

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

Current Provisions	Proposed Amendments
<p>GENERAL</p> <p>RULE 1</p> <p>Compliance</p> <p>Officers must comply with these Rules. Failure to do so may result in disciplinary action.</p>	<p>No proposed change</p>
<p>RULE 2</p> <p>Delegation</p> <p>Appropriate Chief Officers may delegate their responsibilities under these Rules in accordance with Rule 6 of Section D (General scheme of delegation to heads of departments) of Part 3 (Responsibility for Functions) of the Constitution.</p>	<p>RULE 2</p> <p>Delegation</p> <p>Appropriate Chief Officers and the County Solicitor may delegate their responsibilities under these Rules in accordance with Rule 6 of Section D (General scheme of delegation to heads of departments) of Part 3 (Responsibility for Functions) of the Constitution.</p>
<p>RULE 3</p> <p>Interpretation</p> <p>Words and expressions used in these Rules are to be interpreted in accordance with the provisions of Schedule 1.</p>	<p>No proposed change</p>
<p>RULE 4</p> <p>Application</p> <p>These Rules apply to every procurement contract made by or on behalf of the Council except contracts:</p> <p>(i) for only the acquisition or disposal of any interest in land;</p> <p>(ii) for the lending or borrowing of money;</p> <p>(iii) of employment (making an individual a direct employee of the Council).</p>	<p>RULE 4</p> <p>Application</p> <p>These Rules apply to every procurement contract made by or on behalf of the Council EXCEPT contracts:</p> <p>(i) for only the acquisition or disposal of any interest in land;</p> <p>(ii) for the lending or borrowing of money;</p> <p>(iii) of employment (making an individual a direct employee of the Council).</p>
<p>Rule 5</p> <p>General Requirements</p> <p>(a) Every contract or official order for works, supplies or services made by the Council shall be for the purpose of implementing the Council’s policies and must be made in accordance with the Council's duty of Best Value and Sustainable Commissioning and Procurement Strategy.</p> <p>(b) When proposing to procure or making arrangements for procuring a service contract where the Estimated Value exceeds the EU Threshold then consideration must be given as to how the Contract might improve the economic, social and environmental wellbeing of Leicestershire, as required by the Public Services (Social Value) Act 2012*. This duty also relates to Part B Services where the Estimated Value exceeds the EU Threshold for Services.</p>	<p>RULE 5</p> <p>General Requirements</p> <p>a) Every Contract or official order for works, supplies or services made by the Council shall be for the purpose of implementing the Council’s policies and must be made in accordance with the Council's duty of Best Value and Commissioning and Procurement Strategy.</p> <p>(b) When proposing to procure or making arrangements for procuring a service contract where the Estimated Value is equal to or greater than the EU Threshold then consideration must be given as to how the Contract might improve the economic, social and environmental wellbeing of Leicestershire, as required by the Public Services (Social Value) Act 2012 (“Social Value Act”).</p> <p>(c) Where the services are Light-Touch Services the threshold for contracts for public supply or services contracts</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

- (c) The Procuring Officer must ensure that whenever Corporate Contracts have been approved by a Category Manager that supplies, services and works are ordered via these, unless it is agreed by the Category Manager that better value for money can be clearly demonstrated outside of these approved Corporate Contracts. All such instances involving ESPO must be notified to ESPO by the Category Manager.
- (d) Procedures set out in the relevant EU Directives, EU Treaties, Acts of Parliament and UK legislation must be complied with at all times.
- (e) Based on criteria laid down by the Executive, the Chief Financial Officer will be responsible for evaluating the financial status of Tenderers and suppliers.
- (f) The Procuring Officer must ensure that sufficient budget provision has been agreed with the budget holder prior to any Procurement Exercise being undertaken.
- (g) Procurement Exercises may be undertaken by electronic means provided that:-
- (i) the requirements of these Rules are followed with only such modifications as may be necessary to allow for procurement by such means; and
- (ii) any electronic tendering system has been approved by the County Solicitor in consultation with the Director of Corporate Resources.
- (h) Subject to the provisions of Rule 28(b) (Framework Agreements) contracts shall not be longer than 5 years (including extensions) or of indeterminate length without the written approval of the Director of Corporate Resources on advice of the appropriate Category Manager. Any such approval shall be sought prior to the commencement of the Procurement Exercise.

RULE 6

Exceptions

- (a) Subject to the requirements of EU Directives, EU Treaties, Acts of Parliament and UK Regulations the following contracts may be placed by direct negotiation with one or more suppliers, contracts:-
- (i) for supplies, materials, services or works which are available only as proprietary or patented articles, services or works from one contractor or supplier and for which the Appropriate Chief Officer, on the advice of the Category Manager, decides that there is no reasonably satisfactory alternative available in the European Union and for repairs to, or the supply of, parts of existing proprietary or patented articles or works, including machinery or plant; a note of that decision and the reasons for it must be retained on the appropriate file and where the contract exceeds £100,000, a copy of the note and reasons must be provided to the Director of Corporate Resources.
- (ii) for works of art, museum specimens or historical documents;
- (iii) which constitute a variation or extension of an existing contract, as permitted by the contract and/or the Council’s Standard Financial Instructions subject to the provisions of Rule 30 (Contract Variations), Rule 31

- applies for the purposes of the Social Value Act, being the sum specified in Regulation 5 (1) (d) of the Public Contracts Regulations 2015.**
- (c) The Procuring Officer must ensure that whenever Corporate Contracts have been approved by a **Commercial Specialist** that supplies, services and works are ordered via these, unless it is agreed by the **Commercial Specialist** that better value for money can be clearly demonstrated outside of these approved Corporate Contracts. All such instances involving ESPO must be notified to ESPO by the **Commercial Specialist**.
- (d) Procedures set out in the relevant EU Directives, EU Treaties, Acts of Parliament and UK legislation **(including for the avoidance of doubt the Public Contracts Regulations 2015 and where applicable the Public Contracts Regulations 2006)** must be complied with at all times.
- (e) Based on criteria laid down by the Executive, the Chief Financial Officer will be responsible for evaluating the financial status of Tenderers and suppliers.
- (f) The Procuring Officer must ensure that sufficient budget provision has been agreed with the budget holder prior to any Procurement Exercise being undertaken.
- (g)** Procurement Exercises should usually be undertaken by electronic means provided that:-
- (i) the requirements of these Rules are followed with only such modifications as may be necessary to allow for procurement by such means; and
- (ii) any electronic tendering system has been approved by the County Solicitor **following** consultation with the Director of Corporate Resources.
- (h) **Subject to the provisions of Rule 28(b) Contracts** shall not be longer than 5 years (including extensions) in duration or of indeterminate length without the prior written approval of the Director of Corporate Resources such approval to be obtained prior to the commencement of the Procurement Exercise.

RULE 6

Exceptions

- (a) Subject to the requirements of EU Directives, EU Treaties, Acts of Parliament and the **Public Contracts Regulations 2015** the following contracts may be placed by direct negotiation with one or more suppliers, contracts:-
- (i) for supplies, materials, services or works which are available only as proprietary **and/or** patented articles, services or works from one contractor or supplier and/**or** for which the Appropriate Chief Officer, on the advice of the **Commercial Specialist** , decides that there is no reasonably satisfactory alternative available in the European Union and for repairs to, or the supply of, parts of existing proprietary or patented articles or works, including machinery or plant; a note of that decision and the reasons for it must be retained on the appropriate file and where the contract **is equal to or exceeds £172,514** , a copy of the note and reasons must be provided to the Director of Corporate Resources **and the County Solicitor**.
- (ii) for works of art, museum specimens or historical documents;
- (iii) which constitute a variation or extension of an existing contract, as permitted by the contract and/or the Council’s Standard Financial Instructions subject to the provisions of Rule 30 **(Contract Modifications and**

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>(Contract Extensions) and Rule 32 (Novation of Existing Contracts);</p> <p>(iv) for the following social care services:</p> <ul style="list-style-type: none">a. residential placements sought for an individual with a registered care provider of their choice;b. supported living services sought for an individual with an appropriate care and support provider of their choice under the National Health Service and Community Care Act 1990;c. individual school placements sought for a child with Special Educational Needs (SEN);d. social care packages managed by or on behalf of individual clients under the personalisation agenda;e. where certain needs of an individual (either an adult or a child) require a particular social care package, which is only available from a specific provider in the opinion of the Appropriate Chief Officer.f. residential placements sought for an individual under the Shared Lives scheme (or any equivalent scheme). <p>In each case the Appropriate Chief Officer must ensure that the provider meets the relevant national minimum standards (for example those standards set by the Health and Social Care Act 2008, OFSTED and HMI) and that a record of the reasons for the choice of provider is maintained on the individual’s case notes. A record of the annual cumulative expenditure with each provider will be maintained by each directorate and made available for audit.</p> <p>v) for those unforeseen emergencies, where immediate action is required in order to fulfil the Council’s statutory obligations under the Civil Contingencies Act 2004.</p> <p>(b) Other exceptions to these Rules may only be made within the relevant law and with the authority:-</p> <ul style="list-style-type: none">(i) of the Appropriate Chief Officer where the Estimated Value of the proposed contract is under £100,000. The Appropriate Chief Officer shall maintain a record specifying the reason for all such departures; or(ii) of the Executive where it is satisfied that an exception is justified on its merits. In an urgent case the Chief Executive after consultation with the Council Leader or Deputy Leader (save where this is not practicable) may direct that an exception be made subject to this being reported to the next meeting of the Executive.	<p>Extensions and Rule 31 (Novation of Existing Contracts);</p> <p>(iv) for the following social care services provided that the Estimated Value of such services does not exceed the EU threshold for Light-Touch Service contracts:</p> <ul style="list-style-type: none">(aa) residential placements sought for an individual with a registered care provider of their choice;(bb) supported living services sought for an individual with an appropriate care and support provider of their choice under the National Health Service and Community Care Act 1990;(cc) individual school placements sought for a child with Special Educational Needs (SEN);(dd) social care packages managed by or on behalf of individual clients under the personalisation agenda;(ee) where certain needs of an individual (either an adult or a child) require a particular social care package, which is only available from a specific provider in the opinion of the Appropriate Chief Officer.(ff) residential placements sought for an individual under the Shared Lives scheme (or any equivalent scheme). <p>In each case the Appropriate Chief Officer must ensure that the provider meets the relevant national minimum standards (for example those standards set by the Health and Social Care Act 2008, OFSTED and HMI) and that a record of the reasons for the choice of provider is maintained on the individual’s case notes. A record of the annual cumulative expenditure with each provider will be maintained by each directorate and made available for audit.</p> <p>v) for those unforeseen emergencies, where immediate action is required in order to fulfil the Council’s statutory obligations under the Civil Contingencies Act 2004.</p> <p>(b) Other exceptions to these Rules may only be made within the relevant law and with the authority:-</p> <ul style="list-style-type: none">(i) of the Appropriate Chief Officer where the Estimated Value of the proposed contract is under £172,514. The Appropriate Chief Officer shall maintain a record specifying the reason for all such departures; or(ii) of the Executive where it is satisfied that an exception is justified on its merits. In an urgent case the Chief Executive after consultation with the Council Leader or Deputy Leader (save where this is not practicable) may direct that an exception be made subject to this being reported to the next meeting of the Executive. <p>(c) In all cases under Rule 6 a full record of the reasons for the exception shall be maintained.</p>
--	---

