

Part 7 OFFICERS

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1. MANAGEMENT STRUCTURE

- 1.1 The corporate structure chart of Southend-on-Sea City Council and its Directorates is available here [\[Live link\]](#).

2. SCHEME OF DELEGATION TO OFFICERS

Purpose and Application

- 2.1 To support the Council's intention that decision making is efficient, and consistent with the openness and democratic accountability, officer decision making is delegated under this Constitution by Council to the Chief Executive. The Chief Executive is unable to personally make all decisions, and as such this Scheme of Delegation to Officers sets out who the Chief Executive has authorised to make decisions, or fulfil specified Proper Officer functions on their behalf, and the framework within which those delegations may be exercised.
- 2.2 Where a decision has been delegated, it remains open to the officer making the delegation to call back the decision for their own determination, and for an officer to whom decision making authority has been delegated, to refer the matter back to the delegating officer for their determination.
- 2.3 This Scheme of Delegation to Officers is without prejudice to the discharge of the Council's functions and the exercise of its powers by the full Council, Committees and Sub-committees of the Council, and the Cabinet.
- 2.4 This Scheme of Delegation to Officers is subject to, and must be read in conjunction with, the Council's policies, and this Constitution including particularly:
- Part [] Section [] Responsibility for Functions
 - This Part 7 Section 3 List of Proper Officers and Designated Posts
 - This Part 7 Section 5 Staff Employment Procedure Rules
 - This Part 7 Section 6 Contract Procedure Rules
 - This Part 7 Section 7 Financial Procedure Rules
 - This Part 7 Section 8 Property Procedure Rules
- 2.5 This Scheme of Delegation includes the five tables set out below in respect of the Council's five directorates:
- Strategy and Change
 - Finance and Resources
 - Children and Public Health
 - Adults and Communities
 - Environment and Place

which specify:

- a) The function or power being which is being delegated;
 - b) The post (Executive Director / Director) to which the function or power is delegated; and,
 - c) Any specific restrictions or conditions which apply to the delegation, for example, the requirement to consult with a particular Officer or Councillor.
- 2.6 Any function or power which may discharged in accordance with this Scheme of Delegation to Officers may also be discharged by a person or Officer holding a successor post to that of the original post following any reorganisation, restructure or similar process.
- 2.7 The Monitoring Officer in consultation with the Chief Executive may make typological or grammatical amendments to a post title detailed in this Scheme of Delegation to Officers where there has been a change to the post title following any reorganisation, restructure of similar process.

General Delegations

- 2.8 The Chief Executive has authorised the Executive Directors and Directors to take executive (non-Key Decisions) or non-executive decisions on their behalf as detailed in the below tables, which includes the power to act on behalf of the Council in relation to any incidental operational matter within the directorate for which they are responsible, including without limitation:
- a) Expenditure;
 - b) Staffing;
 - c) Resourcing (including procurement and letting contracts);
 - d) Instructing the Director of Legal Services;
 - e) Settling claims and disputes;
 - f) Making statutory determinations and orders;
 - g) Serving statutory notices;
 - h) Granting, conditioning, refusing and revoking permissions, consents, permits and licences;
 - i) Signing and authenticating documents;
 - j) Submitting representations in respect of the Licensing Act 2003 and the Gambling Act 2005;
 - k) Undertaking investigations;
 - l) Taking enforcement action;
 - m) Setting fees and charges;
 - n) Writing-off debt;

- o) Appointing 'authorised officers' etc to carry out the duties and exercise the powers within the appointed officer's area of responsibility;
- p) Exercising the Council's regulatory / licensing powers under the legislation detailed in Table B.

2.9 Any action taken under delegated powers shall be in accordance with:

- a) The overall policies of the Council as approved by full Council, the Cabinet or a Committee;
- b) The provisions of this Constitution, including particularly the Contract Procedure Rules, Financial Procedure Rules and the Property Procedure Rules;
- c) Appropriate consultation, including particularly with the Director of Legal Services / Monitoring Officer, Chief Finance Officer, and the relevant Cabinet Member;
- d) Human resources policies and procedures;
- e) Approved capital and revenue budgets; and,
- f) The requirements of all relevant legislation.

2.10 In exercising delegated powers, the decision maker shall:

- a) Be clear about the intentions of the Council, how they will be achieved, who is accountable for the decision, and who is accountable for implementing the decision, and who is accountable for monitoring the implementation;
- b) Consult as appropriate and give due regard to the professional advice of the Council's Officers, and external advisors;
- c) Have regard to the public sector equality duty, the best value duty, natural justice and human rights;
- d) Publicise the decision as required;
- e) Give due weight to all relevant considerations, take only relevant matters into account, and ensure the decision made and action taken is proportionate to the Council's intentions;
- f) Follow correct procedures.

2.11 Without prejudice to generality to the provisions of this Scheme of Delegation to Officers, decision makers shall have regard to any resolution of the full Council, Cabinet, relevant Cabinet Member, Committee or Sub-Committee on any matter of principle or policy relating to the function or power being discharged, and as appropriate shall:

- a) Maintain a close liaison with the relevant Cabinet Member(s), or in their absence the Leader;
- b) Ensure that the relevant Ward Councillor(s) is consulted on, or advised of the exercise of delegated powers;

- c) Ensure that the Monitoring Officer and Chief Finance Officer are consulted and advised of any decisions as necessary; and
- d) Ensure that the Corporate Leadership Team is consulted and advised where appropriate in relation to cross service issues.

Sub-delegations

- 2.12 The Chief Executive, Executive Directors and Directors to whom the discharge of a function or power has been delegated may nominate officers in their directorate to discharge that function or power.
- 2.13 All delegations conferred in accordance with paragraph 2.12 must be formally recorded in writing by the Chief Executive or the relevant Executive Director, or Director as the case may be, with any restrictions or conditions on the delegation specified.
- 2.14 The Executive Directors and Directors shall each maintain for their directorate an accurate scheme of sub-delegations, including any restrictions or conditions on the sub-delegations.
- 2.15 Where the discharge of a function or power has been delegated to persons nominated by the Chief Executive or an Executive Director, or Director the discharge of a function or power under that authority shall remain the responsibility of the Chief Executive or relevant Executive Director, or Director as the case may be, and the discharge of the function or power shall be taken in their name.
- 2.16 Where the Chief Executive or an Executive Director, or Director is absent for a period of time which requires other officers to exercise delegated authority in their absence, another officer can be nominated for the purpose and the nomination approved by the Chief Executive. The nominated officer must be of a pay grade equivalent to or above the absent Executive Director or Director and the level of financial delegation specified in the nomination.

Emergencies

- 2.17 The Chief Executive or an Executive Director may make decisions outside of the provisions of this Scheme of Delegation, (including the Contract Procedure Rules Financial Procedure Rules) and / or make decisions which would otherwise be reserved for determination by a full Council, a Committee, the Cabinet or a Cabinet Member, where the Chief Executive or an Executive Director considers that there is threat to the health or wellbeing of an individual, or a risk of damage to property, or a risk to the Council's interests.
- 2.18 Where paragraph 2.17 applies, the Chief Executive or an Executive Director is authorised to make all necessary decisions for such action to be taken as is necessary within the law to protect life, health, safety, property, and / or the economic, social or environmental wellbeing of the Council's area, its communities and businesses, and the individuals living or working in the area or visiting it.
- 2.19 Where in the opinion of the Chief Executive or the Executive Director time and circumstances permit, prior to exercising delegated authority in accordance with

paragraphs 2.17 and 2.18 above, the Chief Executive Officer or an Executive Director shall use their best efforts to consult the Leader, or in the absence of the Leader the Deputy Leader or the appropriate Cabinet Member, and the Chair of the relevant Overview and Scrutiny Committee, and in any case shall inform the Leader or Deputy Leader or Cabinet Member, and the relevant Overview and Scrutiny Committee Chair, of their actions as soon as practicable.

- 2.20 Any decisions made and actions taken by an Executive Director in accordance with the provisions of paragraphs 2.16 to 2.19 shall be reported to the Chief Executive as soon as practicable, and all decision made and actions taken in the case of an emergency shall be reported to full Council at the next meeting, including the extent to which it has been necessary to operate outside of the Contract Procedure Rules and Financial Procedure Rules.

Indemnity

- 2.21 In accordance with The Local Authorities (Indemnities for Members and Officers) Order 2004, the Council will provide an indemnity to any councillors , employees, former councillors and former employees in relation to any neglect, act, error or omission committed by them in the course of undertaking their duties as a councillor or employee of the Council and as authorised by the Council, or from or in connection with the exercise of powers or discharge of duties placed upon them the Council or with the approval of the Council. The indemnity will include costs awarded against the councillor or employee, and the reasonable costs they incur.
- 2.22 The indemnity shall include where a councillor or employee of the Council is acting for other persons or bodies with the consent of the Council.
- 2.23 The indemnity shall not extend to loss or damage directly or indirectly caused by the Councillor or employee, arising from fraud, dishonesty, a criminal offence, or wilful misconduct on their part, or their reckless disregard for the consequences of their actions, or actions they took which are outside the legal powers of the Council to take, except where the councillor or employee truly believed the actions they took were within the Council's legal powers.
- 2.24 The indemnity will not apply to the making of any claim by the councillor or employee, but will include an indemnity for the defence of a councillor or employee any claim against actions they took in their capacity as a councillor or employee of the Council. Where the councillor or employee is convicted of a criminal offence, and the conviction is not overturned on appeal, the Council will seek reimbursement of any costs met by the indemnity.
- 2.25 The indemnity will not apply if an employee admits liability, negotiates or attempts to negotiate the settlement of any claim which falls within the scope of the indemnity, without the written authority of the Council.
- 2.26 Any indemnity provided is without prejudice to the Council's right to take or commence disciplinary action against an employee in respect of any neglect, act, error or omission in respect of which the indemnity is provided.

Strategy and Change

Scheme of Delegation to Officers

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
Communications			
1.	To act on behalf of the Council to informally brief the media on issues, issue media releases and respond to media queries.	Director of Policy & Customer Experience	
2.	To implement and lead on actions to support the Communications Strategy	Director of Policy & Customer Experience	
3.	To provide media spokesperson representation on individual issues, for both reactive and proactive media coverage.	Director of Policy & Customer Experience	
Information Governance			
4.	A senior information risk owner who will take overall ownership of the Council's [Information Risk Policy].	Director Digital and ICT	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
5.	Approving local settlements as suggested by and agreed with the Ombudsman under section 92 Local Government Act 2000.	Relevant Director	
6.	Respond to complaints through co-ordinating response from responsible services.	Director Law and Governance	
7.	Act on behalf of the council to implement the [Unreasonable Behaviour policy].	Director Law and Governance	
8.	Review of information governance policies and implement proactive approach across the council.	Director Law and Governance	
9.	Authorised to conduct searches for subject access requests.	Director Law and Governance	
10.	To act on behalf of the council in respect of Freedom of Information Act 2000 to co-ordinate and issue responses.	Director Law and Governance	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
11.	Investigate data breaches and prepare reports for sharing with [Information Governance Steering Group].	Director Law and Governance	
12.	Report to the Information Commissioner's Office on data breaches where decided.	Director Law and Governance	
13.	To commission investigation into suspected misuse of IT in accordance with the [Employee Code of Conduct and relevant policies].		
14.	Respond to requests from police and partners for information and data requirements within the sharing protocol.	Relevant Director	
15.	On behalf of the Council collate, produce and submit the [Information Governance Toolkit].	Director Law and Governance	
16.	Dispose of expired records held at the modern records unit.	Relevant Director	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
17.	Produce annual equality statement in accordance with Equality Act 2010.	Relevant Director	
18.	The Officer to act as Local Registrar as defined in Section 3 of the Local Land Charges Act 1975.	Director Law and Governance	
Information Technology			
19.	Development and maintenance of an appropriate cyber security strategy and robust security approach	Director Digital & ICT	
20.	Development and maintenance of an appropriate enterprise architecture	Director Digital & ICT	
21.	Creation and Delivery of the agreed Technology and Data strategies	Director Digital & ICT	
Elections and Civic Duties			

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
22.	Section 52(2), Representation of the People Act 1983, Section 52(3), Representation of the People Act 1983.	Director Law and Governance	
23.	Section 28(5), of Representation of the People Act 1983	Director Law and Governance	
24.	Section 35(4), Representation of the People Act 1983.	Director Law and Governance	
25.	Section 5(1), The Police and Crime Commissioners Elections (Functions of Returning Officers) Regulations 2012 Section 7(1), European Parliamentary Elections Act 2001	Director Law and Governance	
26.	Section 35(4), Representation of the People Act 1983	Director Law and Governance	
27.	Deputy Electoral Registration Officer	Director Law and Governance	
Democratic Services			

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
28.	Ensuring that all published decision reports conform/adhere to constitutional rules and procedures.	Director Law and Governance	
29.	Verify and agree members' expenses, over the £100 threshold, within the budget perimeters.	Director Law and Governance	
30.	Publish all public meeting papers five working days prior to the meeting	Director Law and Governance	
31.	<p>Where the publication of 28 day notice of the intention to make a key decision is impractical, the decision may still be taken if:</p> <p>(a) the monitoring officer has informed the chair of the relevant Overview and Scrutiny Committee, or, if there is no such person, each member of that committee by notice in writing, of the matter about which the decision is to be made</p>	Director Law and Governance	
32.	Inspection of documents	Director Law and Governance	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
33.	Signing of Ward Councillors' declaration of interest forms	Director Law and Governance	
34.	Signing register of Town Councillors' declarations of interest forms	Director Law and Governance	
35.	Recruitment of panel members to the Independent Remuneration Panel	Director Law and Governance	
Legal Services			
36.	To issue, defend, settle or take part in any legal proceedings on the Council's behalf.	Director Law and Governance	
37.	Waivers of the Contract Procedure Rules	Executive Director Finance & Resources (S151 Officer)	
38.	Signing any document and affixing the Council's seal on behalf of the Council	Chief Executive, Director Law and Governance, Head of Legal Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
39.	Determination of complaints submitted under the Code of Conduct for Councillors	Director Law and Governance	
40.	To maintain the Register of Members'	Director Law and Governance	
Human Resources			
41.	Approval of HR and Health & Safety, policies	Executive Director Strategy and Change	
42.	Approval of HR and health and safety, procedures and guidance.	Director of People and Transformation	
43.	Application of HR and Health & Safety policies and procedures	Relevant Director	
44.	Suspension of an employee	Chief Executive, Executive Director or Director	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
45.	Appointment of consultant / interim manager	Chief Executive Director Executive, Director,	Agreement to recruit to this type of role via Business World. Actioning approval line managers
46.	Recruitment to existing and new posts (whether permanent, fixed term or casual), including cover arrangements where substantive postholder is on long term leave e.g., due to career break, adoption / maternity, parental leave)	Chief Executive Director Executive, Director,	Final agreement for Fixed term or Agency via Workforce Panel
47.	Grading for jobs subject to other national agreements	Senior Managers Pay Panel	This is only for Chief Officer posts who are not subject to national agreement.
48.	Approval of market pay supplements (including extensions)	Chief Executive Directors Executive, Director,	All come to workforce panel
49.	Approval of revised staffing structures	Chief Executive Directors Executive, Director,	All come to CLT for agreement
50.	Determination of employee grievances	Relevant Director	This will be dependant on the level of the grievance

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
51.	Dismissal on grounds of capability / conduct / some other substantial reason	Chief Executive Directors Executive, Director,	
52.	Dismissal on grounds of redundancy	Chief Executive Directors Executive, Director,	
53.	Approval of MERS applications, redundancy payments, ill health retirement and flexible retirement applications	Chief Executive Directors Executive, Director,	In consultation with Section 151 officer for flexible retirement
54.	Employer discretions under the official pension schemes	Chief Executive Directors Executive, Director,	In consultation with section 151 Officer
55.	Approval of settlement agreements	Chief Executive Directors Executive Director,	In consultation with Section 151 Officer
56.	Meeting the cost of redundancies in schools etc. where the Council is the employer	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
57.	Ensure appropriate arrangements are in place to carry out the Council's emergency planning functions in accordance with the Civil Contingences Act 2004	Executive Director Finance & Resources (S151 Officer)	move to finance & resources dept
58.	Ensure the effective discharge the functions for health, safety and welfare in connection with work and control of dangerous substances within the meaning of the Health and Safety at Work Act 1974	Relevant Director	In consultation with H&S team
59.	Pay salaries, wages, performance related pay, honoraria and other gratuities	Executive Director of Strategy and Change	
60.	Approval of spend and the allocation of funds to providers from the Council's apprenticeship levy fund.	Director People and Transformation	

Finance and Resources

Scheme of Delegation to Officers

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
Finance			
Council Tax and NNDR Billing			
1.	To raise annual bills and required amendments	Executive Director Finance & Resources (S151 Officer)	
2.	To send reminders/summons as required	Director of Financial Services	
3.	To commence recovery procedures as required for outstanding debts	Executive Director Finance & Resources (S151 Officer)	
4.	Debt Collection enforcement arrangements for Council Tax/NNDR	Executive Director Finance & Resources (S151 Officer)	
5.	Process Council Tax/NNDR refunds	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
6.	Represent the Council at Magistrates' Court/Valuation Tribunals	Director of Financial Services	
7.	Liaise with [Valuation Office] to maintain accurate banding of properties	Director of Financial Services	
8.	Prepare annual business rates briefing for consultation	Director of Financial Services	
9.	Determine entitlement to reliefs/discounts	Director of Financial Services	
10.	Submission of Government returns	Director of Financial Services	
11.	To approve Council Tax hardship applications	Director of Financial Services	
12.	Process Direct Debit claims/ runs	Director of Financial Services	
13.	Conduct periodic visits to properties to ensure revenue is maximised	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
14.	Respond to complaints / Freedom of Information requests	Director of Financial Services	
Debtors			
15.	Raising invoices for sums due	Director of Financial Services	
16.	Effective collection and recording of all monies due to the Council	Director of Financial Services	
17.	Authorisation of new payment facility	Director of Financial Services	
18.	Debt collection enforcement arrangements for car park debts	Director of Financial Services	
19.	Process Direct Debit claims/ runs	Director of Financial Services	
20.	Respond to complaints / Freedom of Information requests	Director of Financial Services	
21.	Represent the Council at Court	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
22.			
Housing and Council Tax Benefits			
23.	Process housing and council tax benefit applications	Director of Financial Services	
24.	Process change of circumstances	Director of Financial Services	
25.	Process benefits payment runs	Director of Financial Services	
26.	Administer the [Discretionary Housing Payments scheme (DHP)] and Household Support Fund	Director of Financial Services	
27.	Recovery of benefit overpayments	Director of Financial Services	
28.	Determine entitlement to free school meals		
29.	Complete the DWP data matching requirements	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
30.	Administer CTR Discretionary payment scheme	Director of Financial Services	
31.	Represent the Council at appeal tribunals	Director of Financial Services	
32.	Respond to complaints / Freedom of Information requests		
33.	Fraud/NFI completion	Director of Financial Services	
34.	Prepare HB Subsidy calculations for Council sign off	Director of Financial Services	
35.	Maintain the revenues and benefits systems	Director of Financial Services	
36.	Implement and maintain online digital customer channels		
Payroll (This section under Strategy and Change ?)			
37.	Arrangement for the payment of salaries, wages, pensions to current and former employees of		

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
	the Council and members of the Council		
38.	Maintain records for compliance with HMRC and pension reporting		
39.	Process claims for payment for car allowances, subsistence allowances, travelling & incidental expenses		
40.	Process payroll BACS files		
41.	Authorise payments to Council (maintained) schools		
Creditor and Social Care Payments			
42.	Authorisation of payments (general)	Director of Financial Services	
43.	Payment of invoices and processing BACS/cheque payment runs through relevant systems	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
44.	Process regular periodical payments	Director of Financial Services	
45.	Authorising the issue of Procurement cards and determining credit limits	Director of Financial Services	
46.	Process domiciliary care invoices (authorise [Abacus] payment run)	Director of Financial Services	
47.	Calculate and bill service users for care contributions	Director of Financial Services	
Debt write offs			
48.	Authorisation of debt write off	Executive Director Finance & Resources (S151 Officer)	
Banking Arrangements			
49.	To approve the opening of new cash/bank imprest account or change to limit	Director of Financial Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
50.	To notify Bank of changes to authorised signatories	Director of Financial Services	
51.	To authorise cheques on behalf of the Council	Director of Financial Services	
52.	To be a Primary Security Contact for BACS (including setting up new users to hold a BACS card)	Director of Financial Services	
Treasury Management			
53.	Investment of surplus funds	Executive Director Finance & Resources (S151 Officer)	
54.	Borrowing decisions to meet Capital Programme or short-term cash flow requirements	Executive Director Finance & Resources (S151 Officer)	
55.	Authorisation of Bankline payments (e.g. Faster payments / CHAPS)	Director of Financial Services	
Government Grants			

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
56.	To accept terms and conditions attached to any Government grants and complete grant returns	Executive Director Finance & Resources (S151 Officer)	
VAT			
57.	To submit VAT returns	Director of Financial Services	
Fixed Assets			
58.	Propose assets to be included in the valuation list	Director of Financial Services	
59.	Produce an asset management plan for approval by Council as part of the Capital Strategy	Executive Director Finance & Resources (S151 Officer)	
Capital and Revenue Budgets			

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
60.	Propose a revenue budget for the coming year for approval by Council	Executive Director Finance & Resources (S151 Officer)	
61.	Propose all capital project additions for the coming year for approval of an amended capital programme by Council	Executive Director Finance & Resources (S151 Officer)	
62.	Produce and maintain a Capital Strategy for approval by Council	Executive Director Finance & Resources (S151 Officer)	
63.	Approval to move revenue budgets between cost centres	Executive Director Finance & Resources (S151 Officer)	
64.	Approval of additions to Expenditure Budgets Funded from Government Grants, Developers Contributions, Revenue Reserves or other sources of external funding	Executive Director Finance & Resources (S151 Officer)	
65.	Approval of the movement of Capital Budget between Programme Years	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
66.	Authorisation for the carry forward of under or overspends	Executive Director Finance & Resources (S151 Officer)	
67.	Processing journal transfers	Director of Financial Services	
Insurance			
68.	Responsibility to ensure appropriate insurance arrangements are in place.	Director of Financial Services	
69.	Maintain record of all insurances, risks covered, premiums paid and of all self-funded risks and losses paid.	Director of Financial Services	
Internal Audit			
70.	Arrangement of internal audit activities in accordance with the Accounts & Audit Regulations	Executive Director Finance & Resources (S151 Officer)	
71.	Give assurance on financial and management control systems	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
72.	Undertake Value for Money reviews	Executive Director Finance & Resources (S151 Officer)	
Financial Procedure Rules			
73.	Maintain continuous review of the Financial Procedure Rules	Executive Director Finance & Resources (S151 Officer)	
Cash Collection			
74.	Management of cash collection system	Director of Financial Services	
Procurement			
75.	Issuing procurement tenders; receive supplier bids; issue contract award notices.	Executive Director Finance & Resources (S151 Officer)	
76.	Update, amend and publish the contracts register.	Executive Director Finance & Resources (S151 Officer)	
Facilities Management			

