



THE UNIVERSITY of EDINBURGH

Estates Committee
Raeburn Room, Old College
Wednesday 14 September 2016, 9.30-12.30pm

AGENDA

The meeting will commence with a short presentation by the Director of Finance giving a financial overview of the Central Bioresearch Services Strategy (Refer to Paper C)

- 1 Minute (closed)** **A**
To approve the minute of the previous meeting held on 25 May 2016.
- 2 Matters Arising**
To raise any matters arising.

SUBSTANTIVE ITEMS

- Estates Annual Capital Plan 2016-2026 (closed)** **B**
To note a paper from Director of Estates.
- 3.1 Analysis of Projects: Budget Vs Final Spend 2013 – 2015 (closed)** **B1**
To note a paper from Director of Estates.
- 3.2 Finance Director's Update – Interim Ten Year Forecast (September 2016) (closed)** **B2**
To note a paper from Director of Finance.
- 4 Central Bioresearch Services Strategy (closed)** **C**
To note a paper from Director of Corporate Services.
 - 4.1 Central Breeding Hub (closed)** **C1**
 - 4.2 Chancellor's Building - Biomedical Research Facility Refurbishment (closed)** **C2**
 - 4.3 Queen's Medical Research Institute - Biomedical Research Facility Refurbishment (closed)** **C3**
 - 4.4 Institute for Regeneration and Repair - Biological Research Facility (closed)** **C4**
 - 4.5 Western General Hospital - Biomedical Research Facility (closed)** **C5**
 - 4.6 New Biology - Biomedical Research Facility (closed)** **C6**

- | | | |
|---|--|----|
| 5 | <p>'Building a New Biology' Project (closed) To <u>endorse</u> a paper from College of Science and Engineering</p> | D |
| 6 | <p>New College – Stonework Repairs and Floodlighting (closed) To <u>endorse</u> a paper from Director of Estates</p> | E |
| 7 | <p>Hill Square Learning and Teaching Centre (closed) To <u>note</u> a paper from Director of Estates</p> | F |
| 8 | <p>Main Library Space Study (closed) To <u>endorse</u> a paper from Director of Estates</p> | G |
| 9 | <p>Residential Strategy 2016 – 2026 (closed) To <u>note</u> a paper from Director of Accommodation Catering and Events</p> | H |
| | <p>9.1 Nominations Agreement for St Leonards (closed) To <u>endorse</u> a paper from Director of Accommodation Catering and Events</p> | H1 |
| | <p>9.2 Proposed Student Accommodation at New Waverley (closed) To <u>note</u> a paper from Director of Estates</p> | H2 |

ROUTINE ITEMS

- | | | |
|----|--|----|
| 10 | <p>Estates Committee Sub-Group Approvals To <u>approve</u> a paper from Deputy Director, Head of Estate Development</p> | I |
| 11 | <p>Development Trust Campaign Capital Project Update (Closed) To <u>note</u> an update from Director of Major Gifts</p> | J |
| 12 | <p>Strategic Acquisitions and Disposals (closed) To <u>approve</u> a paper from Director of Estates</p> | K |
| | <p>12.1 Proposed Lease of London Property (closed) To <u>approve</u> a paper from the Director of Corporate Services</p> | K1 |
| 13 | <p>Space Strategy Group (formerly Space Enhancement and Management Group) To <u>approve</u> a paper from Director of Estates</p> | L |
| | <p>13.1 Teaching Accommodation Upgrades 2016/2017 To <u>approve</u> a paper from Deputy Director, Head of Estate Development</p> | L1 |

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

- | | | |
|-----------|---|----------|
| 14 | PwC Capital Programme Readiness Assessment – Final report (closed) To <u>note</u> a paper from Director of Estates. | M |
| 15 | Estates Department Purchasing Protocol To <u>approve</u> a paper from Depute Director, Head of Estate Development | N |
| 16 | College of Arts, Humanities and Social Sciences Summary Report (closed) To <u>approve</u> a paper from College Registrar, College of Arts, Humanities and Social Science | O |
| 17 | College of Medicine & Veterinary Medicine Summary Report (closed) To <u>approve</u> a paper from College Registrar, Medicine & Veterinary Medicine will comprise: | P |
| 18 | Hard Services Review – Interim Update (closed) To <u>note</u> a paper by Assistant Director of Estates (Head of Estates Operations) | Q |
| 19 | Leading Through Action: The University of Edinburgh Climate Change Strategy 2016-2026 (closed) To <u>comment</u> and <u>note</u> a paper from Director of Corporate Services. | R |
| 20 | Estates Risk Register (closed) To <u>note</u> a paper from Depute Director, Head of Estate Development | S |
| 21 | Date of next meeting: Wednesday 7 December 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 Papers at link: <https://www.wiki.ed.ac.uk/display/UCC/Estates+Committee>

Business Cases at link: <https://www.wiki.ed.ac.uk/display/UCC/Business+Cases>.



ESTATES COMMITTEE

14 September 2016

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 meeting on 25 May 2016. The paper also presents a list of contracts awards (greater than £250,000) over the period 14 May 2016 to 25 August 2016.

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 25 May 2016.

Background and context

4. This paper enhances the 'transparency' in relation to the operation of the ECSG, highlighted in the effectiveness review.

Discussion

5. Since the Estates Committee last met, ECSG endorsed a recommendation to acquire the Fire Station at Lauriston Place from the Scottish Fire and Rescue Service at a cost of up to £8m. This recommendation has since been considered by the Exceptions Committee prior to the submission of a bid before the closing date on 1 September 2016.

6. A list of works contracts awards (greater than £250,000) over the period 14 May 2016 to 25 August 2016 is included as an Appendix.

Resource implications

7. At the time of reporting, it is unknown if the offer to acquire the Fire Station is successful, however the offer will be at a cost of up to £8m.

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 Finance, 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
25 August 2016

Presenter

Graham Bell
Depute Director, Head of
Estate Development

Freedom of Information

13. This is an open paper.

Works Contracts Awards = > £250,000
14 May 2016 - 25 August 2016

Paper I- Appendix

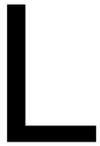
| Appointed Contractor | Project Description | Contract Award | |
|-----------------------------------|---|----------------|-----------------------|
| Arthur McKay | Fire Asset Protection Works at Old College, New College and Drummond Street | £ | 706,008.84 |
| Corstorphine Roofing and Building | Roofing works at JCMB | £ | 316,764.31 |
| Arthur McKay | Main Library, new study spaces | £ | 270,399.95 |
| Forest Environmental | Quartermile, Phase 2 Basement Asbestos Removal Works | £ | 418,405.00 |
| Land Engineering | LARIF Enabling Works - Perimeter Road | £ | 1,517,792.89 |
| Clark Contracts | Pleasance Refurbishment Phase 2 - 48 Pleasance / Theatre Building | £ | 1,851,768.10 |
| | | Total | £ 5,081,139.09 |

Services Contracts Awards = > £250,000
14 May 2016 - 25 August 2016

| Appointed Consultant | Project Description | Contract Award | |
|----------------------|---------------------|----------------|------------|
| None | | £ | - |
| | | Total | £ - |

Goods Contracts Awards = > £250,000
14 May 2016 - 25 August 2016

| Appointed Supplier | Project Description | Contract Award | |
|--------------------|----------------------|----------------|-----------------------|
| Siemens Healthcare | LARIF 3T MRI Scanner | £ | 2,303,633.00 |
| | | Total | £ 2,303,633.00 |



ESTATES COMMITTEE

14 September 2016

**Space Strategy Group
(formerly Space Enhancement and Management Group)**

Description of paper

1. This paper reports on the main matters discussed at the first meeting of the Space Strategy Group (SSG) held on 29 August 2016.

Action requested

2. Estates Committee is asked to note the matters reported and endorse the proposed Terms of Reference (Appendix 1 attached) for the Space Strategy Group.

Recommendation

3. Estates Committee is recommended to endorse the proposed Terms of Reference for the Space Strategy Group.

Background and context

4. Following Central Management Group's steer on 1 March 2016 to mitigate the severe challenges experienced around the teaching estate provision during the 2015/16 academic year, it was agreed that the Space Enhancement and Management Group be refreshed with a revised Terms of Reference to incorporate both strategic and operational responsibility and focus on high level reporting/principles of management with reduced operational detail. The attached Appendix presents the proposed Terms of Reference for the newly established Space Strategy Group.

5. The Teaching Spaces Overview Group (TSOG) (a working group of the Space Strategy Group) was established in May 2016 to implement the recommendations contained in the Chief Information Officer's review to ensure delivery of the correct amount and configuration of teaching space to support 2016/17 core academic teaching requirements. TSOG co-ordinated a range of analysis and actions designed to facilitate a significant improvement to the experience of students when engaging with their taught timetable for 2016/2017, liaising closely with Schools throughout this process.

6. A programme of refurbishment has been undertaken funded by RDEC (£1.5m) and teaching room refurbishment programme (£0.25m) has enabled the University to deliver a higher quality and condition across a larger number of teaching spaces.

7. Although there is still a good deal of work required to ensure all core teaching is successfully and appropriately scheduled, the University sits in a much healthier position regarding its teaching space provision for the forthcoming academic year

Discussion

8. Estates Committee is requested to endorse the proposed Terms of Reference of the new Group (Appendix 1).

TSOG Update

9. Emerging through the recommendations contained within the CIO's review of timetabling (published Jan 2016), TSOG has provided oversight for the teaching space provision required to support 2016/17 core teaching, as well as defining robust business processes for both the management of short-term rooming issues, and for the planning of future teaching space provision.

10. The combination of estate development completion and the sourcing of additional contingency space has led to a net increase (19 rooms) in the level of general teaching space provision in both Central and KB teaching zones – as detailed in the table below:

| Cap Range | Central Area | | King's Buildings | | Holyrood | | New College | | Lauriston | |
|--------------|--------------|------------|------------------|-----------|-----------|-----------|-------------|----------|-----------|-----------|
| | 1516 | 1617 | 1516 | 1617 | 1516 | 1617 | 1516 | 1617 | 1516 | 1617 |
| 304+ | 2 | 2 | 2 | 2 | 1 | 0 | 0 | 0 | 0 | 0 |
| 195-303 | 8 | 8 | 4 | 4 | 0 | 1 | 0 | 0 | 1 | 1 |
| 101-194 | 8 | 7 | 5 | 4 | 2 | 2 | 1 | 1 | 0 | 0 |
| 50-100 | 20 | 20 | 17 | 18 | 10 | 10 | 1 | 1 | 4 | 4 |
| 21-49 | 48 | 51 | 19 | 20 | 26 | 26 | 2 | 3 | 2 | 2 |
| 1-20 | 89 | 102 | 3 | 6 | 31 | 31 | 3 | 2 | 3 | 3 |
| TOTAL | 175 | 190 | 50 | 54 | 70 | 70 | 7 | 7 | 10 | 10 |

This net increase in allocated teaching space has helped to deliver, for 2016/17:

- 1) An increase in School '1st preference' allocations to 91% - up from 77% in 2015/2016
- 2) The elimination of additional student travel time constraints, previously introduced through enforced allocation of Central area activities in Holyrood
- 3) As of 31/08/16 – only a very small handful of core teaching activities are still to be accommodated
- 4) The removal of any reliance on locally-managed School meeting space to provide additional contingency – although one CHSS meeting room and one IS Library training room have been included for use in 2016/2017

11. The current 2016/2017 space provision has produced the early utilisation figures detailed below. All will be subject to increase as we move through the semesters

| Zone | Semester One | | | Semester Two | | |
|-----------------|--------------|-----------|-------------|--------------|-----------|-------------|
| | Frequency | Occupancy | Utilisation | Frequency | Occupancy | Utilisation |
| Central | 63.47% | 81.54% | 52.05% | 60.98% | 82.20% | 49.96% |
| Kings Buildings | 50.85% | 76.11% | 38.43% | 45.65% | 72.73% | 33.28% |
| Holyrood | 38.31% | 80.24% | 30.86% | 29.51% | 84.35% | 24.86% |

Escalation of issues

12. TSOG has co-ordinated an update to the policy regarding the escalation of timetabling issues: ensuring clearly defined escalation points and named contacts, with the designated owner of teaching space identified as the final point of arbitration.

Ongoing provision of teaching space

13. TSOG has defined a new approach to the planning and provision of teaching space, designed to ensure the Estates Department has best available guidance and the most amount of lead time to ensure any required contingencies can be successfully delivered. Two modelling points have been identified across a timeline:

- 1) October – initial timetable modelling using current year timetable and emerging student growth prediction, matched against expected estate provision emerging through various strategies. This allows for early contingency planning in the event of any predicted shortfall
- 2) April – second round of timetable modelling to co-incide with more clearly defined student growth data, designed to identify any necessary scope for change to teaching space development plans

Future

14. TSOG will continue to report to SSG in the short-term, and may be subject to an extension of its lifespan. However, its core remit will continue under SSG governance.

Teaching Accommodation upgrades 2015-16

15. The majority of rooms refurbished under the Teaching accommodation upgrade programme for 2015/2016 were completed by 20th August: with the exception of the following:-

- a) AV upgrades to MVM estate - these rooms required no fabric or furniture upgrades, only AV, which should be completed by mid-September
- b) Paterson's Land, New College and Old Medical School, were used during the summer period by Festivals/Summer School. All Estates works to upgrade these areas were completed prior to the summer activities, with the exception of the new furniture and AV installations. Now that the rooms are vacated, Learning Spaces Technology and Estates can complete the required works, with the rooms available for use from week 1 of Semester 1.

16. The additional rooms added onto the refurbishment programme mid-year to provide contingency teaching spaces to accommodate the outstanding bookings for the 2016/2017 teaching load should be available for use from week 1, Semester 1.

17. Although the final accounts are not concluded, the 2015/2016 teaching programme is expected to be completed on budget of £1.75m: the final costs and the detail of the room upgrades, will be presented to the November SSG meeting.

Teaching Accommodation upgrades 2016-17

18. Paper L1 presents the draft programme and estimated costs for 2016/2017, with a request for funding from the RDEC monies.

Marginal Charges for Centrally Bookable Rooms – Rates for 2016-17

19. The Group noted the 8% increase in marginal rates for staffing and 3% for utilities for 2016-17. These are the rates that Estates Department charge for centrally bookable rooms to Edinburgh First (for conferences) and to Schools for use of space beyond normal hours. This increase is in line with increases in staff salary which were forecast in the planning and budgeting round (8% in 2016-17 and 4% in 2017-18).

20. Appendix 2 presents these figures for the current academic year 2016-17 and a proposed schedule for 2017-18.

21. NPRAS Rates for 2017-18

The Group noted the revised NPRAS rates for use in the 2017-18 planning round. As per previous years, different rates are set for 'Moderately serviced' and 'Highly serviced' buildings – these categories make up the majority of the estate.

Resource implications

22. Colleagues time in developing and implementing policies to ensure the optimal use of all teaching and learning space in line with the Strategic Plan and other relevant plans, policies and strategies.

Risk Management

23. The main risk is future disruption to University Business continuity due to insufficient or inappropriate space.

Next steps/implications

24. The Terms of Reference and membership to progress to Central Management Group and other appropriate committees.

Consultation

25. Space Strategy Group and Teaching Space Oversight Group members.

Further information

26. Author

Scott Rosie,
Head of Timetabling Services
Gillian Nicoll, Space Manager
Angela Lewthwaite, Secretary to SEMG
31 August 2016

Presenter

Gary Jebb
Director of Estates

Freedom of Information

27. This is an open paper

Proposed - Space Strategy Group

Formerly Space Enhancement and Management Group

Terms of Reference [Draft: to be approved by Estates Committee and Central Management Group]

1. Purpose

The purpose of this Group is to optimise the use and quality of space across the Estate through joined up working across the University community and, more specifically, to provide clear governance and oversight of teaching and learning spaces.

2. Remit

- Be responsible for developing, implementing and reviewing policies to optimise the use of all space, and more specifically, to oversee learning and teaching space, in line with the Strategic Plan and other relevant plans, policies and strategies.
- Work collaboratively with the University community, through communication, innovation and consultation, to envision and convey the academic, environmental, sustainability and financial benefits that arise from a strategic approach to effective space management for the teaching and learning environment.
- Work closely with the student and staff community to develop a teaching and learning space strategy, influenced by the University's developing Learning and Teaching Strategy, and associated plan and agree appropriate mechanisms to oversee its delivery.
- Consider and recommend proposals and policies to Estates Committee, such as the annual teaching spaces refurbishment programme, ensuring that the University has the number of teaching spaces required on an annual basis.
- Promote 'best practice' in the learning and teaching spaces' environment to enhance the student and staff experience.
- Receive reports and establish KPIs on all types of space usage, quality and efficiency, for example carbon impact and accessibility, which allow benchmarking against the sector and drive improved performance and monitor and analyse requests for space
- Consider and approve projects, and papers which will directly affect teaching, learning and exam spaces, including overseeing teaching spaces and escalation point for critical matters affecting teaching and learning spaces.
- Support the development of tools, including modelling and capacity planning tools, including the timetabling process, which can assist with optimising space, provide quality management information, and link to sector-wide developments and external reporting requirements.
- Set up (short term) working groups as required to deal with specific issues.

Cont'd ...

3. Composition

Assistant Principal Professor Sarah Cunningham-Burley (Convener)
Mr Graham Bell, Head of Estates Development & Depute Director
Mr Gavin Douglas, Deputy Secretary, Student Experience
Mr David Gorman, Director of Social Responsibility and Sustainability
Ms Melissa Highton, Director IS Learning, Teaching and Web
Mr Gary Jebb, Director of Estates (Deputy Convener)
Mr Gavin McLachlan, CIO and Librarian (Deputy Convener)
Mrs Gillian Nicoll Space Manager
Mr Scott Rosie, Head of Timetabling Service
Mr Jeremy Upton Director IS Library & University Collections Division or nominee [library spaces]
AV]
One senior academic representative from each College, Dean or equivalent
One senior professional service representative from each College (DOP or Estates Practitioner)
Student representatives (EUSA VPS)
Mrs Angela Lewthwaite, Secretary

Colleagues will be co-opted as and when necessary

4. Reporting

SSG will report to the Estates Committee and Central Management Group and business can be escalated via Estates Committee to Policy & Resources Committee and then to Court as required. In addition, papers can be submitted to Senate and its committees as appropriate, although in particular it is expected that the Group will report to Learning and Teaching Committee to ensure strong links with the University's Learning and Teaching Strategy.



ESTATES COMMITTEE

14 September 2016

Teaching Accommodation Upgrades 2016-2017

Description of paper

1. This paper presents the draft programme of teaching room refurbishments proposed for 2016/2017 together with the associated costs and a request for funding from RDEC monies.

Action requested

2. Estates Committee is asked to consider and approve the refurbishment programme funded from RDEC at a total cost of £1.9m.

Recommendation

3. Estates Committee is recommended to approve an allocation of the RDEC funding [£1.9m] to the Learning and Teaching room refurbishment programme 2016-17 as per the attached Appendix with the main objective being to enhance the student experience.

Background and context

4. At the University of Court meeting on 21 September 2015, Court noted progress in the recovery of RDEC-related tax relief. Subsequently at the December 2015 Estates Committee, £3.9m of RDEC funding was approved from the £5.8m available RDEC funding. The balance of £1.9m related to future capital projects to enhance the student experience.

5. It was also noted at the December 2015 Estates Committee

Other Institutional purposes (£1.9m)

“It is envisaged that the annual refurbishment of teaching room refurbishments will continue over 2016-17 and a draft programme to complete the priorities highlighted by the Timetabling Unit / Estates / Learning Spaces Technology (LST), will be prepared. This will be presented to Estates Committee for approval at a future date.”

Discussion

6. As with last year’s 2015-2016 programme, a priority list has been jointly co-ordinated by the Timetabling Unit, Estates Department and LST. Inputs on condition and audio visual have been added from survey information prepared by Estates, LST and the list addresses general teaching rooms that sit out-with planned major capital projects and does not discriminate between rooms currently classed as ‘centrally resourced’ or ‘school owned’.

7. The criteria was based on the same key room attributes and a traffic light assessment discussed at the Teaching Accommodation Group for the 2015-2016 programme: furthermore, Estates Department and LTS has identified additional criteria in considering the proposed 2016-2017 programme including improvements in accessibility and egress and opportunities to create “digital” classroom environments with improved AV/IT and furniture.

8. A total programme cost of £1.9m has been proposed between March 2017 and August 2017.

The draft priority list of teaching rooms is attached as Appendix 1.

Resource implications

9. The allocation of £1.9m RDEC funding is proposed.

Risk Management

10. Key risks associated with this paper are as previously reported:

1. Immediate risk – Programme delivery risk for August / September 2017, if there is not an early allocation of RDEC funding to allow design work to progress.
2. Longer term risk – as with last year, if an annual funding stream is not agreed, works to improve the overall quality of space and equipment consistently across the estate will not be achieved, leading to a poorer level of estate provision, directly impacting on the Student Experience.

Equality & Diversity

11. Some of the teaching rooms are not fully accessible however improvements to access and egress as well as visual and hearing aides are proposed as part of the 2016/2017 programme.

Next steps/implications

12. Next steps include the following:

- Implement the teaching room refurbishment for 2016-2017.
- Consider proposals for the 2017/2018 teaching room refurbishments rolling programme and appropriate funding.

13. This paper has been reviewed by Estates, LST and TTU colleagues. SSG supports the request for funding, and also noted the requirement for a future rolling programme to continue the work to improve the number of quality rooms within the Learning & Teaching Estate.

