period if not**
 - **Supplies (goods) estimated over 12 months spend or contract period if not**
- **Works £4,322,012 up until 31 December 2015 and £4,104,394 from 1 January 2016**

The timescales for the OJEU procurement is noted in the table below(note the levels will change to those noted above in January 2016) :

New EU Law Timescales (calendar days)							
Procedure	Contract Notice	Receipt of Request to Participate	Invitation To Tender	Receipt Of Tenders	Minimum Timescales	Contract Award	Contract Award Notice
Open	<<<<<<<Tender Receipt>>>>>>>>			With ECN 45 Days 29 Days	With ETD 40 Days 24 Days		48 Days
Restricted	37 Days (30 ECN)	52 Days 36 Days	40 Days (36 PIN)	(35 ETD) (31 ETD)			48 Days
Restricted Accelerated	15 Days (10 ECN)		10 Days		25 (20)		48 Days
Competitive Dialogue	37 Days (30 ECN)		Not Specified		37 (30)		48 Days
Negotiated	37 Days (30 ECN)		Not Specified		37 (30)		48 Days
Negotiated Accelerated	15 Days (10 ECN)		Not Specified		15 (10)		48 Days
Must allow 15 day (10 EN) minimum Mandatory Standstill period before Contract / Framework commencement							
ECN = Electronic Contract Notice (using PCS)				ETD = Electronic Tender Documents			
PIN = Prior Information Notice Note: Reductions for PIN only apply for higher value listed below (regulation 11 (4))				EN = Electronic notification			

Aggregation of Supplies and Services

The Procurement Office, in conjunction with the Estates Department, continually monitors via the Scottish Procurement Hub (a tool called Spikes Cavell) Estates’ categories of spend with third parties in the areas of Services, Goods and Works. This process allows visibility of the aggregate purchases of similar Services, Goods and Works across the University and not just within the Estates Department. The overall principle is to determine whether the thresholds, for Services, Goods and Works have been or are likely to be reached and in the event the applicable threshold is likely to be exceeded then the University is obliged to put in place a plan of action to ensure it is compliant.

The Head of Estates Finance will validate aggregation of supplier spend and commitments using existing reporting mechanisms from the Procurement Office, normally on a quarterly basis. Close liaison with the Head of Estates Planning and Special Projects and Procurement will be needed to prepare a plan of action where aggregation levels are liable to be exceeded.

The University’s Spikes Cavell data is also utilised by our Centre of Expertise (APUC) and other public bodies to consider collaborative Framework Agreements, and may be sought in Freedom of Information requests for the public.

Section 4 Segregation of Duties

Engaging suppliers of Goods Works or Services

Although the tendering activities will be carried out by individual Estates Department staff using the agreed method and approval to make a recommendation for appointment is as detailed in this purchasing protocol, the Estates Department follow the University's approved Delegated Authorisation Schedule (DAS) which lists those people or bodies to whom authority has been delegated by the University Court to make the actual commitment on behalf of the University to a contractual or quasi-contractual arrangement.

Responsibility for managing a budget does not in itself grant a person the authority to make contractual commitments.

A full copy of DAS can be found on the following University web page. It is the responsibility of the person signing an appointment document or authorising a Purchase Order to ensure that they have the appropriate level of delegated authority prior to placing an order. The authority of Director of Estates and Director of Procurement are defined in the DAS.

The Estates Department also has an approved scheme of sub-delegation giving effect to the proposed arrangements of sub-delegating authorities and related signatures. See section 5 of this guidance for the relevant delegation and sub-delegation list.

Purchase Orders

A University Purchase Order must be raised at the time of appointing suppliers, consultants and contractors or service providers and an instruction must be given to the purchase order recipient that any invoices for payment must include the purchase order number. It should be noted however that the Purchase Order cannot be raised in the time of standstill for OJEU procurements.

Payment for Goods, Works and Services

In order to maintain appropriate checks and balances, it is important that the approval of expenditure is kept separate from the process of shortlisting or appointing suppliers, consultants and contractors or service providers. Payments arising from commitments given in the appointment document, contract or Purchase Order are certified for payment by individual members of staff responsible for the project or budget; payments are then batched, and authorised for payment by one of the following delegated or sub delegated authorities:

- Director of Estates
- Head of Estates Development
- Head of Estates Operations
- Head of Estates Planning and Special Projects
- Head of Capital Projects

It should be noted that the person who signs any of the documents to appoint the supplier or has certified the invoice for payment must not approve the related batch payment.

Section 5 Delegated Authority

The University of Edinburgh has an approved Delegated Authority Schedule (DAS) for who is allowed to sign documents committing the University Court to a contract or quasi contractual commitment.

The responsibility for managing a budget does not of itself grant authority to make contractual commitments.

Note 1: Financial amounts must include VAT

Note 2: The below refers to Contract Letters & Legal Contract documentation but also Purchase Orders and covering letters if there is no separate contract letter as they are an instruction to carry out services, works or to deliver and charge for goods.

The full Delegated Authorised Schedule is available on the University web page however key Estates Related and Procurement aspects of the DAS are noted below:

Land & Property - Property Transactions (Section from DAS)

The **Policy & Resources Committee** approves the estates capital plan as part of the business planning process, advises the University Court on any matters of concern and recommends to the University Court any proposals for significant subsequent amendments to the agreed estates programme.

The **Estates Committee** has Delegated Authority to approve land & property transactions/projects consistent with the direction of the estates capital plan up to £10m. Estates Committee does not have authority to approve projects which require resource out with the University Business Plan. Such projects must be referred to PRC and Court for approval.

Approved transactions can be signed by:

	Convener of Estates Committee		Head of Corporate Services	Director of Estates
Formal acceptance of contracts and acquisition of all goods, services and works	£10m		£5m	£2m
Acquiring and disposing of the ownership in land and buildings	£10m		£5m	£2m
Entering into or exiting from leases for land & buildings	£10m <30 years	£5m >10 years	£5m <10 years	£2m <10 years

- The **Director of Finance** must be notified in advance of creating any financial commitment for transactions over £1m and all lease arrangements.
- The **Director of Legal Services** should be consulted for all contracts involving Land and Property Law over £1m or where there are matters of concern.
- Approval from the **Scottish Funding Council** must be sought for the disposal of property purchased with public funds.

Procurement (Section from DAS)

Procurement is the acquisition, whether under formal contract or otherwise, of goods, services and works from third parties and must adhere to the University Procurement Strategy, applying the principles and procedures under public procurement law. Procurements of all types must be planned to take account of legal duties, including social, economic and environmental impact; and to be transparent, apply equalities duties and anti-corruption policy to create the most economically advantageous balance of quality and cost.

The legal thresholds and obligations vary for the University acquiring goods, services or works, and each Delegated Authority must adhere to guidance in conducting an appropriate Procurement Journey for procurements of all types, obtained as early as possible in planning, from the **Director of Procurement**.

In estimating the potential value of any procurement, the total cost over the full contract period, including any options

or extensions must be considered.

All advertising of planned acquisitions over the legal thresholds, of all types, and whether collaborative or not, will require prior approval of the **Director of Procurement**.

All Framework Agreements or Approved Contracts (which aggregate to current legal thresholds) for procured goods and services, or works, including those used in business plans for Court or Committees, must be approved by the **Director of Procurement**. The Director of Procurement has Delegated Authority to approve decisions regarding disputes with suppliers on framework agreements or approved contracts up to £1m.

All transactions greater than £1m must be routinely notified to the **Director of Finance** and must have the appropriate approval in place, ahead of creating any financial commitment.

The University's standard terms and conditions, or agreed framework agreement terms where appropriate, will apply to purchases for any University activity. Any bespoke contracts for the procurement of goods or services must be considered by the **Director of Procurement** who should consult with the **Director of Legal Services**, as appropriate.

Sub delegation

A sub-delegation of the Delegated Authorised Schedule exists for Estates staff. The current form of sub delegation will be revised and issued to all staff after approval of the revised University Delegated Authorised Schedule anticipated in December 2015.

This sub-delegation schedule must be adhered to by all Estates Department staff and no contractual or financial commitments should be made out-with the delegated responsibility levels.

Estates Tender Review Panel

A new group has been established within the Estates Department to assist with the procurement journey governance.

The remit of the panel is to receive recommendations from across the department at key points in the procurement process and to check and approve recommendations prior to the next stage of the procurement journey.

The Estates Tender Review Panel will meet weekly and it is the duty of those procuring Goods, Works and Services to ensure that the paperwork is issued to the panel members 48 hours before the scheduled meeting to ensure sufficient time is given to the panel members to consider the recommendations ahead of the meeting.

The key activities are as follows:

1. Receive the proposed procurement strategy for all Goods, Works and Services above £50K and either approve the strategy for onward recommendation to the Acting Director of Procurement or recommend amendments to the procurement strategy prior to this being issued to the Acting Director of Procurement for approval.
2. Approve the shortlist of tenderers for Goods, Works and Services above £50K including above OJEU level before issue of the ITT. This includes reviewing the marking and moderation sheets, approving the yes and no letters following the PQQ stage and receiving the recommendation from the relevant Estates staff member on a standard approval template (see Appendix C to the purchasing protocol).
3. Approve the shortlist of tenders which will be drawn from the Quick Quote tool for Works above 50K but under £1M. This is a temporary situation until a new small works framework is established. The recommendation from Estates staff should be on a standard approval template (see Appendix C to the purchasing protocol).
4. Receive recommendation on contract approval for all Goods, Works and Services above £50K following conclusion of the ITT evaluation. Review all scoring, tender reports, proposed appointment letters and “unsuccessful letter” and either approve if approval is within the delegated authorised signatory level or act as a gateway to the relevant committee or Delegated Authorised signatory. Standard templates will be used by Estates staff when seeking approval (see Appendix D to the purchasing Protocol).
5. Retrospective approval for emergency procurements which should have previously been approved by the Director of Estates at the time of initiating the emergency procurement.
6. Approve any step in the procurement journey referred to in the purchasing protocol and to ensure that any queries of procedural points referred to the panel are dealt with.

Estates Tender Review Panel Membership:

Director of Estates
Head of Estate Planning and Special Projects
Head of Estate Development
Head of Capital Projects
Head of Estate Operations
Head of Estates Finance
Estates Procurement Manager

Simple Procurement Guide

The process of purchasing can be complicated. The following table is a quick guide to use however please note that the threshold values are due to be amended on 1 January 2016 as indicated in point 2, 4 and 5 below.