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
77.	Operational delivery of facility management undertakings, building maintenance, cleaning, construction and mechanical/electrical works.	Executive Director Finance & Resources (S151 Officer)	
78.	Operational delivery of health & safety compliance to property assets and associated undertakings.	Executive Director Finance & Resources (S151 Officer)	
79.	Procure and award of contracts to facilitate delivery of projects, goods and operational services identified in accordance with policy and allocated budget.	Executive Director Finance & Resources (S151 Officer)	
80.	The opening and closure of Council property assets.	Executive Director Finance & Resources (S151 Officer)	
81.	Have the authority to manage the day-to-day operation of facilities corporate Council buildings.	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
82.	Set hire charges for corporate buildings.	Executive Director Finance & Resources (S151 Officer)	
83.	Authorise use of buildings in the event of an emergency and particular circumstances, including opening and closing sites.	Executive Director Finance & Resources (S151 Officer)	
84.	Ensure the security of buildings.	Executive Director Finance & Resources (S151 Officer)	
85.	Have the authority to evict people from sites when causing or potential causing a danger, being disruptive or abusive, or not adhering to policies when made aware of them.	Executive Director Finance & Resources (S151 Officer)	
Property Services / Estate Management			
86.	To negotiate and agree terms regarding the acquisition (including compulsory purchase) and disposal of property assets and legal interests.	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
	Sign Notices to Quit / Terminate Lease.		
87.	To negotiate, agree terms for and sign the grant of leases, licences, tenancies, agreement for lease, development agreements and legal consents.	Executive Director Finance & Resources (S151 Officer)	
88.	To instruct Legal Services to serve legal notices. Sign Notices to Quit/Terminate Lease/ Seal Contracts.	Executive Director Finance & Resources (S151 Officer)	
89.	To grant a wayleave easement or deed of access over Council owned land to a third party.	Executive Director Finance & Resources (S151 Officer)	
90.	To approve listing of Assets of Community Value in accordance with legislation.	Executive Director Finance & Resources (S151 Officer)	
91.	To accept the early surrender of any lease of Council owned or controlled property in the interest of	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
	good estate management, strategic asset management or economic regeneration purposes.		
92.	To appoint bailiffs and debt collectors or to take peaceable re-entry of Council owned property or where the Council has a legal interest in property or to recover the value of any outstanding monies owed.	Executive Director Finance & Resources (S151 Officer)	
93.	To agree the release of restrictive Covenants on current or previously owned council land.	Executive Director Finance & Resources (S151 Officer)	
94.	To apply for planning permission, building regulation and listed building consent for alteration, development, re-development or change of use of council property (excluding schools), or third party property.	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
95.	To negotiate and settle schedules of dilapidation.	Executive Director Finance & Resources (S151 Officer)	
96.	To agree and settle rent arrears and refer all property matters in dispute to arbitration/third party for determination.	Executive Director Finance & Resources (S151 Officer)	
97.	To submit appeals in respect of the Rateable Value of council property in the interests of the council.	Executive Director Finance & Resources (S151 Officer)	
98.	To make changes to the Commons Register.	Executive Director Finance & Resources (S151 Officer)	
99.	To engage and instruct Insurance adjusters to negotiate and settle terms of adjustments.	Executive Director Finance & Resources (S151 Officer)	
100.	To procure, engage and instruct consultants and agents to act on behalf of Property Services.	Executive Director Finance & Resources (S151 Officer)	
101.	To procure, engage and instruct contractors and suppliers to act on behalf of Property Services.	Executive Director Finance & Resources (S151 Officer)	

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
102.	To carry out emergency repairs as necessary, that might otherwise require Council Governance, to both corporate and noncorporate buildings and structures so as to make safe so as to safeguard from harm both staff and members of the public as well as protect continuity of Council Services.	Executive Director Finance & Resources (S151 Officer)	
103.	Part 5 Chapter 3 of the Localism Act 2011 Assets of community value.	Executive Director Finance & Resources (S151 Officer)	
Southend-on-Sea City Council Website			
104.	Notify web team of changes required to website for finance areas	Executive Director Finance & Resources (S151 Officer)	
Emergency Planning and Business Continuity			
105.	Approval of business continuity and emergency planning policies, procedures and guidance		

Reference	Function / Power	Delegated To	Restrictions / Conditions of the Delegation
106.	Ensuring appropriate arrangements are in place to discharge the Council's emergency planning functions in accordance with the Civil Contingencies Act 2004		

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Children and Public Health

Scheme of Delegation to Officers

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
Children's Services			
1.	Exercising the statutory function of Director of Children's Services (DCS) appointed under the Children Act 2004.	Executive Director Children and Public Health	
Looked after Children (Children Act 1989)			
2.	Authority to apply for Secure Orders up to 72 hours (pending an application to court)	This cannot be delegated	DCS approval required and in DCS's absence Chief Executive (CEX) to approve
3.	Authority to apply for Secure Orders (via a court application)	This cannot be delegated	DCS approval required and in DCS's absence Chief Executive (CEX) to approve

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
4.	Authority to extend Secure Orders (via a court application)	Director of Children's Social Work, Early Help and Youth Support	Need to inform the DCS
5.	Consent for children subject to care and placement orders to have <ul style="list-style-type: none"> a) A surgical operation (local or general anaesthetic) b) Emergency treatment c) Routine medical 	Director of Children's Social Work, Early Help and Youth Support	Head of Service- approves this
6.	Acceptance of criminal injury compensation awards	Director of Children's Social Work, Early Help and Youth Support	
7.	Approval to place children at distance, outside the county of Essex can only be agreed by the DCS	Executive Director Children and Public Health (Statutory Director of Children's Services)	Delegated to Director of Children's Social Work, Early Help and Youth Support when DCS not available
8.	Placement with parents agreement (planned and emergency)	Director of Children's Social Work, Early Help and Youth Support	Delegated to the Head of Service when Director not available

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
9.	Decisions to give consent to the marriage of a young person in care	Director of Children's Social Work, Early Help and Youth Support	
10.	Agreement to a young person remanded to local authority care being placed at home or with friends	Director of Children's Social Work, Early Help and Youth Support	
11.	Leave to invoke the inherent jurisdiction of the High Court.	Director of Children's Social Work, Early Help and Youth Support	
12.	Leave to place a child in accommodation restricting liberty under Section 25 of the Act.	Director of Children's Social Work, Early Help and Youth Support	
13.	Leave for a child in the care of the local authority to live abroad. (section 19)	Director of Children's Social Work, Early Help and Youth Support	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
Permanence and Adoption			
14.	Approval of adopters	Director of Children's Social Work, Early Help and Youth Support	Cannot be delegated under the regulations
Fostering			
15.	Exercising all the powers and functions of the Authority in relation to the fostering of children under Part IX of the Children Act 1989, Section 48 of the Care Standards Act 2000, Part 5 of the Children Act 2004 and all other enabling powers.		
16.	Approving loans or other financial assistance under Section 23 of the Children Act 1989 and all other enabling powers for the provision of accommodation of children under foster care and to vary the terms of such loans or assistance.		
17.	Approval of foster carers	Director of Children's Social Work, Early Help and Youth Support	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
18.	Decision to authorise placements under Reg 24 of the Foster Service Regulations	Director of Children's Social Work, Early Help and Youth Support	
Youth Offending			
19.	Informing court that electronic monitoring is suitable when imposing bail on a person aged between 12 and 17	Director of Children's Social Work, Early Help and Youth Support	
20.	Submit plans/bids that the DfE or other Government Directorates may from time to time require, following appropriate consultation.	Director of Children's Social Work, Early Help and Youth Support	
21.	To authorise officers to appear on behalf of the Authority in proceedings being conducted in the Magistrates Court. (Local Government Act 1972 sections 222 & 223)	Director of Children's Social Work, Early Help and Youth Support	
22.	To decide, following a risk assessment, whether a complaint should be referred to an external investigator	Director of Children's Social Work, Early Help and Youth Support	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
23.	Exercising any function of the Authority under 75 of the National Health Service Act 2006 (pooled budgets and commissioning) so far as those functions relate to children and young persons.	Director of Children's Social Work, Early Help and Youth Support	Cabinet agreement may be required
Education Skills and Development / Commissioning			
24.	To address the significant degree of educational underachievement of looked after children compared to all children; as defined under the Children Act 1989 as amended by section 52 of the Children Act 2004 Section 22(3)a.	Director of Education, Early Years and Inclusion	
25.	<p>School Places and Admissions:</p> <p>To be responsible for securing sufficient education is available to meet the needs of the population in the area under the Education Act (EA) 1996 and subsequent education legislation including actions which: securing sufficient primary and secondary schools places, any actions taken to address shortfalls, implementing the School Admissions Code and School Admissions Appeal Code to provide fair opportunities to gain places in maintained schools for all children; to provide a national picture of admissions issues to appropriate bodies and reasonably consider parental representations regarding the provision of schools.</p>	Director of Education, Early Years and Inclusion	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
26.	To undertake appropriate actions and measures in relation to exclusions from school including the provision of education for children permanently excluded from day 6 and to ensure funding follows the pupil in the case of Permanent exclusion as required under the Education Act 1996 and subsequent amendments and education acts related to exclusion.	Director of Education, Early Years and Inclusion	
27.	To ensure that children who cannot (for whatever reason) be in mainstream education, continue to receive a suitable education under Education Act 1996 and that any pupil placed in alternative provision by the Council receive full-time education unless it is not in the child's interests.	Director of Education, Early Years and Inclusion	
28.	Education Act 1996 Section 447 provides a basis for an Education Supervision Order which can help where parents find it difficult to exercise a proper influence over their child, and where the child has developed a pattern of irregular attendance.	Director of Education, Early Years and Inclusion	
29.	Under Education Act 1996 and subsequent education legislation the Council has the duty to identify children missing education.	Executive Director Children and Public Health	
30.	Local authorities have the power and are responsible for ensuring the regulations are enforced for maintained schools as set out in the Education Act 1996. Secondary - The Education (School Premises) Regulations 1999.	Director of Education, Early Years and Inclusion, Executive Director of Finance and Resources	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
31.	Under the Education Act 1996 Section 543. Secondary - The Education (School Premises) Regulations 1999; the Council needs to ensure that schools have a minimum playing field area.	Director of Education, Early Years and Inclusion, Executive Director of Finance and Resources	
32.	To impose a duty on governing bodies for schools that are their own admission authorities and local authorities to act in accordance with any relevant provisions of the Appeals Code under the School Standards and Framework Act 1998. School Admission Appeals Code Section 94.	Director of Education, Early Years and Inclusion	
33.	To ensure that local authorities and schools provide Religious Education in accordance with the law under the School Standards and Framework Act 1998 Section 69/70, including all registered pupils attending a maintained school take part in a daily act of collective worship and the establishment of a Standing Advisory Committee for Religious Education	Director of Education, Early Year and Inclusion	
34.	To ensure the school estate is not subject to decay which could put the health and safety of children at risk under the School Standards and Framework Act 1998 Section 22, as amended by Education Act 2002 and Education and Inspections Act 2006.	Executive Director of Finance and Resources and Director of Education, Early Years and Inclusion	
35.	The School Standards and Framework Act 1998 Section 77 as amended by schedule 4 to the Education and Inspections Act 2006 sets out the responsibility for the Protection of School Playing Fields	Executive Director Finance and Resources and Executive Director Children and Public Health	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
36.	The School Standards and Framework Act 1998 Sections 45A, 45AA, 47, 47ZA, 47A and 48 and Schedule 14. Secondary - School Finance (England) Regulations 2008 (as amended), School Finance (England) Regulations 2011 Schools Forums (England) Regulations 2010 set out the provisions for approval of deficits, management of delegated budgets and banking arrangements.	Director of Education, Early Years and Inclusion Director of Finance	
37.	To ensure children and young people with a learning difficulty or disability or Special Educational needs are able to secure appropriate education and training as defined under the Children and Family Act 2014 and associated legislation including arrangements for young people aged 16-25 with an EHCP.	Director of Education, Early Years and Inclusion	
38.	The Special Educational Needs (Provision of Information by Local Education Authorities) (England) Regulations 2001 (SI 2001/2218) sets out the information the Council is required to have in relation to the Special Educational Needs policies and the arrangements and activities in carrying them out.	Director of Education, Early Years and Inclusion	
39.	The Education Act 2002 section 19(2) c. Secondary - School Governance (Constitution) (England) Regulations 2007 sets out how governing bodies are to include a Council representative.	Director of Education, Early Years and Inclusion	Maintained Community schools only

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
40.	School Governance (Constitution) (England) Regulations 2012 provides the authority to seal and make an instrument of governance for maintained schools.	Director of Education, Early Years and Inclusion	Maintained schools only
41.	To provide information they consider appropriate and training they consider necessary for governors of maintained schools to enable governors effectively to discharge their duties as set out in Section 22 of the Education Act 2002.	Director of Education, Early Years and Inclusion	
42.	The Education Act 2002 Section 88(1A) sets out the requirement for local authorities to ensure head teachers fulfil their statutory duty in implementing and administering assessment arrangements.	Director of Education, Early Years and Inclusion	
43.	To ensure effective performance management arrangements are put in place for teachers in community schools as set out in the Education Act 2002 Sections 21, 131 and 210. Secondary - 'The Education (School Teacher Performance Management) (England) Regulations 2006'.	Director of Education, Early Years and Inclusion	Maintained Schools only
44.	Under the Education Act 2002 Sections 79 (6) and (7) local authorities must have regard to statutory guidance issued by the Secretary of State when exercising any function that may affect the provision of education in maintained schools or arrangements where the LA holds statutory responsibility in relation to education safeguarding, attendance, and SEND in all schools, including Academies.	Director of Education, Early Years and Inclusion	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
45.	To facilitate the investigation, by Ofsted, of a parental complaint about a maintained or an academy school as defined under Education Act 2005 and subsequent Education Acts and legislation	Director of Education, Early Years and Inclusion	
46.	To ensure local authorities take action as described under the latest Ofsted Inspection Framework, in regard to all elements of education provision, working with the regional DFE office where actions involve Academy Trusts.	Director of Education, Early Years and Inclusion	
47.	The Education and Inspections Act 2006. Secondary - The School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2007 provides the legislation that governs the transfer of land from one body to another as a school changes category, e.g. if a community school becomes a Trust.	Director of Education, Early Years and Inclusion	
48.	Under the Education Act 2006 Sections 60A and 69B provision is made to ensure that that local authorities (or ultimately the Secretary of State) can ensure that teachers in maintained schools receive their statutory entitlements regarding their terms and conditions.	Director of Education, Early Years and Inclusion	
49.	Section 1 of the Childcare Act 2006 places a duty on local authorities to improve the outcomes of all children under 5 and close the gaps.	Director of Education, Early Years and Inclusion	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
50.	Provision is made under Childcare Act 2006 Section 99. Secondary - The Childcare (Provision of Information About Young Children) Regulations 2009 (SI 2009 / 1554) for data collection.	Director of Education, Early Years and Inclusion	
51.	To ensure that local authorities establish and maintain a service providing information, advice and assistance for parents and prospective parents as set out on the Childcare Act 2006 Section 12. Secondary - SI 2007 No 3490: Children and Young Persons, England – The Childcare Act 2006 (Provision of Information to Parents (England) Regulations 2007.	Director of Education, Early Years and Inclusion	
52.	To ensure that local parents and any other interested parties are consulted about any major changes that are proposed to be made to children's centre provision	Director of Education, Early Years and Inclusion	
53.	The Childcare Act 2006, Section 6 require local authorities to ensure there is childcare available to enable parents to take up or remain in work or to undertake education or training to assist them in obtaining work.	Director of Education, Early Years and Inclusion	
54.	To ensure that all eligible children in the early years from 9 months of age can access their entitlement to high quality free education	Director of Education, Early Years and Inclusion	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
55.	To ensure local authorities undertake an assessment to childcare provision in their area to enable them to meet their duty to secure sufficient childcare for working parents (s6 Childcare Act 2006) This includes providers in their area the necessary support to help deliver sustainable affordable and high quality childcare that meets the needs of the community	Director of Education, Early Years and Inclusion	
56.	Childcare Act 2006 Section 99. Secondary - the Childcare (Provision of Information about Young Children) (England) Regulations 2009 underpins various information collections and enables the Secretary of State to obtain information collected by local authorities from childcare providers to help compile Early Years Foundation Stage Profile data and the Early Years Census returns.	Director of Education, Early Years and Inclusion	
57.	The Early Years Foundation Stage (Learning and Development Requirements) Order 2007 enables local authorities to ensure schools and early years providers fulfil their statutory duty in implementing and administering early years foundation stage assessment arrangements and for the Council to provide data as required to the DFE	Director of Education, Early Years and Inclusion	
58.	To comply with duties relating to the publication of a composite schools prospectus, and other miscellaneous information annually (including the making of educational grants, Special Educational Needs provision, school transport strategies, etc) as described in Education Regulations	Director of Education, Early Years and Inclusion	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
59.	To develop accessibility strategies to facilitate better access to education for disabled pupils. Under this same legislation schools also have to develop access plans which build upon the Council's access strategy as required under the Equality Act 2010 Section 88 and Schedule 10	Director of Education, Early Years and Inclusion	
60.	To ensure that where a maintained school serves a community which is predominantly of a faith other than Christian, they have the flexibility to change the nature of their daily act of collective worship in order to reflect the needs of the local community under Education Act 1996 Section 390.	Director of Education, Early Years and Inclusion	
61.	To provide on-going support and guidance to 18 year old care leavers particularly with regard to their education under the Children Act 1989 sections 23C and 24B.	Director of Education, Early Years and Inclusion	
62.	To increase in the number and range of placements available within the Council's area and so reduce the use of out of area placements, unless they are the most appropriate for the child. Leading to a more efficient and cost effective commissioning process as defined under the Children Act 1989 Section 22G .	Director of Education, Early Years and Inclusion	
63.	In relations to community schools, apply for planning permission, building regulation and listed building consent for alteration, development, re-development or change of use of Council schools, or third party schools.	Director Education, Inclusion and Early years	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
Public Health			
64.	Exercising the statutory function of Director of Public Health.	Director of Public Health	
65.	<p>To discharge any functions in relation to the corporate public health duties of the Council authorised to the director of public health under the NHS Act 2006 and the Health and Social Care Act 2012, including responsibility for:</p> <ul style="list-style-type: none"> • The annual report on the health of the local population; • Improving public health, including commissioning alcohol and drug misuse services, sexual health services, child health services, smoking cessation services; • Planning for, and responding to, emergencies that present a risk to public health; • Promoting safer communities by working with local criminal justice partners and police and crime commissioners, the probation service and the prison service; • The Council's public health response to licensing applications; and • Developing wellbeing, implementing the health and wellbeing strategy. 	Director of Public Health	

Reference	Function / Power	Delegated To	Restrictions / Conditions on Delegation
66.	<p>To carry out such public health protection or health improvement functions as the Secretary of State shall delegate to local authorities either by arrangement or under regulations and including services mandated by regulations made under Section 6C of the National Health Service Act 2006, as amended, namely:</p> <ul style="list-style-type: none"> • Ensuring appropriate access to sexual health services; • The delivery of the national child measure programme; • The delivery of the NHS health check assessment; • Public health advice to NHS commissioners; and • To be a statutory member of the health and wellbeing board. 	Director of Public Health	

Adults and Communities

Scheme of Delegation to Officers

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
Social Care Operations			
1.	Authorise a Deprivation of Liberty Standard Authorisation under the Deprivation of Liberty Safeguards MCA 2005	Director within Adults and Communities	
2.	Instruct an Independent Mental Capacity Advocate (IMCA) under Section 39A of MCA 2005 Not needed as set out in statute		
3.	Instruct an Independent Mental Capacity Advocate (IMCA) under Sections 39C or D of MCA 2005	Director within Adults and Communities	
4.	Extend the period of a 7 day Urgent authorisation the Deprivation of Liberty Safeguards MCA 2005 for a further period of 7 days Not a council function		
5.	Approach the court of Protection to ask it to rule in relation to a Deprivation of Liberty	Directors within Adults and Communities	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	Safeguards Authorisation where there is a dispute regarding if it is appropriate.		
6.	Approach the Court of Protection to ask it to rule in relation to a Deprivation of Liberty in a Community setting	Director within Adults and Communities	
7.	Undertake Mental Capacity Assessments and Best Interest decisions under the MCA 2005		
8.	Decision to instigate safeguarding concern under section 42 Care Act	Director within Adults and Communities	
9.	Decision to instigate safeguarding enquiry under section 42 Care Act	Director within Adults and Communities	
10.	Approval of care plans in Care Act assessments	Director within Adults and Communities	
11.	Ensure availability of Approved Mental Health Professionals to receive, consider and undertake Mental Health Act Assessments as and when required.	DASS	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
12.	Apply to the Magistrates Court for a section 135(1) warrant, MHA 1983.		
13.	Perform the function of a Social Supervisor.	Director within Adults and Communities	
14.	Authorise application under section 7 of the MHA for Guardianship.	DASS	
15.	Where required and following relevant court authority to act as the Nearest Relative for an individual as set out in the Mental Health Act 1983	DASS	
16.	Setting of charging policy for care. Sections 14,17, 69 and 70 of Care Act 2014	S151 Officer Although i think it is a cabinet decision	
17.	Care and Support Charging Policy Financial Assessment Appeal No appeal process need advice on this	Director within Adults and Communities	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
18.	Care and Support Charging Policy Financial Assessment 2nd stage Appeal	Directors within Adults and Communities	
19.	Care and Support charge Waivers These may be considered in exceptional circumstances	Directors within Adults and Communities	
20.	Authorisation for Deferred payment agreements under sections 34-36 Care Act 2014	Director within Adults and Communities	
21.	Deferred Payment Agreement (DPA) Appeal hearing and decision against refusal to award a DPA	Director within Adults and Communities	
22.	Agree top-up payments for residential/nursing care in accordance with Care Act 2014 – Annex A – choice of accommodation and additional payments.	Director within Adults and Communities	
23.	Approval to suspend a direct payment where the terms of the direct payment agreement are not met or where there is suspected fraud.	Director within Adults and Communities	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
24.	Approval of joint funded packages of care, including continuing health care and section 117 mental health aftercare services.	Director within Adults and Communities	
25.	Approve direct payment agreements and suitable person agreements (where applicable).	Director within Adults and Communities	
26.	Recall surplus funds from direct payment accounts.	Director within Adults and Communities	
27.	Provision of court deputy service	Director within Adults and Communities	
Libraries, Museums, and Archives			
28.	To exercise the powers under the Library Byelaws and Regulations including temporary closure of any Museums, Libraries or Archives sites and to allow the exclusion of service users.	Director of Culture and Tourism	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
29.	Agreeing and levying charges for the use of library, archives and museum facilities / services.	Director of Culture and Tourism	
30.	Agree charging of overdue loans under Section 8 of the Public Libraries and Museums Act 1984.	Director of Culture and Tourism	
31.	To implement the charging policy for services, including fines, hire charges and fees.	Director of Culture and Tourism	
32.	To make provision for the lending of literacy, dramatic musical or artistic works to the public on payment under Section 66 of the Copyright, Designs and Patents Act 1988.	Director of Culture and Tourism	
33.	To make and supply a copy of any article or published edition under Section 41 of the Copyright, Designs and Patents Act 1988 (provision copies to another library) or Section 42 (to preserve or replace an item).	Director of Culture and Tourism	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
34.	Permitting the use of library and museum premises for meetings etc. of a cultural nature under Section 20 of the Libraries and Museums Act 1964 or under Section 20 of the Public Libraries and Museums Act 1984, including the power to make charges.	Director of Culture and Tourism	
35.	To manage the social media accounts for libraries, museums and archives in accordance with communications protocols.	Director of Culture and Tourism	
36.	To provide training and supervision for volunteers. Not required		
37.	To work within the unreasonable behaviour policy to ban visits from sites.	Director of Culture and Tourism	
38.	Power to establish a fund for purchase of objects for exhibition - Section 15 of the Public Libraries and Museum Act 1964 and the collection of donations for the care and display of collections.	Director of Culture and Tourism	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
39.	Contribute in time or finance to voluntary organisations or parish / town councils in the operation of community libraries. Not applicable		
Culture and Tourism			
40.	<p>To discharge the Council's functions, without limitation, in relation to:</p> <ul style="list-style-type: none"> • Galleries and the arts • Sports and leisure facilities (indoor and outdoor) • The pier and foreshore (including in relation to boats and boatman licences, cockle fishing licences and bait digging licences) • Tourism 	Director of Culture and Tourism	
Bereavement Services			
41.	To act on behalf of the Council in respect of the legislation specified in The Local Authorities' Cemeteries Order 1977 – The	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	Council is defined as a burial authority for the provision and maintenance of cemeteries.		
42.	To act on behalf of the Council in respect of the legislation specified in The Cremation (England and Wales) Regulations 2008 (amendment 2016).	Director of Infrastructure and Environment	

Environment and Place

Scheme of Delegation to Officers

Table A

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
Local Planning Authority Functions (including Strategic Planning and Development management)			
1.	Annual increases to preapplication advice charges for development management and listed buildings.	Director of Planning and Economy	
2.	Designation of a Neighbourhood Area Regulation 6/7 of the Neighbourhood Planning (General) Regulations 2012.	Director of Planning and Economy	
3.	Progression to examination Decision Document Regulation 15/16 of the Neighbourhood Planning (General) Regulations 2012.	Director of Planning and Economy	
4.	Proceed to referendum Decision Document Regulation 17/18 of the Neighbourhood Planning (General) Regulations 2012.	Director of Planning and Economy	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
5.	Neighbourhood Plan Adoption/Made Regulation 19 of the Neighbourhood Planning (General) Regulations 2012.	Director of Planning and Economy	
6.	Preparation of development plan documents (part 2 of the Planning and Compulsory Purchase Act 2004) Preparation of and consultation upon issues and options documents.	Director of Planning and Economy	
7.	Preparation of Supplementary Planning Documents (SPD) The Town and Country Planning (Local Planning) (England) Regulations 2012 Preparation of Draft SPD for consultation.	Director of Planning and Economy	
8.	To act on behalf of the Council in respect of all land use planning matters administered by the Local Planning Authority under the Town and Country Planning Acts, secondary legislation and any related statutory instruments, including those listed as Planning Functions in Table B.	Director of Planning and economy	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
9.	Power to make local development order Section 61A of the Town and Country Planning Act 1990.	Director of Planning and economy	
10.	Power to modify an existing local development order Schedule 4A of the Town and Country Planning Act 1990.	Director of Planning and economy	
Regeneration			
11.	To discharge the Council's functions in relation to, without limitation: <ul style="list-style-type: none"> • The management and promotion of regeneration; • Economic and business development • Town centre management 	Executive Director for Environment & Place Regeneration and promotion of Regeneration – Director for Regeneration, Housing and Regulatory Services Economic and business	Land and property transactions are reserved to the Executive Director of Finance and Resources other than in the case of transactions relating to the delivery of approved schemes of regeneration and housing development where such functions will be delegated to the Executive Director for Environment and Place and/or the Executive Director for Finance and resources.

