

## Section 6 - Contract Procedure Rules

Whole contract period total Value Excluding VAT *	Competition Requirements	Advertising and Process	Authority to procure	Authority to award a contract/ appoint contractor (sign/seal)
<b>Low value</b> Below £25,000	Evidence best value	<ul style="list-style-type: none"> <li>• Best value must be demonstrated.               <ul style="list-style-type: none"> <li>○ This might be a comparison of costs for services that you have procured previously and where you understand and can evidence the costs.</li> <li>○ Or, where you have been able to compare costs with information published such as catalogues or framework pricing.</li> </ul> </li> <li>• Consider local suppliers and/or local voluntary, charity and social enterprise (VCSE) sector interest.</li> <li>• Otherwise, identify at least three suppliers to obtain a simple quote.</li> <li>• The procurement process can be undertaken outside of the council's e-tendering portal.</li> </ul> <p>Where the opportunity is above £25,000 you must publish a contract award notice on Central government's Contracts Finder.</p>	Director's delegated authority under Scheme of Delegation	<p><b>Operational decisions-</b> Only service director or above are authorised to award and sign a contract.</p> <p><b>Key Decisions:</b> Only service director or above are authorised to award and sign a contract, subject to approval or specific delegation by cabinet/cabinet member.</p>
<b>Medium Value</b> £25,001 to £75,000	4 quote process	<ul style="list-style-type: none"> <li>• A minimum of 4 competitive quotes sought from appropriately qualified and competent suppliers.</li> <li>• Include at least two suppliers within the county and/or local VCSE and /or SME sector interest where appropriate.</li> <li>• Where 4 suppliers cannot be identified, the opportunity must be:               <ul style="list-style-type: none"> <li>○ Openly advertised using the councils e-tendering portal <b>or</b></li> <li>○ Procured via a compliantly let framework agreement.</li> <li>○ The procurement process for both scenarios must be undertaken using the council's e-tendering portal, unless another method has been approved by commercial services.</li> </ul> </li> <li>• Where the opportunity is advertised, adverts shall include as a minimum:               <ul style="list-style-type: none"> <li>○ Date and time response to be received by the Council</li> <li>○ How and to whom the supplier must respond</li> <li>○ Any requirements for participating in the procurement</li> </ul> </li> <li>• Where the opportunity is being openly advertised and is above £25,000, the opportunity must also be advertised on Central government's Contracts Finder.</li> <li>• Where adverts are placed on Contract Finder they must include unrestricted and full direct internet access to relevant contract</li> </ul>	Director's as per delegated authority under Scheme of Delegation and FPR authorised spend levels	<p>All amounts exclude VAT.</p> <p>The following must be sealed by the council: contracts above the key decision value (£500,000);</p> <p>all building and works-related contracts; and, other high risk contracts (as advised by Legal Services) where a longer</p>

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		<p>documents free of charge when the advert is placed.</p> <ul style="list-style-type: none"> <li>The opportunity must be advertised for a minimum of 15 working days.</li> <li>Advertising in trade journals and other local publications if appropriate (recommended).</li> </ul> <p>Where the opportunity is above £25,000 you must publish a contract award notice on Central government's Contracts Finder.</p>		<p>limitation period of 12 years is required. decision value (£500,000);</p>
<p><b>High Value</b> £75,001 to:</p> <ul style="list-style-type: none"> <li>£179,087 (goods and services £214,904 Incl VAT)</li> <li>£4,477,174 (works £5,372,609 Incl VAT)</li> </ul> <p>£552,950 (light touch regime for health/ social services £663,540 Incl VAT)</p>	<p>Open tendering</p>	<ul style="list-style-type: none"> <li>Open tendering procedures must be followed.</li> <li>The opportunity must be advertised using the invitation to tender template to the open market <b>or</b></li> <li>Make the purchase via a compliantly let framework agreement.</li> <li>The procurement process must be undertaken using the council's e-tendering portal, unless another method has been approved by Commercial Services.</li> <li>The opportunity must also be advertised on Central government's Contracts Finder. Adverts place on Contract Finder must include unrestricted and full direct internet access to relevant contract documents free of charge when the advert is placed.</li> <li>Where the opportunity is above £25,000 you must publish a contract award notice on Central government's Contracts Finder.</li> <li>The opportunity must be advertised for a minimum of 15 working days.</li> </ul> <p>The Authorised Officer shall consult Commercial Services early to determine the procedure for conducting the procurement exercise.</p>		
<p><b>Above UK Threshold.</b> Over:</p> <ul style="list-style-type: none"> <li>£179,087 (goods and services £214,904 Incl VAT)</li> <li>£4,477,174 (works £5,372,609 Incl VAT)</li> </ul>	<p>Use UK compliant procedures</p>	<ul style="list-style-type: none"> <li>Open tendering procedures must be followed, <b>or</b></li> <li>Make the purchase via a compliantly let framework agreement.</li> <li>The procurement process must be undertaken using the council's e-tendering portal, unless another method has been approved by Commercial Services.</li> <li>The opportunity must also be advertised on Central government's Contracts Finder and the UK Find a Tender service (FTS). Contract award notices must also be published on these portals.</li> <li>Adverts placed on Contract Finder and the UK Find a Tender Services (FTS) must include unrestricted and full direct internet</li> </ul>	<p>Procurement that is above the key decision value (£500,000) must be subject to approval by cabinet/cabinet member.</p>	

Part 4 – Procedure Rules - Updated: February 2024

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£552,950 (light touch regime for health/ social services £663,540 Incl VAT)		access to relevant contract documents free of charge when the adverts is placed. <ul style="list-style-type: none"> <li>• The opportunity must be advertised for the periods set out in the Public Contract Regulations 2015.</li> <li>• Produce a procurement summary report in accordance with regulation 84 of the Public Contract Regulations 2015</li> <li>• Consult Commercial Services Team early to determine the procedure for conducting the procurement exercise.</li> <li>• Seek advice and support from Commercial Services before progressing the procurement.</li> </ul>		
<b><u>Light Touch Regime</u></b>	Use UK compliant Light Touch procedures	<ul style="list-style-type: none"> <li>• Contracts involving the following supplies and services are subject to a 'light touch' regime if the value of the contract is above the UK Threshold;               <ul style="list-style-type: none"> <li>○ Health, social and related services (unless included in the Health Care Services (Provider Selection Regime) Regulations 2023)</li> <li>○ Administrative social, educational, healthcare and cultural services</li> <li>○ Compulsory social security services</li> <li>○ Benefit services</li> <li>○ Other community, social and personal services including services furnished by trade unions, political organisations, youth associations and other 9 membership organisation services</li> <li>○ Legal services</li> <li>○ Other administrative services and government services</li> <li>○ Provision of services to the community</li> <li>○ Prison related services, public security and rescue services</li> <li>○ Investigation and security services</li> <li>○ International services</li> <li>○ Postal services</li> <li>○ Miscellaneous services listed in schedule 3 of the Public Contracts Regulations 2015</li> </ul> </li> <li>• Advice must be sought from Commercial Services before undertaking a light touch regime procurement.</li> </ul>		

