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# Finance Policies & Procedures

## CABI Procurement Policy and Procedure

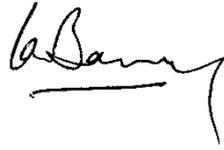
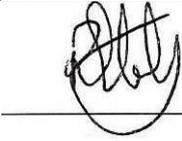
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## 1 REVISION HISTORY

Revision	Date	By	Change
0			First Issue
1	28.09.10	I Barry	Amendment para 6.3 from CIO to CFO (now 7.3)
2	25.07.12	R Sloley	Amended to incorporate EU requirements
3	8.8.12	I Barry	ITT (para 7.3), and Ethics (para 9) for reference to new Bribery Policy
4	7.11.12	R Sloley	Provide more detail in the ITT process (para 8.4), and extend Appendices.

## 2 APPROVALS

Name / Role	Signature and Date
Ian Barry, CFO	 21.11.14
Robert Sloley, Director of Finance	 21.11.14

These guidelines summarise CABI's policy on the procurement of supplies and services. Where there are questions on the content or the practical application of this policy, these should be addressed either to the CFO or the Director of Finance.

## 3 SCOPE

This policy applies equally to all purchases of goods and services (including consultancy), whether in relation to production and project activities or infrastructure and general operating activities. It sets out the basic requirements for procurement within CABI, covering the following stages of the process:

- identification of need
- procurement plan
- evaluation/selection of supplier(s) including the Invitation to Tender (ITT) process
- contract management
- receipt of product/service
- lessons learned.

Although all procurement must operate under a common CABI regulatory and control framework, for property and related transactions where the process and circumstances and processes are often very particular, the specific procedures and processes contained in this document need not necessarily apply. **The CFO must be consulted on all property related transactions over £50k. Where property**

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expenditure is donor funded, they must follow the relevant donor procedures. (see section 4).

#### 4 DONOR PROCUREMENT GUIDELINES (INCLUDING THE EC)

CABI's procurement policies and procedures are comprehensive and should be acceptable to CABI's donors. However, where a project sponsor or donor has established procurement procedures and rules that are at variance to those established in this document, CABI will use its best endeavours to comply with such procedures as applicable to the relevant project and contract as long as they are consistent with the principles specified in sections 7 and 8.4 of these documents. For EC funded projects it is mandatory to follow the financial thresholds specified in Appendix 2.

#### 5 REGULATORY FRAMEWORK

The CABI procurement policy operates in the context of other related policies and procedures including the Authorisation, Anti-fraud and Bribery policies and within the overall CABI framework of ethics and governance. **The Director of Finance** acts as custodian of the policy on behalf of the **CFO** and the **Audit Committee**.

CABI's purchasing philosophy is to obtain **goods and services** which provide maximum total value for money. Whilst purchase price is a major element of this, other significant factors which should be taken into consideration are:

- whole of life cost
- quality, both of product and service
- delivery
- method of payment, e.g. lease/purchase options
- technical specification/performance
- continuity of supply
- cost reduction opportunities
- safety
- environmental considerations

CABI's purchasing activity operates on a decentralised basis. Co-ordination and leadership from Corporate are provided to support this structure. In each business unit, managers have delegated authority and responsibility for fulfilling their own procurement needs (see also the Authorisation Policy).

#### 6 AUTHORITY TO PURCHASE

**Only staff with appropriate delegated authority can make purchasing commitments on behalf of CABI.**

Notwithstanding that costs should always be kept as low as possible, managers with responsibility for cost centres have authority to spend up to approved budget amounts for the whole cost centre, subject to signing limits on individual transactions

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as listed in the **Authorisation Policy** with IT purchases also approved by the Head of IT. They have authority to over- or under- spend from one cost line to another without further approval provided that they remain within their total approved budget. Managers are responsible for ensuring that expenditure on projects is kept within the project budget as agreed with the project sponsor or donor.

## **7 PROCUREMENT ETHICS**

All staff involved in purchasing activities must follow the **CABI Code of Business Conduct** and the **Bribery Policy**, and should also comply with the following:

### **Declaration of interest**

Any personal interest, which may impinge or might reasonably be deemed by others to impinge upon impartiality in any matter relevant to purchasing duties, should be declared to the Line Manager for approval before conducting the business.

### **Confidentiality of Information**

The confidentiality of information received in the course of duty should be respected and specific details of suppliers' offers must not be divulged to competitors. The information should never be used for personal gain.

### **Relationships with Suppliers**

Any arrangement which may prevent the effective operation of fair competition should be avoided.