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
		development - Director of Planning and Economy	
Building Control – Functions/powers are exercised in accordance with the Building Safety Act 2022, Building Act 1984, The Public Health Act 1925, The Town and Improvement Clauses Act 1847 and The Public Health Act 1875 and other relevant legislation			
12.	To discharge the Council's Local Authority Building Control functions as identified under the above legislation, including but not limited to determining all consents, permissions and licences, taking enforcement action and dealing with dangerous structures	Director of Planning and Economy	
13.	To discharge the Council's Local Authority functions and responsibilities under the Safety of Sports Grounds Acts, including the issuing of certificates and serving of notices.	Director of Planning and Economy	
Parking			

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
14.	Road Traffic Regulation Act 1984 – gives the power to local authorities to make traffic regulation orders which prohibit or restrict the use of a road; and which provide parking places on the highway, and in off-street car parks and set out the term on which such parking places may be used. Permission is also granted to park in contravention by way of a dispensation permit.	Director of Infrastructure and Environment	
15.	Civil Enforcement of Parking Contraventions (England) General Regulations – provides for the issue of a Charge Certificate in order to recover debt from unpaid Parking Penalty Charge Notices.	Director of Infrastructure and Environment	
16.	Civil Enforcement of Parking Contraventions (England) General Regulations – provides for the enforcement of a Charge Certificate if unpaid, by the issue of an Order for Recovery from a County Court.	Director of Infrastructure and Environment	
17.	Taking Control of Good Regulations 2013 (as amended) – provides for the execution of a County Court Order to instruct Enforcement	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	Agents to recovery unpaid Parking Penalty Charge Notice debt.		
18.	Road Traffic Regulation Act 1984 and associated Off Street Car Park Orders – provides for charges and restrictions to apply at off street car parks. Permission to be granted to use car park for another purpose, hire or to waive the parking fee payable for an event or other use.	Director of Infrastructure and Environment	
19.	Road Traffic Regulation Act 1984 and associated Traffic Regulation Orders – provides for charges to apply at on street parking locations. Permission to be granted to use parking spaces for another purpose, hire or to waive the parking fee payable for an event or other use.	Director of Infrastructure and Environment	
20.	The Traffic Management Act 2004 (Part 6) – provides for contraventions of the terms of a traffic regulation order relating to parking places on the highway and off-street, which were made offences in the RTRA (1984), to be subject to civil enforcement.	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
21.	Disabled Person Parking Badges Act 2013 – ability to seize blue badges and write witness statements, carry out background checks, write witness statements, investigate cases of blue badge misuse and produce prosecution files.	Director of Infrastructure and Environment	
Street Trading			
22.	Section 3 and Schedule 4 of the Local Government (Miscellaneous Provisions) Act 1982 – Enabling street trading to be regulated within the county and adopted by the Council in 1998.	Director of Infrastructure and Environment	
23.	Section 115E of the Highways Act 1980 – Control of pavement cafes with Highways Amenity Licences.	Director of Infrastructure and Environment	
24.	Section 3 of the Business and Planning Act 2020 – Pavement Licences.	Director of Infrastructure and Environment	
Markets			
25.	Exercise the Council's powers under section 50 of the Food Act 1984 to establish and operate street markets in the county.	Director for Regeneration, Housing and	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	Setting up, operation, regulation or relocating of any market. The collection of charges made in relation to any market.	Regulatory Services / Director for Infrastructure and Environment	
Environmental Health / Public Protection / Trading Standards			
26.	To discharge the Council's functions, including but not limited to, the determination of permissions, licences and consents, and enforcement, in relation to: <ul style="list-style-type: none"> • Environmental health and protection • Health and safety • Trading standards and consumer protection • All licensing functions not reserved by law to the Licensing Committee or any Licensing Sub-Committee • To act on behalf of the Council in respect of the legislation specified as Regulatory / Licensing Functions in Table B. • Markets and street trading 	Director for Regeneration, Housing and Regulatory Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
Community Safety			
27.	<ul style="list-style-type: none"> • Public protection, clean neighbourhoods and community safety • Reducing crime, disorder and anti-social behaviour • Operation, control and management of CCTV • Enforcement of relevant Public Space Protect Orders and Byelaws. 	Executive Director for Environment & Place and/or Head of Community Safety	
Highways and Transport			
28.	<p>To act on behalf of the Council in respect of the legislation specified in the foregoing:</p> <ul style="list-style-type: none"> • Traffic Management Act 2004 • Road Traffic Act 1988 • Cycle Tracks Act 1984 • Highways Act 1980 • National Parks and Access to the Countryside Act 1948 	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	<ul style="list-style-type: none"> • New Roads and Street Works Act 1991 • Road Traffic Regulation Act 1984 • Town and Country Planning Act 1990 • Town Police Clauses Act 1847 • Traffic Calming Act 1992 • Wildlife and Countryside Act 1981. 		
29.	<p>To enter into agreements pursuant to Section 38 and Section 278 of the Highways Act 1980, issue permissions under Section 184 and display notices under Section 228, including the power to determine the terms and conditions of the above.</p>	<p>Director of Infrastructure and Environment</p>	
30.	<p>To manage the Council's functions in relation to flooding, drainage and sea defences in compliance with current legislation and policies of the Council (including without limitation:</p> <ul style="list-style-type: none"> • Land Drainage Act 1991; • Flood Risk Regulations 2009; and • Flood and Water Management Act 2010). 	<p>Director of Infrastructure and Environment</p>	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
31.	<p>Transport Act 1985 clause 63 – duty to secure socially necessary transport.</p> <p>Transport Act 2000 Section 140 – duty to make information (on bus services) available.</p> <p>Operational measures required to support local transport including:</p> <ul style="list-style-type: none"> • Minor variations to subsidised routes/timetables within allocated budgets • Planning and procurement of new/varied services in accordance with policy and allocated funding using the Council's DPS • Review and maintenance of service level agreement with local community transport projects in accordance with allocated budget. • Provision of information on bus services. 	Director of Infrastructure and Environment	
32.	Transport Act 1985 clause 63 – duty to secure socially necessary transport	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	Award of contracts to operate services identified and procured in accordance with policy and allocated budget.		
33.	<p>Education Act 1996 Section 508/509</p> <p>Operational delivery of school transport and post 16 travel support services comprising:</p> <ul style="list-style-type: none"> • Assessment of eligibility for home to school transport with regard to legislation and local adopted policy • Procurement of transport services required in accordance with the Council's home to school transport policy • Operation of personal transport budgets in accordance with the Council's home to school transport policy • Review and update the home to school transport policy guidance. 	Executive Director Children and Public Health (DCS)	
34.	(Education Act 1996 Section 508)	Executive Director Children and Public Health (DCS)	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	<ul style="list-style-type: none"> Award of contracts to operate services identified and procured in accordance with policy and allocated budget. 		
35.	Enter into Service Level Agreements with Leigh Town Council.	Director of Infrastructure and Environment	
36.	Setting and collecting charges in accordance with the Environmental Protection Act 1990 and the Controlled Waste Regulations 2012.	Director of Infrastructure and Environment	
37.	To provide written comments/ bids to organisations such as MHCLG for requisition of grants.	Director of Infrastructure and Environment	
Sustainability & Climate Change			
38.	Signing/approval of Local Authority declarations, which are a requirement under flexible eligibility as determined by The Electricity and Gas (Energy Company Obligation) Order 2022 (ECO4 Order) covering the period from the commencement date of the ECO4 Order on 27 July 2022 to 31 March 2026.	Director of Infrastructure and Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
39.	Signing of power purchase agreements with tenants relating to the sale of electricity generated from HC owned renewables.	Director of Infrastructure and Environment	
40.	Signing of ECO flex declaration	Director of Infrastructure and Environment	
41.	Management of maintenance and repairs of energy efficiency measures and renewable energy generation across the corporate estate.	Director of Infrastructure and Environment	
Built and Natural Environment			
42.	To act on behalf of the Council in respect of all planning matters administered by the Local Planning Authority under the Town and Country Planning Acts, secondary legislation and any related statutory instruments, including those listed as Planning Functions in Table B.	Director of Planning and Economy	
Strategic Housing			
43.	Approval for the allocation of grant money to developers/ Registered Social Landlord's (RSL)'s/ applicants.	Director of Regeneration, Housing and	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
		Regulatory Services	
44.	Approval of grant monies.	Director of Regeneration, Housing and Regulatory Services	
45.	To negotiate/ renegotiate specialist accommodation on schemes with planning permission in lieu of a reduction in affordable housing.	Director of Regeneration, Housing and Regulatory Services	
46.	Approval of RSL grant funding for purchase and repairs of properties off the open market.	Director of Regeneration, Housing and Regulatory Services	
47.	To provide written comments/ bids to organisations such as MHCLG for requisition of grants.	Director of Regeneration, Housing and Regulatory Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
48.	Written consent to the RSL to allow for the disposal of their assets following investigation.	Director of Regeneration, Housing and Regulatory Services	
49.	Written consent to the RSL for the disposal of their assets following investigation and ascertain the level of financial clawback to be returned to the Council.	Director of Regeneration, Housing and Regulatory Services	
Housing Services			
50.	<p>To discharge the Council's housing functions including, without limitation, under the Housing Act 1985, the Housing Act 2004 and the Homelessness Reduction Act 2002 and the Homelessness Reduction Act 2017 in relation to:</p> <ul style="list-style-type: none"> The management and administration of Council dwellings subject to the management agreement with Essex Homes 	Director of Regeneration, Housing and Regulatory Services	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	<ul style="list-style-type: none"> • Providing housing assistance and advice • Homelessness • Housing allocation • Private rented sector dwellings • Enforcement 		
Waste, Recycling and Environment Services			
51.	<p>To discharge the Council's functions in respect of waste, recycling and environmental services, including without limitation, in relation to:</p> <ul style="list-style-type: none"> • Waste collection / treatment / disposal • Recycling collection/ treatment / disposal • Street cleansing • Clean neighbourhoods • Untidy sites (s.215 Town & Country Planning Act 1990) • Litter and fly tipping • Abandoned vehicles 	Director of Infrastructure & Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	<ul style="list-style-type: none"> • Salting of, and snow and debris removal from, public highways • Clean / safe beaches • Public toilets 		
52.	<p>To discharge the Council's functions (including but not limited to maintenance and determining all consents, permissions and licences, and taking enforcement action) in relation to:</p> <ul style="list-style-type: none"> • Parks, gardens and open spaces • Parks Depots • Dangerous trees, High Hedges • Highways, Footpaths and rights of way (including adoption and closure and s.6 of the Essex Act re verges). • Lakes and waterways in Parks • Highway verges and other areas ancillary to the public highway • Street lighting • Traffic Management, including the advertisement, implementation, revocation, consolidation and 	Director of Infrastructure & Environment	

Reference	Function / Power	Delegated To	Restrictions / Conditions on the Delegation
	<p>enforcement of Traffic Regulation Orders and Emergency Traffic Regulation Orders.</p> <ul style="list-style-type: none"> Naming and Numbering of Streets and premises 		
53.	<p>To act as the Traffic Manager for the purposes of Section 17 (2) of the Traffic Manager Act 2004 or to appoint a person to exercise the Network Management Duty under Section 16 of the Act.</p> <p>To discharge the Council's functions under the Highways Act 1980</p> <p>The functions of the Council as road traffic authority including its powers under the Road Traffic Regulation Act 1984.</p> <p>The Council's functions under New Roads and Street Works Act 1991.</p> <p>To sign the official traffic regulation orders (sealing is not required.)</p> <p>To be responsible for the management of the Council's highways contracts and the delivery of an annual programme of works agreed in consultation with the relevant Cabinet Member</p>	Director of Infrastructure & Environment	

Table B (planning and regulatory / licencing legislation [insert link to legislation])

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3. LIST OF STATUTORY OFFICERS AND PROPER OFFICERS (AND DESIGNATED POSTS)

Statutory Officers

Introduction

- 3.1 The Statutory Officers set out in the table below hold Statutory Offices on behalf of the Council. A Statutory Officer will hold the Statutory Office during any period of employment in the post to which the statutory office is designated, either as a full-time employee of the Council, or on a temporary, 'acting-up' or interim basis.
- 3.2 Statutory Officers may appoint deputies where the law allows, but cannot delegate their statutory responsibilities.
- 3.3 The Monitoring Officer has delegated authority to amend the list of Proper Officers to add additional posts pursuant to legislation, or remove and replace redundant posts or provisions, or to change appointments.

Statutory Officers

Statutory Office	Statutory Office Designated Post
Head of Paid Service (Section 4, Local Government and Housing Act 1989)	Chief Executive
Monitoring Officer (Section 5, Local Government and Housing Act 1989)	Director, Legal Services
Chief Finance Officer (s.151 Local Government Act 1972)	Executive Director Finance and Resources
Electoral Registration Officer Returning Officer / Deputy Returning Officer (ss.8,28 and 35 Representation of the People Act 1983)	Chief Executive

<p>Director of Children’s Services (section18, Children Act 2004)</p>	<p>Executive Director, Children and Public Health</p>
<p>Director of Adult Social Services (section 6, Local Authority Social Services Act 1970)</p>	<p>Executive Director, Adult Social Services and Health</p>
<p>Director of Public Health (section 73A, National Health Service Act 2006)</p>	<p>Director, Public Health</p>
<p>Scrutiny Officer (section 9FB Local Government Act 2000 as amended)</p>	<p>Director, Legal Services</p>
<p>Data Protection Officer (section 29 Data Protection Act 2018) (UKGDPR)</p>	<p>Head of Governance</p>
<p>Qualified person for the purposes of section 36 of the Freedom of Information Act 2000</p>	<p>Monitoring Officer</p>

Proper Officers

Introduction

- 3.4 The Officers set out in the table below are appointed to be the Council's Proper Officer for the stated legislative provisions.
- 3.5 The appointed Deputy Proper Officer is given in brackets. The Deputy Proper Officer is appointed to act where the Proper Officer is absent and / or unable to act for any reason.
- 3.6 In absence of the appointment of a Proper Officer in this Constitution:
- 3.6.1 The Chief Executive will be the Council's Proper Officer and has power to delegate this power, until an appointment is made by Full Council; and
- 3.6.2 The Monitoring Officer is delegated authority to amend the list of Proper Officers to add additional posts pursuant to legislation, or remove and replace redundant posts or provisions, or to change appointments.

PROPER OFFICERS

LOCAL GOVERNMENT ACT 1972

Section	Function / Description	Proper Officer
83(1)-(4)	Officer to whom persons elected as councillors shall make declaration of acceptance of office.	Director, Law and Governance (Chief Executive)
84	Officer to whom councillors may give written notice or resignation.	Director Law and Governance (Chief Executive)
88(2)	Officer who may convene a Council meeting to fill a vacancy in the office of Mayor Please can we check – I don't think that thi is required?	Chief Executive (Deputy Chief Executive)
89(1)(b)	Officer who may receive notice in writing of a casual vacancy in the office of councillor from two local Government electors.	Chief Executive (Director, Legal Services)
100	All references to proper officer in connection with the access to information provisions of the Local Government Act 1972.	Director Law and Governance

115	Officer to whom all officers shall pay monies received by them and due to the local authority.	Director Finance and Resources / Chief Finance Officer (Chief Executive)
146(1)	Officer authorised to produce a statutory declaration specifying securities and verifying name change of authority.	Director Finance and Resources / Chief Finance Officer (Chief Executive)
225(1)	Officer with whom documents may be deposited pursuant to law to make notes or endorsements and give acknowledgements or receipts.	Director Law and Governance
229(4) and (5)	Officer who shall certify that a document is a photographic copy of a document in the custody of the Council.	Director Law and Governance
Section 233 LGA 1972	Receive documents required to be served on the Council.	Director Law and Governance
234(1)	Officer who may authenticate documents.	Director Law and Governance
238	Officer who may endorse a copy of a byelaw.	Director Law and Governance
248	Officer who will maintain a roll of freemen	Chief Executive

Sch.12, Part 1, para 4(1A)	Officer who may sign a summons to Council meetings and may receive notice from a member of address to which a summons to a meeting is to be sent.	Chief Executive (Deputy Chief Executive)
Sch. 14	Corticate of resolutions concerning Public Health Acts 1875 - 1925	Chief Executive

LOCAL GOVERNMENT ACT 1974

Section	Function / Description	Proper Officer
30, 30 (5)	Officer responsible for receiving and arranging publication in newspapers of notice of Local Commissioner's report on investigation of a complaint.	Director Law and Governance

LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1976

Section	Function / Description	Proper Officer
16	Notices requiring details of interests in land	Any Chief Officer
41	Officer responsible for certifying copies of resolutions, minutes and other documents.	Director Law and Governance

PUBLIC HEALTH (CONTROL OF DISEASES) ACT 1984 AND THE PUBLIC HEALTH (INFECTIOUS DISEASES) REGULATIONS 1988

Regulation	Function / Description	Proper Officer
	All references to the Proper Officer.	Director Public Health (Public Health Consultant)

WEIGHTS & MEASURES ACT 1985

Section	Function / Description	Proper Officer
72	Functions of Chief Inspector of Weights and Measures.	Executive Director, Environment and Place (relevant Director / Head of Service)

LOCAL GOVERNMENT FINANCE ACT 1988

Section	Function / Description	Proper Officer
114,114A,116 and 139A	Officer responsible for making a report under this section to the authority concerning unlawful expenditure and the Council's budget.	Executive Director Finance and Resources / Chief Finance Officer (Director, Financial Services / Deputy Chief Finance Officer)

LOCAL GOVERNMENT & HOUSING ACT 1989

Section	Function / Description	Proper Officer
2, 3A, 15-14	Deposit of list of "politically restricted posts" under LGHA 1989.	Director Law and Governance

NON-DOMESTIC (COLLECTION AND ENFORCEMENT) (LOCAL LISTS) REGULATIONS 1989

Regulation	Function / Description	Proper Officer
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23	Certification of the Local Non-Domestic List.	Executive Director Finance and Resources / Chief Finance Officer (Director, Financial Services / Deputy Chief Finance Officer)
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LOCAL GOVERNMENT (COMMITTEES AND POLITICAL GROUPS) REGULATIONS 1990

Section	Function / Description	Proper Officer
	For the purposes of the composition of committees and nominations to political groups, and notifications as to allocations and vacancies of seats	Director Law and Governance

THE LOCAL AUTHORITIES (STANDING ORDERS) (ENGLAND) REGULATIONS 2000

Regulation	Function / Description	Proper Officer
Paras 5 and 6 of Part II of Schedule 1	Officer to receive notification of proposed appointment of certain officers, notifying executive members of that proposed appointment and for receiving and notifying of objections to the proposed appointment from executive members, if any. (as set out in the Staff Employment Procedure Rules)	Chief Executive [[Executive Director with responsibility for Human Resources]]

LOCAL AUTHORITY SOCIAL SERVICES AND NATIONAL HEALTH SERVICE COMPLAINTS (ENGLAND) REGULATIONS 2009

Regulation	Function / Description	Proper Officer
	All references to the responsible officer	Executive Director, Adults and Communities

LOCAL AUTHORITIES (REFERENDUMS) (PETITIONS) (ENGLAND) REGULATIONS 2011

Regulation	Function / Description	Proper Officer
4	Officer who publishes the number that is equal to 5 per cent of the number of local government electors for the authority's area.	Director Law and Governance
11,13,14	To be the Proper Officer for the receipt and validation of petitions.	Director Law and Governance

LOCAL ELECTIONS (PRINCIPAL AREAS) (ENGLAND AND WALES) RULES 2006, AND LOCAL ELECTIONS (PARISHES AND COMMUNITIES) RULES 2006

Rules	Function / Description	Proper Officer
	Retention and public inspection of documents after an election	Director Law and Governance

LOCAL LAND CHARGES ACT 1975

Section	Function / Description	Proper Officer
	Maintenance of register of local land charges	Director Law and Governance

FOOD SAFETY ACT 1990

Section	Function / Description	Proper Officer
49 (3) (a)	Authentication of documents	Director, Public Protection

PUBLIC HEALTH ACT 1936

Section	Function / Description	Proper Officer
85 (2)	Service of notice requiring remedial action in respect of verminous persons or articles	Director, Public Protection

PUBLIC HEALTH ACT 1961

Section	Function / Description	Proper Officer
37	Control of any verminous article	Director, Public Protection

NATIONAL HEALTH SERVICE ACT (AS AMENDED BY HEALTH AND SOCIAL CARE ACT 2012)

Section	Function / Description	Proper Officer
	Functions relating public health	Director, Public Health

HOUSING ACT 1985

Section	Function / Description	Proper Officer
606	Submission of report on particular houses or areas	Executive Director, Environment and Place

LOCAL AUTHORITIES (CONDUCT OF REFERENDUMS) (ENGLAND) REGULATIONS 2011

Regulation	Function / Description	Proper Officer
	All references to the Proper Officer.	Director Law and Governance

THE LOCAL AUTHORITIES (EXECUTIVE ARRANGEMENTS) (MEETINGS AND ACCESS TO INFORMATION) (ENGLAND) REGULATIONS 2012

Regulation	Function / Description	Proper Officer
	All references to the Proper Officer	Director Law and Governance

LOCAL AUTHORITIES CEMETRIES ORDER 1977

Regulation	Function / Description	Proper Officer
	To sign exclusive rights of burial	Director, Communities, Culture and Tourism

REPRESENTATION OF THE PEOPLE ACT 1983

Section	Function / Description	Proper Officer
	All Proper Officer functions identified in the legislation	Chief Executive (Deputy Chief Executive)

BUILDING ACT 1984

Section	Function / Description	Proper Officer
78 and 79	To take action in relation to dangerous buildings and structures, and the service of notices	Executive Director, Environment and Place

LOCAL GOVERNMENT ACT 2000

Section	Function / Description	Proper Officer
3,5,6	Functions pertaining to the making, copying and making available for inspection (as applicable) executive decisions, associated reports and background papers	Director Law and Governance
11 (2)	Exclusion of whole or part of any report to the Cabinet where meeting is likely not to be open to the public.	Director Law and Governance
11 (7) (c)	Provision to the press of other documentation supplied to members of the Cabinet in connection with item discussed	Director Law and Governance
81	Establish and maintain a register of members' interests	Director Law and Governance

	Except as regards the above, all references to the Proper Officer in the Local Government Act and subordinate legislation	Chief Executive
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4. EMPLOYEE CODE OF CONDUCT

Note: for the purpose of the Employee Code of Conduct, Officers of the Council are referred to as employees.

Purpose of the Employee Code of Conduct

- 4.1 The Council aims to ensure the highest standards of conduct of its employees and to assist employees in performing their duties to the best of their ability. This Employee Code of Conduct (Code) supplements and should be read in conjunction with all HR and staff policies.
- 4.2 Employees are required, under the terms of their contract of employment with the Council to comply the Code, and failure to do so may amount to a disciplinary matter.