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 7</p> <p>Financial Thresholds and Delegation</p> <p>(a) Financial limits and thresholds within these Rules may be varied from time to time by the Corporate Governance Committee.</p> <p>(b) Arrangements for delegation of functions to Officers within these Rules may be varied from time to time by the Chief Executive.</p>	<p>No proposed change</p>
<p>RULE 8</p> <p>Annual Reporting</p> <p>The Director of Corporate Resources, in consultation with the County Solicitor, shall at least once in each financial year submit a report to the Corporate Governance Committee in relation to the operation of these Rules, including, among other things, details of the approved exceptions to these Rules and approved extensions to contract where not provided for in the contract, and proposed revisions to these Rules and/or changes required to accommodate the requirements of UK and EU procurement law as may be necessary from time to time.</p>	<p>No proposed change</p>
<p>RULE 9</p> <p>Prevention of Corruption / Conflict of Interest</p> <p>(a) The Employee Code of Conduct (Part 5b of the Constitution) applies to any Procurement Exercise.</p> <p>(b) The following clause, or a clause that is substantially similar, will be included as a standard term and condition in every written contract in accordance with Rule 25(c):</p> <p>"The Council may terminate this contract and recover all its loss from the Contractor if the Contractor, its employees or anyone acting on the Contractor's behalf do any of the following things:</p> <p>(i) offer, give or agree to give to anyone any personal inducement or reward in respect of this or any other Council contract (even if the contractor does not know what has been done); or</p> <p>(ii) commit an offence under the Bribery Act 2010 or give any fee or reward, the receipt of which is an offence under Section 117(2) of the Local Government Act 1972; or</p> <p>(iii) commit any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, contractors or employees.</p> <p>Any clause limiting the Contractor's liability shall not apply to this clause".</p>	<p>No proposed change</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

PROCUREMENT EXERCISE

RULE 10

Pre-Estimate

- (a) Before any Procurement Exercise is begun the Procuring Officer must calculate its Estimated Value in accordance with this clause.
- (b) The Estimated Value shall be calculated as follows:
- (i) Where the contract period is fixed the Estimated Value shall be the total estimated maximum value of the supplies, services or works to be supplied over the period covered including any extensions to the contract;
- (ii) Where the contract period is indeterminate the Estimated Value shall be calculated by multiplying the estimated average monthly value by 48;
- (iii) For feasibility studies the Estimated Value shall be the value of the scheme or contracts which may be awarded as a result;
- (iv) For Concessions the Estimated Value shall be the estimated gross value of the service before income over the contract period.
- (v) The Estimated Value must exclude Value Added Tax (VAT) but must include all other taxes and duties.
- (vi) Periodic purchases for the same requirement, whether that is from the same or different suppliers, must be aggregated over a minimum of a 12 month period.
- (vii) Where the Council may be contributing only part of the Total Value of a contract, it is nevertheless the total Estimated Value that should be applied in determining the correct procedures to be applied under these Rules.
- (c) Where there is any doubt as to the Estimated Value then the procedure for the higher threshold in Rule 11 must be used.
- (d) Where the Estimated Value is £10,000 or more the Procuring Officer must notify in writing the appropriate Category Manager of the Estimated Value before proceeding. A written record of that Estimated Value must then be kept on file by the Procuring Officer.

RULE 11

Procurement Exercise Process

- (a) Based on the Estimated Value, as identified in Rule 10, Table 1 below makes provision for the minimum requirements for the subsequent Procurement Exercise.
- (b) All contracts with an Estimated Value of £100,000 or more must be referred to ESPO subject to any general exceptions agreed with ESPO prior to the commencement of the Procurement Exercise by the Procuring Officer unless the Procuring Officer acting on advice of the Category Manager considers that the Council can better comply with its duty of Best Value by not using ESPO. All such cases must be confirmed in

PROCUREMENT EXERCISE

RULE 10

Pre-Estimate

- (a) Before any Procurement Exercise is begun the Procuring Officer must calculate its Estimated Value in accordance with this **Rule**.
- (b) The Estimated Value shall be calculated as follows:
- (i) Where the contract period is fixed the Estimated Value shall be the total estimated maximum value of the supplies, services or works to be supplied over the period covered including any extensions to the contract;
- (ii) Where the contract period is indeterminate the Estimated Value shall be calculated by multiplying the estimated average monthly value by 48;
- (iii) For feasibility studies the Estimated Value shall be the value of the scheme or contracts which may be awarded as a result;
- (iv) For Concessions the Estimated Value shall be the estimated gross value of the service before income over the contract period;
- (v) The Estimated Value must exclude Value Added Tax (VAT) but must include all other taxes and duties;
- (vi) Periodic purchases for the same requirement, whether that is from the same or different suppliers, must be aggregated over a minimum of a 12 month period;
- (vii) Where the Council may be contributing only part of the Total Value of a contract, it is nevertheless the total Estimated Value that should be applied in determining the correct procedures to be applied under these Rules.
- (c) Where there is any doubt as to the Estimated Value then the procedure for the higher threshold in Rule 11 must be used.
- (d) Where the Estimated Value is £10,000 or more the Procuring Officer must notify in writing the appropriate **Commercial Specialist** of the Estimated Value before proceeding. A written record of that Estimated Value must then be kept on file by the Procuring Officer.

RULE 11

Procurement Exercise Process

- (a) Based on the Estimated Value, as identified in Rule 10, Table 1 below makes provision for the minimum requirements for the subsequent Procurement Exercise.
- (b) **All Contracts with an Estimated Value equal to or greater than the EU threshold must be referred to the Commissioning Support Unit prior to the commencement of the Procurement Exercise, the Commissioning Support Unit shall advise the Procuring Officer on the appropriate route to market which may include the use of ESPO and ESPO**

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

writing to the Director of Corporate Resources.

Table 1: Minimum requirements for a Procurement Exercise (for exceptions see Rule 6):

Estimated Contract Value From	Estimated Contract Value Up To	Procurement Process	Minimum Contract Opportunity Publication	Documentation
£0	£1,000	Obtain a minimum of one oral/written Quotation	None	Record details
£1,000	£20,000	Obtain three written Quotations (where practical)	When inviting quotations officers should consider the benefits of including a local supplier in the invitation to quote where appropriate or applicable to the contract.*	Record details. (If three Quotations cannot be obtained a record of the reasons for this must be maintained and forwarded to the appropriate Category Manager.)
£20,000	£100,000	Seek written Quotations (to be based on a Request for Quotation document where practical) For exceptions see Rule 5(b)	Website approved by the Director of Corporate Resource for the purpose of notifying the supply market.	Request for Quotation issued by the Procuring Officer and Quotations received.
£100,000	EU Threshold	Formal Tender Process	Website approved by the Director of Corporate	Formal Tender and sealed bids (may be submitted via an electronic

framework agreements, Crown Commercial Services framework agreements, etc.

Table 1: Minimum requirements for a Procurement Exercise (for exceptions see Rule 6):

Estimated Contract Value From	Estimated Contract Value Up To	Procurement Process	Minimum Contract Opportunity Publication	Documentation
£0	£5,000	Obtain a minimum of one oral/written Quotation	None	Record details
Above £5,000	£25,000	Obtain three written Quotations (where practical)	None.	Record details. (If three Quotations cannot be obtained a record of the reasons for this must be maintained and forwarded to the appropriate Commercial Specialist.) When inviting quotations officers should consider the benefits of including a local supplier in the invitation to quote where appropriate or applicable to the contract.*
Above £25,000	Up to but not including £172,514	Seek written Quotations (to be based on a Request for Quotation document where practical) For exceptions see Rule 6(b)	Website approved by the Director of Corporate Resource for the purpose of notifying the supply market.	Request for Quotation issued by the Procuring Officer and Quotations received.
Equal to or Above £172,514	To the relevant EU Threshold	Formal Tender Process	OJEU where required, Contracts Finder and on a Website approved by the Director of Corporate Resources for the purpose of notifying the	Formal Tender and sealed bids (may be submitted via an electronic tendering system, see Rule 5(g) (ii)).

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

Resources for the purpose of notifying the supply market.			tendering system, see Rule 9(g)).				supply market.	
EU Threshold	Above	Formal Tender Process	OJEU and on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market.	Tender and sealed bids (may be submitted via an electronic tendering system, see Rule 9(g)).		Formal Tender Process	OJEU, Contracts Finder and on a Website approved by the Director of Corporate Resources for the purpose of notifying the supply market	
<p>* The Council cannot give preference to local suppliers, as there are legislative constraints and such a policy would be incompatible with Best Value. However, the Council recognises that there can be barriers limiting or restricting the ability of smaller suppliers to compete for Council business. The Council will seek to reduce the impact of such barriers, where it can do so legally, without discrimination, and without placing unacceptable levels of risk on the Council.</p> <p>(c) Details of oral Quotations must be recorded appropriately.</p> <p>(d) Where any Corporate Contracts or Standing Lists have been set up for supplies, services or works then these Rules are deemed to have been satisfied when the arrangement was set up and do not have to be further applied, if appropriately used. When the Corporate Contract is a Framework Agreement then the Procuring Officer must comply with Rule 28(c). When using a Standing List the Procuring Officer must comply with Rule 27.</p>								
<p>* The Council cannot give preference to local suppliers, as there are legislative constraints and such a policy would be incompatible with Best Value. However, the Council recognises that there can be barriers limiting or restricting the ability of smaller suppliers to compete for Council business. The Council will seek to reduce the impact of such barriers, where it can do so legally, without discrimination, and without placing unacceptable levels of risk on the Council.</p> <p>(c) Details of oral Quotations must be recorded in writing.</p> <p>(d) Where any Corporate Contracts or Standing Lists have been set up for supplies, services or works then these Rules are deemed to have been satisfied when the arrangement was set up and do not have to be further applied, if appropriately used. When the Corporate Contract is a Framework Agreement then the Procuring Officer must comply with Rule 28(c). When using a Standing List the Procuring Officer must comply with Rule 27.</p>								
RULE 12 Selection and Award Evaluation Criteria (a) A Procurement Exercise must include both selection and award criteria; (b) Selection criteria must be included in the evaluation process where employing the Open Tendering procedure (Rule 15) or must be the only criteria used for the shortlisting methodology where employing the Restricted procedure (Rule 16).					RULE 12 Suitability Assessment and Award Evaluation Criteria (a) The Council shall not include a pre-qualification questionnaire stage where the value of the procurement is below the EU Threshold set out in Reg. 5 (1)(c) of the Public Contracts Regulations 2015. Below the EU Threshold only Suitability Assessment Questions may be asked. A standardised form of Suitability Assessment Questions must be used. (b) In a Procurement Exercise with an Estimated Value equal to or greater than the EU Threshold both selection and award criteria must be included. A Standardised Pre-Qualification Questionnaire must be used for the selection criteria; (c) Selection criteria must be included in the evaluation process where applying the Open Tendering procedure (Rule 15) or must be the only criteria used for the shortlisting methodology where applying the Restricted Tendering procedure (Rule 16).			

