



Procurement Guidelines

Status	LIVE
Document Version	Version 9
Author	Carly Ricco, Procurement and Contracts Manager
SLB Sponsor	Lee Watson, Assistant Director Assets
Directorate/ Department	Assets
Date Approved	09/05/2018
Review frequency	2 Years
Next Review	19/12/2025

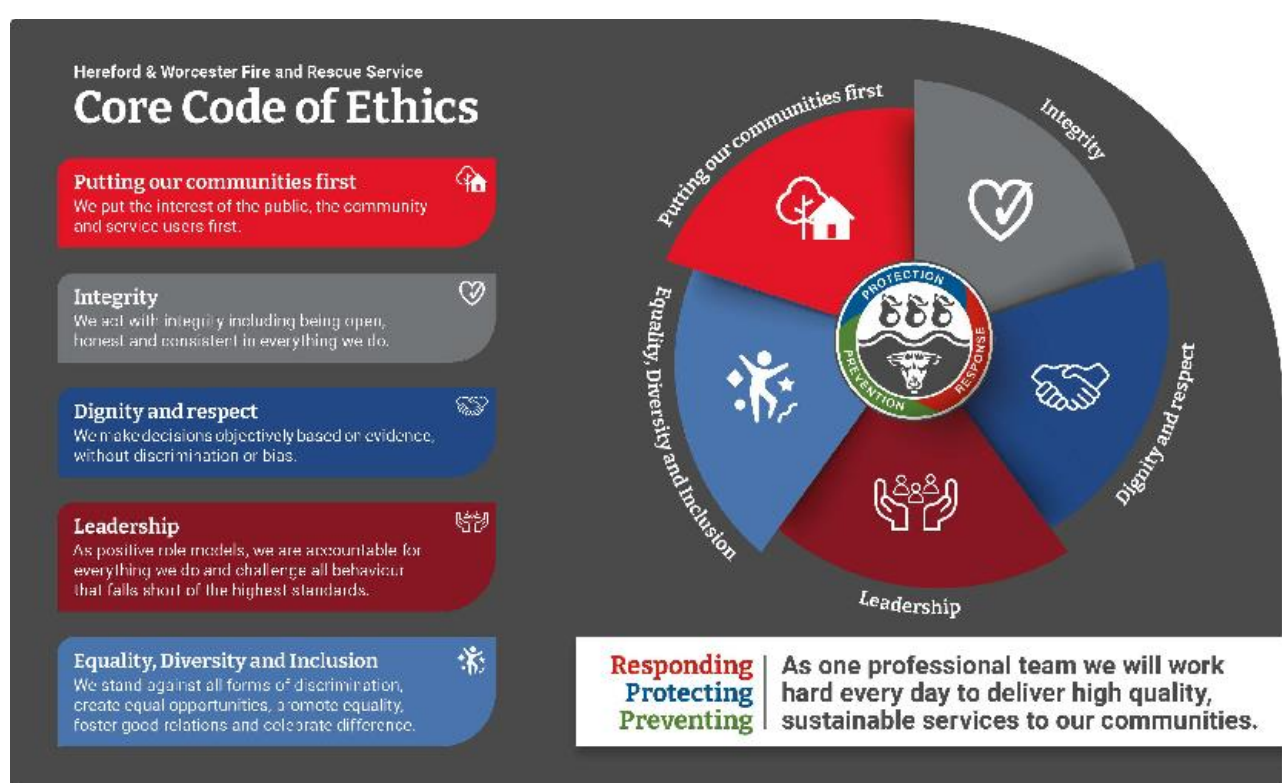
Version History		
Version	Date	Description
6.00	08/05/2018	Procurement Guidelines
7.00	14/01/2021	Reviewed
8.00	05/09/2022	Reviewed
9.00	19/12/2023	Reviewed- links amended

Executive Summary

This policy provides guidance to Hereford & Worcester Fire and Rescue Service (HWFRS) employees and line managers on our legal obligations that must be applied in the procurement and disposal of goods, materials and services and in the execution of works. It outlines the mechanisms required in the procurement process and circumstances where exceptions to the requirements can be made.

Core Code of Ethics

The [Core Code of Ethics for Fire and Rescue Services](#) sets out five ethical principles, which provide a basis for promoting good behaviour and challenging inappropriate behaviour. The Service is committed to the ethical principles and professional behaviours contained in the Core Code of Ethics, which sets expectations on governance, behaviour and integrity in the Fire Sector. The principles of the Code are reflected in this policy as well.



