

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE

24 SEPTEMBER 2015

SUPPLEMENTARY INFORMATION SHEET

ITEM 4 – TREASURY MANAGEMENT ANNUAL STRATEGY REPORT 2016-17 AND TREASURY PRUDENTIAL INDICATORS 2016-17 TO 2020-21

Corrections:

- Para 4.2 (page 11): penultimate bullet point should read: “include a table on gearing - total debt / total assets”
- The table on page 18 should read:

CAPITAL EXPENDITURE SUMMARY	2015-16 Approved £000	2015-16 Outturn £000	2016-17 Estimate £000	2017-18 Estimate £000	2018-19 Estimate £000	2019-20 Estimate £000	2020-21 Estimate £000
General Fund Capital Expenditure							
- Main Programme	24,166	26,714	3,635	160	100	0	0
- Provisional schemes	36,508	672	57,944	11,188	53,422	8,595	0
- New bids gross cost	0	0	54,319	70,182	88,722	35,326	7,277
- Schemes funded by reserves	20	3,025	1,417	1,843	493	350	0
- S106 Projects	2,080	741	295	0	0	0	0
- Housing Grants (General Fund)	600	600	600	590	590	590	590
- Affordable Housing (General Fund)	755	755	150	150	150	150	0
Total Expenditure	64,129	32,507	118,360	84,113	143,477	45,011	7,867
Financed by :							
Capital Receipts	0	(4,098)	(2,530)	(30)	(30)	(30)	(30)
Capital Grants/Contributions	(1,286)	(1,311)	(12,207)	(10,323)	(8,701)	(5,100)	(600)
Capital Reserves/Revenue	(3,512)	(5,749)	(16,259)	(3,130)	(2,205)	(1,737)	(1,237)
Borrowing	(59,331)	(21,349)	(87,364)	(70,630)	(132,541)	(38,144)	(6,000)
Financing - Totals	(64,129)	(32,507)	(118,360)	(84,113)	(143,477)	(45,011)	(7,867)
Housing Revenue Account Capital Expenditure							
Total Expenditure	23,842	10,837	23,089	8,385	9,160	12,795	5,475
Financed by :							
- Capital Receipts	(5,505)	(1,604)	(5,684)	(1,273)	(1,506)	(2,596)	(400)
- Capital Reserves/Revenue	(18,337)	(9,233)	(17,405)	(7,112)	(7,655)	(10,199)	(5,075)
Financing - Totals	(23,842)	(10,837)	(23,089)	(8,385)	(9,160)	(12,795)	(5,475)

- Paragraph 5 of the Treasury Management Policy in Appendix 2 (page 41) should read:

“The Council nominates the Corporate Improvement Scrutiny *Governance and Standards* Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies”.

ITEM 7 - E-TENDERING – PROPOSED AMENDMENTS TO PROCUREMENT PROCEDURE RULES

Amendments:

3.3.2:

- Option 3: Have the opening ceremony run by the procuring officer **and Director, or his nominee**, followed by confirmation of the returns and timings to be sent to the appropriate procurement stakeholders, which dependent on contract value may include the Lead Councillor,

Director of Corporate Services and the Head of Service. This confirmation would include the information currently required for the tender register, covered in paragraph 25.10.4.

3.4 Recommended Text for the E-Tendering Appendix

Appendix 3

E-Tendering

1. Introduction

- 1.1 These rules apply to all procurement activity undertaken using the Council's e-tendering portal.
- 1.2 The use of e-tendering is optional during the introductory period. Following the introductory period the use of e-tendering will become mandatory for all procurements.
- 1.3 The use of e-tendering is being introduced following the introduction of the Public Contracts Regulations 2015. The use of electronic means to publish tender opportunities and make the documents available electronically is required by regulation 22.
- 1.4 All procuring officers will be required to attend training before being given access to the e-tendering portal.

2. Thresholds

- 2.1 The use of e-tendering is not based on monetary thresholds, it is suitable for all quotes, tenders and framework mini-competitions.

3. Guidance & Mandatory Settings

- 3.1 When setting up a new procurement on the e-tendering portal the procuring officer must refer to the separate E-Tendering Guidance document and, in particular, the mandatory settings.
- 3.2 The E-Tendering Guidance document is available on the intranet in the Procurement Toolkit.

4. Communication

- 4.1 All communication during the tender process must be conducted via the e-tendering portal, **in accordance with the instructions to tenderers.**
- 4.2 Any clarification questions must be submitted **by tenderers** using the correspondence function of the e-tendering portal.
- 4.3 In the event the procuring officer is contacted via email, telephone or in person regarding the procurement, they must direct the individual to the e-tendering portal. The procurement must not be discussed directly with individual bidders.

4.4 Clarifications and responses to clarification questions will be issued to all bidders via the e-tendering portal.

5. Return of Quotations and Tenders

5.1 All quotations and tenders must be returned via the e-tendering portal and will remain unopened and anonymous until the closing time and date for the receipt of responses.

5.1.1 The only exception to 5.1 is where bidders are having problems with the e-tendering portal and are unable to upload their return. The **Procurement Officer** must have been made aware of the problem prior to the return deadline.

5.1.2 Where a return has been returned by other means, following agreement by the **Procurement Officer** that this is acceptable, the return must be manually added at the start of the opening ceremony *before the electronic submissions are opened*.

5.2 Any pending, or late, tender returns will be rejected by the e-tendering portal once the opening ceremony has been started.

5.3 The opening ceremony will be carried out by the procuring officer and Director, or his nominee.

5.4 An electronic record shall be kept for both quotations and tenders of:

- The contract title;
- The contract reference;
- The return date and time;
- The number of expressions of interest;
- The number of returns;
- The name of the person/company submitting the quotation or tender;
- The value of each quotation or tender;
- The date and time the opening ceremony is started;
- The name of the procuring officer carrying out the opening ceremony.

5.4 Following the opening ceremony a confirmation email shall be sent to the appropriate procurement stakeholders, which dependent on contract value may include the Lead Councillor, Director of Corporate Services and the Head of Service, which should include the information listed in 5.3.

6. Notification of Award Decision

6.1 Notification of the award decision and feedback for the unsuccessful bidders must be issued using the e-tendering portal.

3.5 – First line of the second paragraph “may” should be replaced by “will”

Subject to approval, once full implementation has taken place, it **will** be necessary to conduct a further review of the Procurement Procedure Rules to address the differences in corporate processes.

ITEM 8 – PROPOSED AMENDMENTS TO THE COUNCIL’S PETITION SCHEME

Suggested amendments to recommendation:

- (a) In paragraph 4.5 of the report add the following text to the end of the second sentence to paragraph 10.2 of the Petition Scheme:

“... or at a special meeting”

The second sentence would read:

*“The request for review will be referred to the next available meeting of the Overview and Scrutiny Committee although on some occasions this may not be possible and the review will then take place at the following meeting *or at a special meeting.*”*

- (b) In relation to the matter referred to in paragraphs 4.7 and 4.8 of the report, the following recommendation is suggested:

“That the question as to whether implementation of any decisions pertinent to a petition under review by overview and scrutiny should be deferred pending completion of the review process be dealt with by the Director of Corporate Services on a case-by-case basis including, where necessary, convening special meetings of the Overview and Scrutiny Committee and/or full Council for this purpose”.