### **Gifts and Hospitality**

Rules regarding Gifts and Hospitality are set out in the **Bribery Policy**.

### **Reciprocity**

CABI's customers are not precluded from becoming suppliers providing the overall requirements of this policy statement are met.

### **Exclusion of participation in procurement**

CABI reserves the right to exclude suppliers or tenderers from the procurement process if any of the following situations apply;

- They are bankrupt, are having their affairs administered by the courts or where their credit-rating gives reasonable cause to doubt their ability to maintain continuity of supply.
- They are subject to criminal or any other legal proceeding prejudicial to a relationship with CABI.
- They are subject to a conflict of interests;
- They are guilty of misrepresentation in the supply of information for a tender.
- They have, in the judgement of the CABI CFO, breached the code of ethics under which CABI operates.

### **Personal Purchases**

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CABI's staff may receive or purchase goods or services for personal use only where formal arrangements exist for such provision e.g. approved staff discount schemes.

### **Audits**

CABI maintains an audit trail of every purchase transaction for seven years and such records should always be made available for audit.

## **8 PURCHASING PROCESS**

Members of staff making purchases should adopt the following procedures.

### **8.1 IDENTIFICATION OF NEED**

Identification of need should normally involve an analysis to ensure that there are no better alternative solutions. Consideration should be made as to whether the requirement can be deferred (acquired later), diminished (reduced requirement) or deleted (the purchase avoided). An additional step at this stage is to determine the budget available to fulfil the requirement.

### **8.2 PROCUREMENT PLAN**

For the majority of purchases this should be a straightforward process. However for significant purchases it is important that individual roles and responsibilities are clearly defined, together with the time-scales for the procurement. This should be in accordance with the practises outlined in section 8.4.

### **8.3 EVALUATION/SELECTION OF SUPPLIERS**

- **Check whether or not there is an existing supplier for the goods/services.** Where possible existing suppliers should be used in order to maximise the opportunities for obtaining volume discounts and to minimise administration costs.
- **Appointing a new supplier** (also see Finance Policy: **New Supplier Accounts and Changes to Standing Data**) Members of staff seeking to appoint a new supplier should get that appointment endorsed by their Line Manager.
- **Bid documentation**  
It is important that there is a clear specification of the requirement. Depending on the requirement the documentation could take the form of an invitation to tender, a request for information, a request for pricing or an enquiry. It is recommended that wherever possible at least three potential suppliers are considered for purchases in excess of £1000 and this is mandatory for purchases in excess of £5000 unless otherwise agreed by the CFO. It is not essential that a new price is obtained for repeat purchases of a similar nature with an established supplier, however the purchaser is at all times responsible for ensuring that the goods/service are obtained at a competitive market rate and this should be reviewed on an annual basis.

### **8.4 INVITATION TO TENDER (ITT)**

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The following **principles** apply to all procurement activity but are particularly relevant where a new contract for services or supplies is being considered and the total value over the contract period is in excess of **£100k**.

### **Transparency**

The process, timelines, documentation and supplier requirements should be made clear to all candidates.

### **Non-discrimination and equal treatment**

As far as is practical and cost-effective, the ITT should be communicated to potential candidates in such a manner as to not discriminate or exclude potential candidates e.g. by publishing the ITT on the CABI Web-site and /or an advert in the National or International Press.

### **Equal access**

Candidates should be given equal access to information directly relevant to the tender.

The different types of procurement procedure which could apply to tenders at CABI are outlined in Appendix 1. The Evaluation Committee should decide the most appropriate procedure to be applied after having consulted the **CFO** or **Director of Finance**. However, the negotiated/single tender process can only be used with the prior authorisation of either the **CFO** or the **Director of Finance**. A template ITT is attached to this policy (see Appendix 3):

Whatever procurement procedure is most appropriate, all ITT should follow the process specified below:

#### **i. Establishment of the Evaluation Committee**

- This committee should consist of a minimum of three persons with ideally at least one member of the team from a different function and line of reporting. Use of external experts should be considered where this is appropriate.
- The roles in the Evaluation Committee should be defined with, as a minimum, the role of Chair and secretary being assigned. The secretary is responsible for administrative tasks including the completion of the **End of Tender report**. All internal members of the committee would be voting although if an objective evaluation has been followed, a consensus would normally emerge.
- Where a project team has been created as part of the Prince2 process, the Evaluation Committee can be formed from that project team defined in the Project Initiation Document (PID) or a sub-group of it.
- Conflicts of interest amongst committee members should be avoided, but where this is not possible, they must be declared and recorded on the inception of the Evaluation Committee and steps taken to ensure the core procurement principles still apply.
- The Evaluation Committee is responsible for evaluating and choosing the most appropriate procurement procedure (see Appendix 1) in conjunction with the Director of Finance and/or the CFO.

