



ROYAL COLLEGE OF SURGEONS IN IRELAND

PROCUREMENT POLICY

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Policy Document

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Royal College of Surgeons in Ireland Procurement Policy

<p>Introduction</p>	<p>RCSI aims to apply the best practice in all procurement activities. RCSI is not a public body under public procurement rules; however where public funding is received in relation to specific research or capital projects, public procurement would apply.</p>																	
<p>Purpose of this Policy</p>	<p>To ensure that the procurement of all goods and services is conducted in an ethical, honest, competitive, fair and transparent manner that delivers the most economically advantageous terms whilst at the same time protecting the reputation of RCSI, taking into account the required specification, quality, service, delivery, reliability, environmental and social issues and the total cost of ownership.</p>																	
<p>Scope</p>	<p>All RCSI expenditure regardless of funding source, including the following types of commitments:</p> <ul style="list-style-type: none"> • Letters of intent • Heads of agreement • Memorandum of understanding • Purchase orders • Oral commitments □ Formal contracts <p>Applies to All RCSI campuses and staff except Joint-Venture and Licensed Campus.</p>																	
<p>Policy Statement</p>	<p>Strategic procurement requires accountability for the spending of College funds which is justified, planned and transparent. Goods and services procured must be 'fit for purpose' and represent value for money while being socially responsible and ensuring probity in the procurement process.</p>																	
<p>Procurement Group & Representatives</p>	<p>The procurement group with representatives from main business activities will:-</p> <ul style="list-style-type: none"> • Review and update this procurement policy annually • Update and review schedule of significant value contract evaluations • Agree standard scoring template to be used by all tender evaluation panels • Agree standard quorum for tender evaluation panels (appendix 2) • Review compliance levels to policy 																	
<p>General Threshold values*</p>	<p>Procurement group representatives will ensure in that in their own business area that:-</p> <ul style="list-style-type: none"> • Policy is adhered to for all procurement • Ensure all bidders are treated equally • Ensure Process is proportionate or reasonable having regard to what is being procured. 																	
<p>*Please note additional requirements for publicly funded purchases below</p>	<table border="1"> <thead> <tr> <th>Type of Purchase</th> <th>Contract Threshold</th> <th>Requirements</th> </tr> </thead> <tbody> <tr> <td>Everyday</td> <td>€0 - €1,000</td> <td>No Quote required</td> </tr> <tr> <td>Simple</td> <td>€1,001 - €6,000</td> <td>3 Verbal quotes</td> </tr> <tr> <td>3 Quote Threshold 2</td> <td>€6,001 - €49,999</td> <td>3 Written Quotes</td> </tr> <tr> <td>Tender Threshold</td> <td>€50,000 +</td> <td>Tender Evaluation Panel</td> </tr> </tbody> </table>	Type of Purchase	Contract Threshold	Requirements	Everyday	€0 - €1,000	No Quote required	Simple	€1,001 - €6,000	3 Verbal quotes	3 Quote Threshold 2	€6,001 - €49,999	3 Written Quotes	Tender Threshold	€50,000 +	Tender Evaluation Panel		
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	<p>Projects involving multiple streams and high values such as a new Building will require formal sign off by SMT before any procurement can commence.</p> <p>The threshold values are to be applied on the anticipated total contract expenditure, including any servicing or add on costs and should be inclusive of VAT.</p>																	

