

APPENDIX R



west lothian
college

Procurement Policy and Procedure

August 2023

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Statement of Inclusiveness

West Lothian College is an inclusive organisation and all policies, procedures, strategies, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services are assessed to consider the impact on staff and students covered by the Equalities Act 2010 by the completion of an Equalities Impact Assessment (EIA). Protected characteristics are defined as age, disability, gender reassignment, marriage or civil partnership (in employment only), pregnancy and maternity, race, religion or belief, sex, sexual orientation.

Please see end of this document for EIA.

1. Purpose

- 1.1. This purchasing policy and procedure sets out the legal framework within which all procurement in college should be undertaken, and identifies the key practices that will ensure effective procurement within the college.
- 1.2. Effective procurement of goods and services is based on best 'fit' and value for money, and having due regard to propriety and regularity. Value for money is defined as the optimum combination of whole-life cost and quality (or fitness for purpose) to meet the user's requirement.
- 1.3. The college has a central purchasing procedure that must be followed at all times. An official purchase order must be used for all purchases, as detailed in the college Financial Regulations.
- 1.4. The college uses the Scottish Government's electronic procurement system (PECOS) for raising purchase order requisitions. To access Framework Agreements the College is a member of Advance Procurement Universities and Colleges (APUC Ltd).

2. Scope

- 2.1. The policy and procedure applies to all staff working on behalf of the college. All types of purchasing must be supported by a pre-determined budget agreed by the Vice Principal – Finance & Corporate Services.
- 2.2. This policy and procedure should be read in conjunction with the college's Equalities Mainstreaming Report.

3. Governance

- 3.1. The college is governed by the following legislative framework and internal policies:
 - 3.1.1. **Procurement Legislation:**
 - Public Contracts (Scotland) Regulations 2015
 - Procurement Reform (Scotland) Act 2014 and Procurement (Scotland) Regulations 2016
 - Concession Contracts (Scotland) Regulations 2016
 - 3.1.2. **Other Relevant Legislation:**
 - Equality Act 2010
 - Bribery Act 2010
 - Freedom of Information (Scotland) Act 2002
 - Data Protection Act 2018
 - Health and Safety at Work Act 1974
 - 3.1.3. **College Policies and Procedures:**
 - Financial Regulations
 - Equality, Diversity and Inclusion Policy
 - Equalities Mainstreaming Report
 - Risk Management Policy

- Outcome Agreement

3.2. All contracts entered into shall be subject to Scots Law and governed by the jurisdiction of the Scottish Courts.

4. Responsibilities

4.1. General

- 4.1.1. The Vice Principal – Finance & Corporate Services is responsible for managing and updating this policy and procedure.
- 4.1.2. The Executive Leadership Team is responsible for the effective operation of this policy and procedure within their Faculties and Departments.
- 4.1.3. All college staff are responsible for following the policy and procedure guidelines.

4.2. Purchasing

- 4.2.1. The Head of Finance, Procurement & Student Funding is responsible for the day-to-day management of all records associated with the purchasing process, including division of responsibility.
- 4.2.2. Nominated staff in the Faculties and Departments are responsible for generating official purchase orders, obtaining value for money and receipting goods.
- 4.2.3. The Estates Department is responsible for receiving goods and arranging delivery of the goods.
- 4.2.4. The Finance Department is responsible for entering the invoices into PECOS and confirming that goods have been receipted and the invoice matches the order.

4.3. Tendering

- 4.3.1. The Vice Principal – Finance & Corporate Services will authorise an appropriate project manager to manage a competitive tender exercise.
- 4.3.2. The Vice Principal – Finance & Corporate Services is responsible for ensuring that the college complies with its legal obligation concerning Scottish Government and UK Government procurement legislation.
- 4.3.3. The Vice Principal – Finance & Corporate Services will advise managers on any change to the Scottish Government and World Trade Organisation (WTO) Agreement on Government Procurement (GPA) thresholds that are currently in operation.

It is the responsibility of managers to ensure that their staff comply with Scottish Government and EU regulations by notifying the Vice Principal – Finance & Corporate Services of any purchase that is likely to exceed the thresholds. This will be done sufficiently in advance in order to permit advertisements in the Public Contracts Scotland (PCS) Advertising Website and the UK Government Find a

Tender Service (FTS).

