	<p align="center">Standard Operating Procedure:</p> <p align="center">Procurements and grants - Planning, Launch, Evaluation, Award and Implementation</p>
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Scope	EFSA activities related to planning, launching, evaluating and awarding EFSA grants and procurement calls and managing the resulting agreements/contracts.
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Special Requirements	This procedure is a controlled document maintained by Quality Management. It may not be deleted without comparable controls.
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Responsibilities	<ol style="list-style-type: none"> Preparing the Annual & Multi-Annual EFSA Grants & Procurement Plan: Finance Unit Procurement Team, Units, DBC, GPS, 4D, JSM, Management Team, Management Board. Changes to the Annual EFSA Grants & Procurement Plan during implementation: Unit, Finance Unit Procurement Team, DBC/GPS, HoD, 4D. Launching the call: Project Officer, Unit, Finance Unit Procurement Team, Authorising Officer. Evaluating the tenders: Unit, Finance Unit Procurement Team, Opening and Evaluation Committees, PPC, Authorising Officer. Managing the signed contract: Project officer, Unit, Finance Unit Procurement Team, Authorising Officer.
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Abbreviations and definitions:


ENCO	Engagement and Cooperation
AO	Authorising Officer
APP	Annual Grants and Procurements Plan
CII	CII is an IT tool developed by EFSA to capture all the necessary data generated during the various grant/procurement calls and during the implementation of signed agreements/contracts.
CMT	Contract Management Team
CO	Contract Officer (ideally PO and CO shall be the same person)
DBC/GPS	Department Business Control office/ Global Performance Services
ED	Executive Director
Evaluation Committee	A committee established to provide to Authorising Officer an advisory opinion on to whom to award the contract.
JSM	Joint Science Meeting
LA	Legal and Assurance Services Unit
Opening Committee	A committee established to verify if the received tenders comply with the submission requirements.
PCO	Project Coordination Office
PO	Project Officer (ideally PO and CO shall be the same person)
PPC	Public Procurement Committee
PT	Finance Unit Procurement Team

	<p align="center">Standard Operating Procedure:</p> <p align="center">Procurements and grants - Planning, Launch, Evaluation, Award and Implementation</p>
Public	


RAW	Risk Assessment Workflow
4D	Meeting of 4 Heads of Departments

Procedure:


	Previous SOPs in the process: n/a
Step 1	1.0 Preparing the Annual Procurement Plan for year n
<ul style="list-style-type: none"> • Unit • PT • GPS 	<p>1.1 Between May and July of year n-1, PT, in liaison with GPS, and assisted as necessary by DBC, prepares, the draft annual procurement plan (APP) for year n and n+1, including reflecting the experience gathered in line with point 5.12.</p> <p>1.2 In May-June of year n-1 PT, in liaison with GPS, and assisted as necessary by DBC prepares the presentation of the draft science APP to JSM for discussion in its meeting in June-July of year n-1.</p> <p>1.3 By September-October of year n-1, PT and GPS facilitate the prioritisation exercise using the agreed prioritisation criteria.</p> <p>1.4 By mid-October of year n-1, ENCO & SCER, supported by PT and GPS, arrange for the consultation on the draft science APP for year n with relevant stakeholders (e.g. Advisory Forum, Scientific Committee and sister EU agencies).</p> <p>1.5 By mid Nov n-1, GPS, with support by PT for financing decision elements, and in line with SOP_004_M, reflects APP for year n and draft APP n+1 into documents for EFSA Management Board approval.</p> <p>1.6 By end Nov n-1 GPS submits the plan for EFSA Management Board approval.</p> <p>1.7 EFSA Management Board approves APP for year n and draft APP n+1 as part of the broader package of programming documents, in its meeting taking place mid Dec n-1.</p> <p>1.8 By end Dec n-1 PT inserts adopted APP into CII and publishes it on EFSA website</p> <p>1.9 PT reports on the execution of APP.</p>
Step 2	2.0 Changes to the Annual Procurement Plan during its implementation
<ul style="list-style-type: none"> • Unit • PT • DBC 	<p>2.1 The Units can request changes to APP during the course of year n.</p> <p>2.2 PT and GPS, and assisted as necessary by DBC, facilitate the prioritisation exercise using the agreed prioritisation criteria.</p> <p>2.3 PT provides expert advice on proposed changes, in line with EU FR framework.</p> <p>2.4 Following HoD approval, PT updates the APP and CII.</p> <p>2.5 GPS proceeds with the budget transfers according to the request for change process.</p>
Step 3	3.0 Preparing and launching the call

	<p align="center">Standard Operating Procedure:</p> <p align="center">Procurements and grants - Planning, Launch, Evaluation, Award and Implementation</p>
Public	