Further information

14. Author
Gillian Nicoll, Space Manager
6 September 2016

Presenter
Graham Bell
Depute Director of Estates

Freedom of Information

15. This paper is open.

| Location Name | CAPACITY | Building | FREQUENCY - 1516 Semester 1 | FABRIC CONDITION | FURNITURE CONDITION | AUDIO VISUAL QUALITY | ACCESSIBILITY | STRATEGICALLY IMPORTANT | PROGRAMME PRIORITY | PRIORITY USER | Estates Cost | AV Upgrade Cost | Combined Cost Per Room |
|--|----------|--------------------------------------|-----------------------------|------------------|---------------------|----------------------|---------------|-------------------------|--------------------|---------------------|------------------|-----------------|------------------------|
| Basement LT | 164 | Adam House | N/A | B | C | A | Yes | Yes | 1 | N/A | £102,790 | £5,000 | £107,790 |
| M2a | 24 | Appleton Tower | 64.89% | B | B | B | Yes | Yes | 1 | Maths & Physics | £21,333 | £10,000 | £31,333 |
| M2b | 48 | Appleton Tower | 72.39% | B | B | B | Yes | Yes | 1 | Maths & Physics | £40,074 | £60,000 | £100,074 |
| M2c | 24 | Appleton Tower | 66.02% | B | B | B | Yes | Yes | 1 | Maths & Physics | 18,725 | 10,000 | 28,725 |
| M1 | 18 | Appleton Tower | 72.84% | B | A | B | Yes | Yes | 1 | N/A | 12,339 | 10,000 | 22,339 |
| M3 | 20 | Appleton Tower | n/a | B | B | A | Yes | Yes | 1 | Maths | 22,328 | 1,000 | 23,328 |
| Seminar Room G5 | 28 | Appleton Tower | n/a | A | A | B | Yes | Yes | 1 | N/A | 22,241 | 12,000 | 34,241 |
| F.21 | 125 | 7 George Square | 69.09% | C | C | A | No | Yes | 1 | PPLS | 112,500 | 15,000 | 127,500 |
| S.1 | 80 | 7 George Square | 73.07% | B | B | A | No | Yes | 2 | PPLS | 40,558 | 15,000 | 55,558 |
| MVM - New room to be identified for PG Vivas | 4 to 6 | Central Area | n/a | tbc | tbc | tbc | tbc | Yes | 1 | MVM - Medicine | tbc | 12,000 | 12,000 |
| MVM - Greenfield Suite Side Room 4 | 8 | Central Area | n/a | B | B | A | Yes | Yes | 3 | MVM - Medicine | 7,980 | 0 | 7,980 |
| MVM - Greenfield Suite Side Room 5 | 8 | Central Area | n/a | B | B | A | Yes | Yes | 3 | MVM - Medicine | 7,980 | 0 | 7,980 |
| Meadows Lecture theatre | 170 | Central Area | n/a | B | C | A | Yes | Yes | 1 | MVM - Medicine | 331,000 | 20,000 | 351,000 |
| Theatre 250 | 228 | Joseph Black Building | n/a | B | B | tbc | Yes | Yes | 1 | Chemistry | 79,190 | 35,000 | 114,190 |
| Theatre 100 | 98 | Joseph Black Building | 52.73% | B | B | B | Yes | No | 1 | Chemistry | 179,400 | 35,000 | 214,400 |
| Room 304B | 45 | Geology/Geophysics (Grant Institute) | 55.68% | A | B | A | Yes | No | 3 | Geosciences | 35,889 | 2,000 | 37,889 |
| Lecture Theatre 201 | 132 | Geology/Geophysics (Grant Institute) | tbc | B | B | tbc | Yes | Yes | 1 | Geosciences | 199,220 | 15,000 | 214,220 |
| Honours Room 1 | 35 | Ashworth Labs | 56.82% | B | B | A | tbc | No | 2 | Biological Sciences | 24,265 | 1,000 | 25,265 |
| Honours Room 2 | 35 | Ashworth Labs | 61.14% | A | B | A | tbc | No | 2 | Biological Sciences | 26,115 | 1,000 | 27,115 |
| G.27 Lecture Theatre 1 | 164 | Daniel Rutherford Building | 55.57% | A | B | B | Yes | Yes | 2 | Biological Sciences | 40,000 | 35,000 | 75,000 |
| 7.15 | 50 | Swann Building | 59.20% | B | B | A | Yes | Yes | 2 | Biological Sciences | 25,130 | 1,000 | 26,130 |
| MVM - F32A + B | 40 | Small Animal Hospital | n/a | B | B | A | Yes | Yes | 3 | MVM - Vets | 22,500 | 0 | 22,500 |
| MVM - GB.26 | 60? | Farm Animal Practice | n/a | B | B | B | tbc | tbc | 3 | MVM - Vets | 19,200 | 0 | 19,200 |
| MVM - G.01 | 98 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G.02 | 24 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G.02A | 24 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G.03 | 30 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G.03A | 30 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G.58 The Albert Bartlett Lecture Theatre | 202 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - G66 Lecture Theatre 2 | 202 | New Vet School | n/a | A | A | B | Yes | Yes | 3 | MVM - Vets | AV only | 0 | 0 |
| MVM - Recording facilities in Seminar Rooms | | WGH Medical Education Centre | n/a | n/a | n/a | as per cell S56 | No | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Digital Signage | | WGH Medical Education Centre | n/a | n/a | n/a | as per cell S57 | No | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Microlab 1 | 20 | Chancellor's Building | n/a | B | B | C | Yes | Yes | 3 | MVM - Medicine | 4,000 | 0 | 4,000 |
| MVM - Microlab 2 | 20 | Chancellor's Building | n/a | B | B | C | Yes | Yes | 3 | MVM - Medicine | 4,000 | 0 | 4,000 |
| MVM - Lecture Theatre A | 262 | Chancellor's Building | n/a | A | A | C | Yes | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Undergraduate Medical Teaching Room | 92 | Chancellor's Building | n/a | B | A | A | Yes | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Board Room | 24 | Chancellor's Building | n/a | A | A | B | Yes | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Harvey Manikin | 6 to 8 | Chancellor's Building | n/a | A | n/a | C | Yes | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - Clinical Skills Control Room | 6 | Chancellor's Building | n/a | A | B | B | Yes | Yes | 3 | MVM - Medicine | AV only | 0 | 0 |
| MVM - New room to be identified for PG Vivas | 4 to 6 | Little France | n/a | tbc | tbc | tbc | Yes | Yes | 1 | MVM - Medicine | 7,980 | 12,000 | 19,980 |
| MVM - 1st Floor Seminar Room | 20 | Kennedy Tower | n/a | C | C | C | No | Yes | 1 | MVM - Medicine | 9,300 | 12,000 | 21,300 |
| MVM - 6th Floor Seminar Room | 20 | Kennedy Tower | n/a | C | C | C | No | Yes | 1 | MVM - Medicine | 9,300 | 12,000 | 21,300 |
| Professional fees | | | | | | | | | | | 120,000 | 0 | 120,000 |
| LST Fees | | | | | | | | | | | 0 | 23,000 | 23,000 |
| | | | | | | | | | | | Total | Total | Combined Total |
| | | | | | | | | | | | 1,545,337 | 354,000 | 1,899,337 |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|----------------------------|--------------------------------|----------------|----------|-------------|----------|
| Centrally Allocated Space | Centrally Resourced | G.8 Gaddum LT | 1 George Square (Neuroscience) | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | B.5 | 14 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | Room 1.01 | 14 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 1.02 | 14 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 1 | 15 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 2 | 15 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 3 | 15 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 4 | 15 Buccleuch Place | C | Analogue | £15,000 | A |
| Phase 3 | Locally Resourced | 2.30 | 15 Buccleuch Place | | | | |
| Phase 3 | Locally Resourced | G.02 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | G.22 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | G.23 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | G.26 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | 1.1 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | 1.10 * (access at 19GSq) * | 16-20 George Square | | | | |
| Phase 3 | Locally Resourced | G.01 | 21 George Square | | | | |
| Phase 3 | Locally Resourced | G.02 | 21 George Square | | | | |
| Centrally Allocated Space | Centrally Resourced | 1.2 | 22 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 1.4 | 22 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 2.2 | 22 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 2.3 | 22 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 3.3 | 22 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 1.1 | 24 Buccleuch Place | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 1.3 | 24 Buccleuch Place | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 1.4 | 24 Buccleuch Place | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 1.5 | 24 Buccleuch Place | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 1.6 | 24 Buccleuch Place | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 107 | 24 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 108 | 24 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 109 | 24 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 110 | 24 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 112 | 24 Buccleuch Place | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 1.06 | 27 George Square | | | | |
| Centrally Allocated Space | Centrally Resourced | 1.09 | 27 George Square | | | | |
| Centrally Allocated Space | Centrally Resourced | 2.19 | 27 George Square | | | | |
| Centrally Allocated Space | Centrally Resourced | 2.45 | 27 George Square | | | | |
| Centrally Allocated Space | Centrally Resourced | 2.46 | 27 George Square | | | | |
| Phase 3 | Locally Resourced | G3 | 30 Buccleuch Place | | | | |
| Phase 3 | Locally Resourced | 3.10 | 31 Buccleuch Place | | | | |
| Phase 3 | Locally Resourced | 4.06 | 31 Buccleuch Place | | | | |
| Centrally Allocated Space | Centrally Resourced | G.01 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G.02 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre G.03 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Screening Room G.04 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G.05 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G.06 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.03 | 50 George Square | A | Digital | | |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|-------------------------------------|------------------|----------------|----------|-------------|----------|
| Phase 1 | Centrally Resourced | 2.13 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.14 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.29 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.30 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.39 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.54 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.03 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.13 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.14 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.29 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.30 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.39 | 50 George Square | A | Digital | | |
| Phase 1 | Centrally Resourced | 3.54 | 50 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 2.07 | 56 George Square | | | | |
| Centrally Allocated Space | Locally Resourced | G009 - Richard Verney Health Centre | 7 Bristo Square | C | Analogue | £25,000 | A |
| Phase 3 | Locally Resourced | 13A | 7 Bristo Square | | | | |
| Phase 3 | Locally Resourced | 13B | 7 Bristo Square | | | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 3 | 7 Bristo Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 4 | 7 Bristo Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 5 | 7 Bristo Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 1 | 7 Bristo Square | C | Analogue | £25,000 | A |
| Phase 3 | Locally Resourced | CPLS 2.301 | 7 Bristo Square | | | | |
| Phase 3 | Locally Resourced | CPLS 2.302 | 7 Bristo Square | | | | |
| Centrally Allocated Space | Centrally Resourced | F.21 | 7 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | S.1 | 7 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | S37 | 7 George Square | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Basement Theatre | Adam House | A | Digital | | |
| Phase 4 | Locally Resourced | Lecture Room B2.01 | Alison House | | | | |
| Phase 4 | Locally Resourced | Faculty Room 2.02 | Alison House | | | | |
| Phase 4 | Locally Resourced | Lecture Room A2.04 | Alison House | | | | |
| Phase 4 | Locally Resourced | Seminar Room 2.07 | Alison House | | | | |
| Phase 4 | Centrally Resourced | Classroom 10 | Alrick | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 1 | Appleton Tower | A | Digital | £0 | A |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 2 | Appleton Tower | A | Digital | £0 | A |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 3 | Appleton Tower | A | Digital | £0 | A |
| Centrally Allocated Space | Centrally Resourced | M1 | Appleton Tower | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | M2a | Appleton Tower | B | Analogue | | |
| Centrally Allocated Space | Centrally Resourced | M2b | Appleton Tower | B | Analogue | £80,000 | |
| Centrally Allocated Space | Centrally Resourced | M2c | Appleton Tower | B | Analogue | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 4 | Appleton Tower | A | Digital | £0 | A |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 5 | Appleton Tower | A | Digital | £0 | A |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 1 | Ashworth Labs | B | Analogue | £60,000 | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 3 | Ashworth Labs | A | Digital | | |
| Phase 4 | Centrally Resourced | Honours Room 1 | Ashworth Labs | A | Digital | | |
| Phase 4 | Centrally Resourced | Honours Room 2 | Ashworth Labs | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 2.02 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 2.03 | Charteris Land | C | Analogue | £15,000 | |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|---------------------------|--------------------------------------|----------------|----------|-------------|----------|
| Locally Allocated Space | Centrally Resourced | 3.02 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 3.04 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 3.13 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 4.02 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 4.04 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 4.18 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 4.20 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 5.02 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 5.03 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 5.04 | Charteris Land | C | Analogue | £15,000 | |
| Locally Allocated Space | Centrally Resourced | 5.15 | Charteris Land | C | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 4 | Chrystal MacMillan Building | C | Analogue | £15,000 | B |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 5 | Chrystal MacMillan Building | C | Analogue | £15,000 | B |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 6 | Chrystal MacMillan Building | C | Analogue | £15,000 | B |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 1 | Chrystal MacMillan Building | C | Analogue | £15,000 | B |
| Centrally Allocated Space | Centrally Resourced | Seminar Room 2 | Chrystal MacMillan Building | C | Analogue | £45,000 | B |
| Phase 1 | Centrally Resourced | Meeting Room 1 | Chrystal MacMillan Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Meeting Room 2 | Chrystal MacMillan Building | A | Digital | | |
| Phase 4 | Centrally Resourced | 302 | Crew | A | Digital | | |
| Phase 4 | Locally Resourced | 3 | Crew Building Teaching Lab | A | Digital | | |
| Phase 4 | Centrally Resourced | 4 | Crew Building Teaching Lab | A | Digital | | |
| Phase 4 | Centrally Resourced | 5 | Crew Building Teaching Lab | A | Digital | | |
| Phase 4 | Locally Resourced | 6 | Crew Building Teaching Lab | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G.27 Lecture Theatre 1 | Daniel Rutherford Building | C | Analogue | £25,000 | |
| Centrally Allocated Space | Centrally Resourced | LG.06 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Teaching Studio LG.07 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | LG.08 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | LG.09 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | LG.10 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | LG.11 | David Hume Tower | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Hall A | David Hume Tower LTs | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Hall B | David Hume Tower LTs | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Hall C | David Hume Tower LTs | A | Digital | | |
| Phase 1 | Centrally Resourced | 1.01 | Dugald Stewart Building | A | Digital | | |
| Phase 1 | Centrally Resourced | 1.17 | Dugald Stewart Building | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 1.20 | Dugald Stewart Building | B | Analogue | £45,000 | |
| Centrally Allocated Space | Centrally Resourced | 3.11 - David Hume Room | Dugald Stewart Building | C | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | 3.10 Peter Lodefoged Room | Dugald Stewart Building | C | Analogue | £45,000 | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre No. 1 | Eng Sanderson Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Classroom 9 | Fleeming Jenkin | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 2.01 | Geography (Old Infirmary) | A | Digital | | |
| Phase 4 | Locally Resourced | 2.05 Ogilvie | Geography (Old Infirmary) | | | | |
| Centrally Allocated Space | Centrally Resourced | 2.13 | Geography (Old Infirmary) | A | Digital | | |
| Phase 3 | Locally Resourced | 2.19 Old Library | Geography (Old Infirmary) | | | | |
| Phase 4 | Locally Resourced | 4.08 Geddes | Geography (Old Infirmary) | | | | |
| Phase 4 | Locally Resourced | 4.09 Darwin | Geography (Old Infirmary) | | | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 201 | Geology/Geophysics (Grant Institute) | A | Digital | | |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|--|--------------------------------------|----------------|----------|-------------|----------|
| Centrally Allocated Space | Centrally Resourced | Room 304B | Geology/Geophysics (Grant Institute) | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | George Square Lecture Theatre | George Square Theatre | C | Analogue | £80,000 | A |
| Phase 3 | Locally Resourced | Training & Skills | High School Yards | | | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 2 | Hudson Beare Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Classroom 4 | Hudson Beare Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Classroom 6 | Hudson Beare Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Classroom 7 | Hudson Beare Building | A | Digital | | |
| Phase 1 | Centrally Resourced | Classroom 8 | Hudson Beare Building | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Teaching Studio 1206c | JCMB | C | Analogue | £80,000 | |
| Phase 4 | Locally Resourced | 1501 | JCMB | | | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre A | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre B | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre C | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 3211 | JCMB | C | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | 3212 | JCMB | C | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | 3217 | JCMB | B | Analogue | £60,000 | |
| Phase 3 | Locally Resourced | 4312 | JCMB | | | | |
| Centrally Allocated Space | Centrally Resourced | 4319A | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 4319B | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 4325A | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 4325B | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 4325C - Teaching Studio | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 5215 | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 5326 | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 5327 | JCMB | C | Analogue | £15,000 | A |
| Phase 3 | Locally Resourced | 6201 | JCMB | | | | |
| Centrally Allocated Space | Centrally Resourced | 6206 | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 6301 | JCMB | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Theatre 100 | Joseph Black Building | B | Analogue | £25,000 | |
| Centrally Allocated Space | Centrally Resourced | Theatre 250 | Joseph Black Building | B | Analogue | £25,000 | |
| Centrally Allocated Space | Centrally Resourced | Theatre 40 | Joseph Black Building | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | Main Hall | McEwan Hall | A | Digital | | |
| Phase 3 | Locally Resourced | G.03 - Doorway 6 | Medical School, Teviot | | | | |
| Phase 3 | Locally Resourced | G.04 - Doorway 6 | Medical School, Teviot | | | | |
| Centrally Allocated Space | Centrally Resourced | G.07 Meadows Lecture Theatre - Doorway 4 | Medical School, Teviot | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G.09 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.10 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.11 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.12 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.13 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.14 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.15 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | G.16 Seminar Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Centrally Allocated Space | Centrally Resourced | Teviot Lecture Theatre - Doorway 5 | Medical School, Teviot | A | Digital | | |
| Phase 1 | Centrally Resourced | BLT (Basement Lecture Theatre) - Doorway 6 | Medical School, Teviot | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G205 Seminar Room 1 - Doorway 3 | Medical School, Teviot | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G202B Seminar Room 2 - Doorway 3 | Medical School, Teviot | A | Digital | | |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|--|------------------------|----------------|----------|-------------|----------|
| Centrally Allocated Space | Centrally Resourced | G200 Seminar Room 3 - Doorway 3 | Medical School, Teviot | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | G199 Seminar Room 4 - Doorway 3 | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 204 Biomedical Seminar Room 1 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 203 Biomedical Seminar Room 2 - Doorw | Medical School, Teviot | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.26 Meeting/ Tutorial Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Phase 2 | Centrally Resourced | m 415 Biomedical Seminar Room 6 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 416 Biomedical Seminar Room 5 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 420 Biomedical Seminar Room 4 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 1 | Centrally Resourced | om 425 Anatomy Lecture Theatre - Doorwa | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 434 Biomedical Seminar Room 3 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 1 | Centrally Resourced | 01M.19 Meeting Room - Doorway 4 | Medical School, Teviot | B | Analogue | £15,000 | |
| Phase 1 | Centrally Resourced | 01M.20 Meeting/ Tutorial Room - Doorway | Medical School, Teviot | B | Analogue | £15,000 | |
| Phase 1 | Centrally Resourced | 1M.27 Meeting / Tutorial Room - Doorway | Medical School, Teviot | B | Analogue | £15,000 | |
| Phase 2 | Centrally Resourced | m 469 Biomedical Seminar Room 7 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 473 Biomedical Tutorial Room 3 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 474 Biomedical Tutorial Room 4 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 465 Biomedical Tutorial Room 1 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 2 | Centrally Resourced | m 467 Biomedical Tutorial Room 2 - Doorw | Medical School, Teviot | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.26 Meeting/ Tutorial Room - Doorway 4 | Medical School, Teviot | A | Digital | | |
| Phase 1 | Centrally Resourced | 2.27 Meeting/ Tutorial Room - Doorway 4 | Medical School, Teviot | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Sydney Smith Lecture Theatre - Doorway 1 | Medical School, Teviot | C | Analogue | £25,000 | A |
| Phase 1 | Centrally Resourced | 2M.24 Meeting/ Tutorial Room - Doorway | Medical School, Teviot | B | Analogue | £15,000 | |
| Phase 4 | Locally Resourced | 3.3 - Doorway 6 | Medical School, Teviot | | | | |
| Centrally Allocated Space | Centrally Resourced | SR1 | Minto House | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | SR2 | Minto House | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | SR3 | Minto House | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | SR4 | Minto House | A | Digital | | |
| Phase 4 | Locally Resourced | Seminar Room 5 | Minto House | A | Digital | | |
| Phase 4 | Locally Resourced | Geddes Meeting Room (3.61) | Minto House | | | | |
| Phase 4 | Locally Resourced | Elliot Room | Minto House | | | | |
| Centrally Allocated Space | Locally Resourced | B.57 | Old College | | | | |
| Phase 4 | Locally Resourced | Kenyon Mason Suite | Old College | | | | |
| Centrally Allocated Space | Centrally Resourced | L03 | Old College | C | Analogue | £0 | |
| Centrally Allocated Space | Centrally Resourced | Lecture Theatre 183 | Old College | A | Digital | | |
| Centrally Allocated Space | Locally Resourced | Lorimer Room | Old College | C | Analogue | £0 | |
| Centrally Allocated Space | Locally Resourced | 336 | Old College | C | Analogue | £0 | |
| Centrally Allocated Space | Centrally Resourced | 364 | Old College | A | Digital | | |
| Phase 3 | Locally Resourced | G10 - Drummond Library | Old Surgeons Hall | | | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.01 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.02 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.03 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.04 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.05 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.06 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.07 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.08 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.09 | Outreach Centre | A | Digital | | |

| Centrally or Locally Allocated | Centrally or Locally Resourced | Location Name | Building | Quality Rating | Video | Refurb Cost | Priority |
|--------------------------------|--------------------------------|------------------------------|-----------------------|----------------|----------|-------------|----------|
| Centrally Allocated Space | Semester 2 (Central) | B1.10 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.11-1 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.11-2 | Outreach Centre | A | Digital | | |
| Centrally Allocated Space | Semester 2 (Central) | B1.11-3 | Outreach Centre | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | LG34 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | G1 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | G21 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | G37 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | G42 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | G43 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.18 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.19 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.21 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.26 | Patersons Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.27 | Patersons Land | C | Analogue | £15,000 | A |
| Locally Allocated Space | Centrally Resourced | 1.37 | Patersons Land | C | Analogue | £15,000 | A |
| Locally Allocated Space | Centrally Resourced | Main Hall | Playfair Library | C | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Reid Concert Hall Auditorium | Reid School | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | H.R.B Lecture Theatre | Robson Building | C | Analogue | £45,000 | |
| Locally Allocated Space | Centrally Resourced | St Celas Hall | St Celas Hall | A | Digital | | |
| Locally Allocated Space | Locally Resourced | 4.22 | St Johns Land | | | | |
| Locally Allocated Space | Centrally Resourced | G.4 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 2.14 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 3.15 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 3.16 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 3.23 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | 3.24 | St Leonards Land | A | Digital | | |
| Locally Allocated Space | Locally Resourced | 3.25 | St Leonards Land | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | Main Lecture Theatre | Swann Building | A | Digital | | |
| Phase 4 | Centrally Resourced | 7.14 | Swann Building | A | Digital | | |
| Centrally Allocated Space | Centrally Resourced | 7.15 | Swann Building | C | Analogue | £15,000 | A |
| Centrally Allocated Space | Centrally Resourced | 7.20 | Swann Building | C | Analogue | £15,000 | A |
| Phase 4 | Centrally Resourced | 7.21 | Swann Building | A | Digital | | |
| Locally Allocated Space | Centrally Resourced | Godfrey Thomson Hall | Thomsons Land | C | Digital | | |
| Locally Allocated Space | Centrally Resourced | 1.15 | Thomsons Land | C | Analogue | £15,000 | A |
| Locally Allocated Space | Centrally Resourced | 2.01 | Thomsons Land | C | Analogue | £15,000 | A |
| Locally Allocated Space | Locally Resourced | 1.08 | Waddington Building 1 | | | | |

| | | | | |
|----------------------------|-----|-------------------|-----|-------------------|
| Centrally Resourced | 214 | Digital | 150 | £1,560,000 |
| Locally Resourced | 45 | Analogue | 78 | |
| Total | 259 | Digital % | 66% | |
| | | Analogue % | 34% | |



ESTATES COMMITTEE

14 September 2016

Estates Department Purchasing Protocol

Description of paper

1. The purpose of the paper is to seek Estates Committee approval of the updated Estates Department Purchasing Protocol following the introduction of new European and Scottish procurement legislation on 18 April 2016 and the proposals to ensure compliance.