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**ii. Publication of a tender notice (see also Appendix 3)**

The tender notice should include the following minimum or core information:

- Information on the nature of the product or service to be procured including quantity, function, quality criteria, timing etc.
- Closing dates and times of the tender process, where to obtain information and who to contact.
- A clear and complete description of the award criteria that cannot be subsequently altered.
- Details on the management of the contract, payment terms and any other financial considerations.

**iii. Communication with potential suppliers during the process**

During the procurement process itself, the Evaluation Committee should ensure that that it communicates with potential suppliers in the same time frame and the same manner by:

- encouraging information exchange on a formal basis.
- communicating changes immediately and ensuring that questions for clarification are responded to promptly and transmitted to all parties equally.
- publish non-confidential information on –line.

**iv. Opening of tenders**

The Evaluation Committee should agree on the process for opening of tenders including:

- assigning members (two or more) of the team to open the tenders promptly after the designated deadline has passed (opening of tenders before a public audience is best practise but is unlikely to be practical or proportionate for CABI procurement).
- defining the circumstances under which tenderers would be excluded e.g. missing the deadline for submission.
- ensuring that any clarification of submitted tenders does not result in material alterations after the deadline.

**v. Evaluation of tenders**

The tenders should be evaluated using predetermined specific criterion which should include:

1. technical and professional capacity
2. economic and financial capacity

A scoring system which weights the different criteria according to their importance should be used, unless it is clearly inappropriate to do so, as an objective means of supplier selection. Overall, the scoring system should be consistent with the value for money objectives of the procurement policy operating within an ethical framework.

**vi. Communication of the outcome of the tender**

The Evaluation Committee is responsible for ensuring that:

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- All tendering suppliers are informed of the outcome of the tender promptly in a manner which is non-discriminatory and withholds confidential information.
  - De-briefings for suppliers, which should normally be given on request, be performed in a structured manner with confidential information not disclosed.
  - Oral and written de-briefings are approved by the Chair of the Evaluation Committee.
  - The outcome of the tendering process is published on the CABI web-site with the following information included:
    - A description of the goods and services.
    - The name and address of the successful supplier.
    - The date of the award.
    - The type of procurement method used.

#### **vii. End of tender report**

The Evaluation Committee is responsible for writing an **End of Tender report** which briefly describes the type of procurement method used (see Appendix 1) and how each stage of the tender process (steps i to vi above) was conducted. The End of Tender report should be sent to the **Director of Finance** who will ensure that it is stored on sharepoint.

#### **viii. Tender document storage**

All documents that were used as part of the tendering process described above, including but not limited to the following,

- Initial contract notice/ invitation to tender document.
- All documentation received from suppliers.
- All E-mail and other correspondence relating to the tender.
- Minutes/reports of Evaluation Committee meetings.
- End of tender report.

must be sent to the **PA to the CEO** for storage on Sharepoint. This folder has restricted access and to protect the confidentiality of supplier and tender information.

#### **ix. Complaints process**

Complaints from suppliers on the conduct of a tender should be addressed to the **Chair of the Audit Committee** (a non- executive director of CABI) at the following address:

Chair of the Audit Committee  
c/o CEO's Office  
CABI Head Office  
Nosworthy Way  
Wallingford  
Oxfordshire  
OX10 8DE, UK

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## 8.5 CONTRACT MANAGEMENT

Once the preferred supplier has been selected, then the terms and conditions of contract including service levels, service descriptions and schedules should all be confirmed and agreed. Contract templates, draft clauses and guidance notes can be found in the **Legal Documents** section of Sharepoint.

## 8.6 RECEIPT OF PRODUCT/SERVICE

When goods and services are delivered by the supplier they should be checked against the supplier's advice note and the purchasing documentation to ensure that they meet the requirement and are compliant with what was originally agreed. Particular attention should be paid to the quantity of each item delivered and (where appropriate) the quality of the items. Any discrepancy should be immediately communicated to the supplier and appropriate action agreed and confirmed in writing. Once the goods and services are accepted, payment can be authorised and made in accordance with the agreed payment terms. Invoices should be checked against the Supplier's Delivery Note or other paperwork and the purchasing documentation. Any discrepancy should be notified to the supplier and appropriate action agreed and confirmed in writing. The invoice should not be processed for payment until all issues are satisfactorily resolved.

