

# THE GLASGOW SCHOOL OF ART

Procurement Policy

August 2023



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## 1. Introduction

The Glasgow School of Art (GSA) requires all budget holders, irrespective of the source of funds, to obtain supplies, equipment, works and services using a criterion that reflects quality, technical ability, sustainability, and price, and in accordance with sound business practice – i.e. “Value for Money”.

Factors to be considered in determining the procurement approach which must be adopted are detailed in the GSA Procurement Strategy and the Financial Procedures.

This Procurement Guidance document has been revised to maintain compliance to the current procurement regulations, The Public Contracts (Scotland) Regulations 2015 and Procurement Regulations (Scotland) 2016, which were introduced in Scotland on April 18<sup>th</sup> 2016.

## 2. Organisation of Procurement in GSA

Overall responsibility for procurement in GSA is delegated to the Head of Procurement and operational procurement activities are de-centralised to individual budget holders in the teaching Schools and functions. Some services such as eProcurement maintenance, supplier enablement and training together with processing of manual orders are controlled centrally by the purchase ledger section.

## 3. Governance

GSA is committed to best practice in all aspects of procurement.

In response to the recommendations contained in the McClelland report, APUC has produced a sector Procurement Manual. This manual gives advice on all aspects of the procurement of goods and services from the initial purchase through to contract management. This manual shall be read in conjunction with the contents of the GSA Procurement Strategy and this Guidance.

The APUC Sector Procurement Manual can be found at the following website address: -

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

## 4. Procurement Toolkit

The Scottish Government’s [Procurement Journey](#) is an online source of information regarding Procurement. It offers Guidance on procedures and processes, together with templates and recommends further guidance on particular topics, with appropriate links.

The Procurement Journey is intended to support all levels of procurement activities and to help manage the expectations of stakeholders, customers and suppliers alike. It facilitates best practice and consistency across the public sector. The processes, templates and guides allow procurement professionals to concentrate on the higher value, higher risk areas in which they can add value and deliver value for money for the public purse.

A cross-sectoral working group, led by Scottish Procurement, has reviewed, developed and refined the public procurement toolkit to meet the needs of Contracting Authorities across the Scottish public sector. This work has been undertaken as part of the [Public Procurement Reform Programme](#). The Journey is designed to be used in conjunction with guidance on current [public procurement legislation](#) and the [Scottish Procurement Policy Handbook](#).

## 5. Purchase Orders

Goods and services can be ordered electronically via PECOS, manually (where a particular supplier is not e-Enabled) or via purchase cards. It is an objective of GSA that 70% of purchase transactions are executed via PECOS by the end of 2021.

### 5.1 PECOS Purchase Orders

The GSA eProcurement system (PECOS) provides for the electronic ordering of goods and services, including online approval and routing by cost centre and electronic transmission of orders to selected suppliers. Goods and services can also be receipted on line and orders and receipts are uploaded to the Agresso system to allow automatic matching with invoices.

### 5.2 Manual Purchase Orders

Where suppliers are not enabled on PECOS, budget holders can complete a yellow purchase order request form. This will then be reviewed by the Purchasing Officer to ensure that it is correctly coded, authorised and that there is sufficient supplier and goods information. This will then be entered into the finance system which will check to see if there is sufficient budget for the goods to be ordered. An official purchase order will be generated by the finance system complete with unique reference number which will then be signed by a member of the finance team before being released to the supplier.

Official GSA orders must be placed for the purchase of all goods, works or services, except those made using purchasing cards, company credit cards or petty cash. In exceptional circumstances, urgent orders may be given orally, but must be confirmed by an official purchase order endorsed 'confirmation order only' not later than the following working day.

When transferring goods or services between departments, an interdepartmental transfer charge must be made.

### 5.3 Authorisation of Purchase Orders

GSA requires that purchase orders (electronic or manual) are approved in accordance with Business Rules as defined at Appendix A.

## 6. Purchasing Cards

The issue of GSA's purchasing cards is at the discretion of the Director of Finance. Once approved, the Head of Finance will organise the production of the card. The card holder will then be asked to accept GSA's terms and condition by signing an acceptance form before the card is released.

Holders of purchasing cards must use them only for the purposes for which they have been issued and within the authorised purchase limits. Cards must not be loaned to another person, nor should they be used for personal or private purchases. Cardholders should obtain approval to purchase from the relevant budget holder and should ensure that there is sufficient budget available to meet the costs.