5. Legal Thresholds for Tender

5.1. Unless otherwise stated, all monetary figures exclude VAT;

5.1.1. Current (April 2016) Scottish Government (Procurement Reform Act) thresholds are:

- 5.1.1.1. Supplies and Services - £50,000 (fifty thousand pounds).
- 5.1.1.2. Works - £2,000,000 (two million pounds).

5.1.2. Current (January 2022) GPA thresholds are (updated every 2 years):

- 5.1.2.1. Supplies and Services - £177,897 (one hundred and seventy seven thousand, eight hundred and ninety seven pounds).
(Note: this is subject to any change in VAT rate)
- 5.1.2.2. Works - £4,447,447 (four million, four hundred and forty seven thousand, four hundred and forty seven pounds).
(Note: this is subject to any change in VAT rate)

6. Advanced Procurement for Universities and Colleges (APUC)

6.1. The college works with APUC for advice on the procurement process and recommended procedural requirements that should be met. In particular, attention is drawn to the Scottish Government's *Procurement Journey* which provides a guide through the key decisions that need to be addressed before embarking on a new procurement. Further details can be found on the APUC Website:

<https://www.apuc-scot.ac.uk/#!/tender>

6.2. Through membership of APUC the College has access to Frameworks for purchasing, these are contracts that have been tendered by central consortia (e.g. APUC, Scottish Government, Crown Commercial Services) to be used by one or more areas of the public and HE/FE sectors. The APUC website contains a list of all current Framework Agreements which the College can access:

<http://www.apuc-scot.ac.uk/#!/contracts>

7. Contract Register

7.1. In line with current Scottish Government Procurement Legislation, the college shall maintain a Public Facing Contract Register detailing the following information:

- 7.1.1. Date of Award
- 7.1.2. Name of Contractor
- 7.1.3. Subject Matter
- 7.1.4. Estimated Value

- 7.1.5. Start Date
- 7.1.6. End Date
- 7.1.7. Duration of any period for which the contract can be extended

7.2. The college's Public Facing Contract Register can be found on the APUC website:
<https://www.apuc-scot.ac.uk/#!/institution?inst=36>

8. Environmental and Sustainability Policy

8.1. The college has an Environmental and Sustainability Policy through which it will:

- 8.1.1. comply with, and exceed when possible, all applicable legislation, regulations and codes of practice;
- 8.1.2. ensure that all staff are fully aware of the Environmental and Sustainability Policy;
- 8.1.3. ensure that all environmental risks are assessed, managed and controlled;
- 8.1.4. integrate sustainability considerations into all our business decisions;
- 8.1.5. minimise the impact on the environment and our sustainability of our core activities; and
- 8.1.6. review and continually strive to improve our sustainability and lessen our impact on the environment.

8.2. The college shall meet its objectives set out above and where relevant, consider Environmental and Sustainability impacts on its procurement activities.

8.3. For procurements > £50,000 for supplies and services and £2m for Works, the college must legally comply with the Sustainable Procurement Duty and must follow statutory guidance on addressing fair work practices including the living wage where relevant to the procurement. The Sustainability Test shall be undertaken before tender to demonstrate that the Sustainable Procurement Duty and Fair Work Practices have been considered prior to tender.

8.4. Where the college has a procurement greater than £4m, it shall follow the statutory guidance for the consideration of Community Benefits where applicable.

8.5. The Sustainability Test shall be undertaken before tender to demonstrate that Community Benefits have been considered prior to tenders of this value.

8.6. An electronic version of this document is also available on Sharepoint called "Sustainability Test" and located in:
<https://bit.ly/3Pt3TL7>

8.7. College staff must always be considerate of the College's Net Zero commitment and budgetary constraints when considering whether to make a purchase.

8.8. The principles of "Refuse, Reduce, Repair, Reuse, Recycle" must be considered for all purchases.

8.9. When replacing an existing item please consider:

- 8.9.1. Do you really need the item that you are replacing? Does the existing item get used

enough to justify replacement?

8.9.2. Do you already have access to a similar item? Could you alter your usage of this?

8.9.3. Could you refurbish or repair the existing item?

8.9.4. If an item must be replaced, can the existing item be recycled or given a second life elsewhere?

8.10. If you must buy a new item please consider:

8.10.1. Do you really need the item that you are buying? Do you already have access to a similar item?

8.10.2. Think carefully about how many/much of the new item are needed. What will happen to excess – will this get wasted?