## 8.7 LESSONS LEARNED

Any feedback from end users and other internal customers should be collected and passed on to the supplier and to the relevant manager. The purpose of this is to monitor and rate the performance of the suppliers in order to develop their service and aim for continual improvement.

## 9 PAYMENT

- CABI aims to settle all suppliers' accounts against their invoice 30 days from the end of the month in which the goods are received or service is carried out or, if later, the invoice is received unless otherwise agreed in advance.
- Savings in purchase price may be accepted by CABI for prompt or early settlement. Such agreements must be authorised by the local Finance Manager who will be responsible for the early payment terms.
- The Budget holder with responsibility for the department making the purchase is responsible for ensuring that the invoice is coded with the correct nominal, department and product codes and that the details of the invoice conform with the supplied goods or service and that the stated terms and charges are correct.

## 10 E-COMMERCE

Purchasing through the internet is not precluded provided it follows the same processes, principles and procedures outlined in this document are followed.

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## 11 LEGISLATION AND STANDARDS

- All purchase contracts will be under the governance of English law for CABI units in the United Kingdom.
- Purchase contracts issued by CABI units outside of the United Kingdom will be under the governance of the host nation's law.
- Where applicable, all materials and equipment purchased will be in accordance with current European and British Standards and Codes.
- All equipment purchases must be deemed "fit for use". Certification, such as CE markings for items sold in the EU, certificates of conformity, calibration as appropriate to the type of equipment must be proved.
- Laboratory consumables must be procured from suppliers with Quality Management systems in place. ISO 9000 accreditation should include manufacture, distribution and supply. In the UK, all suppliers are required to complete a Supplier Questionnaire (obtainable from Tony Cross, Facilities Manager) and provide copies of any certification.

## **APPENDIX 1 TYPES OF PROCUREMENT PROCEDURE FOR TENDERS**

There are different types of procurement procedure which could apply to tenders at CABI. These are described below:

### **Open procedure**

In 'open' calls for tender (international or local) all legal economic operators may submit a tender. The contract is given the maximum publicity consistent with the size of the contract award and the need to achieve value for money by publishing a notice in national or international newspapers or other appropriate media. The tenders are compared against the stated criterion and the contract is awarded. No negotiation prior to the selection of the successful tenderer is chosen although some fine tuning may continue as part of the contractual process provided the tender itself is not fundamentally changed and the process is not discriminatory.

### **Restricted procedure**

In 'restricted' calls for tender, only those suppliers who satisfy the specified pre-selection criterion may be invited to do so. The selection criterion and the tasks to be undertaken are described in the published contract notice. A 'long list' of all candidates replying to the notice is cut down to a shortlist on the basis of their replies. The contract is given the maximum publicity consistent with the size of the contract award and the need to achieve value for money by publishing a notice in national or international newspapers or other appropriate media. A detailed tender document is sent to the shortlisted candidates. Once tenders have been analysed, they are compared and the successful tenderer is chosen. No negotiation prior to the selection of the successful tenderer is chosen although some fine tuning may continue as part of the contractual process provided the tender itself is not fundamentally changed and the process is not discriminatory.

### **Competitive dialogue**

In the case of more technical or complex contracts where it is clear that the use of either the open or restricted procedure is inappropriate and will not produce the best value for money, the process of competitive dialogue may be used. In this procedure, a contract note setting out or attaching the needs and requirements of CABI should be published. A dialogue would then be opened with the candidates meeting the criteria with a minimum of three candidates invited to tender. If fewer than three candidates meet the selection criteria, then the tender should continue with the candidates that do meet the criteria. During the process, Tenderers must be treated equally and the principles specified in section 8.4 should apply and confidentiality respected. After informing the participants that the dialogue has been concluded, their final tenders should be submitted. After the tender has been submitted, they may be fine-tuned

provided the tender itself is not fundamentally changed and the process is not discriminatory. This fine tuning may continue as part of the contractual process.

### **Negotiated procedure/single tender process**

In the case of more technical and specialised procurement, a single tender or negotiated procedure could apply. Here, the evaluation committee would proceed with negotiation of a single supplier but, at the conclusion of the process, would need to issue a document to explain how the process was conducted, the members of the evaluation committee selected and the price set. Again, the Evaluation Committee is responsible for ensuring that the fundamental procurement principles are applied.

## **APPENDIX 2 PROCUREMENT RULES FOR EC FUNDED PROJECTS**

*(Beneficiary = CABI)*

### **1. General Principles**

Where project implementation requires procurement by the Beneficiary, the contract must be awarded to the most economically advantageous tender (ie, the tender offering the best price-quality ratio), in accordance with the principles of transparency and fair competition for potential contractors and taking care to avoid any conflicts of interest.

