



## Corporate Procurement Plan

### Version 2

Purpose:	The Corporate Procurement Plan sets practical and strategic objectives for improved procurement outcomes and recommends the implementation of appropriate measures to ensure these objectives are achieved.	
Circulation:	This document is available for all to review and will be published on the Institute's website.	
Policy author:	Finance Office	
Policy Owner:	Vice President for Finance, Resources & Diversity	
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## **1. Introduction**

### **1.1. National Policy**

The National Public Procurement Policy Unit (“NPPPU”) was established by the Department of Finance following a Government initiative in 2002. Its role is to develop public sector procurement, policy and practice through a process of procurement management reform.

The NPPPU’s overall aim of reforming procurement policy, under the National Procurement Policy Framework, can be given practical expression through a Corporate Procurement Plan (“CPP”). All non-commercial State bodies are required to complete a CPP under the NPPPU framework. This is also detailed in the THEA Code of Governance for Institutes of Technology.

The NPPPU Framework sets out the overarching policy framework for public procurement in Ireland and comprises five strands:

1. Legislation (directives, regulations)
2. Government Policy (circulars etc.)
3. Capital Works Management Framework for Public Works
4. General Procurement Guidelines for Goods and Services
5. More detailed technical guidelines, template documentation and information notes as issued periodically by the Policy Unit of the Office of Government Procurement

The framework sets out the procurement procedures to be followed by Government Departments and State Bodies under national and EU rules. It supports and enables public bodies to adopt procedures to meet their public procurement requirements and facilitates compliance with EU and national procurement rules.

Since the establishment of the Office of Government Procurement (“OGP”) in 2014, it is Government policy that all public bodies, including DkIT, where possible, should make use of central procurement arrangements put in place by the OGP and its sector sourcing hubs.

The goods and services currently procured by the public service can be grouped into 16 broad categories. Eight of these categories cover goods and services, which are common across the public service, are sourced by the OGP:

- Professional services
- Facilities management and maintenance
- Utilities
- ICT and office equipment
- Marketing, print and stationery
- Travel and HR services
- Fleet and plant
- Managed services

Sourcing responsibility for other categories is retained by the main users given the sector specific nature of the goods/services being procured. The most relevant to DkIT is:

- Veterinary & agriculture
- Laboratory, diagnostics and equipment

## **1.2. Context:**

This document sets out, in a format agreed with the EPS at a sector level, DkIT's procurement objectives for the three year period from when the document is approved. It is important to note, during the course of each year, additional procurement priorities and requirements emerge which can be driven by funding opportunities and/or emerging compliance needs.

The purpose of this CPP is to put the process of procurement management in an organisational context and also set out how the procurement function operates in DkIT, as well as the key processes and linkages that are managed by the function. In addition, a key objective of the CPP is to ensure that there is a coherent approach to procurement along with including multi-annual procurement campaigns and various targeted process improvements.

DkIT is committed to operating its procurement under the national procurement model. This model has a number of mechanisms in place to facilitate Public Sector organisations in achieving value for money and efficiencies in their procurement. These mechanisms include, but are not limited to, framework agreements and drawdowns. Appendices 2 1 outlines in detail the roles of both the OGP and DkIT when engaging with such mechanisms along with practical guidance / steps.

In instances where the national procurement model does not have a mechanism in place for a particular purchase (framework/drawdown), DkIT is committed to complying with the relevant public procurement guidelines available from the OGP website (refer to Appendix 3).

The DkIT Procurement Function acts as a support role across the organisation. In particular, the function supports and enables the areas of strategic resource management, informed decision making and supporting the creation of a culture of open and transparent decision-making.

In support of the Institute's objectives, the Procurement function has developed its own strategic priorities for the next three years, as follows:

- Ensure that procurement within the Institute is undertaken in a strategic and co-ordinated manner across all functions and departments.
- Promote best practice and consistency of application of the public procurement rules across the organisation.
- Arising from the Corporate Procurement Plan develop an implementation plan for all significant purchases.
- Develop and implement an Institute wide spending review mechanism to pre-empt compliance issues.
- Further leverage the procurement functionality on Agresso (the Institute's financial management system)
- Promote awareness of procurement obligations and provide appropriate training, on a needs basis, to relevant Institute staff

## 2. Objectives

### 2.1. Corporate Procurement Plan Objectives

This DkIT CPP is underpinned by an analysis of previous expenditures and the procurement / purchasing structures in the Institute. It sets practical and strategic objectives for improved procurement outcomes and recommends the implementation of appropriate measures to ensure these objectives are achieved.

The plan addresses the policy and practical approach to be adopted by the Institute. It sets objectives, which seek to improve the way DkIT acquires and pays for goods and services. As a first step the plan will examine past purchasing activities and develop ways of improving performance in the years ahead. The plan will set targets for improvements in the purchase of goods and services to measure if appropriate changes in process and procedures have been achieved. It will also examine the potential for procurement aggregation of commonly used goods and services.

The objectives of the DkIT's CPP and how they will be achieved are set out in the table below:

Objective	These objectives will be achieved in a number of ways including:
Achieve efficiencies and cost reduction through the procurement process, where possible.	Taking a strategic approach to procurement while being conscious of inflationary trends.
Support the achievement of DkIT strategy by aligning Institutional objectives and procurement requirements.	Ensuring compliance with all relevant policies and procedures.
Increase the proportion of spend with contracted suppliers drawn from national frameworks.	Engaging with the OGP for procurement solutions.
Ensure compliance with all relevant policies and procedures.	Informing budget holders of the framework agreements and contracts that are available.
Enhance leadership, governance, awareness and skills within the procurement function.	Provide appropriate and periodic training to budget holders on procurement policies, procedures and best practice.
Support an efficient devolved procurement function within departments (where appropriate).	Engage with budget holders in the development and implementation of the Corporate Procurement Planning process.
Continue a category management approach to procurement across the Institute.	Align (where possible) the general ledger and the category management approach to procurement and also continue to adopt a consistent approach to procurement and the raising of purchase requisitions and purchase orders on the finance system.