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 13</p> <p>Award Methodology and Evaluation Criteria</p> <p>(a) The award methodology must be either:</p> <ul style="list-style-type: none">the most economically advantageous Tender based on a range of predetermined evaluation criteria which must be set out in the Invitation to Tender; orthe lowest price (where the Council is to pay the supplier); orthe highest price (where the supplier is to pay the Council). <p>(b) Before a contract can be awarded the supplier must meet the minimum standard for the selection criteria where included in the evaluation process where employing the Open Tendering procedure (Rule 15) or where the only criteria used for the shortlisting methodology where employing the Restricted procedure (Rule 16).</p> <p>(c) In the case of a Procurement Exercise with an Estimated Value of £20,000 or more the process for identifying the most economically advantageous Tender, including selection and award criteria, must be agreed in consultation with the appropriate Category Manager and included in the RFQ/Invitation to Tender and a copy retained on file.</p> <p>(d) The Procuring Officer must notify all Tenderers of the award methodology and evaluation criteria being used in the case of the contract in question. If weightings are to be applied to the criteria then the Procuring Officer must ensure that these are also incorporated into the Invitation to Tender.</p>	<p>RULE 13</p> <p>Award and Evaluation Criteria</p> <p>(a) The award criteria shall be based on the most economically advantageous Tender from the Council’s point of view. That Tender shall be identified on the basis of price or cost, using a cost-effectiveness approach, such as Life-Cycle Costing and may include the best price-quality ratio which shall be assessed on the basis of criteria, such as qualitative, environmental and/or social aspects or any other criteria linked to the subject-matter of the Contract in question.</p> <p>(b) Before a contract can be awarded following an Open Tender procedure the supplier must meet the minimum standard for the selection criteria included in the evaluation process.</p> <p>(c) In the case of a Procurement Exercise with an Estimated Value of £25,000 or more the process for identifying the most economically advantageous Tender, including selection and award criteria, must be agreed in consultation with the appropriate Commercial Specialist and included in the RFQ/Invitation to Tender and a copy retained on file.</p> <p>(d) The Procuring Officer must notify all Tenderers of the award methodology and evaluation criteria being used in the case of the contract in question. If weightings are to be applied to the criteria then the Procuring Officer must ensure that these are also incorporated into the Invitation to Tender.</p>
---	--

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

RULE 14

Contract Opportunity Publication

- (a) Unless otherwise agreed by the Appropriate Chief Officer, the Procuring Officer must ensure, for all Procurement Exercises with an Estimated Value of £20,000 or more but less than the relevant EU Threshold, that Contract Opportunity Publication is given on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market.
- (b) For all proposed contracts where the Total Value is below the EU threshold, a period of at least fifteen days should be allowed between the closing date for requests for the Invitation to Tender and either:
- (i) the deadline for receipt of Tenders where an Open Tendering procedure is being used; or
- (ii) the deadline for receipt of Pre-Qualification Questionnaires or Expressions of Interest, where a Restricted Tendering procedure is being used.
- (c) The Contract Opportunity Publication must express the nature and purpose of the Procurement Exercise, stating where further details may be obtained and inviting Tenders in response to the Contract Opportunity Publication.
- (d) If the Estimated Value exceeds the relevant EU Threshold the Procuring Officer must ensure that Contract Opportunity Publication is first published in the OJEU and then on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market. Part B Services need only be advertised on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market.
- (e) Under no circumstances must a Contract Opportunity Publication appear in any form before publication in the OJEU and neither should any advertisement contain any more information than that published in the OJEU.
- (f) Rule 14 is a minimum requirement and does not preclude further Contract Opportunity Publication where appropriate (e.g. in the local newspaper, trade or professional journal, the Council website).

PROCUREMENT PROCESS

RULE 15

Open Tendering

Under Open Tendering, Procuring Officers must send Invitations to Tender to all those Persons who respond to the Contract Opportunity Publication and who meet the requirements stated therein.

RULE 14

Contract Opportunity Publication

- (a) Unless otherwise agreed by the Appropriate Chief Officer, the Procuring Officer must ensure, for all Procurement Exercises with an Estimated Value of **£25,000** or more but less than the relevant EU Threshold, that Contract Opportunity Publication is given on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market.
- (b) All Procurement Exercises with an Estimated Value of £25,000 or more must be advertised on Contracts Finder within 24 hours of the time when the Procurement Exercise is advertised in any other way. Procurement Exercises over the relevant EU Threshold must be advertised in the OJEU and on Contracts Finder.**
- (c) For all proposed contracts which are advertised where the Total Value is below the EU threshold, a period of at least **ten** working days should be allowed between **the date when an Invitation to Tender becomes available to all bidders** and either:
- (i) the deadline for receipt of Tenders where an Open Tendering procedure is being used; or
- (ii) the deadline for receipt of **Suitability Assessment Questionnaire**, where a Restricted Tendering procedure is being used.
- (d) The Contract Opportunity Publication must express the nature and purpose of the Procurement Exercise, stating where further details may be obtained, **how and to whom an interested supplier is to respond and any other requirements such as suitability requirements or explanatory information.**
- (e) If the Estimated Value exceeds the relevant EU Threshold the Procuring Officer must ensure that Contract Opportunity Publication is first published in the OJEU and then on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market **and in Contracts Finder.**
- (f) A Procurement Exercise that is equal to or more than the EU Threshold for Light-Touch Services must be procured in compliance with Chapter 3, Section 7 of the Public Contracts Regulations 2015.**
- (g) **Only in exceptional circumstances should** a Contract Opportunity Publication appear in **ANY** form **before** publication in the OJEU and neither should any advertisement contain any more information than that published in the OJEU.
- (h) **The advertising requirements set out in this Rule 14 are minimum requirements** and do not preclude further Contract Opportunity Publication where appropriate (e.g. in the local newspaper, trade or professional journal, the Council website).