3 simple steps to buying stuff

1. Obtain from an internal department or buy from a contracted supplier *1

2. Obtain quotes (below £50,000)

3. Do a plan / tender (above £50,000)

Value	Process	Procurement activity	Typical timescales	Professional advice required
Limited by your delegated approval level	Select a supplier *2	Place a Purchase Order *3 using PECOS, SciQuest or e-financials	Approval by appropriate authorised signatory	No *2
	Mini tender	Obtain FORMAL quotes from all framework suppliers	2-4 weeks	Yes
Under £1000	Procurement Journey *4 Route 1	Retain evidence of value for money (i.e. price comparison)	N/A	No
Between £1000 and £5000		Obtain written or verbal quotes from at least three different suppliers	1-10 days	(but training and help available if required)
Between £5000 and £50,000		Obtain FORMAL quotes from at least three suppliers	1-4 weeks	
Over £50,000	Procurement Journey Route 2 or Route 3 (if complex)	FULL TENDER (Sealed Competitive Bids)	1-3 months	YES
Over £172,514 (goods / services)		Requires the APPROVAL of a plan by Director of Procurement before commencing	3-6 months	YES
Over £4,322,012 (works)			(minimum timescale of 3 months applies)	

The following is a summary of the various procurement headlines. Note than all values must include VAT.

1. LEGAL SERVICES
A framework exists for Estates Legal Services
<ul style="list-style-type: none"> Anticipated fee less than £5k – award on a rotational basis. Estates Managers keep the log up to date and will advise on the rotation. Over £5k – Mini tender using Lindsays, Pinsent Mason and Shepherd & Wedderburn

2. WORKS	
Under £1,000	Obtain 1 written or verbal quote but be able to demonstrate Value for Money (retain evidence of value for money (i.e. price comparison)
£1,000 - £5,000	Obtain 3 written quotes form at least 3 different suppliers agreed by the budget holder
£5,000 - £50,000	Obtain 3 formal quotes from at least 3 different suppliers agreed with Head of Estates Development, Head of Capital Projects, Head of Estates Operations or Head of Estates Planning and Special Projects
£50,000 - £1 million	Select a shortlist of 5 or 6 Contractors from those available on PCS Quick Quote. These must be approved by the Estates Tender Review Panel to ensure a robust selection and award process is adopted and records must be retained. Email notification to tenderer with hard copies of ITT issued separately if this is more efficient. Submission of Form of Tender via PCS and hard copy of tenders delivered by tender deadline. A quality questionnaire must be adopted for the ITT with best quality:cost ratio assessed quality 20/cost 80, utilising pre-stated evaluation criteria and weightings.
£1,000,000 to OJEU Threshold (£4,322.012*) NET value applicable until 31/12/15 Threshold after 1/1/16 will be £4,104,394)	Formal Invitation to Tender and advertised via the Public Contracts Scotland portal using quality 20%/ cost (whole life costs) 80%. Pre-Qualification step is to be used unless agreed with Procurement Office.
Above OJEU Threshold	Full OJEU Process to be used and procurement officer/manager assigned to project.

3. PRINCIPAL DESIGNER

Principal Designer Services should not be procured separately and will form part of the Design Team appointment post 6th October 2015.

4. SERVICES

Under £1,000	Obtain 1 written or verbal quote but be able to demonstrate Value for Money (retain evidence of value for money (i.e. price comparison)
£1,000 - £5,000	Obtain 3 written quotes form at least 3 different suppliers agreed by the budget holder
£5,000 - £50,000	Undertake a formal tender from at least 3 different suppliers agreed with Head of Estates Development, Head of Capital projects, Head of Estates Operations or Head of Estates Planning and Special Projects.
£50,000 – OJEU Threshold (£172,514) NET value applicable until the 31/12/15 Threshold from 1/1/16 will be £164,176)	Full Tender advertised on the Scottish Public Contracts Scotland portal and tendered using 60/40 ratio of Quality/Cost utilising pre-stated evaluation criteria and weightings.
Above OJEU Threshold	Full OJEU Process to be used and Procurement Officer/manager assigned to project

5. GOODS

Under £1,000	Demonstrable Value for Money (retain evidence of value for money (i.e. price comparison)
£1,000 - £5,000	Obtain written or verbal quotes form at least three different suppliers agreed by the budget holder
£5,000 - £50,000	3 Formal Tenders from at least three suppliers selected by Head of Estates Operations, Head of Development, Head of Capital projects or Head of Estates Planning and Special Projects
£50,000 – OJEU Threshold (£172,514) NET value applicable until the 31/12/15 Threshold from 1/1/16 will be £164,176)	Liaise with Procurement Office to discuss Quality/Cost ratio, criteria and weightings and then to be advertised on the Scottish Public Contracts Scotland portal
Above OJEU Threshold	Full OJEU procedure to be followed and Procurement officer/manager assigned to the project

Section 7 Framework

Summary

The University has a number of frameworks already procured which should be prioritised as the procurement option. The Director of Procurement has the delegated Authority to enter into Framework Agreements.

The current list of Estates related framework agreements available is noted at Appendix B and this will be updated quarterly by the Procurement Office and advice should be sought from the Procurement Office regarding the appropriateness of existing frameworks prior to initiating a procurement process.

Other common use items of goods and services can be found at [Buy@Ed](#) for frameworks or University- wide contracts to be used, or by asking contacts on the Procurement Office website.

The terms and conditions of each framework must be adhered to. The Procurement Office will advise on the method of tendering for each framework whether mini tender, ranked or a rotational appointment.

Standard Procurement for Goods, Services (including works related) and Works

See **Section 12, 13 and 14** for all of the standard templates available for the various stages of procurement in this category.

Identification of providers: Goods, Services (including works related) and Works

Where an existing term contract/framework is in place, the procurement exercise should be undertaken in accordance with the relevant term contract or framework conditions.

If a term contract or framework and or an in house provider cannot be utilised – **Section 6** outlines the process flow for procurement of goods, services and works suppliers for procurement values up to £50,000. The number of quotations required, dependant on anticipated value, is also noted.

Selection and Approval of Providers (suppliers or service providers to be invited to quote)

A list of selected providers to bid will be prepared on the following basis:

- Those Providers which are capable of supplying the goods or services required; or for Works have previously carried out on similar projects and are known to be capable of carrying out the work required, without breaching the principles of procurement and
- Those which, at the time, have expressed an interest in supplying the required goods or services or for Works who have a similar profile to the other providers being selected in terms of experience, technical capability and financial standing.

The list of selected providers must be approved by the relevant Head of Estates Development, Head of Capital Projects Head of Estate Operations, or Head of Estates Planning and Special projects prior to any quotations being invited. It should be noted that consideration be given to the potential of a conflict of interest, breach of aggregation, or conflict with an existing agreement of framework contract in this process, therefore Head of Estates Finance must also approve the list.

Number of Providers required is based on the following thresholds

- Estimated cost < £1,000 – obtain a verbal quote from the preferred supplier, check value for money via a price comparison and select as appropriate. Typically this would be suppliers known from experience to be capable of supplying the goods and services required.
- Estimated cost £1,001 - £4,999 – obtain verbal or written quotes from at least three suppliers and select as appropriate. Typically quotes would be from suppliers known from experience to be capable of supplying the goods and services required and who have expressed an interest in supplying the required goods or services to the University.
- Estimated cost £5,000 - £50,000 – Obtain formal quotes from at least three suppliers and select supplier as appropriate.

In all cases a copy of the specification issued, quotes and analysis and supplier communications must be retained on project or shared drive file (not personal email) for future financial reporting, internal and external audits or VfM reports.

Section 9 Detailed Protocol for Procurement (£50k to OJEU)

Standard Procurement for Goods, Services (including works related) and Works

For all procurements between £50,000 and OJEU threshold it is essential to establish a procurement strategy which must be approved by the Acting Director of Procurement prior to advertising on the Public Contract Scotland Portal. The procurement office will provide advice and support or recommend legal input to ensure compliance with legislation.

See **Section 12 and 15** for all of the standard templates available for the various stages of procurement in this category.

Identification of providers: Goods, Services (including works related) and Works

The OJEU threshold values for Goods, Services and Works differ so care is needed to ensure the appropriate estimate of whole life cost and recurring values are understood before embarking on procurement.

Where an existing term contract/framework is in place, the procurement exercise should be undertaken in accordance with the relevant term contract or framework conditions.

If a term contract or framework and or an in house provider cannot be utilised – **Section 6** outlines the process flow for procurement of services and suppliers for procurement values between £50,000 and OJEU threshold. The number of quotations required, dependant on anticipated value, is also noted.

The identification of providers for procurements at this value normally involves a two stage process which allows for the Pre-Qualification of providers and only those deemed most capable proceed to the Invitation to Tender stage (ITT) and timescales, documents and evidence requirements are governed by law.

Stage 1: Pre-Qualification

The Procurement Office will generate a tender reference for all projects and place the required Contract Advert Notice advertised on the Public Contracts Scotland Portal.

Following publication of the opportunity on the Public Contract Scotland Portal, Providers who have registered an interest in being considered for Stage 1 are invited to complete Pre-Qualification documentation to be selected to tender.

Selection criteria can be made up of Pass/Fail, “minimum standards” and/or objective and non- discriminatory criteria. The Regulations clearly set out the information that Providers can be asked to submit as part of the Pre-qualification Stage. This includes:

- Whether any grounds for exclusion apply (e.g. spent/unspent convictions)
- Their registration on the professional or trade register
- Their economic and financial standing
- Their technical capacity or professional ability
- The availability of third party resources on which they propose to rely

Selection criteria in Stage 1 should be used solely to determine a Provider’s track record and objectively recorded and retained on file.

Under technical and professional ability or economic and financial standing, if there are Pass/Fail and or minimum standards which Providers are required to meet in order for their application to be considered, then these should be stated clearly in the Contract Advert Notice and consistently worded in the pre-qualification documentation. A Provider can only be excluded from evaluation or being invited to bid for failing to meet the Pass/Fail and or minimum standards, if those standards are specified clearly as such in the Contract Notice and in the pre-qualification documentation.

In relation to economic and financial standing, Tenderers must provide copies of their last three years financial accounts to allow an assessment of their financial capability and viability for the contract to be undertaken.

The Head of Estates Finance will carry out the financial appraisal and passing this is a mandatory requirement for inclusion in the selection process. Those Providers who fail the assessment, and do not provide further supporting information, will not be considered further. It should be made clear in the PQQ document that passing the financial appraisal is a Pass/Fail requirement.

Tenderers who fail the benchmark in relation to financial turnover may provide further supporting information. Taking account of this information, the Estates Tender Review Panel (referred to below) must determine whether the applicant has the required capacity/resource to undertake the contract in a manner which is legally defensible and retain records.

All other information is obtained by way of an appropriate Pre-qualification Questionnaire, if required. A range of standard template questionnaires exists for the various disciplines and they may be tailored further to suit specific requirements. Any change to the standard templates (and scoring mechanism) must be agreed in advance with the Procurement Office and Estates Tender Review Panel and where appropriate the relevant Project Board.

In addition, if specific marks for responses and weightings for evaluation are to be used for questions in a Pre-qualification Questionnaire, then these must be disclosed in the pre-qualification documentation.