<p>Support the Department of Public Expenditure and Reform (DPER) by implementing strategies such as the national procurement model in an effort to increase procurement efficiencies and e-invoicing to further enhance efficiencies and value for money.</p>	<p>Utilise the procurement solutions and guidance put in place.  Implementing a multi-annual procurement plan (refer Appendix 1);  Implement e-invoicing which will be enabled by the necessary system changes currently being developed by EduCampus.  Share feedback with the OGP on areas of potential improvement.</p>
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### **3. Structure of Procurement within DKIT**

#### **3.1 Overview**

Procurement is managed within DKIT through a hybrid structure incorporating elements of both centralised and devolved roles.

Procurement up to €50,000 value is managed by the relevant budget holders with procurement over €50,000 being managed centrally by the Procurement Office. The term management, in a central capacity, relates to the administrative process of tenders etc. and not subject matter expertise (a full breakdown is provided in section 3.2.1). The Procurement Office will continue to draw from the technical / functional expertise of the Budget Holder / Requestor. Procurement in relation to Capital Projects will be managed by the relevant Capital Projects Implementation Team with assistance provided by external professional entities and DKIT's Procurement Function as required.

All approved limits are subject to annual budgets approved by Governing Body and to the annual allocated funding made to the Institute by HEA and other bodies / funders. Each Budget Holder is ultimately responsible for purchase orders made from their budget allocation. It is the responsibility of the Budget Holder to ensure that all purchasing in the relevant area complies with DkIT's procurement procedures. While purchase orders may be requested by any employee of the Institute, the purchase must be authorised by the relevant Budget Holder before a purchase order is issued. Each Budget Holder is allocated their own budget on Agresso. The budget holder is responsible and held accountable for their own budget.

#### **3.2.1 Role of Central Procurement Function**

DkIT's central Procurement Office (under the remit of the office of Vice President for Finance, Resources and Diversity) is responsible for the development and monitoring of procurement procedures in the Institute. The Procurement Office will also support staff involved in the procurement process in achieving value for money in respect of all goods and services.

This support includes:

- Updating of procurement procedures
- Publishing of the Corporate Procurement Plan (incorporating the Multi-Annual Procurement Plan - MAPP) for the Institute in accordance with governance guidelines.
- Assist Budget Holders in developing Institute-wide contracts while ensuring compliance with Institute procedures and national and EU regulations.
- Ongoing supplier and contract management (advising staff of extension dates and timelines regarding future tenders etc.). This support does not extend to reviewing the actual performance of the supplier against the contract.
- Assistance with any tendering process as required, including the following:
  - Provision of advice on appropriate procurement options available
  - Submit Procurement Support Request (PSR) to the OGP on behalf of DkIT
  - Provision of template Tender Approval Forms for completion by the Budget Holder and advice on complying with same
  - Reviewing Request for Tender (RFT) documentation
  - Preparing and publishing of tender notices on etenders.gov.ie

- Assist with tender queries arising and responding to same, with the assistance of Budget Holders / Requestors, via the e-tenders website
- Overseeing the opening of the tender post-box on etenders.gov.ie
- Provision of Conflict of Interest form/s for signature by each member of the evaluation team
- Supporting the evaluation of tender submissions received
- Issuing clarification requests where relevant
- Reviewing the Tender Report for signature by the Evaluation Team
- Assist Budget Holders on the notification of outcome to tenderers by issuing template success and regret letters for editing etc.
- Provide guidance to Budget Holders on the de-briefing of unsuccessful tenderers
- Issuing / reviewing of Contract Award Notices on e-Tenders
- Provide guidance and review on the drafting of contracts with successful tenderers. All contracts should be reviewed by the Procurement Function before being issued to the successful party.
- Maintenance and safekeeping of all tender records including signed contracts
- Assist with specific contract negotiations wherever possible.
- Advice on collaborative agreements available for use by DKIT through the Education Procurement Service (E.P.S), HEAnet, the Office of Government Procurement (O.G.P.) and other relevant agencies.

### **3.2.2 Roles and Responsibilities of Budget Holders**

Ultimate responsibility for expending of allocated budgets within DkIT lies with the relevant Budget Holders. This spending is subject to both budgetary constraints that may exist and the Institute's own procurement procedures.

Budget holder responsibilities in the context of the procurement process are as follows:

- Identifying the business requirement for a particular good or service.
- Securing approval and funding.
- Prepare Request for Tender (RFT) documentation
- Complete Procurement Support Form (PSR) for submission by the Procurement Function to the OGP
- Decision making in relation to the most appropriate procurement process to apply through consultation with the Procurement Office, if necessary.
- In the case of open tenders, compiling the specification for the required goods/services and liaising with the Procurement Office in the drafting and sign-off of Tender Approval Forms, Requests for Tender, confidentiality agreements, Notification to Activate Goods Forms and other relevant documentation.
- Facilitating the Procurement Office in responding to queries raised during the tender process.
- Lead tender evaluations for submissions received.
- Clarifying any issues or queries that may arise.
- Sign –off of relevant Tender Reports.
- Issuing success and regret letters to un-successful parties
- Agreement and signing of final contract.



- Raising and authorisation of purchase orders once contracts have been issued and signed.
- Maintenance of records for audit purposes.
- Monitoring of the provision of goods or services over the period of the contract / measuring supplier performance against agreed KPIs.

In addition, it is the responsibility of the Budget Holder (with the support of the Procurement Function) to:

- Keep abreast of changes to procurement guidelines/thresholds, regulations, circulars and to implement them ensuring compliance with public procurement guidelines;
- Utilise the national procurement model and the frameworks where available for all procurement spend;
- Retain all supporting procurement documentation (e.g. quotes, tenders)

### 3.2.3 Roles and Responsibilities of the Governing Body and Finance, Audit & Risk Committee

It is the responsibility of the Governing Body to satisfy itself that the requirements for public procurement are adhered to and to be fully conversant with the current value thresholds for the application of EU and national procurement rules.

The Governing Body should satisfy itself that procurement policies and procedures have been developed and published to all staff. It should also ensure that procedures are in place to detect non-compliance with procurement procedures. Institutes should have a contracts database/listing for all contracts/payments in excess of €25,000 with monitoring systems in place to flag non-competitive procurement. Non-competitive and non-compliant procurement should be reported to the HEA in the Annual Governance Statement and Statement of Internal Control.

Similarly, the Governing Body should ensure that competitive tendering should be standard procedure in the procurement process of the Institute. Management, and ultimately the Governing Body, should ensure that there is an appropriate focus on good practice in purchasing and that procedures are in place to ensure compliance with procurement policies and guidelines.