No proposed change

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 16</p> <p>Restricted Tendering</p> <p>(a) Rule 16 applies to Tenders where the Estimated Value is equal to or exceeds the EU Threshold.</p> <p>(b) Under Restricted Tendering, Procuring Officers need only send Invitations to Tender to:</p> <p>(i) not less than five of the Persons who respond to the Contract Opportunity Publication and who best meet the shortlisting methodology agreed in Rule 13(b); or</p> <p>(ii) where fewer than five Persons have applied or are considered suitable, to all those Persons who equal or exceed the minimum requirements for the shortlisting methodology agreed in Rule 13(b).</p> <p>(c) The shortlisting criteria and process must be prepared (in consultation with the Category Manager) in advance of the issue of the Pre-Qualification Questionnaire and a copy retained on file.</p> <p>(d) All Persons that do not qualify for inclusion on the shortlist to receive an Invitation to Tender must receive notice that they have been excluded from the Procurement Exercise. Any Person requesting in writing the reasons why they were unsuccessful shall be informed by the Procuring Officer of the reasons for the Council's decision.</p>	<p>RULE 16</p> <p>Restricted Tendering</p> <p>(a) Subject to Rule 16 (b), this Rule applies to Tenders where the Estimated Value is equal to or exceeds the EU Threshold.</p> <p>(b)Where the services being tendered are Light-Touch Services the Procuring Officer may choose to use this Restricted Tendering procedure but is not required to.</p> <p>(c) Under Restricted Tendering, Procuring Officers need only send Invitations to Tender to:</p> <p>(i) not less than five of the Persons who respond to the Contract Opportunity Publication and who best meet the shortlisting methodology agreed in Rule 12(c); or</p> <p>(ii) where fewer than five Persons have applied or are considered suitable, to all those Persons who equal or exceed the minimum requirements for the shortlisting methodology agreed in Rule 12(c).</p> <p>(d) The shortlisting criteria and process must be prepared (in consultation with the Commercial Specialist) in advance of the issue of the Standardised Pre-Qualification Questionnaire and a copy retained on file.</p> <p>(e) All Persons that do not qualify for inclusion on the shortlist to receive an Invitation to Tender must receive notice that they have been excluded from the Procurement Exercise. Any Person requesting in writing the reasons why they were unsuccessful shall be informed by the Procuring Officer of the reasons for the Council's decision.</p>
<p>RULE 17</p> <p>Negotiated Procedure and Competitive Dialogue Procedure</p> <p>(a) Where the Negotiated Procedure or Competitive Dialogue Procedure is used the requirements of the EU Directive and where appropriate these Rules shall be followed.</p> <p>(b) The Negotiated Procedure or Competitive Dialogue Procedure must only be used with the prior approval of the Director of Corporate Resources.</p>	<p>RULE 17</p> <p>Negotiated Procedure, Competitive Procedure with Negotiation, Competitive Dialogue Procedure and Innovation Partnership Procedure</p> <p>The Negotiated Procedure, Competitive Procedure with Negotiation, Competitive Dialogue Procedure or Innovation Partnership Procedure must only be used with the prior approval of the County Solicitor and the Director of Corporate Resources.</p>
<p>RULE 18</p> <p>Invitations to Tender</p> <p>(a) Every Invitation to Tender must specify the latest day and hour and the place appointed for the receipt of Tenders and, for Tenders where the Estimated Value is £100,000 or more, must state the effect of Rule 19.</p> <p>(b) Procuring Officers must give all Tenderers the same information about the Procurement Exercise and in particular information relating to the Tender process, specification, award methodology and evaluation criteria.</p> <p>(c) Procuring Officers must also give all Tenderers the same information relating to questions, answers and clarifications raised during the Procurement Exercise unless they relate solely to another Person's Tender.</p>	<p>RULE 18</p> <p>Invitations to Tender</p> <p>(a) Every Invitation to Tender must specify the latest day and hour and the place appointed for the receipt of Tenders and must state the effect of Rule 19.</p> <p>(b) Procuring Officers must give all Tenderers the same information about the Procurement Exercise and in particular information relating to the Tender process, specification, award methodology and evaluation criteria.</p> <p>(c) Procuring Officers must also give all Tenderers the same information relating to questions, answers and clarifications raised during the Procurement Exercise unless they relate solely to another Person's Tender.</p> <p>(d) All Procurement Exercises equal to or greater than £25,000 shall be handled via an Electronic Tendering System. Only in exceptional cases may a Procurement Exercise be undertaken not using an Electronic Tendering System. Paper</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>(d) Tenders where the Estimated Value is below £100,000 may be returned directly to the Procuring Officer.</p> <p>(e) Tenders, where the Estimated Value is £100,000 or more, must be addressed to and opened by the Chief Executive or handled via an electronic tendering system approved in accordance with Rule 9(g).</p> <p>(f) Where Tenders are to be received by the Chief Executive, the Procuring Officer must send to the Chief Executive a note of the subject and the closing date and time and (where appropriate) a list of the Persons invited to Tender together with the Estimated Value before the closing date for receipt of Tenders.</p>	<p>Tenders must be submitted to, addressed to and opened by the Chief Executive. Where the Estimated Value is below £25,000 the Tenders may be returned directly to the Procuring Officer.</p> <p>(e) Where Tenders are to be received by the Chief Executive, the Procuring Officer must send to the Chief Executive a note of the subject and the closing date and time and (where appropriate) a list of the Persons invited to Tender together with the Estimated Value before the closing date for receipt of Tenders.</p>
<p>RULE 19</p> <p>Irregular Tenders</p> <p>(a) An Irregular Tender must not be accepted by either the Chief Executive or the Procuring Officer, other than in accordance with this Rule.</p> <p>(b) A Tender is not valid unless it has been delivered to the place appointed in accordance with Rule 18 and not later than the appointed day and hour.</p> <p>(c) Tenders other than E-Tenders where the Estimated Value is £100,000 or more are not valid unless they are received in a plain sealed envelope or parcel addressed to the Chief Executive. The envelope or package must bear the word “Tender” followed by the subject to which it relates.</p> <p>(d) E-Tenders must be submitted in accordance with the requirements of the electronic tendering process used.</p> <p>(e) Where a Tender has been received which is an Irregular Tender in that it does not fully comply with the instructions given in the Invitation to Tender and/or because it is received after the appointed time for receipt or does not comply with Rules 19(b) or 19(c), the provisions of Rules 19(f) and 19(g) apply.</p> <p>(f) A Tender other than an E-Tender which is received after the closing date and time may be opened and evaluated in accordance with Rule 20 if there is clear evidence of it having:-</p> <p>(i) been posted by first class post at least a day before the closing date; OR</p> <p>(ii) been posted by second class post at least three days before the closing date; OR</p> <p>(iii) been placed in the custody of a courier who has provided written assurance of delivery prior to the closing date and time.</p> <p>(f) If in other cases of Irregular Tenders the Chief Executive considers that there are exceptional circumstances and that the Tenderer who submitted the Irregular Tender has gained no advantage from its irregularity he may determine to accept the Irregular Tender and authorise that it be opened and evaluated together with any other Tenders in accordance with Rule 20. The Chief Executive shall record in writing the reasons why each Irregular Tender has been accepted or rejected.</p> <p>(g) Irregular Tenders that the Chief Executive has rejected under this Rule must be returned to the Tenderer by the Chief Executive with a covering letter stating the reason for their rejection.</p>	<p>RULE 19</p> <p>Irregular Tenders</p> <p>(a) An Irregular Tender must not be accepted by either the Chief Executive or the Procuring Officer, other than in accordance with this Rule.</p> <p>(b) A Tender is not valid unless it has been either submitted via an Electronic Tendering System or in the case of paper tenders delivered to the place appointed in accordance with Rule 18 and not later than the appointed day and hour.</p> <p>(c) Tenders other than E-Tenders where the Estimated Value is equal to or greater than £172,514 are not valid unless they are received in a plain sealed envelope or parcel addressed to the Chief Executive. The envelope or package must bear the word “Tender” followed by the subject to which it relates.</p> <p>(d) E-Tenders must be submitted in accordance with the requirements of the Electronic Tendering System used.</p> <p>(e) Where a Tender has been received which is an Irregular Tender in that it does not fully comply with the instructions given in the Invitation to Tender and/or because it is received after the appointed time for receipt or does not comply with Rules 19(b) or 19(c), the provisions of Rules 19(f) and 19(g) apply.</p> <p>(f) A Tender other than an E-Tender which is received after the closing date and time may be opened and evaluated in accordance with Rule 20 if there is clear evidence of it having:-</p> <p>(i) been posted by first class post at least a day before the closing date; OR</p> <p>(ii) been posted by second class post at least three days before the closing date; OR</p> <p>(iii) been placed in the custody of a courier who has provided written assurance of delivery prior to the closing date and time.</p> <p>(g) If in other cases of Irregular Tenders the Chief Executive considers that there are exceptional circumstances and that the Tenderer who submitted the Irregular Tender has gained no advantage from its irregularity he may determine to accept the Irregular Tender and authorise that it be opened and evaluated together with any other Tenders in accordance with Rule 20. The Chief Executive shall record in writing the reasons why each Irregular Tender has been accepted or rejected.</p> <p>(h) Irregular Tenders that the Chief Executive has rejected under this Rule must be returned to the Tenderer by the Chief Executive with a covering letter stating the reason for their rejection.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 20</p> <p>Receipt and Opening of Tenders</p> <p>(a) Rules 20(b) to (f) apply only to Tenders where the Estimated Value is £100,000 or more and the Tender is not an E-Tender. Rule 20(g) applies to e-Tenders only.</p> <p>(b) On receipt, envelopes containing Tenders must be date and time stamped by the Chief Executive and shall remain in his custody until they are opened.</p> <p>(c) The Chief Executive must keep a record of all Tenders received.</p> <p>(d) Tenders must be opened at one time in the presence of not less than two Officers one of whom is not involved in the Procurement Exercise and who is designated by the Chief Executive. Each Officer must initial each Tender once opened which must also be date stamped.</p> <p>(e) Particulars of all Tenders opened must be entered by the Chief Executive upon the record which must be signed by the Officers present at the opening, together with a note of all Irregular Tenders.</p> <p>(f) The Chief Executive must forthwith send a copy of the record to the appropriate Procuring Officer (with the Tenders) and must retain a copy himself.</p> <p>(g) E-Tenders must be opened in accordance with the requirements of the electronic tendering process used.</p>	<p>RULE 20</p> <p>Receipt and Opening of Tenders</p> <p>(a) Rules 20(b) to (f) apply only to Tenders where the Estimated Value is equal to or greater than £172,514 and the Tender is not an E-Tender. Rule 20(g) applies to E-Tenders only.</p> <p>(b) On receipt, envelopes containing Tenders must be date and time stamped by the Chief Executive and shall remain in his custody until they are opened.</p> <p>(c) The Chief Executive must keep a record of all Tenders received.</p> <p>(d) Tenders must be opened at one time in the presence of not less than two Officers one of whom is not involved in the Procurement Exercise and who is designated by the Chief Executive. Each Officer must initial each Tender once opened which must also be date stamped.</p> <p>(e) Particulars of all Tenders opened must be entered by the Chief Executive upon the record which must be signed by the Officers present at the opening, together with a note of all Irregular Tenders.</p> <p>(f) The Chief Executive must forthwith send a copy of the record to the appropriate Procuring Officer (with the Tenders) and must retain a copy himself.</p> <p>(g) E-Tenders must be opened in accordance with the requirements of the Electronic Tendering System used.</p>
<p>RULE 21</p> <p>Errors or Discrepancies in Tenders</p> <p>(a) Tenderers are not allowed to alter their Tenders after opening save in accordance with this Rule or Rule 22.</p> <p>(b) Where it is suspected that there has been an error in a Tender and following the closing date for receipt of Tenders but before acceptance of any Tender discussions may take place with Tenderers in order to:</p> <p>(i) ensure that the Tender is constructed correctly; or</p> <p>(ii) ensure that the Tenderer has fully understood the specification; or</p> <p>(iii) seek clarification from Tenderers of cost, quality and performance indicators.</p> <p>(c) A written note of the discussions must be made to record the suspected error, date, time, detail of the discussion and any agreement reached.</p>	<p>No proposed change</p>
<p>RULE 22</p> <p>Discussions and Post Tender Negotiations</p> <p>(a) In the case where the Estimated Value was below the EU Threshold, and following the closing date for receipt of Tenders, but before acceptance of any Tender, the Procuring Officer in consultation with the appropriate Category Manager may carry out Post Tender Negotiations in an attempt to secure</p>	<p>RULE 22</p> <p>Discussions and Post Tender Negotiations</p> <p>(a) In the case where the Estimated Value was below the relevant EU Threshold, the Procuring Officer in consultation with the appropriate Commercial Specialist may carry out Post Tender Negotiations with the Tenderer submitting the most competitive Tender in an attempt to secure improvements in the price or economic advantage in one or more of</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

improvements in the price or economic advantage in one or more of the following circumstances:

- (i) where the most competitive Tender (according to the pre-determined award methodology and evaluation criteria) submitted exceeds the Estimated Value;
- (ii) where it is considered that the price of the most competitive Tender submitted does not represent the best value for money that can reasonably be obtained;
- (iii) where Tenders have been invited only on the basis of unit prices or a schedule of rates and the lowest in aggregate is not the lowest on all items;
- (iv) where the most competitive Tender contains conditions, trading terms, guarantees, or provisions relating to performance or service delivery less favourable than in other Tenders, or than stipulated for and this defect appears capable of being remedied by Post Tender Negotiations.

(b) When conducting Post Tender Negotiations, as part of a Procurement Exercise where the Estimated Value is £100,000 or more (but below the EU Threshold), only the Tenderer submitting the most competitive Tender in accordance with the award methodology and evaluation criteria (Rule 13) may be invited to participate in Post Tender Negotiations.