Shortlisting and Approval of Providers

In order to select Providers to proceed to the Invitation to Tender Stage, a panel must be appointed to assess the Stage 1 submissions. A member of the Procurement team should be involved and it is recommended that the panel also includes a member of the Procurement team to be present when final consensus marking is agreed, or as follows:-

Estates Operations Tenders:

- Full panel member involved in all shortlisting/evaluation meetings

Development/Estates Planning and Special Projects Tenders:

- To provide advice and set the ground rules for the application of scoring rationale/procedures and to answer any queries at an initial meeting of the shortlisting/evaluation panel.
- To review scores and advise on any specific queries arising from the shortlisting/evaluation process
- To confirm that the moderated scores reflect the original Contract Advert Notice and PQQ process

A designated Estates' staff member will act as Chair throughout the process and should call for any Conflict of Interest declarations from members and minute response. Membership of the assessment panel should remain the same throughout the entire Pre-qualification and Invitation to Tender evaluation process, unless exceptional circumstances dictate otherwise.

Pre-Qualification submissions should be reviewed by at least two panel members, the agreed individual scores and rationale for each Provider noted against the stated criteria and input to the scoring model.

A moderation exercise must then be carried out with the Chair of the evaluation panel acting as moderator. The moderated quality scores should be agreed by all panel members. Based on the resultant scores, the panel will recommend to the Estates Tender Review Panel which Providers should be invited to tender.

The Pre-qualification (Stage 1) is a short-listing selection exercise only on supplier capacity and must remain entirely separate from the Invitation to Tender Stage. All scores obtained during the Pre-qualification (Stage 1) which are about past capacity must be set aside following short-listing and must not be used to influence the outcome of the tender award process, which is about the proposed bid for the specific contract and its performance.

The assessor notes and scoring methodology must be saved in the relevant project file on the K: drive and retained for audit purposes. The rationale may be required in detail under Freedom of Information or for debriefing stage.

Works above £50k and Under £1m

As a short term measure until a new Small works Framework has been established a shortlist of 5 or 6 tenderers should be selected from those available on the PCS quick quote tool. Those companies selected for approval must be approved by the Estates Tender Review Panel to ensure that a robust selection and award process is adopted and records must be maintained. The PCS tool will issue the Invitation to Tender letter which can be followed in hard copy with issue of the tender documents if this is deemed more efficient. Submission of Form of Tender must be via PCS and hard copy of tenders delivered by the tender deadline. A quality questionnaire must be adopted and included for the ITT with best quality ; cost ration assessed quality 20% ; 80% cost, utilising pre-stated evaluation criteria and weightings. No late tenders can be accepted without written approval of Director/Acting Director of Procurement.

Approval of Providers

The approval of the Estates Tender Review Panel (ETRP) is essential for the final selection of providers to be invited to supply the required good, services and works. The process for obtaining that approval is noted in Appendix C. The financial checks prior to approving the list of providers to be invited for tenders will be required as part of this process. In advance of the ETRP meeting the relevant financial information in relation to the proposed shortlist should be provided to the Head of Estates Finance to allow the financial assessment to be carried out. Should any of the proposed Providers fail this approval process the rationale must be documented and a substitute approved from the next highest ranking member of the remaining PQQ list with clear reasoning recorded.

Stage 2: Invitation to Tender

Specification

The Procurement Rules and Legal Regulations or Statutory Guidance set out the requirement for criteria designed to ensure all Tenderers are treated on equal terms, to avoid discrimination either positive or negative. Where it is not possible to avoid the use of brand names, then products must be qualified by enabling consideration of equivalents. It should be noted that any deviation from the specified name must be provided with evidence of equivalent performance and tenderers should be asked to have this clarified and approved prior to tender return. All bidders must be given the opportunity of allowing for any revised named product prior to tender return to ensure equal treatment of all bidders. Substitution of brand names on claimed as "equal and approved" post tender opening or offer acceptance will not be permitted.

Award Criteria

The award criteria established at Contract Advert stage must be incorporated into the ITT documentation and should be accompanied by associated weightings and sub weightings with rationale of scoring for consistency.

Issue of ITT documentation

Following Pre-qualification shortlisting, Invitations to Tender will be issued utilising the range of standard templates which exist for each of the disciplines and may be tailored to suit specific requirements. Any additional information requested must be clearly aligned to the Award criteria established in the Contract Advert Notice and followed through to the ITT stage. The lead responsibility for this activity is detailed in the matrix in Section 3.

The Procurement Office must be asked to review all ITT documentation to ensure compliance with the above requirements and project programmes must allow adequate time for this and accept the procurement advice/guidance.

All Tenders must be submitted to the University in the format detailed in the ITT documentation as secure sealed bids. Late tenders are not to be accepted so firm closing date and time needs to be clearly stated on the front page of an ITT. Each ITT will be allocated a unique reference number (Tender Log Reference) which will be used on all associated documentation to provide an audit trail. A log will be maintained by the Procurement Estates Manager containing details of each project and no documents will be issued prior to confirmation of the Tender Log Reference.

The log will include:

- A basic description of the project
- The closing date and time for submissions
- Details of the firms invited to tender or quote

All quotations and tenders will:

- Be requested in writing
- Clearly detail the closing date and time
- Clearly detail the instructions for return, and
- Include a pre-addressed label or envelope if a hard copy route is used.

Contract Conditions and Forms of Contract

When issuing a quotation or tender, the documentation should clearly state the Terms and Conditions under which the contract will be governed and administered.

Receiving Tenders in Hard Copy

Quotations and tenders will be received up to the date and time stated in the Invitation to Tender and held (unopened) securely within the Estates Department's Tender Deposit Box.

It is the Provider's responsibility to ensure that the quotation or tender is delivered no later than the notified tender return time on the closing date. Only in exceptional circumstances, and by prior approval of the Director of Procurement and the Estates Tender Review Panel, will quotations or tenders received after this time be considered and an audit trail must be kept of the reason, authority who agreed to the late-tender and signed by the ETRP chair or Director of Estates and Director or Acting Director of Procurement.

Enquiries from Tenderers (including telephone, fax or e-mail), in relation to return dates must be notified to the Head of Estates Planning and Special Projects as soon as possible. Only in exceptional circumstances, will the closing date and time be extended for the submission of quotations and tenders.

The following steps will apply should agreement be given to extend the closing date of any quotation or tender:

- (i) All Tenderers shall be notified of the revised closing date and time in writing. In this regard, dispatches to all parties from the Estates Department should be issued over the course of one day.
- (ii) The return instructions from the original Invitation to Tender letter should be restated.

All quotations and tenders received will be opened simultaneously, signed and dated by a senior member of the Estates Department, and witnessed by two other members of staff which will include one member of staff from the Finance or Administration teams. All submissions, i.e. name of firm and amount of quotation or tender, will be recorded on the Tender Opening Schedule, which should also be signed by each member of the Tender Opening Panel. A standard template exists for this purpose (see P2). Copies of the opening schedule will be made and the original passed to the Head of Business and Administration for record and safe keeping.

All bids must be reviewed for completeness and accuracy. All bids must be checked for errors or omissions and Tenders should be given the opportunity of rectifying. It should be borne in mind that all tender evaluation processes must be fair and transparent. If there is a reason to exclude a bid it must be reasonable and proportionate to do so.

If signatures are missing from documentation, then the firm should be requested to provide signed documents, in hard copy, within 48 hours. Contacting a Tenderer to clarify aspects of a tender or quotation is permitted. Post tender negotiation is not permitted. All tenderers must be treated equally in relation to clarifications sought and a record of any correspondence must be kept.

Where Quantity Surveyors or consultants are carrying out post tender checks and clarifications on tenders, they must keep a strict record of the process and pass copies of this to The University following completion of their report.

Works Tenders Exceeding the Project Budget

Where the lowest tender exceeds the project budget, one of the following options must be taken:

- I. Issue a Bill of Amendments to all Tenderers, irrespective of the spread of the original bids. Where the issue of a Bill of Amendments would affect the project programme or funding, consultation will be held with the Procurement Office to agree an alternative course of action.
- II. Where the Bill of Amendments represents a substantial change to the original scope of works, consideration should be given to rejecting all tenders and re-tender with a reduced/revised scope of works which more closely matches the available budget. Consultation with the Procurement Office on this matter is essential. The extent of the substantial change will be a deciding factor here.

Evaluation of Tenders

Most Economically Advantageous Tender (MEAT)

Where tenders are to be awarded on the basis of MEAT, cost and qualitative assessments are required.

The criteria for assessment must be included in the original advertisement, Pre-Qualification Questionnaire and the Invitation to Tender documentation with associated weightings and sub weightings.

The award of tenders for Goods, Services and Works will be evaluated on a Quality: Cost ratio in accordance with the criteria priorities as set out in the original advertisement, Pre-qualification questionnaire and the Invitation to Tender documentation and prior to the advertisement the Panel should identify how they will assess responses fairly.

A panel should be appointed to evaluate submissions. The panel will include:

- The designated Estates' staff member responsible for the quotation or tender.

- At least one other representative chosen by the Head of Estate Planning and Special Projects, Head of Estate Development, Head of Capital Projects or Head of Estate Operations, as appropriate.
- Procurement Officer or Manager

A designated Estates' staff member will act as Chair throughout the process. Membership of the evaluation panel should remain the same throughout the entire evaluation process, unless exceptional circumstances dictate otherwise and records kept of who has participated.

Each quality submission should be reviewed by at least two panel members, the agreed scores and rationale for each Tenderer should be recorded, and the scores input to the scoring model. A moderation exercise must be carried out with the chair of the evaluation panel acting as moderator. The moderated quality scores should be agreed by panel members and taken forward to the final Quality: Cost evaluation. Based on the resultant scores after combining with the financial assessment, the evaluation panel will recommend which Tenderer should be awarded the contract.

The result of the process should be reported by the evaluation panel to the Estates Tender Review Panel for formal approval prior to awarding the contract. (see Appendix D for format)

Price as the Determinant Factor

The preferred method of evaluating tenders is MEAT as outlined above, however in certain cases it will be appropriate for evaluation of tenders to be on price only. This basis for evaluation must be clearly stated in the tender documentation.

Computational Errors

Works tenders

Where errors are suspected in the make-up of a tender for a Works contract, these will be examined and adjusted in accordance with the rules set out in JCT Tendering Practice Note 2012 (Alternative 2). The Invitation to Tender must clearly advise that correction of errors will be in accordance with Alternative 2 of the Code of Procedure for single Stage Selective Tendering

Goods and Services

For Goods and Services contracts, where it is suspected that any Tenderer may have made an error, then the Tenderer should be contacted and asked to check and re-confirm their quotation or tender amount. If it is confirmed that an error has been made, then the Tenderer can be permitted to amend and adjust their tender. It is important that this process is approached with care and any uncertainty must be referred to the Head of Estates Planning and Special Projects or the Procurement office to ensure all tenderers are treated equally, fairly and with transparency in this process.

It is therefore important that the procedure for dealing with errors is accurately reflected in the documents issued at tender stage and records kept as an audit trail of the reason, authority who agreed to any error amendment and signed by ETRP chair or Director of Estates and (if over £50k tender) the Director or Acting Director of Procurement.

Interviews

If interviews are likely to be required, they should be used to confirm that the Tenderer is capable of fulfilling the contract in the manner proposed in their tender submission.