The Finance, Audit & Risk Committee will receive regular updates from the Executive Team on items that have been identified as being non-compliant & non-competitive<sup>1</sup>.

Any tender with a value<sup>2</sup> of €100,000 to €200,000 will require the review and approval by the President and any one member of the Finance, Audit & Risk Committee. Approval will involve a review of the forms details in Appendix 5 (Selection Criteria), Appendix 6 (Purchase Order over €5,000) and Appendix 7 (Sole Supplier, if required). E-mail approval will suffice. These

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<sup>1</sup> **Non-complaint expenditure** relates to instances where goods or services were procured without a competitive process and the circumstances did not include exceptions allowed under procurement rules e.g. purchases from a sole supplier, force majeure, maintenance contracts tied to a given contractor, etc. In general, this should happen in limited circumstances. **Non-competitive expenditure** relates to covers all instances where goods or services were procured without a competitive process.

<sup>2</sup> Value refers to lifelong value of the contract including VAT.

tenders will then be noted, in retrospect, by the Finance Audit & Risk Committee at their next available meeting. Any tender in excess of €200,000 must be presented for approval to the Finance, Audit & Risk Committee for approval (approval via e-mail is not sufficient).

Previous requirements for a member of Governing Body to be present for the opening of tenders is no longer necessary.

### **3.3 Training**

Training and staff development in good practice procurement methodologies is a continuous exercise for the relevant Finance and Budget Holder teams in order to strengthen the level of competencies and skills of procurement practitioners. This will include the following:

- How to operate under the national procurement model
- How to develop goods/service specification
- How to manage disclosures of interest and potential conflicts
- What award and evaluation criteria to select
- How to evaluate tenders (including application of whole life costing)
- How to engage in the procurement process in a transparent, fair and equitable manner

The Procurement Function will continue to raise awareness of the complex regulatory framework associated with public procurement in addition to providing training to personnel with responsibility for procurement within departments on a needs basis.

Additional work will be completed in enhancing and further developing user manuals for the operational users of this policy. The Institute's ambition is to align to sectoral norms and standardise all process and procedures across the various user groups.

### **3.4 Process**

The purchasing cycle in the Institute commences with identification of a need, which can only be satisfied through procurement. Procurement then progresses in line with the Institute's policies, procedures, national / EU regulations and guidelines.

Purchase Orders are raised through the Agresso Financial Management System, which are approved by the Budget Holder. These Purchase Orders are then reviewed by the Procurement Team, within the Finance Office, for coding errors and also to identify possible non-compliance with the Institute's procedures. Following this, purchase orders are forwarded to the relevant supplier automatically.

When the goods are delivered to the relevant department a member of that department should receipt the items on Agresso (or notify the Procurement Team the goods have been received). Goods Receipt Notes should be retained by the member of staff that receipts the goods on Agresso (if received). As invoices are received suppliers they are matched to PO's/ GRN's, posted to the ledger and paid through Agresso by the Accounts Payable Team.

Invoiced amounts in excess of the purchase order value require additional approval from the Budget Holder. This process is automated on Agresso with Budget Holders receiving a prompt to log on to the system and review any additional / variance in charges.

### **3.5 Contract Management**

Whilst there is a contract template available for the OGP, responsibility for creating, signing and management of the contract rests with DkIT. This includes the identification of key performance indicators (KPIs) that should be detailed in the contract.

Documented supplier contracts should be developed for the supply of services and goods. Queries regarding the necessity to issue a written contract for a particular purchase should be directed to the Procurement Office.

Multiple factors will be taken into consideration including the nature of the product or service being procured; the overall value of the purchase and the relative risk of not issuing a written contract. Consideration should include the term of the supply and the aggregate value of goods / services and not just the immediate need.

When utilising an OGP Framework Agreement or an OGP drawdown solution, a contract, if required, will be put in place with the supplier and the responsibility for this rests with DkIT.

Ongoing monitoring of the contract by Budget Holders is important to ensure agreed services and performance levels are delivered and correct rates are being applied by the supplier.

### **3.6 Supplier Relationship Development**

Strong relationship management with suppliers is vital to ensure the smooth and efficient management of contracts. Management of supplier relationships form an important part of the contract management process and best practice dictates that it should be operative for all contracts especially where the nature of the goods or services supplied are recurrent.

Meeting with the supplier will facilitate both parties to set out their requirements and expectations to ensure the required goods and services are provided as and when required. If not already formally documented, as part of the tender or service level agreement (SLA) process, KPIs should be agreed and documented to facilitate ongoing performance management of the supplier.

Periodic meetings with the supplier will provide both parties with an opportunity to raise issues to enhance the quality of service / goods being provided. These discussions should be documented, shared with the supplier and should include any agreed actions to be taken. This process will also assist in building a relationship with the supplier.

A periodic formal review of performance management should be undertaken by the Contract Owner (generally the Budget Holder) against the criteria set out in the tender document and/or SLA to evaluate the quality, service and value for money being obtained. The frequency of this review is at the discretion of the Budget Holder however it is advised this process should take place on an annual basis.

The outcome of these discussions should be shared with the Procurement Office and will form an integral part of considerations to renew a contract, where appropriate.

Where contracts are part of a framework agreement, or a drawdown solution put in place through the OGP, it is also important that output from monitoring the contract delivery is made known to the OGP through the Customer Service Helpdesk.

#### 4. Procurement Documentation & Guidelines

Set out below is a list of reference documents to assist the DkIT procurement function:

Guidance Source	Detail
Circulars	Department Circulars are issued relating to procurement by the Department of Public Expenditure and Reform (previously the Department of Finance). These circulars are also available through the e-Tenders website below.
E-Tenders	This website is a central facility for all public sector contracting authorities to advertise procurement opportunities and award notices.
Office of Government Procurement	This website provides access to the Buyers Zone which lists the framework agreements and the drawdown arrangements that are in place and which should be used where appropriate.
Public Procurement Guidelines	This guideline should be followed where the OGP does not have a procurement mechanism in place for the particular purchase being made. The latest version of this document can be found in both the OGP website and the e-Tenders websites. This document has a number of valuable resources included.
National Public Procurement Policy Framework 2005	This document set out an overarching policy objective for public procurement. It set out the aims of national public procurement policy, including the requirement to give practical expression to it in a corporate procurement plan.

It is the responsibility of each person involved in procurement to keep abreast of changes to the guidance sources listed above. Changes to compliance will be highlighted by the Procurement Office however achieving compliance can only be achieved from Budget Holders reviewing and implementing such guidelines.