The card holder shall return a log of all purchases to the Chief cashier shortly after the monthly statement date clearly showing the nature of the goods and the budget code. Failure to do so may result in withdrawal of the card either on a temporary or permanent basis.

The cards, unlike the corporate visa cards, have a transaction limit of £750 per transaction which is the normal limit below which quotes do not have to be sought for an individual transaction.

## 7. Tenders and Quotations

It is important that a business case is provided and approved prior to any purchase being made. Heads of department and delegated budget holders must comply with GSA's tendering procedures contained in GSA's code of tendering practice attached at Appendix C. The procurement process quick guide can be found in Appendix E. Delegated authorities can be found in Appendix F

Only partnership arrangements for the supply of goods or services specifically approved by the Business and Estates Committee or the Board of Governors will fall outside these arrangements for tenders and quotations.

## 8. General Data Protection Regulations (GDPR)

The General Data Protection Regulation (EU) 2016/679 (GDPR), formally approved by the European Parliament on 27 April 2016 is effective as of 25 May 2018.

All relevant procurement exercises will ensure that this is addressed and the Contractor Assurance Form in Appendix D will be included in the Invitation to Tender. This must be completed by the Contractor and assessed prior to awarding of the Contract. GDPR will also be addressed within the terms and conditions that can be found on the Procurement website.

## 9. Scottish Procurement Law

In Scotland, Procurement law is transposed by the Scottish parliament, not by the UK government, in the form of the Procurement Regulations (Scotland) that were effective as of 18<sup>th</sup> April 2016. The new laws impose a number of new requirements on GSA.

### 9.1 Regulated Procurements

Any procurement of goods or services with a value over the value of £50,000 must be advertised openly on [www.publiccontractsscotland.gov.uk](http://www.publiccontractsscotland.gov.uk). For works this value is £2 million. Heads of departments must plan these procurements with the procurement manager to ensure compliance to the regulations.

### 9.2 Contracts Register

GSA must publish a public facing contract register of any contracts that are carried out after 18<sup>th</sup> April 2016. The procurement department maintains a public facing contract register called HUNTER.

<http://www.apuc-scot.ac.uk/#!/institution?inst=48>

Heads of departments must provide this information to the procurement department in order that the contracts are correctly uploaded to the register.

## 10. Higher Value Regulated Procurement

The Director of Finance is responsible for ensuring GSA complies with its legal obligations under procurement legislation. Higher Value Regulated Procurement regulations apply to contracts for all forms of procurement, purchase or hire (whether or not hire purchase) with a total value exceeding a threshold value. These thresholds are attached in Appendix B.

As a result of the UK's exit from the European Union on 31 December 2020, various deficiencies arose within domestic legislation. These have been addressed through a number of different pieces of amending legislation which provided the necessary technical changes to the relevant legislation – namely, the Public Contracts (Scotland) Regulations 2015 (PC(S)R 2015), the Concession Contracts (Scotland) Regulations 2016 (CC(S)R 2016), the Utilities Contracts (Scotland) Regulations 2016

(UC(S)R 2016), the Procurement Reform (Scotland) Act 2014 (PR(S)A 2014) and the Procurement (Scotland) Regulations 2016 (P(S)R 2016).

At the same time as leaving the EU, the UK acceded to the WTO's GPA in its own right, having previously been party to the agreement as a member of the EU. This prompted further technical changes to public procurement rules in Scotland. Accordingly, amendments have been, and continue to, be made to the legislation.

It is the responsibility of heads of department to ensure that their members of staff comply with Higher Value Regulated Procurement regulations by notifying the purchasing officer of any purchase that is likely to exceed the thresholds. This will need to be done well in advance in order to permit advertisement through the Public Contracts Scotland portal. ( [www.publiccontractsscotland.gov.uk](http://www.publiccontractsscotland.gov.uk) ) Heads of departments should allow a minimum of nine months to plan and undertake a Higher Value Regulated procurement procedure, which will be facilitated by the Head of Procurement.

The Director of Finance is also required to submit to the funding council annually details on expenditure which exceed the threshold. Copies of the relevant documentation falling into this category must be provided by heads of department to the purchasing officer.