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<p><b>Health Care Services</b> (including mixed procurements where at least 50% of the services fall with these regulations.)</p>	<p>Compliant process under the Health Care Services (Provider Selection Regime) Regulations 2023</p>	<p><b>Procurement Processes:</b> The Health Care Services (Provider Selection Regime) Regulations 2023 provides three processes for procuring applicable healthcare services. (Applicable CPV codes are listed in Schedule 1 of the Health Care Services (Provider Selection Regime) Regulations 2023:</p> <ul style="list-style-type: none"> <li>• <b>Direct Award Process:</b> <ul style="list-style-type: none"> <li>○ <b>Direct Award Process A (one capable provider): must be used</b> where there is an existing provider for the healthcare services and the council assesses and can evidence that there is <b>only</b> one capable provider. Publish a notice of the award.</li> <li>○ <b>Direct Award Process B (patient choice): must be used</b> when patients have the freedom to choose their provider and the number of providers is not restricted by the council. Publish a notice of the award.</li> <li>○ <b>Direct Award Process C (incumbent extension): may be used</b> when the council is not required to follow direct award processes A or B, can assess and evidence the existing provider is satisfying its existing contract, has the ability to satisfy the new contract, and the proposed new contract has no considerable changes. Publish a notice of intention to make an award to the existing provider. After the standstill period, the contract is awarded and a notice of the award is published.</li> </ul> </li> <li>• <b>Most Suitable Provider Process:</b> This process involves awarding a contract to a provider without running a competitive process because the council can identify the most suitable provider. It may be used when all of the following apply: <ul style="list-style-type: none"> <li>○ the council is not required to follow direct award processes A or B</li> </ul> </li> </ul>		

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		<ul style="list-style-type: none"> <li>○ the council cannot or does not wish to follow direct award process C</li> <li>○ the council is of the view, taking into account likely providers and all relevant information available to the relevant authority at the time, that it is likely to be able to identify the most suitable provider (without running a competitive process). The council submits a notice of intention to follow this process and identifies potential providers, assesses them based on key criteria, and selects the most suitable provider. After the standstill period, the contract is awarded and a notice of the award is published.</li> <li>● <b>Competitive Process:</b> involves running a competitive process to award a contract. The competitive process must be used when all of the following apply: <ul style="list-style-type: none"> <li>○ the council is not required to follow direct award processes A or B</li> <li>○ the council cannot or does not wish to follow direct award process C, and cannot or does not wish to follow the most suitable provider process.</li> </ul> <p>The council determines the criteria, invites offers from providers, assesses the offers, and makes a decision on the successful provider. After the standstill period, the contract is awarded and a notice of the award is published.</p> </li> <li>● The council must consider five key criteria when applying direct award process C, the most suitable provider process or the competitive process. These are: <ul style="list-style-type: none"> <li>○ quality and innovation</li> <li>○ value</li> <li>○ integration, collaboration and service sustainability</li> <li>○ improving access, reducing health inequalities and facilitating choice</li> <li>○ social value.</li> </ul> </li> </ul>		

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		<ul style="list-style-type: none"> <li>Framework agreements can only be concluded using the competitive process.</li> <li>For all three processes, officers must keep records of their assessments, decision making process, and decisions made,</li> </ul> <p>Where the Health Care Service required is outside of the scope for these regulations then the Public Contract Regulations 2015 must be followed where appropriate.</p>		
<b><u>Concessions</u></b>	Use UK compliant procedures under the Concession Contracts Regulations 2016	<p>A concession contract is an agreement where Suppliers are given the right to exploit works or services provided for their own gain. Suppliers can either receive consideration for their services:</p> <ul style="list-style-type: none"> <li>solely through third party sources or</li> <li>partly through payment from the council along with income received from third parties e.g. a services Concession is where a Supplier has a contract to manage the council's subsidised catering services for its staff.</li> </ul> <p>The risk in the concession making a profit is with the supplier and not the council.</p> <p>Advice must be sought from Commercial Services before undertaking a concessions procurement</p>		
<b><u>Creating new Framework Agreements</u></b>	<b><u>New framework</u></b> Use one of the above procedures relative to the framework type and value.	<p>The opportunity must be advertised and undertaken utilising the council's e-tendering portal. The opportunity should also be advertised using:</p> <ul style="list-style-type: none"> <li>FTS advert and contract award notice (where above UK threshold); and,</li> <li>Central government's Contracts Finder (mandatory); or,</li> <li>Make the purchase via a compliantly let framework agreement.</li> <li>You must follow the procedure set out in the framework agreement for direct awards and mini competitions.</li> <li>The Authorised Officer shall consult Commercial Services early to determine the procedure for conducting the procurement exercise.</li> </ul>		New frameworks must be sealed by the council

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## INTRODUCTION

### What are Contract Procedure Rules?

- 4.6.1 The Contract Procedure Rules (CPRs), the Procurement and Commissioning Strategy, the Contracting Toolkit and the Contract Management Framework together with the Public Contract Regulation 2015, the Concession Contracts Regulations 2016 and the Health Care Services (Provider Selection Regime) Regulations 2023 provide the framework for procurement activity across the council, setting out how contracts for goods, works, services and utilities should be put in place and managed, and detailing the record keeping and reporting requirements related to procurement activity. They apply to all officers and elected members across the council.
- 4.6.2 The CPRs should not be seen in isolation, but rather as part of the overall regulatory framework of the council as set out in the Constitution.

### Why are CPRs needed?

- 4.6.3 The Local Government Act 1972 requires the council to have standing orders for how it enters into contracts. These CPRs are the standing orders required by the 1972 Act. They form part of the council's Constitution and are, in effect, the instructions of the council to officers and elected members for entering into contracts on behalf of the council. In acting on behalf of the council, officers must also have regard to any guidance and procedures issued to support compliance with CPRs.
- 4.6.4 The council is under a legal duty to promote Best Value and to consider the Public Services (Social Value) Act 2012 and the Public Sector Equality Duty and every officer engaged in the letting of contracts shall have regard to these duties and associated council policies. Where compliance with these duties contradicts the requirements of any statutory legislation or specific best practice guidance, the views of legal and commercial services teams must be obtained.
- 4.6.5 The CPRs apply to all contracts for the supply of works, goods, services, consultancy, utilities and concessions to the council, regardless of value. Maintained schools, and the council where it acts on a school's behalf, must comply with these CPR when procuring contracts.
- 4.6.6 It is important to respect confidentiality during all stages of the formal tendering process. Officers must not disclose any information they have about potential suppliers to other persons/suppliers potentially competing for the same contract.
- 4.6.7 The CPRs do not apply to:
- (a) The acquisition, disposal, or transfer of land (including leasehold interests) for which the financial regulations applies except where services or works are required by the council as part of the land transaction. e.g. development agreements. Note that this does not apply to any external professional services linked to the purchase or sale.
  - (b) Contracts of employment for the appointment of individual members of staff, including members of staff sourced through employment agencies under a corporate contract.
  - (c) Grant agreements
  - (d) Sponsorship agreements regulated by the sponsorship rules.
  - (e) Supply of works, goods and services by the council to a third party. However, the Solicitor to the council must be consulted where the council is contemplating this route.
  - (f) Contracts procured in collaboration with other local authorities where the council is not

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the lead authority (subject to the necessary approvals having been obtained from the appropriate decision maker at the council). The CPRs of the lead authority shall apply. Assurance should be sought that the lead authority is in compliance with its own contract procedure rules and the Public Contract Regulations 2015

- (g) Purchases made at public auction
- (h) Contracts relating to the placement of deposits or raising loans under the Financial Procedure Rules.