8.10.3. Can the new item be used sustainably over the longest period of time possible i.e. is it of high quality and can be repaired?

8.10.4. Will the new item be used multiple times? If not could an alternative be borrowed or hired?

8.10.5. What will happen at the end of the new item's life, does your supplier offer take-back or buy-back so that it can be correctly and sustainably disposed of? Also consider whether your supplier could take back any of the items you are disposing of.

8.10.6. Does the new item come from a sustainable source? Is it made from responsibly sourced materials and as locally as possible?

8.11. Contact Procurement or Estates Helpdesk for advice on disposal schemes available.

9. Tender and Quotation Procedure

9.1. All purchasing activity in the college must be undertaken in accordance with public procurement regulations and will be based on the achievement of best 'fit' and value for money. The goods/service shall be of the right quality available at the right time. The purchaser must demonstrate propriety and due diligence at all times during the purchasing process.

9.2. The college encourages the use of APUC Frameworks (as detailed at 6.2). Where using a Framework, the College must follow the Call-off Procedures detailed within the Guidance Documents. These supersede the internal college Regulations.

9.3. When not using existing Frameworks, the college will follow the required internal and legislated threshold when buying goods, services or works. Thresholds exclude VAT.

9.4. Thresholds apply to a one off purchase or for a recurrent procurement over a four year period. A recurrent procurement is where you have a continuous requirement year on year. For a recurrent procurement of value above £12.5k per annum, a tender process is required as this achieves the £50k value over a four year period.

9.5. Where the stated number of quotes up to £50,000 are unable to be obtained, a detailed written explanation is required to be submitted to the Vice Principal – Finance & Corporate Services.

9.6. Where the requirement is over is between £1,000 and £12,500 and is deemed a single source requirement and there is no possible alternative, a Single Source Justification Form (Appendix 1) must be submitted to the Vice Principal – Finance & Corporate Services.

9.7. Where the requirement is over is greater than £12,500 and is deemed a single source requirement and there is no possible alternative, the Single Source Section of the Procurement Request Form (Appendix 2) must be completed.

9.7.1. Where the Single Source Requirement is over £25,000 the college will be required to seek approval to award from the Scottish Funding Council, providing full details. The SFC may seek further information.

9.8. Where a framework is available, the college will investigate its suitability **prior** to proceeding with the following:

Goods & Services Thresholds

Band	Process	Responsibility
£0 - £1k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - The budget holder shall have the discretion to decide whether or not to obtain quotations, but value for money must always be obtained. 	Devolved
£1k - £5k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - Request 2 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. 	Devolved
£5k - £12.5k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - Request 3 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. 	Devolved
£12.5k - £25k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - Request 3 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. - <i>Procurement Request Form Required</i> 	Devolved or Procurement
£25k - £50k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - PCS- Quick Quote. Request 3 or more quotes advertised on Quick Quotes to named suppliers. - Approval of the Principal is required. - <i>Procurement Request Form Required</i> 	Devolved or Procurement
£50k - GPA Limit	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - PCS – Public Contracts Scotland Open Tender Advert - Approval of the Principal is required up to £100,000. - Over £100,000 requires approval from the Finance and General Purposes Committee - <i>Procurement Request Form Required</i> 	Procurement
GPA > Limit	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> - PCS FTS Tender – Will advertise in the Find a Tender (FTS) portal following the most appropriate process. - Approval is required from the Finance and General Purposes Committee - <i>Procurement Request Form Required</i> 	Procurement

Works Thresholds

Band	Process	Responsibility
£0 - £1k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <u>or</u> 	Devolved