Action requested

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

Recommendation

3. It is recommended that Estates Committee approves the updated Estates Department Purchasing Protocol.

Background and context

4. The Estates Department has a key strategic aim to ensure procurement legislative compliance across the department and current Purchasing Protocol was 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.

5. The current Estates Department Purchasing Protocol was approved at the Estates Committee meeting in December 2015. At the May meeting, Estates Committee noted the Estates Department Purchasing Protocol update to ensure procurement legislative compliance with the new Procurement Legislation.

Discussion

6. The legislation (the Public Contracts (Scotland) Regulations 2015 (implementing EU Procurement Directive 2014) and the Procurement Reform (Scotland) Act 2014 (PRSA)) is now in force and applies a new regime to regulated contracts above £50K for Goods or Services and £2M for Works with increased accountability and reporting obligations. The legislation places a greater emphasis on economic, social and environmental matters and transparency.

7. The Estates Department has worked with the Procurement Office and Legal Services to update the Purchasing Protocol and the relevant procedures. The use of this is mandatory for all purchasing and procurement activities undertaken by the Estates Department, and the procedures must be followed.

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

Resource implications

9. Regulated procurements are managed with the University Procurement Office. The increased reporting and audit requirements require additional staff resource and following HR processes, additional procurement staff have been recruited.

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

Risk Management

11. There is a procurement risk and consequential reputational risk in not having a consistent mandatory approach for all Estates procurement activities. The implementation of the Purchasing Protocol will ensure that all staff are aware of their procurement responsibilities.

Equality & Diversity

12. There are no Equality and Diversity issues.

Next steps/implications

13. 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.

Consultation

14. The Purchasing Protocol has been updated in conjunction with the Procurement Office and Legal Services.

Further information

15. Author

Graham Bell, Depute Director of Estates
26 August 2016

Presenter

Graham Bell, Depute Director of Estates

Freedom of Information

16. This paper is open.



The University of Edinburgh
Estates Department

PURCHASING PROTOCOL

Version 3 (FINAL)
September 2016

Contents

| | |
|--|-----|
| Section 1: Introduction..... | 3 |
| Section 2: Procurement in Estates – Key Roles..... | 4 |
| Section 3: How to Procure? An Overview | 7 |
| Section 4: Detailed Protocol for Procurement Journey – Route 1 | 11 |
| Section 5: Detailed Protocol for Procurement Journey – Route 2 | 17 |
| Section 6: Detailed Protocol for Procurement Journey – Route 3 | 30 |
| Section 7: Frameworks | 445 |
| Section 8: Delegated Authority | 466 |
| Section 9: Useful resources | 488 |
| | |
| APPENDIX A: Glossary..... | 49 |
| APPENDIX B: List of Activities Constituting Works | 511 |
| APPENDIX C: Frequently Asked Questions | 577 |
| APPENDIX D: Procurement Templates..... | 676 |

Quality Assurance and Version Control`

| | |
|---------------------------------|--|
| Version: | 3 (final) |
| Date Approved: | |
| Approving Body: | Estates Committee and Director of Procurement |
| Implementation Date: | 1 October 2016 |
| Supersedes: | Version 2 – January 2016 |
| Consultation Undertaken: | Procurement Office |
| Target Audience: | All Estates Department Staff Procurement Staff working with Estates |
| Supporting Procedure(s): | Delegated Authority Schedule |
| Review Date: | 1 February 2017 |
| Authors: | Legal Services/Estates Department/Procurement Office |
| Responsible Manager: | Depute Director, Head of Estate Development |

Section 1: Introduction

The Estates Strategy 2010-2020 reflects the ambitious vision the University has for the development of its estate infrastructure over the period 2010-2020.¹ It is set against a backdrop of continued growth in the University's activities and accompanying ongoing investment in its estate whilst taking into account the context of significant uncertainty around future levels of income from all major sources following the global economic crisis and the decision of the UK to leave Europe.

Key to the success of any project begins with selecting the right people to provide services, deliver supplies or undertake construction works required for the project. Our projects, construction works and equipment are in the main funded from the 'public purse', therefore we must take the responsibility of obtaining value for money whilst taking into account our social, environmental and legal responsibilities. This is a crucial part of the professional service which the Estates and Procurement Offices provide for the University.

In common with all public contracting authorities, the procurement of Goods, Works and Services by the University is governed by legislation, including the Procurement Reform (Scotland) Act 2014 and the Public Contracts (Scotland) Regulations 2015 as amended.

The University will comply with all relevant laws and their related Statutory Guidance and Regulations as well as the Scottish Procurement Policy Notes. The University will also regularly review its practices in light of emerging EU, UK and Scots case law.

This Purchasing Protocol has been jointly developed by the Estates Department, Procurement Office and Legal Services. Its use is mandatory for all purchasing and procurement activities undertaken from budgets managed by the Estates Department, and the procedures must be followed. Only in very exceptional circumstances can variations to the procedures be permitted and then only with the prior formal approval of the Estates Tender Review Panel, and where applicable the Project Board.

Future changes: An independent **construction review** has been conducted. It looked at how public bodies involved in construction-related procurement adopt practices that are streamlined and deliver value for taxpayers' money. It resulted in a report entitled 'Review of Scottish Public Sector Procurement' published in October 2013. The Scottish Government has accepted to implement 66 out of the 67 recommendations contained in the report and work is currently ongoing on such implementation with an expected outcome for end 2016. This Protocol will be updated and amended as and when required and you must make sure you follow the latest version.

¹ <http://www.docs.csg.ed.ac.uk/EstatesBuildings/Strategies/EstateStrategy.pdf>

Section 2: Procurement in Estates – Key Roles

2.1 Collaboration between Estates and Procurement

Procuring on behalf of the University is the result of a joint, collaborative effort between the Estates Department and Procurement Office teams.

In broad terms, Estates staff lead on the estates' works and services projects, define the goods to be acquired and determine the specification and requirements for any given procurement. Procurement staff support all regulated procurements² and will provide expert guidance on the appropriate procurement routes, the processes to be followed and compliance with all legal duties, such as the new sustainable procurement duty.

The Procurement Office provide access to all electronic procurement tools such as PCS, PCS-T, Award, Buy@Ed and SciQuest, some of which have become mandatory under the law, as well as the sustainability toolkit. Procurement staff will ensure that all procurements are conducted through these mandatory e-procurement tools.

Overview of responsibilities:

| Goods/Services £0 to £50k Works £0 to £2m | Goods/Services £50 to £164k Works £2 to £4.1m ³ | Goods/Services > £164k Works > £4.1m ⁴ | Framework Agreements |
|--|---|---|-------------------------|
| Procurement Journey ROUTE 1 | Procurement Journey ROUTE 2 | Procurement Journey ROUTE 3 | |
| Estates Department | Estates Department in collaboration with the Procurement Office | Estates Department in collaboration with the Procurement Office | Procurement Office |

2.2 Estates Tender Review Panel (ETRP)

The Estates Tender Review Panel's role is to assist with the procurement journey governance.

Remit: The remit of the ETRP is to receive recommendations from across the Estates Department at key points in a regulated procurement process and to check and approve recommendations prior to the next stage of the procurement journey.

Process: The ETRP will meet weekly. It is the Estates Project Manager's/ or the Estates Operational point of contact's responsibility to ensure that the relevant paperwork is reviewed and approved by Estates Procurement and submitted for review to the Head of his/her section well in advance of the scheduled ETRP meeting.

² Purchases of goods or services > 50k or works > £2m – see FAQ 1

³ £4,104,394

⁴ £4,104,394

The Head of the relevant department will forward the relevant paperwork to the Estates Department Administrative Secretary **a minimum of 48 hours** before the scheduled ETRP meeting to ensure sufficient time is given to the panel members to consider the recommendations ahead of the meeting.

Membership:

- Director of Estates
- Head of Estate Development and Depute Director (Chair)
- Head of Estate Planning and Special Projects
- Head of Capital Projects
- Head of Estate Operations
- Head of Estates Finance
- (Acting) Director of Procurement

In order to be quorate, a minimum of three attendees including representation from the Procurement Office shall be required.

Following documents must be approved by ETRP:

1. **Procurement strategy** for any Goods and/or Services above £50K and Works above £2m. ETRP will either approve the strategy, reject or recommend amendments (**Template P1**).
2. **Shortlist of Bidders where a restricted process has been applied and before the ITT is issued** for Goods, Services and/or Works above £50K. This includes reviewing the marking and consensus sheets, approving the yes and no letters following the pre-qualification stage and receiving the recommendation from the relevant Estates staff member on a standard approval template (**Template P3**).
3. **Shortlist of tenders** which will be drawn from the **Quick Quote tool** for Works above £50K but under £2M. This is a temporary situation until a new small works framework or dynamic purchasing system is established. The recommendation from Estates staff should be recorded on a standard approval template (**Template P3**).
4. **Recommendation for contract award** for all Goods, Services and Works above £50K following conclusion of the ITT evaluation. Review all scoring, tender reports, evidence, proposed award letters and “unsuccessful debrief letter” and either approve if approval is within the delegated authorised signatory level of the members of the Panel or act as a gateway to the relevant committee. Standard templates will be used by Estates staff when seeking approval (**see Template P4**).
5. **Retrospective approval for emergency, unforeseeable procurements** for all Goods and Services above £50K and Works above £2m only where previously approved by the Director of Estates at the time of initiating the emergency procurement.

2.3 Head of Estate Development

The Head of Estate Development can/will advise on procedural and procurement queries at any stage in the procurement process. This will ensure consistent handling of questions which arise from tenderers or after contract award from unsuccessful tenderers.

2.4 Procurement Office

The Procurement Office forms part of Corporate Services and is led by the Director of Procurement. The team are professional 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. They are fully qualified and trained in e-procurement tools such as PCS, PCS-T and Award.

The Procurement Office is responsible for providing expert guidance to the Estates Department on all aspects of procurement. The Procurement Office will also lead on establishing or joining collaborative (e.g. APUC) Framework Agreements which will be of use to the University. Procurement colleagues can, where necessary, also call upon specialised legal advice provided by the University's Legal Services.

Contact: Procurement.Central_Estates@ed.ac.uk

For more information: <http://www.ed.ac.uk/procurement>

Section 3: How to Procure - An Overview

3.1 Key Principles of Procurement at the University of Edinburgh

Equal Treatment and Non Discrimination: The University will enter into contracts for supply of goods, services and works through a competitive process, treating all potential bidders fairly, equally and without discrimination

Value for Money: The University will achieve value for money which is defined as the optimum combination of whole life cost and quality to meet the University's requirements

Transparency and Proportionality: The University shall act in a transparent and proportionate manner

Compliance: The University shall fully comply with international and national obligations including the Public Contracts (Scotland) Regulations 2015 and the Procurement Reform (Scotland) Act 2014

Sustainability: The University shall carry out its procurements to the highest ethical standards, taking into account social, economic and environmental considerations



3.2 Simple Procurement Guide

The process of purchasing can be complicated. The following table provides an overview of the different options available when buying on behalf of the University.

| Option | Description | Value | Process | Typical timescales | Professional procurement advice required |
|--------|---|---|--|--|---|
| 1 | Obtain from an internal department | Limited by your delegated approval level | Contact internal department - place a Purchase Order using PECOS, SciQuest or e-financials | Approval by appropriate authorised signatory | No |
| 1 | Buy from a contracted supplier ⁵ | | See instructions on Buy@Ed | 2-4 weeks | Yes |
| 2 | Purchase of goods or services below £50,000 | £0-£50k | Procurement Journey Route 1 | 2 weeks | No (but training and help available if required) |
| 2 | Purchase of works below £2m | £0-£2m | Procurement Journey Route 1 | 6-8 weeks | No (but training and help available if required) |
| 3 | Scottish regulated procurement | Goods or Services £50k - £164k - Works £2m-£4,104k | Procurement Journey Route 2 | 1-3 months | Yes |
| 3 | EU regulated procurement | Goods or services over £164,176 - Works over £4,104,394 | Procurement Journey Route 3 | 3-12 months | Yes |

⁵ Contracted suppliers: <http://www.ed.ac.uk/procurement/buy-at-ed>

3.3 Short description of options described above

OPTION 1 - Buy from an internal department, from one of the University's wholly owned subsidiaries or a supplier already contracted with under an existing framework agreement.

When the University purchases goods, services or works from an internal department or a wholly owned subsidiary, it is not required to conduct a full procurement exercise. The University can buy from **its internal departments or wholly owned subsidiaries** without any procurement formalities.

The University can also purchase goods, services and works from an **existing, live contract** if the scope of that existing contract allows for such purchases. **Framework Agreements** set up by the University or other purchasing consortia on behalf of the University are the most commonly used route to purchase from existing contracts. The Procurement Office can advise whether any such contracts are available and how to make use of them (eg. by conducting a mini tender). Staff can also search the Buy@Ed tool (the University's Supplier and Contracts Database): <http://www.ed.ac.uk/procurement/buy-at-ed>



OPTION 2 - Contracts for goods and services below £50k or contracts for works below £2m - Procurement Journey: Route 1

Any contract with a total estimated value below £50k (goods or services) or £2m (works)⁶ is regarded as a non-regulated contract. This means that the University doesn't have to comply with the detailed public procurement legislation as long as it:

- a) treats suppliers equally and without discrimination;
- b) acts in a transparent and proportionate manner; and
- c) follows its own internal policies.

Section 4 of this Purchasing Protocol provides a detailed overview of the steps which need to be followed for the procurement of these contracts in accordance with the University's policies.

OPTION 3 - Contracts for goods and services above £50k or contracts for works above £2m ("REGULATED PROCUREMENTS") - Procurement Journey: Routes 2 and 3

From 18 April 2016 onwards, public procurement law recognises 2 types of regulated procurements:

- a) Scottish Regulated Contracts: above £50k (goods or services) or above £2m (works) BUT below EU thresholds – the process to be followed in the Procurement Journey is referred to as ROUTE 2
- b) EU Regulated Contracts: above £164,176 (goods or services) or £4,104,394 (works) – the process to be followed in the Procurement Journey is referred to as ROUTE 3

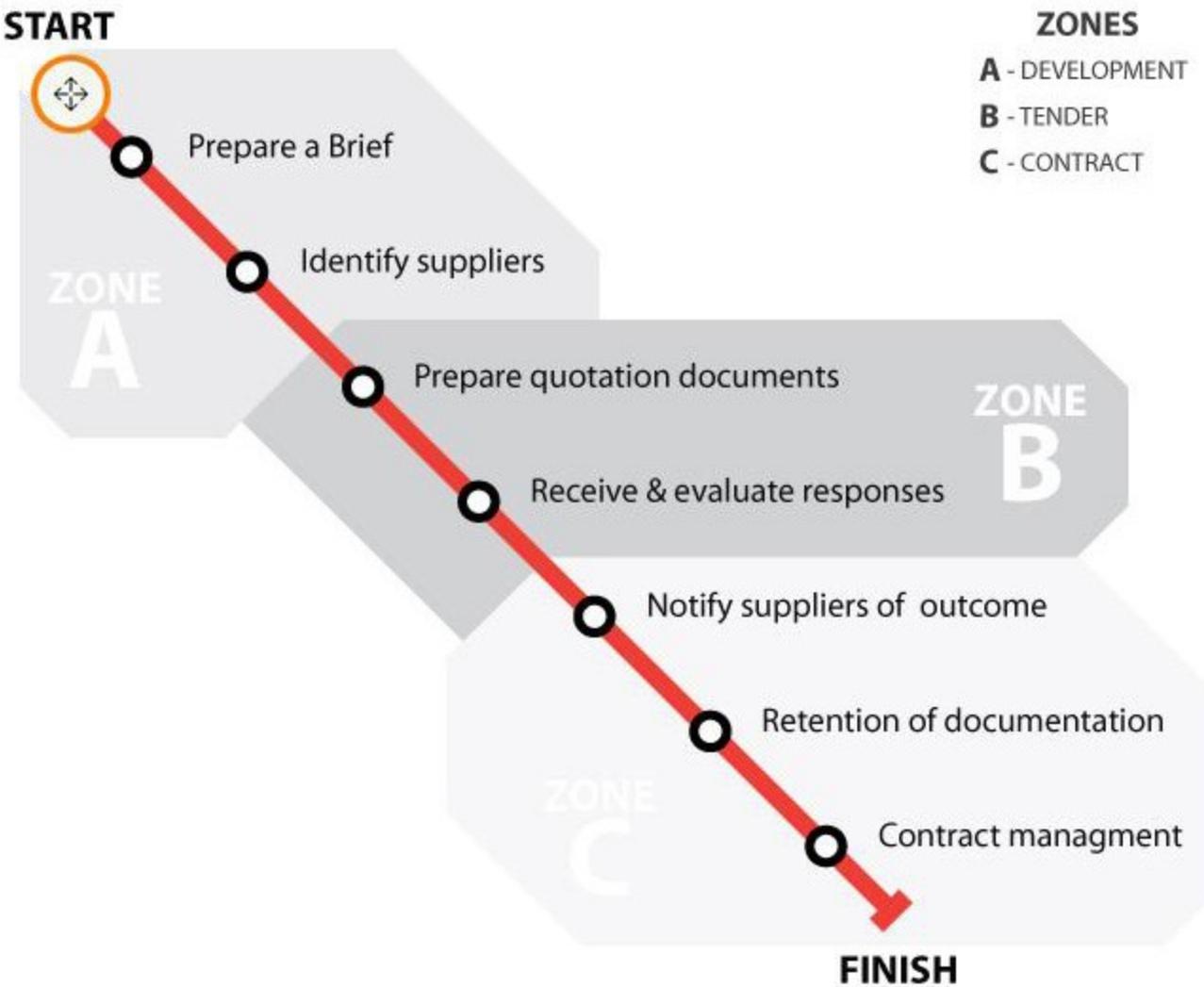
⁶ For calculation methods on threshold see FAQ 1

Some legal rules apply only to Scottish Regulated Procurements, some only to EU Regulated Procurements and others to both Scottish and EU Regulated Procurements. Following this protocol and the newly approved templates will ensure that all the legal obligations are complied with for the appropriate contracts.

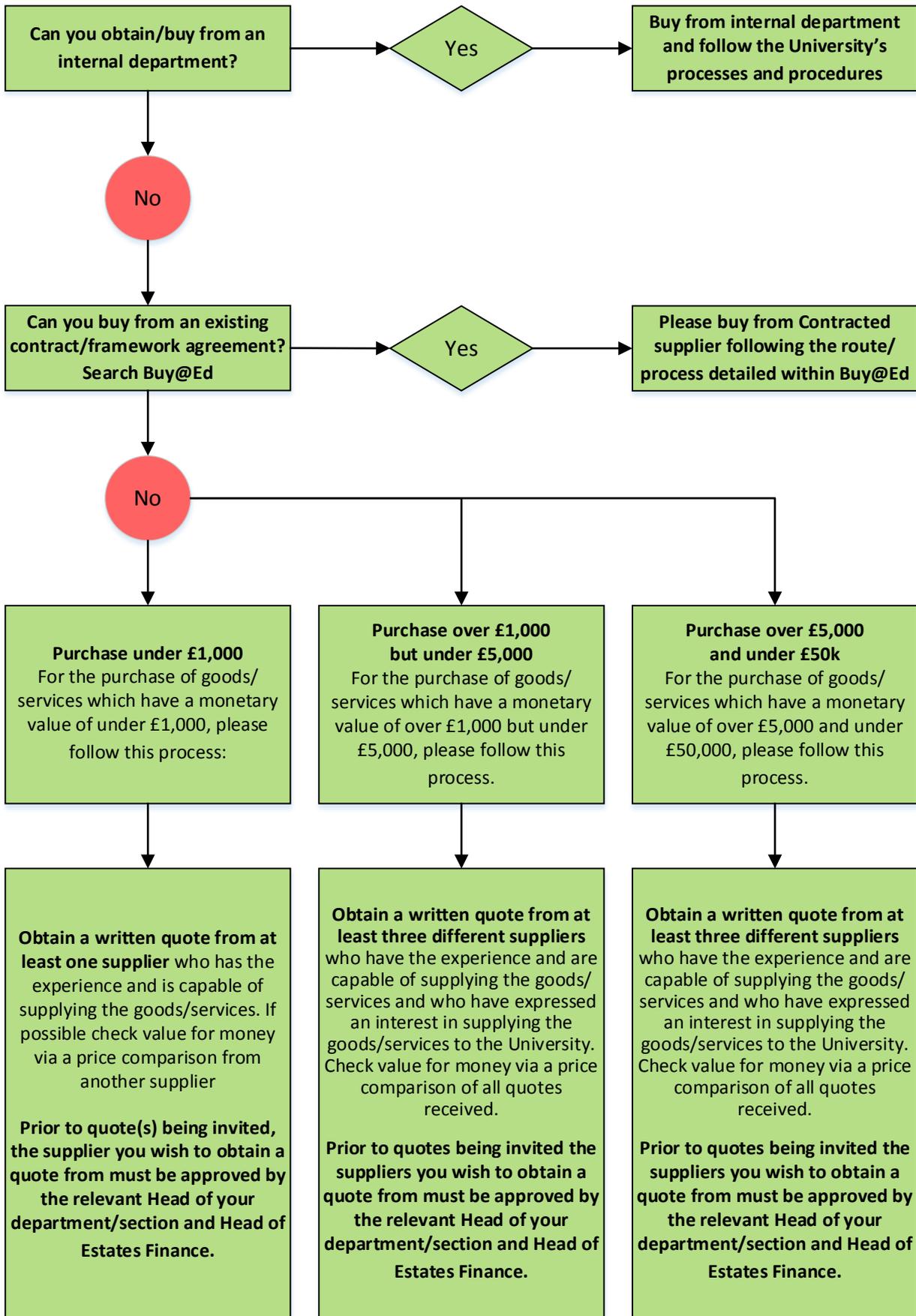
Section 4: Detailed Protocol for Procurement Journey – Route 1

Goods and Services £0 to £50k

Works £0 to £2m



Goods or Services below £50k



Goods and Services £0 to £50k where quotes are required to be obtained:

As per the workflow detailed within page 14

○ Prepare Brief

P6 template has been created to provide further advice and guidance

○ Identify suppliers

Please refer to the information detailed within page 12.