<ul style="list-style-type: none"> • PO • Unit • PT • AO 	<p>3.1 Having complied with the rules for RAW registration and PCO procedures (refer to SOP_001_S for related rules) PT meets with PO to kick off the tender preparation, by 5th day of the month preceding the planned launch month.</p> <p>3.2 PO drafts the technical specifications, selection and award criteria, and the financial offers matrix, by 5th day of the planned launch month. PT provides expert advice in this phase.</p> <p>3.3 PO proposes to AO the evaluation committee members.</p> <p>3.4 PT finalises the procurement documents and arranges the circulation of the launching file, by 15th day of the planned launch month.</p> <p>3.5 AO decides on the call to be launched and on composition of evaluation committee, by 20th day of the planned launch month.</p> <p>3.6 Once the call is endorsed by AO, PT proceeds to launch the call including the required publicity, by the end of the planned launch month.</p> <p>3.7 PT informs PO and DBC on the launched call.</p> <p>3.8 PT deals with clarification requests received from potential tenderers, where required consulting PO, Unit or LA (only upon advice of PT).</p> <p>3.9 PT is responsible for inserting data in the CII and saving data in DMS.</p>
Step 4	4.0 Evaluating the tenders
<ul style="list-style-type: none"> • PT • Evaluation committee • PPC • AO • PO 	<p>4.1 PT carries out the opening of offers and related record.</p> <p>4.2 Evaluation Committees carry out the evaluation of received offers, by 3 weeks since the deadline for tenders.</p> <p>4.3 PT provides expert advice during the evaluation in particular to boost transparency and equal treatment of the offers assessment.</p> <p>4.4 Evaluation Committee can raise the clarifications with the tenderers. PT takes care of administration of clarifications and replies.</p> <p>4.5 Evaluation committee drafts the evaluation minutes, by 5 weeks since the deadline for tenders.</p> <p>4.6 PT carries out expert verification of the minutes in line with procurement principles, in 3 days since having received the draft.</p> <p>4.7 Where applicable, PT sends the file to PPC in 2 days since minutes being finalised.</p> <p>4.8 PPC analyses the file, focusing on regularity and legality of the procedure followed, and issues an opinion on the file, in 5 days since having received the PPC file.</p> <p>4.9 PT prepares the award file (award decision, feedback letters, contract) and initiates the budget commitment where relevant, in 2 days since having received the positive PPC opinion or from end 4.6 if PPC not applicable.</p>

	<p align="center">Standard Operating Procedure:</p> <p align="center">Procurements and grants - Planning, Launch, Evaluation, Award and Implementation</p>
Public	

	<p>4.10 Financial verifying agent verifies the budget commitment, in 2 days since having received the transaction.</p> <p>4.11 AO signs the award decision, feedback letters and the budget commitment where relevant.</p> <p>4.12 Once the contract signed by the contractor is received, where applicable, PT verifies if the requested evidences for exclusion and selection criteria were submitted and then submits the contract to AO for signature, in 2 days since having received the information.</p> <p>4.13 AO signs the contract.</p> <p>4.14 PT informs PO, and DBC on the signed contract and advises on the main guiding principles for the proper contract management.</p> <p>4.15 PT is responsible for inserting data in the CII and saving data in DMS and arranging the required award publicity.</p>
Step 5	5.0 Managing the contracts
<ul style="list-style-type: none"> • CO • CMT • HoU • AO 	<p>5.1 HoU operationally responsible for the contract must appoint a leading CO for the contract in question and inform PT on it. CO shall normally be the staff member leading the preparation and evaluation of the call for tenders, but not necessarily. These figures must be known by the time of contract signature, and inserted into CII by CMT.</p> <p>5.2 In case of inter-institutional FWC being signed by other EU institutions/agencies the following information sharing procedure applies:</p> <ul style="list-style-type: none"> ○ PT informs relevant HoU on the signed contract and main type of purchases possible to execute. ○ CO and PT study the relevant elements of the contract, in particular the scope (CO) and ordering / payment process (PT) and present the outcome of their analysis to relevant EFSA staff, this being Unit concerned, several units, or all EFSA staff, depending on the nature of the contract. <p>5.3 Following point 5.1: CO must invite to the eventual contract kick off meeting PT representative.</p> <p>5.4 PT takes active part at kick off meeting organised by PO, and provides advice on main aspects of contract management in line with the agreed guidance shared ahead with CO.</p> <p>5.5 CO manages the operational side of the contract, actively and closely monitoring its execution and follows up on any operational issues arisen in the contract management.</p> <p>5.6 The HoU approves interim, final deliverables and publication by the deadlines as indicated in the contract and escalates any sensitive issues (approval and publication) to the HoD. The HoU can sub-delegate the approval of interim deliverables to the PO.</p> <p>5.7 CO contacts PT for both expert and administrative support in case of low quality issues, deliverable delays combined with low quality</p>

	<p align="center">Standard Operating Procedure:</p> <p align="center">Procurements and grants - Planning, Launch, Evaluation, Award and Implementation</p>
<p>Public</p>	

	<p>issues or amendments. On specific legal issues LA is consulted (only upon advice of PT). PT takes care of application of liquidated damages in case of late submission of deliverables not combined with low quality (calculates price reduction and manages the related communication).</p> <p>5.8 PT manages the financial and administration side of the contract, managing the initiation of commitments/de-commitments in 3 working days after having received the complete request from the units or PT, preparing specific contracts, order forms under FWCs, purchase orders for low value transactions and after the approval of the AO informing and liaising both with suppliers and CO; registering invoices in 2 working days upon receipt from the contractor; managing payments and updating CII payment forecast.</p> <p>5.9 PT provides expert guidance on complex contract management issues reported to it by PO, in 5 days since request arrived. PT also arranges the administration of those issues, such as drafting amendments and arranging the necessary files.</p> <p>5.10 Payments are verified by Financial verifying agent in 2 days since having received the transaction, authorised by AO and executed by the accountant.</p> <p>5.11 PT is responsible for inserting data in the CII and saving data in DMS.</p> <p>5.12 PT puts in place a system whereby the experience from running signed contracts is systematically gathered and used for further improving purchasing activities at EFSA in Step 1.</p>
	<p>Following SOPs in the process: n/a</p>