<p>Publicly Funded projects/ Research grants</p>	<p>NB Publicly funded projects and research grants may have specific conditions attached which require adherence to the public procurement guidelines outlined below:</p> <p>The Office of Research and Innovation must be consulted on all contracts/ purchases over €50,000 (excluding VAT) as these must be advertised on the e-tenders website. Where the cost is between €25,000- €50,000 the successful tenderer is announced on the e-tenders website.</p> <p><i>Contracts less than €5,000 can be awarded on the basis of verbal or written quotes from one or more competitive supplier. Contracts between €5,000 and €50,000 can be awarded on the basis of responses to written specifications (for example, sent by email) to at least three suppliers or service providers, responses to at least three quotations sought via the electronic request for quotes facility on eTenders or can be advertised on eTenders as part of a more formal tendering process.</i></p> <p>All purchases exceeding the EU Public Procurement Directive Thresholds, currently €215,000 (excluding VAT) for goods and service, shall be advertised in the Official Journal of the European Community (OJEC). These advertisements and related communications will be managed through The Office of Research and Innovation which must be involved from the outset of the project.</p> <p>Purchases from all suppliers must be covered by an official RCSI purchase order unless direct invoice procedures are in place. All new suppliers are provided with documentation to advise invoices forwarded to RCSI will not be processed without a valid Purchase Order.</p> <p>AP users will contact suppliers directly to liaise with their RCSI contact (the purchaser) where a PO is not available on receipt of an invoice to ensure a PO is raised retrospectively.</p> <p>Accounts Payable will endeavour to discharge payments of all invoices where possible within the supplier's credit terms.</p>
<p>Policy</p>	<p>Approved Suppliers who have an agreement with the College to supply goods and/or services at agreed terms must be used. The appointment of Approved Suppliers is to be undertaken as a result of competitive process in accordance with the threshold values established in this policy. Any apparent material breach of this policy may be reported to Internal Audit Committee. The maximum term for the appointment of an Approved Supplier should not exceed 5 years and will be typically for periods shorter than this.</p> <p>For purchase of goods or services from non-approved Suppliers less than the 3 Quote Thresholds, a documented quote must be received from at least one supplier and stored locally. Where 3 Verbal quotes have been received a written record should be retained of the suppliers and the quotes provided. Appendix 8 sets out a template to be used to record the quotes. This should be attached to a Purchase Order Requisition as evidence of compliance to the policy.</p> <p>For the purchase of goods and/or services from non-Approved Suppliers in excess of the Tender Threshold Value a formal tender process must be conducted by a properly constituted Tender Evaluation Panel.</p> <p>Occasionally there will be a need to enter into direct negotiations with a particular supplier without seeking competitive quotes or tenders from the market. This is different to a situation where quotes or tenders are sought through a competitive process but only one quote or tender is received. Direct negotiations relate specifically to situations where no quote or tender process is undertaken.</p> <p>Typically this can occur:</p>

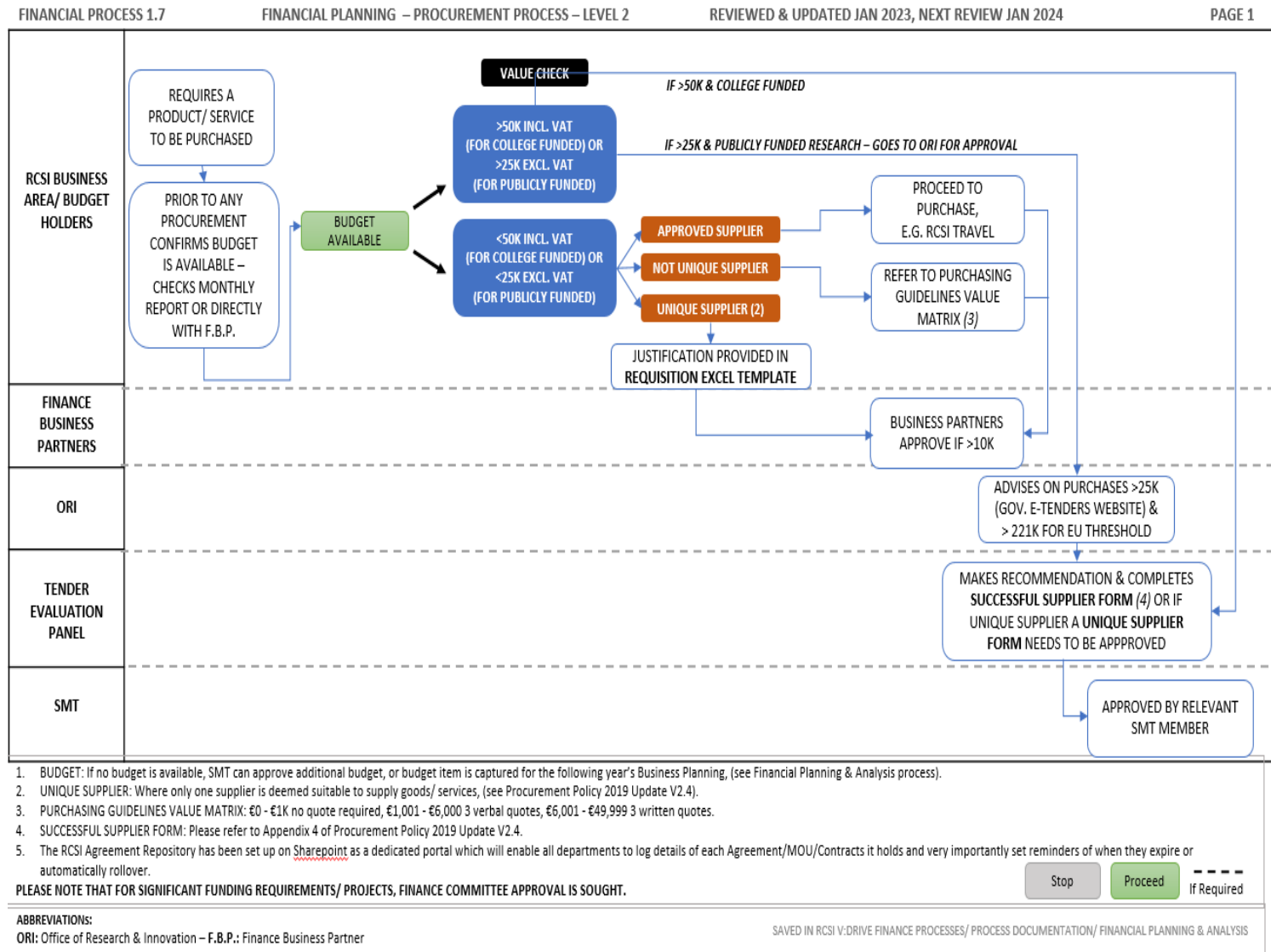
	<ul style="list-style-type: none"> a. where there is only one available supplier for the goods and/or services b. where there is an ongoing or associated project and there is a compelling case to continue with a particular supplier c. where there is a legitimate reason to renew or rollover a contract d. In cases of emergency. (e.g. Flood or Fire Damage) e. Familiarity with supplier capability f. Extenuating circumstances or time constraints g. Professional Fees of confidential and sensitive nature <p>Direct negotiations involve significant risk and it is essential that proper process is followed and that a unique or incumbent supplier is not unfairly or improperly advantaged.</p> <p>Formal approval in writing to enter into direct negotiations with a supplier must be sought from the relevant member of Senior Management in advance. Applications for this approval must be able to provide tangible and objective evidence of sole supplier status, or emergency, or good performance in the case of incumbent suppliers. Once negotiations are completed the Unique Supplier template (appendix 6) must be completed subject to value limits outlined in the Threshold table.</p> <p>Travel costs must be routed via RCSI Travel Ltd, a 100% owned subsidiary of the College and quotations from other travel agents are not required.</p>
Travel Bookings	
Ethical Purchasing Guidelines	<p>It is very important that procurement is discharged with probity, transparency and accountability in a manner that secures the most economically advantageous terms (MEAT) for the College.</p>
Probity	<p>In the context of procurement, the aim should be that individuals are trusted and respected by those with whom they deal and that business is conducted by all parties in a fair and reasonable manner. Some of the practical implications of ensuring probity in procurement are set out below</p>
Legality	<p>To ensure all transactions are conducted in accordance with the laws and taxes of the country in which they take place.</p>
Disclosure of Interest	<p>All members of a Tender Evaluation panel must sign in advance a Declaration of no conflict (appendix 3) to confirm that they have no personal interest which may impinge, or might reasonably be deemed by others to impinge, on their impartiality in a decision to purchase from or recommend any of the suppliers being evaluated.</p>
Gifts	<p>College representatives should not accept benefits of any kind from a third party which might reasonably be seen to compromise their personal judgement or integrity.</p>