○ Prepare quotation documents

Please refer to *P6*.

○ Receive and evaluate responses

Please refer to *P6*.

○ Notify suppliers of outcome

Please refer to *P6*.

○ Retention of documentation

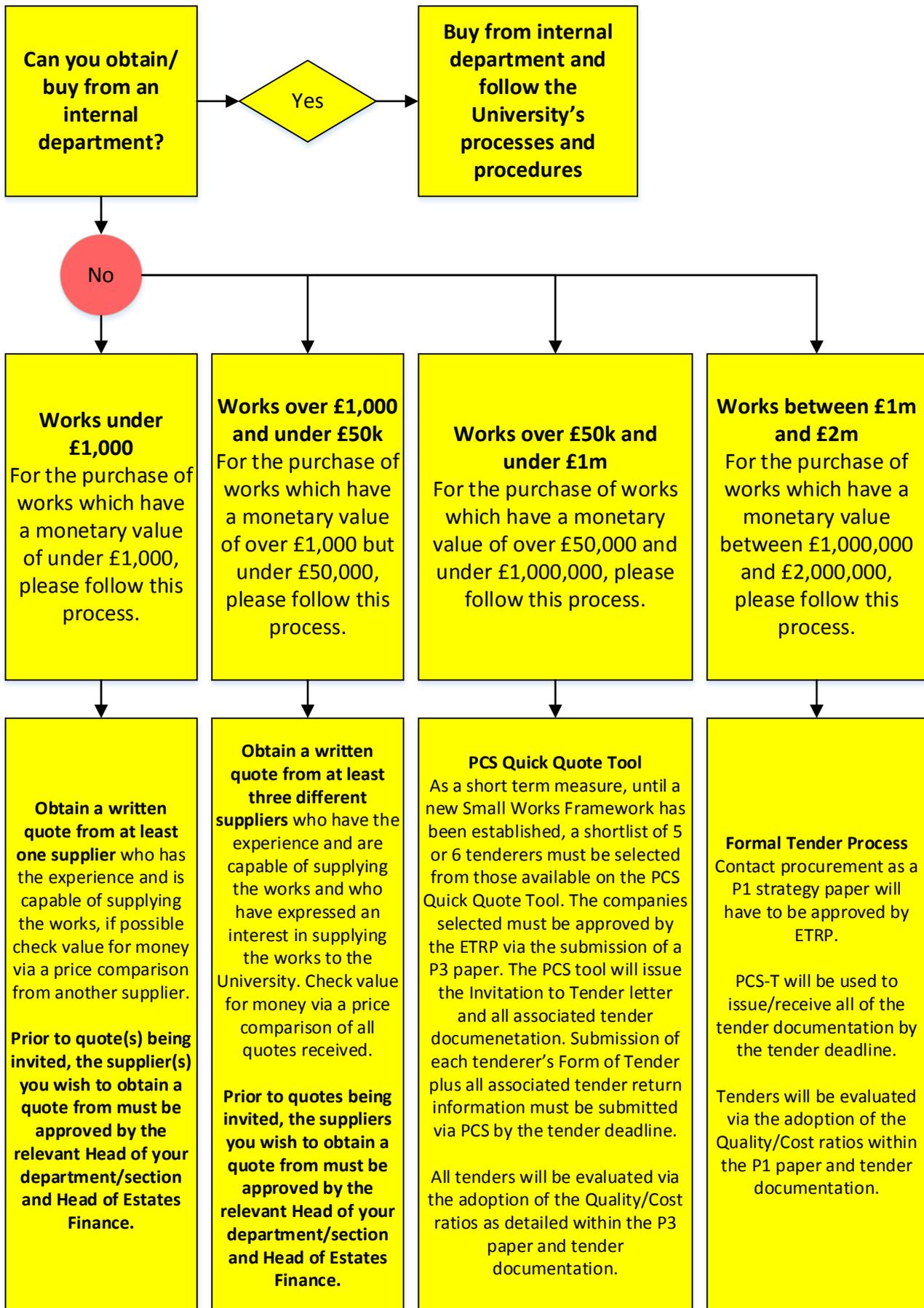
Record Keeping In all cases, a copy of the specification issued, all quotes (successful or not), quote/bids analysis, supplier communications and clarifications must be retained on a referenced project file in the Estates' Department shared drive file (not personal email) for future financial reporting, internal and external audits, VfM reports or FOI responses, for at least 12 years⁹ from the end of the project.

○ Contract management

Please refer to *P6*.

⁹ Please note, such audits can be conducted many years after termination of the project. Eg. ERDF projects funded in period 2007-2013 must be retained until 2025.

Works £0 to £2m



Works £0 to £50k where quotes are required to be obtained:

○ Prepare Brief

P7 template has been created to provide further advice and guidance

○ Identify suppliers

Please refer to the information detailed within page 13.

○ Prepare quotation documents

Please refer to *P7*.

○ Receive and evaluate responses

Please refer to *P7*.

○ Notify suppliers of outcome

Please refer to *P7*.

○ Retention of documentation

Record Keeping In all cases, a copy of the specification issued, all quotes (successful or not), quote/bids analysis, supplier communications and clarifications must be retained on a referenced project file in the Estates' Department shared drive file (not personal email) for future financial reporting, internal and external audits, VfM reports or FOI responses, for at least 12 years from the end of the project.

○ Contract management

Please refer to *P7*.

Works above £50k and below £1million issued via Quick Quote:

As per the workflow detailed within page 14

Works £1 - £2 million issued via Quick Quote:

As per the workflow detailed within page 14

○ **Notify supplier of the outcome**

Prior to the ETRP meeting all of this information must be uploaded by the estates project manager and or estates operational point of contact via folder EST K drive, shared tender review panel, submissions pre approvals folder and then the applicable ETRP weekly meeting folder.

➔ **Prepare debrief letters and award letters (*Template P8 and P9*)**

The successful tenderer/s 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 used.

The debrief letters must contain as a minimum:

- The name of the successful tenderer
- The criteria used to award the contract
- The University's scoring and feedback against those criteria of the unsuccessful tenderer and the successful tenderer.

The ETRP procurement representative will be responsible for reviewing and approving the contents of all letters and their associated tender scoring evaluation information.

It is the responsibility of the Estates Project Manager / Estates Operation Manager to obtain DAS signatory sign off of the successful and unsuccessful letters. All signed letters must then be given to the procurement point of contact who will then issue all letters via PCS.

○ **Retention of documentation**

Record Keeping In all cases, a copy of the specification issued, all quotes (successful or not), quote/bids analysis, supplier communications and clarifications must be retained on a referenced project file in the Estates' Department shared drive file (not personal email) for future financial reporting, internal and external audits, VfM reports or FOI responses, for at least 12 years from the end of the project.

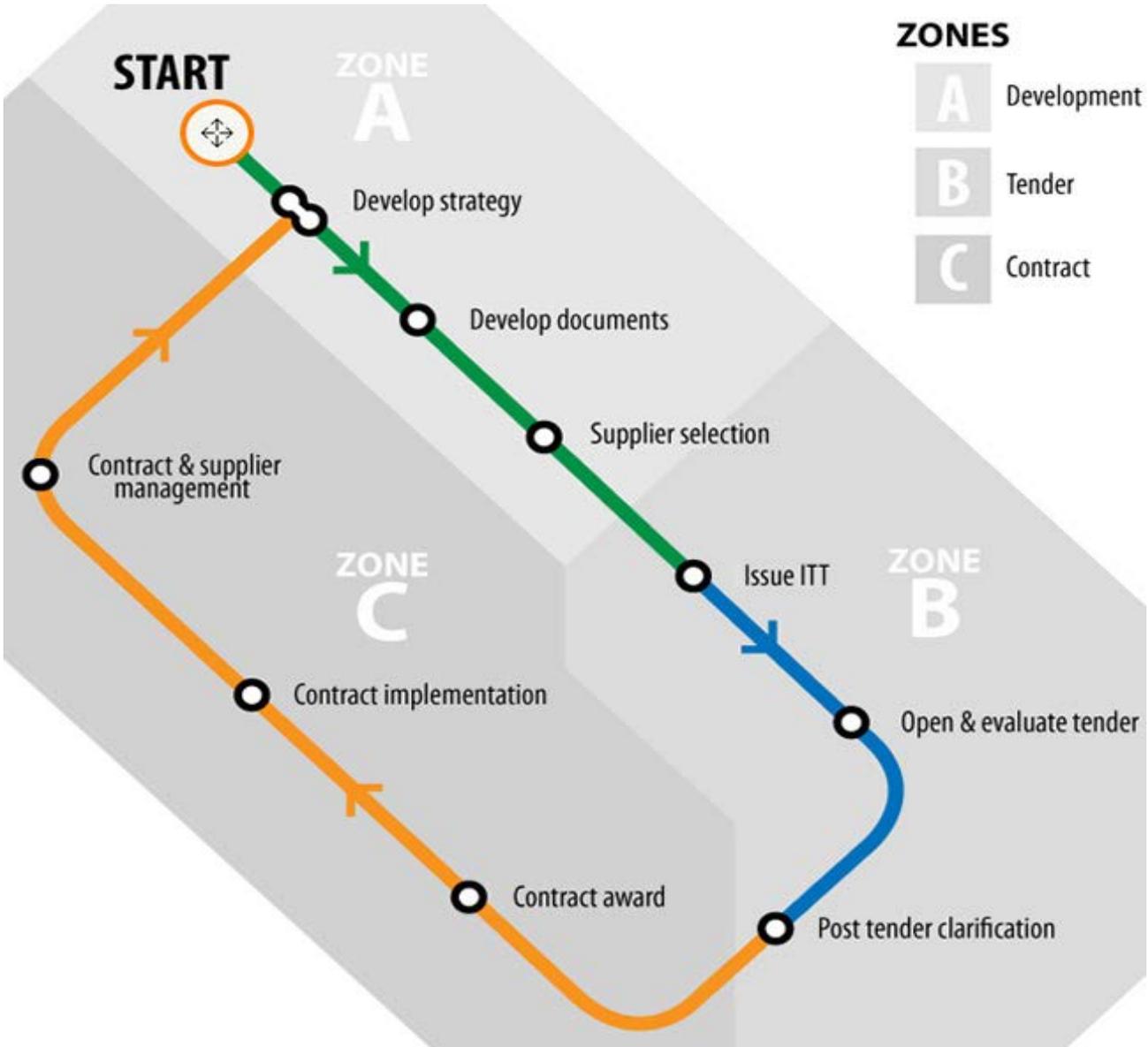
○ **Contract management will be via the Estates Project Manager and or Estates Design Team.**

Section 5: Detailed Protocol for Procurement Journey – Route 2

Goods and Services £50k - £164k
Works £2m - £4.1m – Scottish Regulated Procurement

5.1 Overview

0



PLEASE NOTE

LEGISLATION HAS BEEN ISSUED BY THE SCOTTISH GOVERNMENT
WHICH SIGNIFICANTLY CHANGES THE WAY WE PROCURE REGULATED CONTRACTS
* IN FORCE FROM 18 APRIL 2016 *

Where an existing contract or framework agreement is in place, the procurement should be undertaken in accordance with the relevant contract or framework terms and conditions.

If an existing contract or framework agreement or an in-house provider cannot be utilised – this **Section 5** outlines the process for procurement of services and goods (£50k - £164k⁷) and works (£2m - £4.1m⁸).

5.2 Templates

Standard templates are available for the various stages of procurement in this category.

5.3 Process

Procurement Journey – Route 2 – ZONE A – Development



○ **Develop strategy**

Develop Procurement Strategy (*P1*) – Who, what, when and how.

→ **Contact Procurement Office**

A member of the University's Procurement Office needs to be involved at the different stages of a regulated procurement. Please e-mail Procurement.Central_Estates@ed.ac.uk to request the allocation of a member of the Procurement Office to your project. The sooner they are aware of the project, the better they will be able to assist.

→ **Complete Template *P1***

For all procurements between £50k/£2m and £164k/£4.1m, a procurement strategy must be created which details the who, what, when and how of your procurement. This will need to be completed in collaboration with the Procurement Office who will provide advice and support or recommend legal input to ensure compliance with legislation or recommend contractual terms.

New legal obligations have now come into force. *Template P1* will ensure compliance with all legal obligations and must be followed.

⁷ £164,176

⁸ £4,104,394

→ Sustainable Procurement Duty

From 1 June 2016, the University must comply with the "sustainable procurement duty", which requires that, before carrying out a regulated procurement, the University considers how in conducting the procurement it can:

- improve the economic, social, and environmental wellbeing of the area in which the University operates;
- facilitate the involvement of small and medium enterprises, third sector bodies and supported businesses in the process; and
- promote innovation.

The University is also required to promote fair work practices in relevant public contracts. Statutory Guidance on "the Selection of Tenderers and Award of Contracts - Addressing Fair Work Practices, including the Living Wage, in Procurement" states that, before undertaking a procurement exercise, the University has to consider whether it is relevant and proportionate to include a question on fair work practices, which would be evaluated along with other relevant criteria, while ensuring the appropriate balance between quality and cost of the contract. The Procurement Office will provide further assistance on the basis of the latest legal advice in this field.

The following sustainability tools will be used to comply with the Sustainable Procurement Duty: Life Cycle Mapping / Prioritisation / Sustainability Test / Scottish Flexible Framework. The Procurement Office will advise on the use of these tools and the procurement strategy template (P1) will need completed accordingly.

→ Submit to the ETRP and obtain approval

The Estates Project Manager's and or the Estates Operational point of contact shall ensure that the paperwork is first reviewed and approved by the Procurement Officer designated to the Project. The Procurement Officer will sign *Template P1* confirming that internal procurement approval processes have been followed.

Following signature by the Procurement Officer, the Estates Project Manager and or the Estates Operational point of contact shall send *Template P1* for review to the Head of the relevant Estates department at least **2 working days** before the scheduled ETRP meeting. The Head of the relevant department will forward the relevant paperwork to the ETRP Administrative Secretary **2 working days** before the scheduled meeting to ensure sufficient time is given to the panel members to consider the recommendations ahead of the meeting.

The ETRP Administrative Secretary will communicate the decision made by ETRP to the Estates Project Manager and or the Estates Operational point of contact, copying in the Procurement Officer, and if approval was given, provide the k drive url link as to where the signed *Template P1* can be found.

→ Regulated procurement process – choose the right procedure

The identification of Bidders to be invited to bid for procurements at this value can either involve a two stage process (**restricted**) or a single process (**open**). The guidance below assumes a two-stage process as this is more commonly used by the Estates department. The Procurement Office will advise on the single open process as required.

○ Develop documents

→ Contract Notice

After approval by ETRP, the Procurement Officer will publish the required Contract Notice on the Public Contracts Scotland Portal.

→ Selection criteria – use of European Single Procurement Document (ESPD).

At the pre-qualification (or selection) stage, before an ITT is issued, the University is concerned with the evaluation of the tenderers (the bidding company/supplier) and not the tender (the bid). This will ensure that only candidates which are competent to deal with the proposed contract are taken forward in the procurement process.

The University must use the standard selection criteria as contained in the **European Single Procurement Document and only the approved ESPD template may be used**. Any change to the standard templates (and scoring mechanisms) must be agreed in advance with the Procurement Office and Estates Tender Review Panel and where appropriate the relevant Project Board.

→ ESPD and Subcontractors

The University may request separate ESPD responses from subcontractors, when deemed appropriate in order to safeguard the effective delivery of the contract, based on relevance and proportionality to the contract.

○ Bidder/Supplier selection

→ Appointment of assessment panel.

In order to select bidders to proceed to the Invitation to Tender Stage, an assessment panel must be appointed which will review the responses to the ESPD submitted by prospective tenderers. The panel must be constituted of at least 3 members, in addition to the representative of the Procurement Office. A representative of the Procurement Office will also be involved in the panel as follows:-

For Estates Operations Tenders:

- Full panel member involved in all shortlisting/evaluation meetings

For 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 assessment panel.
- To review scores and advise on any specific queries arising from the shortlisting/evaluation process
- To confirm that the scores reflect the original Contract Advert Notice and pre-qualification process

Membership of the assessment panel should remain the same throughout this selection stage (ZONE A) and the later stage (ZONE B) unless exceptional circumstances dictate otherwise (e.g. conflict of interest).

→ Appointment of chair of the assessment panel and conflict of interest declaration.

A designated Estates' staff member will act as **Chair** of the assessment panel. He/she will collect Conflict of Interest declarations from all panel members and this form (template P8) must be filed within each

estates ebldgs and or EST K drive project/tender file, minute the responses obtained from this and take appropriate actions to resolve any conflict of interest, should these arise.

→ **Review ESPD submissions.**

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

For all projects/tenders over £50k, AWARD tender evaluation tool will be used and absolute scoring will apply.

→ **Consensus.**

A consensus meeting will be organised by the Chair of the assessment panel. The scores obtained by the bidders on selection criteria should be agreed by all panel members and a note of meeting should record any rationale for discrepancies. Based on the resultant scores and in accordance with the process set out in the Contract Notice, the panel will recommend to the ETRP which Bidders will be invited to tender.

→ **Head of Estates Finance approval.**

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 in accordance with the requirements recorded in the ESPD.

→ **ETRP approval.**

Template P3 must be submitted and approved by the ETRP before any communications regarding bidder selection or exclusion are sent to bidders. The process for obtaining approval of *Template P3* is essentially the same as the process for approval of *Template P1* (as further detailed above).

→ **Debrief for excluded bidders (i.e. on completion of the pre-qualification stage)**

The University must, as soon as practicable after deciding to exclude a potential bidder, notify such bidder of its exclusion.

Such notice must state:

- The names of the bidders who have not been excluded
- The criteria leading to the bidder's exclusion
- The University's scoring and feedback against those criteria for the specific criteria

A bidder may also request further information at different stages of the process – please agree with the Procurement Office in advance who will respond on behalf of the University using appropriate e-procurement communication tools.

→ **Record keeping.**

The assessors' 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 to be disclosed in detail under Freedom of Information obligations, for audit or debriefing purposes⁹.

→ **Issue of the successful and unsuccessful letters (Templates P12 and P13)**

The ETRP procurement representative will be responsible for reviewing and approving the contents of all letters and their associated tender scoring evaluation information.

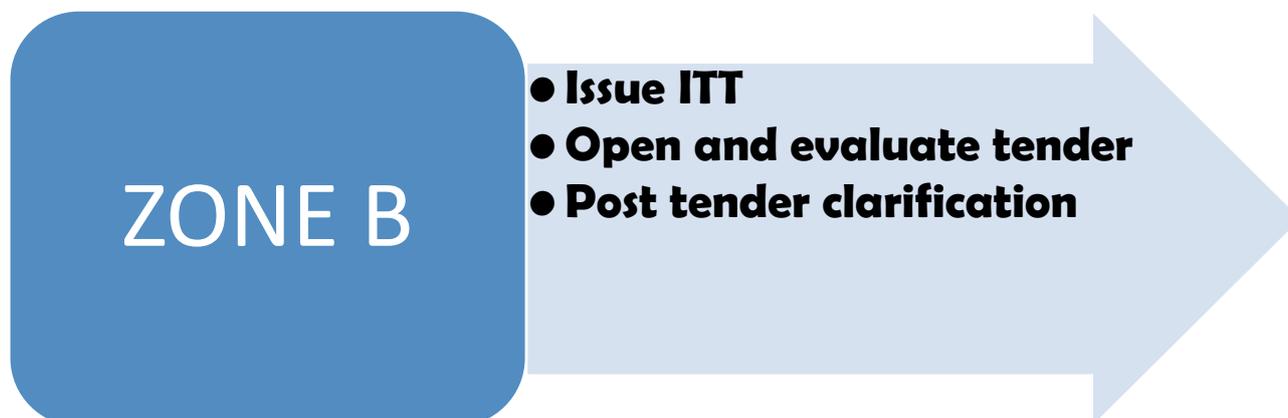
Prior to the ETRP meeting all of this information must be uploaded by the estates project manager and or estates operational point of contact via folder EST K drive, shared tender review panel, submissions pre approvals folder and then the applicable ETRP weekly meeting folder.

It is the responsibility of the Estates Project Manager / Estates Operation Manager to obtain DAS signatory sign off of the successful and unsuccessful letters. All signed letters must then be given to the procurement point of contact who will then issue all letters via PCS-T.

→ ***“What happens in pre-qualification, stays in pre-qualification”***

The Pre-qualification (this ZONE A) is a short-listing selection exercise based only on bidder's capacity and must remain entirely separate from the Invitation to Tender Stage (ZONE B). All scores obtained during the Pre-qualification (ZONE A) 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 (ZONE B), which is about the proposed bid for the specific contract and its performance.