## 11. Payment of Invoices

The Director of Finance is responsible for deciding the most appropriate method of payment for categories of invoice.

Payments to UK suppliers will normally be made by BACS transfer at least once a month. In exceptional circumstances the Director of Finance may authorise payment by cheque.

Heads of department are responsible for ensuring that expenditure within their departments does not exceed funds available.

Suppliers should be instructed by the budget holder to submit invoices for goods or services to the finance department. Invoices must then be certified as soon as possible. Care must be taken by the budget holder to ensure that discounts receivable are obtained.

Payments will only be made by the Director of Finance against invoices that have been certified for payment by the appropriate head of department or budget holder. Certification of an invoice or receipting of an electronic order will ensure that:

- the goods have been received, examined and approved with regard to quality and quantity, or that services rendered or work done is satisfactory
- where appropriate, it is matched to the order
- invoice details (quantity, price discount, payment terms) are correct
- the invoice is arithmetically correct
- the invoice has not previously been passed for payment
- where appropriate, an entry has been made on a stores record or departmental inventory
- an appropriate cost centre is quoted; this must be one of the cost centre codes included in the budget holder's areas of responsibility and must correspond with the types of goods or service described on the invoice.

## 12. Training

There is online training available on the GSA Intranet – Introduction to Procurement for Budget Holders.

<https://gsofa.sharepoint.com/sites/intranet/ProfessionalSupport/Finance/Pages/Introduction-for-budget-holders.aspx>

### **13. Supplier Due Diligence**

Where Procurement undertakes the procurement exercise, supplier due diligence will be undertaken as part of the tender process. For lower value Contracts it is imperative that departments ensure the correct insurances are in place and that the supplier is financially solvent. Upfront payments should only be considered in exceptional circumstances and must be approved by the Director of Finance.

**APPENDIX A: Purchase Order Approval Business Rules**

The creation of a Requisition and its subsequent authorisation shall be undertaken by different staff members in order to ensure good governance within GSA. There are 3 levels of authorisation based upon value thresholds as follows: -

<b>GSA Authorisation thresholds within eProcurement (PECOS) and manual orders</b>
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PECOS role	GSA role	Authorisation level	PECOS rule
Requisitioner		Nil	Nil
Authoriser 1		up to £1,000	> £0
Authoriser 2	Head of cost centre	£1,001 - £10,000	> £1,000
Authoriser 3	Executive	£10,001 and above	> £10,000



## APPENDIX B: Procurement Thresholds

Before placing an order with a supplier, it is the purchaser's responsibility to ensure that:

- Appropriate Tender or quotations procedures have been followed correctly.
- Full compliance has been made with any Health & Safety requirements or other appropriate legislation.
- Sufficient funds are available within the respective Budget to meet the cost of the intended purchase in full. However, the Directorate is authorised, in appropriate circumstances, to place orders out with budget limits, but any such purchases which make it likely that the budgeted expenditure shown on the top level budget approved by the Business and Estates Committee will be exceeded, will be notified to that committee at their next meeting.
- It is required that all staff placing orders will have regard to GSA's Value for Money Strategy.

### Procurement via Collaborative Contracts or GSA authorised agreements

GSA encourages the use of collaborative agreements which have the following benefits:

- Sector agreed Terms & Conditions
- Agreed pricing utilising the spend of the entire sector, the Scottish public sector or pan UK sector
- Suppliers assessed for economic capability, insurances, capacity, sustainability, equality etc
- Less onerous tendering processes

Collaborative contracts are available for use from:-

1. The sector Centre of Procurement Expertise – APUC (Advanced Procurement for Universities and Colleges)

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

2. Scottish Government Procurement –

<http://www.gov.scot/Topics/Government/Procurement/directory>

3. Crown Commercial Services –

<https://www.gov.uk/government/organisations/crown-commercial-service>

4. A full list of available collaborative contracts available for use is listed within the APUC Buyers Portal

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

### Procurement via these collaborative contracts or GSA specifically approved agreements:

No quotations are required up to £20,000 otherwise the limits given below will apply:

**Procurement NOT via collaborative contracts or GSA authorised agreements:**

<b>Procurement value (in line with Thresholds)</b>	<b>Minimum number of quotes</b>	<b>Method of Request for quotation</b>
Not exceeding £750	No formal requirement	No formal requirement
£750 - £4,999	At least 2 written quotes	Written (electronic or paper)
£5,000 -£19,999	At least 3 written quotes and approval by Head of Finance	Written (electronic or paper)
<b>Procurement value</b>	<b>Minimum number of Formal Tenders issued</b>	<b>Method of Tender</b>
£20,000 -£49,999	3 (minimum) and approval by Director of Finance	Written (electronic, paper or through PCS)
£50,000 -£99,999	3 (minimum) and approval by Directorate	eTender through PCS
£100,000 - £213,474 (VAT Inclusive) Indicative value excluding 20% VAT £177,896	3 (minimum) and approval by Business and Estates Committee	eTender through PCS
Over £213,474 (VAT Inclusive) Indicative value excluding 20% VAT £177,896	Higher Value Regulated tendering procedure and approval by Business and Estates Committee	eTender through PCS

Special Terms re orders:

- The limit of £750 to be raised to £2,500 for Estates orders placed by the Estates Manager
- Head of Finance only to authorise Estates orders over £10,000 if raised by Estates Manager.
- All IT purchases (hardware, software and related services) to be countersigned by the Head of IT.

Single Supplier Justification:

Where an order is to be placed where the proposed purchase is **not** being made under a collaborative or GSA authorised agreement; **and multiple** quotations are not being obtained; a **Single Source Justification** form will need to be completed and approval will have to be sought subject to the following bandings:

<b>Procurement value</b>	<b>Approval required</b>
Not exceeding £5,000	Approval by Head of Finance
£5,000 - £29,999	Approval by Director of Finance
£30,000- £99,999	Approval by Directorate
£100,000 +	Approval by Business and Estates Committee

The Single Source Justification form can be obtained by contacting the Procurement Department or from the Procurement page on the GSA Intranet.

Higher Value Regulated Procurement Thresholds

The current Higher Value Regulated Procurement Thresholds are available from:

[https://www.publiccontractsscotland.gov.uk/Guides/Guide\\_Download.aspx?id=2101](https://www.publiccontractsscotland.gov.uk/Guides/Guide_Download.aspx?id=2101)

## **APPENDIX C: Tendering Procedures**

### **1. QUOTATIONS**

(i) All external purchasing transactions must be the subject of an official Purchase Order. All fields on the Purchase Order must be completed. Low value and/or routine purchases may be made from an approved supplier list without the application of competitive tendering procedures. If doubt exists, contact the Head of Finance. It is expected that value for money appraisal will be made in the calculation of every purchase and this will involve periodic checks with/by the Finance Officer on 'routine' orders.

(ii) As noted in Appendix B, in the first instance a framework agreement should be explored. Where no agreement exists or is determined to not be fit for purpose; For proposed external procurements with anticipated values of between £750 and £5,000, a **minimum** of two quotations is required. Certain authorised exceptions to this requirement may apply. Please refer to Appendix A.

(iii) For proposed external procurements with anticipated values in excess of £5,000 but under £20,000 a **minimum** of three written quotations are required. The use of an 'approved suppliers list' is acceptable for such order values.

(iv) When an acceptable offer has been submitted, a duly completed Official Purchase Order shall be issued to the supplier offering the most economically advantageous terms. In order that our Terms and Conditions of Purchase are met, a phrase such as: 'GSA's Terms and Conditions of Purchase apply' must appear on the face of the Official Purchase Order. For these T&Cs to be binding on both parties, they either need to have been made available to the supplier and be deemed to be incorporated into its offer, or the PO needs to be countersigned as accepted by the supplier. All unsuccessful suppliers should be notified, preferably in writing, as to the reason their quotation failed. Since confidentiality must be respected, details of the terms offered by the successful supplier should not be revealed to unsuccessful bidders. For audit purposes records should be kept of correspondence arising out of each quotation exercise.

(v) For proposed external procurements with anticipated values in excess of £20,000 ex VAT - then formal tendering procedures must be followed and will be facilitated by the procurement manager.

### **2. PRE-TENDER MARKET TESTING**

(i) Proposed procurement exercises which are considered large, or perhaps a 'first time' attempt at acquisition, might benefit from visits to potential suppliers and if appropriate, reference sites. Such visits provide opportunities for clarifying and discussing the requirement more fully before technical and other specifications, which could form part of the quotation or tender document, are set. They can also be useful in completing funding application forms.