### **Authority to conduct procurement activity**

4.6.8 The authority for an officer to undertake;

- (a) a procurement;
- (b) award a contract;
- (c) extend or vary a contract;
- (d) terminate a contract during a contract period (early contract termination).

is provided by either of the following;

- (a) scheme of delegation either as an operational or non-key executive decision,
- (b) any key or non-key executive decision for example through a Council, Cabinet or Cabinet member decision.

### **Basic principles**

4.6.9 All procurement procedures must:

- (a) Realise value for money by seeking to achieve the optimum combination of whole life costs and quality of outcome,
- (b) Be consistent with the highest standards of integrity,
- (c) Operate in a transparent manner, ensuring fairness and equal treatment in evaluating tenders and allocation of public contracts,
- (d) Support all relevant council priorities and policies including the Medium Term Financial Plan,
- (e) Comply with the Council's Procurement and Commissioning Strategy and the Social Value Statement, and:
- (f) Comply with all legislative requirements including the Human Rights Act 1998 and the Equality Act 2010
- (g) Comply with the Public Contract Regulations (2015) Procurement Principles, which are as follows:
  - i. transparency - contract procedures must be transparent and contract opportunities should generally be publicised;
  - ii. equal treatment and non-discrimination - potential suppliers must be treated equally;
  - iii. proportionality - procurement procedures and decisions must be proportionate;



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iv. – procurement procedures must be designed in a manner that does not intentionally seek to exclude it from the rules

(h) Be funded through the allocation of an appropriately established budget or external grant funding.

4.6.10 These Rules shall be applied to the contracting activities of any partnership for which the council is the accountable body unless the council expressly agrees otherwise.

4.6.11 All members and officers<sup>1</sup> of the council must disclose any conflict of interest that they may have relating to a procurement or a contract to which these rules relate and in which they are acting on behalf of the council. If any member or officer has such an interest, they may be excluded from taking any further part in the procurement process and must ensure that they comply with Part 5 (the codes and guidance) of the constitution. If there is any risk of a perception of a conflict of interests, then the relevant Director will decide how serious that risk is and decide whether that person should continue to take part in the procurement.

4.6.12 Where contracting a consultant which does not fall inside the IR35 regulations (i.e. be considered an employee for tax and NI purposes); or the consultant is not filling an established post, CPRs must be complied with. Any ambiguity on whether a contract is an employment contract or a consultancy contract covered by these rules should be referred to HR Services.

### **Operational or non-key executive decisions**

4.6.13 Where the scheme of delegation provides the authority and in accordance with financial procedure rules:

- (a) Officers as authorised by managers who report to Heads of Service may commence a procurement activity for total aggregate contract value up to £25,000.
- (b) Heads of service (as defined by head of service pay grades) may authorise commencement of a procurement activity for total aggregate contract value up to £250,000.
- (c) Service Directors, Directors or the Chief Executive (as defined by the requisite pay grade) may authorise commencement of a procurement activity for total aggregate contract value up to £500,000.
- (d) Commencement of a procurement activity in excess of £500,000 must be authorised by Directors or the Chief Executive (as defined by the requisite pay grade) and in accordance with 4.6.14.

4.6.14 Where an award of a contract is above £50,000, a Record of Operational decision (RoOD) and/or Key Decision dependent on value will be required and will need to be published, including the financial amount in the decision / recommendation. Additionally, a decision will be required for procurements of contracts jointly with one or more other contracting authorities.

### **Key executive decisions**

4.6.15 Where the authority is to commence a procurement activity, contract variation, contract extension or award a contract which is a key decision taken (for example a capital investments programme decision), the scope of the authority must be set out in the key decision and procurement options considered must be documented as an element of the report.

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<sup>1</sup> Including those contracted to deliver services on the council's behalf.

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## Planning a procurement

- 4.6.16 Sufficient planning time must be built into any procurement activity to allow for adequate pre-tender market engagement /testing where relevant, development of good quality specifications and tender documentation, and a reasonable time for the market to respond to the tender paying due regard to the procurement timescales set out in the Public Contract Regulation 2015, the Concession Contracts Regulations 2016 or the Health Care Services (Provider Selection Regime) Regulations 2023 and/or the Contracting Toolkit or seek advice from Commercial Services. Ensure sufficient time is also allocated to the tender evaluation and due diligence stages of the procurement process.
- 4.6.17 Pre- procurement market testing can be carried out to gauge market interest prior to the issue of an invitation to tender or request for quotation.
- 4.6.18 Prior to carrying out the procurement process an assessment of the total value of the contract must be carried out to determine the competition requirements. The estimated value of a procurement must be based on the total amount the Council as a whole plans to or might spend over the whole duration of the contract, incorporating any potential extension periods, which may be awarded. It must take into account the scope of any anticipated goods, services or works that will be supplied. Where this is not known precisely, a reasonable estimate should be made. Where the procurement is split into the lots, the total cost of all the lots must be included in the valuation. Contracts must not be artificially under or over-estimated or divided into two or more separate contracts where the effect is to avoid the application of the CPR's, the Public Contract Regulations 2015, the Concession Contracts Regulations 2016 or the Health Care Services (Provider Selection Regime) Regulations 2023.
- 4.6.19 When engaging with potential suppliers, the council must not seek or accept technical advice on the preparation of an Invitation to Tender or Quotation from a single supplier, who may have a commercial interest in the procurement opportunity, as this may prejudice the equal treatment of all potential bidding organisations or distort competition and prohibit them from submitting a bid or result in them be excluded from the bidding process. The council may carry out market testing to inform the specification from a number of potential suppliers in the form of a request for information.
- 4.6.20 Wherever it is mutually advantageous to do so, the council may seek to conduct procurements in collaboration with partner organisations. Where shared costs, joint procurements or joint contracting is taking place between collaborating authorities it is advised that an agreement detailing such arrangements is drawn up between the partners. The partners should appoint a lead partner and agree to comply with the lead partner's contract rules as long as they are no less stringent than the council's and comply with the Public Contract Regulations 2015, the Concession Contracts Regulations 2016 or the Health Care Services (Provider Selection Regime) Regulations 2023.
- 4.6.21 All procurements require a tender pack, which as a minimum should include:
- The specification (describing the service you require)
  - A draft copy of the contract terms and conditions (describing what the contract will look like with any successful bidder)
  - An invitation to quote (ITQ) or invitation to tender (ITT) or other document which sets out the tender process, instructions for bidding and the evaluation criteria.
  - Other documents that are relevant to the tender, e.g. plans or drawings, TUPE information, draft property rental/lease agreement, a particular policy or procedure document(s), additional service data or information etc.