The provisions of this appendix also apply to contracts to be concluded by the Beneficiary's partners.

### **2. Eligibility for Contracts**

#### **2.1. The nationality rule**

Participation in tender procedures administered by the Beneficiary is open on equal terms to all natural and legal persons of the Member States and the States and territories of regions expressly covered and/or allowed by the Financial Regulation, the basic legislation or other instruments governing the aid programme under which the grant is being financed. Tenderers must state, in the tender, the country of which they are nationals by presenting the usual proof of nationality under their national legislation.

This rule does not apply to the experts proposed by service providers taking part in tender procedures or service contracts financed by the grant.

#### **2.2. Exceptions to the rules on nationality**

Where an agreement on widening the market for procurement of goods or services applies, the procurement contracts must also be open to nationals of other countries under the conditions laid down in that agreement.

In addition, in duly substantiated exceptional cases, the Commission may allow nationals of countries other than those referred to in section 2.1 to tender for contracts (or supplies of goods originating in such countries) on the basis of the specific conditions laid down in the basic act or other instrument governing the programme under which the grant is financed.

### **3. Rules Common to all Tender Procedures**

The tender documents must be drafted in accordance with best international practice. If they do not have their own documents, Beneficiaries may use the models published on the European Commission's web site relating to external actions. The European Commission will not publish the tender documents established by the Beneficiary.

The time-limits for receipt of tenders and requests to participate must be long enough to allow interested parties a reasonable and appropriate period to prepare and submit their tenders.

All requests to participate and tenders declared as satisfying the requirements must be evaluated and ranked by an evaluation committee on the basis of the exclusion, selection and award criteria announced in advance. This committee must have an odd number of members, at least three, with all the technical and administrative capacities necessary to give an informed opinion on the tenders.

## **4. Rules Applicable to Service Contracts**

### **4.1. Contracts of € 200 000 or more**

Service contracts worth € 200 000 or more must be awarded by means of an international restricted tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals. It must state the number of candidates which will be invited to submit tenders within a range of four to eight candidates, and must be sufficient to ensure genuine competition.

All would-be service providers fulfilling the conditions referred to in section 2 may ask to participate but only candidates satisfying the published selection criteria and invited in writing by the Beneficiary may submit a tender.

### **4.2. Contracts under € 200 000**

Service contracts worth less than € 200 000 must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three service providers of its choice and negotiates the terms of the contract with one or more of them.

For services of a value of € 10 000 or less, the Beneficiary may place orders on the basis of a single tender.

## **5. Rules Applicable to Supply Contracts**

### **5.1. Contracts of € 150 000 or more**

Supply contracts worth € 150 000 or more must be awarded by means of an international open tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals.

Any would-be supplier which fulfils the conditions referred to in section 2 may submit a tender.

### **5.2. Contracts between € 60 000 and € 150 000**

Such contracts are awarded by means of an open tender procedure published locally: the procurement notice is published in all appropriate media but only in the country in which the Action is being carried out.

A local open tender procedure must provide other eligible suppliers with the same opportunities as local firms.

### **5.3. Contracts under € 60 000**

Supply contracts worth less than € 60 000 must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three suppliers of its choice and negotiates the terms of the contract with one or more of them.

For supplies of a value of € 10 000 or less, the Beneficiary may place orders on the basis of a single tender.

## **6. Rules Applicable to Works Contracts**

### **6.1. Contracts of € 5 000 000 or more**

Works contracts worth € 5 000 000 or more must be awarded by means of an international open tender procedure following publication of a procurement notice.

The procurement notice is to be published in all appropriate media, in particular on the Beneficiary's web site, in the international press and the national press of the country in which the Action is being carried out, or in other specialist periodicals.

Any contractor which fulfils the conditions referred to in section 2 may submit a tender.

### **6.2. Contracts of between € 300 000 and € 5 000 000**

Such contracts are awarded by means of an open tender procedure published locally: the procurement notice is published in all appropriate media but only in the country in which the Action is being carried out.

A local open tender procedure must provide other eligible contractors with the same opportunities as local firms.

### **6.3. Contracts under € 300 000**

Works contracts worth less than € 300 000 must be awarded by means of a negotiated procedure without publication, in which the Beneficiary consults at least three contractors of its choice and negotiates the terms of the contract with one or more of them.

For works of a value of €10 000 or less, the Beneficiary may place orders on the basis of a single tender.