Application of the Code

- 4.3 The Code applies to all employees of the Council, including casual and agency workers, volunteers, interim appointees and contractors.

General Principles

- 4.4 The Code of Conduct is founded on the following principles:
- (a) To ensure the highest standards of conduct and integrity from all employees of the Council;
 - (b) To support the Council's visions and values, policies and guidance;
 - (c) To set out clear objectives and expectations for all employees;
 - (d) To ensure all employees treat colleagues and those they interact with during the course of their work with dignity and respect;
 - (e) To ensure that there is no unlawful discrimination against any individual in the application of this Code on the basis of the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, maternity and pregnancy, race, religion or belief, sex, sexual orientation, or other grounds protected in law.

Safeguarding

- 4.5 The Council has a duty to safeguard and promote the well-being of children, young people and adults at risk of harm. This includes the need to ensure that all employees who work with or on behalf of children, young people and adults at risk of harm are competent, confident and safe to do so.
- 4.6 All employees who come into contact with children, young people and adults at risk of harm in their work have a duty of care to safeguard and promote their welfare.
- 4.7 Employees who work with or come into contact with children, young people or adults at risk of harm must refer to the following documentation in relation to their working practice:
- (a) [Safeguarding In Employment Guidance;

- (b) Guidance for Safer Working Practice for Adults for those working with Children and Young People in Education Settings;
- (c) Safeguarding Code of Conduct – For all those working with or Visiting Adults at Risk of Harm.]

Disclosure of Criminal Convictions

4.8 All employees owe a duty of trust and confidence to the Council. If at any time during the course of employment an employee is charged with or convicted of a criminal offence, this should be disclosed at the earliest possible opportunity. The Council will then assess whether or not the charge or conviction affects the employee's suitability to perform their role and their continued employment. Motoring offences that are dealt with by way of a fixed penalty notice do not need to be disclosed except where employees are required to drive Council vehicles as part of their role, or where it results in disqualification from driving and the employee is required to drive in order to perform their role or a substantial part of their role.

Equalities and Dignity at Work

- 4.9 The Council wishes to create an environment where all employees, casual and agency workers, volunteers, interim appointments and contractors are treated with dignity and respect.
- 4.10 The Council is committed to achieving equality of opportunity as an employer of people, provider of services, educator and community leader.
- 4.11 All employees are expected to adopt the Council's vision of equality of opportunity and embrace the expectations outlined in the Council's [Equality in Employment Statement.]

Relationships

- 4.12 The Council will not interfere unduly in the private lives of employees but in order to balance the Council's obligations to act in the public interest, it will take legitimate action when close personal relationships at work have an actual or potential impact on Council business or services (for further guidance contact HR).
- 4.13 The Council regards as wholly unacceptable inappropriate close personal relationships between an employee and a child or young person who is under the age of 18 (19 if still at school), or an adult at risk of harm.
- 4.14 Issues involving close personal relationships at work will be approached sensitively and managed promptly, effectively, fairly and lawfully.
- 4.15 All employees must disclose in writing any relationship between themselves and an applicant for employment by the Council once it becomes known to them.
- 4.16 Employees involved in recruitment decisions must ensure that all appointments are made on the basis of merit alone. Employees must not be involved in appointments where they are related to an applicant or otherwise have a close personal relationship with them, or have knowledge of them in another context e.g. a social connection or business association.

- 4.17 Employees should not be involved in decisions relating to discipline, promotion, recruitment or pay and conditions for any other employee who is a relative, partner, close friend or similar.
- 4.18 All applicants for a position with the Council will be asked to declare any relationship to any Officer or Councillor of the Council. Failure to do so could result in the withdrawal of the offer of appointment, or dismissal if already appointed.
- 4.19 Mutual respect between employees and Councillors is essential for good local government. Some employees may need to work closely with Councillors. Close personal familiarity between employees and individual Councillors can damage the relationship and prove embarrassing to other employees and Councillors, and should therefore be avoided.

Conflict of Interest

- 4.20 Council employees, casual and agency workers, volunteers, interim appointees and contractors must not act or fail to act in such a way which may bring them into conflict with their employment or engagement by the Council, or allow any private interest or opinion to influence their decisions at work.
- 4.21 Employees must not use their position for personal gain or to further their own interests or the interests of others who may not have a right to benefit under the Councils' policies.
- 4.22 Employees or a close family member / friend may have a private interest which relates to the work of the Council. That interest may either be a financial one, or one which a member of the public might reasonably think could influence an employee's judgement.
- 4.23 Employees will be required to complete a declaration of interests proforma both as part of pre-employment checks and at regular intervals during their employment with the Council.
- 4.24 If an employee becomes aware of any interest in relation to themselves, any family member or person with whom they have a personal connection which may lead to a conflict of interest between them and the Council, this should be declared as soon as is possible using the declaration of interests proforma.

Prevention of Fraud and Corruption

- 4.25 The Council is committed to ensuring the highest standards of propriety in the delivery of its services and management of its resources and assets.
- 4.26 All employees are expected to act with integrity at all times and to comply with legal requirements, rules, procedures and good practice.
- 4.27 Further guidance can be obtained in the Council's Anti-Fraud and Corruption Strategy.

Commercial Practices Including Gifts and Hospitality

- 4.28 The principal aim of the Council's [Code of Conduct on Commercial Practices] is to ensure that Council business is conducted in accordance with the very highest standards.

4.29 Employees should never use their office for personal gain and should seek to uphold and enhance the reputation of the Council by:

- (a) Maintaining a high standard of integrity in all business and professional relationships;
- (b) Fostering the highest possible standards of professional competence amongst those for whom they are responsible;
- (c) Complying both with the letter and the spirit of:
 - (i) the law;
 - (ii) the Council's [Gifts and Hospitality Policy, Standing Orders and Financial Procedure Rules [and Financial Instructions]];]
 - (iii) any additional guidance supplied by Executive Directors / senior managers;
 - (iv) the terms and conditions of their employment with the Council;
 - (v) rejecting any business practice which might reasonably be deemed improper.

Personal Transactions

4.30 Employees must not privately request or obtain goods or services from the Council's consultants, agencies, contractors, or suppliers except in a normal commercial way and no special terms must be asked for because of the Council's business relationship.

4.31 Employees must also advise their line manager before any work starts for them in a private capacity, which is being undertaken by consultants, agencies, contractors, or suppliers used by the Council. Employees should obtain evidence of paying a bill and obtaining quotes in order to avoid misinterpretation or any suggestion of preferential treatment.

4.32 Employees are not prevented from obtaining discounts as a result of professional memberships, trade union memberships, or any other employee discount arrangement that the Council has in place.

4.33 Council order forms, headed note paper and other formal documents must not be used to obtain private goods or services for non-Council or private purposes even where reimbursement is made to the Council. The same applies to personal transactions made using the internet or external email.

4.34 Sales and purchases of personal goods between employees and the Council should only take place in exceptional circumstances and may require approval from an appropriate level of management.

Political Neutrality & Politically Restricted Posts

4.35 Employees must be politically neutral in the performance of their duties, and must not allow personal or political opinions to influence their work. Employees are required to implement the decisions and policies of the Council irrespective of their personal political

views. The Council respects the rights of employees to hold political views or opinions, however, employees must ensure that any expression of such views does not constitute a conflict of interest, nor should employees seek to influence the work of others through such expressions.

- 4.36 Under the Local Government and Housing Act 1989 a number of the Council's posts are politically restricted. Individual employees will be notified by their Executive Director / a senior manager if their post is affected.
- 4.37 A person holding a politically restricted post is disqualified from becoming or remaining a member of a local authority (excluding a parish council) or of the House of Commons.
- 4.38 In addition, the terms of employment of individuals holding a politically restricted post are deemed to incorporate various other restrictions, including prohibition on:
- (a) Announcing, or causing or permitting the announcement of the employee's candidature for election to the House of Commons, or a local authority;
 - (b) Speaking to the public or publishing written work with the apparent intention of affecting public support for a political party;
 - (c) Acting as an election agent;
 - (d) Canvassing on behalf of a political party;
 - (e) Being an officer or member of a committee of a political party or branch of a political party if the duties would require the employee to participate in the general management of the party or branch, or act on behalf of the party or branch with persons outside the party.
- 4.39 There is an opportunity to appeal against designation as a politically restricted postholder. Further details of this process can be obtained from the Monitoring Officer.

Confidentiality, Security and the Disclosure of Information

- 4.40 Employees may, in the course of their employment become aware of personal or other confidential information, some of which may fall within the scope of data protection legislation. The Council requires that the confidentiality of such information is respected and the information is kept secure in accordance with the [Council's Data Protection Policy] and the law complied with where applicable.
- 4.41 Any particular information received by an employee from a Councillor that is personal to that Councillor should not be divulged by the employee without the prior approval of the Councillor, except where such disclosure is required by law.
- 4.42 Employees must not use information obtained in the course of their employment for personal gain or benefit, nor should they pass it on to others who might use it in such a way unless it is necessary and within the law to do so, for example where there is a police investigation.
- 4.43 Employees are required to comply with both data protection and access to information legislation.

- 4.44 Any meeting recorded without the consent of all those present (covert recordings) will be treated as a conduct matter. If employees have any misgivings about either the process or the managers leading it, they should raise them with the Monitoring Officer.
- 4.45 Information concerning an employee's private affairs will not be supplied to any person outside of the Council unless the consent of the employee is obtained first.
- 4.46 On commencing employment with the Council all employees are required to sign a confidentiality statement as part of their contract of employment. The principles of this statement should be read in conjunction with this document but do not prevent employees from making a protected disclosure within the meaning of section 43A of the Employment Rights Act 1996 as further referred below at paragraphs 4.68 and 4.69 below.

Communication, Computer Usage and the Internet

- 4.47 Use of the Council's information and communication technology (ICT), systems and network is provided as part of an individual's work role.
- 4.48 Employees should make themselves familiar with the Council's ICT policies outlined in the [ICT Information Security Framework.]
- 4.49 Violation of the ICT policies may be grounds for disciplinary action, which, if found to constitute gross misconduct, may result in sanctions up to and including dismissal.
- 4.50 Use of technology to contact individuals can suggest an informality which may be inappropriate. Great care should be exercised over the use of communications technology such as mobile phones, text messaging, emails, digital cameras, videos, web cams, websites and blogs.
- 4.51 Communication that may cause offence or detriment to individuals may be subject to action under the Council's [Conduct and Discipline Procedures.]

Social Media Use

- 4.52 Social media is a type of interactive online media that allows parties to communicate instantly with each other or to share data in a public forum. This includes online social forums such as X (formerly Twitter), Facebook and LinkedIn. Social media also covers blogs and video-and image-sharing websites such as YouTube.
- 4.53 Employees must follow the Council's policy on the use of social media which is available as part of the [Internet Use Standard] within the [ICT Information Security Framework].
- 4.54 Employees should be aware that they owe a duty of trust and confidence to the Council as employer which may be breached if unsuitable material is posted on a social media platform, including posts made outside of working hours.
- 4.55 Posts that may cause offence or detriment to individuals may be subject to action under the Council's [Conduct & Discipline Procedures.]

Alcohol and Drugs Misuse

- 4.56 The Council is committed to ensuring a safe, healthy and productive working environment, and to minimising problems arising from the misuse of alcohol and drugs at work.
- 4.57 Employees and those representing the Council are personally liable for their conduct, specifically in relation to their consumption of alcohol or drugs. Employees must avoid the consumption of alcohol, illegal drugs or any substance where it may affect their work or which might place them at risk of accidents, loss of efficiency or effectiveness.
- 4.58 Anyone working on behalf of the Council must not possess, consume, sell or give away illegal drugs especially whilst on duty or undertaking work on behalf of the Council.
- 4.59 Inappropriate behaviour as a result of either alcohol or drug misuse will be dealt with under the appropriate Council policy.
- 4.60 Further information regarding the Council's approach to alcohol and drug misuse, and testing may be found in the [Alcohol and Drugs Misuse Guidance for Managers and Employees.]

Work for Other Organisations

- 4.61 Applicants for employment with the Council will be asked to disclose any employment or work in any capacity they may have with other organisations, and failure to do so could result in the withdrawal of the offer of appointment, or dismissal if already appointed.
- 4.62 Employees may undertake other work outside of the Council with the written agreement of their line manager but must notify their manager of any additional employment or work in any capacity for other organisations.
- 4.63 In all instances where additional work is undertaken, the work must not conflict with, or be to the detriment of, an individual's employment with the Council. If conflict or detriment is caused by additional work, the Council reserves the right to take appropriate disciplinary action.
- 4.64 Managers will take appropriate advice from HR when considering whether to agree to the request by reference to the Council's [Working Time Regulation Guidelines] when considering additional appointments or employment.

Intellectual Property

- 4.65 Intellectual property includes, but is not limited to, patents, rights to inventions, copyright and related rights, trademarks and trade names. Inventions includes but is not limited to ideas and improvements. Intellectual property may be recorded in any medium such as drawing, records, papers and any other documents or files, in hardcopy, electronic or digital format. In so far as the law allows, all intellectual property made wholly or partially by employees at any time during the course of their employment with the Council which relates to or is reasonably capable of being used in the Council's business or services will remain the property of the Council.

4.66 Knowledge and information held by the Council is the intellectual property of the Council and must not be used by employees, or any other person engaged by the Council to carry out services for any other purposes than those that are necessary for the effective performance of their duties. Where the sharing of intellectual property with other public sector organisations would benefit public sector improvement the Council will share such intellectual property appropriately.

Raising Concerns – Whistleblowing & Grievances

4.67 The Council is committed to employees being able to report any significant concern they may have about any aspect of the Council's business, service provision, or the conduct of employees, members of the Council, or others acting on behalf of the Council without fear of victimisation.

4.68 To enable employees to address such concerns the Council has a [Whistleblowing Policy and Procedure], which incorporates the provisions of the Public Interest Disclosures Act 1998 and the related provisions of the Employment Rights Act 1996.

4.69 If an employee has a concern regarding their own employment this should be raised under the Council's [Grievance Policy and Procedure].

Breach of the Employee Code of Conduct and Other Policies

4.70 Failure to comply with this and all other Council policies affecting or to be followed by employees may result in disciplinary action being taken.

4.71 The Council reserves the right to take legal action against employees where breaches of the Code or other policies warrant such action.

5. STAFF EMPLOYMENT PROCEDURE RULES

Application

5.1 The Staff Employment Procedure Rules (Rules) apply to the recruitment and employment of all Officers unless otherwise indicated.

Employment Law

5.2 The recruitment and employment of Officers is subject to compliance with employment law and all applicable legislation.

Appointment, Dismissal, and Disciplinary Action

5.3 The function of the appointment and dismissal of, and taking disciplinary action against, an Officer of the Council must be discharged by the Chief Executive (as the Council's Head of Paid Service) or by their nominated Officers.

5.4 Rule 5.3 shall not apply to appointment, disciplinary action or dismissal in relation to the Statutory Officers detailed above under section 3.

Recruitment

Candidate's Declarations of Relationships with Councillors or Officers

5.5 All applicants for appointment as an Officer must declare in writing whether they are a relative or partner of a current Councillor or Officer of the Council.

5.6 An applicant related to, or the partner of, a Councillor or an Officer of the Council will not be appointed without the approval of the Chief Executive and may be approved on such conditions as are necessary and proportionate, to avoid or mitigate the risk of any actual or perceived conflict of interest arising from the candidate's appointment.

Prohibition on Seeking Councillor Support for Appointment

5.7 The Council will disqualify any applicant who directly or indirectly seeks the support of any Councillor for any appointment with the Council. The content of this Rule 5.7 is included in all recruitment information.

5.8 Councillors will not seek to support for any applicant for any appointment with the Council or seek to otherwise influence the decision to appoint.

5.9 Councillors shall not provide written references for an applicant in respect of any appointment with the Council.

Appointment on Merit

5.10 In accordance with section 7 of the Local Government and Housing Act 1989, all Officers shall be appointed on merit, except that the appointment of political assistants under section 9 of the Local Government and Housing Act 1989 may have regard to the applicant's political activities or affiliations.

Dismissal and Disciplinary Action Against Officers Below Deputy Chief Officers

- 5.11 The Senior Appointments and Pay Committee, full Council and Councillors shall not be involved in the dismissal of, or disciplinary action taken against, any Officer below the level of Deputy Chief Officer, except where a Councillor can provide evidence as a witness of fact in the proceedings.
- 5.12 Notwithstanding Rule 5.11, the Council's disciplinary, capability and related procedures, as adopted from time to time, may allow a right of appeal to Councillors in respect of disciplinary action or dismissal.

Annual Pay Policy Statement

- 5.13 Section 38 of the Localism Act 2011 Act requires the Council to prepare and publish a pay policy statement for the following financial year. The statement will set out the Council's policies relating to the remuneration of Chief Officers and its lowest paid Officers; and the relationship between the remuneration of its Chief Officers and that of its employees who are not Chief Officers.
- 5.14 The annual pay policy statement will be adopted by the Council before the end of March in each year. The Council may amend the statement in-year.

6. CONTRACT PROCEDURE RULES

Contents

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Contracts Procedure Rules

1 Introduction

- 1.1 The Council is accountable to the public for the way it spends public funds. Professional Procurement activities contribute to the efficient, effective, and economic delivery of services to the public, maximising the benefits available from the budgets and supporting the Council's strategic objectives and the National Procurement Policy Statement.
- 1.2 The Council is publishing these CPRs in line with their obligations under the Local Government Act 1972. In setting out how the Council will contract; it is essential that the Council complies with the Relevant Procurement Legislation. This document sets out how Officers should do this. Should there be any conflicts between this document and the Relevant Procurement Legislation and its supporting guidance, legislation takes precedence. In contracting for the Council requirements, Officers must note that the Council's reputation is of the utmost importance and should be safeguarded from any suggestion of dishonesty, corruption, or failure to meet its legal obligations. (Acting and being seen to act with integrity).

2 Purpose of the Contracts Procedure Rules

- 2.1 These Contracts Procedure Rules (CPRs) have been designed to ensure these accountabilities and objectives are addressed, they set out the principles and objectives of any procurement, roles and responsibilities, rules, and processes to be applied when purchasing services, supplies, and works contracts across the Council. They should be read in conjunction with the Council's Financial Procedure Rules, Part 4(f), as well as the Council's Procurement and Contract Management Strategy and Procedures.
- 2.2 These CPRs are supported by detailed guidance included within the Council's Procurement policies and procedures. These policies and procedures explain in more detail how Officers should conduct their procurement and Contract Management activities; however, nothing within those policies and procedures override these CPRs. All procurement activity needs to adhere to the Scheme of Delegation and Financial Limits as set out in the Council's Constitution.
- 2.3 All Officers must comply with these CPRs, the Council's Constitution, the Relevant Procurement Legislation, and all relevant UK Legislation. Any non-compliance shall be reported to the Head of Corporate Procurement, who will decide in conjunction with the relevant Chief Officer what further action needs to be taken. Any misuse or failure to comply with any of these CPRs may result in disciplinary action and legal proceedings. Where any misconduct that has been identified during any procurement process (or previous procurement related activity), the Corporate Procurement Team reserve the right to request to remove any Officer from any procurement.
- 2.4 These CPRs will be reviewed by the Head of Corporate Procurement at least every 12 months and urgent proposed amendments (In response to new guidance or updates to the regulations will be brought to Members and Chief Officers as required, which could be less or more frequently than 12 months.

3 Principles and Objectives

- 3.1 All procurement processes must be transparent in their intentions and proportionate to the subject matter, value, and complexity of the Contract, and should not discriminate against any UK or Treaty State Suppliers.

- 3.2 In addition, Officers must have regard to the following objectives.
 - 3.2.1 Delivering Value for Money
 - 3.2.2 Maximising public benefit (such as delivering Social Value)
 - 3.2.3 Sharing Information
 - 3.2.4 Equal Treatment (non-discrimination), unless justified, and does not amount to unfair treatment.
 - 3.2.5 Removing Barriers for Small and Medium Enterprises SMEs
 - 3.2.6 Acting (and being seen to act with) Integrity (inc. accountability)
- 4 Procurement Thresholds & Exemptions
 - 4.1 These rules cover the whole life cycle of purchasing in services, supplies, and works; from the initial assessment of the business need to Contract Award and any extension, through to Contract Management and close out.
 - 4.2 Exempt Contracts *
 - 4.2.1 The following types of expenditure/ procurements are exempt from the Relevant Procurement Legislation.
 - 4.2.2 Council to Council (Subsidiary) arrangements
 - (a) Vertical - The Council exercises a parent or similar control or joint control with other Authorities on the entity as it does with its own departments, the entity conducts more than 80% of its activities for the controlling Contracting Authorities and there is no private sector money in the entity.
 - (b) Horizontal – The Council and another authority co-operate – to achieve objectives which the authorities have in common, through an arrangement that is solely for the public interest, and the parties perform less than 20% of the services covered by the arrangement on the open market.
 - 4.2.3 Subject matter exemptions:
 - (a) Certain types of legal advice e.g., relating to judicial proceedings and/ or dispute resolution, (Legal advice on a project is not exempt).
 - (b) Certain types of financial advice e.g., funding or financing arrangements, investment services, lending or borrowing money
 - (c) Employment Contracts - direct employment of permanent or fixed-term employees.
 - (d) Purchases made at public auction or of goods sold due to insolvency.
 - (e) Land Contracts - the purchase or lease of property, land acquisition, interest in land, transaction in land or disposal. This rule does not extend to any service, supplies, or works contracts that may be required to make the land, existing buildings, or immoveable property ready for acquisition, disposal or leasing.

- (f) Grants of money, (payments to external organisations) these are not Contracts; they do not include consideration and they are not services required to be delivered by the Council. See paragraph 9.10.2 below.

4.3 Common Permitted Direct Awards

4.3.1 The following types of expenditure/ procurements may have grounds for direct award under the Procurement Legislation.

- (a) Contracts for the execution of either mandatory works or provision of goods or services which must be provided by a Statutory Provider (monopoly) other than the Council, e.g., to a public utility, to Ofsted.
- (b) Spot care placements which may include special educational needs (i.e. individual placements that fall outside of any block Contracting arrangements), either under User Choice or the Provider Selection Regime.
- (c) The acquisition or exhibiting of unique works of art or artistic performance where they are only available from a single source.

**Officers must ensure that any procurement conducted in relation to any of these listed exemptions/ common permitted direct awards, that the purchase is consistent with the Council's duty to obtain value for money, as well as the current procurement and Contract Management strategy and other relevant policies of the Council. The Council maintains a list of Exemptions which is reviewed on a regular basis. This can be found at: <https://5058.sharepoint.com/sites/Procurement-1/SitePages/Exemption-Codes-&-Corporate-Contracts.aspx>*

4.4 Thresholds

4.4.1 Calculating the total Contract value means the estimated/aggregate spend or recurring value payable over the entire Contract period including any extensions of Contract and/ or potential additional requirements. Paragraph 7.4 below provides further details on how to calculate Contract value.

4.4.2 The table below sets out the different procurement processes available and their financial thresholds; this has been designed to support open, fair, and transparent competition whilst also balancing the aims of achieving Value for Money and delivering public benefits.