	<ul style="list-style-type: none"> - The budget holder shall have the discretion to decide whether or not to obtain quotations, but value for money must always be obtained. 	
£1k - £5k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - Request 2 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. 	Devolved
£5k - £12.5k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - Request 3 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. 	Devolved
£12.5k - £25k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - Request 3 price comparisons or written quotations. - Approval of the Vice Principal – Finance & Corporate Services is required. - <i>Procurement Request Form Required</i> 	Devolved or Procurement
£25k - £50k	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - PCS- Quick Quote. Request 3 or more quotes advertised on Quick Quotes to named suppliers. - Approval of the Principal is required. - <i>Procurement Request Form Required</i> 	Devolved or Procurement
£50k - £2m	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - PCS – Quick Quote. 5 or more quotes advertised to named suppliers. - Approval of the Principal is required up to £100,000. - Over £100,000 requires approval from the Finance and General Purposes Committee - The Vice Principal – Finance & Corporate Services shall determine whether a tender or quotation is the most appropriate documentation to be issued. - <i>Procurement Request Form Required</i> 	Procurement
£2m - GPA Limit	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - PCS – Public Contracts Scotland Open Tender Advert - Approval of the Principal is required up to £100,000. - Over £100,000 requires approval from the Finance and General Purposes Committee - <i>Procurement Request Form Required</i> 	Procurement
GPA > Limit	<ul style="list-style-type: none"> - Use Framework (follow Framework Requirements) <i>or</i> - PCS FTS Tender – Will advertise in the Find a Tender (FTS) portal following the most appropriate process. - Community) following the most appropriate process. - Approval is required from the Finance and General Purposes Committee - <i>Procurement Request Form Required</i> 	Procurement

9.9. Procurement Request Form

9.9.1. For any purchase anticipated to be over £12,500, the requester must complete a Procurement Request Form, signed by the budget holder, and send to Procurement. This must be completed in advance of any engagement with potential suppliers or quotes procedures.

9.9.2. On receipt of the Procurement Request Form, Procurement will confirm with the Vice-Principal – Finance and Curriculum Services that budget is available.

9.9.3. Procurement will then discuss with the requester the best route to market.

9.10. Public Contracts Scotland – Quick Quote

9.10.1. Non Regulated Procurements for Supplies, Services and Works <£50,000

9.10.1.1. For lower value quotes between £1,000 and £25,000, price comparisons or written quotes must be requested in writing or via the Quick Quote System from named suppliers.

9.10.1.2. For quotes between £25,000 and £50,000, 3 or more quotes will be invited on Quick Quotes from named suppliers where the value is over £25,000.

9.10.1.3. The Quick Quote system can be used for inviting quotes by mini competition off a Framework agreement.

9.10.2. Works < £2,000,000

9.10.2.1. Legislation states works over £50,000 and below £2,000,000 do not have to go to full, open advertisement; therefore the notice can be advertised to named suppliers on Quick Quotes.

9.10.2.2. Works to this value are rare at the college and it will be assessed at the inception stage of the procurement journey to whether the specific project requires an open PCS notice below the £2,000,000 threshold.

9.11. Public Contracts Scotland – Supplies, Services and Works

9.11.1. Regulated Procurements > £50,000 < GPA Threshold

9.11.1.1. To tender for the supplies and services over £50,000 and for works, above £2,000,000, but below the GPA thresholds, advice must be sought from the Vice Principal – Finance & Corporate Services. An open tender should be raised on the Public Contracts Scotland (PCS) Advertising Portal, the Scottish Government procurement portal.

9.11.1.2. The college Procurement Coordinator will support with these projects to ensure the correct procedure is followed as per the Scottish Government Legislation.

9.11.1.3. Compliance with the Procurement Reform (Scotland) Act 2014 is required when awarding a contract over the value of £50,000. A Contract Award Notice must be published on the PCS System and request for debriefing conducted in line with the legislation. This applies to open tenders, mini competitions and direct call-off processes through framework agreements.

9.11.2. GPA Procurements

9.11.2.1. To tender for the supplies and services over GPA Thresholds (detailed at

5.1.2), advice must be sought from the Vice Principal – Finance & Corporate Services. The college Procurement Coordinator will support with these projects to ensure the correct procedure is followed as per the Scottish and UK legislation.