(c) When conducting Post Tender Negotiations, the following additional rules shall apply:

- (i) At no time during the negotiations must a Tenderer be informed of the detail of any other Tender submitted or as to whether or not the Tender he submitted was the lowest.
- (ii) During negotiations in person there must always be present at least two officers of the County Council.
- (iii) A note of the negotiations will be made by one of the Officers present recording those present, the time and location of the negotiations, detail of the discussion and any agreement reached.
- (iv) Post Tender Negotiations shall not enable any material departure from the published specification. The County Solicitor shall determine whether any proposed change to the specification constitutes a material departure and whether as a consequence other Tenderers shall be permitted to participate in Post Tender Negotiations and/or whether new Tenders should be invited, to avoid any potential allegations of competition being distorted.

(d) Post Tender Negotiations are not allowed in the case of contracts with an Estimated Value exceeding the relevant EU Threshold. However, clarifications of errors or discrepancies in Tenders may take place in accordance with Rule 21.

AWARD OF CONTRACT

RULE 23

Acceptance of Tenders

(a) A Tender can only be accepted in accordance with the initial award methodology and evaluation criteria as set out in Rule 13. Any evaluation sheets must be maintained on file in accordance with Rule 35.

the following circumstances:

- (i) where the most competitive Tender (according to the pre-determined award methodology and evaluation criteria) submitted exceeds the Estimated Value;
- (ii) where it is considered that the price of the most competitive Tender submitted does not represent the best value for money that can reasonably be obtained;
- (iii) where Tenders have been invited only on the basis of unit prices or a schedule of rates and the lowest in aggregate is not the lowest on all items;
- (iv) where the most competitive Tender contains conditions, trading terms, guarantees, or provisions relating to performance or service delivery less favourable than in other Tenders, or than stipulated for and this defect appears capable of being remedied by Post Tender Negotiations.

(b) When conducting Post Tender Negotiations, the following additional **Rules** shall apply:

- (i) At no time during the negotiations must a Tenderer be informed of the detail of any other Tender submitted or as to whether or not the Tender he submitted was the lowest.
- (ii) During negotiations in person there must always be present at least two officers of the Council.
- (iii) A note of the negotiations will be made by one of the Officers present recording those present, the time and location of the negotiations, detail of the discussion and any agreement reached.
- (iv) Post Tender Negotiations shall not enable any material departure from the published specification. The County Solicitor shall determine whether any proposed change to the specification constitutes a material departure.

(c) Post Tender Negotiations are not allowed in the case of contracts with an Estimated Value exceeding the relevant EU Threshold. However, clarifications of errors or discrepancies in Tenders may take place in accordance with Rule 21.

AWARD OF CONTRACT

RULE 23

Acceptance of Tenders

(a) A Tender can only be accepted in accordance with the initial award methodology and evaluation criteria as set out in Rule 13. Any evaluation sheets must be maintained on file in accordance with **Rule 34**.

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>(b) Any Tender with an Estimated Value of below £20,000 (where a Request for Quotation or an Invitation to Tender is not used) may only be accepted with the prior written approval of the Appropriate Chief Officer.</p> <p>(c) If the Tender to be accepted exceeds the budget which was agreed in accordance with Rule 9(f) the Procuring Officer must ensure that sufficient funds are available and approved by the appropriate budget holder, Appropriate Chief Officer or Executive prior to accepting the Tender.</p> <p>(d) An abnormally low Tender may not be rejected without first giving the Tenderer the opportunity to explain the tendered price.</p> <p>(e) The Appropriate Chief Officer shall have the authority to accept a Tender but in any particular circumstance may decline to give approval and refer the decision to the Executive to determine.</p>	<p>(b) Any Tender with an Estimated Value of below £25,000 (where a Request for Quotation or an Invitation to Tender is not used) may only be accepted with the prior written approval of the Appropriate Chief Officer.</p> <p>(c) If the Tender to be accepted exceeds the budget which was agreed in accordance with Rule 5(f) the Procuring Officer must ensure that sufficient funds are available and approved by the appropriate budget holder, Appropriate Chief Officer or Executive prior to accepting the Tender.</p> <p>(d) Where an abnormally low Tender is submitted the Council shall require the Tenderer to explain in writing the price or costs proposed and may only reject the Tender where the explanation is unsatisfactory. Where it is established that the Tender is low due to breaches of environmental, social or labour law, the Council must reject the Tender.</p> <p>(e) The Appropriate Chief Officer shall have the authority to accept a Tender but in any particular circumstance may decline to give approval and refer the decision to the Executive to determine.</p>
<p>RULE 24</p> <p>Notification of Contract Award</p> <p>(a) The Procuring Officer must notify the successful Tenderer of the acceptance of their Tender and for all Procurement Exercises with an Estimated Value of £1,000 or more this notification must be in writing.</p> <p>(b) In the case where the Estimated Value is £20,000 or more the Procuring Officer must notify in writing all Tenderers who submitted a Tender of the decision as soon as possible after the decision has been made.</p> <p>(c) In the case where the Estimated Value is equal to or above the appropriate EU Threshold the following additional Rules shall apply:</p> <p>(i) The notice in Rule 24 (b) shall include the award criteria, the reasons for the decision, including the successful Person's score, the score (if any) of the Person receiving the notice, and the characteristics and (if appropriate) relative advantages of the successful Person's Tender, any reasons why the recipient of the notice did not meet the technical specification, the name of the Person awarded the contract, as well as the date when the standstill period required in accordance with Rule 24 (c)(ii) will come to an end.</p> <p>(ii) A minimum period of 10 calendar days must elapse between the day of sending the notice in Rule 24 (b) and the date on which the Council enters into a contract, if the notice is sent electronically. Where the notice is sent by other means then either 15 days from the day of sending the notice or 10 days from the day of receipt of the notice by the last Tenderer to receive the notice must elapse. In all cases counting the day after sending the notice as day 1. The standstill period must end on a working day.</p> <p>(iii) The Procuring Officer shall ensure that an OJEU contract award notice is placed within 48 days of the contract award.</p> <p>(d) The Procuring Officer must notify the appropriate Category Manager in writing of any contract that has been awarded with a Total Value of £10,000 or more.</p>	<p>RULE 24</p> <p>Notification of Contract Award</p> <p>(a) The Procuring Officer must notify the successful Tenderer of the acceptance of their Tender and for all Procurement Exercises with an Estimated Value of £5,000 or more this notification must be in writing.</p> <p>(b) In the case where the Estimated Value is £25,000 or more the Procuring Officer must notify in writing all Tenderers who submitted a Tender of the decision as soon as possible after the decision has been made.</p> <p>(c) Where a Contract with an Estimated Value of £25,000 or more is awarded the Council must publish information as required by the Public Contracts Regulations 2015 on Contracts Finder within a reasonable time.</p> <p>(d) In the case where the Estimated Value is equal to or greater than the relevant EU Threshold the following additional Rules shall apply:</p> <p>(i) The notice in Rule 24 (b) shall include the award criteria, the reasons for the decision, including the successful Tenderer's score, the score (if any) of the Tenderer receiving the notice, and the characteristics and (if appropriate) relative advantages of the successful Tenderer's Tender, any reasons why the recipient of the notice did not meet the technical specification, the name of the Tenderer awarded the contract, as well as the date when the standstill period required in accordance with Rule 24 (d)(ii) will come to an end.</p> <p>(ii) A minimum period of 10 calendar days must elapse between the day of sending the notice in Rule 24 (b) and the date on which the Council enters into a contract, if the notice is sent electronically. Where the notice is sent by other means then either 15 days from the day of sending the notice or 10 days from the day of receipt of the notice by the last Tenderer to receive the notice must elapse. In all cases counting the day after sending the notice as day 1. The standstill period must end on a working day.</p> <p>(iii) The Procuring Officer shall ensure that an OJEU contract award notice is placed within 30 days of the contract award where required. In the case where contracts are awarded under the regime covering Light Touch Services or Dynamic Purchasing System, award notices may be grouped together in accordance with regulation 74 for Light-Touch Services and regulation 50(5) for Dynamic Purchasing Systems.</p> <p>(e) The Procuring Officer must notify the appropriate Commercial Specialist in writing of any contract that has been</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