## **7. Special Cases**

### **7.1. Co-financing**

Where:

- the Action is co-financed by several donors and
- one of the other donors, whose contribution to the total cost of the Action is greater than that of the Commission, imposes procurement rules on the Beneficiary that differ from those set out in sections 3 to 7;

the Beneficiary may apply the rules imposed by the other donor.

## **INSTRUCTIONS TO TENDERERS**

### **ABOUT CABI (CAB International)**

CAB International is an international organisation, registered with the United Nations, whose governance is regulated by the CAB International Agreement. Its membership currently comprises 48 Member Countries, each of which is represented on the Executive Council.

For further information about the organisation, including recent annual accounts, please refer to our website at <http://www.cabi.org>

### **INTRODUCTION – SERVICE REQUIRED**

CABI is inviting Tenders from providers of *[insert]*

CABI anticipate offering a contract commencing on for a period of *[insert if applicable]* years with an option to renew for a further *[insert if applicable]* years.

### **CONFIDENTIALITY**

This Invitation to Tender must be treated as private and confidential, as must all information and documentation supplied by CABI in connection with the Tender process.

CABI however, reserves the right to publicise the fact of the Tender process and its award.

Any documents produced and/or issued are and shall remain the property of CABI and must be returned or destroyed on demand.

CABI shall treat as confidential the names of Tenderers, the contents of Tenderers' Tender documents and the final contract price.

### **COMPLETION AND SUBMISSION OF TENDERS**

Please complete all documents as specified then submit your Tender by post and electronically to *[insert]*

CABI will not accept any costs incurred in the preparation and submission of this or any future Tenders.

### **Acknowledgement of Tender**

If you have any queries about the tender process, or require further information, please contact *[insert]* who should also be contacted if you do not receive acknowledgment of receipt of your tender within 10 working days.

## Document Completion

The main Tender response documents are Appendices 1 and 2. All sections should be completed. The Tender evaluation process is based on an initial review of the mandatory elements followed, if applicable, by a detailed review of the appendices.

In Appendix 1, the document is split into five (5) distinct parts:

- |                               |   |   |
|-------------------------------|---|---|
| <i>Mandatory Requirements</i> | - | <i>seeks confirmation that you are capable of performing the role as required</i> |
| <i>Part A</i>                 | - | <i>requests details of your financial status</i>                                  |
| <i>Part B</i>                 | - | <i>seeks background information;</i>  |
| <i>Part C</i>                 | - | <i>relates to business probity and</i>  |
| <i>Part D</i>                 | - | <i>relates to service operation and quality issues.</i>                           |

In Appendix 2, the document allows you to provide a fee breakdown based on the service you propose to provide.

## TENDER PROCEDURE & AWARD CRITERIA

### Tender Procedure

CABI is using the 'EU Open Procedure' for this Tender. All Tenderers returning compliant Tenders will have them properly considered and MAY be asked to attend a presentation to provide clarification of their proposal. All submissions will be verified in the first instance to ensure that the mandatory requirements are met. If those elements are satisfactory, other responses will then be evaluated.

Responses to the questions detailed in the appendices will be used to evaluate the Tenderer's submission. Please ensure you read and understand the information requirements carefully, prior to responding, as the information you provide will be relied upon as being true and accurate and will form part of the Contract for the successful Tenderer.

If any of the information given by your organisation within the ITT is subsequently identified as being inaccurate, this may exclude your organisation from further consideration.

### Award Criteria

The contract award will be made on the following basis which in summary equates to a *[insert]* % (service/technical): *[insert]* % (fee/price) split: *[apply weighting as appropriate]*:

- **Part A – Financial Status - 10 marks (weighting of 1)**
- **Part B – Background Information - 10 marks (weighting of 1)**
- **Part C – Business Probity - 10 marks (weighting of 2)**
- **Part D – Service / Product and Quality – total 60 marks** [assign marks and weighting for the key elements of the Service / Product]

- i
- ii
- iii.....

- **Fees - 10 marks (weighting of 30)**

### **VALIDITY PERIOD**

Tenders must remain open for acceptance up to six (6) calendar months from the published final Tender submission date.

### **ACCEPTANCE OF TENDER**

The contract shall be awarded on the basis of the Tender which is the most economically advantageous having regard to both the price and capacity to meet CABI's service requirements in full. Incomplete Tenders may not be considered.

CABI shall not be bound to accept the lowest or any Tender but reserves the right to accept a portion of any Tender, unless the Tenderer expressly stipulates otherwise.