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## Specifications and options appraisal

- 4.6.22 At the start of any procurement activity, the Authorised Officer must develop the service specifications and/or existing service designs together with the requisite business case or service plans that identifies at a minimum:
- (a) Why the service is being commissioned; what is the need?
  - (b) The budget available and the length of the proposed contract.
  - (c) Assessment of the risks associated with the procurement and how they can be successfully managed
  - (d) What is the best form of community or service-user engagement or consultation? Consideration should be given to how service users can actively participate in the designing, delivery and quality-monitoring of their service.
  - (e) Which, if any, social value outcomes will be achieved from the commissioning exercise, and how can it contribute towards meeting the council's overall priorities.
  - (f) Alternative options that have been considered.
  - (g) Financial implications.
  - (h) Where the procurement involves a potential change to services provided by the council ensure compliance with the council's duty to consult under Section 3 Local Government Act 1999, the Equality Act 2010.
  - (i) Ensure that the application of the Transfer of Undertaking Protection of Employment Regulations 2006 (TUPE) is considered and obtain advice from Commercial Services or Legal Services before proceeding with inviting tenders or quotes.
  - (j) Identify the contract to be used for the procurement. Seek legal advice from Legal Services at an early stage in the process.
  - (k) Ensure contract management is considered early and mechanisms for monitoring the contract is embedded in the specification and contract
- 4.6.23 The provision of 4.6.20(e) may apply to services contracts, or services together with the purchase or hire of goods or the carrying out of works, where it is proportionate and relevant to do so to enable or facilitate compliance with the duty imposed by section 1 of the Public Services (Social Value) Act 2012.
- 4.6.24 Decisions taken during the procurement process must be clearly documented and show options considered and recommendations to be taken forward.

## Reserving below UK threshold procurements

- 4.6.25 On a case by case basis, procurements below the UK threshold may be reserved:
- (a) By supplier location - this means being able to run a competition and specify that only suppliers located in a geographical area can bid; or
  - (b) By supplier type: For Small and Medium sized Enterprises (SMEs) / Voluntary, Community and Social Enterprises (VCSEs) - this means being able to run a competition and specify that only SMEs and VCSEs can bid.
- 4.6.26 Specific considerations and criterion must be met when using the provision of 4.6.25, therefore Authorised Officers must engage with Commercial Services and/or Legal Services for further guidance and written approval to use this provision. When opting to reserve a procurement by supplier location or supplier type Authorised Officers are required to record the rationale / approval of their decision and keep with other procurement documents.

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## EVALUATION CRITERIA AND STANDARDS

### Evaluation criteria

- 4.6.27 Authorised Officers will use criteria linked to the subject matter of the contract to determine that an offer is the most economically advantageous. This can include:
- 4.6.27.1 Costs: whole life costs including running costs, exit costs, licencing costs, support and maintenance costs;
  - 4.6.27.2 Quality: such as previous experience, environmental characteristics, after-sales service, technical assistance, delivery date, delivery period and period of completion, technical merit, aesthetic and functional characteristics and;
  - 4.6.27.3 Where appropriate, social value considerations.
- 4.6.28 Issues that are important to the council in terms of meeting its corporate objectives can be used to evaluate bids. The criteria can include, for example considering sustainability and environmental characteristics, support for the local economy, or the use of subcontractors. The bidding organisations' approaches to continuous improvement and setting targets for service improvement or future savings could also be included. All criteria must relate to the subject matter of the contract, be set out clearly in the tender documents and be in line with the council's corporate objectives and must be objectively quantifiable and non-discriminatory.
- 4.6.29 Where Authorised Officers intend to carry out site visits, demonstrations, presentations or interviews as part of the evaluation process, this must be made clear in the ITT and include whether this will be scored separately to the tender submission or used to moderate scores. If scored separately, bidders must be informed of the evaluation criteria and weighting in the procurement documents.
- 4.6.30 These criteria can be assessed through either:
- (a) Essential Criteria – assessed on a pass / fail basis, or:
  - (b) Technical Questions – assessed on a scored basis.
- 4.6.31 The procurement documents shall clearly explain the evaluation criteria, making clear how the evaluation criteria specified in the process will be applied, the overall weightings to be attached to each of the high-level criteria, how the high-level criteria are divided into any sub-criteria and the weightings attached to each of those sub-criteria.
- 4.6.32 As part of the evaluation process the council must undertake due diligence checks which seek to determine the commercial stability of the successful bidders to inform the decision to award a contract. In determining the types of due diligence checks to undertake, consideration must be given to market risk, complexity and value of the tender. Depending on the value of the contract and the risk to the council, the check will include at least one or more of the following checks:
- Search on the governments Companies House database
  - A recent credit report on the organisation
  - An assessment of completed financial workbook
  - A recent assessment of fraud

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- 4.6.33 Tenders, quotations or selection questionnaires, which are received after the stated deadline shall be automatically rejected. In exceptional circumstances, Authorised Officers, in consultation with and following the approval of the Head of Strategic Finance, can accept a late tender. The core principle is that tenders should not be rejected if the delay is due to the actions of the council, a third party, or force majeure. If it is decided to accept a late tender, it must be treated in the same way as all other tenders. The full details of the decision to accept the late tender must be recorded. Where only one submission is received and where this submission has arrived late, but is compliant in every other respect, the Head of Strategic Finance may consider the tender for acceptance.
- 4.6.34 An evaluation panel of at least 2 people should be established for the assessment of any qualitative questions in the invitation to quote/tender. The panel should be made up of people with the requisite knowledge and skills relevant to the goods, services or works being procured. Above UK threshold contracts (as determined in the CPRs) shall be evaluated and agreed involving the Commercial Services team and any other officers relevant to the decision making process.
- 4.6.35 Sufficient time should be allocated for the completion of compliance checks, evaluation, moderation, due diligence and governance
- 4.6.36 Bidders can only alter their tenders or quotes after the date specified for their receipt (but before the formal acceptance of the tender or quote), where examination by the Authorised Officers reveals arithmetical errors or discrepancies that affect the tender or quote figure. The bidder shall be given details in writing of such errors or discrepancies and afforded an opportunity of confirming, amending or withdrawing their offer in writing.
- 4.6.37 All other post-tender clarifications shall only be undertaken following consultation with Commercial Services and Legal Services. Any clarifications cannot disclose commercially sensitive information supplied by other bidders.
- 4.6.38 The council shall require bidders to explain the price of costs proposed in the tender where the tender appears to be abnormally low in relation to the works, goods or services.