## **5. Timing, Review and Distribution**

### **5.1. Corporate Procurement Plan Format**

The Corporate Procurement Plan (CPP) document will be in two parts as follows:

- CPP  
The CPP sets out DkIT's mission, values and objectives in respect of procurement and the Institute's commitment to compliance with the centralised national procurement model. The plan sets out how DkIT plans to achieve these and will set out the roles and responsibilities of staff involved in the procurement process.
- MAPP  
The Multi-Annual Procurement Plan ("MAPP") includes an analysis of anticipated procurement requirements by year/category and spend. The appendix will be sent to EPS for their analysis of future public sector procurement requirements.

### **5.2. Timing**

The Multi-Annual Procurement Plan will be completed and submitted to EPS on an annual basis. EPS will aggregate requirements across the Education sector and provide the OGP with a detailed list of the future requirements over a three year period.

### **5.3. Review**

This CPP will be reviewed on a periodic basis in line with changes to legislation, strategic objectives however an annual review will also take place to update the MAPP's data. Updates may also be required as a result of process improvements or system upgrades.

### **5.4. Distribution**

To achieve maximum value and benefit the plan, and appendices, will be made available to all Budget Holders and staff involved in procurement along with being published on DkIT's website.

The MAPP data is forwarded annually to the office of the Education Procurement Services. Once the information is collated by EPS, it will be made available to the OGP for planning and operational purposes.

### **5.5 Approval**

The CPP will be presented to the Executive Board for review and feedback before being presented to the Finance Audit & Risk Committee for approval. The CPP will finally be presented to Governing Body, based on the recommendation of the Finance, Audit & Risk Committee.

The document is drafted by the Office of the Vice President for Finance, Resources & Diversity.

## **6. The Multi-Annual Procurement Plan (MAPP)**

The MAPP is a critical element of the overall procurement planning framework. It also acts as a central mechanism to ensure that the national procurement processes are aligned with the needs of each public sector body.

DkIT's MAPP (Appendix 1) is informed by the application of a number of mechanisms including:

- Review of the historical spending profile,
- Identification of high volume/low value procurement transactions,
- Review of future procurement requirements aligned to the annual budget and procurement in relation to the longer term strategic plan of the Institute. This includes procurement in relation to grants of funding, philanthropic and research funding.

It should be noted however future procurement can be difficult to forecast given the nature of timing of awarding of various grants and funding applications. Furthermore, the current surge in construction materials (as required for Apprentice Provision), for example, can alter the forecasts outlined as part of the MAPP process. The DkIT Procurement Function will support, on a needs basis, the procurement requirements of these projects as they arise.

During the year, the Institute's priorities may change resulting in changes to procurement priorities. These changes will be maintained in the MAPP to ensure it remains relevant and up to date.

All items with a projected cumulative spend of €50,000 over the 3 year period are included in the MAPP. If spend is approaching the €50,000 threshold or if there is any doubt of the value of spend, the item will be included in the MAPP.

### **6.1 Historical Spending Analysis**

The purpose of the spend analysis is to:

- Inform the drafting of the MAPP
- Support the high-level strategies for the identified categories of spend
- Identify opportunities for improvement in terms of saving costs
- Identify opportunities for working in a more efficient manner
- Identify a number of Key Performance Indicators that can be used to monitor review the impact of implementing the MAPP

To inform the drafting of the MAPP, analysis of three years historical spend records is carried out to identify:

- Categories of spend
- Amount of spend by category

The output of this analysis will identify the purchases that have been made over the last three years and this information is then populated into the templates in Appendix 1.

Taking the information now populated in Appendix 1, the following is undertaken:

- Establish how the goods/services are procured (e.g. OGP Framework, OGP Drawdown, Mini-competition, Institute's own arrangement)
- Identify purchases of key importance either by difficulty to acquire, risk or criticality
- Identify the incumbent suppliers providing the goods/services
- Identify the contract renewal date
- Identify where appropriate who is responsible for each procurement / contract renewal

## **6.2 Review of Future Procurement Requirements**

Having completed the historical analysis, Budget Holders are requested to identify the future procurement requirements under their remit. These procurement requirements will be aligned to the annual budget for the coming year, projected procurement requirements for a further two years in addition to being aligned to DKIT's strategic objectives as follows:

- Using the past analysis of spend, amend to reflect projected procurement requirements for the next three years
- Identify purchases that were 'once off' or that do not require renewal
- Identify any new goods / services to be procured over the next three years either on a recurring basis or purchases of a once off basis
- Identify purchases of key importance either by difficulty to acquire, risk or criticality
- The anticipated cost per annum of the goods / services to be procured
- The month and year the goods / services will be required if not already a recurring procurement requirement and document if there is a particular timeline that has to be met.

Once this information is collated from each Principal Budget Holder's area, it will then be collated for the Institute.

## **6.3. Ongoing Evaluation of Procurement Requirements**

A review of cumulative DkIT expenditure will continue to be carried out on a monthly basis to enable early detection of potential non-compliance. A regular update on the progress of this review will be provided to the DkIT Finance, Audit & Risk Committee.

The review will identify goods/services procured during the period which exceeded the relevant National and EU Procurement Thresholds and assess whether appropriate procurement procedures were followed.

The overall objective of these measures is to assist the Procurement Office assess and determine future procurement requirements. This will be a valuable tool in assisting all stakeholders to plan for the year ahead and reduce instances of non-compliance. Any expenditure items identified during these reviews with a projected cumulative spend greater €50,000 over a three year period will be added to that pipeline document to ensure that relevant procurement procedures are applied.

Samples of expenditure between €5,000 and €50,000 will also be selected and tested for compliance with relevant thresholds.



In line with Circular 02/16 (see Appendix 3) issued in April 2016, details of planned digital and ICT related expenditure for the coming year and actual expenditure incurred during the previous year, will be submitted by DkIT to the Department of Public Expenditure and Reform by the end of February each year.

This proactive approach will significantly reduce the risk of previously unknown procurement issues being identified during the C&AG audit of DkIT at year end and will undoubtedly improve the overall effectiveness of the DKIT Procurement Function.

## **7. Target Setting and Key Performance Indicators**

DkIT aims to embed a culture of continuous improvement to support the achievement of the highest standards in all aspects of our operations. This culture includes the Institute's procurement activities.