Safeguarding Policy Statement:

Safeguarding is everyone's responsibility, and Hereford & Worcester Fire and Rescue Service (HWFRS) are committed to safeguarding children, young people and adults from abuse and neglect. The Service strives to promote the safety, dignity and wellbeing of staff and people in the community.

Safeguarding practices within HWFRS align to the Safeguarding Fire Standard which aims to ensure that Service support and promote the safeguarding of those within the community, employees and volunteers. [Safeguarding - Fire Standards Board](#)

All HWFRS staff will adhere to the Service's Adult Safeguarding Policy and Children and Young People Safeguarding Policy and associated Guidance's.

[SPI Management & Administration Site - D - Personnel - AllItems \(sharepoint.com\)](#)

Alternative Formats

If you require this document in another format please contact the Human Resources and Development Department.

1.	Introduction to Procurement.....	5
2.	Procurement	5
3.	Procurement Guidelines.....	5
4.	Aims and Objectives	5
5.	Determining the Procurement Path	6
	9
	People Impact Assessment (PIA).....	
	14
	Organisational Impact Assessment.....	

Procurement Guidelines

1. Introduction to Procurement

The information contained within this document is intended to provide strategic guidance for all employees that are involved in the procurement and the use of, goods and services secured by the Fire and Rescue Authority (FRA).

2. Procurement

The Hereford & Worcester Fire and Rescue Authority has defined procurement as:

‘The process of securing goods and services whilst ensuring that organisational needs are met within the framework of the policies and strategies of this Authority, with due consideration of financial constraints and within the legal requirements of the Best Value process’.

3. Procurement Guidelines

The FRA’s Procurement Guidelines is an evolving document that will be influenced by the FRA’s Strategy and Performance Planning, IRMP, Best Value Reviews, internal and external Audits, Commission for Racial Equality Guidelines for Public procurement, ODPM Reports.

Officers responsible for the procurement of goods and services are to consider the procedures detailed within the Audit Commissions publication for procurement within the Fire Service; A Uniform Approach – A Study of Fire Service Procurement’, any ‘National’ Procurement Strategy or initiative i.e. the Integrated Clothing Project, the potential for ‘Regional Procurement’ and any other factors impacting upon the Service.

4. Aims and Objectives

Our strategic aims and objectives are to provide a co-ordinated central procurement function which will be responsive to ‘National’, ‘Regional’ and ‘Local Procurements’, aimed to address the needs of the Service, our customers and the end-users, taking account of long term objectives:

Ensure that the most appropriate method is adopted throughout the procurement process, giving due regard to financial regulations/cost/priority/risk; For example, use of “best fit” mechanisms.

Develop an influential and recognised centre of expertise calling upon qualified specialists to provide advice to Practitioners and review the impact of new issues; For example, e-commerce and above the thresholds set out in Public Procurement Regulations 2023 as amended or updated* (“the Public Procurement Thresholds”)

Work towards open and transparent two way communication between suppliers, customers and stakeholders.

Identify methods of improving performance in terms of efficiency, effectiveness and economy.

Obtain appropriate feedback from all interested parties as a mechanism for monitoring the performance of goods and services secured in order to ensure continuous improvements.

Support strategies and policies of the FRA ensuring compliance with corporate standards; for example, Health & Safety and LA 21.

Investigate collaborative working with any future Fire Service National provider, Regional Partners and any other external organisations where appropriate.

Produce and disseminate clear guidelines thus ensuring the principles of Best Value including competition are integral to the procurement process, which the principles of project management are adhered to within the procurement process and the production of the required documentation for the Principal Managers Team and the FRA as appropriate.

5. Determining the Procurement Path

The required documentation for the procurement of goods and services will vary according to the strategic importance or value of the goods or services concerned. Strategically important purchases will be critical for giving effect to a statutory duty, risk critical and/or, have the capacity to significantly disrupt Service delivery.

In order to ensure effective procurement, it will be necessary to classify goods or services in relation to their strategic importance/value. Correct classification provides an opportunity to prevent the waste of resources in conducting extensive research into goods or services that are of low financial value/strategic importance, such as standard consumable items.

However, when procuring items of high importance or high value items, there is a need to carry out suitable and sufficient research and market evaluation in order that the service can support the procurement of the item/s.