The inclusion of a possible interview as part of the tender evaluation process must be indicated within the tender documentation and the evaluation criteria should reflect this. If interviews are required, all Tenderers should be invited for interview, to ensure equal treatment and any impact in the overall assessment outcome should be clearly stated and notes taken of attendees, any conflict of interest and how this is handled (e.g. removal of panel member), questions to be asked, answers and scores given, to ensure evidence of fair and equal treatment for audit.

The choice of questions to be used at interview must be aligned to the evaluation criteria and answers handled consistently.

Approval of Contract Award

The approval procedures for Contract Award differ dependant on the value and type of contract. Apart from procurements under £50,000 the Estates Tender Review Panel will review all tender evaluations and award of contract recommendations and either approve if approval is within delegated authority level or act as a Gateway recommendation to the relevant Committee and Delegated Authorised Signatory. The approval will be sought by way of completing standard templates attached as Appendix D.

Acceptance of Tender and Award of Contract

The successful Tenderer should be notified and all other Tenderers should be informed in writing simultaneously that they have been unsuccessful. Standard templates for contract award and debriefing letters are to be utilised. The Estates Tender Review Panel must approve the proposed appointment letter and any unsuccessful letters prior to presenting to the delegated Authorised Signatories for signing. The Procurement Office is to advise on the debriefing content to assist the Estates team to ensure compliant data is provided.

Following acceptance of the Contract a Purchase Order will require to be raised in accordance with 2.11 noted below.

Advising Outcome to Unsuccessful Suppliers

Tenderers are entitled to feedback on their tender submission and this should be provided in the letter advising of the outcome. Details of how the unsuccessful firm's submission fared in respect of the evaluation criteria, as well as how it fared in relation to the successful firm must be provided. In respect of those questions where marks were lost, any relevant comments, supporting the score, should be communicated.

This increased level of information for most tendering exercises negates the requirement for the de-briefing of unsuccessful tenderers in person and gives clarity as to the decision taken. It is not necessary to meet with a firm to provide a debrief and indeed can risk confusion as all the relevant information will be provided in the outcome letter.

The Estates Tender Review Panel must approve the unsuccessful letters prior to issue.

Purchase Orders

Purchase Orders are, with few exceptions, required to confirm the purchase price and commitment for all Goods, Services and Works. Purchase orders must be raised at the time of appointment in order to capture the financial commitment at the outset.

Confirmation Purchase Orders are defined as official Purchase Orders which are raised after an appointment or request for goods or services has been communicated to a contractor or supplier e.g. verbally, electronically or by fax, after an invoice has been received. This means that the budget holder has not officially authorised the expenditure of the funds to pay for the purchase and that the commitment has not been recorded at that stage. It also means that the Procurement Office has not approved relevant sourcing of the order or verified that purchasing regulations have been followed and contracts used where appropriate. This practice places the University at considerable risk in terms of the unapproved commitment of funds. For these reasons, confirmation Purchase Orders, are permitted only in exceptional circumstances, such as emergencies.

It should be noted in any case that there must be no emergency commitments made to any Providers without the approval of the Director of Estates Department.

Emergencies

The required number of quotations or tenders must be invited at all times except in the case of emergencies, for example, the result of fire or storm damage.

All orders of this nature will be accompanied by an Information Note which should be completed by the originator and approved by the relevant Head of Estates Planning and Special Projects, Head of Estate Development, head of Capital Projects or Head of Estates Operations retrospectively.

This may require a Non-Competitive Action approval and Contract Award Notice if over the £50K or other relevant thresholds. The Director or Acting Director of Procurement should be advised as soon as possible.

Standard Procurement for Goods, Services (including works related) and Works

See **Section 12 and 16** for all of the standard templates available for the various stages of procurement in this category.

Identification of providers: Good, Services and Works

- i. Where the estimated cost is greater than the relevant OJEU threshold for Goods, Services or Works the procurement strategy must be established and approved by the Director of procurement and an OJEU procurement process commenced with a procurement manager or officer engaged in the process.
- ii. Alternatively a University of Edinburgh framework or a framework where the University of Edinburgh has access to (e.g. SCAPE or APUC) can be utilised provided it has already been procured via an OJEU process and the relevant framework agreement terms are applied. The Director of Procurement must approve the procurement strategy if this route has been identified, before engaging suppliers.

For the identification of Providers, the University normally makes use of the EU Restricted Procedure. The Procurement Office will provide specific guidance on the use of alternative EU procedures where appropriate.

The Restricted Procedure

This involves a two stage process which allows for the Pre- Qualification of Providers and only those deemed most capable proceed to the Invitation to tender stage (ITT).

- Stage 1 Pre-qualification
- Stage 2 Invitation to Tender

Under the Regulations, the prescribed timescales for the Restricted Procedure are set out in **Section 3**.

Publication and Content of Contract Notices

At the start of the tender process, the Procurement Office will place the Contract Notice via the Public Contracts Scotland Portal which publishes into the OJEU and will upload the University's PQQ documentation via the University's electronic tendering system. All requirements regarding the composition and publication of the Contract Notice must therefore be reviewed with the Procurement Office. Similarly, a Contract Award Notice is published at the end of the process and the same requirement will apply. Timescales and content for OJEU projects must always comply with the legal duties, including standstill period from award recommendation to appointment/purchase order/start date.

The Procurement Office will generate a tender reference for all projects to be advertised on the Public Contracts Scotland portal.

Stage 1: Pre-Qualification

Following publication of the Contract Notice, Providers who have registered an interest in being considered for Stage 1 are invited to complete Pre-Qualification documentation to be selected for tender.

Selection criteria can be made up of Pass/Fail, "minimum standards" and/or objective and non- discriminatory criteria. The Regulations clearly set out the information that Providers can be asked to submit as part of the Pre-qualification Stage. This includes:

- Whether any grounds for exclusion apply (e.g. spent/unspent convictions)
- Their registration on the professional or trade register
- Their economic and financial standing
- Their technical capacity or professional ability
- The availability of third party resources on which they propose to rely

Selection criteria in Stage 1 should be used solely to determine a Provider's track record and objectively recorded and retained on file.

Under technical and professional ability or economic and financial standing, if there are Pass/Fail and or minimum standards which Providers are required to meet in order for their application to be considered, then these should be stated clearly in the Contract Notice and consistently worded in the pre-qualification documentation. A Provider can only be excluded from evaluation or being invited to bid for failing to meet Pass/Fail or minimum standards, if those standards are specified clearly as such in the Contract Notice and in the pre-qualification documentation.

In relation to economic and financial standing, Tenderers must provide copies of their last three years financial accounts to allow an assessment of their financial capability and viability for the contract to be undertaken.

The Head of Estates Finance will carry out the financial appraisal and passing this is a mandatory requirement for inclusion in the selection process. Those Providers who fail the assessment, and do not provide further supporting information, will not be considered further. It should be made clear in the PQQ document that passing the financial appraisal is a Pass/Fail requirement.

Tenderers who fail the benchmark in relation to financial turnover may provide further supporting information. Taking account of this information, the Estates Tender Review Panel must determine whether the applicant has the required capacity/resource to undertake the contract in a manner which is legally defensible and retain records.

All other information is obtained by way of an appropriate Pre-qualification Questionnaire, if required. A range of standard template questionnaires exists for the various disciplines and they may be tailored further to suit specific requirements. Any change to the standard templates (and scoring mechanism) must be agreed in advance with the Procurement Office and Estates Tender Review Panel and where appropriate the relevant Project Board.

In addition, if specific marks for responses and weightings for evaluation are to be used for questions in a Pre-qualification Questionnaire, then these must be disclosed in the pre-qualification documentation.

Shortlisting and Approval of Providers

In order to select Providers to proceed to the Invitation to Tender Stage, a panel must be appointed to assess the Stage 1 submissions. A member of the Procurement team should be involved and it is recommended that the panel also includes a member of the Procurement team to be present when final consensus marking is agreed, or as follows:-

Estates Operations Tenders:

- Full panel member involved in all shortlisting/evaluation meetings

Strategic Planning/Development Tenders:

- To provide advice and set the ground rules for the application of scoring rationale/procedures and to answer any queries at an initial meeting of the shortlisting/evaluation panel.
- To review scores and advise on any specific queries arising from the shortlisting/evaluation process
- To confirm that the moderated scores reflect the original Contract Advert Notice and PQQ process

It is recommended that the panel also includes a member of the Procurement Team to be present.

A designated Estates' staff member will act as Chair throughout the process and should call for any Conflict of Interest declarations from member and minute response. Membership of the appointment panel should remain the same throughout the entire Pre-qualification and Invitation to Tender evaluation process, unless exceptional circumstances dictate otherwise and records kept of who participated.

Pre-Qualification submission should be reviewed by at least two panel members, the agreed individual scores and rationale for each Provider noted against the stated criteria and input to the scoring model.

A moderation exercise must then be carried out with the chair of the evaluation panel acting as moderator. The moderated quality scores should be agreed by all panel members. Based on the resultant scores, the panel will recommend to the Estates Tender Approval Board which Providers should be invited to tender.

The Pre-qualification (Stage 1) is a short-listing exercise only on supplier capacity and must remain entirely separate from the Invitation to Tender Stage. All scores obtained during the Pre-qualification (Stage 1) which are about past capacity must be set aside following short-listing and must not be used to influence the outcome of the tender award process which is about the proposed bid for the specific contract and its performance.

The assessor notes and scoring methodology must be saved in the relevant project file on the K: drive and retained for audit purposes. The rationale may be required in detail under Freedom of Information or for debriefing stage.

Approval of Providers

The approval of the Estates Tender Review Panel is essential for the final selection of providers to be invited to supply the required good, services and works. The process for obtaining that approval is noted in template included in Appendix C. The financial checks prior to approving the list of providers to be invited for tenders will be required as part of this process. In advance of the ETRP meeting the relevant financial information relation to the proposed shortlist should be provided to the Head of Estates Finance to allow the financial assessment to be carried out. Should any of the proposed Providers fail this approval process the rationale must be documented and a substitute approved from the next highest ranking member of the remaining PQQ tender list with clear reasoning recorded.

Stage 2: Invitation to Tender

Specification

The Procurement Rules and Legal Regulations or Statutory Guidance set out the requirement for criteria designed to ensure all Tenderers are treated on equal terms, to avoid discrimination either positive or negative. Where it is not possible to avoid the use of brand names, then products must be qualified by enabling consideration of equivalents. It should be noted that any deviation from the specified name must be provided with evidence of equivalent performance and tenderers should be asked to have this clarified and approved prior to tender return. All bidders must be given the opportunity of allowing for any revised named product prior to tender return to ensure equal treatment of all bidders. Substitution of brand names on claimed as "equal and approved" post tender opening or offer acceptance will not be permitted.

Award Criteria

The award criteria established at Contract Advert stage must be incorporated into the ITT documentation and should be accompanied by associated weightings and sub weightings with rationale of scoring for consistency.