The Higher Education System Performance Framework 2018-2020 outlined a series of steps which would ultimately lead to the setting of KPIs reflecting Higher Education Institute's contribution to overall system objectives by building on their own individual missions, capacities and strengths.

This framework sets out the detailed metrics and indicators associated with each of the Government objectives for the Higher Education sector. Reporting on these metrics enabled the establishment of a baseline which could then be used to track progress at regional and national level.

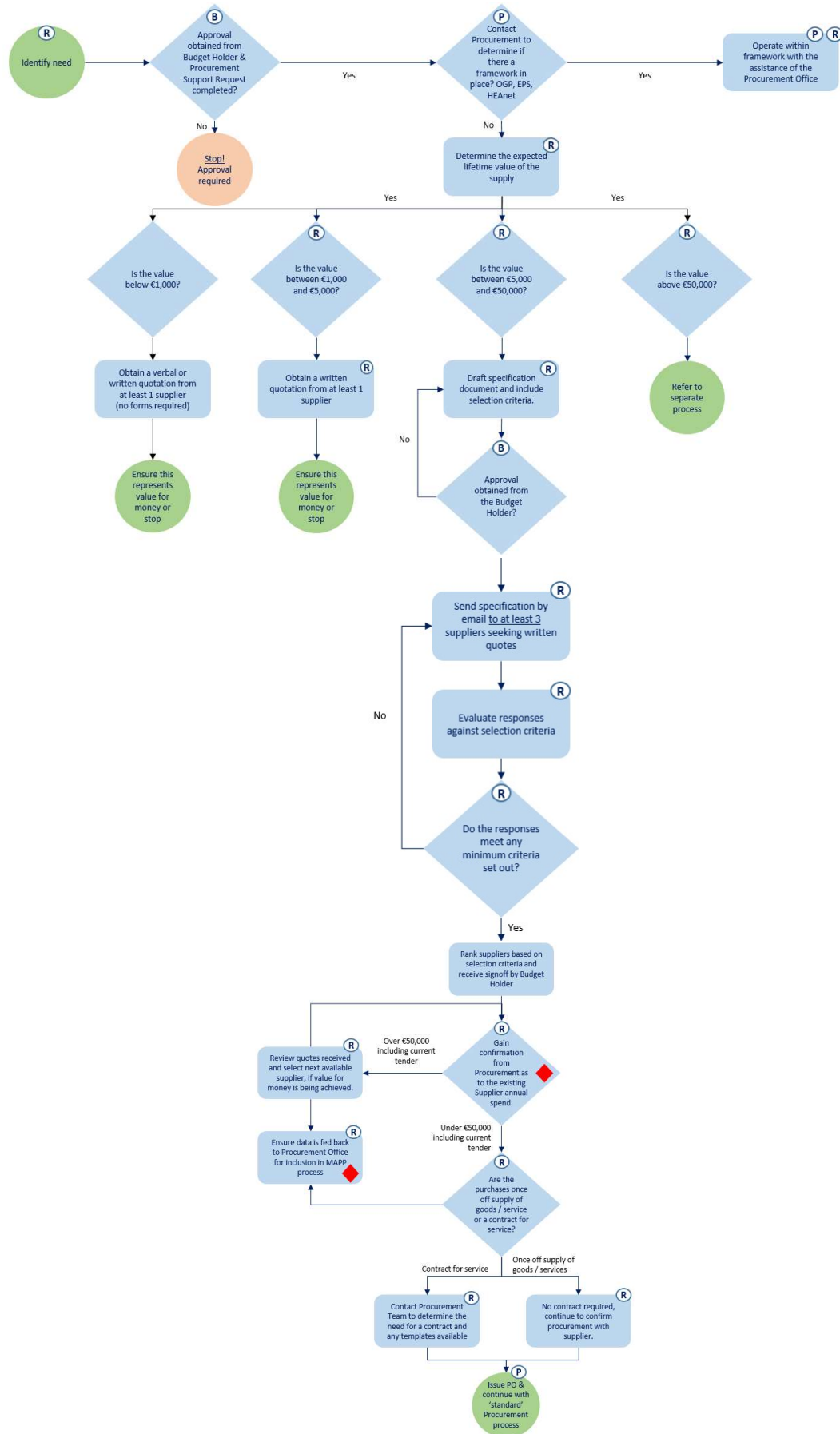
One of the Government objectives outlined in the Framework refers to the requirement for Higher Education Institutes to demonstrate consistent improvement in governance, leadership and operational excellence. It highlights the level of efficiency gained and saving achieved through the implementation of reform initiatives in line with Government policy (including centralised Procurement). It also sets an ambitious high level target of 100% compliance by HEI's with public procurement rules.

DkIT is committed to meeting all of its measurement and reporting obligations under any subsequent iteration of this framework.