Appendices:

- Appendix 1** Procurement Process map
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Note E Copies of templates available on Finance area of Staff Portal

Appendix 1. Procurement Process Map



Appendix 2 Tender Evaluation Panel Quorum

RCSI Procurement			
Tender Evaluation Panel (TEP) Quorum			
Guidelines:-			
Panels must always include a representative from Finance			
Panels must always include a representative independent of the business area (can be the Finance rep)			
Suggested minimum and maximum as below. For larger contracts, more specialists may be required			
		Minimum Required	Suggested Maximum *
Business Area	Business area with primary responsibility for procurement of Goods or Services	2	4
Finance	Mandatory :- Minimum 1 Finance representative on TEPs for procurement > €50K or €25K (if Public funded)	1	2
Internal Stakeholders	Representatives from other Business areas who may interact with Product/Service being procured	0	3
External Advisors	Where highly specialised or technical goods/services being procured	0	4
Total Panel	Mandatory minimum and suggested Maximum	3	6
<p>* To ensure an efficient process, it is recommended that TEPs should not exceed 6 panel members. Not every stakeholder is required, but can be consulted for any input prior to the request for tender being issued. For some larger projects, the TEP may need to be larger than the suggested maximum</p>			

Appendix 3 Declaration of No conflict of interest and confidentiality




RCSI Procurement

Declaration of No conflict of Interest Form

Please complete in **BLOCK CAPITALS**

Please complete in BLOCK CAPITALS	
1	Name:
2	Department/ External company
3	Title of Position held:
4	Tender Project:
5	Suppliers being Evaluated: A B C D E F
6	Declaration: (to be signed in advance of any documentation being circulated) I the undersigned declare that to the best of my knowledge I know not of any conflict of interest in my position as a member of this RCSI Tender evaluation panel and that neither myself, or any close family relation is employed in or holds an interest in any of the companies listed above being evaluated for this tender. Furthermore I undertake to maintain strict confidentiality on any documentation or information that I may encounter during this process.
	Signed:
	Date:

Appendix 4 Evaluation Scoring Summary Template

Supplier Evaluation Scoring Sheet							 RCSI					
Contract Name:												
Department Reporting to:												
Period of Contract:												
Award Criteria	Max Score	Tender A	Tender B	Tender C	Tender D	Tender E						
Experience & Reputation	20%											
Technical Ability to deliver good/services	20%											
Value for Money inclusive of any Add-on costs	20%											
Innovation/ Business Process Improvement	20%											
Suitability / Fit with RCSI	20%											
Total	100%											
Position/Ranking												
Tender Evaluation Panel Details:												
Name:		Title:			Signed:		Date:					
1												
2												
3												
4												
5												
6												
notes:												
-Weighting of Categories can be changed to suit specific tenders but must be fair and justifiable, and not weighted in such a way to either advantage/disadvantage a particular supplier												
Scoring Guidance:												
	Score											
Meets all requirements	17-20	Very Good										
Meets most but not all requirements of RFT	13-16	Good										
Meets part of requirements	10-12	Fair										
Does not meet requirements	0	Fail										



RCSI Procurement

Successful Supplier Recommendation

Name of Product/Service Tendered: _____

Value (incl VAT) € _____ Approved Budget € _____ Annual/One-off __ **Term** _____

Brief Description of Product/Service involved:

Suppliers requested to tender:

Name:	Tender Received (Y/N)	Shortlisted (Y/N)	Evaluation Score
1. _____	___	___	___
2. _____	___	___	___
3. _____	___	___	___ 4.
_____	___	___	___ 5. _____
_____	___	___	___
6. _____	___	___	___

Evaluation Criteria & Successful supplier score	Max Score	Score
1. Experience & Reputation	20	
2. Technical Ability	20	
3. Value for Money	20	
4. Innovation/Business Process Improvement (BPI)	20	
5. Suitability/fit with RCSI	20	
Total Score	100	

Recommendation:

We, the undersigned confirm that there was no conflict of interest in our involvement in this process.

Tender Evaluation Panel

Name.	Title or External Co.	Signature.	
1. _____	_____	_____	
2. _____	_____	_____	
3. _____	_____	_____	
4. _____	_____	_____	Date
5. _____	_____	_____	_____
6. _____	_____	_____	

Name of person recommended to sign contract on behalf of RCSI _____

Finance Approval Signed: _____ **Date:** _____



RCSI Procurement Group

Unique Supplier Evaluation

Supplier Name:

Type of Product/Service:

Value (incl VAT) € Approved Budget € Annual/One-off Term

Background/Context:

Other Providers :

Evaluation Criteria and scoring for Supplier	Max Score	Score
1. Experience & Reputation	20	
2. Technical Ability	20	
3. Value for Money	20	
4. Innovation/BPI	20	
5. Suitability/fit with RCSI	20	
Total Score	100	

Recommendation:

We, the undersigned confirm that there is no conflict of interest in our involvement in this process

Name	Title	Signature	Date
1. _____	_____	_____	
2. _____	_____	_____	
3. _____	_____	_____	
4. _____	_____	_____	_____
5. _____	_____	_____	_____

Name of person recommended to sign on behalf of RCSI _____

Finance Approval Signed: _____ **Date:** _____

For SMT Approval Date: _____



RCSI Procurement Group Extension of Existing Supplier Contract

Supplier Name: _____
 Type of Product/Service: _____
 Existing Contract Annual Value (incl VAT): € _____ Existing
 Contract Expiry Date: _____ Proposed
 Extension to Contract in months: _____
 Additional/ (Reduction) in Cost for period of proposed extension: € _____
 Date for New tender process will be completed: _____

Details: *please outline key reasons why extension and not New Tender :*

Interim arrangements: *please note any changes to existing contract :*

Risk: *please outline risks to RCSI of not extending current contract:*

We, the undersigned confirm that there is no conflict of interest in our involvement with this supplier and recommend extension of contract as outlined above.

Panel

Name	Title	Signature	
1. _____	_____	_____	
2. _____	_____	_____	
3. _____	_____	_____	
4. _____	_____	_____	Date
5. _____	_____	_____	_____

Name of person recommended to sign on behalf of RCSI _____

Finance Approval Signed: _____ **Date:** _____

**Record of Verbal Quotes for Purchase of Goods or Services between
€1,001 and €6,000**

Name of Department making a purchase		
Description of Good or Service being purchased:		
Supplier name	Date contacted	Quote/Supplier Response
1.		
2.		
3.		
Decision on Supplier Selection:		
Decision made by	Date	Value of Purchase

This form is to be used for the purchase of goods or services from a supplier that is not a preferred supplier of RCSI or where the goods or services are not covered by an existing contract with a supplier that was the subject of a tender. Where the cost, including VAT, is likely to exceed €6,000 then at least three written quotes need to be obtained and retained locally in line with the Procurement Policy.