- 9.11.2.2. A Procurement Request Form (Appendix 2) shall be followed for tenders over this value which details the market research carried out, budget, procurement route, tender panel, key dates and Sustainability Test (Appendix 3) to meet the requirement. This must be carried out prior to commencement of the project.
- 9.11.2.3. The college attempts to ensure that, if a contractor breaches certain types of legislation, such as anti-discrimination and Health and Safety, it will have a contractual effect as well as being illegal. This is therefore a specific requirement of the college's conditions of contract.
- 9.11.2.4. On no account should any member of staff procure goods or services on behalf of a non-affiliated organisation, using the college systems and money.
- 9.11.2.5. Notice of tender should be prepared detailing all pre-qualification and other relevant criteria and uploaded to the Public Contracts Scotland portal using the correct procedure and by the Procurement Coordinator. The portal will contain all of the necessary detail related to issue of tender.
- 9.11.2.6. It may be necessary to circulate opened tenders to a design team or committee for a technical appraisal. The outcome of any such appraisal will be reported in writing to the responsible project manager.
- 9.11.2.7. The basis for selecting the chosen supplier will be detailed in the invitation to tender document. This shall set out, as a minimum, a statement of requirements, form of tender, terms and conditions, pricing schedule, evaluation criteria, weightings and scoring mechanism. The selection of the tender will be based evaluation criteria which will take into account other factors as well as price that shall demonstrate best value.
- 9.11.2.8. On return, tender bids shall be evaluated using the stated evaluation criteria and scoring mechanism.
- 9.11.2.9. Following the evaluation process, the Vice Principal – Finance & Corporate Services will make a recommendation on which tender to accept.
- 9.11.2.10. The Principal and/or relevant Board Committee will approve the final decision on the tender. The Vice Principal – Finance & Corporate Services will advise the successful and unsuccessful tender respondents accordingly in compliance with relevant legislation.
- 9.11.2.11. Information relating to competitive tenders must be retained for 6 years following the end of the contractual period.

9.11.2.12. The college will ensure:

- contract procedure is in accordance with standards of public accountability;
- those submitting tenders are treated fairly and impartially and;
- compliance with its legal obligations concerning Scottish Government and UK procurement legislation

10. Purchase Order Procedure

10.1. New supplier details

10.1.1. To request a new supplier be added to the College systems, the requester must complete a PECOS “New Supplier Details Request Form” and ask the supplier to complete the PECOS “New Supplier Details Form”. These two forms must then be attached to a purchase order, selecting “Unknown” supplier. Your request will then be reviewed by Procurement.

10.2. Purchase order requisitions (POR)

10.2.1. There are two ways to raise purchase orders through PECOS:

10.2.1.1. POR items from catalogues or “punch-out sites”. Once selected, these items are the basis for the requisition. The POR then follows the on-line authorisation procedure.

10.2.1.2. For non-catalogue items, the requisitioner enters the relevant information then the POR follows the on-line authorisation process within PECOS.

10.3. Purchase order

10.3.1. All purchase orders must be raised through the PECOS system. Once purchase orders have been fully approved through PECOS, the orders are despatched by email to suppliers.

10.4. Goods receipting

10.4.1. Each Centre or Department is responsible for receipting and matching goods received against the purchase order retained in the system.

10.5. Invoices

10.5.1. All supplier invoices should be directly received in the Finance Department. The Finance Department will enter invoice details into PECOS then confirm goods have been receipted. If any invoices are received without a purchase order, Finance staff will raise this with the relevant Centre or Department.

10.6. Transfer of approved invoices

10.6.1. Once invoices have been fully approved in PECOS these are made available for transfer to the Finance system.

10.7. Payment

10.7.1. Once the goods or services and invoice have been received, the Finance Department will make payment to the supplier. Payment by BACS is the preferred method of settlement.

10.8. Exceptions to PO Procedure

10.8.1. The exceptions to the requirement to raise a purchase order are as follows:

- Utility costs;
- Exam fees;
- Payroll, pension and staff expenses;
- Student fund payments; and
- Catering provisions.

11. Data Retention Policy: Procurement

11.1 West Lothian College is required by law to retain prime documents for six years. These include:

- In line with minimum legal requirements, retention (in a secure location) of copies of all Contractual Documentation 6 years after the expiry date of the Contract.
- Any specific retention requirements as detailed as part of a Grant condition.
- Complete record of transactions for each year from the computerised accounting system
- Purchase order requisitions.

12. Breach of Policy or Procedure

12.1. Breach or non-compliance with the policy and procedure must, on discovery, be reported to the Vice Principal – Finance & Corporate Services who may discuss the matter with the Principal or Finance & General Purposes Committee, as may be appropriate in order to determine the proper action to be taken.

13. Review of Policy

13.1. This policy and procedure should be reviewed whenever changes affect it or after three years, whichever is the earlier by the Vice Principal – Finance & Corporate Services.

Appendix 1

(This form is available on Request to Procurement)

Low Value £1k to £12.5k purchases: Single Source Justification

Details must be submitted to justify a single quotation for a service or product that falls between £1,000-£12,500. This form must be attached to the Purchase Order.