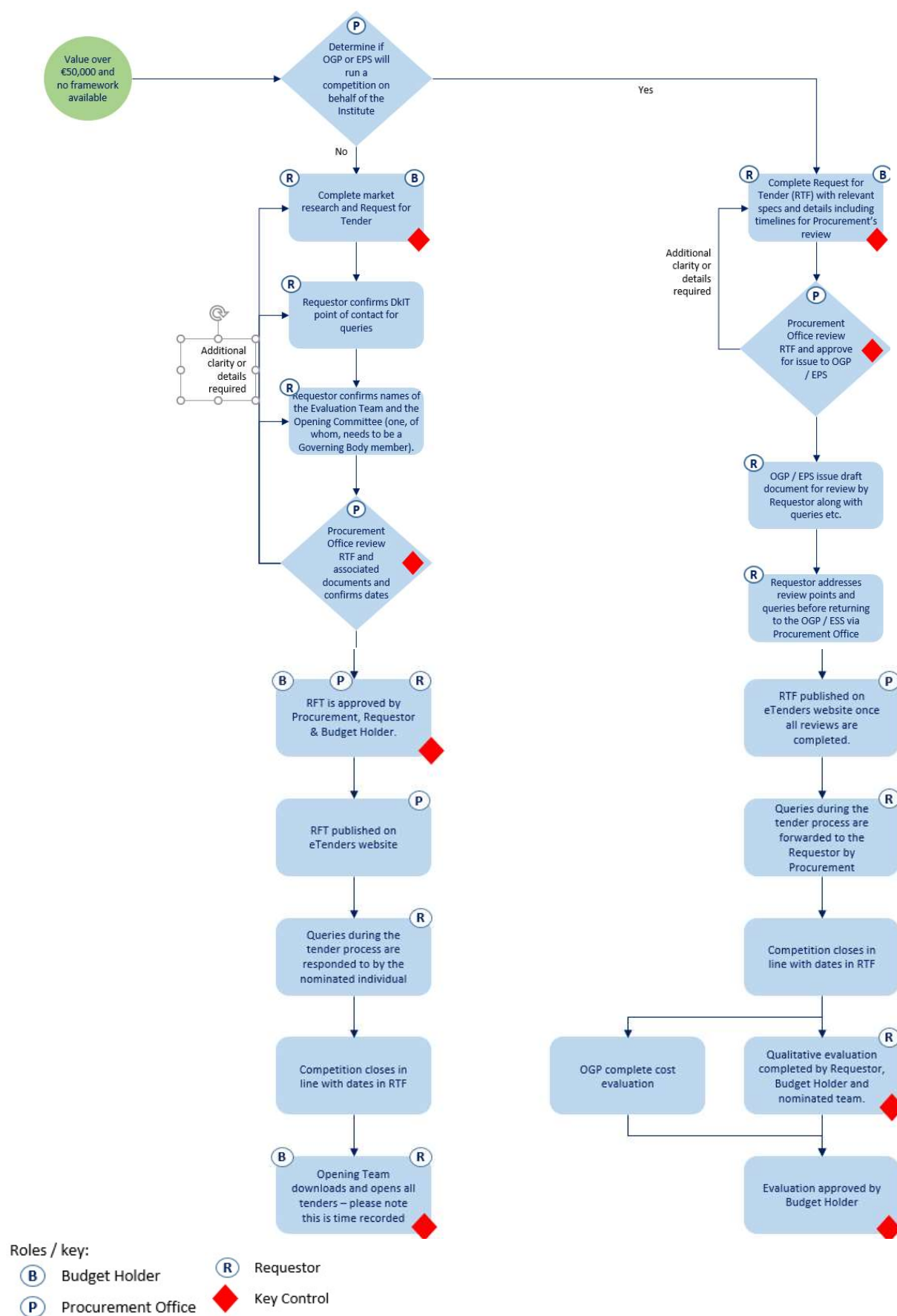
## Appendix 1: Multi Annual Procurement Plan (MAPP) - Example

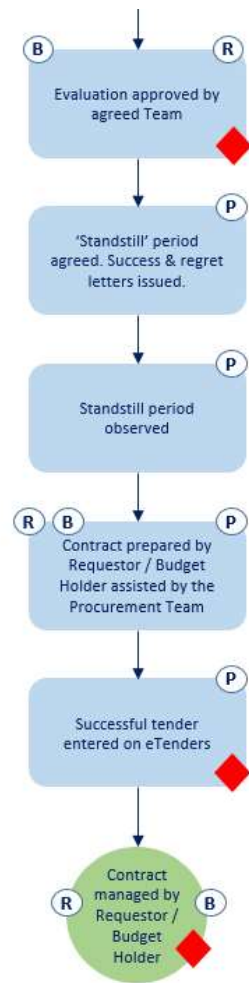
Product Group	Product Code Description	Estimated Annual Contract Value (excluding VAT)				Expenditure Type	Comments
		2021 €	2022 €	2023 €	Cumulative value €		
EVENTS AND CONFERENCES	EVENT MANAGEMENT	100,000	100,000	100,000	300,000	Recurring	Onsite hospitality plus conferring including conferring
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	PRINTING CAMPAIGNS ABOVE €25,000	30,800			30,800	Recurring	Prrrouo suppliers
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	GRAPHIC DESIGN AND ARTWORK	10,000			10,000	Recurring	Crrrouo suppliers
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	PRINTING LESS THAN €2,500 (LOW VALUE)	2,000	25,000	25,000	52,000	Recurring	Various small print jobs
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	NETWORK/MULTIFUNCTIONAL PRINTERS	52,000	52,000	52,000	156,000	Recurring	Manage print service
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	OFFICE SUPPLIES	15,200	20,000	20,000	55,200	Recurring	Ofrrouo suppliers
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	PHOTOCOPIER/MULTIPURPOSE PAPER	5,000	15,000	15,000	35,000	Recurring	Ofrrouo suppliers
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	PHOTOCOPIER EQUIPMENT	17,300	-	-	17,300	Recurring	End of lease for photocopier
PROFESSIONAL SERVICES	INVESTIGATIONS	50,000			50,000	Recurring	Recurring but includes one off
PROFESSIONAL SERVICES	LEGAL SERVICES	200,000	70,000	70,000	340,000	Recurring	Unforseen expense
PROFESSIONAL SERVICES	TRAINING SERVICES	36,700	35,000	35,000	106,700	Recurring	Various Suppliers
PROFESSIONAL SERVICES	INTERNAL AUDIT	30,000	35,000	35,000	100,000	Recurring	
PROFESSIONAL SERVICES	STUDENT MEDICAL CENTRE	65,000	65,000	65,000	195,000	Recurring	Mrrrouo suppliers
PROFESSIONAL SERVICES	INSURANCE BROKERAGE	50,000	60,000	60,000	170,000	Recurring	Medical cover insurance
PROFESSIONAL SERVICES	INSURANCE BROKERAGE	406,750	406,750	406,750	1,220,250	Recurring	Main insurance
PROFESSIONAL SERVICES	STUDENT PERSONAL ASSISTANCE SERVICES TO SUPPORT DISABILITIES	33,485	75,000	75,000	183,485	Recurring	Carrouo suppliers
TRAVEL, TRANSPORT AND RELATED SERVICES	TAXI HIRE	-	33,000	33,000	66,000	Recurring	Various taxis with disability access in different loctions
TRAVEL, TRANSPORT AND RELATED SERVICES	AIR TRAVEL EUROPE	807	35,500	35,000	71,307	Recurring	Hir out suppliers
TRAVEL, TRANSPORT AND RELATED SERVICES	AIR TRAVEL REST OF WORLD	440	22,000	22,000	44,440	Recurring	Hir out suppliers
TRAVEL, TRANSPORT AND RELATED SERVICES	BUS HIRE	30,000	75,000	75,000	180,000	Recurring	OGP framework were not appropriate
UTILITIES	ELECTRICITY	270,000	300,000	300,000	870,000	Recurring	
UTILITIES	NATURAL GAS	235,000	250,000	250,000	735,000	Recurring	
LIBRARY	BOOKS PURCHASED BY LIBRARY	30,700	30,700	30,700	92,100	Recurring	
LIBRARY	ELECTRONIC JOURNAL ACCESS	23,500	20,000	2,000	45,500	Recurring	Covid spend this year
LIBRARY	ELECTRONIC JOURNAL ACCESS	15,000	10,000	10,000	35,000	Recurring	Covid spend this year
MEDICAL/SURGICAL EQUIPMENT AND SERVICES	PPE	36,000	20,000	20,000	76,000	Once-Off	Both recurring and once off
MEDICAL/SURGICAL EQUIPMENT AND SERVICES	PPE	39,855	20,000	20,000	79,855		Various suppliers
PRINTING, STATIONERY, OFFICE SUPPLIES AND RELATED DESIGN SERVICES	PRINTING GREATER THAN €2,500 LESS THAN €25,000	50,260	50,000	50,000	150,260		Various suppliers