Issue of ITT documentation

Following Pre-qualification shortlisting, Invitations to Tender will be issued utilising the range of standard templates which exist for each of the disciplines and may be tailored to suit specific requirements. Any additional information requested must be clearly aligned to the Award criteria established in the Contract Advert Notice and followed through to the ITT stage. The lead responsibility for this activity is detailed in the matrix in Section 3.

The procurement office must be asked to review all ITT documentation to ensure compliance with the above requirements and project programmes must allow adequate time for this and accept the procurement advice / guidance.

All Tenders must be submitted to the University in the format detailed in the ITT documentation as secure sealed bids. No late tenders can be accepted without written approval from the Director or Acting Director of Procurement. Each ITT will be allocated a unique reference number (Tender Log Reference) which will be used on all associated documentation to provide an audit trail. A log will be maintained by the Procurement Estates Manager containing details of each project and no documents will be issued prior to confirmation of the Tender Log Reference.

The log will include:

- A basic description of the project
- The closing date and time for submissions
- Details of the firms invited to tender or quote

All quotations and tenders will:

- Be requested in writing
- Clearly detail the closing date and time
- Clearly detail the instructions for return, and
- Include a pre-addressed label or envelope

Contract Conditions and Forms of Contract

When issuing a tender, the documentation should clearly state the Terms and Conditions under which the contract will be governed and administered.

Receiving Tenders in Hard Copy

Tenders will be received up to the date and time stated in the Invitation to Tender and held (unopened) securely within the Estates Department's Tender Deposit Box.

It is the Provider's responsibility to ensure that the tender is delivered no later than the notified tender return time on the closing date. Only in exceptional circumstances, and by prior approval of the Director/Acting Director of Procurement and the Estates Tender Review Panel, will tenders received after this time be considered and an audit trail must be kept of the reason, authority who agreed to the late tender and signed by the ETRP chair or Director of Estates and Director of Procurement. Above OJEU this report may be required by the EU Commission.

Enquiries from Tenderers (including telephone, fax or e-mail), in relation to return dates must be notified to the Head of Estates Planning and Special Projects as soon as possible. Only in exceptional circumstances, will the closing date and time be extended for the submission of tenders.

The following steps will apply should agreement be given to extend the closing date of any tender:

- (i) All Tenderers shall be notified of the revised closing date and time in writing. In this regard, dispatches to all parties from the Estates Department should be issued over the course of one day.
- (ii) The return instructions from the original Invitation to Tender letter should be restated.

All tenders received will be opened simultaneously, signed and dated by a senior member of the Estates Department, and witnessed by two other members of staff which will include one member of staff from the Finance or Administration teams. All submissions, i.e. name of firm and amount of tender, will be recorded on the Tender Opening Schedule, which should also be signed by each member of the Tender Opening Panel. A standard template exists for this purpose see P2. Copies of the tender opening schedule will be made and the original passed to the Head of Business and Administration for record and safe keeping.

All bids must be reviewed for completeness and accuracy. All bids must be checked for errors or omissions and Tenders should be given the opportunity of rectifying. It should be borne in mind that all tender evaluation processes must be fair and transparent. If there is a reason to exclude a bid it must be reasonable and proportionate to do so and records kept as an audit trail of the reason, authority who agreed to any error amendment and signed by the ETRP chair or Director of Estates and (if over 10% amendment) reported to the Director or Acting Director of Procurement..

If signatures are missing from documentation, then the firm should be requested to provide signed documents, in hard copy, within 48 hours. Contacting a Tenderer to clarify aspects of a tender is permitted. Post tender negotiation is not permitted. All tenderers must be treated equally in relation to clarifications sought and a record of any correspondence must be kept.

Where Quantity Surveyors or consultants are carrying out post tender checks and clarifications on tenders, they must keep a strict record of the process and pass copies of this to The University following completion of their report.

Works Tenders Exceeding the Project Budget

Where the lowest tender exceeds the project budget, one of the following options must be taken:

- (i) Issue a Bill of Amendments to all Tenderers, irrespective of the spread of the original bids. Where the issue of a Bill of Amendments would affect the project programme or funding, consultation will be held with the Procurement Office to agree an alternative course of action.
- (ii) Where the Bill of Amendments represents a substantial change to the original scope of works, consideration should be given to rejecting all tenders and re-tender with a reduced/revised scope of works which more closely matches the available budget. Consultation with the Procurement Office on this matter is essential. The extent of the substantial change will be a deciding factor here.

Evaluation of Tenders

Any short-listing panel used for earlier stages of the tender process should conduct the evaluation of tenders at Stage 2. All scores obtained during the Pre-qualification (Stage 1) which are about capacity must be set aside following short-listing and must not be used to influence the outcome of the tender process which is about the proposed bid for the specific contract and its performance.

The basis of evaluation must be clearly stated in the tender documentation. Under most circumstances the following will apply:

Most Economically Advantageous Tender (MEAT)

Where tenders are to be awarded on the basis of MEAT, in addition to price, this would normally include a qualitative assessment.

The criteria for assessment must be included in the original advertisement, Pre-Qualification Questionnaire and the Invitation to Tender documentation with associated weightings and sub weightings.

The award of tenders for Goods, Services and Works will be evaluated on a Quality: Cost basis in accordance with the criteria set out in the original advertisement, Pre-qualification questionnaire and the Invitation to Tender documentation and prior to the advertisement the panel should identify how they will assess responses fairly.

A panel should be appointed to evaluate submissions. The panel will include:

- The designated Estates' staff member responsible for the quotation or tender.
- At least one other representative chosen by the Head of Estates Planning and Special Projects, Head of Estate Development, Head of Capital Projects or Head of Estate Operations, as appropriate.
- Procurement Officer or Manager

A designated Estates' staff member will act as Chair throughout the process. Membership of the evaluation panel should remain the same throughout the entire evaluation process, unless exceptional circumstances dictate otherwise.

Each quality submission should be reviewed by at least two panel members, the agreed scores and rationale for each Tenderer should be recorded, and the scores input to the scoring model. A moderation exercise must be carried out with the chair of the evaluation panel acting as moderator. The moderated quality scores should be agreed by panel members and taken forward to the final Quality: Cost evaluation. Based on the resultant scores after combining with the financial assessment, the evaluation panel will recommend which Tenderer should be awarded the contract.

The result of the process should be reported by the evaluation panel to the Estates Tender Review panel for formal approval prior to awarding the contract.

Price as the Determinant Factor

The preferred method of evaluating tenders is MEAT as outlined above, however in certain cases it will be appropriate for evaluation of tenders to be on price only. This basis for evaluation must be clearly stated in the tender documentation.

Computational Errors

Works tenders

Where errors are suspected in the make-up of a tender for a Works contract, these will be examined and adjusted in accordance with the rules set out in JCT Tendering Practice Note 2012 (Alternative 2). The Invitation to Tender must clearly advise that correction of errors will be in accordance with Alternative 2 of the Code of Procedure for single Stage Selective Tendering.

Goods and Services

For Goods and Services contracts, where it is suspected that any Tenderer may have made an error, then the Tenderer should be contacted and asked to check and re-confirm their quotation or tender amount. If it is confirmed that an error has been made, then the Tenderer can be permitted to amend and adjust their tender. It is important that this process is approached with care and any uncertainty should be referred to the Head of Estates Planning and Special Projects or the Procurement office to ensure all tenderers are treated equally, fairly and with transparency in this process.

It is therefore important that the procedure for dealing with errors is accurately reflected in the documents issued at tender stage and records kept as an audit trail of the reason, authority who agreed to any error amendment and signed by the ETRP chair or Director of Estates and (if over 10 amendment) reported to Director and Acting Director of Procurement.

Interviews

If interviews are likely to be required, they should be used to confirm that the Tenderer is capable of fulfilling the contract in the manner proposed in their tender submission.

The inclusion of a possible interview as part of the tender evaluation process must be indicated within the tender documentation and the evaluation criteria should reflect this. If interviews are required, all Tenderers should be invited for interview, to ensure equal treatment and any impact in the overall assessment outcome should be clearly stated and notes taken of attendees, no conflict of interest and how this is handled (e.g removal of panel member), and questions asked, answers and scores given, to ensure evidence of fair and equal treatment for audit.

The choice of questions to be used at interview must be aligned to the evaluation criteria and answers handled consistently.

Approval of Contract Award

The approval procedures for Contract Award differ dependant on the value and type of contract. Apart from procurements under £50,000 the Estates Tender Review Panel will review all tender evaluations and award of contract recommendations and either approve if approval is within delegated authority level or act as a Gateway recommendation to the relevant Committee and Delegated Authorised Signatory. The approval will be sought by way of completing the Template noted in Appendix D.

Standstill Period

The standstill rule provides a mechanism whereby Tenderers can challenge an award decision.

The standstill rule requires a mandatory period of a minimum of 10 calendar days between communicating the award decision to all Tenderers and formally accepting an offer (i.e., confirming the award and thus, proceeding with the purchase). It also requires that the following information be provided to each unsuccessful Tenderer when notifying the award decision:

- The award criteria and weightings
- The name and score of the winning Tenderer
- The score of the unsuccessful Tenderer
- The reasons for the decision, including the characteristics and relative advantages of the successful tender; and
- A precise statement of the standstill period.

This increased level of information is, required to be released under the EU Regulations, and for most tendering exercises negates the requirement for the de-briefing of unsuccessful tenderers as all information relating to the outcome will already have been provided. This means that staff from the Estates Department, who would ordinarily have been involved in de-briefing unsuccessful applicants to OJEU tenders, are no longer required to do so.

It should be noted that the unsuccessful letters which includes the standstill details must not be issued until the Estates Tender Review Panel, the Procurement Office and the relevant University Committee has given approval. The unsuccessful and successful letters will be prepared by the relevant Estates staff and approved by the Procurement office and the Estates Tender Review Panel prior to presenting to the appropriate signatories.

No approaches should be made to the successful Tenderer (no appointment letter, purchase order or start date given) unless the Procurement Office is satisfied that the award can proceed unchallenged and has confirmed that it is acceptable to begin discussions with the successful Tenderer. Any standstill period should be exclusive of University holiday closures.

Contract Award Notice

The Procurement Office will place via the Public Contracts Scotland Portal and in the OJEU, a Contract Award Notice which will contain details of the award of the contract including the successful supplier and the price, or estimated price, to be paid. Estates staff must provide copies of all the successful and unsuccessful letters to the Procurement Office as soon as possible after the date of issue to allow that notice to be prepared.

It should be noted that the Successful and unsuccessful letters must be issued simultaneously.

Purchase Orders

Purchase Orders are, with few exceptions, required to confirm the purchase price and commitment for all Goods, Services and Works. Purchase orders must be raised at the time of appointment after successful standstill period in order to capture the financial commitment at the outset.