If your requirement is over £12,500, please complete a Procurement Request Form and submit to Procurement (by email) who will then advise on next stages.

Note 1: This particular route (Low Value Single Source Justification) should only be used where the market is restricted and no alternative quotes are available.

This route must not to be used to bypass the College's competitive quotation route as required by the College's Financial Regulations.

Note 2: This form must be attached to the purchase order. Procurement reserve the right to seek further information regarding any "Low Value Single Source Justification" request prior to the approval of a Purchase Order.

Description of Goods or Services Being Bought:	
Value (excluding VAT):	
Details of why other quotes are not available:	
One-off or Recurring Purchase? (If recurring please state frequency of purchase)	

Appendix 2

(This form is available on the Staff Zone on the Sharepoint)

Procurement Request Form

Once completed please return to procurement@west-lothian.ac.uk

Part 1 – Purchase Request and Authorisation

1 a. General Information and Business Case					
Department					
Requestor Name					
Telephone					
Email					
Folder/Budget Number/Cost Centre					
Capital or Revenue spend	<input type="checkbox"/> Capital <input type="checkbox"/> Revenue				
Funding Arrangement	<input type="checkbox"/> College <input type="checkbox"/> Bursary <input type="checkbox"/> External Grant				
Anticipated Contract Start Date					
Financial year of spend (Note: this should be the spend anticipated within the Financial Year 01 August to 31 July)	Year 1	Year 2	Year 3	Year 4	Year 5
Estimated Budget ex. VAT					
Estimated VAT					
Estimated Gross Budget					
Brief description of and justification for requirements					
TUPE (Will this Contract involve the transfer of any staff either from the College to the Contractor or from a Contractor to the new Contractor)	<input type="checkbox"/> Yes <input type="checkbox"/> No				

Part 2 – Procurement Request

2 a. Procurement information	
Is this a Goods (tangible products e.g. stationery) , Services (activities provided by other people, e.g. consulting) or Works (e.g. construction) requirement	<input type="checkbox"/> Goods <input type="checkbox"/> Services <input type="checkbox"/> Works
Is this a one-off or on-going requirement?	<input type="checkbox"/> One-off <input type="checkbox"/> On-going
Have you had any discussions with potential suppliers regarding this requirement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Current arrangements in place (if applicable)	
Current spend on existing arrangements (if applicable)	
Anticipated value of requirement	
Anticipated volume	
Estimated timeframe for requirement to be in place	

2 b. Data Protection	
<p>Procurement exercises for IT Systems or any other activities which will process personal data require at least a Data Protection Impact Assessment (DPIA) screening questionnaire to be completed, in line with the UK General Data Protection Regulation (GDPR) and Data Protection Act 2018. If the screening shows it is high risk, a full DPIA will need to be carried out. If personal data is involved, please provide a Project Lead name for further contact. If you are not sure whether personal data is involved, please contact gdpr@west-lothian.ac.uk to discuss with the Data Protection Officer (DPO).</p>	
Personal data will be processed by the system/service/activity	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has a Data Protection Impact Assessment (DPIA) screening questionnaire been completed and sent to DPO?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Project Lead	

2 c. Your declaration	
I certify the accuracy of the information contained within this form.	
Please tick	<input type="checkbox"/> Yes <input type="checkbox"/> No
Signature	
Print Name	Date

2 d. IT Purchases – Only complete this part if your purchase is IT related (including but not limited to: any systems; hardware; software; online training; licenses)

Does your Procurement involve the purchase of IT products? Yes No

If "No", please pass directly to Procurement, if "Yes", please send to Brian Smillie for approval

Please detail what IT is being bought.

IT approval from Brian Smillie? Yes No

Signature
(Digital Infrastructure
Manager)

Print Name

Date

*****Brian to pass to Procurement*****

2 e. Procurement Authorisation

Procurement Coordinator	Signature:			
	Print Name:		Date:	

*****Procurement to pass to Jennifer McLaren*****

2 f. Finance Authorisation (for completion by relevant person in Finance)

Have you confirmed that budget is available? Yes No

Comments

Senior Team approval for estimated spend? Yes No

Signature

Print Name

JENNIFER MCLAREN

Date

*****Jennifer McLaren to pass back to Procurement cc Requester*****

3 b. Timetable (for completion by Procurement)

Start	
Prepare documents	
Issue documents	
Evaluation	
Award	
End	

Appendix 3

See attached spreadsheet



Appendix 3 -
Sustainability Test.xls

Equality Impact Assessment

Before carrying out an EIA, you should familiarise yourself with the College's EIA Policy Statement and Guidance, along with further information and resources which are available on iShare

EIA covers **strategies, policies, procedures, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services**, but will be referred to hereinafter as 'policy/practice'.