CABI reserves the right as part of its evaluation of Tenders to question any Tenderer further on aspects of its ability to provide the services required or to reject any and/or all Tenders.

The fact that you have been invited to Tender is not of itself an approval by CABI.

Tenders will only be accepted by issue of a letter of acceptance by CABI.

### **COLLUSIVE TENDERING**

Any Tenderer who:

- fixes or adjusts the amount of their Tender by or in accordance with any agreement or arrangement with any other person; or
- communicates to any person other than CABI the amount or approximate amount of their proposed Tender (except where such disclosure is made in confidence in order to obtain quotations necessary for the preparation of the Tender or insurance or a bond); or
- enters into agreement with any other person that they shall refrain from Tendering or as to the amount of any Tender to be submitted; or
- offers or agrees to pay or to give or does pay or gives, any sum of money, inducement, or a valuable consideration, directly or indirectly to any person, for doing or having done or causing to have caused to be done in relation to any other Tender or proposed Tender for the services, any act or omission.

shall be disqualified without prejudice to any other civil remedies available to CABI and without prejudice to any criminal liability which such conduct by a Tenderer may attract.

By submitting a Tender response you are formally declaring that your Tender is bona fide; is intended to be competitive and does not breach any of the conditions outlined in this section.

## PERIOD OF CONTRACT

An agreement for *[insert]* years is sought together with an option to renew for a further period of up to *[insert if appropriate]* years on mutually acceptable terms.

## INFORMATION REQUIREMENTS SUMMARY

To assist us in evaluating your proposal, CABI requires you to send a response using the documentation referred to as “ITT-IA1- Appendix 1 – Response Document” (for non-price related responses) and “ITT- IA1 - Appendix 2 – Fee Schedule” (for fee breakdown) *[note: for Appendix 2 create a pro-forma schedule appropriate to the service/product provided]*

The Service requirements are as summarised below:

- **Mandatory Requirements – non-compliance prevents further review**
  - Eligibility to fulfil the contract
  - *[insert as appropriate]*
- **Part A – Financial Status**
  - Bank Details for referencing purposes
  - Turnover & accounts requirements – 2 years in sterling & English
- **Part B – Background Information**
  - Name, address and contact details
  - Addresses for standard and specialist service provision
  - Company status, VAT & registration number and date of registration
  - Employee numbers
- **Part C – Business Probity**
  - Declaration of conflicts of interest
  - Declaration of any pecuniary or other interests
  - Declaration of commitment to Bribery Act requirements
  - Declaration of adherence to internal policies regarding gifts etc
- **Part D – Service Operation and Quality**
  - *[note: specify service or goods to be provided with standards of quality and performance as necessary]*

## SPECIFIC ISSUES/CLARIFICATION

The following points may be useful to assist in the preparation of your Tender proposals and therefore should be considered prior to submission.

### **The Service Provider’s Experience and Reference Sites**

The proposal should identify the Tenderer’s directly relevant experience with other clients, and should provide two clients as referees for CABI to contact.

### **Content of the tender proposal *[note: amend as appropriate]***

Please limit your tender proposal to a maximum of 12 pages. You may enclose standard supporting documentation.

1. Executive Summary
2. Details of your firm / *[organisation]* to include:
  - Structure, size and relevant capabilities
  - The firm's major/relevant not for profit clients
  - The firm's philosophy and methods
  - Two references of client organisations similar to CABI that can be taken up as required
3. Your staff *[if appropriate]*
4. Your Approach *[to the service / product]*
5. Your fees  
Please give details of proposed fees which should include: *[insert]*
6. Process Timetable

Completed tenders should be submitted to CABI by *[insert]*.

Action	Date
Invitation to tender	
Tender submission date	
Short-listing	
Review for short listed candidates	
Approval	

## APPENDIX 1

### INVITATION TO TENDER – ITT IA1 PROVISION OF SERVICE / PRODUCT

#### REQUIRED RETURNS – PART ONE – NON-PRICE ELEMENTS

Before answering the detailed questionnaire, please confirm the following mandatory requirements:-

Ref	Statement	Check the box & Initial to Confirm
1.	I confirm that our firm is eligible for appointment as <i>[complete as applicable]</i>	<input type="checkbox"/>
2.	I confirm that all work will be carried out in accordance with <i>[insert appropriate standards as applicable]</i>	<input type="checkbox"/>
3.	I confirm that our firm has relevant experience in the <i>[complete as applicable]</i>	<input type="checkbox"/>

#### Non-price information required:

##### Notes:

- All responses will be treated in confidence.
- Only information provided as a direct response to this document will be evaluated.
- Information and detail which form part of general company literature or promotional brochures etc will not be considered as part of the evaluation process.
- We may require clarification of the answers provided or ask for additional information.
- The response should be submitted by an individual of the organisation, company or partnership who has authority to answer on behalf of that organisation, company or partnership.
- **All non-price information requested must be provided using the tables provided in this document** – if this request creates a technical difficulty, Tenderers may, with prior approval, respond using their own text creation facilities.