Confirmation Purchase Orders are defined as official Purchase Orders which are raised after an appointment or request for goods or services has been communicated to a contractor or supplier e.g. verbally, electronically or by fax, after an invoice has been received. This means that the budget holder has not officially authorised the expenditure of the funds to pay for the purchase and that the commitment has not been recorded at that stage. It also means that the Procurement Office has not approved sourcing of the order or verified that purchasing regulations have been followed and contracts used where appropriate. This practice places the University at considerable risk in terms of the

unapproved commitment of funds. For these reasons, confirmation Purchase Orders, are permitted only in exceptional circumstances, such as emergencies.

It should be noted in any case that there must be no emergency commitments made to any Provider without the approval of the Director of Estates Department.

Emergencies

The required number of quotations or tenders must be invited at all times except in the case of emergencies, for example, the result of fire or storm damage.

All orders of this nature will be accompanied by an Information Note which should be completed by the originator and approved by the relevant Head of Estates Planning and Special Projects, Head of Estate Development, Head of Capital Projects, or Head of Estate Operations retrospectively.

It may require a Non-Competitive Action approval and Contract Award Notice if over threshold. The Director of Procurement should be advised as soon as possible.

Repeat Works and Services

Any Non-Competitive Action request **must** be submitted to the Director of Procurement for approval if this course of action is to be progressed and must be within the legal derogations from competition. The Procurement team will assist with completing the necessary NCA application, which the Director or Acting Director of Procurement approves in principle, a delegated authority (e.g Director of Estates or Estates Committee) is responsible for compliance.

Further Requirement Due to Unforeseen Circumstances

Where the requirement for additional works or services was not foreseen at the time of tendering, the Regulations make provision for a new works or services contract to be entered into, with a previously appointed contractor, without having to advertise the contract or hold a competition, under very limited conditions.

However, the additional works or services must:-

- not have been initially considered in the original contract;
- have become necessary through unforeseen circumstances; and
- fall within one of the following situations:
 - a. The additional works or services cannot, for technical or economic reasons, be carried out separately without “major inconvenience”. For example, where an extension is required to works on an existing site on which a contractor is already present and it would be very impractical and expensive to remove and replace that contractor; or
 - b. Where the additional works or services can be carried out separately but they are “strictly necessary” to the later stages of the original contract. For example, when, prior to completion of a structure, a safety report reveals a need for alterations to the original structure.

The Regulations prevent the placing of such business of a value higher than 50% of the original contract value. This 50% rule applies only to the above and therefore does not cover additional works or services which were foreseen, or seen as a potential requirement, or any reasonable and well informed tender could have expected at the time of the original tender.

Additional Works or Services (where the requirement was foreseen)

Any Non-Competitive Action request **must** be submitted to the Director of Procurement for approval if this course of action is to be progressed and must be within the legal derogations from competition. The Procurement team will assist with completing the necessary NCA application, which the Director or Acting Director of Procurement approves in principle, a delegated authority (e.g Director of Estates or Estates Committee) is responsible for compliance.

If there is any likelihood that additional works or services – similar to those being sought – are likely to be required in the future, the Regulations make provision for a further contract to be entered into, with a previously appointed contractor, without having to advertise the contract or hold a competition. This is, however, only permitted under the following circumstances:-

- the original OJEU Notice stated that repeat works or services may be awarded using the negotiated procedure in accordance with the Public Contracts Regulations;
- the estimated value of the original contract took into account the total value of the expected repeat works or services; and
- the procedure for the award of the new contract is commenced within 3 years of the original contract being entered into.

The Estates Tender Review Panel and the Director of Procurement must approve the use of “Repeat Works and Services” or “Additional Works and Services” criteria noted above for any proposed new contract commitments and may recommend legal advice is sought.

Contract Award Notice

Following award of any additional works or services using on the basis of the above, a further contract award notice is required to be published by the Procurement Office and a standstill period (Voluntary Ex-Ante Transparency) may apply.

Section 11 Step by Step Guidance for Procuring

The following steps are to be followed for all procurement exercises for Capital Projects where we are procuring works or services. Note that depending on their value some steps are not required.

Step No	Action	Action Holder	Approval By	Tick box
Stage 1 (strategy)				
1.	Procurement Strategy (P2) document to be drafted for all forms of procurement	PM /EPM	EDM	
2.	Procurement Strategy document to be formally approved if over £50k	EDM	Estates Tender Review Panel then Procurement Director/ Acting Director	
Stage 2 (PQQ) <i>This stage is only required if the value of works/fees is over £50k (inc VAT)</i>				
3.	PQQ & Project Brief documents to be completed	PM /EPM	EDM	
4.	Place advert on portal	EPM		
5.	PQQ scoring matrix to be compiled and issued to the PM	EPM		
6.	PQQ submissions processed	EPM		
7.	Facilitate PQQ marking	PM		
8.	Scores moderated & data checked via a consensus meeting	PM / EPM	EDM	
9.	Shortlist to be financially checked	PM	Head of Estates Finance	
10.	Shortlist to be approved at department level	EDM	Estates Tender Review Panel	
11.	Shortlist to be approved by Procurement Office via email – to include draft letters.	PM/EPM	Director of Procurement/Acting Director	
12.	Shortlist to be endorsed at senior level for OJEU only	EDM	Project Board	
13.	Successful and unsuccessful feedback letters drafted	PM / EPM	EPM	
14.	Successful and unsuccessful letters issued	Admin Support	EDM	
Stage 3 (ITT)				
15.	Shortlist agreed if no PQQ took place under £50k	PM	Head of Estates Planning/Development/Operations	

Step No	Action	Action Holder	Approval By	Tick box
16.	Shortlist agreed if no PQQ took place over £50k	EDM	Head of Estates Planning/Development/Operations	
17.	Quality Questionnaire & invitation letters drafted	PM / EPM	EDM	
18.	Construction Contract Tender documents issued (Main Contract only)	QS / PM	PM/EDM	
19.	ITT Scoring Matrix to be completed and issued to the PM	EPM		
Stage 4 (Evaluation)				
20.	Tender return & opening ceremony to be facilitated	PM		
21.	Quality Questionnaires to be marked and scores moderated via a consensus meeting.	PM / EPM	EDM	
22.	Facilitate interviews (if applicable)	PM		
23.	QS tender assessment & report to be completed (Main Contract only)	PM	EDM	
24.	Full marking matrix documents to be completed	PM / EPM	EDM	
25.	UoE Tender Report to be completed	PM / EPM	EDM	
26.	Procurement ITT Tender Recommendation Report to be compiled which will include draft success/unsuccessful letters.	PM/EPM	Acting Director of Procurement	
27.	Unsuccessful letters with feedback to be completed	PM / EPM	PM	
28.	Award letter to be completed	PM / EPM	PM	
Stage 5 (Award up to £50k)				
29.	<ul style="list-style-type: none"> • QS Tender Report to be approved • Marking matrix to be approved • Unsuccessful letters to be approved • Award letter to be approved • UoE Tender Report to be approved 	PM	EDM	
30.	Award letter to be signed	Admin Support	EDM	
31.	T drive filing to be checked to ensure only final documentation is in view	PM / Admin Support		

Step No	Action	Action Holder	Approval By	Tick box
Stage 5 (Award up to £500k)				
32.	<ul style="list-style-type: none"> • QS Tender report to be approved • Marking matrix to be approved • Unsuccessful letters to be approved • Award letter to be approved • UoE Tender Report to be approved 	EDM	Head of Development / Operations /Estates Planning	
33.	UoE Tender Report to be approved	EDM	Estates Tender Review Panel	
34.	Award letter to be signed	Admin Support	Head of Development/Operation/Estates Planning	
35.	T drive filing to be checked to ensure only final documentation is in view	PM / Admin Support		
Stage 5 (Award over £500k)				
36.	<ul style="list-style-type: none"> • QS Tender report to be approved • Marking matrix to be approved • Unsuccessful letters to be approved • Award letter to be approved • UoE Tender Report to be approved 	EDM	Head of Development/Operations/Estates Planning	
37.	UoE Tender Report to be approved	EDM	Estates Tender Review Panel	
38.	Endorsement of recommendation	EDM	Project Board	
39.	Endorsement of recommendation	EDM	EC or Sub EC	
40.	Award letters to be signed in accordance with Delegated Authority Signatories	Admin Support	DAS	
41.	T drive filing to be checked to ensure only final documentation is in view	PM / Admin Support		

Section 12 General Templates

The following templates are for general use for all values of procurement exercises.

- P1 Procurement Strategy
- P2 Tender Opening Form
- P3 Tender Report
- P4 NCA Proposal to Director of Procurement

Section 13 £1k to £5k

The following templates are to be used for works or services between £1k and £5k inclusive of VAT. Note that the names of the 3rd party must be agreed by the budget holder and at least 3 companies must be sought.

- P5 Invitation to Quote Letter
- P6 Awarding a Quote Letter
- P7 Unsuccessful Quote Letter

Design Team

- P8 DT ITT Questionnaire (Feasibility)
- P9 DT ITT Questionnaire (Main Project)
- P10 DT Invitation to Tender Letter (Feasibility)
- P11 DT Invitation to Tender Letter (Main Project)
- P12 DT ITT Marking
- P13 DT Unsuccessful Letter
- P14 DT Award Letter

Quantity Surveyor

- P15 QS ITT Questionnaire (Feasibility)
- P16 QS ITT Questionnaire (Main Project)
- P17 QS Invitation to Tender Letter (Feasibility)
- P18 QS Invitation to Tender Letter (Main Project)
- P19 QS ITT Marking
- P20 QS Unsuccessful Letter
- P21 QS Award Letter

Other Consultants

- P22 OC ITT Questionnaire
- P23 OC Invitation to Tender Letter
- P24 OC ITT Marking
- P25 OC Unsuccessful Letter
- P26 OC Award Letter

Main Contractor/Works (using Measured Term Contract)

- P27 MTC Request for Quote Letter

Main Contractor/Works (not using Measured Term Contract)

- P28 MC ITT Questionnaire
- P29 MC Invitation to Tender Letter
- P30 MC ITT marking
- P31 MC Unsuccessful Letter
- P32 MC Award Letter

Design Team

- P33 DT PQQ Questionnaire
- P34 DT PQQ Marking
- P35 DT PQQ Unsuccessful Letter
- P36 DT ITT Letter
- P37 DT ITT Questionnaire
- P38 DT Terms & Conditions
- P39 DT ITT Marking
- P40 DT ITT Unsuccessful Letter
- P41 DT Award Letter

Quantity Surveyor

- P42 QS ITT Questionnaire
- P43 QS ITT Letter
- P44 QS ITT Marking
- P45 QS ITT Unsuccessful Letter
- P46 QS Award Letter

Other Consultants

- P47 OC PQQ Questionnaire
- P48 OC PQQ Marking
- P49 OC PQQ Unsuccessful Letter
- P50 OC ITT Letter
- P51 OC ITT Questionnaire
- P52 OC Terms & Conditions
- P53 OC ITT Marking
- P54 OC ITT Unsuccessful Letter
- P55 OC Award Letter

Main Contractor/Works (over £50k up to £1m framework)

- P56 MC ITT Letter (Price Only)
- P57 MC Terms & Conditions
- P58 MC ITT Unsuccessful Letter
- P59 MC Award Letter