Procurement Journey – Route 2 – ZONE B – Tender



○ **Issue ITT**

→ **Specification.**

When setting out the specification and award criteria, all tenderers must be treated on equal terms and care taken to avoid discrimination, whether positive or negative.

⁹ Please note, such audits can be conducted many years after termination of the project. Eg. ERDF projects funded in period 2007-2013 must be retained until 2025.

The specification must:

- Clearly describe what is required;
- Focus on outputs required without being prescriptive as to the method the bidder should use to provide it (output specification);
- Be sufficiently tight so that the product or service fits the University's needs, but not so explicit that it discourages the bidder from proposing innovative solutions that optimise Value For Money (VFM);
- Include performance targets or include criteria for acceptance of the products or services;
- Include service levels, a process for measuring ongoing performance and escalation routes for issues;
- Take account of any e-Commerce requirements;
- Take account of the Sustainable Procurement Duty¹⁰ and (if above £4m) Community Benefit Requirements¹¹;
- Take into account suitability of design for all users;
- Take account of relevant legislation e.g. health and safety and equality and policies, e.g. fair trade, conflict minerals, carbon efficiency;
- Take account of all licensing and proportionate insurance requirements that a bidder must have in order to operate in a particular industry/sector and which are relevant to the performance of the contract;
- Not refer to brands or trade names but refer to the characteristics of the product e.g. it is not permissible to specify a particular product brand;
- Ensure that any requirements for limits, tolerances, deliverables timescales etc. are practical, proportionate and realistic;
- Consider commercial and ongoing performance management aspects of the contract throughout the supply chain e.g. payment terms including those to sub-contractors (30 day payment of invoices);
- Support a structured method of tender evaluation.

→ Award Criteria

The award stage involves an examination of the merits of the bids. This will identify which of the eligible tenderers will deliver best value for money for the University based on the most economically advantageous tender, now also known as Best Price/Quality Ratio (BPQR). The award criteria must relate directly to, and be proportionate with, the subject matter of the requirement. The award criteria are established when creating the Contract Advert and must be incorporated into the Invitation to Tender (ITT) documentation accompanied by associated weightings and sub weightings with rationale of scoring for consistency. All sub-weightings must be published to ensure complete transparency.

→ Variants¹²

If you intend to award a contract on the basis of best price/quality ratio, you may consider variants on the requirements as long as this possibility has been specified in the Contract Notice and ITT. The minimum requirements to be met by the variant and any specific requirements for their representation and how the variant will be evaluated must also be stated in the contract documentation. Please contact the Procurement Office to guide you through the appropriate drafting and application of the variant assessment and evaluation.

¹⁰ See FAQ 5

¹¹ See FAQ 6

¹² See FAQ

12 See FAQ 14

→ ITT documentation

Following pre-qualification shortlisting, the ITT will be issued utilising the range of standard templates which exist for each of the disciplines tailored to suit specific requirements. Any additional information requested from the Bidders must be clearly aligned to the Award criteria established in the Contract Advert Notice and followed through to the ITT stage.

The Procurement Office must be asked to review the draft ITT Quality Questionnaire to ensure legal and procedural compliance. Project programmes must allow adequate time for this and accept the procurement advice/guidance.

→ Contract Terms and Conditions

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

○ Issue ITT documentation

The Procurement Office will issue the ITT documentation through PCS-T. Open and evaluate tender

→ Receipt of bids.

All Tenders will be submitted by the Bidders to the University in the format detailed in the ITT documentation through the PCS-T system. Late tenders are not to be accepted so a firm closing date and time need to be clearly stated on the front page of an ITT.

→ Timely submission of the tenders

It is the bidder's responsibility to ensure that the complete quotation or tender is delivered no later than the notified tender return time on the closing date.

Only in exceptional circumstances, and via a formal sign off approval by the Acting Director of Procurement will quotations or tenders received after this time be considered. An audit trail must be kept of the reason for accepting a late submission, the details of the authority who agreed to the late-tender and the risk and impact for the project. .

Enquiries from tenderers (including telephone, fax or e-mail), in relation to the extension of return dates must be notified to the Head of Estates Development or Director of Procurement and a member of the Estates Procurement Office as soon as possible.

The following steps will apply when agreement is given to extend the closing date for the submission of tenders:

- 1) all tenderers shall be notified of the revised closing date and time in writing through PCS-T;
- 2) the return instructions from the original ITT should be restated;
- 3) all bids received after the new extended deadline will be excluded.

○ Post tender clarification

The objective of the clarification stage is to clarify, where required, the tenders as submitted.

Tender, or bid clarifications may become necessary during the evaluation of tenders. For example, where there are aspects of the bids that are unclear or contain minor errors. The Procurement Office should consider whether, where a certain aspect of the bid seems anomalous, it might be prudent to request clarification. For example, if a bid appears especially low, or especially high on price, it may be that an arithmetical error has been made. Care needs to be taken for abnormally low bids, as specific processes need to be followed in that event. Clarification may also be sought from tenderers on matters of quality performance or on particular terms and conditions of contracts.

Clarifications should never be used to give information from one bidder to one or more other bidders.

In seeking clarification, all communications with tenderers must be properly recorded so that an audit trail is maintained. This will be recorded on the PCS-Tender system in the messaging area. Negotiations in relation to price or other areas where improvements may be possible, are not permitted.

The Procurement Office should give all tenderers the same opportunity to engage in tender/bid clarification. Extreme caution and care must be exercised to avoid either unfairness to tenderers or the impression of unfairness to some tenderers.

Where Quantity Surveyors or consultants are carrying out checks and clarifications, all such communications and clarifications must be recorded via PCS-T to ensure full transparency of the process. *Template P11* details the process to apply.

➔ Evaluation of Tenders

Most Economically Advantageous Tender (MEAT) is now MANDATORY – cost only is no longer allowed

The University must identify the Most Economically Advantageous Tender on the basis of the best price/quality ratio, which must be assessed on the basis of criteria linked to the subject matter of the contract and must include the price or cost, using a cost-effectiveness approach. A cost effectiveness approach may include **life-cycle costing**¹³.

➔ Interviews

If interviews are required, the University should determine whether the interview:

- is intended to evaluate a particular set of criteria that only appear in the interview. This means that the criteria to be assessed at interview are assigned a percentage of the overall score for that bid; OR
- will simply be used to clarify previously submitted written elements of the tender. In this case, the interview will not cover new evaluation criteria, and will not have a separate weighting. This option is commonly used where the interview allows for a demonstration of a process or item that has been described in the written submission.

Transparency: If an interview forms part of the tender evaluation process, the award criteria, questions, weightings and sub weightings must be contained in the ITT.

¹³ See FAQ 12

Equal treatment: All tenderers must be invited for interview. This ensures equal treatment.

Audit and transparency: 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 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.

→ **Assessment Panel**

A designated Estates' staff member will continue to act as Chair throughout the process. Membership of the assessment 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 three panel members, the agreed scores and rationale for each tenderer should be recorded and the scores input to the scoring model. Please note that answers to specific questions must be reviewed by the same evaluators for all submissions.

→ **Consensus Meeting**

Once the tenders have been individually scored, the chair of the assessment panel will organise a consensus meeting to agree the final overall quality scores. At the consensus meeting, questions with differences in scores will be discussed and if appropriate individual scores may be changed (e.g. if something has been missed). Averaging scores is not acceptable.

The consensus quality scores should be agreed by all panel members and taken forward to the final Quality/Cost evaluation. The Chair will keep a formal record of the discussions and decisions taken at the meeting. Based on the resultant scores, the assessment panel will recommend which tenderer should be awarded the contract.

→ **Computational Errors**

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)

1. The tenderer should be given details of the errors and afforded an opportunity of confirming or withdrawing his tender.
2. If the tenderer elects to stand by his tender and confirmation has been received from him, follow the procedures set out Correction of Errors – Alternative 1
3. If the tenderer elects to amend his tender figure and possibly certain rates in his documents, he should either amend the original tender and initial the changes or confirm the alterations in an electronic communication through PCS-T.
4. If the amended tender is still the lowest (or `best value` as the case may be) and there are no other reasons for not recommending it then it should be recommended for acceptance.
5. If the amended tender is no longer the lowest (or `best value` as the case may be) the offer that as a result has become the lowest (or `best value`) should be examined and the analysis of tenders process repeated for the alternative tender.

➔ **Prepare debrief letters and award letters (*Templates P14 and P15*)**

The successful tenderer/s 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 used. .

The debrief letters must contain as a minimum:

- The name of the successful tenderer
- The criteria used to award the contract
- The University's scoring and feedback against those criteria of the unsuccessful tenderer and the successful tenderer.

The ETRP procurement representative will be responsible for reviewing and approving the contents of all letters and their associated tender scoring evaluation information.

Prior to the ETRP meeting all of this information must be uploaded by the estates project manager and or estates operational point of contact via folder EST K drive, shared tender review panel, submissions pre approvals folder and then the applicable ETRP weekly meeting folder.

This increased level of information for most tendering exercises negates the requirement for a debriefing of unsuccessful tenderers in person and gives clarity and transparency in writing as to the decision taken. If approached for a personal debriefing, please seek advice from procurement staff.

➔ **Approval by ETRP.**

The ETRP will review the content of the *P4* paper and if acceptable this *P4* paper will be approved unless further approval is required due to the nature of the project in which case the endorsement of the *P4* paper will act as a gateway to recommend approval by the relevant Committee and Delegated Authorised Signatory.

Procurement Journey – Route 2 – ZONE C – Contract



○ **Contract award**

➔ **Send appointment letter(s) through PCS-T (*Template P17*)**

→ It is the responsibility of the Estates Project Manager and or Estates Operational lead to ensure all letters are signed by the appropriate authorised signatory after which the Procurement Officer will issue all appointment letters through PCS-T.

→ **Send debrief letters through PCS-T**

It is the responsibility of the Estates Project Manager and or Estates Operational point of contact to ensure all letters are signed and then the Procurement Officer will issue all debrief letters through PCS-T.

→ **Standstill period**

Whilst not legally required, it is best practice to allow for a 10 day standstill period between communicating the award decision to all tenderers and formally accepting an offer (i.e., confirming the award and thus, proceeding with the purchase).

→ **Send appointment letter/s through PCS-T (Template P17)**

For Estates Capital Development tenders the award of the contract will be via a one stage process and the issue of the P17 letter/s.

For Estates Operational services tenders the award of the contract will be via a two stage process and the issue of the P17 letter/s.

→ **Publish Contract Award Notice on PCS**

The Procurement Officer will publish a Contract Award Notice on PCS within 30 days provided no challenge has been received.

○ **Contract implementation**

→ **Raise Purchase Order**

A University Purchase Order must be raised at the time of appointing suppliers, consultants and contractors or service suppliers and an instruction must be given to the purchase order recipient that any invoices for payment must include the purchase order number.

→ **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. 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 below:

- 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 which are used to appoint the supplier or certifies the invoice for payment may not approve the related batch payment. The University must pay its invoices within 30 days so care needs to be taken that any internal processes do not delay payment.

→ **Emergencies – unforeseeable (i.e. not due to lack of planning)**

Emergency commitments to any suppliers can only be made with the prior approval of the Director of Estates in consultation with the Director of Procurement.

The Director of Procurement should be consulted as soon as possible so that the appropriate course of action is taken.

All such emergency purchases of this nature will be accompanied by an information note which should be completed by the originator and approved by the ETRP retrospectively.

○ **Contract and supplier management**

→ **Importance**

Following the award of a contract, it is essential to manage the relationship with the chosen supplier so that what has been contracted for is achieved and a constructive supplier-buyer relationship develops. Contract Management is about ensuring that all parties to a contract fully understand their obligations and responsibilities under that contract and continue to do so until the agreement is finalised.

Managing the information and obligations contained in a contract during the whole contract lifecycle is of utmost importance. It safeguards the university should things go wrong and ensures that supplier performance is monitored at all times. Please note that construction related contracts require tight contract management – for example, if complaint procedures contained in the contract are not followed, the university may unintentionally waive its right to complain at later stages.

The Procurement Journey provides a valuable resource on Contract and Supplier Management. <https://www.procurementjourney.scot/route-2/route-2-contract-supplier-management>

→ **Change Control – Modifications of Contracts**

Changes to services, processes or contracts may have an effect on service delivery, performance, costs, timescales, and on whether the contract still represents value for money. The specification and administration of change control is an important area of contract management.

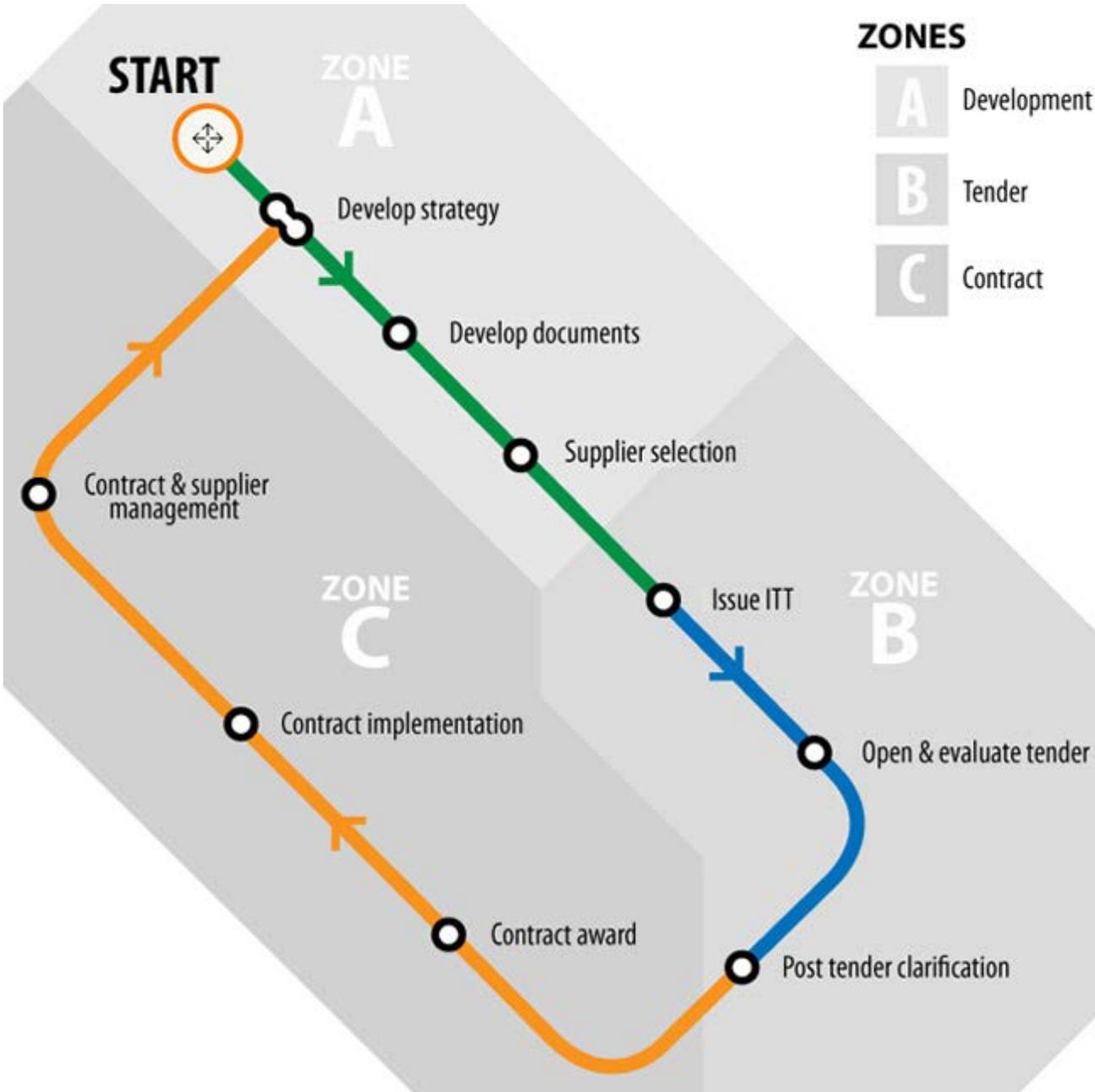
Modifications of contracts during their term are regulated by well-defined legal rules and need to be properly incorporated into the contract to be valid – please see FAQ 9. If a specific change, or cumulative changes significantly increase or decrease the scale or scope of the original contract, then this may not be permitted under public procurement law.

Certain contract modification require the University to publish a notice to that effect in PCS or OJEU. Please consult the Procurement Office for further advice.

Section 6: Detailed Protocol for Procurement Journey – Route 3

Goods and Services > £164k
Works > £4.1m

6.1 Overview



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

If an existing contract or framework and or in-house provider cannot be utilised – this section 6 outlines the process for for procurement of goods or services of a value above £164k or works of a value above £4.1m.

Overview of Minimum Timescales per Procedure¹⁴

| Minimum Timeline | Open | Restricted | Competitive procedure w/ Negotiation | Competitive Dialogue | Innovation Partnership |
|----------------------------|------|------------|--------------------------------------|----------------------|------------------------|
| Selection | N/A | 30 | 30 | 30 | 30 |
| Tender by Electronic Means | 30 | 25 | 25 | None | None |
| Tenders w/ PIN | 15 | 10 | 10 | None | None |
| Urgency | 15 | 15/10 | 15/10 | None | None |

6.2 Templates

Standard templates are available for the various stages of procurement in this category.

6.3 Process

Procurement Journey – Route 3 – ZONE A – Development



○ **Develop Strategy**

Develop Procurement Strategy (*P1*) – Who, what, when and how.

→ **Contact Procurement Office**

A member of the University’s Procurement Office needs to be involved at the different stages of a regulated procurement. Please e-mail Procurement.Central_Estates@ed.ac.uk to request the allocation of a member of the Procurement Office to your project.

→ **Complete Template *P1*.**

¹⁴ All days are calendar days, not working days.

For all procurements above the OJEU threshold (£164/£4.1m), it is essential to establish a procurement strategy which details the who, what, when and how of your procurement. The procurement office will provide advice and support or recommend legal input to ensure compliance with legislation.

New legal obligations have been imposed on the University, such as the Sustainable Procurement Duty. Template P1 will ensure compliance with all legal obligations and must be followed.

→ Sustainable Procurement Duty

From 1 June 2016, the University must comply with the "sustainable procurement duty", which requires that, before carrying out a regulated procurement, the University considers how in conducting the procurement it can:

- improve the economic, social, and environmental wellbeing of the area in which the University operates;
- facilitate the involvement of small and medium enterprises, third sector bodies and supported businesses in the process, and
- promote innovation.

The University can contribute towards improving the social wellbeing element of its sustainable procurement duty by adopting a policy to promote fair work practices in relevant public contracts. Statutory Guidance on "*the Selection of Tenderers and Award of Contracts - Addressing Fair Work Practices, including the Living Wage, in Procurement*"¹⁵ requires the University to consider, before undertaking a procurement exercise, whether it is relevant and proportionate to include a question on fair work practices, which would be evaluated along with other relevant criteria, while ensuring the appropriate balance between quality and cost of the contract. The Procurement Office will provide further assistance on the basis of the latest legal advice in this field.

The following sustainability tools will be used to comply with the Sustainable Procurement Duty: Life Cycle Mapping / Prioritisation / Sustainability Test / Scottish Flexible Framework. The Procurement Office will advise on the use of these tools and the Procurement Strategy template (P1) will need completed accordingly.

→ Community Benefit Requirements

MANDATORY obligation for any contract above £4m (goods/services/works)

Community benefit clauses provide a means of achieving sustainability in public contracts. They are contractual requirements imposed by the University on its suppliers relating to:

- a. training and recruitment;
- b. the availability of sub-contracting opportunities; or

which are otherwise intended to improve the economic, social or environmental wellbeing of the University's area in a way additional to the main purpose of the contract¹⁶.

The Procurement Office will advise on how to incorporate community benefit requirements in the contracts.

¹⁵ <http://www.gov.scot/Resource/0048/00486741.pdf>

¹⁶ <http://www.gov.scot/Resource/0049/00496919.pdf> (pages 39-47)

→ **Submit to and obtain approval from the ETRP of Template P1**

The Estates Project Manager's and or the Estates Operational point of contact shall ensure that the paperwork is first reviewed and approved by the Procurement Officer designated to the Project. The Procurement Officer will sign *Template P1* confirming that internal procurement approval processes have been followed.

Following signature by the Procurement Officer, the Estates Project Manager and or the Estates Operational point of contact shall send *Template P1* for review to the Head of the relevant Estates department at least 2 working days before the scheduled ETRP meeting. The Head of the relevant department will forward the relevant paperwork to the Estates ETRP Administrative Secretary 2 working days before the scheduled meeting to ensure sufficient time is given to the panel members to consider the recommendations ahead of the meeting.

The ETRP Administrative Secretary will communicate the decision made by ETRP to the Estates Project Manager and or the Estates Operational point of contact, copying in the Procurement Officer, and where approval is given, provide the K drive url link as to where the signed *Template P1* can be found.

→ **Option for consideration : Publication of a Prior Information Notice (PIN) instead of Contract Notice**

Voluntary use of a PIN can stimulate market interest in advance of the commencement of the procurement process itself. It allows potential bidders to prepare themselves to bid in time of the contract opportunities being announced. It can also enable reductions in timescales for competitions. This may be useful in the event the University is expecting a large grant, needs to wait for allocation of the funding but then has reduced timescales to conduct any procurements using the grant funding once allocated.

→ **Regulated procurement process – procedures**

The selection of the procurement route to be taken will be dependent on the value and nature of the requirement. You must ensure that the procurement route you choose is consistent with the requirements of the Public Contracts (Scotland) Regulations 2015 before you embark on your procurement. Decisions on compliance with the Regulations may require specialist knowledge. If you are in any doubt you should seek specialist professional procurement or legal advice and guidance.

Overview procedures

- The restricted procedure
- The open procedure
- The competitive dialogue procedure
- The competitive procedure with negotiation
- An innovation partnership

For an overview of the procedures and when to use them – please see FAQ 3. The restricted procedure is the most commonly used, hence the guidance below follows a standard restricted procedure.