## PART A - FINANCIAL STATUS

<b>4.</b>	<b>BANK DETAILS</b>	
	<b>a) Name of Bank:</b> (from which a financial reference may be sought).	
	<b>b) Address:</b>	
	<b>c) Telephone Number:</b>	
	<b>d) Contact name:</b>	
	<b>e) Telephone Number:</b> (if different)	
<b>5.</b>	<b>Provide details of the Annual Turnover (in £ Sterling) for:</b>	
	<b>a) Latest Year</b>	
	<b>b) One year previous</b>	

## PART B - Background Information

6.	<b>Name of Organisation</b>	
	<b>Address for all correspondence</b>	
	<b>Primary Contact Name</b>	
	<b>Primary Contact Position</b>	
	<b>Telephone Number</b>	
	<b>Fax Number</b>	
	<b>email address</b>	
	<b>Website address</b>	
7.	<b>Address from where service will be provided</b>	
	<b>Address(es) from where specialist services will be provided</b>	
	<b>Address of Registered Office</b>	
8.	<b>Nature of Organisation</b> (e.g. Partnership etc).	
	<b>Company Registration Number</b> (or alternative EU registration number)	
	<b>Registration Date</b>	
	<b>VAT Registration Number</b> (or alternative EU registration number)	
	<b>Group</b> If a Member of a Group of Companies, please give details of the ultimate parent company	
	<b>Brief summary of Business Activity</b>	
9.	<b>Number of Employees</b>	
	<b>Number of Directors or Partners</b>	

**PART C - BUSINESS PROBITY**

<b>10.</b>	<b>Please declare any potential conflicts of interest with your existing clients.</b>
<b>11.</b>	<b>Please declare any pecuniary or other interests which may exist either from personal circumstances or as a result of your firm, or your firm’s partners or employees, being employed or engaged in a material sense by CABI.</b>
<b>12.</b>	<b>Please declare your commitment to and compliance with the requirements of the UK Bribery Act and advise what processes exist to ensure that CABI employees or other stakeholders are not compromised by any actions of the firm or its employees / partners</b>
<b>13.</b>	<b>In order to protect both staff and the reputation of CABI from accusations of bribery or corruption, staff are not permitted, directly or indirectly, to accept any gift, hospitality, reward or other benefit from any source with whom he/she has been brought into contact or maintains contact only by reason of the duties for which they are employed by CABI. Please confirm your understanding and agreement that CABI staff will not be compromised by any actions of the firm or its employees / partners</b>

**Note:** Failure to disclose information or respond to questions relevant to this Part C may result in your exclusion from this process.

**PART D – SERVICE OPERATION AND QUALITY**

Please provide the following information:

<b>I</b>	<b>14 –</b>	<b><i>Insert and detail the requirements of the service(s) or product(s) subject to tender.</i></b>	
<b>vi</b>	<b>35.</b>	<b>Provide contact details for 2 referees for contracts that have been active within the last 12 months and which are similar to or the same as that required by CABI.</b>	
		<b>Referee Organisation:</b>  <b>Contact Name:</b> <b>Title:</b> <b>Address:</b>	<b>Referee Organisation:</b>  <b>Contact Name:</b> <b>Title:</b> <b>Address:</b>
	<b>36.</b>	<b>Please confirm that: Health &amp; Safety; Quality Assurance; Equality &amp; Diversity; Environmental; Corporate Social Responsibility and Bribery Act management standards or policies exist for your staff, are managed and are available for scrutiny on request.</b>	
		<b>Confirmed: YES / NO (Delete as applicable)</b>	
	<b>37.</b>	<b>Please return copies of current insurance certificates:</b>	
<ul style="list-style-type: none"> <li>▪ <b>Employer’s Liability Insurance</b></li> <li>▪ <b>Public Liability Insurance</b></li> <li>▪ <b>Professional Indemnity Insurance</b></li> </ul>			
		<b>Confirmed: YES / NO (Delete as applicable)</b>	

Authorised Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name (please print): \_\_\_\_\_

Position: \_\_\_\_\_

Business Name & Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_