In order to assist personnel considering the preparation of documents in support of specific procurement, attention is drawn to the exhibit below:

Complexity of the supply market				
Low			High	
High	Procurement Focus Leverage items	Time horizon Varied, typically 12-24 months	Procurement Focus Strategic Items	Time horizon Up to 10 years; governed by long term strategic impact (risk & contract mix)
	Key Performance Criteria Cost/price and materials flow management	Items Purchased Mix of commodities and specified materials	Key Performance Criteria Long- term availability	Items Purchased Scarce and/o high value materials

Importance of the item	Typical Sources Multiple suppliers, chiefly local	Supply Abundant	Typical Sources Established global suppliers	Supply Natural scarcity
	Procurement Focus Non critical items	Time horizon Limited, normally 12 months or less	Procurement Focus Bottleneck items	Time horizon Variable, depending on availability vs short term flexibility trade offs
	Key Performance Criteria Functional efficiency	Items Purchased Commodities, some specified materials	Key Performance Criteria Cost management & reliable short-term sourcing	Items Purchased Mainly specified materials
	Typical Sources Established local suppliers	Supply Abundant	Typical Sources Global, predominantly new suppliers with new technology	Supply Product based scarcity
Low				

Kraljic Portfolio Purchasing Model (1983)

By establishing the appropriate classification of strategic importance personnel will be in a position to identify the appropriate steps that must be taken and the required documentation procurement. The following sections provide additional guidance on items of high strategic importance/value and for low strategic importance/value items. The appropriate 'budget holder' will be advised should personnel preparing procurement documents be unsure as to what steps and documents are required in order to support the securing of the proposed goods or services.

6. Procurement Guidance Library

The following documentation ([on SharePoint](#)) is intended to support all levels of procurement and contract management activities and to help manage the expectations of stakeholders, customers and suppliers alike. It facilitates best practice and consistency across Herefordshire and Worcestershire Fire and Rescue Service.

The [Steps for Procurement](#) document provides one source of guidance and documentation HWFRS which will be updated on a continual basis with any changes in legislation, policy and facilitates best practice and consistency. We would encourage you to use the source documentation for every procurement exercise to ensure you are always using the most recent guidance and templates on an ongoing basis.

Within the site is a mandatory form for completion in all future procurements: [Procurement Stage 1](#). This form will be the start of any procurement as it will ensure documented evidence for pre-contract activities such as planning, identification needs, analysis and sourcing.

Fire and Rescue Service personnel requiring further information are advised to contact the Procurement and Contracts Manager on procurement@hwfire.org.uk and visit the [Procurement and Contract Page](#) on SharePoint.



People Impact Assessment (PIA)

Policy / Project / Function:	Procurement Guidelines Policy	Date of Assessment:	05/09/2022
Version History			
Version	Date	Description	
V1	19/12/2023	Assessment reviewed in line with policy review (v9) no changes	
Analysis Rating: please tick 1 box ✓ <small>(The analysis rating is identified after the analysis has been completed - See Completion Notes).</small>	RED	AMBER	GREEN ✓
			<input type="checkbox"/> Proportionate means achieving a legitimate aim/can be objectively justified.
Action Plan included? N/A			
Please list methods used to analyse impact on people (e.g. consultations forums, meetings, data collection)	Compliance with legal and other obligations		
Please list any other policies that are related to or referred to as part of this analysis	Procurement Guidelines		
Please list the groups of people potentially affected by this proposal. (e.g. applicants, employees, customers, service users, members of the public)	All staff involve in purchasing; suppliers		
What are the aims and intended effects of this proposal (project, policy, function, service)?			
The aim of this policy is to ensure that the Service complies with all legislation, records all required information and sets out how to deal with an incident if it were to occur. Examples of incidents are – <ul style="list-style-type: none"> if the most appropriate method has not been adopted through the procurement process If the principles of best value are not clear Non compliance in legislation; H&S, transparency, best value etc. 			
Is any Equality Data available relating to the use or implementation of this proposal (policy, project, or function, service?) Please Tick ✓(See Completion notes)			
YES: ✓ Statistical data available on our employees		NO: ✓	
List any Consultations e.g. with employees, service users, Rep Bodies or members of the public that has taken place in the development or implementation of this proposal (project, policy, function)?			
All policies undergo a comprehensive internal consultation process			

People Impact Assessment (PIA)

Appendix 1

What impact will the implementation of this proposal have on people who share characteristics protected by <i>The Equality Act 2010</i> ? Please Tick ✓ (See Completion notes)				
Protected Characteristic:	Neutral Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification if determining proportionate means of achieving legitimate aims exists
Sex (Men and Women)	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Race (All Racial Groups)	✓			Neither a positive or negative impact has been identified for this protected characteristic, but will be influenced by the Commission for Racial Equality Guidelines for Public Procurement The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Disability (Mental, Physical, and Carers of Disabled people)	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Religion or Belief	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Sexual Orientation (Lesbian, Gay, Bisexual and Straight)	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Pregnancy and Maternity	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Marital Status (Married and Civil Partnerships)	✓			Neither a positive or negative impact has been identified for this protected characteristic. The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Gender Reassignment (Includes non-binary)	✓			Neither a positive or negative impact has been identified for this protected characteristic.

