

**APPENDIX F**

**FP 21**



**FINANCIAL CONTROL PROCEDURE:  
WEB QUOTATIONS and TENDERING**

**Initiated by:** Director of Finance & Procurement

**Approved by:** Audit & Risk Committee

**Date approved:**

**Operational Date:**

**Date for review:** February 2024

**Distribution:** Executive Directors  
Board Secretary  
Clinical Service Group Directorate  
Managers

Assistant Directors  
SharePoint

**Freedom of Information Status:** Open

## 1. **SCOPE AND PRINCIPLES**

- 1.1 This procedure details the principles underlying the issuing of quotations and tenders via the web, analysis of data, evaluation of criteria and through to contract award.
- 1.2 The procedure should be read in conjunction with Standing Orders, Standing Financial instructions and other relevant financial control and procurement procedures.
- 1.3 The Director of Finance and Procurement is responsible for ensuring that proper financial control and segregation of duties exist in the purchasing of goods and services, and the letting of contracts. The tendering process is a key element of this control environment.
- 1.4 Operational responsibility for the overall quotation and tendering process shall be delegated to the Head of Procurement, who shall ensure that all Procurement personnel are aware of their responsibilities within this procedure.
- 1.5 The quotation and tendering process shall be conducted via the web, as described within this procedure. The issue of quotations and tenders in paper format (in whole or part) should be by exception only and must be authorised by senior procurement personnel.
- 1.6 Transitional arrangements may apply for certain quotations and tenders to operate outside the electronic tendering systems s Multiquote and (BRAVO) until such time that it is appropriate to bring them on board (e.g. Estates and certain suppliers that may not

be set up to use the electronic tool). Quotes and tenders for these areas will be issued manually and will follow procedures stipulated within the University Health Board's Standing Orders and Standing Financial Instructions. The Head of Procurement shall determine where these transitional arrangements may apply, and when it is appropriate to include those areas within the electronic system.

## 2. **PLANNING AND SETTING UP E-QUOTES & E-TENDERS**

2.1 The requirement is identified either via contract renewals or new work. New work requests, have to be submitted to the Procurement Department via the PROC 4 form (Appendix 1), approved within the Directorate via Schemes of Delegation, and counter approved by the Director of Finance and Procurement or delegated finance lead and the Head of Procurement

2.2 The procurement route and process will be identified, via the Proc 4, based on the value.

- Between £5k and £24,999 – Quotation
- Above £25k – Tender
- Above OJEU\* - Tender

\*~~OJEU limit currently £106,047~~current prevailing threshold

2.3 The project will be allocated a quote or tender reference by the Procurement Department from the procurement register

2.4 Procurement personnel shall ensure that the procurement timetable will be identified during the planning phase of the contract, in conjunction with the appropriate operational managers and or evaluation group lead.

2.5 The Procurement Department and the Project Team will be responsible for the collation of the list of bidders if not subject to openly advertised call for competition. The bidders may be identified through internet searches, existing or previous suppliers, trade publications etc. which will have been evaluated from the Expressions of interests, received from suppliers by either: can also be sought by;

- i) responding to advertisement via Sell2Wales and or
- ii) submitting a Pre Qualification Questionnaire (PQQ) in the "Bravo" system (where relevant).

2.6 Selected suppliers-suppliers (where relevant) will be taken forward to the Request for Quote (RFQ) or Invitation To Tender (ITT) stage (where relevant). The basis for the Qualification, Technical and Commercial Parameters will be generated using the Standard Tender Template set up in Bravo and/or an attached Word document or PDF file.

### **3. QUOTATION & TENDER ISSUE**

3.1 Quotation and Tender documents shall be prepared using web forms set up as the Standard Quotation/Tender Template and/or attaching Word documents or PDF files, together with formatted pricing schedules in Bravo. These documents are then published within the Bravo e-tender site.

3.2 The Bravo e-tender site will automatically notify suppliers of the availability of the RFQ or ITT via an email. This will include instructions on how to locate the RFQ or ITT.

3.3 Previously agreed return dates can only be changed with approval from the Procurement Services Senior Management Team and the reasons why fully

documented. The extension to the closing date can only be progressed once all actions above are complete. This is done by altering the closing date within the Bravo site.

- 3.4 Agreement to issue additional RFQ(s) or ITT(s) must be given by the Procurement Services Senior Management Team and the reasons why fully documented and retained in line with the University Health Board document retention policy. To issue an additional quote or tender, the supplier concerned is added to the supplier list for the RFQ or ITT within Bravo.
- 3.5 The decision to abandon a tender will be discussed with the line manager and approved by a member of Procurement Services Senior Management Team.
- 3.6 The following system checks will need to take place:
- Procurement personnel will check that the RFQ or ITT has been viewed within 7 days after issue.
  - The Bravo system will send an automated alert 2 days prior to the closing date.
  - Procurement personnel will check that a response has been submitted 1 day prior to the closing date. The exported response report produced from Bravo will allow the Procurement project lead to check that any attachments have been included and in the appropriate place prior to opening.