○ Develop documents

→ **Contract Notice.**

The Procurement Office will generate a tender reference for all projects and publish the required Contract Notice in the Official Journal of the European Union (OJEU).

All requirements regarding the composition and publication of the Contract Notice are imposed by law and will 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 (see table above).

Following publication of the opportunity in OJEU, bidders who have registered an interest in being considered are invited to complete the ESPD, which is the new mandatory and standard format of the Pre-Qualification Questionnaire.

→ Selection criteria - ESPD.

At the pre-qualification (or selection) stage (ZONE A), before the invitation to tender, the University is concerned with the evaluation of the tenderer (the bidding company) and not the tender (the bid). This process, ensures that only the candidates that are competent to deal with the proposed contract are taken forward in the procurement process. Selection criteria should be used solely to determine a bidder's track record and objectively recorded and retained on file.

The University is now required to use the European Single Procurement Document (ESPD). The ESPD is a standard form to enable companies to self-declare that they qualify to bid for public contracts, i.e. that they do not fall within an exclusion clause (or, if they do, they can demonstrate that they have taken self-cleaning measures); and meet the relevant selection criteria. The ESPD is mandatory for use by the University and replaces the standard pre-qualification questionnaire (SPQQ), and any other PQQs that the University may have been using.

As the ESPD will be generic and similar in all EU member States, the University will have to set out any specific selection requirements and standards it may require within the ESPD into its contract notices. Bidders will use the ESPD response to indicate whether or not they have complied with the minimum standards and any other requirements set out in the contract notice.

Only approved templates may be used as they ensure compliance with all legal requirements. Any change to the standard templates (and scoring mechanism) must be agreed in advance with the Procurement Office and ETRP and where appropriate the relevant Project Board.

→ ESPD and Subcontractors

The University:

- Must request a separate ESPD response from subcontractors upon whose capability and capacity the main bidder relies in order to meet the selection criteria.¹⁷ If the ESPD verifies that there are mandatory grounds for exclusion of any such subcontractor, the University must require the main contractor to replace that sub-contractor. The University may also require the replacement of such a subcontractor to which any of the discretionary grounds for exclusion apply;
- May request a separate ESPD response from subcontractors (on whose capability and capacity the main bidder does not rely on in order to meet the selection criteria). If to be requested, this requirement must be specified in the Contract Notice. In such a case, the University must require the replacement of a subcontractor to which any of the mandatory grounds for exclusion are found to apply, and may require the replacement of a subcontractor to which any of the discretionary grounds for exclusion are found to apply;

¹⁷ Example: When appointing a Design Team to cover the whole project, some of the specialist expertise, capability and capacity may need to be subcontracted. The Lead (main bidder), usually the Architect, will heavily rely on these subcontractors in which case an ESPD must be obtained for any of these subcontractors.

○ Bidder selection

→ Appointment of assessment panel

In order to select bidders to proceed to the Invitation to Tender Stage, an assessment panel must be appointed which will review the responses to the ESPD submitted by prospective tenderers. The panel must be constituted of at least 3 members, in addition to the representative of the Procurement Office. A member of the Procurement Office must be involved in the panel as follows:-

For Estates Operations Tenders:

- Full panel member involved in all shortlisting/evaluation meetings

For 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 assessment panel.
- To review scores and advise on any specific queries arising from the shortlisting/evaluation process
- To confirm that the scores reflect the original Contract Advert Notice and pre-qualification process

Membership of the assessment panel should remain the same throughout the entire procurement process, unless exceptional circumstances dictate otherwise.

→ Appointment of chair of the panel and conflict of interest declaration.

A designated Estates' staff member will act as **Chair** of the assessment. He/she will collect Conflict of Interest declarations from all panel members and this form will be filed within each estates k drive ebldgs and or EST K drive project/tender file, minute responses obtained from this and take appropriate actions to resolve any conflict of interest, should these arise.

→ Review ESPD submissions.

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

For all projects/tenders over £50k, **AWARD** tender evaluation tool will be used and absolute scoring will apply.

→ Consensus.

A consensus exercise will be organised by the Chair of the assessment panel. The scores obtained by the bidders on selection criteria should be agreed by all panel members and a note of the meeting should record any rationale for discrepancies. Based on the resultant scores and in accordance with the process set out in the Contract Notice, the panel will recommend to the ETRP which bidders will be invited to tender.

→ Minimum number of bidders invited to ITT

For all Estates Capital Development Services and Works must be at least 6 unless less than 6 bidders meet the criteria, in which case less bidders may be invited.

For Estates Operational Services and Works must be at least 5 unless less than 5 bidders meet the criteria, in which case less bidders may be invited.

→ **Head of Estates Finance approval.**

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 as outlined in the ESPD to be carried out.

→ **ETRP approval.**

Template P3 must be submitted and approved by the ETRP before any communications regarding bidder selection or exclusion are sent to bidders. The process for obtaining approval of *Template P3* is essentially the same as the process for approval of *Template P1* (as further detailed above).

→ **Debrief for excluded bidders (i.e. on completion of the pre-qualification stage)**

The University shall, after deciding to exclude a potential bidder, notify such bidder of its exclusion. Such notice must state:

- The names of the bidders who have not been excluded
- The criteria leading to the bidders exclusion
- The University's scoring and feedback against those criteria

A bidder may also request further information at different stages of the process and the University must provide such additional information **within 15 days** – please consult with the Procurement Office to ensure compliance with legal obligations.

→ **Record keeping.**

The assessor's 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 to be disclosed in detail under Freedom of Information obligations, for audit or debriefing purposes⁹.

→ **Issue of the successful and unsuccessful letters (*Templates P12 and P13*)**

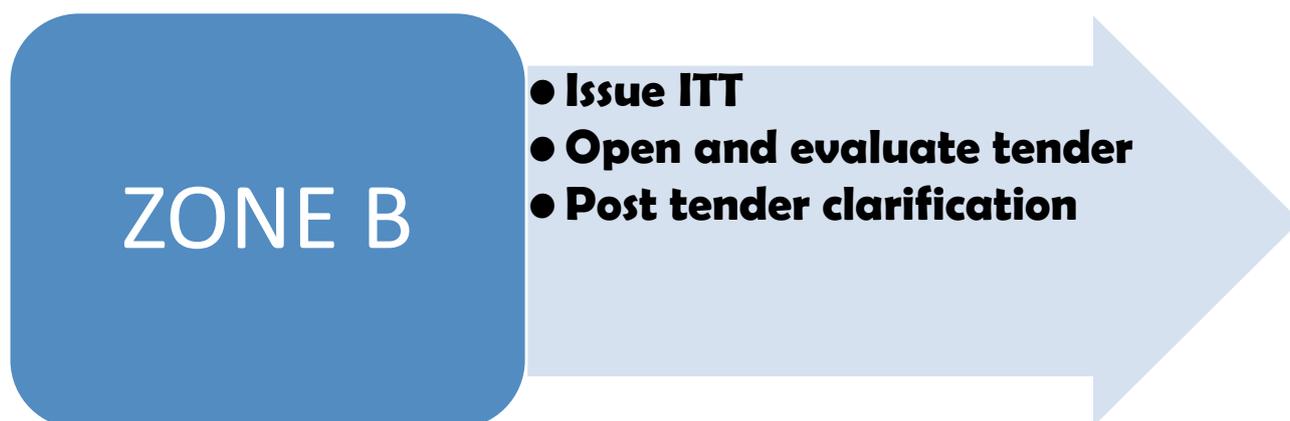
It is the responsibility of the Estates Project Manager and or Estates Operational lead to ensure all letters are signed and then the Procurement Officer will issue all appointment letters through PCS-T.

→ ***“What happens in pre-qualification, stays in pre-qualification”***

The pre-qualification stage (ZONE A) is a short-listing selection exercise only on bidder capacity and must remain entirely separate from the Invitation to Tender Stage (ZONE B). All scores obtained during the first stage, the pre-qualification (ZONE A), which are about past capacity must be set aside following short-

listing and must not be used to influence the outcome of the second stage, the tender award process, which is about the proposed bid and whether it fits the University's requirements.

⁹ Please note, such audits can be conducted many years after the termination of the project. E.g. ERDF projects funded in period 2007- 2013 must be retained until 2025



○ Issue ITT

→ *Specification.*

When setting out the specification and award criteria, all tenderers must be treated on equal terms and to avoid discrimination, whether positive or negative.

The specification must:

- Clearly describe what is required
- Focus on outputs required without being prescriptive as to the method the bidder should use to provide it (output specification)
- Be sufficiently tight so that the product or service fits the user's needs, but not so explicit that it discourages the bidder from proposing innovative solutions that optimise Value For Money (VFM)
- Include performance targets or include criteria for acceptance of the products or services
- Include service levels and a process for measuring ongoing performance
- Take account of any e-Commerce requirements
- Take account of the Sustainable Procurement Duty¹⁸ and (if above £4m) Community Benefit Requirements¹⁹.
- Take into account suitability of design for all users
- Take account of relevant legislation e.g. health and safety and equality
- Take account of all licensing requirements that a bidder must have in order to operate in a particular industry/sector and which are relevant to the performance of the contract
- Not refer to brands or trade names but refer to the characteristics of the product e.g. it is not permissible to specify a particular product brand
- Ensure that any requirements for limits, tolerances, deliverables timescales etc. are practical and realistic
- Consider commercial and ongoing performance management aspects of the contract throughout the supply chain e.g. payment terms including those to sub-contractors (30 day payment of invoices)
- Support a structured method of tender evaluation

¹⁸ See FAQ5

¹⁹ See FAQ6

→ Award Criteria

The award stage involves an examination of the merits of the bids. This will identify which of the eligible tenderers will deliver best value for money for the University based on the most economically advantageous tender, now also known as Best Price/Quality Ratio (BPQR). The award criteria must relate directly to, and be proportionate with, the subject matter of the requirements of the contract. The award criteria established in the Contract Notice (or PIN as the case may be) must be incorporated into the ITT documentation and should be accompanied by associated weightings and sub weightings with rationale of scoring for consistency. All sub-weightings must be published to ensure complete transparency.

→ Variants²⁰

The University may consider variants on the requirements as long as it has been specified in the Contract Notice (or PIN). The minimum requirements to be met by the variant and how the variant will be evaluated must also be stated in the contract documentation. Please contact the Procurement Office to guide you through the appropriate process.

→ ITT documentation

Following pre-qualification shortlisting, the ITT will be issued to selected bidders. A range of standard templates have been created 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 Notice and followed through to the ITT stage.

The Procurement Office must review all ITT documentation to ensure legal and procedural compliance. Project programmes must allow adequate time for this and accept the procurement advice/guidance.

→ Contract Terms and Conditions

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

→ Issue ITT documentation

The Procurement Office will issue the ITT documentation through PCS-T.

○ Open and evaluate tender

→ Receipt of bids.

All Tenders will be submitted to the University in the format detailed in the ITT documentation through the PCS-T system. 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.

Where Quantity Surveyors or consultants are carrying out checks and clarifications, all such communications and clarifications must be recorded via PCS-T to ensure full transparency of the process. Template *P9* details the process to apply.

→ Timely submission of the tenders

It is the bidder'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 via a formal sign off by the Acting Director of Procurement, will quotations or tenders received after this time be considered. An audit trail must be kept of the reason for accepting a late submission, the person who authorised the late-tender and the risk and impact of the project.

Enquiries from tenderers (including telephone, fax or e-mail), in relation to the extension of return dates must be notified to the Head of Estates Development or Director of Procurement and a member of the Estates Procurement Office as soon as possible.

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

- 1) all tenderers shall be notified of the revised closing date and time in writing through PCS-T;
- 2) the return instructions from the original ITT should be restated; and
- 3) all bids received after the new extended deadline will be excluded.

○ Post tender clarifications

The objective of the clarification stage is to clarify, where required, the tenders as submitted.

Tender or bid clarifications may become necessary during the evaluation of tenders. Where aspects of the bids are unclear or contain minor errors, clarifications may be sought. The Project Manager and Procurement Office should consider whether, where a certain aspect of the bid seems anomalous, it might be prudent to request clarification. For example, if a bid appears especially low or especially high on price, it may be that an arithmetical error has been made. Clarification may also be sought from tenderers on matters of quality performance or particular terms and conditions of contracts.

In seeking clarification, all communications with tenderers must be properly recorded so that an audit trail is maintained. This will be recorded on the PCS-Tender system in the messaging area. Negotiations in relation to price or other areas where improvements may be possible, are not permitted.

The Procurement Office should give all tenderers who are able to meet the requirements of the tender the same opportunity to engage in tender/bid clarification. Extreme caution and care must be exercised to avoid either unfair treatment of tenderers or the impression of unfairness.

Where Quantity Surveyors or consultants are carrying out checks and clarifications, all such communications and clarifications must be recorded to ensure full transparency of the process. Template P11 details the process to apply.

→ Evaluation of Tenders

Most Economically Advantageous Tender (MEAT) is now MANDATORY – cost only is no longer allowed

The University must identify the Most Economically Advantageous Tender on the basis of the best price/quality ratio, which must be assessed on the basis of criteria linked to the subject matter of the

contract and must include the price or cost, using a cost-effectiveness approach. A cost effectiveness approach may include **life-cycle costing**²⁰.

→ Interviews

If interviews are required, the University should determine whether the interview:

- is intended to evaluate a particular set of criteria that only appear in the interview. This means that the criteria to be assessed at interview are assigned a percentage of the overall score for that bid; OR
- will simply be used to clarify previously submitted written elements of the tender. In this case, the interview will not cover new evaluation criteria, and will not have a separate weighting. This option is commonly used where the interview allows for a demonstration of a process or item that has been described in the written submission.

Transparency: If an interview forms part of the tender evaluation process, the award criteria, questions, weightings and sub weightings must be contained in the contract notice and the ITT.

Equal treatment: All tenderers must be invited for interview. This ensures equal treatment.

Audit and transparency: 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 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.

→ Assessment Panel

A designated Estates' staff member will continue to act as Chair throughout the process. Membership of the assessment 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 three panel members, the agreed scores and rationale for each tenderer should be recorded, and the scores input to the scoring model. Please note that answers to specific questions must be reviewed by the same evaluators for all submissions.

→ Consensus Meeting

Once the tenders have been individually scored, the chair of the assessment panel will organise a consensus meeting to agree the final overall quality scores. At the consensus meeting, questions with differences in scores will be discussed and if appropriate individual scores may be changed (e.g. if something has been missed). Averaging scores is not acceptable.

The consensus quality scores should be agreed by all panel members and taken forward to the final Quality: Cost evaluation. The Chair will keep a formal record of the discussions and decisions taken at the meeting. The resultant scores will determine which tenderer should be awarded the contract.

²⁰ See FAQ 12

→ Computational Errors

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):

1. The tenderer should be given details of the errors and afforded an opportunity of confirming or withdrawing his tender.
2. If the tenderer elects to stand by his tender and confirmation has been received from him, follow the procedures set out Correction of Errors – Alternative 1
3. If the tenderer elects to amend his tender figure and possibly certain rates in his documents, he should either amend the original tender and initial the changes or confirm the alterations in an electronic communication through PCS-T.
4. If the amended tender is still the lowest (or `best value` as the case may be) and there are no other reasons for not recommending it then it should be recommended for acceptance.
5. If the amended tender is no longer the lowest (or `best value` as the case may be) the offer that as a result has become the lowest (or `best value`) should be examined and the analysis of tenders process repeated for the alternative tender.

→ Prepare debrief letters (*Template P16*)

All unsuccessful tenderers should be notified simultaneously and in writing of the outcome of the procurement. Standard templates for debriefing letters are to be utilised (Template P16). The Procurement Office will advise on the debriefing content.

The debrief letters must contain as a minimum:

- The name of the successful tenderer
- The criteria used to award the contract
- The University's scoring against those criteria of the unsuccessful tenderer and the successful tenderer.
- The reasons for the decision, including the characteristics and relative advantages of the successful tender
- In the case of an unsuccessful tenderer, a summary of the reasons why the unsuccessful tenderer was unsuccessful; and
- A precise statement of the standstill period.

The ETRP procurement representative will be responsible for reviewing and approving the contents of all letters and their associated tender scoring evaluation information.

Prior to the ETRP meeting all of this information must be uploaded by the estates project manager and or estates operational point of contact via folder EST K drive, shared tender review panel, submissions pre approvals folder and then the applicable ETRP weekly meeting folder.

This increased level of information for most tendering exercises negates the requirement for the debriefing of unsuccessful tenderers in person and gives clarity as to the decision taken. If approached for a personal debriefing, please seek advice from the Procurement Office.

→ Approval by ETRP.

The ETRP will review the content of the *P4* paper and if acceptable this *P4* paper will be approved unless approval by a specific committee is required due to the nature of the project, in which case endorsement of the *P4* paper by ETRP will act as a gateway to recommend approval by the relevant committee and Delegated Authorised Signatory.



○ **Contract award**

➔ **Send de-brief letters through PCS-T**

It is the responsibility of the Estates Project Manager and or Estates Operational lead to ensure all letters are signed and then the Procurement Officer will issue all debrief letters through PCS-T.

➔ **Standstill Period**

The standstill rule provides a mechanism whereby tenderers can challenge an award decision before the contract with the successful tenderer is signed.

The standstill rule requires the University to suspend the process for a mandatory period of a minimum of 10 calendar days²¹ 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 should be noted that the unsuccessful letters which includes the standstill details must not be issued until the ETRP, the Procurement Office and the relevant University committee have given approval. The unsuccessful and successful letters will be prepared by the relevant Estates staff and approved by the Procurement Office and ETRP prior to presenting to the appropriate signatories.

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

➔ **Send appointment letter/s through PCS-T (*Template P17*)**

It is the responsibility of the Estates Project Manager and or Estates Operational point of contact to ensure all letters are signed by the appropriate authorised signatory after which the Procurement Officer will issue all appointment letter/s through PCS-T.

²¹ The standstill period when using electronic communications is a period of 10 days ending at midnight at the end of the 10th day after that on which the debrief letters were sent. If using other means of communications – the standstill period is 15 days.

→ Award contract

For Estates Capital Development tenders the award of the contract will be via a one stage process and the issue of the *P17* letter/s.

For Estates Operational services tenders the award of the contract will be via a two stage process and the issue of the *P17* letter/s.

→ Contract Award Notice

The University must publish a contract award notice **within 30 days** of award of the contract unless a challenge is received. The Procurement Officer will publish the Contract Award Notice via PCS in the Official Journal of the EU. The Contract Award Notice contains details of the award of the contract including the successful tenderer and the price, or estimated price, to be paid.

○ Contract implementation

→ Raise Purchase Order

A University Purchase Order must be raised at the time of appointing the successful supplier(s), 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 during the standstill period.

→ 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. 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 which are used to appoint the supplier or certifies the invoice for payment may not approve the related batch payment. The University must pay its invoices within 30 days so care needs to be taken that any internal processes do not delay payment.

→ Emergencies – unforeseeable (i.e. not due to lack of planning)

Emergency commitments to any suppliers can only be made with the prior approval of the Director of Estates in consultation with the Director of Procurement.

The Director of Procurement should be consulted as soon as possible so that the appropriate course of action is taken.

All purchases of this nature will be accompanied by an information note which should be completed by the originator and approved by the ETRP retrospectively.

○ Contract and Supplier Management

→ Importance

Following the award of a contract, it is essential to manage the relationship with the chosen supplier effectively so that what has been contracted for is achieved and a constructive supplier-buyer relationship develops. Contract Management is about ensuring that all parties to a contract fully understand their respective obligations and deliver their responsibilities under that contract.

Managing the information and obligations contained in a contract during the whole contract lifecycle is of utmost importance. It safeguards the University should things go wrong and ensures that supplier performance is monitored at all times. Please note that construction related contracts require tight contract management – for example, if complaint procedures contained in the contract are not followed, the University may unintentionally have waived its future rights under the contract.

The Procurement Journey provides a valuable resource on Contract and Supplier Management:
<https://www.procurementjourney.scot/route-3/route-3-contract-supplier-management-overview>

→ Allocate Contract Manager/Project Manager

Appropriate structures need to be in place with representatives of both the University and the supplier to manage the contract throughout its existence. The University must allocate a 'contract manager or project manager'. i.e. the contact point for all relations with the supplier under that specific contract. The contract manager will also be responsible for reviewing and authorising change requests within their delegated authority.

→ Change Control

Changes to services, processes or contracts may have an effect on service delivery, performance, costs, timescales, and on whether the contract still represents value for money. The specification and administration of change control is an important area of contract management.

Modifications of contracts during their term are regulated by well-defined legal rules and need to be properly incorporated into the contract to be valid – please see FAQ 9. If a specific change, or cumulative changes significantly increase or decrease the scale or scope of the original contract, then this may not be permitted under public procurement law.

Certain **contract modifications require the University to publish a notice to that effect in OJEU**. Please consult the Procurement Office for further advice.

Section 7: Frameworks

A framework agreement is a general term for an agreement between a supplier or multiple suppliers and one or more contracting authorities (like the University). Framework agreements are generally used for purchases where there is a repeat need but exact quantities or timings are unknown. They allow contracting

authorities to make individual purchases without repeating many of the stages of a full competitive tendering process required by the Procurement Regulations.

Each framework agreement sets out the terms and conditions under which “call-off contracts”, i.e. specific purchases, can be made throughout the term of the agreement.

A framework agreement does not oblige the University to purchase goods, services or works under that framework agreement – the University can decide to use the framework agreement if it represents value for money. If the University considers that the framework agreement does not provide value for money, it can choose to award a contract outside the framework by conducting a new procurement.

The University has a number of frameworks in place which can be used. Only the Director of Procurement has delegated authority to enter into Framework Agreements.

The current list of Estates related framework agreements is available at Buy@Ed and this will be updated quarterly by the Procurement Office. 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.

Section 8: Delegated Authority

The University of Edinburgh has an approved Delegated Authority Schedule (DAS) which lists those committees or individuals to whom authority has been delegated by the University Court to commit the University to contractual or quasi-contractual arrangement within approved budget limits. It states:

- Who can approve a transaction, arrangement or project
- Who has signing authority to execute the transaction once approval has been given
- Who must be informed or consulted

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

Note 1: Amounts stated in the DAS all include VAT (**but** legal thresholds stated in Procurement Protocol exclude VAT)

Note 2: Authority to sign does not only apply to signing of contracts, letters of agreement, and other contractual documentation but also to Purchase Orders and covering letters where they are used as 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

<http://www.docs.sasg.ed.ac.uk/GaSP/Governance/Governance/DelegatedAuthorisationSchedule.pdf>

Land and Property - Property Transactions (Section from DAS)

The **Policy and 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 and 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 and 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.