	CPR Level 1	CPR Level 2	CPR Level 3	CPR Level 4	CPR Level 5
Category/ (Regime) and Process Sector Rules	<ul style="list-style-type: none"> One written or verbal quote or Purchase Card. Local Supplier if possible*. 	<ul style="list-style-type: none"> One written quote. Local Supplier if possible*. 	<ul style="list-style-type: none"> Request a minimum of three quotes in writing. Include two local Suppliers where possible*. 	<ul style="list-style-type: none"> Regulated Below Threshold Tender. Either by invitation to selected local supplier OR advertised on Find a Tender Service and E-Procurement System. May include a discrete Conditions of Participation 	<ul style="list-style-type: none"> Covered Procurement/ Public Contract (above threshold) advertised on Find a Tender Service and E-Procurement System. Procedure to be designed in line with PA23. Regulated Below Threshold Tender – Works (all regimes) - £500k up to Works threshold.

				stage for Works Contracts above the G&S threshold.	<ul style="list-style-type: none"> advertised on Find a Tender Service and E-Procurement System. May include a discrete Conditions of Participation stage.
	Service led.	Service led.	Service led.	Service area or Procurement Team led.	Procurement Team led.
	N/A	PO required	PO required	PO required	PO required
Quote(s) & justification to be attached	N/A	Yes	Yes	Yes	Yes
Goods and Services (G&S), Light Touch Regime	£0-£999.99	£1,000 to £9,999.99	£10,000 to £74,999.99	£75,000- G&S threshold	Above G&S Threshold
Works (All regimes)				£75,000 to £499,999.99	
Concession (ALL)	£0-£499,999.99 in agreement with procurement				£500k and above
Utilities Contracts	£0 – Threshold – in agreement with procurement				Above Threshold
Approved Framework Agreements	In accordance with Framework Rules, and where permitted, Direct Award for Goods or Services and Light Touch up to the Goods and Services threshold AND for Works, and Concessions up to £500k led by service area in agreement with procurement. Competitive Selection Process for requirements that exceed the above thresholds, led by procurement				
DPS	In accordance with Dynamic Purchasing System rules, up to £499,999.99, in agreement with procurement				£500k and above
Dynamic Markets	Not permitted for G&S below threshold.				£500k and above
	Not permitted for Works below £500k				
Healthcare services**	In agreement with Procurement (under the PSR)				

(*) *The use of Local Suppliers is promoted and encouraged for CPR levels 1 to 3, thresholds but should not supersede the primary requirement of Council Officers to deliver value for money/ best value.*

(**) *these services are to be procured in line with the Provider Selection Regime rules of Direct Awards A, B or C, or Most Suitable Provider or Competitive Process. Healthcare services that fall under the Provider Selection Regime (PSR) and are classified within one or more of the adopted CPV codes, as outlined in the NHS England statutory guidance on the Provider Selection Regime, NHS England » The Provider Selection Regime: statutory guidance, will need to adhere to a distinct procurement process and therefore the procurement approach will need to be agreed with Procurement.*

4.4.3 Value for Money should be defined and measured in terms of Price, Quality and any potential Social Value benefits that can be achieved by using Local Businesses, to create local jobs and support local economic growth.

4.4.4 Local Suppliers should ensure they are included in and thereby can be sourced via the Local Business Directory at <http://www.itslocalsouthend.co.uk>. A Local Supplier is defined as a Supplier

who has a local presences/ an address with a Southend postcode; specifically, SS0, SS1, SS2, SS3 and SS9.

4.4.5 For the avoidance of doubt the Council would like to pro-actively increase the level of money it spends within the city. However, it is noted that delivery of Value for Money may prevent this and, in such cases, procurement which are not able to secure local quotes will not be subject to delay because of this.

4.4.6 Further detailed information on the Procurement Processes detailed in this table is contained within paragraph 7 below.

4.5 Procurement Reporting and Governance

4.5.1 The Corporate Procurement Team will issue regular reports to the relevant Governance Boards as well as Executive Director Leadership Teams.

4.5.2 This reporting process will ensure there is scrutiny and monitoring of the Council's expenditure in the context of procurement activity.

4.5.3 The Corporate Procurement Team will also report on compliance with the CPRs, delivery of the Procurement and Contract Management Strategy, progress against the Annual/Pipeline Procurement Plan and all Exceptions Approvals over the previous period.

5 Roles and Responsibilities

5.1 The following paragraphs set out key roles and responsibilities for The Corporate Procurement Team, the Project Team, and Chief Officers in the context of procurement.

5.1.1 The Chief Officers shall:

(a) Agree their annual departmental procurement plans during November/December with the Head of Corporate Procurement so they are in place before the start of each financial year. The plans should accurately detail existing Contracts / spend, pending Contract renewals and any new Contract / spend identified for the next two years (as a minimum) as well as the confirmed budget.

(b) Appoint Officers in their departments as Designated Procurement Officers who are trained in the administration of purchasing services, supplies and works.

(c) Appoint Officers in their departments as Contract Managers who are trained in Contract Management and Supplier Relationship Management.

(d) Ensure Designated Procurement Officers and Contract Managers are appropriately trained, supervised, appraised, and have access to the necessary systems and understand the importance of following these rules.

(e) Be responsible for approving and delegating approval of Contracts / spends in their department, including any variations to Contracts where there are financial, legal, or commercial implications, this in line with the Council's Key Decision-making Process.

- (f) Collaborate with the Head of Corporate Procurement and Head of Internal Audit and Counter Fraud on an Annual/Pipeline Procurement Plan to ensure compliance within their departments.
- (g) Completion of any relevant procurement training available (either face to face or via the e-learning platform)

5.1.2 Designated Procurement Officers must:

- (a) Appraise purchases, in a manner commensurate with their complexity and value to identify the permitted and optimal procurement methodology in line with these CPRs.
 - (i) Check whether a suitable Corporate Contract or Framework agreement already exists that could be used for the purchase, or whether a specific procurement is required.
 - (ii) Develop a clear and precise set of purchasing requirements, including (but not limited to) written specification / scope, evaluation criteria and assessment methodology, drawings, seasonal trends, historical data, benchmark data, timescales, and delivery details.
 - (iii) Conduct the evaluation and award in line with these CPRs and the Council's Procurement and Contract Management Strategy and Procedures.
 - (iv) Maintain an appropriate record of all decisions and their reasons throughout the design and delivery of the procurement process.
- (b) Collate a report/ recommendation to purchase the services, supplies, and works in accordance with these CPRs; this to demonstrate Value for Money and ensure no commitment is made without written authorisation.
- (c) Create purchase requisitions in advance of the supply of services, supplies, and works except where a Purchase Card (P-Card) Transaction or Payment without a Purchase Order (PWPO) request applies. All purchase requisitions should be under the Council's agreed Terms and Conditions
- (d) Notify the Head of Corporate Procurement of any perceived, potential, or actual conflict of interest immediately and complete the relevant documents. This declaration must also be detailed via the Business World System so that appropriate approval is sought and provided.
- (e) Ensure advice is sought where required and/or relevant from the Corporate Procurement Team on the application of these CPRs, Relevant Procurement Legislation or the identified procurement procedure.
- (f) Completion of any relevant procurement training available (either face to face or via the e-learning platform).

5.1.3 Contract Managers shall:

- (a) Hold ultimate responsibility for the creation of the procurement/ Associated Tender Documents, including working with external consultants, leading on market engagement, and ensuring that the outcome will deliver the Council's requirements.

- (b) Ensure appropriate approvals are in place ahead of decisions and the commencement of the procurement process.
- (c) Lead on responding to technical Clarification questions from Suppliers, organising suitably qualified and experienced individuals who are available to support the evaluation process, and where negotiations are permitted/ included, that the appropriate resources are available to facilitate the process.
- (d) Managing the Contract and collating all information needed to comply with the various transparency obligations under the Contract, and in line with the Relevant Procurement Legislation, e.g., direct awards, managing performance, publishing notices, managing changes.
- (e) Ensure all necessary Tender Records are collated and maintained in line with the Relevant Procurement Legislation and these CPRs.
- (f) Ensuring appropriate forward planning for cyclical and capital Contracts, including informing the Head of Corporate Procurement so that Contracts are included on the Annual/Pipeline Procurement Plan where CPR levels 4 or 5 and in the Pipeline Notice where the Contract has a value in excess of £2m.

5.1.4 Head of Corporate Procurement shall:

- (a) Deliver Contracts in a manner that maximises the opportunities to achieve key objectives such as Value for Money, Public Benefit, and Integrity; whilst also ensuring compliance with the relevant Public Procurement Legislation, and all relevant supporting guidance as published from time to time by the Cabinet Office.
- (b) Ensure these CPRs, the Council's Procurement and Contract Management Strategy, and related documentation remains up to date with Relevant Procurement Legislation, including providing a regular report to that effect.
- (c) Allocate resource to key procurement projects to ensure delivery of the Annual/Pipeline Procurement Plan and ensure that the Annual Pipeline Notice is published in line with the Relevant Procurement Legislation.
- (d) Ensure Procurement Advisors keep up to date with these CPRs, the Council's Financial Procedure Rules, the procurement policies and procedures, other relevant Procurement Guidelines and Procurement Legislation
- (e) Report to cabinet on an annual basis, the Council's Annual/Pipeline Procurement Plans - these plans will provide details of all future Level 4 and 5 procurements.
- (f) Oversee procurement reporting and governance, directly or by delegation to a Procurement Advisor
 - (i) Ensure scrutiny and monitoring of the Council's expenditure in the context of procurement activity.
 - (ii) Monitor compliance against all procurement activity and notably the CPRs.
 - (iii) Provide information as to those exceptions requested and approved/rejected.

- (iv) Monitor progress against the annual and future Annual/Pipeline Procurement Plan and the Corporate Procurement and Contract Management Strategy
- (v) Record any unplanned CPR Level 4 or 5 procurement activity reported to it and the course of action taken to address any such unplanned procurement processes (subject to the normal approvals set out in paragraph 6 below).
- (vi) Consider opportunities across departments and service areas where joint initiatives can be investigated and implemented, which in turn may deliver best value.
- (vii) Provide information and evidence for internal audit and the fraud team which is contrary to the practices set out in the CPRs.

5.1.5 Corporate Procurement Team (inc. Procurement Advisors) shall:

- (a) Provide procurement advice and support to Chief Officers, Designated Procurement Officers, Contract Managers, and other Officers on how to purchase services, supplies and works in accordance with these CPRs. This advice includes administering adverts / frameworks, developing specifications / Tenders, conducting evaluation processes, publishing awards and operating procurement systems.
- (b) Ensure that procurement requirements are properly defined; procurement activity is competitive, transparent, fair, and complies with the Relevant Procurement Legislation and demonstrates value for money.
- (c) Support the Designated Procurement Officers with all necessary Record Keeping.
- (d) Support each department to proactively performance manage Supplier Contracts as part of an agreed Contract Management plan.
- (e) Support the procurement reporting and governance requirements set out in paragraph 5.1.4(f) above.
- (f) Ensure the timely publication of notices in line with the Relevant Procurement Legislation.
- (g) Maintain and update the Public Contracts Register.

5.2 Code of Conduct (All CPR Levels)

- 5.2.1 All Officers, regardless of role or title, must always comply with the Council's Employee Code of Conduct (See Part 5c of the Constitution) which means that where their role involves procuring, managing, or using the Council's Contracts they must comply with these CPRs and Financial Procedure Rules on the award of Purchase Orders and Contracts.
- 5.2.2 Officers must also not offer, promise, give or receive any gift, loan, fee, reward, regard, or advantage from or to contractors or potential contractors in respect of the award or performance of any Contract.
- 5.2.3 Breaches of the Council's Employee Code of Conduct (inside or outside of work) will be reported, investigated, and may result in disciplinary action.

Serious breaches of the code may be considered gross misconduct and result in dismissal without notice.

5.3 Conflicts of Interest (Any CPR Level)

5.3.1 Officers must declare any perceived, potential, or actual conflicts of interest (financial or non-financial) or relationships that may impact on their involvement in procuring, managing, or using the Council's Contracts.

(a) CPR Levels 1 - 3

(i) This declaration must be made at the initial point of involvement, within the Council's ERP system (Business World) and will be reviewed by their manager.

(b) CPR Levels 4 - 5

(i) This declaration must be made at the initial point of involvement, to the Head of Corporate Procurement and recorded within the Council's ERP system (Business World) which will be reviewed by their manager.

5.3.2 This process is an essential step in managed fairly and with integrity, this applies to all individuals (Officers and Members) and Suppliers involved in any stage of the Contract life cycle and will require the nominated Procurement Advisor to carry regularly update the Conflict Assessments whenever anyone new gets involved in the procurement, the approval process and/ or the management of the Contract. The assessment must also include details of any mitigations taken/ to be undertaken to mitigate potentially unfair outcomes, e.g., use of Ethical Wall agreements, use of alternative evaluators, etc.

6 Approval to Spend & Award

6.1 Before commencing any procurement activity, or awarding a Contract, Officers must check that they have the required approvals in place: This to include budgetary approval and the authorisation of the relevant Officer, Head of Service, Director of Chief Officer in accordance with the Scheme of Delegation.

Threshold	Approval to procure	Approval to Award
£0 - £9,999.99	Line Manager	
£10,000 - £74,999.99	Contracts up to £24,999.99* - Business Unit Manager Contracts up to £74,999.99 - Head of Service, Group Manager/ Assistant Director	
£75,000 up to £249,999.99	Contracts up to £249,999.99 - Director	

<p>Contracts over £250,000</p>	<p>For Contracts <i>not included in the approved Annual Procurement Plan</i> - Cabinet Approval/ Schools Governing Bodies</p> <p><i>For Contracts that were included in the approved Annual Procurement Plan can be commenced with the following approval</i></p> <p>Contracts Up to £500k – Director.</p> <p>Contracts up to £1m - Executive Directors</p> <p>Contracts over £1m - Chief Executive or Chief Financial Office</p>	<p>All awards over £500k must get Cabinet Approval (Key Decision) before award.</p>
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- 6.2 For Schools, in all cases, Head Teachers and their Authorised Officers may procure and/ or award in accordance with the delegated powers stipulated by the relevant Board of Governors.
- 6.3 Contracts which are Capital Contracts must be included in the Capital Programme in accordance with the Financial Procedure Rules
- 6.4 Contracts which have external funding must comply with the external funding rules in the Financial Procedure Rules. The Corporate Procurement Team must also be made fully aware of all related conditions and requirements around the compliant use of the external funding.

**Note: Contracts which have a value below £1m, but for which a longer limitation period is considered necessary to protect the Council's interests (e.g. design Contracts, construction Contracts) shall be executed under seal as well as all Contracts with a value over £1M.*

7 Detailed Procurement Rules

7.1 To ensure the purpose and principles set out earlier in CPRs are met, the following detailed rules must be adhered to at all times:

7.2 Contract Types & Regimes (All CPR Levels)

7.2.1 All spend must be classified by type and regime before a procurement process can be designed; this is due to different types and regimes having different financial thresholds and obligations. The types and regimes include.

7.2.2 Types

- (i) Goods (e.g., supplies, products, software, purchase of gas/ electric by the Council),
- (ii) Services (e.g., labour, consultants, IT advisors/ support, or technical resources); or

- (iii) Works (e.g., *Construction Projects – including consultant if procured with the works*).

7.2.3 Regimes

- (i) Utilities (*provision of fixed networks for Gas, electric, Water, transport e.g., Buses on a fixed network*),
- (ii) Light Touch (e.g., *social Care, legal services, education, catering, hospitality*),
- (iii) Concession (e.g., *contracts that involve real Supplier risk and the services are paid for by service users*),
- (iv) Exempt/ Excluded (Not covered).

7.3 Contract Durations (All CPR Levels)

7.3.1 Before calculation the Contract value or determining the route to market (procurement CPR level), Officer must decide both the initial and maximum Contract durations (including any optional extensions) and what might be the justification to apply those extensions.

7.3.2 The Council's general position is that when setting an initial contract period, any planned extension (individually or cumulatively) should not be longer than the initial contract period without express permission from the Corporate Procurement Team (with this to be agreed as part of the Options Appraisal when CPR Level 4 or 5 or using the Exceptions Approval Process for CPR Levels 2 & 3.)

7.3.3 For CPR Level 5 procurement, this option to extend must be included in the Tender Notice and Contracts Details Notice.

7.4 Calculating Contract Value (All CPR Levels)

7.4.1 Before commencing any procurements, the correct estimated Contract value must be calculated.

7.4.2 The estimated Contract value must include ALL monies that could be paid over the maximum life span of the Contract (or Framework/ Dynamic Market), to the successful Suppliers(s) regardless of the source; e.g., all planned and potential costs, additional requirements, fees/ commissions, contract extensions and/ or prizes/ participation costs plus any contingencies, whether funded by the authority, other grants or paid for by service users (concession contract e.g., operation of leisure centres, bus contracts, community cafes). The total must also include Value Added Tax (VAT) at 20% (*Where buying from outside the UK, Officers should seek advice from the Corporate Procurement Team*).

7.4.3 Officers must not underestimate or split the Contract into multiple short Contracts or into multiple small Contracts (Disaggregation) to artificially avoid certain procurement thresholds; doing so could result in future requests to modify or extend the Contract being declined.

7.4.4 Where the Council is unable to estimate the value of a procurement, it should be advertised in line with the rules for a Covered Procurement to ensure it is accessible to Treaty Suppliers.

7.5 Duty to Consider Lots (All CPR Levels)

7.5.1 In determining the CPR Level and the rules that apply, Officers must consider whether the Council could deliver the requirements through a number of Lots. This being a balance of removing barriers for SMEs and Council capacity to manage multiple smaller Contracts. Officers should consult with their Procurement Advisor in deciding this and the decision must be noted in the Tender Record (see paragraph 7.34 below) and in the Tender Notice (CPR Level 5 Covered Procurements only)

7.6 Risk Assessments (CPR Level 4 & 5)

7.6.1 Contract Managers, with their Procurement Advisors, must conduct a risk assessment in the following situations.

- (a) where the procurement is a Covered Procurement AND
- (i) is establishing a new Framework or Dynamic Market with multiple Suppliers.
 - (ii) includes a Special Purpose Vehicle,
 - (iii) is for a Contract duration in excess of five years,
 - (iv) includes design liabilities and/ or collateral warranties,
 - (v) involves intellectual property,
 - (vi) involves a significant Health & Safety consideration,
 - (vii) is likely to be subject to significant inflation risks, or
 - (viii) where the spend relates to substantial direct awards or contract extensions that carry risks under the Relevant Procurement Legislation.

7.6.2 The outcome of the risk assessment must both be:

- (a) documented in the Invitation to Tender as it will feed into the process design and governance/ approval process; and
- (b) added to the Corporate Risk Register for monthly monitoring by the Contract Manager.

7.7 Market Research (CPR Levels 4 & 5)

7.7.1 CPR Level 4 Procurement - Officers are encouraged to conduct soft market testing for all CPR Level 4 procurements to ensure the most appropriate route to market is selected.

7.7.2 CPR Level 5 Procurement – Officer must agree with their nominated Procurement Advisor whether Preliminary Market Engagement is required to design/ inform the route to market. Where Preliminary Market Engagement is used, a Preliminary Market Engagement Notice must be published, all information must be carefully collated for sharing and the Conflict Assessment referenced in paragraph 5.3 above must be updated.

7.8 Approval to Procure

- 7.8.1 Before any procurement process can commence, approval must be demonstrated in line with Paragraph 6 above.

7.9 Contract Documentation (CPR Levels 2 to 5)

7.9.1 Standard Contracts

- (a) The Council has a standard set of terms and conditions to be used for all CPR Level 1 to 3 procurements that do not have complex requirements and are not to be varied, these are to be sent to the Suppliers as part of the procurement documentation.

7.9.2 Industry or Complex Contracts

- (a) Where more complex procurement requirements need tailored or specific terms and conditions (i.e., NEC, JCT, performance related incentives, payment terms, data protection requirements, safeguarding) usually within Tender requirements for CPR Level 4 and 5 Contracts, written approval must be sought from the Head of Corporate Procurement and / or Executive Director (Legal and Democratic Services) to vary the Council's terms and conditions. In all cases, irrespective of value, Purchase Orders and Contracts shall clearly specify as a minimum:

- (i) Details of what is to be supplied (i.e., the works, materials, services, deliverables, or description of works)
- (ii) Payment terms (i.e., the price to be paid and when (noting the obligation to pay Suppliers within 30-days of a valid invoice)) this can be a schedule of multiple payments and / or milestone payments.
- (iii) The dates, or times, within which the Contract is to be performed; and the provisions for the Council to terminate the Contract.
- (iv) The Contract Management process and information to be published (where a Public Contract over £5m).

7.9.3 Parent Company Guarantee & Performance Bond

- (a) All Contracts over £250k may include an option for the Council to request a Performance Bond and/ or a Parent Company Guarantee. The requirement is likely to be applied where the project or a Contractor is deemed as a high risk for failure (likelihood and/or impacts). This requirement to be agreed with the Corporate Procurement Team and the relevant Director.
- (b) Where a bond or guarantee is deemed necessary – this should be in a form acceptable to the Council and in consideration of the form of Contract being used.

7.10 Procurement Process & Documentation

- 7.10.1 Paragraph 4.4 above set out the threshold and processes rules (CPR levels) available. Further guidance on the process and documentation requirements for the different CPR Levels is included below.

7.10.2 CPR Level 1

- (a) In circumstances where an Officer does not have a P-Card or the Supplier does not accept a P-Card, a CPR Level 2 process must be followed.
- (b) Officers must retain all receipts for purchases made using a purchase card; these to be provided to finance.

7.10.3 CPR Level 2

- (a) Officers must explain their requirements to the identified Supplier and the Supplier must provide a proposal that can be attached to the Council's Standard Terms and Conditions.
- (b) Officers must raise a PO, attach the Quote(s), and include a spend justification in the appropriate part of the P2P system.
- (c) Details of the Contract, and an electronic copy, must be added to the Contract Register.

7.10.4 CPR Level 3

- (a) Officers must create a specification detailing the Contract requirements, this to be accompanied by the Council Standard Terms and Conditions.
- (b) Officers must raise a PO, attach the Quote(s), and include a spend justification in the appropriate part of the P2P system.
- (c) A Below Threshold Contract Details Notice must be published for all Contracts with a value of £30k inc. VAT, as soon as reasonably practicable after the award.
- (d) Details of the Contract, and an electronic copy, must be added to the Contract Register.

7.10.5 CPR Level 4

- (a) Officers must consult with their nominated Procurement Advisor to agree the optimal route to market for their requirement, e.g. a corporate Contract, approved Framework, advertised or non-advertised opportunity. This decision should consider how the Council can remove barriers for SMEs or include Local Suppliers and open up opportunities for them to deliver Council Contracts. Equally, Officers should consider whether it is practical and appropriate to include social value in line with the Corporate Social Value Policy within the Award Criteria.
- (b) Officers will need to develop a specification and Award Criteria and must detail how the Tenders received will be assessed; plus, appropriate Conditions of Tendering, along with a suitable Contract and amendments, as advised by the Procurement Advisor.
- (c) Where the procurement relates to works and the opportunity is being advertised, and the value exceeds the threshold for goods and services, Officers may use a discrete Conditions of Participation Stage to limit Suppliers to invite to submit Tenders. These Conditions of Participation must detail whether Excluded Suppliers and/ or Excludable Suppliers will be excluded and if so, which grounds apply.
- (d) An advert (Below Threshold Tender Notices) must be published to invite Tenders unless using an approved framework or corporate Contract.

- (e) A Below Threshold Contract Details Notice must be published as soon as reasonably practicable.
- (f) Details of the Contract, and an electronic copy, must be added to the Contract Register.

7.10.6 CPR Level 5

- (a) Officers must liaise with their nominated Procurement Advisor to agree the optimal route to market for their requirement, e.g. including but not limited to use of an existing corporate Contract, a Competitive Tendering Procedure (Open Procedure or Competitive Flexible Procedure), use of an approved Framework, Dynamic Market, Dynamic Purchasing System, or Direct Award (in line with this paragraph).
- (b) Officers will need to develop an Invitation to Tender and Associated Tender Documents, this to include.
 - (i) A Specification (including Key Performance Indicators for Public Contracts with a value over £5m inc. VAT).
 - (ii) Conditions Of Participation – legal, financial, and technical capacity and capability requirements the Suppliers must meet, (including details on Mandatory Exclusion Grounds and Discretionary Exclusion Grounds, Debarment and excluding Suppliers).
 - (iii) Award Criteria and Assessment Methodology, including criteria relating to cost/ price (and Value for Money), technical requirements and social value (in line with the Corporate Social Value Policy).
 - (iv) A detailed description of the Competitive Tendering Procedure being used and Conditions of Tendering. Where using the Competitive Flexible Procedure, this must include details of if and when Supplier numbers may be limited, all and any Tender rounds, any Negotiations/ Dialogues/ Presentations/ Demonstrations etc., and any options to refine the Award Criteria)
 - (v) A suitable Contract and if needed, Council Amendments, and
 - (vi) Any other documents as advised by the Procurement Advisor.
- (c) A Tender Notice is required to launch/ advertise the procurement; the Associated Tender Documents should all be published at the same time. Officers must consult with their nominated Procurement Advisor to agree timescales for this notice and subsequent stages in the procurement process.
- (d) A Contract Award Notice and Standstill Period will be required in most cases; advise should be obtained from the nominated Procurement Advisor as part of the initial process design.
- (e) A Contract Details Notice will need to be published within 30 days of entering into the Contract.
- (f) Details of the Contract, and an electronic copy, must be added to the Contract Register.
- (g) Public Contracts must be managed in line with paragraph 9 below.