## Appendix 2: Procurement Decision Tree – Purchases under €50,000



### Appendix 3: Engaging with OGP/EPS frameworks and / or no framework being available





#### Appendix 4: Procedures / Guidelines

The following are important procedures to consider when reviewing the above process maps:

- Before commencing any procurement process the Requestor and Budget Holder needs to review and be confident sufficient budget is available and ring-fenced.
- Items **must never be ordered (verbally or otherwise) before a Purchase Order is raised** on the system.
- Some purchases may not require a Purchase Order. Examples include telephone charges, electricity and gas invoices etc. As a general rule purchase orders must be issued in advance and invoices received without purchase orders will be rejected by the Accounts Payable team.
- Items can only be purchased from approved suppliers.
- Tax Clearance Certs are required for purchases in excess of €10,000.
- Frameworks should be used wherever possible. A comply or explain approach has been adopted; if a Requestor wishes not to engage with a framework they should, in conjunction with the Budget Holder, document the reasons for why for review by the Procurement Function at a later date.
- A minimum of three quotes should be sought for purchases between €5,000 and €50,000. Preferably, in excess of three quotes should be sought for purchases in excess of €25,000.
- It is strongly advised, when procuring under funded projects, any additional requirements of funders are investigated by the Requestor. DkIT's thresholds / requirements are mandatory plus any additional guidelines as laid down by the funder.
- All quotations received, for requisitions above €1,000, should be attached to the procurement requisition for audit by the Finance Team, Internal Audit Teams or the C&AG.
- All monetary amounts listed refer to the VAT exclusive figure.
- If lowest price is not being availed for purchases under €5,000 an explanation is required to be recorded by the Budget Holder.
- Any purchases made with a value in excess of €5,000 should engage the MEAT (Most Economically Advantageous Tender), as part of the selection criteria as follows:
- Procurement regulations provide that contracts should be awarded to the MEAT. This typically means a combination of price and quality where quality might factors such as delivery date or period of completion, delivery process, running costs, aesthetic and functional characteristics, accessibility, and technical merit. The Budget Holder decides the relative weightings in relation to price, quality, functionality etc.
- Budget Holders should approve and sign off all selection criteria.
- The Procurement Team should be kept abreast of any tenders, before and while any quotes are being sought, to ensure the threshold of €50,000 is not breached. Requestors should be cognisant that other colleagues may also be procuring services from the same supplier thus meaning, even after receiving quotes, the supplier may not be available for use.
- A procurement requisition will be returned to the Requestor if the threshold has been reached. In such instances goods/services should be procured from another supplier, from a framework or a tender initiated.
- All contracts should be reviewed by the Procurement Office before being issued to the supplier.
- A final copy of all contracts (signed and dated) should be provided to the Procurement Office along with the relevant award and regret letters.
- All contract award notices should be published on eTenders by the Procurement Function. Ideally this should take place once the contract is awarded however it **must be completed within 14 days of award.**

## Appendix 5: Relevant Circulars

- 02/16: Arrangement for Digital and ICT Related Expenditure in the Civil and Public Service - <https://circulars.gov.ie/pdf/circular/per/2016/02.pdf>
- Circular 05/13 : Procurement of Legal Services and Managing Legal Costs - <https://www.gov.ie/pdf/?file=https://assets.gov.ie/15941/6220e592ef5c49719532aebbbf5d30f7.pdf#page=null>
- Circular 05/2023: Initiatives to assist SMEs in Public Procurement - [52806691-09ff-4b26-91c9-57f1efc3eb0a.pdf \(www.gov.ie\)](https://www.gov.ie/pdf/?file=https://assets.gov.ie/15941/6220e592ef5c49719532aebbbf5d30f7.pdf#page=null)
- General Procurement Circulars - [gov.ie - Circulars \(www.gov.ie\)](https://www.gov.ie/circulars)

**Users of this policy should review these Circulars to ensure compliance**



## Appendix 6: Selection criteria for purchases between €1,000 and €5,000

This form should be prepared by the Requestor / Budget Holder and attached to all procurement requisitions between €1,000 and €5,000.

Selection criteria for purchases between €1,000 and €5,000																	
1	Brief description of the services or goods to be procured:																
2	How many suppliers were sent a quotation request?																
3	How many supplier responded to the request for a quotation?																
4	Ranking of suppliers:																
<table border="1"><thead><tr><th>Rank</th><th>Supplier Name</th><th>Total (incl. VAT) €</th></tr></thead><tbody><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></tbody></table>			Rank	Supplier Name	Total (incl. VAT) €												
Rank	Supplier Name	Total (incl. VAT) €															
5	Reasons the lowest price is not the chosen supplier (if applicable):																
<b>Requestor Name:</b> <input type="text"/>																	
<b>Department:</b> <input type="text"/>																	
<b>Budget Holder: (signature)</b> <input type="text"/>																	
By completing and signing this form the relevant individuals are confirming all quotes and supporting documentation are securely stored and available for inspection and the procurement process has been followed as documented (refer to the Corporate Procurement Plan).																	

**Hugh Nolan:**  
The number of suppliers must be completed.

**Hugh Nolan:**  
The number of suppliers must be completed

**Hugh Nolan:**  
An explanation must be provided where the lowest price is not being selected where more than 1 quote was received.