### **Tender/Quotation acceptance**

- 4.6.39 The council shall only accept a tender and award a contract to the bidder submitting the most economically advantageous tender/quote and within budget
- 4.6.40 For procurements above £25,000 the Authorised Officer shall produce a procurement evaluation report showing:
- a) the subject matter and value of the contract
  - b) the procurement route followed
  - c) the names of the selected and rejected bidders and reasons for their rejection/selection.
  - d) any conflicts of interest detected and subsequent measures taken
  - e) the reasons for deciding not to award a contract/framework agreement/establish a Dynamic Purchasing System (if applicable)
  - f) the result of the assessment of each tender
  - g) comparison of assessment results
  - h) Details of due diligence checks carried out
  - i) the recommendation on which bidder should be awarded the contract detailing the value and term of the contract to be awarded including potential extensions, if applicable.

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- 4.6.41 Written notification to successful and unsuccessful bidders of the outcome of a procurement process, should be provided as soon as practicable and in accordance with the Public Contract Regulations 2015, the Concession Contracts Regulations 2016 or the Health Care Services (Provider Selection Regime) Regulations 2023 via the e-tendering system.
- 4.6.42 For procurements above UK threshold or where the relevant legislation provides for a standstill period, the contract cannot be formally awarded until the bidders have been informed and the mandatory standstill period has elapsed without any challenges arising from the bidders.
- 4.6.43 The successful bidder will not be allowed to commence provisions of the goods, services or works, until a formal written contract has been completed. The Authorised Officer must ensure a completed copy of contract is added to the council's contract register entry.
- 4.6.44 Where necessary the contract award notice must be published on the Find a Tender Service portal within 30 calendar days and on Contracts Finder within 90 calendar days after the contract award date.

#### **Awarding a contract (signature and sealing).**

- 4.6.45 Where the scheme of delegation provides the authority:
- (a) Service Directors and Directors within the relevant directorate (as defined by the requisite pay grade) have authority to award and sign a contract, or authorise Legal Services to sign or where sealing is required in 4.6.46, authorise the sealing of contract, authorise a contract variation/ extension or authorise an early contract termination of a contract value up to £500,000
  - (b) Directors within the relevant directorate (as defined by the requisite pay grade) and the Chief Executive have authority to award and authorise the sealing of a contract, authorise a contract variation/ extension or authorise an early contract termination of a contract value in excess of £500,000, providing authority to award the contract has been obtained by way of a key decision.
- 4.6.46 Contracts can be signed in accordance with 4.6.45, however contracts must be executed as deeds by affixing the common seal of the council in the following circumstances:
- (a) contracts above the key decision value – unless agreed otherwise by Legal Services;
  - (b) new framework agreements;
  - (c) all building and works-related contracts – unless agreed otherwise by Legal Services;
  - (d) where there is no consideration (i.e. money or money's worth) by one party (e.g. grant agreements, where the council is paying a voluntary sum to an organisation but the organisation is not giving anything in return); and,
  - (e) other high risk contracts (as advised by Legal Services) where a longer limitation period of 12 years is required.
- 4.6.47 Before a contract can be sealed by the council, the Authorised Officer must provide Legal Services with the relevant decision to award in writing from the appropriate decision maker. The sealing of the contract by Legal Services is simply affixing the common seal and does not indicate that legal advice has been sought or that Legal Services approve the contract.

Authorised Officers shall ensure that each contract is on one of the council standard contract templates or the terms and conditions or the contract is approved by Legal Services prior to going out to tender/quote.

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## **Bonds and Parent Company Guarantees**

- 4.6.48 A Bond or Parent Company Guarantee will be required on all works contracts above £1,000,000 unless considered inappropriate by the Director of Resources and Assurance following consultation with the Monitoring Officer.
- 4.6.49 Bonds or Parent Company Guarantee may be required for any other contract if considered appropriate by the Director of Resources and Assurance following consultation with the Monitoring Officer.
- 4.6.50 Bonds shall be a minimum of 10% of the contract value.

## **Urgent decisions**

- 4.6.51 Tenders need not be invited in accordance with the provisions of the council's CPRs if an urgent decision is required, for example for the protection of life or property or due to an emergency, to maintain the functioning of a public service, if in the opinion of the relevant Director it is considered to be in the council's interests or necessary to meet the council's obligations under relevant legislation.
- 4.6.52 The council must be able to evidence that it is a genuine emergency, that the events causing extreme urgency were unforeseeable, that is impossible to comply with the usual timescales for a procurement including through a framework or accelerated procurement, that the situation is not attributable to the council.
- 4.6.53 Wherever possible though, at least 3 credible quotations must be sought and any decision made or contract awarded shall be made by the relevant Director and reported to the relevant Cabinet Member.
- 4.6.54 Such emergency contracts should be let for as short a period as possible to allow their replacement with a contract that is fully compliant with the CPRs at the earliest practical opportunity.
- 4.6.55 A Record of Operational Decision to award a contract must be published for contract values above £50,000 and financial value included within the decision.

## **Contract management**

- 4.6.56 Every contract entered into by the council will have a contract manager appointed by the relevant Director or Service Director to manage that contract.
- 4.6.57 All contracts over £5,000 are to be entered on the council's contract register. This information should be updated if there is a change in the contract value. Contract Managers and Commissioners are responsible for updating and adding additional contracts to the register, as they are let and using the register to inform subsequent tender planning.
- 4.6.58 The contract manager shall actively manage the contract throughout its life cycle in accordance with the council's Contract Management Framework and in particular shall:
- a) Classify the contract as Tier-3 "routine", Tier-2 "focused /leveraged", "and Tier-1 "strategic" by value and risk;
  - b) Undertake a series of activities for each stage of the contract's life cycle – set up, delivery and exit; and
  - c) Undertaking a formal contract review in accordance with the framework

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- 4.6.59 The contract manager shall manage the contract throughout its life cycle having regard to the council's Contract Management Toolkit and good contract management practices.
- 4.6.60 The contract manager shall manage a supplier's performance throughout the contract life to ensure milestones, KPIs, deliverables and outcomes are achieved. Risks and, where appropriate, business continuity shall be managed as detailed within the Contract documentation. Management data needs to be published in accordance with the Local Government Transparency Code.
- 4.6.61 The contract manager shall ensure that a new procurement is commenced in plenty of time to replace the current contract if the goods, services or works are still required at the end of the current contract.