(ii) At the outset, it must be made clear to each supplier/contractor visited that such meetings/visits are undertaken on a 'without prejudice' basis. i.e. no preferential treatment, in any resulting quotation or tendering exercise, can be expected. Where practicable, it is advisable to alter and meet with all potential sources of supply so that each receives an equal opportunity. Care should be taken as new entrants should not be restricted and excluded from the process.

(iii) It is considered good practice to retain a file of notes for each such marketing testing exercise.

### **3. SETTING TECHNICAL AND OTHER SPECIFICATIONS**

Whenever appropriate and prior to any purchase, quotation or tender being sought, it is extremely important that a clear and comprehensive list of requirements is compiled, agreed and set. Each element should be checked to ensure that the stated need is clearly defined, that it matches the actual requirement and that it is neither under nor over specified. Care should also be taken to ensure that wording of the stated requirement is not unnecessarily restrictive or discriminatory in the sense that it would or could be construed to have been drafted in such a way so as to limit the number of potential suppliers.

### **4. SETTING TERMS AND CONDITIONS**

#### **(i) Bid Submissions**

The terms and conditions under which bids are to be submitted must accompany each set of tender documents. The terms and conditions of submission may vary according to the nature of the procurement and appropriate guidance is available from the procurement manager.

#### **(ii) Selection Criteria**

The distinction between selection and award criteria is important. Selection criteria are focused on "the bidder" and award criteria are focused on "the bid". It is good practice that the Procurement Officer maintains a clear distinction between both throughout the procurement process. This means that issues/questions which are appropriate to the selection criteria should be addressed at the selection stage and should not form part of the award stage - See more at:

<https://www.procurementjourney.scot/route-2/route-2-develop-documents-selection-award-and-exclusion-criteria-selection-criteria#sthash.CPvD2HIQ.dpuf>

Where it has been determined that minimum standards are applicable either within selection or award criteria they must relate to and be proportionate to the subject matter of the requirement and be clearly detailed in the appropriate documentation.

The selection stage, involves an examination of the suitability and capability of the potential suppliers to perform the contract that will be awarded at the end of the competition. The criteria used for selection must be appropriate, relevant and proportionate to the particular procurement. The selection process should be a "backward-looking, not forward-looking" process.

To allow organisations to identify a number of suitably qualified and experienced businesses who will be invited to submit a tender, the Single Procurement Document (SPD) should be used.

Selection Criteria includes suitability to pursue a professional activity, economic and financial standing, turnover, annual accounts, insurance levels, technical and professional ability, environmental management legislation, health and safety legislation and quality management procedures.

The SPD (Scotland) should be used for all selection stage questions. Organisations can issue selection stage questions either in advance of an ITT, as part of a two stage process, or within an ITT document, a one stage process. This is to allow organisations to identify suitably qualified and experienced bidders, and to ensure consistency in their approach to selection.

### **(iii) Award Criteria**

GSA must base the award of public contracts on the most economically advantageous tender, including an assessment of quality and cost. GSA must not use price only or cost only as the sole award criteria.

The criteria to be applied in determining the award of contract should be stated in the tender documents and would normally be 'most economically advantageous'. This embraces price, delivery date, running costs, cost effectiveness, quality, aesthetic and functional characteristics, technical merit, sustainability, after sales service and technical assistance. Whenever possible, these elements should be shown on the tender document in descending order of importance.

Technical award criteria referred to in the paragraph above may comprise or include:

- (i) quality, including technical merit, aesthetic and functional characteristics, accessibility, design for all users, social, environmental and innovative characteristics and trading and its conditions;
- (ii) organisation, qualification and experience of staff assigned to performing the contract, where the quality of the staff assigned can have a significant impact on the level of performance of the contract; or
- (iii) after-sales service and technical assistance, delivery conditions such as delivery date, delivery process and delivery period or period of completion.