Procurement personnel will follow up with the supplier should they not comply with the above.

- 3.7 Any issues raised during this progress chasing should be flagged to the relevant manager and/or Bravo Helpdesk. Any suppliers chased for responses should be contacted using the messaging function in Bravo so that there is an audit trail available.

- 3.8 Occasionally it may be necessary to make amendments to the RFQ or ITT. This should be done in the live RFQ or ITT. Once saved, the Procurement project lead will be required to complete a note explaining the changes and the reason for them. This note will then be sent automatically to selected suppliers, all suppliers or all suppliers plus any included in the future (Broadcast message).
- 3.9 Any amendments to the RFQ/ITT must be approved by a Procurement Services Senior Management Team.
- 3.10 A flowchart outlining the process for issuing and managing web quotations/tenders is attached as **Appendix 2**.
- 3.11 In line with the requirements of the Cwm Taf Morgannwg University Health Board Information Security Management policy all commercial and personally sensitive material (primarily relating to tender and contract documentation and personnel records) must be managed in a secure manner. Each individual has a responsibility to ensure that access to confidential information is afforded to authorised officers only.

#### **4. QUOTATION & TENDER CLOSE**

- 4.1 The closing date for quotes and tenders should not be on public holidays, or on days prior to such holidays. The Procurement project lead or nominated person(s) must be available on the closing date of the quote or tender to deal with any issues that may arise.
- 4.2 Quotations or Tenders can be opened from the time the RFQ or ITT closed and by anyone that has the

permission to do so. Permission is controlled within the Bravo system.

## **5. REVIEWING THE SUBMITTED QUOTATION OR TENDERS**

- 5.1 Any parameters that have requested that the supplier attach a Bravo system response will be downloaded using the Mass Download function within the system. This will file the responses by supplier in a chosen location on the network.
- 5.2 The procurement project lead will reformat the pricing and technical schedules using spreadsheets (where appropriate).
- 5.3 In the event of a problem with the pricing or technical schedule (e.g. missing data, no prices) the Procurement Services Senior Management Team will be advised immediately by the Procurement project lead and an appropriate course of action agreed, documented and signed off by the Procurement Services Senior Management Team.

## **6. TENDER ANALYSIS**

- 6.1 The pricing schedule, where relevant will contain information to be loaded into the Oracle catalogue, which will be actioned via spreadsheet upload, post contract award. The successful catalogue load will be confirmed and evidence of this confirmation retained.

## **7. EVALUATION MATRIX**

- 7.1 The evaluation matrix will be based on the model and criteria agreed at the planning stage. All criteria identified in OJEU must be measured and scored and

these scores weighted as set out in the RFQ/ITT (where appropriate).

- 7.2 The approach to this part of the process may vary depending on the complexity of the contract and the approach adopted.
- 7.3 The approach to agreeing the final score (who and how) will again have been determined in the planning stage and could vary depending on the nature of the contract (e.g. combination of pricing results, quality assessments and clinical evaluation results)
- 7.4 It may be necessary in some areas to have a consensus meeting or to bring a group together to agree a single score.

## **8. POST TENDER CLARIFICATION**

8.1 The procurement project lead may consider that post tender clarification is required if any or all of the following arise;

- The offer evaluation does not present overwhelming evidence for a particular potential supplier.
- Where the terms and conditions need clarification and mutual agreement.
- When consolidation of business to one potential supplier could give advantage over awarding the business to several suppliers.
- When the offer is not based on a detailed specification.
- Where there has been a bona-fide change in specification which is not so significant as to warrant the abandonment of the written offers and the initiation of further written ones.
- When the Procurement Services Senior Management Team considers post tender negotiation would be advantageous.



- Where post quotation/tender discussions have taken place, a record of the negotiation will be kept on file. The bidder will be requested to confirm in writing the clarification amendments and this will be attached to the appropriate quote/tender.

## **9. CONTRACT AWARD**

- 9.1 Contracts will be awarded in line with the University Health Board's Standing Orders.
- 9.2 A flowchart outlining the process from receipt of quotes and tenders to contract award is shown in **Appendix 3**.