### **Modifications to contracts**

#### **Under the Public Contract Regulations 2015**

- 4.6.62 Where a contract extension or variation is provided for in the original contract agreement, is within budget and the aggregate value of the contract is under £500,000 there is no need for a new decision. Where the variation will take the value of the contract over £500,000 a key decision will be required.
- 4.6.63 Where the value of the contract is below the UK threshold and there is no provision in the contract for a variation or extension a decision will be required. Extension and variation will only be granted in limited circumstances having regard to the Public Contract Regulations 2015.
- 4.6.63.1 Where the variation or extension to the contract results in an increase in value of less than 10% of the original contract price for service and supply contract and less than 15% of the original contract price for works contracts, the decision can be made by the relevant Director or Service Director. Where several successive modifications are made, the value shall be the net cumulative value of the successive modifications.
- 4.6.63.2 Where the variation or extension to the contract results in the increase in value of more than 10% of the original contract price for service and supply contracts and more than 15% of the original contract price for works contracts and the value of the Contract remains below the relevant UK Threshold, the decision can be made by the relevant Director or Service Director in consultation with Commercial Services and Legal Services. Where several successive modifications are made, the value shall be the net cumulative value of the successive modifications.
- 4.6.64 Where the value of the contract exceeds the UK threshold, extension and variation will only be consider where they comply with Regulation 72 Public Contract Regulations 2015. The decision can be made by the relevant Director or Service Director in consultation with Commercial Services and Legal Services.
- 4.6.65 Any variation or extension must not alter the overall nature of the contract or the framework agreement and shall not be aimed at circumventing these rules and the legislation.

#### **Under The Health Care Services (Provider Selection Regime) Regulations 2023**

- 4.6.66 Modification to contracts that fall within the listed services under these regulations will only be consider where they comply with Regulation 13 The Health Care Services (Provider Selection



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Regime) Regulations 2023. The decision can be made by the relevant Director or Service Director in consultation with Commercial Services and Legal Services.

### **Under the Concessions Contract Regulations 2016**

4.6.67 Modification to contracts under these regulations will only be considered where they comply with Regulation 43 of the Concessions Contract Regulations 2016.

### **Exemptions (Waivers)**

- 4.6.68 An exemption to the CPRs is only to be used **in exceptional circumstances**. Authorised Officers and/or Contract Managers are responsible for ensuring that exemptions to the rules are approved in advance of any action undertaken in all instances. If an application to let a contract without genuine competition is granted, the Authorised Officer or Contract Manager must demonstrate that the price obtained is not in excess of the market price and that the contract represents best value.
- 4.6.69 Exemptions will not be considered for administrative convenience or because of lack of time caused by inadequate forward planning.
- 4.6.70 Exemptions from these CPR's shall only be given in the following exceptional circumstances:-
- 4.6.70.1 Where the supplies, works or services are of a unique or specialised nature or are identical or similar to or compatible with an existing provision so as to render only one or two sources of supply appropriate, including:
- An upgrade or
  - Where the contract concerns, wholly or mainly, repairs to or the supply of parts for existing proprietary machinery, plant or equipment and the repairs to or the supply of parts cannot be carried out practicably by alternative suppliers; or
- 4.6.70.2 The supplies to be purchased are proprietary articles or are sold only at fixed prices; or
- 4.6.70.3 The price of services or supplies to be purchased is controlled by trade organisations, or if for other reasons there would be no genuine competition; or
- 4.6.70.4 Where in the opinion of the Director or Service Director in consultation with the Director of Resources and Assurance and the Monitoring Officer considers that the services to be provided or the work to be executed or the supplies or materials to be purchased are urgent; or
- 4.6.70.5 Specialist consultants, solicitor, barrister, agents, artist or professional advisers are required and:
- there is no satisfactory alternative; or
  - evidence indicates that there is likely to be no genuine competition; or
  - it is, in the opinion of the Director or Service Director, in the Council's best interest to engage a particular consultant, solicitor, barrister, agent, artist or adviser; or
- 4.6.70.6 Where the council is purchasing a property, or is taking a service back in-house, which has associated contracts and in the opinion of the Director or Service Director in consultation with the Monitoring Officer and S151 Officer it is in the council's best interests to acquire those contracts; or
- 4.6.70.7 The works to be executed or the supplies or materials to be purchased can only be carried out or supplied by a statutory body.
- 4.6.71 Where it is possible to exempt these Contract Procedure Rules, any such exemption must be approved in writing by the relevant Director or Service Director or the Chief Executive, in consultation with the Director of Resources and Assurance and the Monitoring Officer.

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- 4.6.72 An “Exemption to Contract Procedure Rules” form must be completed by the Authorised Officer or Contract Manager seeking the exemption, and must provide evidenced reasons as to the legitimate need for the exemption. The form is available from Commercial Services. The Authorised Officer or Contract Manager must ensure completed exemption forms are signed by the relevant Director or Service Director or the Chief Executive and returned to the Commercial Services team who will record them on the exemptions register.
- 4.6.73 No Exemption from the CPR’s is permissible for contracts above the UK Threshold under the Public Contract Regulations 2015 or for contracts that are regulated by the Health Care Services (Provider Selection Regime) Regulations 2023 or the Concessions Contract Regulations 2016.

### **Training**

- 4.6.74 Any officer leading a procurement activity shall be appropriately trained or have experience commensurate with the nature of the procurement activity being undertaken.
- 4.6.75 Any officer designated contract management responsibilities shall be appropriately trained or have experience commensurate with the nature of the contract management activity being undertaken.
- 4.6.76 Completion of the council’s introductory finance and procurement module shall be mandatory on an annual basis for all officers with designated contract management or procurement responsibilities.

### **Trading and disposal of property**

- 4.6.77 Any proposals to sell or trade in services, suppliers, or assets must be referred to the Head of Legal Services.
- 4.6.78 Any proposals to dispose of council property other than land must be referred to the Director of Resources and Assurance and comply with the Financial Procedure Rules and Financial Guidance. Proposals to dispose of land must be referred to the Strategic Assets Delivery Director.

### **Subsidy control**

- 4.6.79 Where it is proposed to provide financial support to a contractor, or where a contractor’s proposal entails financial support or a benefit from the council or another public body necessary to ensure the continuance of contracting activity, this could amount to a subsidy under the Subsidy Control Act 2022. Assistance which could be considered a subsidy may be through payments to the contractor, subsidised payments, and the provision of free or low cost equipment, free or low cost support or low cost loans.
- 4.6.80 If there is an element of subsidy to the procurement or contract, a determination of the type and amount of subsidy must be carried out. The Subsidy Control Act 2022 allows for some assistance where it is deemed to be Minimal Financial Assistance (MFA) or for Services of Public Economic Interest (SPEI).

MFA has a financial threshold so no recipient can receive more than the specified amount over the applicable period set out in the Subsidy Control Act 2022.

SPEI are essential services provided to the public. To designate a service as an SPEI, the council must be satisfied that:

- the service is provided for the benefit of the public; and
- the service would not be provided, or would not be provided on the terms required,
- by an enterprise under normal market conditions

4.6.81 Where there is an element of subsidy to the proposed procurement, the advice of Legal Services must be sought prior to advertising the opportunity or concluding the contract.