## **5. TENDERING**

### ***Important Notes***

- (i) Tendering should be managed using the [www.publiccontractsscotland.gov.uk](http://www.publiccontractsscotland.gov.uk) (PCS) tendering portal. For Tenders over £20,000 in value, the procurement department will manage the tendering process. Higher Value Regulated tenders should be administered using the Public Contracts Scotland- Tender (PCS-T)portal.
- (ii) The procurement manager or a head of department or must calculate the estimated value of a contract as follows:
  - a. By reference to the total amount payable under it (including optional renewals or extensions)
  - b. by considering the expenditure across the entire institution
  - c. in the case of a contract without a fixed term or the term of which cannot be defined, the monthly value multiplied by 48
  - d. In the case of a public works contract the estimated value shall include the total estimated value of any supplies and services that are necessary for executing the works and are to be provided by the contracting authority to the contractor.
- (iii) Great care must be exercised in setting/accepting all or any technical or other specifications as they will form the basis of a contract which will be legally binding.
- (iv) Tender documents must be issued for all major purchases including the hiring and leasing of goods, services and works contracts and must also include a copy of GSA's Terms and Conditions of Purchase.
- (v) Late bids should not be accepted unless there are technical reasons behind this and

the procurement manager has been notified in advance.

## **6. EVALUATION OF BIDS**

Full evaluation of all valid bids should be undertaken using only the award criteria declared in the tender documents. Scoring should be completed by a tender evaluation panel. It is best practice to evaluate the technical/quality scores independently of the commercial/price scoring to ensure that scoring is not influenced by either factor. Consensus scoring should be reached to agree a single score for each tenderer. Scoring methodology should be clearly described within the tender documentation.

## **7. NOTIFYING BIDDERS OF RESULTS**

When a decision has been reached all bidders should be notified in writing as to the status of their bid. Unsuccessful bidders are legally obliged to receive a debrief, including comparative tender scoring against the winning bid, reasons why they were unsuccessful and how they can improve their future bids.

## **8. POST TENDER NEGOTIATION**

This technique should also be used for fine tuning purposes only and should always involve the procurement manager or Director of Finance. If the outcome of any such negotiation is considered to have materially altered the contract, then the tender process will be invalidated.

## **9. AWARD OF CONTRACT**

- (i) A Contract Award Notice must be published on the PCS portal within 30 calendar days.
- (ii) An official Purchase Order (the contract), duly completed and signed by the authorised signatory, should be published and issued to the successful supplier. In order that our Conditions of Purchase are met, a phrase such as: 'GSA's Terms and Conditions of Purchase apply' must appear on the face of the Official Purchase Order.  
If any award of contract requires employees of the supplier or their sub-contractor(s) to undertake work in GSA's premises then and prior to commencement of such work, a copy of GSA's Site Rules must be issued to the appropriate parties. The supplier must confirm receipt of the same in writing. The acknowledgement must be signed by: in the case of a company, either a Director or the Company Secretary or, in other cases, by the Senior Partner or Owner.

## **10. AUDIT TRAIL FOR CONTRACT AWARDS**

Records of all documentation for all contracts awarded must be maintained for the duration of the contract. The tenders will be stored electronically on the PCS or PCS-T tendering portals. GSA staff should maintain a copy of the Contract within their own files for the duration of the Contract.

The tender award date and contract details and benefits must be entered into the contracts database.

**APPENDIX D: Contractor Assurance Form**

<b>School Name (Data Controller)</b>	
<b>Vendor Name (Data Processor)</b>	
<b>Contract Reference(s) &amp; Title</b>	
<b>Duration of Contract</b>	

**QUESTIONS C1 AND C2 TO BE COMPLETED BY THE SCHOOL (DATA CONTROLLER)**

**Introduction**

The purpose of this document is for the vendor when they are acting as a Data Processor for the School (as Data Controller) to provide assurance that they are handling / managing the School's personal data in compliance with the General Data Protection Regulation (GDPR) and other relevant data protection legislation.

When this document has been completed for a contract, the School should ensure that there are no local processes or data handling activities, or additional activities that may not have been covered and ask any supplementary questions as relevant.