7.11 Procurements under an Approved Framework

7.11.1 Where a Contract is to be let under an existing/ approved Framework then any Competitive Selection Process or Direct Award must be made in line with the rules of the Framework, paragraph 4.4 above and the Relevant Procurement Legislation.

7.12 Procurements under a Dynamic Market

7.12.1 Where a procurement is to be conducted under an existing/ approved Dynamic Market then a Competitive Flexible Procedure must be used in line with the rules of the Dynamic Market and the Relevant Procurement Legislation.

7.12.2 Dynamic Markets cannot be used for Below Threshold Contracts for Goods & Services Contracts. However, it can be used for Works contracts in line with paragraph 4.4 above and the Relevant Procurement Legislation.

7.13 Procurements under a Dynamic Purchasing System (DPS)

7.13.1 Where a Contract is to be awarded under an existing DPS, the procurement is to be conducted in line with the DPS agreement, paragraph 4.4 above and the Relevant Procurement Legislation.

7.14 Procurement under the Provider Selection Regime

7.14.1 Apply to health care services provided to individuals.

7.14.2 Direct Award A

(a) The Council must be used where there is an existing Provider and there is no realistic alternative.

(b) Can only be used where there are existing Contracts.

7.14.3 Direct Award B

(a) The Council must be used where patients are offered a choice, the number of Providers is not restricted, there is an advert, and Providers can express interest and all suitable Providers that can provide the service are offered a contract.

(b) Can be used where there are existing Contracts or new requirements.

7.14.4 Direct Award C

(a) The Council may use this option where there is an existing Provider, the services required are not changing considerably, the Provider is satisfying the requirements of the existing Contract and are likely to satisfy the requirements of the new Contract.

(b) Can be used where the Council is not required to use options A or B.

7.14.5 Most Suitable Provider

(a) The Council may use this option where, based on the information available, the Council is of the view that they can identify the Most Suitable Provider.

- (b) Can be used where the Council is not required to use options A or B, and does not want to use option C.
- 7.14.6 Competitive Process
 - (a) This process requires an advert and a formal Procurement process.
 - (b) This is the option that can be used to establish a Framework.
- 7.14.7 All above procurements/ contracts must be let in line paragraph 4.4 above and the Relevant Procurement Legislation.
- 7.14.8 Further guidance on process and notices must be obtained from the Corporate Procurement Team.
- 7.15 Mixed Procurements
 - 7.15.1 Where a Contract involves spend under more than one Regime or Relevant Procurement Legislation, and it is not possible to award the Contracts separately, then the Contract should be procured in line with the rules in these CPRs and the Relevant Procurement Legislation which amount to the largest share of the cost.
 - 7.15.2 Further guidance on process and rules must be obtained from the Corporate Procurement Team.
- 7.16 Clarification Process (All CPR Levels)
 - 7.16.1 The Council reserves the right to clarify any incomplete, inaccurate, or misleading information provided to it by a Supplier, and to request an explanation and evidence if doing so would not put that Supplier at an unfair advantage.
 - 7.16.2 All Clarification (by Suppliers and the Council) must be raised and managed through the E-Procurement System.
 - 7.16.3 Where a Supplier asks a question, the questions and responses will be shared with all Suppliers; an exception being where the Supplier specifies that the question relates to sensitive commercial information, and the Council accepts this.
 - 7.16.4 A record of all Clarification must be maintained.
- 7.17 Negotiation and/ or Dialogue Process (CPR Level 5 - Covered Procurement)
 - 7.17.1 Where the Council uses a Competitive Flexible Procedure and includes a Negotiation or Dialogue stage(s) these will be conducted in accordance with the Relevant Procurement Legislation Guidance and the Invitation to Tender.
 - 7.17.2 Only Suppliers who have not previously excluded or disregarded will be invited to participate in such activities/ Tender rounds.
 - 7.17.3 The Council reserves the right to update Associated Tender Documents following such activities/ Tender rounds.
- 7.18 Presentation, and Demonstrations (CPR levels 4 & 5)

- 7.18.1 Where the Council uses Competitive Flexible Procedure and includes any of these requirements, the Council reserves the right to score the information shared during these activities and to Limit the number of Suppliers to proceed to the next stage if permitted by the Invitation to Tender.
- 7.18.2 Where the Councils uses any other procurement process, they reserve the right to include scored demonstrations and/ or presentations as deemed appropriate to the nature, complexity, and value of the contract.
- 7.19 Submitting Tenders (CPR Levels 4 and 5)
 - 7.19.1 In most cases, Tenders will need to be submitted electronically; however, the Council reserves the right to receive Tenders, in part or in full, hard copy, where examples or other products, samples or models are required. In all situations, details of how Tenders are to be submitted will be clearly set out in the Invitation to Tender.
 - 7.19.2 It is the responsibility of Supplier to submit their Tenders in time and in line with the instructions included in the Invitation to Tender and/ or on the E-Procurement System.
 - 7.19.3 The Council accepts no responsibility for Tenders that are disregarded for being late or non-compliant.
- 7.20 Late Tenders (CPR Levels 4 and 5)
 - 7.20.1 The Council is unlikely to accept late Tenders; however, where it is a fault with the Council's IT/ e-procurement portal that can be independently evidenced, that prevented the Supplier submitting their Tender on time/ in the required format, then the Council may accept the Tender.
- 7.21 Opening Tenders (CPR Levels 4 and 5)
 - 7.21.1 Where Conditions of Participation and/ or Tenders are submitted electronically through the E-Procurement System, these will be opened/ released by a member of the Corporate Procurement Team (or a designated independent verifier). That individual must not be part of the project team charged with the delivery of the procurement or any part thereof.
 - 7.21.2 Where a Tender or part thereof is submitted hardcopy/ physical items are submitted, the Tender must be received and open by an independent individual in the presence of a witness, and the documents/ items submitted recorded, dated, and signed in the Tender Record.
- 7.22 Compliance Checks & Corrections (CPR Levels 4 and 5)
 - 7.22.1 Suppliers may not amend or request an amendment to their Tender after the date and time for receipt of Tenders.
 - 7.22.2 The Council will conduct an initial compliance check to ensure that all documents requested have been submitted and that they have been submitted in line with the Invitation to Tender. Any Tender failing this check, who upon clarification, still fails this check (in line with the Relevant Procurement Legislation and the obligation to treat all suppliers fairly and

the same) will be deemed non-compliant and the Supplier excluded from further consideration.

- 7.22.3 Following this, where there are inconsistencies or errors, the Council may seek Clarification in line with paragraph 7.16 above; these Clarification may include confirming the resolution of any arithmetical error or that of another clear, self-evident, and obvious errors that has been identified during the initial review and compliance check. Where the resolution of the error is agreed by at least two Officers and can be resolved without the need for additional information, the Council reserves the right to resolve this error and deem the Tender compliant.
 - 7.22.4 The Clarification process may not be used to seek any amendments and/ or request information that changes or enhances a Supplier's Tender, where that change/ amendment would amount to an unfair advantage and/ or where this might undermine the integrity of the procurement process.
 - 7.22.5 Where a Supplier is excluded for a non-compliant Tender or where a correction is made, this must be included in the Tender Record.
- 7.23 Training (CPR Levels 4 and 5)
- 7.23.1 It is the responsibility of the appropriate Chief Officer of each department or establishment involved in the procurement process to ensure that all relevant Members of staff are trained in the correct procedures in line with these CPRs.
 - 7.23.2 The Corporate Procurement Team will support Officers by providing training, advice, and any necessary templates to enable them to understand and adhere to these CPRs and Tender effectively.
- 7.24 Evaluation (CPR Level 3)
- 7.24.1 Before participating in an evaluation and moderation process, all Officers must complete/ update their Conflict-of-Interest Declaration.
 - 7.24.2 Where an Officer invites quotes, they will identify the preferred Supplier based on the lowest price compliant quote that meets the technical and legal requirements (without negotiation) as set out in the Specification and delivers Value for Money.
 - 7.24.3 The above decision to be approved by a senior Officer or the budget holder.
- 7.25 Evaluation & Moderation (CPR Levels 4 and 5)
- 7.25.1 Before participating in an evaluation and moderation process, all Officers must complete/ update their Conflict-of-Interest Declaration.
 - 7.25.2 Where Officers invite Tenders in response to an advert, they are required to identify the Most Advantageous Tender (MAT), this to be a balance of quality and price.
 - 7.25.3 Before an evaluation process commences, the nominated Procurement Advisor will check whether a Supplier is on the Debarment List, is and Excluded Supplier or is and Excludable Supplier and must, in line with the Invitation to Tender, be excluded from participation in/ the award of the Contract. (where the procurement is a CPR Level 5 - Covered Procurement, this decision must be notified to the Cabinet Office)

- 7.25.4 The Contract Manager, along with other suitably qualified and experienced individuals will then be required to carry out an individual evaluation of any Conditions Of Participation, Initial/ Intermediate/ Final Tenders received, and/or any score demonstrations or presentation; to make notes in line with the Award Criteria and Assessment Methodology and to highlight any incomplete, inaccurate, or misleading information that needs to be clarified and to share this with the nominated Procurement Advisor.
- 7.25.5 The Procurement Advisor may, at their discretion and in line with the Relevant Procurement Legislation, request an explanation and/ or evidence if doing so would not put that Supplier at an unfair advantage.
- 7.25.6 The responses to such Clarification requests will be shared with evaluators and discussed as part of the moderation meeting.
- 7.25.7 Final scores and their reasons will be agreed by consensus in line with the Invitation to Tender document.
- 7.26 Limiting Suppliers (CPR Levels 4 and 5)
- 7.26.1 Where the Council is using a discrete Conditions of Participation stage, and or multiple Tender rounds, the Council may, where indicated in the Invitation to Tender (and the Tender Notice) limit the number of Suppliers to proceed from one round to another following a fair and transparent evaluation of the information provided for that stage.
- 7.27 Internal Approval – All CPR Levels
- 7.27.1 Before notifying any Suppliers of an intention to award, approval must be obtained in line with Paragraph 6 and the Scheme of Delegation.
- 7.28 Assessment Summaries (CPR Level 5 - Covered Procurement)
- 7.28.1 Once a decision has been made internally, all Suppliers who had their only/ final Tenders assessed will be issued with an Assessment Summary.
- 7.28.2 The assessment summary will include the scores and the reason for those scores against each of the Award Criteria in consideration of the Assessment Summary and the Supplier's bid.
- 7.28.3 For Unsuccessful Suppliers, they will receive the information at paragraph 7.28.2 above for themselves and for the Successful Supplier (less any Sensitive Commercial Information).
- 7.28.4 This document does not start the Standstill Period.
- 7.29 Contract Award Notice & Standstill (CPR Level 5 - Covered Procurement)
- 7.29.1 Following the issuance of the Assessment Summary, the Council must, in line with the Relevant Procurement Legislation, publish a Contract Award Notice.
- 7.29.2 Where a Mandatory Standstill Period is required by Competitive Tendering Procedure or where a discretionary Standstill Period is being applied, this must be at least eight working days,
- (i) Under the PA23, – this starts on the day the Contract Award Notice was published)

- (ii) Under the PSR23, PCR15, CCR16, – this starts on the day after the Contract Award Notice was published)

and ending on a working day.

- 7.29.3 Once the Standstill Period has expired, the Council may enter into a Contract with the Successful Supplier at their convenience. (Noting that until the Contract is signed, the Council may terminate the procurement at their sole discretion with any costs incurred to be borne by the party incurring them.
- 7.30 Contract Approval & Execution (All CPR Levels)
 - 7.30.1 Contract execution to be completed in line with paragraph 6 above.
- 7.31 Signing of Non-Disclosure Agreements and Letters of Intent (LOI) (All CPR Levels)
 - 7.31.1 Non-disclosure agreements can only be signed by approved signatories detailed in paragraph 6 above or by the Head of Corporate Procurement.
 - 7.31.2 Generally, it is the Council's policy not to enter into discussions with Suppliers based on Letters of Intent (LOI), other than in cases of extreme urgency.
- 7.32 Contract Details Notice & Publication of Contracts (CPR Levels 3, 4 and 5)
 - 7.32.1 Regulated Below Threshold Procurements
 - (a) All Contracts with a value over £30k inc. VAT require a Below Threshold Contract Detail Notice to be Published.
 - 7.32.2 Covered Procurements
 - (a) All Public Contracts must have a Contract Details Notice published. Where the Contract value exceed £5m inc. VAT, this notice must set out the three most important KPIs.
 - (b) All Public Contracts with a value in excess of £5m inc. VAT must be published (Sensitive Commercial Information and personal data (Data Protection Act) may be redacted).
- 7.33 The Contracts Register and Storage of Contracts (CPR Levels 2 to 5)
 - 7.33.1 The Council is required to publish the following information.
 - (i) Maintaining a Contract Register of all ongoing Council Contracts with a value of £5,000.
 - (ii) Storing an electronic copy of all Contracts over £5,000 on that Contract Register.
 - (iii) Ensuring that the original copy of all Contracts executed under seal are passed to the Legal Department for storage.
 - 7.33.2 For levels 1 – 3 – this information must be collated and recorded by the Service Area
 - 7.33.3 For Levels 4 & 5 – this information must be collated and recorded on the Council's E-Tendering System by the service which led of the procurement.

7.33.4 The service areas and allocated Contract Managers must retain a duplicate/ their own copy of the Contract to ensure it is effectively managed throughout the lifetime of the Contract.

7.34 Record Keeping (CPR Levels 4 and 5)

7.34.1 The Designated Procurement Officers (CPR Level 4) and/or the Procurement Advisor (CPR Level 5) shall record and retain details of all decisions made, using the appropriate template/ in the Council's E-Procurement System. These decisions to include the following information as a minimum.

(a) Procurement Stage

- (i) Budgetary approval and delegated authority information.
- (ii) Pre-tender market research/ Preliminary Market Engagement.
- (iii) Reason for the selected procurement process/ route to market/ exception
- (iv) A summary of the Procurement/ Associated Tender Documents and key Contract terms and conditions.
- (v) The Award Criteria & Assessment Methodology.
- (vi) A summary of the Tender received from Suppliers (with actual Tenders included as appendices) including.
 - Date and Time received.
 - Details of individuals that opened/ released the Tenders.
 - Number of SMEs.
 - Number of Local Suppliers.
 - Number/ Details of Excluded Suppliers.
 - Number/ Details of Disregarded Tenders.
 - Details of any corrections to arithmetical errors, etc.
 - Details of any Suppliers excluded for unfair advantage/ Conflict of Interest.
- (vii) Supplier Clarifications.
- (viii) Evaluation and moderation notes.
- (ix) Council Clarifications.
- (x) Tender negotiation (incl. minutes) (where permitted by the route to market).
- (xi) Tender decision/ recommendation.

- (xii) Records relating to Conflicts of Interest/ Conflict Assessment.
- (xiii) Internal governance.
- (xiv) Assessment Summaries information.
- (xv) Contract Award Notice & Standstill Period information.
- (xvi) Any other decision/ information as deemed necessary to justify the proposed approach and award.

(b) Contract Stage

- (i) Copies of the Contract documents
- (ii) Contract Details Notice Information
- (iii) Records relating to Conflicts of Interest
- (iv) Communications with the successful Supplier throughout the period of the Contract
- (v) Quality Assurance, Health & Safety, and Environmental Management of the Contract.
- (vi) Post award Contract documentation such as variations, extensions, reviews, breaches, and Performance Notices (please note that is the primary responsibility of the Contract Manager but in collaboration with the nominated Procurement Advisors on CPR level 5 Public Contracts.)

7.34.2 Full guidance is contained in the procurement policies and procedures and Contract Management tools and training.

7.35 Record Retention (CPR Levels 4 and 5).

7.35.1 The Designated Procurement Officers (CPR Level 4) and/or the Procurement Advisor (CPR Level 5) shall retain:

- (a) Successful Supplier Contract files executed under seal must be kept for twelve (12) years after the end of the Contract.
- (b) Successful Supplier Contract files executed under hand must be kept for six (6) years after the end of the Contract.
- (c) All other files (including the Records to be kept in paragraph 7.34 above, must be kept for three years from the date on which the Council enters into the Contract.
- (d) Within the Council's E-Procurement System electronic copies of successful and unsuccessful Tenders and documents may be retained for an indefinite period (even if under archive).

7.36 Purchase Requisitions and Purchase Orders (CPR Levels 2 to 5)

7.36.1 All purchases made under these CPRs require a method to transact with/ pay the Supplier, the default system being to raise a requisition and Purchase Order on the Council's P2P and to issue this to the Supplier with a copy of the Council's agreed terms and conditions.

- 7.36.2 When using P2P, Officers must raise the requisition for approval and enter details of their purchasing requirements (to be supported by quotes) in advance of the supply of services, supplies or works, manage authorisation, and then once approved, manage the Contract, and make payments to Suppliers in line with the Contract. This system provides a mechanism to report on the Council's expenditure, which is an essential part of effective Contract Management.
- 7.36.3 Alternative options/ exceptions include.
- (a) Procurement Purchase Card (P-Card), or
- (b) Payment Without Purchase Order (PWPO).
- 7.36.4 P-Cards should only normally be used for purchases under £1k and should not be used to circumvent these rules. This being more efficient than setting up a Supplier on the P2P for single/ low value requirements. Receipts must be maintained and stored for all such purchases.
- 7.36.5 PWPO should only be used where it would not be practical to raise a purchase requisition in advance of supplying services, supplies or works.
- 7.36.6 Under no circumstances should purchase requisitions be raised retrospectively to cover any invoiced services, supplies or works. If, however exceptional circumstances apply then a PWPO form would need to be attached to any retrospective order raised on Business World.
- 7.37 Contract Management (All CPR Levels).
- 7.37.1 Officers is responsible for accepting the services, supplies or works received from the Supplier; and ensuring it meets the standards set in the Purchase Order or Contract.
- 7.37.2 In addition to the above, all Contracts that are CPR level 4 or 5 must be managed via the Council's Contract Management system in line with paragraph 9 below unless agreed otherwise by the Corporate Procurement Team.
- 7.37.3 All CPR Level 5 Covered Procurement/ Public Contracts must also be managed in accordance with the Relevant Procurement Legislation.
- 8 Exceptions to the Contracts Procedure Rules
- 8.1 In certain circumstances, an Officer may request an exception to one or more of the CPRs to award a Contract without competition.
- 8.1.1 Exceptions are reserved for exceptional circumstances and can only be granted where good reasons can be sufficiently evidenced.
- 8.1.2 For Below Threshold (and Exempt) Procurements, the decision to allow the Exception is for the Council to decide, subject to their Key Decision rules (insert reference to scheme of delegation), and the contract value being below £499,999.99 (or for Goods & Services, the Goods & Services Threshold), the request can be approved by the Head of Corporate Procurement alone or with an Executive Director in line with the table below.

8.1.3 Where the request relates to a Public Contract, approval must be in line with the Relevant Procurement Legislation; and lack of planning or convenience are not acceptable grounds.

8.1.4 Before any exception is sought, the requesting Officer must ensure the budget allocation for the exception is in place. Where a Direct Award of a Public Contract is agreed, the relevant notices must be published.

8.2 Exception Request Approval Process for each Procurement Threshold

8.2.1 Officers must complete a Tender/Procedural Exception Request Form and submit for approval in line with the following requirements.

Threshold	Exception Approval Requirements
£0 - £999.99	Not required if best value is ascertained.
£0 - £9,999.99	Not required if best value is ascertained.
£10,000 - £74,999.99	Head of Corporate Procurement (or senior Procurement Advisor)
£75,000 up to £99,999.99	Head of Corporate Procurement (or senior Procurement Advisor) AND Executive Director or Director (<i>except Goods and Services which is capped at the Goods and Services threshold, in line with paragraph 4.4</i>)
Above £500,0000	Cabinet Approval (Key Decision)

8.2.2 Any Exception Request made against any of the CPRs Levels must be sought in advance of any contractual agreement. Exception Requests should not be made or granted retrospectively.

8.2.3 A request to seek quotes rather than advertise a requirement (CPR Levels 4) must also follow the above process,

8.2.4 Where an award of a new contract is agreed for contracts in excess of £30,000 (inclusive of VAT), the relevant notices must be published. In respect of contracts relating to healthcare services that fall within the Provider Selection Regime, the relevant notices must be published in agreement with the Corporate Procurement Team.

8.2.5 It is unlawful for Officers or Members to seek to avoid or circumvent the Relevant Procurement Legislation. Therefore, approval of any Exception Requests equal to or over the Public Contract threshold will only be permitted where the Head of Corporate Procurement has been consulted and identified a lawful justification under the Relevant Procurement Legislation.

8.2.6 All Exception Requests to these CPRs will be reported to the relevant governance board/s as required.

8.2.7 Note: Where the Corporate Procurement Team believe it to be prudent; an exception will be referred to internal audit for further action.

8.3 Emergencies - Immediate (direct) awards.

8.3.1 These CPRs allow for both “immediate” and “urgent” action to be taken by the Council under separate and differing circumstances and approvals. The immediate action permissible under an emergency situation by designated Officers are set out below.

(a) Designated Procurement Officers may make an immediate (direct) award in the case of unforeseeable emergencies which represent or without action would result in.

(i) Immediate danger to life or health

(ii) Immediate severe damage to property

(iii) Any other circumstance where the consequences of which would be equal to or greater than those above.

(b) Designated Procurement Officers/ Contract Managers may make immediate, potential multiple (direct) awards where the total Contract Value equates to a CPR Level 3 procurement or below. The emergency circumstances must require the Council to respond immediately to events which are beyond the genuine control of the Council. This includes but is not limited to natural or manmade disasters such as flooding, fires, or civil unrest. Any emergency procurement must be reported to the Head of Corporate Procurement, by the Officer who put in place the emergency procurement as soon as practically possible and in any event, within 72 hours.

8.3.2 Any such Contract entered into on this emergency basis by the Council must not be for a term of more than four weeks: during which time, the Council must procure all further contracts needed to deal with any outstanding issues related to, or originating from, an Emergency Situation via a compliant procurement process. This includes, but is not limited to, the appropriate use of the “urgent” action permitted as part of the Exception Process.

8.4 Emergencies - Urgent (Direct) Award

8.4.1 All Procurement Legislation include an option for Direct Award where the works or the supply of either goods or services are strictly necessary for reasons of extreme and unavoidable urgency and this urgency is not attributable to any act or omission of the Council, and it was not foreseeable.

8.4.2 Where such an option is being relied upon, this must be agreed with the Head of Corporate Procurement before a Contract is awarded.

8.4.3 Where such award is agreed, a Transparency Notice detailing the intention to award the Contract, and this must be followed by a Contract Award Notice (applying a voluntary Standstill Period) and a Contracts Details Notice in line with the Relevant Procurement Legislation.

8.5 Other Grounds for Direct Award

8.5.1 User Choice Contracts

(a) Award of Light Touch Contracts that are supplied for the benefit of a particular Individual.

8.5.2 Single Supplier

- (a) Where there is a monopoly/ single Supplier due to Intellectual Property rights or competition is absent for technical reasons and there are no reasonable alternatives to these goods, services or works.
- (b) Creation of unique pieces of art or artistic performance.

8.5.3 Prototype or Development.

- (a) Where the Council is seeking a prototype or novel goods or services to be developed for the Council

8.5.4 Additional or Repeat goods, services or works.

- (a) Where the use of an alternative Supplier would be incompatible with existing good, services or works, or alternatives would result in disproportionate technical difficulties in operation or maintenance. OR
- (b) Where the additional requirements were expressly allowed for as part of a Competitive Tendering Procedure and a Transparency Notice detailing the award is published within 5 years of the original Tender Notice.

8.5.5 Provider Service Regime direct awards under Process A, B or C.

- (a) Where the purchase relates to Health Care Services, these being defined in *The Health Care Services (Provider Selection Regime) Regulations 2023, Schedule 1* – relevant CPV codes.

8.5.6 In all of the above circumstances, the Officer must complete Tender/Procedural Exception Request Form; this to detail the proposed grounds for the Direct Award and a justification, e.g., where proposing there is a single Supplier, the market research/ testing that has been conducted to evidence this justification.