	awarded with a Total Value of £10,000 or more.
<p>RULE 25</p> <p>Form of Contract</p> <p>(a) A contract shall be formed:</p> <p>(i) by exchange of letter or electronic communication accepting the successful Tender and incorporating the Invitation to Tender or Request for Quotation and the outcome of any subsequent negotiations and discussions; or</p> <p>(ii) by completion of a formal contract incorporating the Invitation to Tender or Request for Quotation, the Tender and the outcome of any subsequent negotiations and/or discussions; or</p> <p>(iii) by placing an order in accordance with Rule 26.</p> <p>(b) In determining and negotiating the terms and conditions of contract, the Procuring Officer must ensure that the appropriate Standard Terms and Conditions are incorporated unless the Procuring Officer having consulted the appropriate Category Manager considers it inappropriate to do so.</p> <p>(c) All contracts with an Estimated Value of £20,000 or more must be in writing and where appropriate the Appropriate Chief Officer shall:</p> <p>(i) ensure that the contract includes a definition of the circumstances that will be considered to constitute a default on the terms of the contract by the supplier. The contract must provide for notice of default to be given to the supplier and for any resulting losses to be recovered from the supplier if the default is not rectified.</p> <p>(ii) decide whether it is necessary to require suppliers to provide a Performance Bond with a third party. The need for this will depend on an assessment of the risk associated with the contract or the supplier.</p> <p>(iii) ensure that the contract provides for the supplier to have an insurance policy, which can be inspected during the contract period. The Chief Financial Officer shall be consulted on the insurance requirements.</p> <p>(iv) consult the Chief Financial Officer on the appropriate VAT requirements.</p> <p>(d) Every contract must be signed by the Appropriate Chief Officer or an Officer designated by him and in cases determined by the County Solicitor shall be under seal in the form prepared or approved by him or her.</p> <p>(e) Except after consultation with the County Solicitor, work or services must not be authorised to commence or goods to be supplied where such works, services or goods are to be the subject of a contract under seal entered into between the Council and the supplier, until the County Solicitor has advised that the contract has been signed by the supplier.</p>	<p>RULE 25</p> <p>Form of Contract</p> <p>(a) A contract shall be formed:</p> <p>(i) by exchange of letter or electronic communication accepting the successful Tender and incorporating the Invitation to Tender or Request for Quotation and the outcome of any subsequent negotiations and discussions; or</p> <p>(ii) by completion of a formal contract incorporating the Invitation to Tender or Request for Quotation, the Tender and the outcome of any subsequent negotiations and/or discussions; or</p> <p>(iii) by placing an order in accordance with Rule 26.</p> <p>(b) In determining and negotiating the terms and conditions of contract, the Procuring Officer must ensure that the appropriate Standard Terms and Conditions are incorporated unless the Procuring Officer having consulted the County Solicitor and the appropriate Commercial Specialist considers it inappropriate to do so.</p> <p>(c) All contracts with an Estimated Value of £25,000 or more must be in writing and where appropriate the Appropriate Chief Officer shall:</p> <p>(i) ensure that the contract includes a definition of the circumstances that will be considered to constitute a default on the terms of the contract by the supplier. The contract must provide for notice of default to be given to the supplier and for any resulting losses to be recovered from the supplier if the default is not rectified.</p> <p>(ii) decide whether it is necessary to require suppliers to provide a Performance Bond with a third party. The need for this will depend on an assessment of the risk associated with the contract or the supplier.</p> <p>(iii) ensure that the contract provides for the supplier to have an insurance policy, which can be inspected during the contract period. The Chief Financial Officer shall be consulted on the insurance requirements.</p> <p>(iv) consult the Chief Financial Officer on the appropriate VAT requirements.</p> <p>(d) Every contract must be signed by the Appropriate Chief Officer or an Officer designated by him and in cases determined by the County Solicitor shall be under seal in the form prepared or approved by him.</p> <p>(e) Except after consultation with the County Solicitor, work or services must not be authorised to commence or goods to be supplied where such works, services or goods are to be the subject of a contract under seal entered into between the Council and the supplier, until the County Solicitor has advised that the contract has been signed by the supplier.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 26</p> <p>Orders for work, goods and services</p> <p>Orders for work, goods and services must only be placed in accordance with Instruction 8 of the Standard Financial Instructions.</p>	<p>No proposed change</p>
<p>STANDING LISTS</p> <p>RULE 27</p> <p>Standing Lists</p> <p>(a) Standing Lists must not be created or added to without the prior written approval of the Appropriate Chief Officer in consultation with the appropriate Category Manager.</p> <p>(b) Procuring Officers must not use a Standing List where the total value of contracts to be awarded using the Standing List is estimated to exceed the relevant EU Threshold.</p> <p>(c) The Standing List must contain the names of all Persons who are approved and indicate the categories of contract and the values or amounts in respect of those categories for which those Persons are approved.</p> <p>(d) At least four weeks before a list is first compiled, the Procuring Officer must publish on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market a notice inviting applications by a specified date for inclusion in it.</p> <p>(e) Procuring Officers must renew all Standing Lists at intervals not exceeding four years. At least four weeks before each renewal, each Person whose name appears in the list must be notified by the Procuring Officer of the intention to review the list. If they wish to remain on the list they must re-apply for inclusion. Procuring Officers must ensure that notices inviting applications for inclusion in the list are published in the manner provided by Rule 27(d).</p> <p>(f) The case where the use of a Standing List has been authorised the Procuring Officer must send Invitations to Tender to not less than four of the Persons from among those approved for a contract of the relevant category and amount or value. Where fewer than four Persons are approved for a contract of the relevant category and amount or value Invitations to Tender shall be sent to no fewer than three Persons. Where there are fewer than three Persons the procedure for Standing Lists must not be used unless the appropriate Category Manager advises otherwise.</p> <p>(g) The Procuring Officer in consultation with the Category Manager shall determine the criteria for selecting Persons from the list.</p> <p>(h) In such circumstances as the Director of Corporate Resources shall determine, Procuring Officers shall provide such information as shall reasonably be necessary of the extent to which Standing Lists have been utilised.</p>	<p>STANDING LISTS</p> <p>RULE 27</p> <p>Standing Lists</p> <p>(a) Standing Lists must not be created or added to without the prior written approval of the Appropriate Chief Officer in consultation with the appropriate Commercial Specialist.</p> <p>(b) Procuring Officers must not use a Standing List where the total value of contracts to be awarded using the Standing List is estimated to exceed the relevant EU Threshold.</p> <p>(c) The Standing List must contain the names of all Persons who are approved and indicate the categories of contract and the values or amounts in respect of those categories for which those Persons are approved.</p> <p>(d) At least four weeks before a list is first compiled, the Procuring Officer must publish on a website approved by the Director of Corporate Resources for the purpose of notifying the supply market a notice inviting applications by a specified date for inclusion in it.</p> <p>(e) Procuring Officers must renew all Standing Lists at intervals not exceeding four years. At least four weeks before each renewal, each Person whose name appears in the list must be notified by the Procuring Officer of the intention to review the list. If they wish to remain on the list they must re-apply for inclusion. Procuring Officers must ensure that notices inviting applications for inclusion in the list are published in the manner provided by Rule 27(d).</p> <p>(f) The case where the use of a Standing List has been authorised the Procuring Officer must send Invitations to Tender to not less than four of the Persons from among those approved for a contract of the relevant category and amount or value. Where fewer than four Persons are approved for a contract of the relevant category and amount or value Invitations to Tender shall be sent to no fewer than three Persons. Where there are fewer than three Persons the procedure for Standing Lists must not be used unless the appropriate Commercial Specialist advises otherwise.</p> <p>(g) The Procuring Officer in consultation with the Commercial Specialist shall determine the criteria for selecting Persons from the list.</p> <p>(h) In such circumstances as the Director of Corporate Resources shall determine, Procuring Officers shall provide such information as shall reasonably be necessary of the extent to which Standing Lists have been utilised.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>FRAMEWORK AGREEMENTS</p> <p>RULE 28</p> <p>Framework Agreements</p> <p>(a) Procuring Officers must establish all Framework Agreements in accordance with these Rules.</p> <p>(b) Framework Agreements must not be awarded for more than 4 years, including any extensions without the prior written consent of the Director of Corporate Resources.</p> <p>(c) All suppliers on the Framework Agreement must be invited to participate in a Further Competition unless it is clear from the terms of the Framework Agreement which supplier best meets the award methodology set out in the Framework Agreement in which case that supplier may be selected.</p> <p>(d) New suppliers may only be added to a Framework Agreement throughout its duration in circumstances where:</p> <p>(i) the Estimated Value is below the EU Threshold; or</p> <p>(ii) the services tendered are Part B Services to which the full regime of the Public Contracts Regulations 2006 is not considered to apply: and</p> <p>provided that the Invitation to Tender states:</p> <p>(aa) that new suppliers may be added to the Framework Agreement; and</p> <p>(bb) how many suppliers can apply to be added to the Framework Agreement; and</p> <p>(cc) that the same evaluation criteria and award methodology are applied when deciding whether to award a place on the Framework Agreement to new suppliers as was applied at the time of the original award.</p>	<p>FRAMEWORK AGREEMENTS</p> <p>RULE 28</p> <p>Framework Agreements</p> <p>(a) Procuring Officers must establish all Framework Agreements in accordance with these Rules.</p> <p>(b) Framework Agreements must not be awarded for more than 4 years, including any extensions without the prior written consent of the Director of Corporate Resources following consultation with the County Solicitor.</p> <p>(c) All suppliers on the Framework Agreement capable of performing the contract must be invited to participate in a Further Competition unless it is clear from the terms of the Framework Agreement which supplier best meets the award methodology set out in the Framework Agreement in which case that supplier may be selected.</p> <p>(d) Additional suppliers may only be added to a Framework Agreement throughout its duration in circumstances where:</p> <p>(i) the Estimated Value is below the EU Threshold; or</p> <p>(ii) the services tendered are Light-Touch Services to which the full regime of the Public Contracts Regulations 2015 is not considered to apply: and</p> <p>provided that the Invitation to Tender states:</p> <p>(aa) that new suppliers may be added to the Framework Agreement; and</p> <p>(bb) how many suppliers can apply to be added to the Framework Agreement; and</p> <p>(cc) that the same evaluation criteria and award methodology are applied when deciding whether to award a place on the Framework Agreement to new suppliers as was applied at the time of the original award.</p>
<p>RULE 29</p> <p>Dynamic Purchasing Systems</p> <p>Procuring Officers must only establish Dynamic Purchasing Systems with the prior written approval of the Director of Corporate Resources and in accordance with the requirements of the EU Directives and these Rules where appropriate.</p>	<p>RULE 29</p> <p>Dynamic Purchasing Systems</p> <p>Procuring Officers must only establish Dynamic Purchasing Systems with the prior written approval of the Director of Corporate Resources and in accordance with the requirements of the Public Contracts Regulations 2015 and these Rules where appropriate.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

CONTRACT AMENDMENTS

RULE 30

Contract Variations

In the case of a contract which was originally approved by the Executive and where any variations are considered significant by the Director of Corporate Resources or the County Solicitor in consultation with the appropriate Category Manager, then authority must be gained from the Executive. In all other circumstance the following applies:

- (a) Prior to any variation being agreed which would result in an increase in the Total Value of the contract the Procuring Officer must ensure that sufficient additional budget provision has been approved by the budget holder.
- (b) If the Total Value of the contract is under £100,000, including the planned variation, the Appropriate Chief Officer in consultation with the appropriate Category Manager shall be authorised to vary the contract.
- (c) In the case of a contract with a Total Value of £100,000 or more:
 - (i) for variation(s) that would increase or decrease the Total Value of the contract by 10% or more, the Appropriate Chief Officer in consultation with the appropriate Category Manager and the County Solicitor must gain the prior approval of the Director of Corporate Resources. This authorisation must be issued before the work is carried out, or in the case of an emergency, immediately thereafter;
 - (ii) for any variation(s) that would increase or decrease the Total Value of the contract by less than 10% the Appropriate Chief Officer in consultation with the appropriate Category Manager shall be authorised to vary the contract. This authorisation must be issued before the work is carried out, or in the case of an emergency, immediately thereafter.
- (d) In the case of a contract which was originally approved by the Executive and where any variations are considered significant by the Director of Corporate Resources or the County Solicitor in consultation with the appropriate Category Manager, then the Executive must be informed as soon as practicable.
- (e) All contract variations must be within the scope of the original contract.