Policy/Practice (name or brief description):	Procurement Policy & Procedure
Strategy/Policy includes Equalities Statement of Inclusiveness? Yes/No	<p>Text to be included in strategy/policy:</p> <p>Statement of Inclusiveness</p> <p>West Lothian College is an inclusive organisation and all policies, procedures, strategies, plans, provisions, criteria, functions, practices and activities, including decisions and the delivery of services are assessed to consider the impact on staff and students covered by the Equalities Act 2010 by the completion of an Equalities Impact Assessment (EIA). Protected characteristics are defined as age, disability, gender reassignment, marriage or civil partnership (in employment only), pregnancy and maternity, race, religion or belief, sex, sexual orientation.</p>
Reason for Equality Impact Assessment (choose from the following options):	
<ul style="list-style-type: none"> • Proposed new policy/practice • Proposed change to an existing policy/practice • Undertaking a review of an existing policy/practice • Other (please give detail): 	<ul style="list-style-type: none"> • Proposed change to an existing policy/practice

Person responsible for the policy area or practice:	
Name:	Jennifer McLaren
Job title:	Vice Principal, Finance and Corporate Services
An Equality Impact Assessment must be carried out if the policy/practice:	
<ul style="list-style-type: none"> • affects operational or strategic functions of the College • is relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' as set out in the Policy and Guidance) 	
Why the EIA is being carried out	<ul style="list-style-type: none"> • affects operational or strategic functions of the College
Equality Groups	
Relevant to the Policy/Practice, identify which of the undernoted equality groups are impacted upon:	
<ul style="list-style-type: none"> • Age • Disability • race (including ethnicity and nationality) • religion or belief • sex • sexual orientation • gender reassignment • pregnancy and maternity • marriage or civil partnership 	None

Record your assessment against the following statements:

Statement	Equality assessment
Detail the evidence of the needs of the identified equality groups and any gaps in information	These policy & procedures set out a framework to ensure procurement regulations are complied with. There are no identified needs or missing gaps in relation to the equality groups.
Will application of this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, less favourable treatment for particular equality groups?	No. The policy & procedures are intended to promote equality, diversity and sustainability through procurement matters.

Statement	Equality assessment
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	N/A
State how this policy/practice will foster good relations:	The policy & procedures promotes equality, diversity and sustainability through procurement matters.
Will the policy/practice create any barriers for any other groups?	No
If yes, how will the policy/practice be changed to contribute to advancing equality of opportunity	N/A
Which equality groups or communities have been consulted in the development and review of this policy/practice?	ELT was consulted during the review process.

Equality Impact Assessment Outcome	
<p>Select one of the four options below to indicate how the development/review of the policy/practice will be progressed and state the rationale for the decision. (Delete the options that do not apply):</p>	
<p>Option 1: No change required – the assessment is that the policy/practice is/will be robust.</p> <p>Option 2: Adjust the policy or practice – this involves taking steps to remove any barriers, to better advance equality and/or to foster good relations.</p> <p>Option 3: Continue the policy or practice despite the potential for adverse impact, and which can be mitigated</p> <p>Option 4: Stop the policy or practice as there are adverse effects cannot be prevented/mitigated against.</p>	Option 1
Monitoring	
When will the policy/practice next be reviewed?	The policy & procedures will be review annually in line with the Procurement Strategy.

Publication of EIA	
<p>Can this EIA be published in full, now? Please state Yes or No</p> <p>If No – please specify when it may be published or indicate restrictions that apply:</p>	<p>Yes</p>
Sign-off	
<p>EIA undertaken by</p> <p>Name: Date:</p> <p>Accepted by person responsible for the policy/practice named above:</p> <p>Name: Date:</p> <p>Approved by Equalities Committee</p> <p>Date:</p>	<p>Jim Paterson (Procurement Manager) 11/10/2023</p> <p>Jennifer McLaren (Vice-Principal Finance & Corporate Services) 24/10/2023</p>