**C1 - Summary of Contractual Relationship / Nature of Supply of GDPR Relevant Services & Goods:**  
Enter below a summary of services / goods etc. that are to be provided as part of the relevant contract

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**C2 – Services / Goods that will Involve Handling Personal Data and What Forms of Data Will be Handled:**  
List below the particular aspects of the services / goods that involve managing/transferring personal data, and against each:

- What personal data types are handled
- Why that personal data is required to be processed / held

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**QUESTIONS FROM THIS POINT ON SHOULD BE COMPLETED BY THE VENDOR (DATA PROCESSOR)**

**All questions should be answered from the context of your company operating as a Data Processor for the School.**

<b>P1 - Please advise of any other School personal data beyond that stated in C2 that will be processed in relation to the stated contract, and/or for purposes other than that stated in C2</b>
[enter information here]
<b>P2 - How do you ensure persons authorised to handle personal data are properly trained, fully aware of their obligations in maintaining confidentiality of personal data, and that this awareness is maintained?</b>
[enter information here]
<b>P3 - What steps do you take during recruitment to ensure relevant staff are fit and proper persons to handle personal data?</b>
[enter information here]
<b>P4 - How do you ensure that only staff who have a need to access or handle personal data do so?</b>
[enter information here]
<b>P5 - How do you ensure that only staff who have a need to access or handle personal data do so?</b>
[enter information here]
<b>P6 - Please detail your security measures in place for collecting, using, storing and destroying the School's personal data?</b>  <i>This could include back-up procedures, encryption, secure file storage, levels of security of physical data etc.</i>  Please include the actual tools/formats/storage types used to hold each aspect of physical and electronic data.
[enter information here]



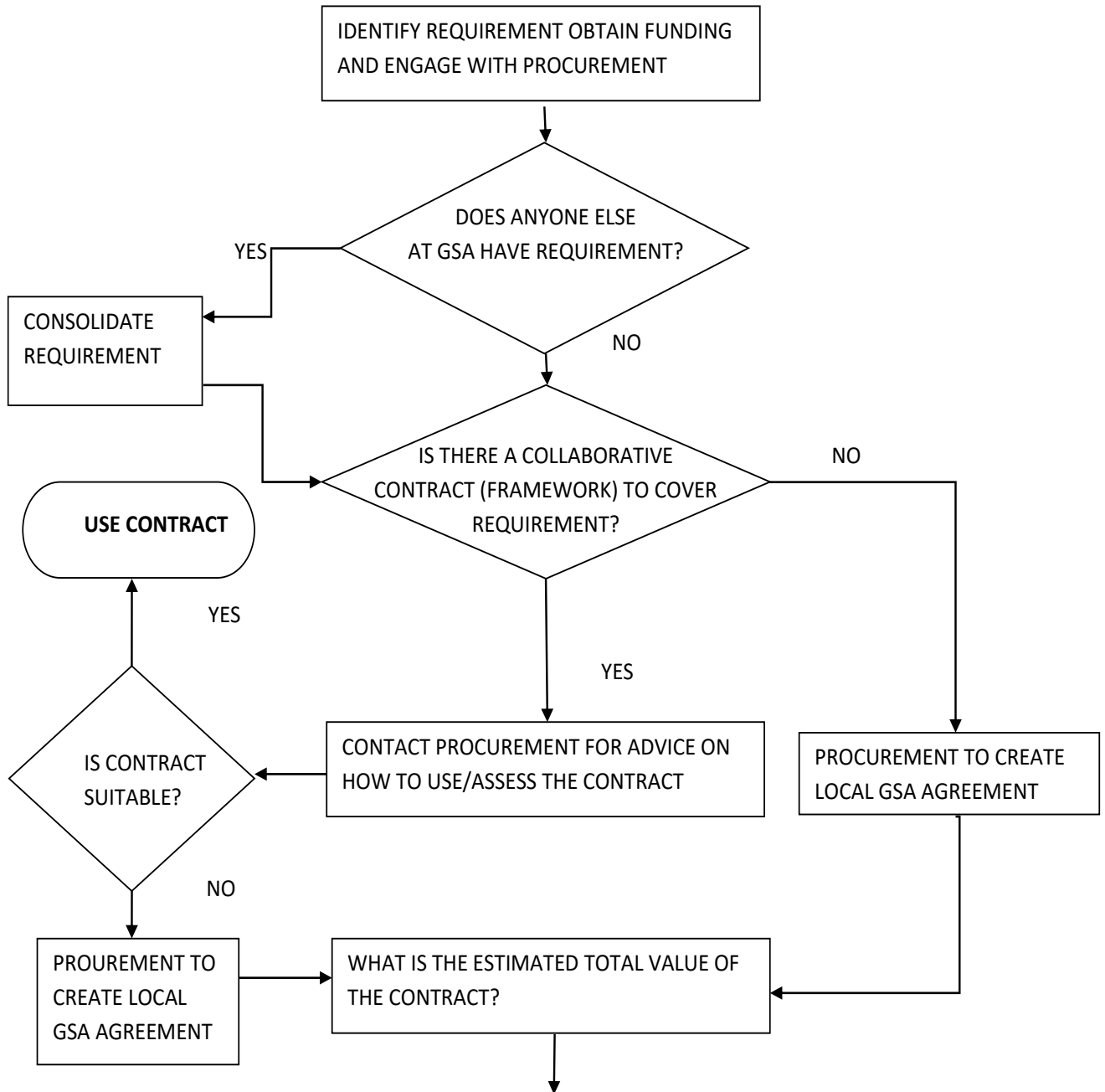
<b>P7 - Where exactly, geographically, will any physical/paper and electronic personal data be both processed and stored and (where applicable) backed up to?</b>	
<b>What security measures are in place in these locations</b>	
[enter information here]	
<b>P8 - Outline at a high level your breach detection and response process and in particular how you would interact with the School where School personal data has or may have been breached.</b>	
[enter information here]	
<b>P9 - If you intend to use or are using third parties appointed by you that will/do have access to the School's personal data, what processes are in place to safeguard such data?</b>	
[enter information here]	
<b>P10 - What is your process to advise us of any material changes to the information set out above?</b>	
[enter information here]	