RULE 31

Contract Extensions

If the contract was originally approved by the Executive and where the duration of the planned extension is more than three months and not provided for in the contract then authority must be gained from the Executive. In all other circumstances the following applies:

- (i) If the Total Value of a contract, including the planned extension, is under £100,000 and the contract provides for the extension the Appropriate Chief Officer shall be authorised to extend the contract;
- (ii) If the Total Value of a contract, including the planned extension, is £100,000 or more and the contract provides for the extension the Appropriate Chief Officer shall be authorised to extend the contract in

CONTRACT AMENDMENTS

RULE 30

Contract Modifications and Extensions

Contract Modifications

- (a) Subject to Rule 30(b) below, Contracts may be modified where the value of the modification is;
 - (i) below the current EU Threshold for service/supply/works contracts; and
 - (ii) is less than 10% of the initial Contract value for service and supply contracts and less than 15% of the initial Contract value for works.
- (b) The Appropriate Chief Officer in consultation with the Commercial Specialist shall be authorised to modify the contract in accordance with Rule 30(a) above provided:
 - (i) the modification does not alter the overall nature of the Contract; and
 - (ii) where there is, or has been more than one modification, the value shall be the net cumulative value of all modifications for the purpose of Rule 30(a) above.
- (c) In all other circumstances, where the proposed modification exceeds the values stated under Rule 30(a) (i) and/or 30(a) (ii) or where the proposed modification does not fall within Rule 30(a) above, the Appropriate Chief Officer in consultation with the Commercial Specialist and the County Solicitor must gain the prior approval of the Director of Corporate Resources. This authorisation must be issued before the supply, services or works are carried out.
- (d) Prior to any modification being agreed which would result in an increase in the Total Value of the Contract the Procuring Officer must ensure that sufficient additional budget provision has been approved by the budget holder.

Contract Extensions

- (e) Where a Contract Extension has been provided for both in the Initial Procurement Documents and in the Contract in clear and precise terms then the Appropriate Chief Officer shall be authorised to extend the Contract in consultation with the Commercial Specialist.
- (f) For the purpose of this Rule 30 “Initial Procurement Documents” shall mean any notice, OJEU notice, Request for Quotation, Invitation to Tender or Specification.
- (g) Where the Initial Procurement Documents and/or the Contract does not provide for an extension the Appropriate Chief Officer in consultation with the Commercial Specialist shall consider the extension as a modification to the Contract and shall only be authorised to extend the Contract in accordance with Rules 30(a) and 30(b) above.
- (h) In all other circumstances and where Rule 30(e) and 30(g) above do not apply, the Appropriate Chief Officer in consultation with the Commercial Specialist and the County Solicitor must gain the prior approval of the Director of Corporate Resources. This authorisation must be issued before the extension is carried out.
- (i) Prior to any extension being agreed which would result in an increase in the Total Value of the Contract the

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>consultation with the Category Manager;</p> <p>(iii) If the Total Value of a contract, including the planned extension, is under £100,000 and the contract does not provide for the extension the Appropriate Chief Officer, in consultation with the Procuring Officer and appropriate Category Manager, shall be authorised to extend the contract on a one-off basis;</p> <p>(iv) If the Total Value of a contract, including the planned extension, is £100,000 or more and the contract does not provide for the extension the Appropriate Chief Officer must gain the prior approval of the Director of Corporate Resources to extend the contract;</p> <p>(v) In the case of contracts tendered in accordance with the EU Directive any extension will only be permissible if this was properly described in the original OJEU notice, where applicable.</p>	<p>Procuring Officer must ensure that sufficient additional budget provision has been approved by the budget holder.</p>
<p>RULE 32</p> <p>Novation of Existing Contracts</p> <p>The novation of a contract to a new Person requires the prior written approval of the Director of Corporate Resources in consultation with the County Solicitor.</p>	<p>RULE 31 Change on rule number only.</p>
<p>RULE 33</p> <p>Early Termination of Contracts</p> <p>Unless a provision for early termination is clearly stated in the contract, Procuring Officers shall seek advice from the County Solicitor where it is intended to terminate a contract early. Where the Total Value of the contract is £100,000 or more the prior written approval of the Director of Corporate Resources shall also be obtained.</p>	<p>RULE 32</p> <p>Early Termination of Contracts</p> <p>Unless a provision for early termination is clearly stated in the contract, Procuring Officers shall seek advice from the County Solicitor where it is intended to terminate a contract early. Where the Total Value of the contract is equal to £172,514 or more the prior written approval of the Director of Corporate Resources shall also be obtained.</p>
<p>MISCELLANEOUS PROVISIONS</p> <p>RULE 34</p> <p>Application of these Rules to ESPO</p> <p>(a) Where acting solely on behalf of the Council ESPO must comply with these Rules where applicable.</p> <p>(b) In cases where ESPO is acting on behalf of the Council:</p> <p>(i) ESPO is authorised to act as agent of the Council in place of the Appropriate Chief Officer or Procuring Officer for the purposes of Rules 14, 15, 16, 17, 18, 19, 20, 21, 22, 24, 25, 27 and 28 and these Rules shall be construed accordingly.</p> <p>(ii) ESPO is authorised to act as agent of the Chief Executive for the purposes of Rules 18, 19 and 20.</p> <p>(iii) For the avoidance of doubt, decisions under Rule 23 shall remain the responsibility of Procuring Officers who may receive advice from ESPO.</p>	<p>MISCELLANEOUS PROVISIONS</p> <p>RULE 33 Change on rule number only.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>RULE 35</p> <p>Document Retention</p> <p>(a) All contract records, that might be required in court proceedings must be retained for at least six years and any under seal for at least twelve years from expiry of the contract.</p> <p>(b) Where the contract is externally funded any contingent liabilities and/or grant conditions must be taken account of by the length of the retention period.</p>	<p>RULE 34 Change on rule number only.</p>
<p>RULE 36</p> <p>Supervision of Contracts by Third Parties</p> <p>(a) The Procuring Officer shall ensure that it is a condition of any contract between the Council and any Person (not being an Officer of the Council) who is involved in a Procurement Exercise or the management of a contract on behalf of the Council that in relation to that contract he must comply with the requirements of these Rules and other reasonable requirements of the Council.</p> <p>(b) Such Person must:</p> <p>(i) at any time during the carrying out of the contract produce to the Appropriate Chief Officer or his representative or Council Auditor on request all records maintained by him in relation to the contract; and</p> <p>(ii) on completion of the contract transmit all records to the Appropriate Chief Officer.</p>	<p>RULE 35 Change on rule number only.</p>
<p>RULE 37</p> <p>Nominated Sub-Contractors and Suppliers</p> <p>(a) Where a sub-contractor or supplier is to be nominated by the Council to a main contractor, the provisions of these Rules shall have effect.</p> <p>(b) The terms of an Invitation to Tender under Rule 18 must require an undertaking by the Tenderer that, if selected, they will be willing to enter into a contract with the main contractor on terms which indemnify the main contractor against their own obligations under the main contract in relation to the work, supplies or services included in the sub-contract.</p>	<p>RULE 36 Change on rule number only.</p>

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

SCHEDULE 1

Interpretation

- 1 “Appropriate Chief Officer” means the Chief Officer responsible for the function to which the contract relates except that, where another Chief Officer is responsible for the letting of the contract, it shall mean that Chief Officer in consultation with the Chief Officer on whose behalf the contract is to be let.
- 2 “Best Value” means the duty of the Council to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 3 “Category Manager” means a Commercial Specialist or other Officer authorised by the Director of Corporate Resources to manage the procurement of a category or categories of goods, services and/or works. Where there is no Category Manager for the goods, services and/or works being procured the Head of Procurement shall adopt this role.
- 4 “Chief Financial Officer” is a statutory appointment pursuant to Section 151 of the Local Government Act 1972. The functions of the Chief Financial Officer are set out in Article 12 of Part 2 of the Council’s Constitution.
- 5 "Concessions" are contracts of the same type as public service contracts, except for the fact that the consideration for the provision of services or works consists either solely in the right to exploit the service or work, or in this right together with payment.
- 6 "Contract" means a binding agreement between two or more parties for performing, or refraining from performing, some specified act(s) in exchange for lawful consideration.
- 7 "Contract Extension" means an extension to the duration of the contract, but not including any alteration to the scope of the contract.
- 8 “Contract Opportunity Publication” is the means by which a Procurement Exercise is advertised, and includes (where appropriate) the ‘Contract Notice’ as defined in the Public Contract Regulations 2006.
- 9 "Contract Variation" means an alteration to the scope of the contract, but not the extension of the duration of the contract.
- 10 “Corporate Contract” means any Contract or Framework Agreement or other arrangement put in place by the Council itself, ESPO, or any other Public Sector Organisation (including other Local Authorities) or Consortium in which the Council is entitled to participate and which, where necessary, has been awarded in an EU compliant manner.
- 11 “Council” means Leicestershire County Council.
- 12 “Dynamic Purchasing System” means a completely electronic process, which has a limited duration, for making commonly used purchases, as more particularly defined and described in the Public Contract Regulations 2006.

SCHEDULE 1

Interpretation

1. “Appropriate Chief Officer” means the Chief Officer responsible for the function to which the contract relates except that, where another Chief Officer is responsible for the letting of the contract, it shall mean that Chief Officer in consultation with the Chief Officer on whose behalf the contract is to be let.
2. “Best Value” means the duty of the Council to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
3. “Chief Financial Officer” is a statutory appointment pursuant to Section 151 of the Local Government Act 1972. The functions of the Chief Financial Officer are set out in Article 12 of Part 2 of the Council’s Constitution.
4. “Commercial Specialist” means an Officer authorised by the Director of Corporate Resources to manage the procurement of a category or categories of goods, services and/or works. Where there is no Commercial Specialist for the goods, services and/or works being procured the Head of Commissioning and Procurement shall adopt this role.
5. "Concessions" are contracts of the same type as public service contracts, except for the fact that the consideration for the provision of services or works consists either solely in the right to exploit the service or work, or in this right together with payment.
6. "Contract" means a binding agreement between two or more parties for performing, or refraining from performing, some specified act(s) in exchange for lawful consideration.
7. "Contract Extension" means an extension to the duration of the contract, but not including any alteration to the scope of the contract.
8. “Contracts Finder” means the web-based portal provided for the purposes of Part 4 of the Public Contracts Regulations 2015.
9. “Contract Opportunity Publication” is the means by which a Procurement Exercise is advertised, and includes (where appropriate) the ‘Contract Notice’ and Contracts Finder as defined in the Public Contract Regulations 2015.
10. "Contract Modification" means an alteration to the scope of the contract.
11. “Corporate Contract” means any Contract or Framework Agreement or other arrangement put in place by the Council itself, ESPO, or any other Public Sector Organisation (including other Local Authorities) or Consortium in which the Council is entitled to participate and which, where necessary, has been awarded in compliance with EU legislation.
12. “Council” means Leicestershire County Council.
13. “Dynamic Purchasing System” means a completely electronic process, which has a limited duration, for making commonly used purchases, as more particularly defined and described in the Public Contract Regulations 2015.
14. “Electronic Tendering System” means an electronic tendering system approved in accordance with Rule 5 (g) (ii).