**1 GLOSSARY OF TERMS**

<b>Term</b>	<b>Definition</b>
<b>"Authorised Officer"</b>	means the officer with delegated authority from the relevant director for the preparation of the tender pack and publication of the procurement opportunity, receipt of quotations and tenders and for facilitating the execution of contracts
<b>"Best Value"</b>	means the council's duty under Section 3 Local Government Act 1999 to promote economies, efficiencies, and effectiveness
<b>"Commissioner"</b>	means the person responsible for planning and scoping the requirements, which form the object of the contract.
<b>"Concession Contract"</b>	means an agreement whereby the council grants another person, whether legal or natural, the right to provide a service or function, or carry out works, at that person's risk, to the public, as more fully described in procurement legislation and with appropriate and measurable levels of service (KPIs)
<b>"Contract Manager"</b>	means the person responsible for the management of the contract, its scope and maintaining day-to-day relationships with the supplier.
<b>"Contract"</b>	means a contract (whether in writing or otherwise) for supplies, services, or for the execution of any works and also includes framework agreements, dynamic purchasing systems, and concession contracts.
<b>"Contracting Authorities"</b>	means Central Government, local government bodies, bodies governed by public law or associations formed by any one or more of these.
<b>"Contract Management Framework"</b>	means the framework that details how to classify a contract based on both the annual contract value and level of risk and depending on how the contract is classified, sets out the contract management activities to undertake throughout the contract lifecycle. The activities within the framework follow best practice principles and provide a clear approach to managing and administering contracts to comply with the Council's contract procedure rules and to demonstrate and evidence contract management accountability and governance. This can be found on the commercial services pages on the council intranet site.
<b>"Council"</b>	Means the County of Herefordshire District Council.
<b>"Dynamic Purchasing System"</b>	means a completely electronic process for making commonly used purchases, the characteristics of which, as generally available on the market, meet the requirements of the Contracting Authority and open throughout its validity to any Contractor, which satisfies the selection criteria and has submitted an indicative tender that complies with the specification.
<b>"Equality Duty"</b>	Any duty or requirement placed on the council or any other body by the Equality Act 2010 or any legislation amending or replacing it and any statutory instrument made thereunder.
<b>"e-tendering portal"</b>	means the on-line system maintained by the council for notifying potential suppliers and Contractors of Contract opportunities, issuing tender documentation, administration of clarifications, receiving and receipting bids, awarding and managing Contracts and maintaining compliance with the Local Government Transparency Code through the publication of Contract spend.

Term	Definition
<b>"Framework Agreement"</b>	means an agreement, which establishes the terms under which a contractor will enter into contracts with the contracting authority in the period during which the Framework Agreement applies. A contractor may be awarded a contract under a framework for a period which extends beyond the termination date of the framework providing that the contract is entered into before that date and is proportionate to the duration of the framework.
<b>"Grant Agreement"</b>	means an agreement whereby the council provides or receives monies to/from another person, whether legal or natural to provide a function or service without the expectation of any consideration to the council except the repayment of the monies if the services are not performed or not performed to a specified standard.
<b>"Local Government Transparency Code"</b>	means the information that the Council is required to publish under the Local Authority Transparency Code 2015 to be found at <a href="https://www.gov.uk/government/publications/local-government-transparency-code-2015">https://www.gov.uk/government/publications/local-government-transparency-code-2015</a> as amended or replaced from time to time.
<b>"Procurement Document"</b>	means any document produced or referred to by the council to describe or determine elements of the procurement or the procedure, including the Contract notice, the technical specifications, the descriptive document, the invitation to tender, proposed conditions of contact, formats for the presentation of documents by Contractors, information on generally applicable obligations and any additional documents
<b>"Contracting Toolkit"</b>	means procurement and contract management guidance and templates found on the commercial services pages on the council intranet site.
<b>"Quotation"</b>	means a written estimate of the cost to execute works or supply goods, materials or services.
<b>"Specification"</b>	means a clear and comprehensive description of the Council's requirements, including technical specifications, description of the works, goods and or services required. This will vary according to the value and complexity of the purchase
<b>"UK Threshold"</b>	means the threshold applying to local authorities at which supplies, services and works are subject to Part 2 Public Contract Regulation 2015.

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## **2 OFFICER RESPONSIBILITIES**

### **2.1 Directors' responsibilities**

2.1.1 All Directors are responsible for:

- a) monitoring compliance with the CPRs in relation to contracts funded by their directorate budget
- b) appointing staff to carry out commissioning, procurement and contract management functions and ensuring they support them in their role and obtain regular briefings from them
- c) Ensuring the budget for any procurement has been approved
- d) awarding and signing and/or authorising sealing of contracts
- e) approving variations, extensions and exemptions in accordance with the CPRs.

2.1.2 The Head of Strategic Finance has overall responsibility for the preparation and review of the CPRs in agreement with the Monitoring Officer/Solicitor to the council and the Director of Resources and Assurance.

### **2.2 Solicitor to the council's responsibilities**

The Solicitor to the council is responsible for:

- a) providing legal advice and guidance to members and officers on the operation of the CPRs and all contracting and procurement activity
- b) working with the Head of Strategic Finance and Commercial Services Manager on the preparation and review of the CPRs
- c) assisting the Chief Executive with the resolution of questions regarding the interpretation of the CPRs
- d) preparing or approving template contract documents
- e) advising on the preparation of contract documentation
- f) being consulted on exemptions from the formal tendering procedure in line with the CPRs.
- g) Facilitating the sealing of documents.

### **2.3 Contract Managers' responsibilities**

Contract Managers are responsible for:

- a) keeping a record of all the procurement and contract documentation in respect of each contract they are managing, including all the quotes and letters they have received and notes of telephone calls and meetings about selecting suppliers. These records must be made available to internal or external audit as required by them and retained in accordance with retention schedule requirements
- b) actively managing the contract throughout its life cycle in accordance with the council's contract management framework
- c) entering contract information (including upload of a signed copy of the contract) onto the central contracts register for contracts in excess of £5,000. in order to comply with the transparency information/ code
- d) updating the contracts register together with associated documents if there is a change in contract value, scope or duration and where necessary ensure a FTS/ Contract Finder notice is published
- e) ensuring that signed contract documents are available and retained in accordance with the council's retention schedule
- f) ensuring that contracts have been signed and/or sealed (where applicable) prior to the contract commencement date
- g) reading and understanding the contract documents and managing the contract in accordance with contract documents

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- h) Where relevant, monitor and measure and report on supplier's progress in delivering any social value commitments / key value indicators
  - i) checking that valid insurance documents are provided by contractors, proving that the annual premium has been paid, to cover the duration of the contract, and that copies are stored appropriately
  - j) reviewing the aggregate spend on contracts to ensure it remains in budget
  - k) ensuring that the council and contractor carry out its duties in accordance with the terms and conditions of contract
  - l) providing timely information to Directors and Service Directors regarding the contractors' performance including, but not limited to, delivery of KPIs, health and safety, business continuity, risk, contract terms and other events of default
  - m) ensuring that business continuity plans, where they are part of the contract, are kept up to date during the life of the contract
  - n) ensuring plans are in place to re-procure the service before the contract expires
  - o) ensuring contract expiry and exit plans are reviewed regularly and at least 6-12 months prior to contract expiry in preparation for exit and/or transition
  - p) Notifying Legal Services of any transfers, novation and assignment required during the terms of the contract.