9 Contract Management

9.1 For a Contract classified as a CPR level 4 and 5, the Chief Executive, Executive Directors, Directors, Contract Managers, Designated Procurement Officers and nominated Procurement Advisors must ensure that the Council's Contract Management processes as set out below are adhered to.

9.2 Definition and Scope of Contract Management Activities within the Council

9.2.1 Contract Management is the active management of the relationship between the Council and a Supplier over the term of the Contract for the provision of services, supplies and works to a set of agreed standards.

9.2.2 Contract Management activities should be proportionate to the value, duration, risk, and complexity of the Contract.

- (a) Simple purchase Contracts (i.e., an item of office furniture) will usually only require inspection on receipt and payment of the invoice whilst for complex or high value Contracts,
- (b) Contracts that are complex or high value and assessed at Level 1 (risk) or Level 2(risk) will need to appoint a full-time Contract Manager and follow

the Contract Management Framework and use documents sourced from the Contract Management Framework.

9.2.3 The following are the Council's key Contract Management principles and are also set out within the Corporate Contract Management Framework, Contract Management Manual, and other tools available within the Teams Channels for Contract Managers:

Principle	Meaning of Principle
Governance.	Contract governance refers to the framework and processes established by organisations to oversee and control their Contracts effectively. It involves defining policies, procedures, and standards for creating, negotiating, executing, and monitoring Contracts to ensure alignment with organizational goals and objectives. Contract governance aims to minimize risks, enhance compliance, and optimize Contract outcomes by providing clear guidelines and accountability mechanisms for managing Contracts.
Monitoring and reporting.	Involves tracking the performance and compliance of Contracts throughout their lifecycle. Collecting, analysing, and presenting data related to Contract performance. This helps in making informed decisions and maintaining transparency.
Financial controls.	Effective financial controls help organizations manage their Contracts more efficiently, reduce financial risks, and ensure that Contractual obligations are met within budget.
Relationship management.	Ensuring that all parties involved in a Contract maintain a positive and productive working relationship. This involves fostering trust, open communication, and mutual respect to achieve the Contract's objectives effectively.
Risk and continuity Management.	Essential for ensuring that Contracts are executed smoothly and that any disruptions are minimised.
Change and exit management.	Effective change and exit management help organisations adapt to new circumstances, minimise risks, and maintain strong business relationships.

9.3 Contract Manager will be responsible for:

- 9.3.1 Managing relationships with Suppliers, including arranging, and attending all necessary meeting, ensuring all necessary Management Information is provided and all necessary reporting is completed. This includes.
- (a) Monitoring performance against the Contract requirements/ Key Performance Indicators (where the Contract is a Public Contract with a value in excess of £5m inc. VAT).

- (b) Managing all and any modifications (variations or extensions) to the Contract in line with the Contract, the Relevant Procurement Legislation and the rules set out in these CPRs.
- (c) Forward planning for renewals, termination and exit management.
- (d) Publishing Contracts, modified Contract and notices relating to Contract Management activities.
 - (i) Contract Change Notice – used to publish detail of a proposed modification to a Contract where there is an increase or decrease in the estimated Contract value over a specific value.
 - (ii) Contract Performance Notice – used to report on KPIs (depending on value of Contract) and whether the Contract is being delivered to the required standards/ there has been a Breach of Contract.
 - (iii) Contract Termination Notice - used where the Council terminates a Contract in full.

9.4 Procurement Advisors will, in collaboration with the Contract Manager(s):

- 9.4.1 Attend Contract meetings with our key strategic (those Contracts assessed at CPR level 4 or level 5) Suppliers to review performance and compliance against the Contract.
- 9.4.2 Assist in managing any contractual issues raised by either the Contract Manager or Supplier.
- 9.4.3 Assist in managing any non-conformance identified by the Contract Manager or Supplier.
- 9.4.4 Review any proposed contract variations and/or extensions for compliance with the Relevant Procurement Legislation and these CPRs.
- 9.4.5 Ensure the Council complies with its obligations to publish various Contract Management notices including.
 - (i) those listed in paragraph 9.3.(d)(iii) above, and
 - (ii) Payment Compliance Notice – used to publish the Council's payment performance.
- 9.4.6 Ensure that key Contract documentation is retained on file as set out in paragraphs 7.34 and 7.35 above.
- 9.4.7 Promote the potential use of the ECMS.

9.5 Variations and Extensions Modifications

- 9.5.1 Below Threshold Contracts
 - (a) Where the Council wishes to modify (vary or extend) this type of contract, Officers should liaise with the Supplier to mutually agree the modification, and this must then be documented in writing.
 - (i) Where the modification relates to an extension of time, if included in the original contract this can be mutually agreed, where no such option exists, this must be approved using the Exceptions Approval

Process above. Unplanned extensions should not be longer than the duration of the original contract (except in exceptional circumstances and must be agreed with the Corporate Procurement Team).

- (ii) Where the modification relates to a variation to the scope (more of the same) this modification is limited to a cumulative increase of 50% of the original contract value (except in exceptional circumstances and must be agreed with the Corporate Procurement Team). This applies to planned and unplanned changes equally.
- (b) If a proposed modification will increase the contract value to a value that exceeds the relevant threshold/ turns the contract into a Public Contract, then Officers will need approval from the Corporate Procurement Team.
- (c) The resultant modification/ updated Contract must be added to the Contract Register.

9.5.2 Public Contracts

- (a) Where the Council wishes to modify (vary or extend) this type of contract, Officers will need to comply with the Relevant Procurement Legislation, and only where the modification is deemed permitted by that Relevant Procurement Legislation, will the modification be approved. Modifications can be planned or unplanned, these are set out below.
 - (i) Planned Modifications – this includes modifications that have been expressly provided for within the initial procurement process and the resultant contract e.g., planned extensions, additional works and/ or stages, known risks.
 - (ii) Unplanned Modification – these are changes that were not foreseen and therefore not expressly provided for in the Contract. There will likely be some restriction on what will be permitted for such changes. This could include the introduction of annual inflationary uplift, unexpected additional requirements.
- (b) In both of the above cases, Officers should consult with the Corporate Procurement Team to ensure the proposed modification (variations and extension) are compliant with not just with the Relevant Procurement Legislation but also the [insert reference] in the Financial Procedure Rules. This assessment must consider both the cost of the proposed modification and any previous modifications, and the initial Contract value and duration to ensure that the proposed modification does not breach the limits set out in the Relevant Procurement Legislation.

- 9.5.3 Depending on which of the Relevant Procurement Legislation the contract was awarded under and the nature of the modification, there may be a requirement to publish a Contract Change Notice before or after implementing a modification. Officers should seek advice from the Corporate Procurement Team as to which legislation applies and what processes and notices are required and when.

9.6 Contract Manager must ensure the following.

- (a) A budget is approved in line with the Financial Procedure Rules ((i.e. Key Decision-making process) before the modification is agreed.
- (b) The modification is being made in the best interests of the Council.
- (c) The modification does not amount to a Material/ Substantial change to the scope, value, or duration of the Contract.

9.6.2 The relevant notices are published in accordance with the Relevant Procurement Legislation.

9.7 Approval of Contract Modifications

9.7.1 Planned Modification

- (a) If the option to extend/ vary the contract was expressly and unambiguously included in the original contract as approved in line with paragraph 6 above, then subject to the proposed modification being in line with what was included in the contract, the modification can be applied subject to budget and Chief Officer/ Director approval in line with paragraph 6.1 above.

9.7.2 Unplanned Modifications

- (a) If no express option to vary and/ or extend the contact was allowed for in the original/ approved contract, the modification will fall under the exception process (para 8)
 - (i) Where the total value of this and any cumulative modifications is less than £500,000, *and the modification is permitted by the Relevant procurement legislation*, and there is available budget, the modification can be approved in line with paragraph 6 above.
 - (ii) Where the total value of this and any cumulative modifications is more than £500,000, and subject to *the modification being permitted by the Relevant procurement legislation*, it will need both budget and cabinet approval.
 - (iii) If the initial contract value when awarded was below £500,000 and the modification(s) takes the total/ cumulative contract value above £500,000 then subject to budget, it will need cabinet approval.

9.8 Collaborative Procurements

9.8.1 Where the Council is required under its own powers or at the request of a partner authority to procure on its behalf, those procurements must comply with Relevant Procurement Legislation, and other relevant legislation more generally,

9.8.2 Each Council must comply with their own rules with regards financial, procurement and delegated authority requirements; and then equally, their own Scheme of Delegation for Contract signature.

9.9 Community Right of Challenge

9.9.1 Section 81 of the Localism Act 2011 permits relevant bodies (charities, community bodies, town and parish Authority Services and Staff) to submit Expressions of Interest to provide Council Services. Corporate Services shall maintain and publish a timetable for the submission of interest.

9.10 Grants

9.10.1 Application Process

- (a) The Council is the recipient and administrator of substantial funding from central government and potentially, other funders.
- (b) Where the funding received is being used to purchase goods, services, or works on behalf of the Council and in line with the Council's specific requirements, the requirements must be procured in line with these CPRs.
- (c) Where this funding is to be granted to organisation to deliver aims and objectives in a manner decided by the recipient, for the local community, this needs be administered through a fair and formal process.
- (d) Further guidance on accessing grants can be found at [insert link](#)

9.10.2 Grant Agreements

- (a) Where a grant is issued, it must be awarded in accordance with the Council process for advertising, selecting, and awarding grants.
- (b) All grants must include:
 - (i) Details of what the applicant has committed to provide for the funding.
 - (ii) Payment details including any payment conditions and frequency; and
 - (iii) Any flow-down requirements relating to obligations that apply to the Council, including where relevant, reporting and clawback options.
 - (iv) All grants which include clawback options MUST be executed as a Deed.

9.10.3 Monitoring & Reporting

- (a) A register of all grants issued must be maintained, this to include details of the recipient, the value, the funder, and the purpose.
- (b) Where the funding including reporting or other delivery/ payment obligations, this information must also be included in the register, e.g., conditions, monies paid, and delivery against the funding.
- (c) Where the grant includes reporting obligations, periodic meetings (as agreed as part of the grant agreement) must be held between the recipient and the Council to ensure the recipient is both delivering as per their application and providing the required information. Notes and data from these meetings must be stored against the Grant Register.
- (d) Further detail is available in Part X of the Constitution.

10 Glossary of Terms

For the purpose of these Rules the following terms have the meanings as set out below:

Term	Meaning of Term
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Annual Procurement Plan(s) or Future Pipeline Plan(s)	A plan that sets out the approach to the procurement of Contracts that exceed a lifetime value of £74,999.99 (CPR Level 4 and 5 Contract). All Contracts with a value of £500,000 and above must be reported to cabinet.
Approved Dynamic Market or DPS	A Dynamic Market approved for use by the Corporate Procurement Team
Approved Framework	A Framework (including Open Frameworks) approved for use by the Corporate Procurement Team
Assessment Summary(aries)	<p>A letter detailing the outcome of the assessment of any Tenders received. For the winning Supplier it will include their scores and reasons for those scores against each of the published Award Criteria.</p> <p>For all losing Suppliers, the letter will include their scores and the reason for those scores against each of the published Award Criteria and the same information for the winning Supplier</p>
Associated Tender Documents	Means the documents that set out all the information a Supplier needs to submit an informed and compliant Tender; including but not limited to a Specification and a Contract, and the Invitation to Tender, Award Criteria and Assessment Methodology.
Authorised Officer(s)	P2P role- the Authorised Officer is accountable for approving purchases made in accordance with the Council's Scheme of Delegation.
Award Criteria/ Assessment Methodology	<p>criteria set in accordance with section 23 of PA23 against which Tenders may be assessed for the purpose of awarding a Public Contract; these criteria must.</p> <ul style="list-style-type: none"> (a) Relate to the subject-matter of the Contract, (b) Be sufficiently clear, measurable, and specific, (c) Not break the rules on technical specifications in section 56, and (d) Be a proportionate means of assessing Tenders, having regard to the nature, complexity, and cost of the Contract. <p>And where there are more than one, their weighting or relative importance must be stated.</p> <p>Officers are also required to describe how the Tenders will be assessed (a scoring matrix), and the document must state whether failing to meet a specific score could amount to a Supplier being excluded from the procurement</p>
Best Value	The Best Value Duty relates to the statutory requirement for local authorities and other public bodies defined as best value authorities in Part 1 of the Local Government Act 1999 ("the 1999 Act") to "make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness"

Breach of Contract		Failure to meet any of the conditions of the Contract
Business System	World	Means the software system used by the Council to store and manage information
Capital Contracts		Contracts for Works or Transformation projects.
Capital Expenditure		Expenditure involves acquiring or enhancing fixed assets with a long-term value to the authority, such as land, buildings, and major items of plant, equipment, or vehicles.
Capital Programme		The programme of Capital expenditure agreed by Cabinet.
Categories		Where establishing a dynamic market, the Council may divide the DM into categories (Lots/ specialism) to facilitate access by SMEs and effective competition
Chief (Executive)	Officer(s)	The Chief Executive, the Chief Financial Officer, the Executive Directors, Directors, and the holders of any other post which may be designated for this purpose.
Clarification		Means the request for additional/ missing information and/ or an explanation regarding information that is incomplete, inaccurate, or misleading. Where the clarification relates to the Council seeking a clarification from a Supplier, this may only occur where it is not unfair to do so.
Code of Conduct		The code of conduct binding on all Officers of the Council and being within [insert location] of the Council's Constitution and viewable on the Council's website.
Competitive Procedure (Open or Flexible Procedure)	Flexible (Open or Flexible)	This is a multi-staged procurement which can include a discrete Conditions Of Participation stage, limiting Suppliers (following the SQ or other assessments), one or more Tender rounds (and intermediate assessments), refinement of the Award Criteria, modification of the Tender procedure, interaction with the Suppliers (e.g., negotiations, presentations, site visits) and then following a final submission, there is a potential to finesse the submission and subsequent staged awards – all this being subject to what was specified in the Invitation to Tender document.
Competitive Process	Selection	A procurement process where all of the Suppliers on the Framework (or a specific Lot) are invited to submit a Tender in line with the Framework rules and in line with the Specification for the Contract to be let, and the Specification of the Framework.
Competitive Tendering Procedure(s)		This includes the Open Procedure and the Competitive Flexible Procedure

Concession Contracts	a Contract for the supply, for pecuniary interest, of works or services to a Contracting Authority where— a) at least part of the consideration for that supply is a right to exploit, and b) under the Contract the Supplier is exposed to a real operating risk. (it may also be paid for by service users rather than the Council).
Conditions Participation	Of this is a condition that a Supplier must satisfy if the Supplier is to be awarded the Public Contract. These conditions must be a proportionate means of assuring that a Supplier has. (a) the legal and financial capacity to perform the Contract, or (b) the technical ability to perform the Contract.
Conditions Tendering	of The rules/ conditions by which a competitive procurement process will be conducted, and with which a Supplier must comply if they are not to be excluded from the procurement process.
Conflict Assessments	Means an assessment that has been carried out by the Council and in which, it identifies all and any potential or actual conflicts and the actions taken/ to be taken to mitigate them to ensure equal treatment.
Conflict of Interest	There is a Conflict of Interest in relation to a Covered Procurement if— (a) A person acting for or on behalf of the contracting authority in relation to the Procurement has a Conflict of Interest, or (b) A Minister acting in relation to the Procurement has Conflict of Interest
Contract(s)	an agreement to be made in writing between the Council and a Supplier
Contract Award Notice	A notice that is published on the Central Digital Platform and that informs the market of and intent to award and where a Mandatory Standstill Period (or Voluntary Standstill Period) is required, this notice initiates that Standstill Period. There is a different form of notice for below and above threshold procurements.
Contract Notice	Change For Contracts let under the Procurement Act 2023 (after 24 th February 2025) A notice that must be published before a Contract modification is applied, where that modification increases or decreases the estimated value of the Contract by— (a) in the case of a Contract for goods or services, 10 per cent or less, (b) in the case of a Contract for works, 15 per cent or less, or (c) the modification increases or decreases the term of the Contract by 10 per cent or less of the \Issued in accordance with section 75. For Contracts let under the Public Contracts Regulations 2015

	A modification notice must be published where a modification is made under Regulation 72(b) or 72(c).
Contract Details Notice	A notice that confirms that the Contract has been entered into within the previous 30 days. There is a different form of notice for below and above threshold procurements.
Contract Management	Contract Management is the active management of the relationship between the Council and the Supplier over the term of the Contract for the provision of services, supplies and works to a set of agreed standards.
Contract Management Framework	Means the Council's processes for managing contracts
Contract Management Manual	Means the Council's rule book for managing contracts
Contract Management Notice(s)	<p>For Contracts let under the Procurement Act 2023 (PA23) (after 24th February 2025)</p> <p>The Council will be required to publish the following in line with the PA23.</p> <ul style="list-style-type: none"> (a) Contract Performance Notice – required for all Public Contracts over £5m and used to report on KPIs and whether the Contract is being delivered to the Council's required standards e.g., satisfactory performance against the KPIs, and/ or a breach of Contract which resulted in, partial termination, and/ or damages. (b) Payment Compliance Notice – used to publish the Contracting Authorities payment performance. (c) Contract Termination Notice – used where the Contracting Authority terminates a Contract in full.
Contract Management Strategy	Means the Council's approach to managing contracts
Contract Manager(s)	<p>An Officer that manages the Contract and ensure day to day activities are conducted in accordance with its terms and conditions. Full duties are detailed in paragraph 9 of the CPRs.</p> <p>These are Officers within service areas across the Council that manage and oversee Contracts and would consult with The Corporate Procurement Team when re-Tendering or procuring new Contracts.</p>
Contract Modification	<p>For Contracts let under the Procurement Act 2023 (PA23) (after 24th February 2025)</p> <p>A modification permitted under section 74 and schedule eight of the PA2023 or is not a substantial modification or is a below-threshold modification.</p>

	For Contracts let under the Public Contracts Regulations 2015 (PCR2015) A modification permitted under Regulation 72.
Contract Performance Notice	Means a notice setting out. (a) An assessment of performance against Key Performance Indicators OR (b) Details of poor performance against a specified standard and/ or a breach which is sufficiently serious enough to result in the payment of damages, partial termination, or a settlement agreement.
Contracts Procedure Rules (CPRs)	This document setting out the principles of procurement, roles and responsibilities, Contract procedure rules and processes involved in purchasing services, supplies, and works Contracts.
Contract Register	A register of Council Contracts that exceed £5k held by The Corporate Procurement Team and made publicly available via the Council website.
Contract Termination Notice	Is a notice setting out that a Contract has been terminated
Contract Value	The estimated total monetary value of a Contract over its full duration and any extensions or potential variations. (N.B. not just the annual value.) Where the duration of a Contract is indeterminate, this will be taken to be the estimated value of the Contract over a period of four years.
Corporate Contract	A Contract let by the Council for use by the whole Council
Corporate Procurement Team	Central team responsible to managing corporate procurements, maintaining procurement standards and controls, and providing advice and guidance to service areas.
Corporate Risk Policy	Means the Corporate Approach to Risk Management – the Risk Management tool kit is available on the Intranet Risk Management Toolkit.doc (sharepoint.com)
Corporate Risk Register	The risk register held by the Council which includes all high profile/ high risk contracts
Corporate Services	A department within the Council
Corporate Social Value Policy	The Social Value Policy

Council	Southend-on-Sea City Council.
Council Amendments	The amendments/ additional contract requirements identified by the Council as being needed to make an industry standard contract suitable for their and a specific project/ contract requirement.
Councillor/ Member	An elected Member of the Council.
Covered Procurement	Means an above threshold procurement that is intended to result in a Public Contract. PPN-11_23-New-Thresholds.pdf (publishing.service.gov.uk) These values apply for 2024 and 2025.
Data Protection Act 2018	Means the legislation that controls how personal information is used by organisations, businesses, and/ or the government.
Debarment List	Means a list kept by a Minister of the Crown for the purposes of identifying Suppliers to whom a Public Contract is not to be awarded.
Deed	A document executed under common seal
Dialogue	Means a discussion between the Council and Suppliers about any aspect of the procurement.
Direct Award	Means the award of a Contract without a competitive process.
Discretionary Exclusion Grounds	Schedule 7 (a) Labour market misconduct (b) Environmental misconduct (c) Insolvency, bankruptcy, etc (d) Potential competition infringements (e) Professional misconduct (f) Breach of Contract and poor performance (g) Acting improperly in procurement (h) Threat to national security
Disregarded Tenders	A Tender that is not evaluated due to it not meeting the procedural or other published requirements.
Dynamic Market	a list of Suppliers who have met the published Conditions of Membership and are eligible to submit a Tender against a competition let under the market. These markets can be set up to purchase any requirements that a Contracting authority may wish to purchase and require the use of the competitive flexible procedure to award a Contract.
Dynamic Purchasing System (DPS)	A completely electronic system used by a Contracting Authority (buyer) to purchase commonly used goods, works or services. Unlike a traditional framework, Suppliers can apply to join at any time.

E-Procurement System	A system for the end-to-end Tendering process, both Suppliers and buyers submit and respond to Tenders electronically removing the need for paper submissions.
Equalities Act	Protects individuals from various forms of discrimination and harassment relating to disability, age, gender, religion / belief, and sexuality.
Estimated Contract Value	Means the value being estimated by a contracting authority for the entire possible scope and duration of the potential Contract Requirements including all options, premiums, fees etc as may become due under the contract.
Excludable Supplier(s)	<p>An Excludable Supplier is a Supplier.</p> <p>(a) To whom a discretionary exclusion ground applies, and such exclusion ground circumstances are continuing/ likely to occur again; or</p> <p>(b) They are on the debarment list by virtue of a discretionary exclusion ground.</p> <p>Tenders from excludable Suppliers may be disregarded in any Competitive Tendering Process (s.26(2)) and Contracting Authorities may exclude an Excludable Supplier from participating in a Competitive Flexible Procedure (s.27(1)(b)).</p> <p>The Council may also terminate a Contract with a Supplier who becomes an excluded Supplier after the award of the Contract or where one of their sub-Contractors is an excludable Supplier and they fail to replace them when instructed.</p>
Excluded Supplier(s)	<p>An excluded Supplier is a Supplier.</p> <p>(a) To whom a Mandatory Exclusion Ground applies to, and such exclusion ground is continuing/ likely to occur again; or</p> <p>(b) They are on the Debarment List by virtue of a Mandatory Exclusion Ground.</p> <p>Tenders from excluded Suppliers must be disregarded in any competitive Tendering process and Contracting Authorities must exclude an Excluded Supplier from participating in a Competitive Flexible Procedure.</p> <p>Supplier must be removed from a Dynamic Market if it is on the Debarment List by virtue of a Mandatory Exclusion Ground and may be removed if otherwise an Excluded Supplier or an Excludable Supplier.</p> <p>The Council may also terminate a Contract with a Supplier who becomes an Excluded Supplier after the award of the Contract or where one of their Sub-Contractors is an Excluded Supplier and they fail to replace them when instructed.</p>
Exempt Contract(s)	The kind of Contract listed in Schedule 2 of the Procurement Act 2023, and for which the rules of the PA23 do not apply.

Framework	An agreement with Suppliers which sets out terms and conditions under which specific purchases can be made throughout the term of the agreement and which has been Tendered in accordance with UK Directives.
Freedom of Information Act	Freedom of Information Act 2000 is an act defining the ways in which the public may obtain access to government-held information.
Financial Procedure Rules	The rules on how Council funds is to be received, spent, and reported, as set out in [insert location] of the council's constitution and being available on the council's website.
Grant Agreements	an agreement by the Council to pay a recipient funding for a specific set of aims and objectives.
Head of Corporate Procurement	Means the lead for the Corporate Procurement Team.
Head of Internal Audit and Counter Fraud	Means the lead for the internal audit team.
Health Care Services (Provider Selection Regime) Regulations 2023, Schedule 1	The Health Care Services (Provider Selection Regime) Regulations 2023 - whole act. The Health Care Services (Provider Selection Regime) Regulations 2023 - Schedule 1
Intellectual Property	This refers to creations of the mind, such as inventions; literary and artistic works; designs; and symbols, names and images used in commerce.
Invitation to Tender (IIT)	The document that invites Suppliers to submit a Request to Participate or a Tender in response to a Tender Notice. It must include clear instructions of what is required, a description of the procurement process, the Conditions of Tendering, and the Award Criteria/ Assessment Methodology as a minimum.
Key Decision	A decision as defined within [insert location] the Constitution. Includes transactions above £499,99 in value.
Key Performance Indicator (KPIs)	a factor or measure against which a Supplier's performance of a Contract can be assessed during the life cycle of the Contract.
Late Tenders	Means a response to a Tender Notice or invitation to submit an intermediate/ final tender that is not submitted by the specified deadline
Light Touch Regime	These are Contracts/procurements which cover Health, Social Care, legal and Education related requirements.