Main Contractor/Works (over £1m up to OJEU)

- P60 MC PQQ (Non OJEU)
- P61 MC PQQ Marking (Non OJEU)
- P62 MC PQQ Unsuccessful Letter (Non OJEU)
- P63 MC ITT Questionnaire (Non OJEU)
- P64 MC ITT Letter (Non OJEU)
- P65 MC Terms & Conditions (Non OJEU)
- P66 MC ITT Marking (Non OJEU)
- P67 MC ITT Unsuccessful Letter (Non OJEU)
- P68 MC Award Letter (Non OJEU)

Section 16 Above OJEU thresholds

Design Team

- P69 DT PQQ Questionnaire (OJEU & Non OJEU above £50K)
- P70 DT PQQ Questionnaire Covering Note (OJEU & Non OJEU above £50K)
- P71 DT PQQ Marking (OJEU & Non OJEU above £50K)
- P72 DT PQQ Unsuccessful Letter (OJEU & Non OJEU above £50K)
- P73 DT ITT Letter (OJEU & Non OJEU above £50K)
- P74 DT ITT Questionnaire (OJEU & Non OJEU above £50K)
- P75 DT Terms & Conditions (OJEU & Non OJEU above £50K)
- P76 DT ITT Marking (OJEU & Non OJEU above £50K)
- P77 DT Interview Sheets (OJEU & Non OJEU above £50K)
- P78 DT ITT Unsuccessful Letter (OJEU & Non OJEU above £50K)
- P79 DT Award Letter (OJEU & Non OJEU above £50K)

Quantity Surveyor

- P80 QS PQQ Questionnaire (OJEU & Non OJEU above £50K)
- P81 QS PQQ Marking (OJEU & Non OJEU above £50K)
- P82 QS PQQ Unsuccessful Letter (OJEU & Non OJEU above £50K)
- P83 QS ITT Letter (OJEU & Non OJEU above £50K)
- P84 QS ITT Questionnaire (OJEU & Non OJEU above £50K)
- P85 QS Appointment of Agreement (T23j & T23m) (OJEU & Non OJEU above £50K)
- P86 QS ITT Marking (OJEU & Non OJEU above £50K)
- P87 QS ITT Unsuccessful Letter (OJEU & Non OJEU above £50K)
- P88 QS Award Letter (OJEU & Non OJEU above £50K)

Main Contractor/Works

- P89 MC PQQ Questionnaire (OJEU & Non OJEU above £50K)
- P90 MC PQQ Marking (OJEU & Non OJEU above £50K)
- P91 MC PQQ Unsuccessful Letter (OJEU & Non OJEU above £50K)
- P92 MC ITT Letter (OJEU & Non OJEU above £50K)
- P93 MC ITT Questionnaire (OJEU & Non OJEU above £50K)
- P94 MC ITT Marking (OJEU & Non OJEU above £50K)
- P95 MC ITT Unsuccessful Letter (OJEU & Non OJEU above £50K) – (must include standstill)
- P96 MC ITT Award Letter (OJEU & Non OJEU above £50K) – (must include standstill)

APPENDIX A List of Part A Services and Activities Constituting Works

The kind of services which may need to be procured by Estates Department are listed below and are different from works (also detailed below).

The law currently has two types of services Part A (for which full procedures apply) and Part B for which simpler rules apply.

PART A

- Maintenance and repair of vehicles and equipment
- Transport by land, including armoured car services and courier services but not including transport of mail and transport by rail
- Transport by air but not transport of mail
- Transport of mail by land, other than by rail, and by air
- Telecommunications services
- Financial services:
- Insurance services
- Banking and investment services other than financial services in connection with the issue, sale, purchase or transfer of securities or other financial instruments and central bank services
- Computer and related services
- Research and development services where the benefits accrue exclusively to the contracting authority for its use in the conduct of its own affairs and the services are to be wholly paid for by the contracting authority
- Accounting, auditing and book-keeping services
- Market research and public opinion polling services
- Management consultancy services and related services, but not arbitration and conciliation services
- Architectural services: engineering services and integrated engineering services: urban planning and landscape architectural services: related scientific and technical consulting services: technical testing and analysis services
- Advertising services
- Building-cleaning services and property management services
- Publishing and printing services on a fee or contract basis
- Sewerage and refuse disposal service: sanitation and similar services

Part B

- Hotel and restaurant services
- Transport by rail
- Transport by water
- Supporting and auxiliary transport services
- Legal services
- Personnel placement and supply services
- Investigation and security services, other than armoured car services
- Education and vocational health services
- Health and social services
- Recreational, cultural and sporting services
- Other services

Categories of activities constituting works:

- Construction
 - Construction of new buildings and works, restoring and common repairs
- Demolition and wrecking of buildings; earth moving
 - Demolition of buildings and other structures
 - Clearing of building sites
 - Earth moving; excavation, landfill, levelling and grading of construction sites, trench digging, rock removal, blasting, etc.
 - Site preparation for mining: overburden removal and other development and preparation of mineral properties and sites
 - Building site drainage

- Drainage of agricultural or forestry land
 - Test drilling and boring
 - Test drilling, test boring and core sampling for construction, geophysical, geological or similar purposes
- Building of complete constructions or parts thereof; civil engineering
- General construction of buildings and civil engineering works
 - Construction of all types of buildings
 - Construction of civil engineering constructions
 - Bridges, including those for elevated highways, viaducts, tunnels and subways
 - Long-distance pipelines, communication and power lines
 - Urban pipelines, urban communication and power lines
 - Ancillary urban works
 - Assembly and erection of prefabricated constructions on the site
 - Erection of roof covering and frames
 - Erection of roofs
 - Roof covering
 - Waterproofing
 - Construction of highways, roads, airfields and sport facilities
 - Construction of highways, streets, roads, other vehicular and pedestrian ways
 - Construction of railways
 - Construction of airfield runways
 - Construction work, other than buildings, for stadiums, swimming pools, gymnasiums, tennis courts, golf courses and other sports installations
 - Paintings of markings on road surfaces and car parks
 - Construction of water projects
 - Construction of waterways, harbour and river works, pleasure ports (marinas), locks, etc. dams and dykes dredging
 - subsurface work
 - Other construction work involving special trades
 - Construction activities specialising in one aspect common to different kinds of structures, requiring specialised skill or equipment
 - Construction of foundations, including pile driving
 - Water well drilling and construction, shaft sinking
 - Erection of non-self-manufactured steel elements
 - Steel bending
 - Bricklaying and stone setting
 - Scaffolds and work platform erecting and dismantling, including renting of scaffolds and work platforms;
 - Erection of chimneys and industrial ovens
- Building installation
- Installation of electrical wiring and fittings
 - Installation in buildings or other construction projects of:
 - electrical wiring and fittings
 - telecommunications systems
 - electrical heating systems
 - residential antennas and aerials
 - fire alarms
 - burglar alarm systems
 - lifts and escalators
 - lightning conductors, etc.
 - Insulation work activities
 - Installation in buildings or other construction projects of thermal, sound or vibration insulation

- Plumbing
 - Installation in buildings or other construction projects of:
 - plumbing and sanitary equipment
 - gas fittings
 - heating, ventilation, refrigeration or air conditioning equipment and ducts
 - sprinkler systems
- Other building installation
 - Installation of illumination and signalling systems for roads, railways, airports and harbours
 - Installation in buildings or other construction projects of fittings and fixtures

Building completion

- Plastering
 - Application in buildings or other construction projects of interior and exterior plaster or stucco, including related lathing materials
- Joinery installation
 - Installation of non self-manufactured doors, windows, door and window frames, fitted kitchens, staircases, shop fittings and the like, of wood or other materials
 - Interior completion such as ceilings, wooden wall coverings, movable partitions, etc.
- Floor and wall covering
 - Laying, tiling, hanging or fitting in buildings or other construction projects of:
 - ceramic, concrete or cut stone wall or floor tiles
 - parquet and other wood floor coverings
 - carpets and linoleum floor coverings
 - carpets and linoleum floor coverings, including of rubber or plastic
 - terrazzo, marble, granite or slate floor or wall coverings
 - wallpaper
- Painting and glazing
 - Interior and exterior painting of buildings
 - Painting of civil engineering structures
 - Installation of glass, mirrors etc.
- Other building completion
 - Installation of private swimming pools
 - steam cleaning, sand blasting and similar activities for building exteriors
 - Other building completion and finishing work

APPENDIX B Frameworks Available for Use in Estates Category - (for others see Buy@Ed)

Please consult with the procurement team for guidance on the utilisation of the frameworks

Project Reference	Framework period	Suppliers	
EC/0564 Asbestos Analytical Services Ranked framework – 3 suppliers	01/02/13 until 31/01/16 with a further on year option to extend (note we will not be taking up the extension option)	1 st = Redhill 2 ND = IOM Consulting 3 rd = Shield On site Services	1
EC/0492/Electrical Small Works 4 suppliers	01/11/11 – 31/10/15 but we have had to give a further extension until the 31/03/16 as we have not yet awarded the new framework.	CTS, J G Mackintosh McKay Sturrock Power	2
EC/0491/Design, Supply and Installation of Scaffolding 3 suppliers	14/03/12 – 14/03/16	Action scaffolding JR Scaffolding Zenith Property	3
EC/0553/Window Cleaning 3 suppliers	11/07/12 – 10/07/16	Pristine clean Hawkman Services Creig Avinou	4
EC/0554/ Framework for Mechanical Small Works (two lots) 2 suppliers	01/08/13 – 31/07/16 with a further one year extension option	Lot 1 – Arthur McKay Lot 2 – CHC Group	5
EC/0584/Decoration and Painting Works 4 suppliers	01/05/14 – 31/04/17 with a further one year extension option	J S McColl Dobie & Son MacKay Gws Decorators	6
EC/0600/ Asbestos Removal Framework (value £60k - £1million) 6 suppliers	01/06/14 – 30/08/17 with a further one year extension option	Chamic Northern Asbestos Forest Environmental Reactive Integrated Services Reigart Rhodar	7
EC/0653/ Asbestos Removal & Remedial Works up to £60k Ranked framework – 3 suppliers	01/06/15 – 31/05/17 with a further 2 x one year extension option	1 st = Rhodar 2 nd = Chamic 3 RD = Reigart	8
EC/0604/ Supply and Installation of Flooring Two lots – two suppliers	01/11/14- 31/10/17 with a further one year option	Lot 1 – Vietchi Lot 2 – Morris & Spottiswood	9
EC/0468/Legal Services for Property Transactions 2 suppliers	24/10/11 – 23/10/15 but extended until the 31/05/16 as currently out to tender juts now	Lindsay's Shepherd & Wedderburn	10

APUC plus other consortia Frameworks which we have adopted as at the 01/12/15 there are 14:

Project Reference	Framework period	Suppliers	
BA MAI008 – Electrical Sundries Ranked Framework = 3 suppliers	25/03/15 – 24/03/16 with a further one year extension	1 ST = Rexel Uk 2 nd = Holland House Electrical 3 rd = Edmundson Electrical	1