#### **2.4 Commissioners'/ Authorised Officers responsibilities**

The Commissioner /Authorised Officer will be responsible for:

- a) liaising early on in the process with the Commercial Services team and Legal Services on all matters relating to contracting and procurement
- b) ensuring non-council staff (as defined at 2.9) engaged in the procurement process comply with these rules and consult Commercial Services as appropriate
- c) ensuring that written requirements are provided to non-council staff and these must include key stages of the procurement process at which the council will be consulted prior to and or authorise progressing to the next stage of the process
- d) ensuring there is a budget for the procurement
- e) ensuring all necessary decisions are made in a timely manner and maintaining a comprehensive log of all decisions made for each procurement, including copies of signed decision reports and any relevant supporting evidence
- f) considering whether social value is relevant to include in the tender process through early market engagement in accordance with the council's social value statement and social value internal guide
- g) drafting quotation/ tender documents for competitions utilising the templates which can be found on the Commercial Services intranet pages. Selecting the appropriate contract for the procurement using the council's standard contracts or any other contract approved by Legal Services
- h) maintaining records during the procurement process of the:
  - i. contracts awarded including the nature and value of contracts and the names of successful tenderers
  - ii. total value of contracts awarded to each successful tenderer during each financial year, where a framework or Dynamic Purchasing System is used
  - iii. names of unsuccessful tenderers and reasons why their tenders were not accepted
  - iv. details of any failure by a tenderer to comply with instructions to tenderers
  - v. details of the reasons for any tenders being withdrawn
  - vi. details of failures by contractors to submit tenders after having requested and been invited to do so
  - vii. reasons for exceptions to tendering procedures
  - viii. reasons for accepting late tenders.

- i) undertaking required due diligence checks and obtain copies of insurance documents, together with any other self-certified docs included In the ITT
- j) ensuring that contracts have been signed and/or sealed (where applicable) prior to the contract commencement date
- k) making arrangements for the retention of tender and all contract documentation in accordance with the council's record retention schedule for a minimum of 6 Years (12 Years if signed under seal) after the termination of the contract, including any extension or defects periods
- l) advising the Contracts Manager and Commercial Services team of contracts awarded and recording the details of all contracts over £5,000 in the contracts register, providing all detail necessary under the transparency code (including uploading a signed copy of the contract to the corporate contracts register – do not embed documents)
- m) considering the approach to succession planning to ensure that there is adequate leadership and governance in place for the successful delivery of major projects/programmes
- q) in conjunction with the Contract Manager consider continuity of service before a contract expires and ensuring adequate plans are in place to re-procure the service before the contract expires.

## 2.5 Head of Strategic Finance responsibilities

Working to the Director of Resources and Assurance, the Head of Strategic Finance is responsible for:

- a) providing advice on all aspects of the CPRs
- b) providing oversight to ensure that the council has an up-to-date commercial and commissioning strategy
- c) monitoring compliance with the CPRs and reporting non-compliance to the Director of Resources and Assurance and the Solicitor to the council for appropriate action
- d) preparing an annual report on the operation of and compliance with the CPRs for the Director of Resources and Assurance, in consultation with the Solicitor to the council and the audit and governance committee
- e) continually reviewing the CPRs to ensure they keep pace with developing best practice and advising amendments as necessary
- f) preparing an annual report on the exemptions recorded for the solicitor to the council
- g) providing training and support for employees involved in procurement and contract management activities
- h) informing relevant officers of any information received that calls into question the suitability of a contractor, consultant, agency or any other person carrying out work for the council
- i) guiding the council's strategic approach to developing social value through collaboration with partners and market development.

## 2.6 Commercial Services team

The Commercial Services team are responsible for:

- a) maintaining a register of current contracts above £5,000, advising on the information needed from contracts and publish on the council website
- b) maintaining a pipeline of procurements above £25,000 in conjunction with the Commissioners and Authorised Officers and Contract Managers
- c) working with Commissioners and Authorised Officers to carry out procurements above



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- the UK Threshold
  - d) providing advice on all aspects of the CPRs and supporting the development of procurement strategies
  - e) monitoring compliance with the CPRs and reporting non-compliance to the Head of Strategic Finance and the Solicitor to the council for appropriate action
  - f) providing training and support for employees involved in procurement and contract management activities
  - g) informing relevant officers of any information received that calls into question the suitability of a contractor, consultant, agency or any other person carrying out work for the council
  - h) guiding the council's strategic approach to developing social value through collaboration with partners and market development
  - i) advising Directors and Services Directors on the appropriate use of the exemption process in conjunction with Legal Services
  - j) maintaining and reviewing a contract procedures exemption register
  - k) ensuring the Contracting toolkit and tender guidelines, and templates are reviewed annually to remain up-to-date with legislation and best practice.

## 2.7 Legal Services

The Legal Services team are responsible for:

- a) providing legal advice on the CPR's and procurement legislation
- b) providing template contracts and approving contracts for use in procurements
- c) advising Directors and Services Directors on the appropriate use of the Exemption process in conjunction with Commercial Services
- d) working with the Commercial Services Manager and the Commercial Services team to ensure compliance with the CPR's and the Public Contract Regulations.

## 2.8 Responsibilities of all council officers

All Officers are responsible for:

- a) following the CPRs and any codes of practice, guidance or instructions provided by Commercial Services team and Legal Services
- b) ensure non-council staff comply with these rules and consult Commercial Services as appropriate
- c) following all relevant UK procurement laws
- d) following relevant council policy requirements in relation to procurement and contract management
- e) seeking advice from the Commercial Services team and Legal Services in the case of any uncertainty
- f) ensuring that any departure from these CPRs is agreed with the Commercial Services Manager or Head of Strategic Finance and Head of Law - Contracts and Property or the Solicitor to the council and follow the appropriate procedure
- g) reporting any suspected fraudulent, corrupt or other irregularity to the Chief Internal Auditor
- h) informing relevant officers of any information received that calls into question the suitability of a contractor, consultant, agency or any other person carrying out work for the council.

## 2.9 Non-council staff

- 2.9.1 Any person who is not an officer of the council, but is engaged by the council to advise, conduct, or supervise any stage of a tender, must:

- a) comply with the CPRs and financial rules
- b) produce on request, all records relating to the contract he/she are engaged on, to the Director; and
- c) pass all relevant records to the Authorised Officer/Contract Manager at the end of his/her appointment/engagement
- d) sign a declaration of interest relating to any procurement and/or contract that they were involved with on behalf of the council and give it to the Commissioner/Authorised Officer.