What impact will the implementation of this proposal have on people who share characteristics protected by <i>The Equality Act 2010</i> ? Please Tick ✓ (See Completion notes)				
Protected Characteristic:	Neutral Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification if determining proportionate means of achieving legitimate aims exists
				The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.
Age (People of all ages)	✓			Neither a positive or negative impact has been identified for this protected characteristic The tendering process sets out a requirement for prospective suppliers to agree to comply with the provisions of the Equality Act and not undertake provision of services in such a way as would render it or the Authority in breach of the Act. Furthermore, prospective suppliers are required to provide a copy of their Equality Policy as part of the tendering process.

What impact will the implementation of this proposal have on people who are impacted by and / or local factors that sit outside the Equality Act 2010 (non-legislative). Examples include social economic factors (i.e. poverty and or isolation), caring responsibility, unemployment, homelessness, urbanisation, rurality, health inequalities, any other disadvantage. ✓ (See Completion notes)				
Identified impact non-legislative factor	Neutral Impact:	Positive Impact:	Negative Impact:	Evidence of impact and if applicable, justification if determining proportionate means of achieving legitimate aims exists

This People Impact Analysis was completed by: (Name and Department):Carly Ricco, Procurement, Assets

Action Plan Owner:		Commencement date:		Sign off date:	
As a result of performing this analysis, what actions are proposed to remove or reduce any negative impact of adverse outcomes identified on people (employees, applicants, customers, members of the public etc) who share characteristics protected by <i>The Equality Act 2010</i> or are non-legislative characteristics?					
Action Planning					
Identified Impact Protected Characteristic or local non-legislative factor	Recommended Actions			Responsible Lead	Completion Date for Any Actions Listed
	N/A				

NOTE: People Impact Assessments should be reviewed whenever the policy/project/function that has been assessed, is reviewed

Document quality assured by: *K L Berry, EDI Officer – 14/03/24*.....
(Quality assured by appropriate person, eg EDI Officer, Inclusion & OD Manager)

Completion Notes:	
Analysis Ratings:	<p>The analysis rating is located at the top of the document so that if you have several impact assessments you will be able to determine priority impact status. To assure the assessment determines the rating, the rating should not be determined before the assessment has been completed.</p> <p>Red: As a result of performing this assessment, it is evident a risk of discrimination exists (direct, indirect, unintentional, or otherwise) to one or more of the nine groups of people who share Protected Characteristics (and / or local non-legislative factors). In this instance, it is recommended that the use of the activity or policy be suspended until further work or analysis is performed.</p> <p>If it is considered this risk of discrimination (is objectively justified, and/or the use of this proposal (policy, activity, function) is a proportionate means of achieving a legitimate aim; this should be indicated and further professional advice taken.</p> <p>Amber: As a result of performing this assessment, it is evident a risk of discrimination (as described above) exists and this risk may be removed or reduced by implementing the actions detailed within the <i>Action Planning</i> section of this document.</p> <p>Green: As a result of performing this assessment, no adverse effects on people who share Protected Characteristics and/or local non-legislative factors are identified - no further actions are recommended at this stage. (However, there may still be actions listed in the <i>Action Planning</i> section, reinforcing positive outcomes).</p>
Equality Data:	<p>Equality data is internal or external information that may indicate how the activity or policy being analysed can affect different groups of people who share the nine Protected Characteristics and / or local non-legislative factors. Examples of Equality Data include: (this list is not definitive)</p> <ol style="list-style-type: none"> 1: Application success rates by Equality Groups 2: Complaints by Equality Groups 3: Service usage and withdrawal of services by Equality Groups 4: Grievances or decisions upheld and dismissed by Equality Groups
Legal Status:	<p>This document is designed to assist organisations in “<i>Identifying and eliminating unlawful Discrimination, Harassment and Victimisation</i>” as required by The Equality Act Public Sector Duty 2011.</p> <p>The NFCC/FRSs may be keen to extend “due regard” to local/non-legislative factors such as social economic factors (i.e. poverty and or isolation), caring responsibility, unemployment, homelessness, urbanisation, rurality, health inequalities any other disadvantage. ✓ (See Completion notes). What impact will the implementation of this proposal have on people for which there is no legal requirement? (consider each local non-legislative factor separately).</p> <p>Doing this analysis may also identify opportunities to <i>foster good relations</i> and <i>advance opportunity</i> between those who share Protected Characteristics and / or local non-legislative factors and those that do not.</p> <p><i>An EqIA is not legally binding and should not be used as a substitute for legal or other professional advice.</i></p>
Objective and/or Proportionate	<p>Certain discrimination may be capable of being defensible if the determining reason is:</p> <ol style="list-style-type: none"> (i) <i>objectively justified</i> (ii) <i>a proportionate means of achieving a legitimate aim</i> of the organisation <p>For <i>objective justification</i>, the determining reason must be a real, objective consideration, and not in itself discriminatory. To be ‘<i>proportionate</i>’ there must be no alternative measures available that would meet the aim without too much difficulty that would avoid such a discriminatory effect. Where (i) and/or (ii) is identified it is recommended that professional (legal) advice is sought prior to completing an People Impact Assessment.</p>

