

New Consultancy Processes, Roles & Responsibilities – March 20



Trigger	Action	Responsibility
STAGE 1: CONSULTANCY CONTROL FORM / BUSINESS CASE		
Identified need for the engagement of an expert / professional:	The appointing officer will need to consider whether this engagement meets the new definition of a 'Consultancy' engagement (available on the 'Collaborative Procurement Service' pages of the Infonet).	Appointing Officer
Engagement meets the definition of 'Consultancy':	<p>If the engagement meets the definition of a consultancy engagement the Appointing Officer completes the first section of the 'Consultancy Control Form' template to assess the need and specify the requirements for the engagement.</p> <p>Consultancy Control Form templates must be completed for all proposed consultancy engagements, including those on Matrix.</p> <p>The Consultancy Control Form template can be found on the 'Collaborative Procurement Service' pages of the Infonet.</p>	Appointing Officer
Approval of Consultancy Control Form:	Consultancy Control Form signed off by the Chief Officer within the service.	Appointing Officer / Chief Officer
	If the Consultancy Control Form shows an expected cost of £25,000 or more the Control Form <u>must</u> also go to the Chief Executive for approval in principle.	Chief Officer / Chief Executive
Retention of hard copy:	<p>The Appointing Officer retains the original Consultancy Control Form document with Section 1 completed.</p> <p>An electronic copy of the Consultancy Control Form, with Section 1 fully completed must be forwarded to Andy Argyle / Lisa Price in the Procurement team.</p>	Appointing Officer

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STAGE 2: APPOINTMENT OF CONSULTANT		
Appointing Officer goes through the relevant procurement process to appoint the consultant:	Once the proposed spend has been fully approved, the Appointing Officer <u>must</u> contact Procurement (Andy Argyle ext. 1814 / Lisa Price ext. 1817) to discuss the procurement route to be used.	Appointing Officer / Procurement
	All consultancy contracts <u>must</u> be awarded in accordance with the Authority's Contract Procedure Rules.	Appointing Officer / Procurement
	Once the consultant has been engaged the Appointing Officer is required to update Section 2 of the Consultancy Control Form to reflect the details of the appointment (name of the Consultant, agreed price, etc.).	Appointing Officer
Order raised on P2P following the engagement of the consultant:	Appointing officer raises an up-front Purchase Order on P2P for the approved total value of the engagement (as detailed in the Consultancy Control Form). The P2P order must be raised on the 'Consultancy Order Template' within the P2P system. Orders must be raised on P2P <u>before</u> the contract commences.	P2P User (Order Originator)
	The 'type of supply' / 'Item' selected against the P2P order <u>must</u> show that this is consultancy spend.	P2P User (Order Originator)
	The detailed code used for the order <u>must</u> be one of the following; 424A – Retained Consultants or 424B – Project Consultant A description of each of the detailed codes is given in the new consultancy definition, available on the	P2P User (Order Originator)

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	An electronic copy of the Consultancy Control Form, approved by the relevant Chief Officer (and approved by the Chief Executive if the appointment is for £25k and over) <u>must</u> be attached to the consultancy order template on P2P to support the Purchase Order raised.	P2P User (Order Originator) & Appointing Officer
Retention of hard copy:	The Appointing Officer retains the original Consultancy Control Form with Sections 1 & 2 completed.	Appointing Officer
P2P Order verified by Procurement:	<p>If the P2P Purchase Order shows the 'type of supply' / 'Item' as;</p> <ul style="list-style-type: none"> • Business & Management Consultants; • HR Consultants; or, • Project Management consultants <p>The Purchase Order will be work flowed to the Procurement team for validation of the order.</p> <p>Procurement will check the Purchase Order to ensure;</p> <ul style="list-style-type: none"> • The correct 'supply type' (PC code) has been selected for the order; • The correct detailed code has been used for the order; • A completed Consultancy Control Form has been provided to support the order. 	Procurement
	P2P users should recognise that the verification of P2P Purchase Orders for consultancy spend will invariably lead to some delay in the approval of the purchase order, and as such should allow additional time for the order verification and approval process.	P2P User / Procurement
P2P order is approved by the Budget Holder for the cost centre:	Once the Purchase Order has been validated by Procurement it will follow the normal authorisation rule for the cost centre against which it has been raised (i.e. the order will go to the relevant budget holder for approval of the spend).	P2P Authorising Officer

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Reporting to Programme Boards:	All consultancy engagements must be reported to one of the 6 Corporate Programme Boards (Chief Officers are responsible for determining which is the most appropriate Programme Board).	Chief Officers
Order amendments / extensions to contracts:	If significant amendments are made to order values (e.g. extension of contract) this must be supported by a new Consultancy Control Form, which must be signed off by the relevant Chief Officer or the Chief Executive as appropriate (based on the value of the additional work).	Appointing Officer / Procurement
Ongoing monitoring of the engagement:	There should be ongoing contract monitoring throughout the engagement as detailed in the 'Contract Monitoring' boxes within Section 1 of the Consultancy Control Form.	Appointing Officer
STAGE 3: POST ASSIGNMENT REVIEW		
Review carried out at the end of the engagement:	<p>At the end of the project the Appointing Officer <u>must</u> complete Section 3 of the Consultancy Control Form (Post Assignment Review).</p> <p>The Post Assignment Review is completed;</p> <ul style="list-style-type: none"> • To determine whether the project objectives have been met; • To ascertain whether expected benefits have been achieved; • To identify any lessons learnt for future projects. 	Appointing Officer
	<p>An electronic copy of the completed Post Assignment Review must be forwarded to the Procurement team (Andy Argyle / Lisa Price).</p> <p>The Procurement team will monitor receipt of Post Assignment reviews based on the project completion date included in the Consultancy Control Form.</p>	Appointing Officer / Procurement
Retention of hard copy:	The Appointing Officer retains the original Consultancy Control Form with Sections 1, 2 & 3 completed.	Appointing Officer

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	Completed hard copy Consultancy Control Forms must be held for 6 years for review by Internal Audit and other cost management and monitoring purposes.	Appointing Officer
Monitoring of new processes:	Finance will review spend on the general ledger every quarter to ensure consultancy costs have been appropriately coded.	Finance
	Internal Audit will carry out periodic reviews of consultancy spend to ensure the accuracy of figures on the general ledger and compliance with the new processes and procedures.	Internal Audit
	Procurement will maintain a file of all authorised Consultancy Control Forms to ensure compliance with the new processes and Contract Procedure Rules.	Procurement

Job Roles:

Appointing Officer:	<i>The officer responsible for identifying the need for the consultant, and for procuring that consultant.</i>	P2P Authorising Officer:	<i>The officer responsible for authorising the purchase order on the P2P system (usually the Budget Holder).</i>
P2P User (Order Originator):	<i>The person responsible for raising the Purchase Order on the P2P system.</i>		