**APPENDIX 1**

**GIG**  
CYMRU  
**NHS**  
WALES

Partneriaeth  
Cydwasaethau  
Gwasanaethau Caffael  
Shared Services  
Partnership  
Procurement Services

**PROC 4**

TRF Ref No:

**CWM ~~TAF~~ TAF MORGANNWG UNIVERSITY HEALTH BOARD****QUOTATION/TENDER REQUEST FORM**

This form is to be completed for ALL requests/purchases with a value in excess of the quotation/tender limits set out in Local Health Board Standing Orders, where contract/framework agreements are not already in place. It is important that the form is completed **IN FULL** in order to satisfy the Local Health Board's standing Orders, which require that competitive quotations/tenders are obtained in order to ensure best value is achieved.

**Section 1 To be completed by Requesting Officer**

Name	<a href="#">Click here to enter text.</a>
Job Title	<a href="#">Click here to enter text.</a>
Contact details	<a href="#">Click here to enter text.</a>
Ward/Department	<a href="#">Click here to enter text.</a>
ILG or System Group	<a href="#">Click here to enter text.</a>

**Section 2 Details of Goods/Works/Service Required**

Description of goods/works/service (to include the function of the item/nature of service), as well as make and model where appropriate, together with a generic specification/description of required equipment.

Estimated Value, (to include VAT, any further revenue, and/or capital charge consequences, and carriage, (where appropriate).

Estimated Financial and/or Clinical benefits i.e. clinical efficiencies/length of stay and/or financial savings or income generation (Verification from finance must be sought)

### Section 3 Details of Suppliers to be considered

Please give details of any suppliers/companies you wish to be considered as part of the quotation/tender process:

Quotation/Tender thresholds	NAME	ADDRESS AND TEL NO
£5,000 - £24,999 (exc VAT)  Quotation – minimum 3 suppliers  <a href="#">For Goods &amp; Services</a>	1.	
	2.	
	3.	
£25,000 – <a href="#">Prevailing OJEU Threshold £106,046</a> (exc VAT)  Non-OJEU Tender – minimum of 4 Suppliers  <a href="#">For Goods &amp; Services</a>	4.	
	5.	
<a href="#">£106,047 + above (exc VAT)</a> <a href="#">Prevailing OJEU threshold + above (exc VAT)</a>  OJEU Tender – minimum of 5 Suppliers  <a href="#">For Social &amp; other services falling under 'Lighter Touch'</a>		

**NB** Where procurement staff are aware of suppliers other than those specified, who are known to provide the goods/works/services to the required standard and value, or with whom framework/contract agreements are already in place, these will be included into the quotation/tender process.

Alternatively if you wish Procurement staff to source a range of appropriate suppliers, please tick here ( ).

## Section 4 Funding

Source of Funding i.e. Revenue, Endowment or other (NICE, Research & Development, WG ring fenced monies etc.)	Click here to enter text.
Financial Code	Click here to enter text.

~~Source of funding please identify i.e. (Revenue/Endowment/other sources i.e NICE funding, Research & development, ringfenced WG monies etc.,)~~

Financial Code: .....TBC.....

**I have the delegated responsibility for the non-pay expenditure budget specified above, and this is in line with Local Health Board Schemes of Delegation. I confirm that sufficient funding is available within the specified budget code (based on the estimated figure supplied), and authorise any resulting expenditure to be coded accordingly. THIS FORM MUST BE SIGNED ACCORDINGLY IN LINE WITH SCHEMES OF DELEGATION BASED ON ESTIMATED SPEND**

### Levels of Authority Schemes of Delegation

<u>£5,000 to £25,000</u>	<u>Tier 54</u> <u>Clinical Service Group Manager (or equivalent)</u>	<u>Signed &amp; Dated</u>
<u>Up to £50,000</u>	<u>Tier 4</u> <u>Acute Services General Manager (or equivalent)</u>	<u>Signed &amp; Dated</u>
<u>Up to £100,000</u>	<u>Tier 3</u> <u>Group/Operations Director for ILGs or Relevant Director</u>	<u>Signed &amp; Dated</u>
<u>Up to £250,000</u>	<u>Tier 2</u> <u>Executive Director</u>	<u>Signed &amp; Dated</u>
<u>Up to £500,000</u>	<u>Tier 1</u> <u>Director of Finance</u>	<u>Signed &amp; Dated</u>
<u>Over £500,000</u>	<u>Chief Executive</u>	<u>Signed &amp; Dated</u>

**Countersigned by Directorate Support Accountant**

Signature: ..... Date: .....