Organisational Impact Assessment

1. Preliminary Questions:			
Policy, Project or Activity:	Policy	Author:	Carly Ricco
Department:	Procurement, Assets	Title:	Procurement Guidelines
New /existing?	Existing	Date:	05/09/2022
Version History			
Version	Date	Description	
V1	19/12/2023	Assessment reviewed in line with policy review (v9) no changes	
2. Information on the Policy, Project or Activity:			
How does the Policy, Project or Activity fit in with our core purpose and strategies?	Legal Obligation. They constitute the Authorities Code of Conduct and Contracting Standing Orders		
3. Are there any implications for the following? If yes, please provide brief description:			
Operational	All employees involved in the purchasing process		
Legal	Legality		
Human Resources	All employees involved in the purchasing process		
Training and Development	All employees involved in the purchasing process		
ICT	All employees involved in the purchasing process		
FRA	Compliance		
Resource	All employees involved in the purchasing process		
Service Delivery	All employees involved in the purchasing process		
Consultation with Rep Bodies	All employees involved in the purchasing process		
Corporate Communications	All employees involved in the purchasing process		
Health and Safety	All employees involved in the purchasing process		
Sustainability	All employees involved in the purchasing process		
Partnership Working	All employees involved in the purchasing process		

Other Implications/ Considerations?	N/A
--	-----

4. What are the risks in carrying out / delivering the activity described?

Consider: financial, reputational, environmental, health and safety, information management etc.
 N.B. Please make your SLB member aware of any significant risks for elevation to their Risk Register.

No.	Risk	Risk			Potential control measures	Residual Risk			Outstanding exposures
		Likelihood	Impact	Risk Score		Likelihood	Impact	Risk Score	
1	Reputational	2	5	10	Procurement Regulations	2	2	4	Transparency
2	Financial	3	3	9	Register of Staff Interests	4	3	12	Supplier financial viability
3	Commercial Information	3	3	9	Register of Personal Interest	3	3	9	Register of Staff Interests

Please use the matrix below to assess likelihood and impact:

IMPACT	Severe (5)	5	10	15	20	25
	Major (4)	4	8	12	16	20
	Moderate (3)	3	6	9	12	15
	Minor (2)	2	4	6	8	10
	Minimal (1)	1	2	3	4	5
		Low (1)	Low/ Medium (2)	Medium (3)	Medium/ High (4)	High (5)
	LIKELIHOOD					

5. Data Protection

A Data Protection Impact Assessment (DPIA) will assist in identifying and managing any project privacy implications and risks; for example, when making significant changes to existing practice, when developing a new project or when changing suppliers or processors.

The Screening Questions below are intended to help identify whether a DPIA is required. Answering 'Yes' to any of these questions indicates that a DPIA is necessary.

Screening Questions	Yes/No
Will the policy, project or activity involve the collection of new information about individuals?	<p>Will be depend on the nature of the procurement. Each are assessed on an individual basis.</p>
Will the policy, project or activity compel individuals to provide information about them?	
Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	
Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	
Does the policy, project or activity involve you using new technology that might be perceived as being privacy intrusive? For example, recording images, biometrics or facial recognition.	
Will the policy, project or activity result in your making decisions or taking action against individuals in ways that can have a significant impact on them?	
Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be private.	
Will the policy, project or activity require you to contact individuals in ways that they may find intrusive?	

You will find a DPIA template and guidance notes on the Information Governance SharePoint page. Follow the link and click on 'DPIA Instruction' - [Information Governance](#).

If you require any assistance in completing the data protection impact assessment or need further guidance, contact the Information Governance Officer in Legal Services on informationrequests@hwfire.org.uk