**Hugh Nolan:**  
This must be signed by the Head of School / Department / Function or Vice President.

## Appendix 7: Selection criteria for purchases above €5,000

This form should be prepared by the Requestor / Budget Holder and attached to all procurement requisitions above €5,000.

Selection criteria for purchases above €5,000									
1 Brief description of the services or goods to be procured:									
2 Was a specification prepared and forwarded to all suppliers, where applicable?									
3 How many suppliers were sent a quotation request?									
4 How many supplier responded to the request for a quotation?									
5 Selection criteria (please ensure the selection criteria <u>total to 100%</u> and pick a min. of 2 & a max. of 3 including price)									
Price (must be a <u>minimum of 50%</u> )					50%	<b>Hugh Nolan:</b> At least two options must be selected with a percentage weighting applied			
Quality					20%				
Delivery date / supply					30%				
Operational costs (subscriptions, annual fees etc.)					Select %				
Functionality / technical merit					Select %				
Other (type here if selecting other)					Select %	<b>Hugh Nolan:</b> If 'Other' is selected please provide a brief description			
<b>Scoring matrix</b> <table border="1"> <tr> <td>Below expectations Score: 1</td> <td>Meets expectations: Score: 2</td> <td>Exceeds expectations: Score: 3</td> </tr> </table>							Below expectations Score: 1	Meets expectations: Score: 2	Exceeds expectations: Score: 3
Below expectations Score: 1	Meets expectations: Score: 2	Exceeds expectations: Score: 3							
6 Supplier Ranking Select criteria from drop down list in line with point 6									
Supplier name	Price		Supply		Operational	Total	Ranking		
	%	Score	%	Score	%	Score			
Enter supplier name						0.00			
Enter supplier name						0.00			
Enter supplier name						0.00			
Enter supplier name						0.00			
Enter supplier name						0.00			
Any supplier cummulatively scoring under 2 should be disregarded and not proceeded with. If suppliers score equally the most economically advantageous quotation should be proceeded with.									
Requestor Name:									
Department:									
Budget Holder: (signature)									
By completing and signing this form the relevant individuals are confirming all quotes and supporting documentation are securely stored and available for inspection and the procurement process has been followed as documented (refer to the Corporate Procurement Plan).									

**Hugh Nolan:**  
The number of suppliers must be completed.

**Hugh Nolan:**  
The number of suppliers must be completed.

**Hugh Nolan:**  
At least two options must be selected with a percentage weighting applied

**Hugh Nolan:**  
If 'Other' is selected please provide a brief description

**Hugh Nolan:**  
Select from the drop down list in line with section 6.

**Hugh Nolan:**  
Select from the drop down list in line with section 6. If only two (proce being one) criteria are being selected this box is not applicable.

**Hugh Nolan:**  
The total score will calculate automatically; please do not enter data here

**Hugh Nolan:**  
Transcribe the weighting slected in section 6 into these cells for each supplier

**Hugh Nolan:**  
Please select a score from the drop-down menu in line with the scoring matrix above.

**Hugh Nolan:**  
This must be signed by the Head of School / Department / Function or Vice President.

## Appendix 8: Request for the approval of a Purchase Order over €5,000

This form should be prepared by the Requestor / Budget Holder and attached to all procurement requisitions above €5,000.

Request for the Approval of a Purchase Order over €5,000																	
1	Is this procurement request in relation to an existing contract?																
2	What is the expiry date of the current contract?	(enter date here)															
3	Was there a framework in place (OGP, EPS etc.) that could have been utilised?																
4	Was a specification prepared and sent to all suppliers, if appropriate?																
5	Were the pre-agreed selection criteria prepared and applied to all responses?																
6	Did the preferred supplier meet the minimum selection criteria?																
7	Was the Procurement Office contacted in relation to the existing annual cumulative spend with the preferred supplier?																
8	Is a contract required to be put in place as part of this procurement? (confirmation from the Procurement Office may be required)																
<table border="1"><thead><tr><th>Ranking</th><th>Supplier Name</th><th>Total (incl. VAT) €</th></tr></thead><tbody><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></tbody></table>			Ranking	Supplier Name	Total (incl. VAT) €												
Ranking	Supplier Name	Total (incl. VAT) €															
Requestor Name: <input type="text"/>																	
Department: <input type="text"/>																	
Budget Holder: (signature) <input type="text"/>																	
By completing and signing this form the relevant individuals are confirming all quotes and supporting documentation are securely stored and available for inspection and the procurement process has been followed as documented (refer to the Corporate Procurement Plan).																	

**Hugh Nolan:**  
An expiry date must be entered if the procurement relates to an existing contract. Any contract extensions must align back to those detailed in the original

**Hugh Nolan:**  
Refer to form "Selection criteria for purchases between €5,000 and €50,000"

**Hugh Nolan:**  
Refer to form "Selection criteria for purchases between €5,000 and €50,000"

**Hugh Nolan:**  
It is imperative the Procurement Office are contacted immediately prior to a ticket being raised to mitigate against potential breaches of procurement limits

**Hugh Nolan:**  
This must be signed by the Head of School / Department / Function or Vice President.

## Appendix 9: Sole Supplier Form

This form should be prepared by the Requestor / Budget Holder and attached to all procurement requisitions above €5,000 where there is only one supplier or in instances where one only one quote was received.

Sole Supplier Form	
1 Company name	
2 Nature of goods being procured (select one): Repair of existing equipment Only supplier in the market Renewal of software licence / subscription Only supplier that responded to a requests for quotation Other (refer to point 8)	<b>Hugh Nolan:</b> One option must be selected
3 Estimated value of good being supplied (including VAT)	
4 Description of the services or goods being supplied:	<b>Hugh Nolan:</b> A brief description must be provided
5 What attempts were made to obtain another supplier (if applicable)	<b>Hugh Nolan:</b> A brief description must be provided
6 Other comments	<b>Hugh Nolan:</b> This must be completed if 'Other' is selected in point 4.
<b>Requestor Name:</b> <input type="text"/>	
<b>Department:</b> <input type="text"/>	
<b>Budget Holder: (signature)</b> <input type="text"/>	
<b>Hugh Nolan:</b> This must be signed by the Head of School / Department / Function or Vice President.	
By completing and signing this form the relevant individuals are confirming all quotes and supporting documentation are securely stored and available for inspection and the procurement process has been followed as documented (refer to the Corporate Procurement Plan).	