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>13 “ESPO” means the Eastern Shires Purchasing Organisation being a local authority purchasing and distribution consortium of which the Council is a joint member authority.</p> <p>14 "Estimated Value" means the value as estimated under Rule10.</p> <p>15 “E-Tender” means a Tender that has been submitted using an electronic tendering system that complies with Rule 5 (g).</p> <p>16 "EU Threshold" means the respective threshold for Supplies, Works or Part A services contracts referred to in the Public Contract Regulations 2006.</p> <p>17 “Executive” means the executive or committee determined in accordance with the Council’s constitution.</p> <p>18 “Formal Tender Process” is a process following the requirements of Open Tendering, Restricted Tendering, Standing List, Negotiated Procedure or Competitive Dialogue</p> <p>19 “Framework Agreement" is a general term for agreements with suppliers which set out terms and conditions under which specific purchases (call-offs) can be made throughout the term of the agreement. The Framework Agreement may, itself, be a contract to which the EU procurement directives apply.</p> <p>20 A "Further Competition" is undertaken where not all the terms of a proposed contract are laid down in a Framework Agreement. It involves re-opening competition between the economic operators which are parties to the Framework Agreement and which are capable of performing the proposed contract, on the basis of the same or, if necessary, more precisely formulated terms, and where appropriate other terms referred to in the contract documents based on the Framework Agreement.</p> <p>21 “Invitation to Tender” means the document(s) containing the specification, proposed terms and conditions and other appropriate information as issued to the Tenderers to solicit Formal Tenders.</p> <p>22 “Irregular Tender” means a Tender that does not fully comply with the instructions given in the Invitation to Tender.</p> <p>23 “Officer” means an employee of the Council.</p> <p>24 “OJEU” means Official Journal of the European Union.</p> <p>25 “Part A Services” are defined in The Public Contract Regulations 2006, and are distinct from the other type of services, Part B Services, defined in the Regulations. The Regulations that apply to the two types of service are different, with the procurement of Part A Services being more heavily regulated than for Part B Services.</p> <p>26 “Part B Services” are defined in The Public Contract Regulations 2006, and are distinct from the other type of services, Part A Services, defined in the Regulations. The Regulations that apply to the two types of service are different, with the procurement of Part A Services being more heavily regulated than for Part B Services.</p>	<p>15. “ESPO” means the Eastern Shires Purchasing Organisation being a local authority purchasing and distribution consortium of which the Council is a joint member authority.</p> <p>16. "Estimated Value" means the value as estimated under Rule10.</p> <p>17. “E-Tender” means a Tender that has been submitted using an Electronic Tendering System.</p> <p>18. "EU Threshold" means the respective threshold for Services, Supplies, Works or Light-Touch Services contracts referred to in the Public Contract Regulations 2015.</p> <p>19. “Executive” means the executive or committee determined in accordance with the Council’s constitution.</p> <p>20. “Formal Tender Process” is a process following the requirements of Open Tendering, Restricted Tendering, Standing List, Negotiated Procedure, Competitive Procedure with Negotiation, Competitive Dialogue or Innovation Partnership Procedure. And Formal Tender shall be construed accordingly.</p> <p>21. “Framework Agreement" is a general term for agreements with suppliers which set out terms and conditions under which specific purchases (call-offs) can be made throughout the term of the agreement. The Framework Agreement may, itself, be a contract to which the EU procurement directives and Public Contracts Regulations 2006 and 2015 apply.</p> <p>22. "Further Competition" is undertaken where not all the terms of a proposed contract are laid down in a Framework Agreement. It involves re-opening competition between the economic operators which are parties to the Framework Agreement and which are capable of performing the proposed contract, on the basis of the same or, if necessary, more precisely formulated terms, and where appropriate other terms referred to in the contract documents based on the Framework Agreement.</p> <p>23. “Invitation to Tender” means the document(s) containing the specification, proposed terms and conditions and other appropriate information as issued to the Tenderers to solicit Formal Tenders.</p> <p>24. “Irregular Tender” means a Tender that does not fully comply with the instructions given in the Invitation to Tender.</p> <p>25. “Life-Cycle Costing” means all or part of the following costs over the life-cycle of a product, service or works, to the extent that they are relevant:</p> <p>(i) Costs of acquisition,</p> <p>(ii) Costs of use, such as consumption of energy and other resources,</p> <p>(iii) Maintenance costs,</p> <p>(iv) End of life costs, such as collection and recycling costs,</p> <p>(v) Costs imputed to the environmental externalities linked to the product, service or works during its life cycle, provided their monetary value can be determined and verified. These costs may include the cost of emissions of greenhouse gases and of other pollutant emissions and other climate change mitigation costs.</p>
---	---

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>27 “Person” includes a partnership, body corporate or unincorporated association.</p> <p>28 “Post Tender Negotiations” means the ability to negotiate with a Tenderer after a Tender has been opened and evaluated in accordance with the published evaluation criteria for the purposes of securing an improvement in the delivery of the contract including but not limited to improvements in price.</p> <p>29 “Procurement Exercise” means any process by which goods, services and/or works are to be procured including but not limited to Request for Quotations and Formal Tender Processes. For the purpose of these Rules a contract for a Concession shall be treated as a Procurement Exercise.</p> <p>30 “Procuring Officer” means any Officer, acting under the delegated powers of a Chief Officer, who is responsible for the procurement of goods and services.</p> <p>31 “Public Contracts Regulations 2006” means the Public Contracts Regulations 2006 as amended, modified, consolidated, extended, re-enacted or replaced, including the Public Contracts (Amendment) Regulations 2009. These Regulations implement the EU Consolidated Directive on Public Procurement into UK law and reflect the principles of the EU Treaty of Rome.</p> <p>32 A “Quotation” is an offer to sell works, goods and/or services at a stated price under specified conditions. A Quote or Quotation may or may not be written.</p> <p>33 “Request for Quotation” (“RFQ”) means a document or documents containing the specification, and proposed terms and conditions issued to potential suppliers to solicit written Quotations.</p> <p>34 “Standard Terms and Conditions” means standard contractual terms used by Leicestershire County Council, including those attached to iprocurement orders or orders generated by ‘line of business’ systems, those included in Request for Quotation templates, and standard industry terms.</p> <p>35 “Standing List” means a list of Persons which has been established in accordance with Rule 27.</p> <p>36 "Sustainable Commissioning and Procurement Strategy" means the strategy document that explains how the Council's commissioning and procurement activity will be used between 2009 and 2013 to improve the quality of life for the people of Leicestershire and make Leicestershire the best possible place to live and work for everyone.</p> <p>37 “Tender” means the formal offer from a Tenderer, which is capable of acceptance by the Council, which is a response to an Invitation to Tender. It shall include all documents comprising the submission including pricing, technical specification and method statements as well as information about the Tenderer. A written Quote or Quotation is also a Tender. The term “Tender” also includes an E-Tender except where the context implies otherwise.</p> <p>38 “Tenderer” or “Tenderers” means the Person or Persons invited to participate in a Procurement Exercise.</p> <p>39 “Total Value” means the value of a contract which has been calculated in accordance with Rule 10(b) (excluding Rule 10(b)(vi)) reading where appropriate Total Value for Estimated Value.</p>	<p>26. “Light-Touch Services” means those services referred to in regulation 74 and Schedule 3 of the Public Contracts Regulations 2015.</p> <p>27. “Officer” means an employee of the Council.</p> <p>28. “OJEU” means Official Journal of the European Union.</p> <p>29. “Person” includes a partnership, body corporate or unincorporated association.</p> <p>30. “Post Tender Negotiations” means the ability to negotiate with a Tenderer after a Tender has been opened and evaluated in accordance with the published evaluation criteria for the purposes of securing an improvement in the delivery of the contract including but not limited to improvements in price.</p> <p>31. “Procurement Exercise” means any process by which goods, services and/or works are to be procured including but not limited to Request for Quotations and Formal Tender Processes. For the purpose of these Rules a contract for a Concession shall be treated as a Procurement Exercise.</p> <p>32. “Procuring Officer” means any Officer, acting under the delegated powers of the Appropriate Chief Officer, who is responsible for the procurement of goods and services.</p> <p>33. “Public Contracts Regulations 2015” means the Public Contracts Regulations 2015 as amended, consolidated, extended, re-enacted or replaced. These Regulations implement Directive 2014/24/EU of the European Parliament and of the Council on Public Procurement.</p> <p>34. “Quotation” means an offer to sell works, goods and/or services at a stated price under specified conditions. A Quotation may or may not be written.</p> <p>35. “Request for Quotation” (“RFQ”) means a document or documents containing the specification, and proposed terms and conditions issued to potential suppliers to solicit written Quotations.</p> <p>36. “Standard Terms and Conditions” means standard contractual terms used by Leicestershire County Council, including those attached to iprocurement orders or orders generated by ‘line of business’ systems, those included in Request for Quotation templates, and standard industry terms.</p> <p>37. “Standardised Pre-Qualification Questionnaire” means a questionnaire that complies with the Crown Commercial Service statutory guidance relating to Pre-Qualification Questionnaires.</p> <p>38. “Standing List” means a list of Persons which has been established in accordance with Rule 27.</p> <p>39. “Suitability Assessment Question” means a question which relates to the subject matter of the procurement and is proportionate and which the Council requires for assessing the Tenderers suitability.</p> <p>40. " Commissioning and Procurement Strategy" means the strategy document that explains how the Council's commissioning and procurement activity will be used between 2014 and 2018 to improve the quality of life for the people of Leicestershire and make Leicestershire the best possible place to live and work for everyone.</p> <p>41. “Tender” means the formal offer from a Tenderer, which is capable of acceptance by the Council, which is a response to an Invitation to Tender. It shall include all documents comprising the submission including pricing, technical specification and method statements as well as information about the Tenderer. A written Quotation is</p>
---	---

APPENDIX B: Proposed Amendments to Part 4 G - Contract Procedure Rules

<p>40 "In writing" or "written" for the purpose of interpreting these Rules includes transmission by any electronic means which have been approved by the County Solicitor in consultation with the Director of Corporate Resources.</p> <p>Words imparting the masculine include the feminine gender.</p>	<p>also a Tender. The term “Tender” also includes an E-Tender except where the context implies otherwise.</p> <p>42. “Tenderer” or “Tenderers” means the Person or Persons invited to participate in a Procurement Exercise.</p> <p>43. “Total Value” means the value of a Contract which has been calculated in accordance with Rule 10(b) (excluding Rule 10 (b) (vii)) reading where appropriate Total Value for Estimated Value.</p> <p>44. "In writing" or "written" for the purpose of interpreting these Rules includes transmission by any electronic means which have been approved by the County Solicitor in consultation with the Director of Corporate Resources.</p> <p>45. Words imparting the masculine include the feminine gender.</p> <p>46. “Rule(s)” means these Contract Procedure Rules as may be amended from time to time.</p>
--	---