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.

Section 9: Useful resources

The University of Edinburgh Procurement website

<http://www.ed.ac.uk/procurement>

Buy@Ed

<http://www.ed.ac.uk/procurement/buy-at-ed>

The University of Edinburgh Procurement Newsletter

<http://www.ed.ac.uk/procurement/news/procurement-newsletter>

Scottish Government Procurement Journey

<https://www.procurementjourney.scot/>

Scottish Government Review of Procurement in Construction

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

EU Commission – Public PROCUREMENT

http://ec.europa.eu/growth/single-market/public-procurement/index_en.htm

APPENDIX A: Glossary

Definitions

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

| | |
|-------------------------------------|---|
| Abnormally Low Tender | A tender where the price is so low that it raises suspicion that the supplier will not be able to supply the requirements specified by the University |
| APUC | Advanced Procurement for Universities and Colleges |
| Award | Decision to accept a tenderer's offer to supply goods/services/works following a procurement exercise and thereby creating a legally binding contract |
| Bidder | A person, sole supplier, partnership, limited company, public limited company, public entity, company or supported business, as part of a group, consortium, joint venture. |
| Call-Off Contracts | These are specific contracts which arise out of a framework agreement. The framework agreement is an overarching agreement with no specific commitment to buy, the call-off contract is the specific commitment to buy under that framework agreement |
| Contract Award Notice | A notice in PCS or OJEU, as the case may be, that a previously advertised opportunity has been awarded |
| Contract Notice | Advert in PCS or OJEU, as the case may be, to invite bidders to express interest, apply to tender or to be pre-qualified |
| Contracting Authority | An entity, usually a public body, which by law is required to comply with public procurement law. The University of Edinburgh is a contracting authority |
| Contractor/Supplier/Provider | A person, sole supplier, partnership, limited company, public limited company, public entity, company or supported business awarded a contract to provide goods, works or services or works related services as required by the University. |
| ESPD | European Single Procurement Document. |
| Framework Agreement | an agreement or other arrangement between one or more contracting authorities and one or more economic operators which establishes the terms (in particular the terms as to price and, where appropriate, quantity) under which the economic operator will enter into one or more contracts with a contracting authority in the period during which the framework agreement applies |
| FOI | Freedom of Information (Scotland) Act 2002 and Environmental Information (Scotland) Regulations 2004 |
| ITT | Invitation to Tender |
| Lots | Subdivisions of a contract |
| MEAT | Most economically advantageous tender (best quality/price ratio) |
| OJEU | Official Journal of the European Union |
| PCS | Scottish Government's advertising portal for public contracts opportunities |

| | |
|--------------------|--|
| PCS-T | PCS-Tender is the national eTendering system provided free of charge by the Scottish Government. The system is a secure and efficient means for buyers and bidders to manage tender exercises online. The standard ESPD /ITT templates enable buyers to easily create consistent tender documentation. |
| PQQ | The ESPD document contains our Pre-Qualification Questionnaire details |
| 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 the Scottish Public Procurement Policy Handbook, the Scottish Model of Procurement and the University Procurement Strategy. |
| Tenderer | An organisation submitting a bona fide sealed bid to supply the University |
| Variants | Alternatives offered by the tenderers to the goods, services or works as specified by the University |
| Works | The term used by the Public Contracts (Scotland) Regulations 2015 for a building or civil engineering project or piece of work. The full list is available under Appendix B of this Protocol |

APPENDIX B: List of Activities Constituting Works

| Subject | Notes | CPV Code |
|---|--|----------|
| Construction | This division includes: construction of new buildings and works, restoring and common repairs. | 45000000 |
| Site Preparation | | 45100000 |
| Demolition and wrecking of buildings; earth moving | This class includes: <ul style="list-style-type: none"> • 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. • This class also includes: <ul style="list-style-type: none"> • building site drainage. • drainage of agricultural or forestry land. | 45110000 |
| Test drilling and boring | This class includes: <ul style="list-style-type: none"> • test drilling, test boring and core sampling for construction, geophysical, geological or similar purposes. • This class excludes: <ul style="list-style-type: none"> • drilling of production oil or gas wells, see 11.20. • water well drilling, see 45.25, • shaft sinking, see • oil and gas field exploration, geophysical, geological and seismic surveying, see 74.20 | 45120000 |
| Building of complete constructions or parts thereof; civil engineering | | 45200000 |

| | | |
|---|--|--|
| <p>General construction of buildings and civil engineering works</p> | <p>This class includes:</p> <ul style="list-style-type: none"> • 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. <p>This class excludes:</p> <ul style="list-style-type: none"> • service activities incidental to oil and gas extraction, see 11.20, • erection of complete prefabricated constructions From self-manufactured parts not of concrete, see divisions 20, 26 and 28, • construction work, other than buildings, for stadiums, swimming pools, gymnasiums, tennis courts, golf courses and other sports Installations, see 45.23, • building installation, see 45.3, • building completion, see 45.4, • architectural and engineering activities, see 74.20 • project management for construction, see 74.20 | <p>45210000 Except: 4521331 45220000 45231000 45232000</p> |
| <p>Erection of roof covering and frames</p> | <p>This class includes:</p> <ul style="list-style-type: none"> • erection of roofs, • roof covering, • waterproofing. | <p>45261000</p> |
| <p>Construction of highways, roads, airfields and sport facilities</p> | <p>This class includes:</p> <ul style="list-style-type: none"> • construction of highways, streets, roads, other vehicular and pedestrian ways, • construction of railways, | <p>45212212 and DA03 45230000 except:</p> |

| | | |
|---|--|--|
| | <ul style="list-style-type: none"> • construction of airfield runways • construction work, other than buildings, for stadiums, swimming pools, gymnasiums, tennis courts, golf courses and other sports installations, • painting of markings on road surfaces and car parks <p>This class excludes:</p> <ul style="list-style-type: none"> • preliminary earth moving, see 45.11. | <p>45231000 45232000 45234115</p> |
| Construction of water Projects | <p>This class includes:</p> <p>construction of:</p> <ul style="list-style-type: none"> • waterways, harbour and river works, pleasure ports (marinas), locks etc; • dams and dykes, • dredging • subsurface work. | 45240000 |
| Other construction work involving special trades | <p>This class includes:</p> <ul style="list-style-type: none"> • 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. <p>This class excludes:</p> <ul style="list-style-type: none"> • renting of scaffolds without erection and dismantling, see 71.32 | <p>45250000 45262000</p> |

| | | |
|--|---|---|
| | | |
| Building installation | | 45300000 |
| Installation of electrical Wirings and fittings | <p>This class includes:</p> <ul style="list-style-type: none"> • 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. | 45213316 45310000 Expect: - 45316000 |
| Insulation work activities | <p>This class includes:</p> <ul style="list-style-type: none"> • installation in buildings or other construction projects of thermal, sound or vibration insulation. • This class excludes: - waterproofing, see 45.22 | 45320000 |
| Plumbing | <p>This class includes:</p> <ul style="list-style-type: none"> • 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 <p>This class excludes:</p> <ul style="list-style-type: none"> • installation of electrical heating systems, see 45.31. | 45330000 |
| Other Building Installation | This class includes: | 45234115 |

| | | |
|--------------------------------|--|--------------------------|
| | <ul style="list-style-type: none"> • installation of illumination and signalling systems for roads, railways airports and harbours, • installation in buildings or other • installation in buildings or other construction projects of fittings and fixtures n.e.c. | 45316000 45340000 |
| Building completion | | 45400000 |
| Plastering | <p>This class includes:</p> <ul style="list-style-type: none"> • application in buildings or other construction projects of interior and exterior plaster or stucco, including related lathing materials. | 45410000 |
| Joinery installation | <p>This class includes:</p> <ul style="list-style-type: none"> • installation of not 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. <p>This class excludes:</p> <ul style="list-style-type: none"> • laying of parquet and other wood floor covering, see 45.43 | 45420000 |
| Floor and wall covering | <p>This class includes:</p> <ul style="list-style-type: none"> • 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, • including of rubber or plastic, • terrazzo, marble, granite or slate floor or wall coverings • wallpaper. | 45430000 |
| Painting and glazing | <p>This class includes:</p> <ul style="list-style-type: none"> • interior and exterior painting of buildings, • painting of civil engineering structures, • installation of glass, mirrors, etc. | 45440000 |

| | | |
|--|--|-----------------------------------|
| | <p>This class excludes:</p> <ul style="list-style-type: none"> • installation of windows, see 45.42. | |
| Other building Completion | <p>This class includes:</p> <ul style="list-style-type: none"> • installation of private swimming pools • steam cleaning, sand blasting and similar activities for building exteriors, • other building completion and finishing work n.e.c. <p>This class excludes:</p> <ul style="list-style-type: none"> • interior cleaning of buildings and other structures see 74.70. | 45212212 and DA04 45450000 |
| Renting of construction or demolition equipment with operator | | 45500000 |
| Renting of construction or demolition equipment with operator | <p>This class excludes: renting of construction or demolition machinery and equipment without operators, see 71.32</p> | 45500000 |

APPENDIX C: Frequently Asked Questions

1. How do I calculate the value of the contract?

The rules below give a summary of the rules applicable to the calculation of the value of any given contract. If in doubt, please speak to the Procurement Department.

Estimated value of the contract = total amount payable under it, excluding VAT, including any options to renew:

Example: A contract for the delivery and maintenance of a scanner. Cost purchase scanner: £30k, Maintenance Agreement for 4 years: £10k / year. Value of the contract = £70k

- Value of **framework agreements** = total amount payable of all potential call-off contracts under the framework, aggregation of all lots over the whole period of the framework agreement
- Value **works** contract = total estimated value of any supplies and services that are necessary for executing the works to completion
- Value of contracts for goods or services which are **regular in nature** = total value of contracts of the same type awarded during a period of 12 months

Example: If the University regularly hires contractors for demolition works, we would need to aggregate all these contracts over a period of 12 months to estimate whether further contracts for demolition works fall below or above the regulated thresholds.

- Value of contracts for **services** with no fixed term = monthly fee multiplied by 48

>< **It is illegal to subdivide contracts with the effect of the value falling below the regulated thresholds**

Examples of Works Contracts

Where the construction of a new building is divided into three phases, site clearance, construction, and fitting out, the threshold must be applied to the value of all three phases, added up, even though the activities are different and different contractors may be used.

Construction of a new road might consist of separate contracts for the construction of the road itself, road signs, lighting, and landscaping. If all these contracts form part of the same project, the value of each contract must be added together to arrive at a value against which the threshold must be applied. Similarly, if the public body buys materials or products for use in connection with the works (i.e. by the works contractor) the value of these must be included when calculating the whole works project value.

Related services (for example, architectural or quantity surveying services) may be purchased under separate contracts, in which case their value need not be counted against the whole works project value. However, the Directive will apply to each separate service contract that exceeds the Services threshold.²²

Please note: 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

²² See more at: <https://www.procurementjourney.scot/eu-guidance#sthash.rlg7NDWV.dpuf>

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. Please remember that for procurement purposes, the University is one legal entity so all expenditure for a certain goods, services or works are aggregated.

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 used by our Centre of Expertise (APUC) and other public bodies to consider collaborative Framework Agreements and efficiencies in tender activity, and may be sought in Freedom of Information requests from the public.

2. What is the Procurement Journey?

The Procurement Journey is a helpful tool provided by the Scottish Government. It is intended to support all levels of procurement activities and to help manage the expectations of stakeholders, customers and bidders/suppliers alike and facilitates best practice and consistency across the Scottish public sector. It provides a helpful step by step guide for procurement conducted by contracting authorities in Scotland, templates and easy to follow guidance.

See: <https://www.procurementjourney.scot/>

3. What procurement procedures are available to me?

The selection of the procurement journey route to be taken will be dependent on the value and nature of the requirement. You must ensure that the procurement journey route you choose is consistent with the requirements of the Public Contracts (Scotland) Regulations 2015 before you embark on your procurement. Decisions on compliance with the Regulations may require specialist knowledge. If you are in any doubt you should seek specialist professional procurement or legal advice and guidance.

Overview of procurement procedures

1. The restricted procedure
2. The open procedure
3. The competitive dialogue procedure
4. The competitive procedure with negotiation
5. An innovation partnership

1. The restricted procedure

Key features

- This is a two stage process whereby the University carries out a short-listing exercise (using the ESPD) and only those meeting the University's selection criteria will be invited to tender.
- A minimum of five bidders must be invited to tender (unless fewer suitable candidates have met the selection criteria and these are sufficient to ensure genuine competition).
- Following the submission of tenders, no negotiation with tenderers is permitted, just clarification of the tenders submitted and a finalisation of contract terms with the successful tenderer.

When to use

- There are no restrictions on when this procedure can be used.
- As there is a short-listing stage, it is likely to be more appropriate than the open procedure for procurements where there is likely to be a large amount of bidder interest.
- Under this procedure, the University is unable to negotiate with tenderers, therefore it should only be used where the University is able to adequately specify its needs in advance of conducting the procurement.

2. The Open Procedure

Key features

- No separate pre-qualification stage
- All interested parties can submit a tender in response to the OJEU notice. All bidders who respond to an advertised opportunity are sent the full invitation to tender without a separate pre-qualification stage, although ESPD will be part of the process.
- Tenders can be clarified following receipt by the contracting authority. However, changes to the tender and any negotiation with the tenderer are not permitted.

When to use

- There are no restrictions on when the open procedure can be used.
- Suitable where your research has indicated that there are few bidders, that could meet your needs in the market place
- As all interested parties may submit a tender, the open procedure is unlikely to be appropriate where there is any complexity in the evaluation process for practical reasons or the University is expecting a large amount of bidders.

3. The Competitive Dialogue Procedure

Key features

- Interested parties can submit an expression of interest in response to the OJEU Notice.
- The University may then carry out a short-listing exercise (using the ESPD) and only those meeting the University's selection criteria will be invited to dialogue.
- A minimum of three bidders must be invited to dialogue (unless fewer candidates have met the selection criteria and these are sufficient to ensure genuine competition, that is, at least two).
- The University enters into a parallel dialogue with bidders to develop one or more suitable solutions to meet its needs. Discussions with each bidder remain confidential. During the course of the dialogue the University is able to reduce the number of bidders provided that it confirms it intends to do so in the OJEU Notice or invitation to dialogue using the stated evaluation criteria and weightings. If the University does choose to down select, it should ensure that at least two tenderers remain in the dialogue until it concludes.
- When an appropriate solution(s) has been identified, the University will conclude the dialogue phase and invite final tenders. The University may require all final tenders to be based on one solution identified during the course of the dialogue or allow each tenderer to submit a bespoke final tender.
- Following receipt of final tenders, the University would evaluate the tenders and select the best tender based on pre-specified award criteria.

When to use

- See table below.
- The University's needs cannot be met without adaptation of readily available solutions.
- The contract includes design or innovative solutions.

- The contract cannot be awarded without prior negotiation because of specific circumstances related to the nature, the complexity or the legal and financial makeup or because of risks attaching to them.
- The technical specifications cannot be established with sufficient precision by the contracting authority with reference to a standard, European Technical Assessment, common technical specification or technical reference.
- When only irregular/unacceptable tenders are submitted in response to a procurement run using the open or restricted procedure.

4. The competitive procedure with negotiation

Key features

- This procedure has been described as a hybrid procedure because, as with the restricted procedure, it allows the University to award a contract on the basis of an initial tender. However, like the competitive dialogue procedure, it also enables the University to negotiate with bidders who submitted an initial tender, and any subsequent tenders, until it decides to conclude those negotiations. There is no limit to the number of tender stages.
- Final tenders are submitted and evaluated and the contract is awarded.

When to use

- See table below.
- The needs of the contracting authority cannot be met without adaptation of readily available solutions.
- The contract includes design or innovative solutions.
- The contract cannot be awarded without prior negotiation because of specific circumstances related to the nature, the complexity or the legal and financial makeup or because of risks attaching to them.
- The technical specifications cannot be established with sufficient precision by the contracting authority with reference to a standard, European Technical Assessment, common technical specification or technical reference.
- When only irregular/unacceptable tenders are submitted in response to a procurement run using the open or restricted procedure.

5. An innovation partnership

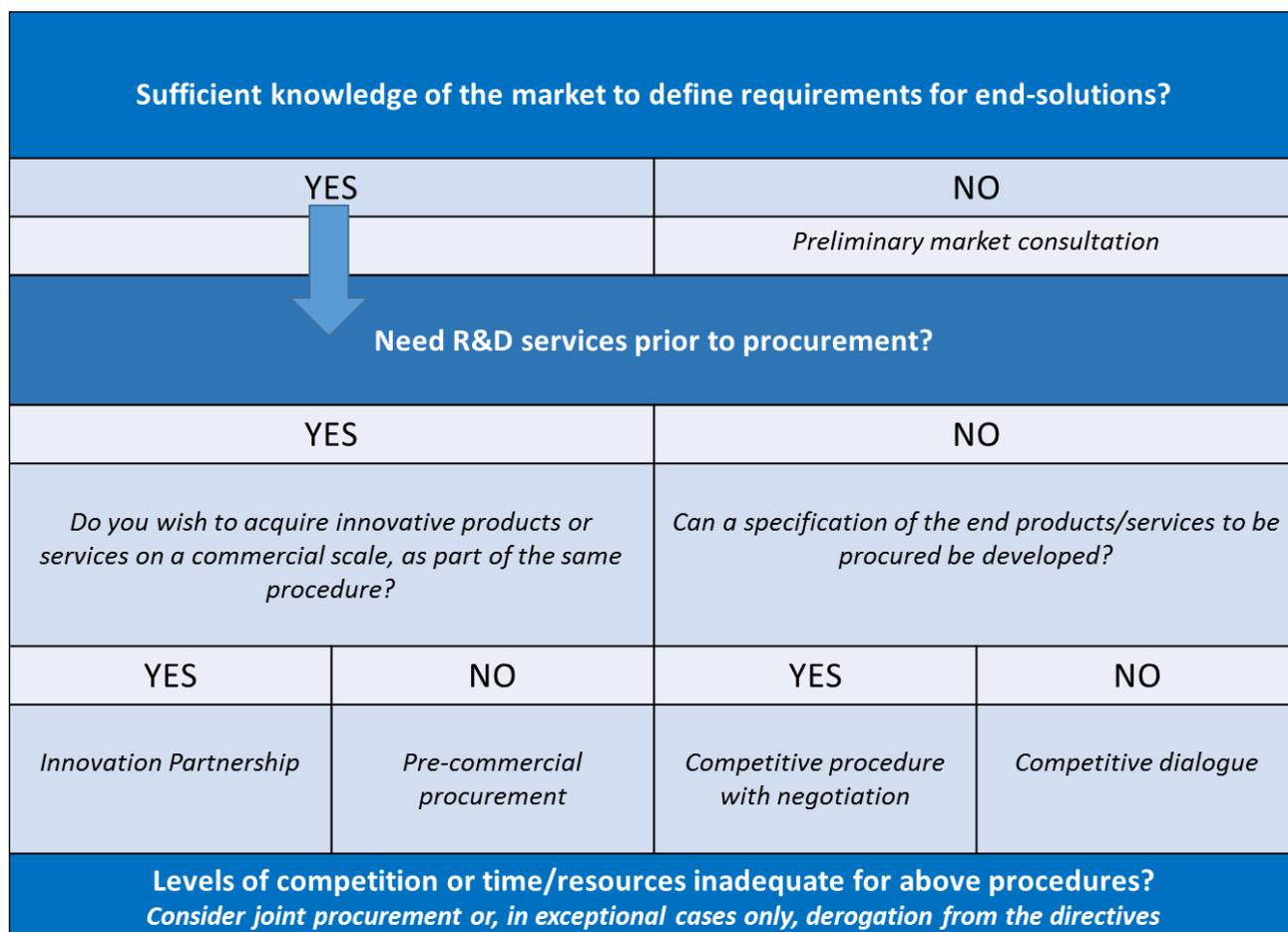
Key features

- The innovation partnership is a procedure designed to allow the University to establish a long-term partnership for the development and subsequent purchase of a new, innovative product, service or works. The University can decide to set up the partnership with one partner or with several partners conducting separate research and development activities.
- As with several of the other procedures, the procedure allows for an initial qualification stage, following by submission of initial tenders and the possibility of successive stages and the potential for the down-selection of bidders.

When to use

- See table below
- The innovation partnership must aim at the development of innovative works, products or services and the subsequent purchase of the resulting works, supplies or services provided that they correspond to the performance levels and maximum costs agreed between the University and the partners.

A competitive dialogue procedure, competitive procedure with negotiation or an innovation partnership?



4. My project is funded by ERDF or other public funding – how does that impact the way I must procure?

As a condition of the grant, many funders impose specific procurement rules on the University. For example, funding received from ERDF or the European Investment Bank impose strict compliance with public procurement laws. Failing to do so, may lead to the University having to refund the whole or part of the grant funding.

The EC Commission has published a guidance for practitioners on the avoidance of the most common errors in projects funded by the European Structural and Investment Funds (ERDF).

http://ec.europa.eu/regional_policy/sources/docgener/informat/2014/guidance_public_proc_en.pdf

If in doubt, please consult a member of the Estates Procurement Office.

5. What is the Sustainable Procurement Duty?

MANDATORY obligation for any contract above £50k (goods/services) or £2m (works) (Procurement Journey Routes 2 and 3)

The sustainable procurement duty is a new duty applicable from 1 June 2016. It requires the University, before carrying out a regulated procurement, to consider how in conducting the procurement it can:

- improve the economic, social, and environmental wellbeing of the University's area,
- facilitate the involvement of small and medium enterprises, third sector bodies and supported businesses in the process, and
- promote innovation.