**Section 5**

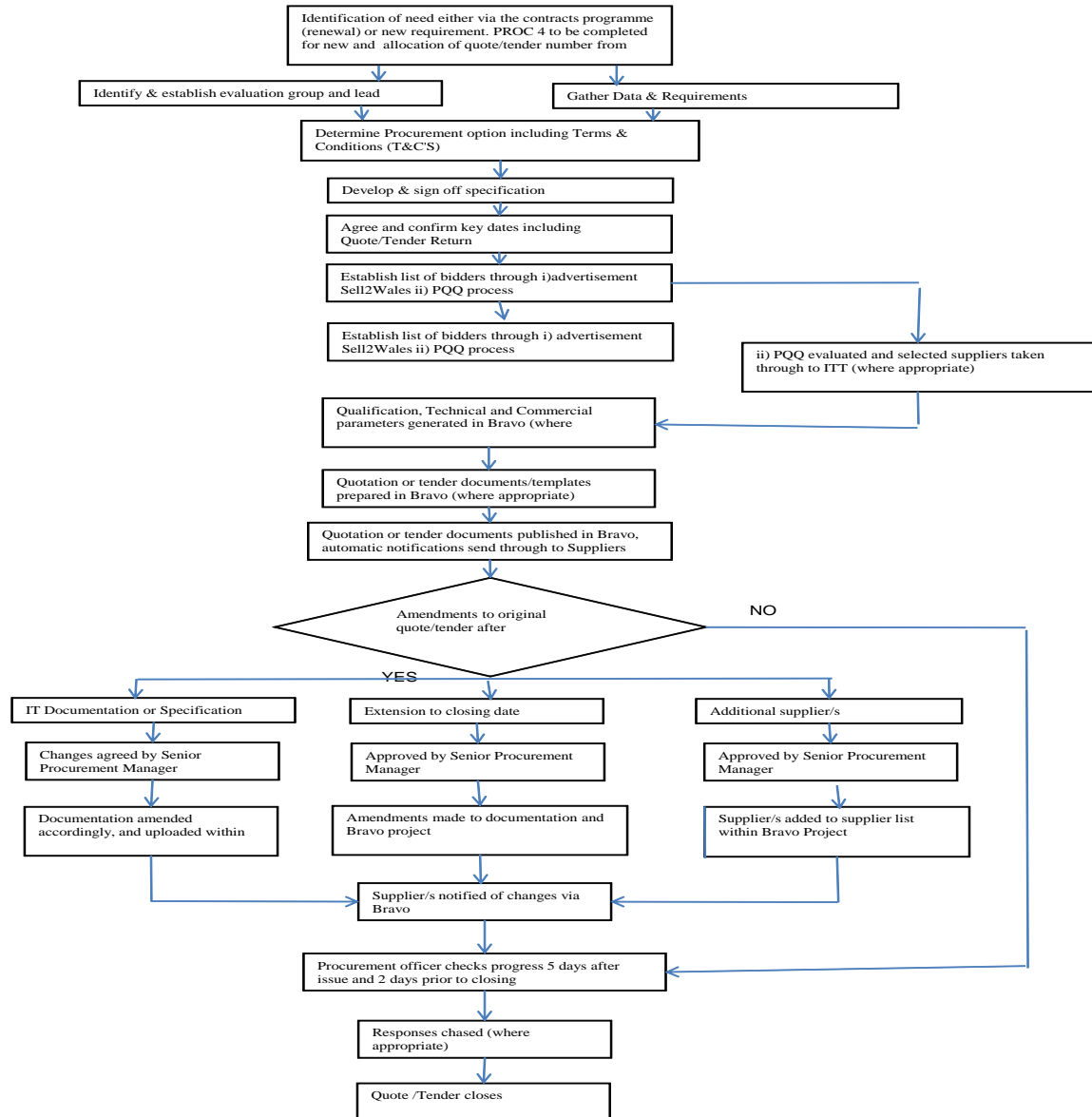
~~If the value of goods or services to be procured are in excess of the current EU & GPA Procurement Public Sector thresholds figures are excluding VAT (Supplies/Service threshold £106,047, Works £4,104,394), a briefing paper outlining details of the proposed procurement, including potential cost, risk/benefits analysis, should be presented to the Executive Board, seeking authorisation to proceed to tender.~~

~~In the event that the requirement is of an urgent nature (will have been deemed to have an adverse effect on the welfare of patients), authorisation must be sought from the Chief Executive, or other nominated officer to proceed accordingly and will be ratified by the Executive Board on a retrospective basis.~~

**Having reviewed this application, I hereby authorise a quote/tender exercise to be undertaken as detailed.**

Designation: Head of Procurement

Signature:..... Date: .....

**Contract preparation, planning and issuing of E-quotation & E-tender documents**

**FLOWCHART****MANAGING WEB QUOTES & TENDERS FOLLOWING CLOSURE DATE**