This document should be read and applied alongside the terms and conditions of contract and in particular, the clauses that relate to personal data protection. The document should be signed by a senior manager within the vendor company qualified and empowered to understand the matters concerned and with the authority to sign this document on behalf of the vendor company.

I hereby confirm on behalf of my company / group company that I am authorised to complete this information and that the information provided is accurate and complete and I therefore indemnify the School against any and all cost incurred if a data breach occurs as a result of this information not being accurate, complete and complied with.

For and on Behalf of:	
Name:	
Position:	
Date:	

**APPENDIX E: Procurement Process Quick Guide**



<u>Less than £750</u>	<u>£750 - £4,999</u>	<u>£5,000 - £19,999</u>	<u>£20,000 - £49,999</u>	<u>£50,000 - £99,999</u>	<u>£100,000 - £213,476 (VAT inclusive) indicative value excluding 20% VAT £177,896</u>	<u>Over £213,477 (VAT inclusive) indicative value excluding 20% VAT £177,897</u>
No formal requirement	At least 2 written quotes	3 written quotes and Finance Manager approval	3 formal tenders and Director of Finance approval	3 formal tenders and Directorate approval	3 formal tenders and Business Committee approval	Higher Value Regulated tender and Business Committee approval

**\* Engagement with Procurement is essential for all contract spend and off contract spend**

## APPENDIX F: Scheme of Delegated Authorities

The following sets out where responsibilities lie in the School across the main areas of financial and estates management for approval of contracts.

### *A Financial Management*

- |  |   |
|--|---|
| <b>1. Banking, Borrowing and Lending</b>   | Board, on recommendation of Business and Estates Committee<br>(SFC approval required for borrowing above a certain limit) |
| <b>2. Annual Budget</b>  | Board, on recommendation of Business and Estates Committee  |
| <b>3. Management of School and Department Budgets</b>                              | Heads of School and Professional Support Departments  |
| <b>4. Investment of Endowment Funds</b>  | Investment Committee  |
| <b>5. Authorisation of expenditure (excluding Estates and Capital Expenditure)</b> | All expenditure approval subject to availability within agreed budgets  |

### **Expenditure under APUC or other Centres of Expertise Frameworks**

Up to £20,000	Budgetholder
£20,000 and up to £100,000	Budgetholder and Director of Finance
Over £100,000	Business and Estates Committee

### **Expenditure where there is no APUC or other Centres of Expertise Frameworks available or where the framework is deemed unsuitable (business case for this must be made and approved by the Head of Procurement)**

Up to £750	Budgetholder
£750 and up to £5,000	Budgetholder + 2 written quotations required
£5,000 and up to £20,000	Budgetholder + 3 written quotations + Approval of Head of Finance required
£20,000 and up to £213,476	Budgetholder + Approval of Director of Finance required + Full Tender through Procurement Department
£213,477 and up to £250,000	Approval of Director + Full Tender through Procurement Department
More than £250,000	Business and Estates Committee + Full Tender through Procurement Department