<p>EFM 1001 AP Plumbing Sundries & Heating Products Ranked Framework</p> <p>Lot 1 plumbing consumables = 3 suppliers</p> <p>Lot 2 commercial and heating products = 3 suppliers</p>	<p>10/10/14 – 09/10/16 with a further 2 x one year extension option</p>	<p>Lot 1 plumbing consumables 1st William Wilson 2nd Wolsley 3rd Jewson</p> <p>Lot 2 Commercial heating products 1st William Wilson 2nd Jewson 3rd Wolsley</p>	2
<p>BO-FFE 008 White Goods 2 suppliers</p>	<p>01/09/11 – 31/08/16* period has been extended as currently out to tender just now</p>	<p>Direct award Stearn Peelmount</p>	3
<p>EFM 1002 AP- Ironmongery and Trade Tools 3 suppliers</p>	<p>3/3/2014 to 16/2/2016 plus 2 x 12 month extensions</p>	<p>Direct award White Milne & Co. Ltd George Boyd D F Wishart & Co. Ltd</p>	4
<p>BA-EF007 – Door Maintenance, Repair and Inspection 3 suppliers</p>	<p>06/02/12 to 05/02/2016* *Will be extended to April 2016 to accommodate new tender exercise</p>	<p>Geographic lot – East of Scotland: Lot 1A Suppliers</p> <ol style="list-style-type: none"> 1. Geze UK Ranked 1 2. Tormax Ranked 2 3. Connect AD Ranked 3 <ul style="list-style-type: none"> • Ranked process is only for the Reactive Maintenance element • Planned Maintenance is via mini-competition 	5
<p>EFM 1019 Timber Products Ranked framework = 3 suppliers</p>	<p>23/3/2015 to 22/3/2017 plus 2 x 12 month extensions</p>	<p>Geographic Lots – East of Scotland Ranked 1st Jewson 2nd MGM Timber 3rd St Andrews Timber & Building</p>	6
<p>EFM 1014 Lift Maintenance Lot 4 – six suppliers</p>	<p>03/11/14 – 02/11/17 with a one year extension option</p>	<p>Classic Lifts Clyde Valley Kone Orona Scotec Thyssen</p> <p>Via a mini tender we have appointed two suppliers i.e. Clyde Valley and Orona</p>	7
<p>EFM 1000 AP Quantity Surveying Lot 1c = seven suppliers (value up to £500k)</p> <p>Lot 2c = seven suppliers (value £501k - £2m)</p> <p>Lot 3 = five suppliers (value £2-£10m)</p>	<p>02/06/14 – 01/06/17 with a one year extension option</p>	<p>Lot 1 c: Sweett Group Thomson Bethune Thomson Gray Doig & Smith Turner & Townsend David Adamson & Partner Ltd Mott McDonald</p> <p>Lot 2c:</p>	8

<p>Lot 4 = five suppliers (value over £10million)</p>		<p>Sweett Group Thomson Bethune Thomson Gray Doig & Smith ePPS Consulting LLP Turner & Townsend David Adamson & Partner Ltd</p> <p>Lot 3: Sweett Group Thomson Bethune Doig & Smith Thomson Gray ePPS Consulting LLP</p> <p>Lot 4: Sweett Group Thomson Bethune Doig & Smith Hardies Property & Construction Consultants KLM Partnership</p> <p>Note: As and when required we mini tender as per the applicable Lot</p>	
<p>MAI 1010AP - Salt for Winter Maintenance – Direct award Lot 3 Bagged salt Lot 6 equipment and accessories Supplier for both lots is Bunzl</p>		<p>Lot 3 the supplier is Bunzyl Ltd</p> <p>Lot 6 the supplier is Bunzl</p>	<p>9</p>
<p>FFE1004- AP Furniture Two Lots</p> <p>Lot 1 Workplace, Teaching and Library – six suppliers</p> <p>Lot 2 Residential furniture – six suppliers</p>	<p>23/10/14 – 30/11/16</p>	<p>For both lots a mini tender is required to be actioned as and when required</p> <p>Lot 1 suppliers: Azzurro City Building (Contracts) LLP Godfrey Syrett HCS Group J T Ellis Wagstaff Interiors Group</p> <p>Lot 2 suppliers: AFH Alpha Office Azzurro Claremont Office Godfrey Syrett HCS Group</p>	<p>10</p>
<p>BA-PFB014 Moving and Storage Services incl storage</p> <p>Lot 4 –Edinburgh Lothians & Borders</p> <p>Subdivided into two sub-lots</p>	<p>16/05/12 – 15/05/16</p>	<p>Clockworks Removals</p>	<p>11</p>

Churn Work – direct award – one supplier Larger scale projects three suppliers		Mini tender is required to be actioned as and when required Clockwork Removals Doree Bonnar Pickfords	
Cleaning Materials JAN1001AP Ranked Framework 3 suppliers	10/03/14 – 09/03/16 with a further 2 x 1 year extension option	1st ranked – Bunzl 2 nd ranked - Instock 3 rd ranked – Unico Ltd	12
PPE, Clothing and First Aid Kits BO-JAN014 – Ten lots numerous suppliers per lot: Lot 1 Footwear Lot 2 First Aid Kits and Accessories Lot 3 Hazard Protective Clothing Lot 4 Safety Gloves Lot 5 Personal Protection Lot 6 Corporate Wear Lot 7 Sports Clothing Lot 8 Industry Clothing Lot 9 Personalised Clothing Lot 10 Medical Clothing	08/08/11 – 07/12/15	Direct award for each lot in the event the prices are detailed with the basket of goods which have been priced and or mini tender required for each lot. Lot 1 suppliers: Arden Winch BOC Arco Parker Merchating Uniformity Clothing Lot 2 suppliers: Arden Winch Trinity Workwear Arco Parker Mechanting Aero Healthcare Lewis Medical Suppliers Lot 3 suppliers: Alexandra Arden Winch E&E Workwear John Astley & Sons Trinity Workwear Arco Uniformity Clothing Bunzl Greenham Lot 4 suppliers: Arden Winch John Astley & Sons Trinity Workwear Arco Lot 5 suppliers: Arden Winch John Astley & Sons Arco Parker Merchating Bunzl Greenham Lot 6 suppliers: Alexandra plc	13

		<p>Arden Winch BOC Trinity Workwear Arco Parker Merchating</p> <p>Lot 7 suppliers: Arden Winch Uniformity Clothing Speed One Sports</p> <p>Lot 8 suppliers: Alexandra plc Arden Winch E&E Workwear Trinity Workwear</p> <p>Lot 9 suppliers: Arden Winch Trinity Workwear Arco Uniformity Clothing Hardedge Ltd Thomas Owen</p> <p>Lot 10 suppliers: Alexandra plc Arden Winch BOC E&E Workwear John Astley & Sons Trinity Workwear</p>	
<p>Temporary Agency Staffing Seven lots numerous suppliers per lot Lot 1 – Admin & Clerical Roles Lot 2 – Ancillary Roles Lot 3 – Corporate Function Staff Lot 4 – IT Function staff Lot 5 – Master Vendor System Lot 6 – Neutral Vendor System Lot 7 – Talent Bank System</p>	<p>09/03/15 – 08/03/18 with a further one year extension</p>	<p>Direct award for each lot in the event the hourly rates are as detailed with the Buyers guide and or mini tender required for each lot.</p> <p>Lot 1 suppliers: Blue Arrow Addecco Brook Street Manpower Search Consulting Hays Pertemps Reed</p> <p>Lot 2 suppliers: Blue Arrow Adecco Manpower Pertemps Reed</p> <p>Lot 3 suppliers: Adecco Manpower Hays</p>	<p>14</p>

		<p>Pertemps Reed Steric Group Kate + Co Allen Lane</p> <p>Lot 4 suppliers: Adecco Hays Reed Steric Group Certes LA International Experis Abatec</p> <p>Lot 5 suppliers: Adecco Hays Steric Group Manpower</p> <p>Lot 6 suppliers: Steric Group De Poel Infinity Recruitment</p> <p>Lot 7 suppliers: Adecco Hays Keystone Employment</p>	
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APPENDIX C

APPROVAL PRO FORMA: SEEKING APPROVAL OF SHORTLIST FOR CONSULTANTS/ CONTRACTORS /SUPPLIERS

**Estates Department
University of Edinburgh**

To Estates Tender Review Panel

From

Project

Date

Template for Memorandum to the Estates Tender Review Panel seeking approval to proceed with selection of :

***Delete as appropriate**

***<Project Title>- Selection of ITT Shortlist for Consultant / Contractor / Suppliers**

Paragraph 1 – Background. Source and extent of funding and estimated cost.

Paragraph 2 – Whether above or below threshold

Paragraph 3 – List firms to be invited as a result of the shortlisting process. Provide the scoring matrix as an attachment.

Paragraph 4 – Statement on programme and urgency of approval.

Paragraph 5 – Highlight any other approvals required prior to progressing to ITT stage

Signed by

Head of Estates Development/ Head of Capital Projects/ Head of Estates Planning and Special Projects/ Head of Estates Operations

Approved by Estates Tender Review Panel

Signature: _____ Date: _____

Comments:

Approved by Head of Estates Finance

Signature: _____ Date: _____

Comments:

Return to signatory for action and reporting.

Signatory is to ensure that any subsequent approvals required from the Project Board or other Committees are obtained prior to progressing to ITT stage

APPENDIX D

APPROVAL PRO FORMA: SEEKING APPROVAL OF CONTRACT AWARD

Estates Department
University of Edinburgh

To Estates Tender Review Panel

From

Project

Date

Template for Memorandum to the Estates Tender Review Panel seeking approval of Contract Award of:

**Delete as Appropriate*

***<Project Title>- Appointment of Consultant / Contractor/ Supplier**

Paragraph 1 – Background. Source and extent of funding and estimated cost.

Paragraph 2 – Detail any reference to previous approvals by the Estates Tender Review Panel/ Estates Committee/ University Court

Paragraph 3 – Quality and financial evaluation. Include the scoring matrix as an attachment.

Rank	Firm	Tender Amount	Cost Score	Quality Score	Final Score Cost/Quality

Paragraph 4 - Statement regarding how this compares anticipated tender or Pre tender estimate.

Paragraph 5 - Statement on programme and urgency of approval.

Paragraph 6 - Highlight any other approvals required prior to progressing to Contract Award.

Paragraph 7 – Paragraph on successful and unsuccessful letters. These should be attached and include the de brief information for review and approval

Signed by

Head of Estates Development/ Head of Capital Projects/ Head of Estates Planning and Special Projects/ Head of Estates Operations

Approved by Estates Tender Review Panel

Signature: _____ Date: _____

Comments:

Approved by Head of Estates Finance

Signature: _____ Date: _____

Comments:

Return to signatory for action and reporting.

Signatory is to ensure that any subsequent approvals required from the Project Board, Estates Committee or University Court are obtained prior to formalising Contract Award and signing in accordance with DAS.