Wellbeing includes:

- economic factors such as the availability of suitable and high quality jobs, measures to encourage local small businesses, efficient and effective transport links, lifelong learning, training and skills development, the provision of infrastructure and new information and communication technologies, etc.;
- social factors such as the promotion of good quality and affordable housing, safe communities, the encouragement of the voluntary sector, looking after the needs of children and young people (particularly the most vulnerable), access to the arts or leisure opportunities, access to education, etc.;
- health-related factors such as the promotion of good physical, social and mental health and developing and promoting policies which have a positive impact on health outcomes, especially on health inequalities; and
- environmental factors such as the availability of clean air, clean water, clean streets, the quality of the built environment, the removal of objects considered hazardous to health, removal of disfiguring or offensive graffiti from buildings, protecting communities against the threat of climate change, freedom from a high risk of flooding, improving and promoting biodiversity and accessibility to nature.

Compliance with the sustainable procurement duty may aid compliance with other legislation that places specific requirements on a contracting authority with respect to its procurement activities. In particular the Equality Act 2010, The Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012, the Climate Change (Scotland) Act 2009 and The Climate Change (Duties of Public Bodies: Reporting Requirements) (Scotland) Order 2015.

Community benefits may be viewed as a subset of the sustainable procurement duty. While the Act has a specific threshold at which community benefits must be considered, application of the sustainable procurement duty means that community benefits may be achieved below this threshold.

The Procurement Office has access to all available sustainability tools to achieve this duty and will advise accordingly.

6. What are Community Benefit Requirements?

MANDATORY obligation for any contract above £4m (goods/services/works)

Community benefit clauses provide a means of achieving sustainability in public contracts. They are contractual requirements imposed by the University on its suppliers:

- b) relating to
 - a. Training and recruitment;
 - b. The availability of sub-contracting opportunities; or

- c) which is otherwise intended to improve the economic, social or environmental wellbeing of the University's area in a way additional to the main purpose of the contract²³.

7. What is the ESPD?

The European Single Procurement Document (ESPD) is a generic form used across all EU Member States as part of the initial selection process; it replaces the standard pre-qualification questionnaire (SPQQ). The ESPD must be accepted as a self-declaration by an economic operator that it has not breached any of the mandatory or discretionary exclusions grounds (or, if it does, it can demonstrate in the ESPD that it has taken self-cleansing measures) and that it meets the relevant selection criteria.

The University must use the ESPD (Scotland) in all regulated procurement exercises (procurement journey routes 2 and 3) which are commenced on or after 18 April 2016.

Please note, the University cannot add to or change the questions in the ESPD (Scotland).

8. Can we use the incumbent supplier again?

Public procurement law does not allow for preference to be given to a supplier who you have worked with in the past nor for negative discrimination unless evidence of poor performance has led to the breach of a contract caused by such supplier (in which case, please contact Legal Services, procurement solicitor, for advice).

Any new contract must be advertised even if the University has an existing relationship with a contractor, unless the contractor was appointed in line with the public procurement law, and the existing contract clearly covers the requirements of the new requirement.

9. Can I modify a contract during its term (after it has been awarded)?

Yes, but only in 6 particular circumstances

1. The initial procurement documents clearly provided for that contract modification – eg. a fixed terms service contract which provides for 2 x 1 year extension periods
2. For additional works, services or goods by the original supplier that have become necessary and were not included in the initial procurement, BUT ONLY where a change of supplier:
 - o Cannot be made for economic or technical reasons such as requirements of interchangeability or interoperability with existing equipment services or installations procured under the initial procurement; AND
 - o Would cause significant inconvenience or substantial duplication of costs for the University; AND
 - o Any increase in price cannot exceed 50% of the initial contract value.
3. Where a need for modification has been brought about by circumstances which the University acting in a diligent manner could not have foreseen, BUT ONLY IF:
 - o The modification does not alter the overall nature of the contract; AND
 - o Any increase in price does not exceed 50% of the initial contract value.
4. Where a new supplier replaces the original supplier as a consequence of:

²³ <http://www.gov.scot/Publications/2016/03/8410/0>

- an unequivocal review clause or option; OR
 - Complete or partial succession into the position of the initial supplier, following corporate restructuring, including takeover, merger, acquisition or insolvency, by another economic operator that fulfils the criteria for qualitative selection initially established, provided that this does not entail other substantial modifications to the contract or framework and is not aimed at circumventing application of the Regulations.
5. Where a modification, irrespective of value, is NOT 'substantial'. A modification is substantial where:
- It renders the contract materially different to the one initially concluded; OR
 - It introduces conditions which, had they been part of the initial procurement, would have:
 - Allowed the admission of candidates other than those selected, or
 - Allowed for the acceptance of a tender other than that accepted, or
 - Attracted additional participants in the procurement procedure; OR
 - It changes the economic balance of the contract in favour of the contractor in a manner not provided for in the initial contract; OR
 - It extends the scope of the contract considerably; OR
 - A new supplier replaces the existing supplier other than as permitted above
6. The value of the modification is the lower of:
- 10% of initial contract value for goods and services
 - 15% of the initial contract for works

10. Can we buy locally?

No. Preference should not be given to local suppliers, to suppliers with a local office or to suppliers that have already worked with the University.

11. Can we impose the Living Wage on our contractors/subcontractors?

The University of Edinburgh is committed to pay the living wage and encourages its contractors to do the same. However, making it a requirement of the tender process or grounds for selecting tenderers would infringe EU procurement rules. The University's Procurement office can advise further on this matter.

12. What is life cycle costing?

Costs may be calculated on the basis of the whole life-cycle of the supplies, services or works, and not solely on the purchase price. This allows costs associated with the use, maintenance and end-of-life of the supplies, services or works to be taken into account – sometimes also referred to as total cost of ownership.

Life-cycle costing or LCC is a tool which evaluates the costs of an asset throughout its life-cycle.

The conventional LCC techniques most widely used by companies and/or governments is based on a purely financial valuation. Four main cost categories are assessed: investment, operation, maintenance and end-of-life disposal expenses.

An environmental LCC methodology takes into account the above four main cost categories plus external environmental costs. The latter may come from an analyses on environmental impacts, which measure for example the external costs of global warming contribution associated with emissions of different greenhouse gases. Environmental costs can be calculated also in respect of acidification (grams of SO₂, NO_X and NH₃), eutrophication (grams of NO_X and NH₃), land use (m²*year) or other measurable impacts.

13. What is a concession? What process needs to be followed?

In a basic public concession, the University would be granting a private entity a right to provide an asset or service. Rather than pay for providing the asset or service, the University would transfer the opportunity to exploit the market to the private entity, along with the demand risk (the risk that there will be little or no market to exploit). Revenue from fees paid by third party users (normally the general public) to the private entity are then used to meet the costs incurred and to make a profit.

Both types of public concession (works and service) are subject to a lighter procurement regime than traditional public contracts, but they are treated in different ways from each other. Procurement and Legal Services will be able to advise on how to procure for a concession.

14. Is there any risk of being in breach of State Aid rules?

Funding provided by the University to a third party, such as a supplier, could constitute State Aid UNLESS the third party to which the funding is provided is contracted by the University in accordance with Scottish and EU public procurement rules, State Aid rules can be highly complicated and their application extends much beyond the remit of this protocol. For the purpose of this Protocol, it suffice to state that application of public procurement rules should significantly reduce the risk of breaching state aid regulations.

15. What are Variants? How can I utilise Variants in the bidding process?

Variant bids give bidders an opportunity to suggest alternative ways to meet your requirement. Variants must meet your minimum requirements, but may alter criteria in your specification. Accepting or requesting variant bids may provide better solutions and promote innovation, however, certain processes must be followed. If you wish to accept variants, you must:

In the PCS Contract Notice*

- Indicate that variant bids will be accepted (or required) in notice section II.1.9

In the ITT

- Detail rules for bidders for submitting variants
- Indicate that bidders must clearly label variant submissions as 'Variant Bid'
- Indicate whether variants are accepted or required, and whether bidders must submit a compliant (i.e. non-variant) bid alongside the variant bid
- Indicate that variant bids must be linked to the subject matter of the contract
- Detail a single set of **minimum requirements** that both variant and compliant bids must meet
- Detail full technical and other criteria for compliant bids
- If applicable, indicate any technical or other criteria that variants can or cannot alter in variant bids
- Detail award criteria and evaluation methodology that reflect the minimum requirements, and which must apply equally to variant and compliant bids

During Evaluation/Award

- Variants may take more time/ resources/legal checks—ensure adequate resources are available to properly and fairly evaluate variants (especially if evaluating multiple solutions from a single supplier)

- Evaluators must not consider variant bids that:
 - Are not authorised or required
 - Are not linked to the subject matter of the contract
 - Do not meet the minimum requirements
- Evaluators must not reject a variant on the sole ground that it would lead to a public service contract rather than a public supply contract or vice versa.

APPENDIX D: Procurement Templates

P1 – Above £50k - Procurement Strategy.

P2 – Below £50k – Tender Opening Form.

P3 – Over £50k – Procurement Journey 1, 2 and 3 - Approval of Bidders Shortlist.

P4 – Over £50k – Procurement Journey 1, 2 and 3 - Approval of Contract Award

P5 – For all projects above £50k - Conflict of Interest Declaration

P6 – Procurement Journey 1 - Below £50k Goods and Services documentation package

P7 – Procurement Journey 1 - Below £50k Works documentation package

P8 – Procurement Journey 1 - Works over £50k - £2 million – bidder unsuccessful letter

P9 – Procurement Journey 1 - Works over £50k - £2 million – bidder successful letter

P11 – Procurement Journey - Over £50k – Procurement Journey 1, 2 and 3 - QS/Consultants Process Guide work flow

P12 – Procurement Journey - Route 2 and 3 – Pre-Qualification Stage bidder unsuccessful letter

P13 – Procurement Journey - Route 2 and 3 – Pre-Qualification Stage bidder successful letter

P14 – Procurement Journey - Route 2 – ITT unsuccessful letter

P15 – Procurement Journey Route – 2 – ITT successful letter

P16 – Procurement Journey - Route -3 - ITT unsuccessful letter

P17 – Procurement Journey - Route- 3 – ITT successful letter



ESTATES COMMITTEE

14 September 2016

Estates Risk Register

Description of paper

1. The paper sets out the revised and updated Estate Department red and amber risks.

Action requested

2. Estates Committee is asked to note the current red and amber risks in the Appendix.

Recommendation

3. Estates Committee is asked to note the current red and amber risks and the mitigation activities that are in place to manage these risks.

Background and context

4. At its last meeting, the Estates Committee reviewed a paper showing Estates Department red and amber risks in accordance with the University's established risk management process. This identified risks, consequences and mitigation activities, together with score. Since then the Estates Management Group has revisited the risks and scoring, as part of its normal quarterly review process, and the scoring has changed for some risks. In the light of the changes, it was considered appropriate for the red and amber risks to be noted by the Estates Committee.

Discussion

5. To note the current red and amber risks.

Resource implications

6. There are no specific resource implications related to this paper, but individual risks and mitigation actions may have resource requirements, and these will be managed on an individual risk or project related basis.

Risk Management

7. The risk register is managed in accordance with the University risk management process.

Equality & Diversity

8. There are no equality and diversity considerations related to the global risk register although the management of individual risks within the register may have; these will be managed on an individual project or related basis.

Next steps/implications

9. The Estates Department will continue to review and manage the risks proactively.

Consultation

10. The Estates Management Group have contributed to the update of the risk register and it has been shared with the Director of Corporate Services.

Further information

11. Authors

Maureen Masson, Head of Estates Business
and Administration
7 September 2016

Presenter

Graham Bell, Depute Director
Estates Department

Freedom of Information

12. The paper is open.

Estates Department Risk Register 2016-17

| Link to CSG Register | Item | Risk | Consequences | Inherent Impact | Residual Impact | Residual Prob'ty | Risk Level | Risk Movement since last year | Management Processes and Mitigating Activities | Managerial Responsibility |
|----------------------|------|--|--|---|---|---|---------------------------------------|---|--|---|
| | | | | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Very High(5) High (4) Medium (3) Low (2) Very Low (1) | Red >15 Amber 10-15 White<10 | | | |
| | | | | | | | | Increased ↑ Un-changed- Reduced ↓ | | |
| 1 & 7 | 1 | <p>Failure to deliver a credible capital programme of significant scale and projects within it in terms of:</p> <ul style="list-style-type: none"> • Being able to reassure the University Court of the Department's capacity to deliver the programme • Being able to respond to special projects/mergers/acquisitions • Management of capital programme and financial plan, spending profiles and financial control management • Securing planning and other statutory consents • Preparation of robust business cases and dependencies • Corporate decision making/integrated planning with academic colleagues and Development and Alumni • Delivering a scaleable operational model that evolves with the capital plan | <p>Financial loss Loss of confidence by funding bodies, partners and contractors. Loss of confidence within staff and student communities Disruption Reputational damage</p> | 5 | 4 | 4 | 16 | <p>Unchanged A range of mitigation measures have been put in place since last year. However the scale and complexity of the capital plan projects over the next 10 years, and changing institutional priorities around delivery brought about by a changing environment leads us to conclude this continues to represent our most significant risk, but one which continues to be actively managed</p> | <p>Current <i>PWC Capital Programme Readiness Assessment Report (PWC Report)</i> Now recruiting a new EDM and PMs and establishing a Programme Management Office (PMO) to improve delivery capacity Recruited a capital management accountant to improve forecasting and accounting Review project methodologies and processes and acquire the Primavera IT system to improve scenario planning and management of delivery Revisions to project governance supported by PMO Continued dialogue between EDMs and their representative areas Refreshed committee arrangement Regular meetings with Local Authorities and Historic Environment Scotland to retain and develop strong business links</p> <p>Future Publication of updated estate strategy and masterplan/frameworks by spring 2017 Implementation of the Primavera system by December 2017</p> | <p>Lead Responsibility Director of Estates Supported by All EMG</p> |
| 3 | 2 | <p>Failure to find solutions that deliver systems to address the age, fragility, integrated nature and complexities of existing Estates Department systems at a pace that can deliver the change needed to underpin core business, including corporate linkages and dependencies with IS and other corporate departments.</p> | <p>Sub-optimal operational processes Inability to provide data needed for key business areas Inability to manage University wide processes Reputational damage Frustration</p> | 5 | 4 | 4 | 16 | <p>Increased The scale of transformation required to process and systems has become clearer and the pace of delivery is challenging given expectations on a small number of key individuals to deliver change</p> | <p>Current Planning round processes to identify projects Ongoing resilience improvement programmes and infrastructure upgrades Refreshed approach to IT planning in the Department including a senior manager led governance structure Systems implementation trialling and load testing Risk assessment for each project Partnership working arrangement with IS and recruitment of a Programme Manager Review of existing process and procedures/ undertake business analysis Phased delivery plan for implementation of IT plan Working collaboratively with other business areas within corporate services and across other Support Groups Active stakeholder engagement through Strategic Project Boards <i>PWC Report</i> and Primavera implementation Improved supplier management Change Management Advisor and Communications Manager appointments to oversee and guide the department through ongoing change</p> <p>Future Business continuity and recovery plans and exercises Potential outcomes from HR and Finance transformation programmes and potential to link and improve our systems</p> | <p>Lead Responsibility Director of Estates Supported by All EMG</p> |
| 6 | 3 | <p>Failure to manage change in a period of significant change in the people, systems, process, culture/organisation agendas.</p> | <p>Impact on achievement of key strategic goals Impact on staff morale Loss of financial control, Business continuity Reputational damage</p> | 4 | 4 | 4 | 16 | <p>Increased The scale of change required to transform processes and systems has become clearer since last year and the pace of delivery required is challenging so our risk exposure has increased</p> | <p>Current Clear strategic direction being articulated and appointment of a Change Management Advisor and Communications Manager to oversee and guide the department through a period of significant change New governance structures for major changes processes e.g. hard services review Communication activities to aid project management processes Improvements to business case and wider use of gateway approach</p> <p>Future Review of Website Taking a standard approach to change management with governance structure in place for implementation of <i>PWC Report</i></p> | <p>Lead Responsibility Director of Estates Supported by Change Management Advisor All EMG</p> |

Estates Department Risk Register 2016-17

| Link to CSG Register | Item | Risk | Consequences | Inherent Impact | Residual Impact | Residual Prob'ty | Risk Level | Risk Movement since last year | Management Processes and Mitigating Activities | Managerial Responsibility |
|----------------------|------|---|---|---|---|---|------------------------------------|--|--|--|
| | | | | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Very High(5) High (4) Medium (3) Low (2) Very Low (1) | Red >15 Amber 10-15 White<10 | Increased ↑ Un-changed- Reduced ↓ | | |
| 16 | 4 | Failure to deliver an estate of appropriate size, capable of supporting growth, particularly in terms of the teaching and residential estate, and one that is flexible and fit for purpose and provides an excellent student experience that can be easily adapted to meet changing needs and particular locational challenges e.g. resilience of infrastructure at King's Buildings and Pollock Halls. | Impact on achievement of key strategic goals Financial loss Loss of confidence by funding bodies, partners and contractors, staff and student communities Disruption Loss of reputation Student dissatisfaction and poor NSS results | 5 | 4 | 4 | 16 | Increased Due to changing environmental context and impact on strategy, funding context and demographic of student body | Current Regular meetings with Local Authorities and stakeholder groups Continued investment in the teaching estate Appointment of site co-ordinators to assist in co-ordination of the Capital Programme Design review process implemented Future More active role for the Space Enhancement and Management Group (SEMG) Revised estate strategy and masterplan/frameworks | Lead Responsibility Director of Estates Supported by Head of Estates Development Head of Estates Operations |
| 21 | 5 | Failure to follow and comply with procurement legislation or to manage an increasingly demanding legislative environment brought about by: • Additional legislative burdens • The scale of the capital programme compounding the legislative compliance burden • The need for greater oversight of contractor management and performance | Loss of confidence by funding bodies, partners or contractors Potential litigation and prosecution Reputational damage Financial loss and clawback Compensation Inability to conduct University business | 5 | 4 | 3 | 12 | Unchanged Our exposure has risen since last year but further mitigation measures has kept pace with the increase in exposure | Current Departmental restructuring to enable the Depute Director to oversee all procurement activities Implementation of the Procurement Protocol and estates tender review panel Improved appointment and management process of contractors through the use of Frameworks Supplier management review Dedicated procurement resource embedded within estates and access to procurement legal experts <i>PWC Report</i> Future Use of intend for procurement Revised and updated Procurement Protocol and further training | Lead Responsibility Director of Estates Supported by All EMG members |
| 18 | 6 | Failure to deliver an Estates Business Continuity Plan (e.g. if there was a fire in Infirmary Street leading to loss of building or systems). | Business disruption Financial loss Inability to conduct University business Potential litigation or prosecution Loss of equipment and information Compensation | 5 | 4 | 3 | 12 | New | Current Implementation of serious and major incident plans Future Review of estates business continuity options and development of a plan | Lead Responsibility Director of Estates Supported by All EMG |
| 18 | 7 | Failure to engage Colleges and Support Groups in taking forward institutional business continuity with expectations from Estates clearly articulated | Business disruption Financial loss Inability to conduct University business Potential litigation or prosecution Loss of equipment and information Compensation | 5 | 4 | 3 | 12 | New | Current Implementation of serious and major incident plans and training of key individuals Future Working with CSG colleagues to deliver the outcomes from the <i>PWC Enterprise Risk Assessment</i> report | Lead Responsibility Director of Estates Supported by Heads of Colleges and Support Groups |
| | 8 | Failure to manage Energy/Utilities budgets and consumption impacting on attainment of key targets and confidence in the quality of data. Failure to deliver the energy consolidation project given its complexity. | Application of the carbon tax Reputational damage Unable to deliver a system to meet business requirements | 5 | 4 | 3 | 12 | New | Current Collaborative working with Sustainability and Social Responsibility (SRS) office Performance against University KPIs/targets monitored Review of energy systems requirements including full business analysis Waste and recycling initiatives in relation to carbon reduction Sustainable campus fund available now and into the future Future Energy systems implementation project arising from systems review | Lead Responsibility Director of Estates Supported by Head of Estates Operations Director of SRS Office |
| 16 | 9 | Failure to deliver a world class estate to meet increasing student expectations firstly during a period of major refurbishment and secondly from an operational perspective. | Increased risk in civil claims relating to the 'students as customers' approach. Poor ratings in the NSS Impact on student admissions targets | 5 | 4 | 3 | 12 | New | Current Continued investment in the learning and teaching estate Close working with College Registrars to understand better College and School priorities Future Implementation of Teaching Spaces Oversight Group (TSOG) recommendations and innovative teaching programme and appointment of teaching spaces manager Ongoing scrutiny of customer surveys and taking action on outcomes arising from the survey | Lead Responsibility Director of Estates Supported by Heads of Estates Development, Operations & Small Projects and Minor Works |

Estates Department Risk Register 2016-17

| Link to CSG Register | Item | Risk | Consequences | Inherent Impact | Residual Impact | Residual Prob'ty | Risk Level | Risk Movement since last year | Management Processes and Mitigating Activities | Managerial Responsibility |
|----------------------|------|---|--|---|---|---|---------------------------------------|---|--|---|
| | | | | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Severe(5) Major (4) Moderate (3) Minor (2) Insignif't (1) | Very High(5) High (4) Medium (3) Low (2) Very Low (1) | Red >15 Amber 10-15 White<10 | | | |
| | | | | | | | | Increased ↑ Un-changed- Reduced ↓ | | |
| 7 | 10 | Failure to deliver and implement the Central Bio-research Services (CBS) strategy and levels of investment. | Reputational damage Unable to meet key University research goals | 5 | 4 | 3 | 12 | New | Current Delivery of CBS strategy and understanding of requirements Future Detailed planning for commissioning and implementation of any new facility | Lead responsibility Director of Estates Supported by Head of Planning & Special Projects and Development |
| 21 | 11 | Failure to meet or be compliant with legislation or regulations. | Potential litigation and prosecution Reputational damage Financial loss Inability to conduct University business Impact on staff Compensation | 5 | 4 | 3 | 12 | Unchanged | Current Building surveys and risk assessments Prioritised maintenance and compliance work programme Training and awareness Audit PPM and testing regimes Compliance management module Future Building inspections Risk assessment Implementation of compliance management module Implementation of training records database | Lead Responsibility Director of Estates Supported by Heads of Estate Operations, Development and Planning and Special Projects and Business and Administration |