Limit Suppliers	Means the reduction of the number of Suppliers to progress from one stage to the next in a procurement process, based on the evaluation of the submission of a response to Conditions of Participation and/ or Tender Rounds
Local Business Directory	The Council's list of Local Suppliers
Local Government Act 1972	Local Government Act 1972 (legislation.gov.uk)
Local Supplier(s)	A Supplier who has a local presences/ an address with a Southend postcode; specifically, SS0, SS1, SS2, SS3 and SS9.
Lots.	Means splitting the goods, services or works to be supplied into more than one Contract to make them accessible to SME and facilitate effective competition. This is not to be done to circumvent the PA23.
Management Information	Mean data relating to the delivery of the contract such as, but not limited to, delivery volumes, spend, progress, performance, or other measures that enable the Council to assess whether the Contract is being delivered to their satisfaction/ in line with the Contract.
Mandatory Exclusion Grounds	<p>Schedule 6 - Part 1</p> <ul style="list-style-type: none"> (a) Corporate manslaughter or corporate homicide (b) Terrorism (c) Theft, fraud, bribery, etc (d) Labour market, slavery, and trafficking offences (e) Organised crime (f) Tax offences. (g) Cartel offences (h) Ancillary offences <p>Schedule 6 - Part 2</p> <ul style="list-style-type: none"> (i) National Security, (j) Tax Misconduct, (k) Competition Law Infringements, Or the Equivalent for Conduct Outside The UK, (l) Failure To Cooperate with An Investigation
MAT	<p>Most Advantageous Tender –</p> <p>Is the Tender that the Council considers—</p> <ul style="list-style-type: none"> a) Satisfies the Council's requirements, and b) Best satisfies the Award Criteria when assessed against them
National Procurement Policy Statement	[Withdrawn] National Procurement Policy Statement - GOV.UK (www.gov.uk)

Negotiation	Means a discussion between the Council and a Supplier with a view to improving the content of Tenders
Non-disclosure Agreements	Means an agreement that information shared by the Council with a Supplier will not be shared/ disclosed with a third party
Officer(s)	Means an employee of the Council involved in the procurement and/ or management of a Council Contract.
Open Framework	A scheme of Frameworks where the initial Framework is open for 3 years or less, and the subsequent Frameworks cannot last for more than 5 years before it must be re-opened. The maximum overall term being 8 years and how Suppliers are appointed onto the Framework will depend on how the Open Framework is established.
Open Procedure	This is a single stage procedure where any interested Supplier can submit a Tender; and a Supplier's suitability, capacity and capability and their Tender response are all evaluated together.
Opening Tenders	Means the rules by which a Tender is received and open for sharing with the evaluators.
Originating Officer	P2P role the Originator Officer is the nominated contact who understands the business and/or technical need and can develop the technical specification or statement of work
Payment Compliance Notice	Means a bi-annual notice that sets out the timescales in which the Council has made payments against Public Contracts, and its performance against the requirement to pay valid invoices within 30 days
Performance Bond	A performance bond is issued to by a Supplier to the Council as a guarantee against the failure of the other party to meet the obligations of the Contract. A performance bond is usually issued by a bank or an insurance company.
Poor Performance Notice(s)	<p>A notice issued in line with Regulation 39 Procurement Regulations 2024 detailing that.</p> <ul style="list-style-type: none"> • There has been a breach of contract, and that breach has resulted in. <ul style="list-style-type: none"> ○ Payment of damages, ○ partial termination ○ A settlement agreement <p>The Supplier has failed to perform the contract to the satisfaction of the Contracting Authority (this needing to be a holistic assessment and not just based on performance of the KPIs.</p>

Pipeline Notice		Means the annual notice to be published by the Council to inform the market of the Contracts to be procured/ awarded in the coming reporting period. This to include all Contracts with a value of £2m or above.
Preliminary Engagement	Market	Analysis of the market prior to formal Tender
Preliminary Engagement	Market	This can be used for the purpose of— (a) developing the authority's requirements and approach to the procurement. (b) designing a procedure, Conditions of Participation or Award Criteria. (c) preparing the Tender notice and Associated Tender Documents. (d) identifying Suppliers that may be able to supply the goods, services or works required. (e) identifying likely Contractual terms. (f) building capacity among Suppliers in relation to the Contract being awarded.
Preliminary Engagement Notice	Market	Means a notice setting out that the Council intends to conduct, or has conducted, Preliminary Market Engagement,
Presentation, Demonstration		Mean a meeting with a Supplier where they present their proposed delivery methodology or demonstrate a specific element/ product within their proposal to aid the Council in understanding the proposed solution and how it meets the Specification. These may be scored and may also lead to the Council limiting the number of Suppliers to participate in the next Tender Round.
Procurement		Means the process by which the Councils identifies and purchases goods, services and works.
Procurement Advisor(s)		Officers appointed by Chief Officers in consultation with the Head of Corporate Procurement to undertake procurement activities in accordance with the CPR.
Procurement Card (P-Card)		Corporate credit card used for low value procurements
Procurement Exemptions		Means a procurement that does not need to follow the usual rules within this document/ Procurement Legislation for its nature, value, and complexity.
Procurement Legislation Guidance		Means the guidance issued by the Cabinet Office that is to be considered in the development and delivery of the procurement process. Procurement Act 2023 - Guidance documents - GOV.UK (www.gov.uk) Procurement policy notes - GOV.UK (www.gov.uk)

Procurement Objectives	(a) Value for Money (b) Sharing information (c) Public Benefit (d) Acting with integrity (e) Removing barriers to SMEs (f) Equal treatment
Procurement Policies and Procedures	Guides detailing the application of these rules (for Officers and Contract Managers)
Procurement Thresholds	the values that determine which route to market to use
Project Team	Means the group of individuals who will support the procurement process and management of the resultant Contract.
Public Contract(s)	All Contract Values which are Covered Procurement (above threshold) under the Relevant Procurement Legislation (this value to be inclusive of VAT)
Public Services (Social Value) Act 2012	Act places a requirement on procurers to consider the economic, environmental, and social benefits. Please refer to the Corporate Social Value Policy and toolkit
Purchase to Pay (P2P)	A system to enter purchasing requirements, manage authorisation, confirm receipt of goods, and make payments to Suppliers
Quotation	The provision of a price to deliver the Council's requirements (may include a method statement too), without the conduct of a formal (advertised) procurement process.
Receiving Officer	P2P Role receiver is responsible for accepting the goods and/or services received from the Supplier; checking that it meets the standards set in the original requirement
Record Keeping	Means the report that the Council must collate that details all decisions made about the design and administration of the procurement process
(Regulated/ Notifiable) Below Threshold Contract Detail Notice(s)	Means a notice detailing that a Below Threshold Procurement has resulted in the Council entering into a contract with a value in excess of £30k inc. VAT.
(Regulated/ Notifiable) Below Threshold Procurement(s)	A procurement which is below the Covered Procurement threshold and not exempt from the PA23. PPN-11_23-New-Thresholds.pdf (publishing.service.gov.uk) These values apply for 2024 and 2025.

(Regulated/ Notifiable) Below Threshold Tender Notice(s)	Means an advert inviting tenders from Suppliers where the Contract value is below that of a Covered Procurement
Regulated Below Threshold Procurements G& S or Works	Means a contract with a value less than that of a covered procurement but to which Part 6 of the Procurement Act 2023 applies; specifically, the requirement to publish notices, procedural rules (for G&S this means a single stage process and for Works, this includes an option for a two stage process), implied payment terms and a duty to consider SMEs
Relevant Procurement Legislation	Public Contracts Regulations 2015 (PCR15) or Concession Contracts Regulations 2016 (CCR16) – the legislation that applies to Contracts let under one of these regimes where the Contract continues to be used/ delivers post 24th February 2025 Procurement Act 2023 (PA23), Procurement Regulations 2024 (PR24)– for Contract that are to be or were procured post 24th February 2025 Provider Services Regime 2023 (PSR23) where the procurement relates to health care services.
Request to Participate	The submission of a response to the Conditions of Participation published with a Tender Notice where these Conditions of Participation are a discrete stage in a Competitive Flexible Procedure.
Requesting Officer	P2P Role requester enters the purchase requirement in the P2P system, attaching requirements and justifications where appropriate
Sensitive Commercial Information	Means information which. (a) Constitutes a trade secret, or (b) Would be likely to prejudice the commercial interests of any person if it were published or otherwise disclosed.
Scheme of Delegation	The rules as to who has the authority to make which decisions, as set out in [insert location] of the council's constitution and being available on the council's website.
Site Visit	Means a visit to an office, or project location to aid a Supplier in understanding the Contract requirements/ Specification and to aid in putting in an effective and compliant Tender.
Special Purpose Vehicle	Means a legal arrangement/ entity that is set up solely for the purpose of delivering the contract.
Specification	Means the document that sets out the Council's specific requirements for a specific contract/ project.

SME	Small to Medium Enterprise – fewer than 250 employees; and annual turnover not exceeding approximately £50 million
Standstill Period	Means period of eight working days commencing on the day that the Contract Award Notice was published on the Central Digital Platform. Mandatory for all Covered Procurement other than for the following exception, for which a Voluntary Standstill Period of eight working days may still be applied. <ul style="list-style-type: none"> ▪ Direct Award under sections 41 or 43 ▪ Award under a Framework. ▪ Award by reference to a Dynamic Market ▪ A light touch Contract
Successful Supplier(s)	Means the Supplier with which the Council intends to award/ enter into a Contract to deliver the published requirements.
Supplier(s)	Means all or any of economic operators, tenderers, bidders, contractors (or subcontractors) supplying goods, services or works to the Council
Supplier Relationship Management	Means the processes and activities to be applied to ensure an effective outcome from the procurement and resultant Contract
Tender(s)	Means the response against which a Contract may be awarded
Tender Notices	Regulated Below Threshold Tender Notice - A call for competition (advert) where a Below Threshold Contract which is published on the Central Digital Platform/ FTS. Tender Notice (separate forms for Open Procedure, Competitive Flexible Procedure, Frameworks and Dynamic Markets) - A call for competition (advert) for a Public Contract which is published on the Central Digital Platform/ FTS.
Tender Record(s)	Means a record of all decisions made during the life of a Covered Procurement
Tender Rounds	Means an initial, intermediate, and/ or final Tender stage, in a Competitive Flexible Procedure.
Transparency Notice	Means a notice setting out that the Council intends to award a contract directly to a Supplier
Thresholds	PPN-11_23-New-Thresholds.pdf (publishing.service.gov.uk) The values which determine the procurement process that is required and whether a Contract amount to being a Covered Procurement
Treaty State Supplier(s)	Means a Supplier that is entitled to the benefits of an international agreement (part of the WTO or other formal arrangement)

Unsuccessful Supplier(s)	Means a Supplier who submitted a Tender, but which was not the Most Advantageous Tender and therefore will not be accepted
User Choice Contracts	Contracts that are supplied for the benefit of a particular Individual
Utilities Contracts	a Contract for the supply of goods, services or works wholly or mainly for the purpose of a utility activity. (Gas, electric, Water, transport e.g., buses on a fixed network).
Value for Money	Means the balance of quality and price deemed representative of the Most Advantageous Tender

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Part 7 FINANCIAL PROCEDURE RULES

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Financial Procedure Rules

Status of Financial Procedure Rules

- Financial Procedure Rules provide the framework for managing the Authority's financial affairs. These Financial Procedure Rules apply to every Councillor and officer of the Authority and anyone acting on its behalf. These Financial Procedure Rules supercede all other Financial Procedure Rules and financial standing orders issued previously.
- Nothing in these Financial Procedure Rules shall be construed as overriding the provisions of legislation or any subordinate regulations from time to time in force.
- The Financial Procedure Rules identify the financial responsibilities of the Full Council, Cabinet Members, Scrutiny Committee members, the Chief Executive (Head of Paid Service), Deputy Chief Executive and the Executive Directors (hereinafter called "**the CE & Executive Directors**") This also includes the Executive Director Legal & Democratic Services (the Monitoring Officer) and Executive Director Finance & Resources (the Chief Finance Officer), who also have their specific statutory responsibilities to administer as identified in these Financial Procedure Rules.
- The CE & Executive Directors should maintain a written record where decision making has been delegated to members of their staff, including seconded and interim staff. Where decisions have been delegated or devolved to other responsible officers, such as nominated Budget Holders, references to the CE & Executive Directors in the Financial Procedure Rules should be read as referring to them.
- All Councillors and staff have a general responsibility for taking reasonable action to provide for the security of the assets under their control, and for ensuring that the use of these resources is legal, is properly authorised, provides value for money and achieves best value.
- All Councillors and staff must conduct themselves with the highest standards of integrity and must do their utmost to ensure that suspicions do not arise concerning improper motivation and avoid conflicts of interest.
- The Chief Finance Officer is responsible for maintaining a continuous review of the Financial Procedure Rules and submitting any additions or changes necessary to the Full Council for approval. The Chief Finance Officer is also responsible for reporting, where appropriate, breaches of the Financial Procedure Rules to the Council and / or to the Cabinet.
- The issuing of these Financial Procedure Rules does not preclude the issuing of further instructions on financial matters by the Chief Finance Officer who must be consulted on any aspects of financial administration not contained within these Financial Procedure Rules.
- The Authority's financial procedures, setting out how the Financial Procedure Rules will be implemented, are contained in the appendices to the Financial Procedure Rules. Detailed procedure notes issued by the Chief Finance Officer in accordance with these Financial Procedure Rules have the same status as the Financial Procedure Rules and therefore must be complied with as if they were contained within the Financial Procedure Rules.
- The CE & Executive Directors are responsible for ensuring that all staff in their service areas are aware of the existence and content of the Authority's Financial Procedure Rules and other internal regulatory documents and that they comply with them.
- The Chief Finance Officer is responsible for issuing advice and guidance to underpin the Financial Procedure Rules that Councillors, officers and others acting on behalf of the Authority are required to follow.

Financial Procedure Rule A: Financial Governance

Introduction

- A1** Financial governance covers all financial accountabilities in relation to the running of the Authority, including the policy framework and budget.

The Full Council

- A2** The Full Council is responsible for adopting the Authority's Constitution and Members' Code of Conduct and for approving the policy framework and budget within which the Cabinet operates.
- A3** The Full Council is responsible for approving and monitoring compliance with the Authority's overall framework of accountability and control and for determining the circumstances in which a decision will be deemed to be contrary to the budget or policy framework. The framework is set out in its Constitution. Decisions should be referred to the Full Council by the Monitoring Officer and / or the Chief Finance Officer. The Full Council is also responsible for approving procedures for agreeing variations to approved budgets, plans and strategies forming the policy framework.
- A4** The Full Council is responsible for approving procedures for recording and reporting decisions taken. This includes those key decisions delegated by and decisions taken by the Council and its committees. These delegations and details of who has responsibility for which decisions are set out in the Constitution. The Full Council is also responsible for monitoring compliance with the agreed policy and related Cabinet decisions.

The Cabinet

- A5** The Cabinet is responsible for proposing the policy framework and budget to the Full Council, and for discharging Executive functions in accordance with the policy framework and budget.
- A6** The Cabinet is responsible for taking in-year decisions on resources and priorities in order to deliver the budget policy framework within the financial limits and in accordance with the scheme of virement set by the Full Council.

Scrutiny Committee(s)

- A7** The Scrutiny Committee(s) are responsible for scrutinising Cabinet decisions before or after they have been implemented and for holding the Cabinet to account. The Scrutiny Committee(s) are also responsible for making recommendations on future policy options and for reviewing the general policy and service delivery of the Authority.

Audit Committee

- A8** The Audit Committee is an advisory body and reports to the Full Council. It has right of access to all the information it considers necessary and can consult directly with internal and external auditors. The Committee is responsible for reviewing the external auditor's reports and the annual audit letter and internal audit's annual report. It is also responsible for adopting the annual statement of accounts. It is also responsible for scrutinising the annual treasury management strategy.

Standards Committee

- A9** The Standards Committee is established by the Full Council and is responsible for promoting and maintaining high standards of conduct amongst Councillors. In particular, it is responsible for advising the Council on the adoption and revision of the Members' Code of Conduct, and for monitoring the operation of the code.

Other Regulatory Committees

- A10** Planning and licensing are not Cabinet functions but are exercised through the multi-party Development Control Committee and the Licensing Committee under powers delegated by the Full

Council. The Development Control Committee and the Licensing Committee reports to the Full Council.

The Statutory Officers

Head of Paid Service (Chief Executive)

- A11** The Head of Paid Service is responsible for the corporate and overall strategic management of the Authority as a whole. They must report to and provide information for the Cabinet, the Full Council, the Scrutiny Committee(s) and other committees. They are responsible for establishing a framework for management direction, style and standards and for monitoring the performance of the organisation. The Head of Paid Service is also responsible, together with the Monitoring Officer, for the system of record keeping in relation to all the Full Council's decisions (see below).

Monitoring Officer (Executive Director (Legal & Democratic Services)).

- A12** The Monitoring Officer is responsible for promoting and maintaining high standards of financial conduct and therefore provides support to the Standards Committee. The Monitoring Officer is also responsible for reporting any actual or potential breaches of the law or maladministration to the Full Council and / or to the Cabinet, and for ensuring that procedures for recording and reporting key decisions are operating effectively.
- A13** The Monitoring Officer must ensure that Cabinet decisions and the reasons for them are made public. They must also ensure that Councillors are aware of decisions made by the Cabinet and of those made by officers who have delegated Executive responsibility.
- A14** The Monitoring Officer is responsible for advising all Councillors and officers about who has Authority to take a particular decision.
- A15** The Monitoring Officer is responsible for advising the Cabinet or Full Council about whether a decision is likely to be considered contrary or not wholly in accordance with the policy framework.
- A16** The Monitoring Officer (together with the Chief Finance Officer) is responsible for advising the Cabinet or Full Council about whether a decision is likely to be considered contrary or not wholly in accordance with the budget.
- A17** The Monitoring Officer is responsible for maintaining an up-to-date Constitution.

Chief Finance Officer (Executive Director (Finance & Resources))

- A18** The Chief Finance Officer has statutory duties in relation to the financial administration and stewardship of the Authority. This statutory responsibility cannot be overridden. The statutory duties arise from:
- Section 151 of the Local Government Act 1972
 - The Local Government Finance Act 1988
 - The Local Government and Housing Act 1989
 - The Local Government Act 2003
 - The Accounts and Audit Regulations 2015
- A19** The Chief Finance Officer is responsible for:
- the proper administration of the's financial affairs
 - monitoring compliance with financial management standards
 - determining the accounting procedures and records for the Authority and advising on the key financial controls necessary to secure sound financial management

- signing and dating the annual statement of accounts, to certify that it represents a true and fair view of the financial position of the Council
- confirming the robustness of the budget and adequacy of reserves

A20 **Section 114** of the Local Government Finance Act 1988 requires the Chief Finance Officer to report to the Full Council, Cabinet and external auditor if the Authority or one of its officers:

- has made, or is about to make, a decision which involves incurring unlawful expenditure
- has taken, or is about to take, an unlawful action which has resulted or would result in a loss or deficiency to the Authority
- is about to make an unlawful entry in the Authority's accounts

Section 114 of the 1988 Act also requires:

- the Chief Finance Officer to nominate a properly qualified member of staff to deputise should they be unable to perform the duties under section 114 personally
- the Authority to provide the Chief Finance Officer with sufficient staff, accommodation and other resources – including legal advice where this is necessary – to carry out the duties under section 114

A21 The Chief Finance Officer is also responsible for:

- setting financial management standards
- advising on the corporate financial position
- providing financial information
- preparing the revenue budget and capital programme
- treasury management
- selecting accounting policies and ensuring that they are applied consistently

A22 The Chief Finance Officer is responsible for ensuring that the annual statement of accounts is prepared in accordance with the *Code Of Practice On Local Authority Accounting In The United Kingdom: A Statement Of Recommended Practice* (CIPFA / LASAAC).

A23 In these Rules “the Chief Finance Officer” means the Council's Chief Finance Officer appointed under S.151 Local Government Act 1972, namely the Executive Director (Finance & Resources).

A24 For the avoidance of doubt in the absence of the Chief Finance Officer, the authorities, responsibilities and duties set out in these Financial Procedure Rules transfer to the nominated Deputy Chief Finance Officer (Head of Corporate Finance).

The CE & Executive Directors

A25 The CE & Executive Directors are responsible for:

- ensuring that Cabinet are advised of the financial implications of all proposals and that the financial implications have been agreed by the Chief Finance Officer
- signing contracts on behalf of the Authority

A26 The CE & Executive Directors are responsible for agreeing in-year virements within delegated limits, in consultation with the Chief Finance Officer where required. They must notify the Chief Finance Officer of all virements.

A27 It is the responsibility of the CE & Executive Directors to consult with the Chief Finance Officer and seek approval on any matter liable to affect the Authority's finances materially, before any commitments are incurred.

Financial Procedure Rule B: Financial Planning and Management

Introduction

B1 The Full Council is responsible for agreeing the Authority's policy framework and budget, which will be proposed by the Cabinet. In terms of financial planning, the key elements are:

- the annual revenue budget
- the annual capital programme
- the medium term (four year) revenue and capital financial forecast

These will be produced in conjunction with the Corporate Plan as set by Full Council.

Budgeting

Budget Format

B2 The general format of the budget will be approved by the Full Council and proposed by the Cabinet on the advice of the Chief Finance Officer. The budget includes the allocation of financial resources to different services and projects, proposed contingency funds, the council tax base, setting the council tax and housing rent levels, the prudential indicators, treasury management strategy and the capital programme.

Revenue and Capital Budget Preparation

B3 The Chief Finance Officer is responsible for ensuring that revenue and capital budgets are prepared together with a medium term (four year) revenue and capital financial forecast on an annual basis, for consideration by the Cabinet, before submission to the Full Council. The budget will be prepared within the framework procedure rules as set out in the Council's Constitution.

B4 It is the responsibility of the CE & Executive Directors to ensure that budget estimates reflecting agreed service plans are submitted to the Cabinet and that these estimates are prepared in line with any guidance issued by the Cabinet.

B5 It is the responsibility of the Cabinet to ensure that there is proper consultation on the proposed budget prior to its submission to Full Council. The Full Council may then amend the budget or ask the Cabinet to reconsider it before approving it.

B6 The inclusion of items in approved revenue and capital estimates shall constitute Authority to incur such expenditure, save to the extent to which the Full Council or the Cabinet shall have placed a reservation on any such item. Expenditure on any such reserved items may be incurred only when and to the extent that such reservation has been removed.

Budget Monitoring and Control

B7 The Chief Finance Officer is responsible for providing appropriate financial information to the CE & Executive Directors to enable budgets to be monitored effectively. They must monitor and control expenditure against budget allocations and report to the Cabinet on the overall position on a regular basis.

B8 It is the responsibility of the CE & Executive Directors to control income and expenditure within their area and to monitor performance, taking account of financial information provided by the Chief Finance Officer. They should report on variances within their own areas. They should also take any action necessary to avoid exceeding their budget allocation and alert the Chief Finance Officer to any problems.

Emergency and Urgent Expenditure

B9 Nothing in these Financial Procedure Rules will prevent expenditure outside of the budgetary framework in the event of an emergency situation or one of overriding urgency, subject to certain criteria and actions being satisfied.

Guidelines

B10 Guidelines on budget preparation may be issued to Councillors and the CE & Executive Directors by the Cabinet following agreement with the Chief Finance Officer. Such guidelines will take account of, amongst other things:

- legal requirements
- medium-term planning prospects
- the corporate plan
- available resources
- spending pressures
- joint working with partners
- other internal policy documents
- cross-cutting issues (where relevant)

and any appropriate statutory plans and strategies that form part of the policy framework of the Authority.

Maintenance of Reserves

B11 It is the responsibility of the Chief Finance Officer, to propose to the Cabinet and / or the Full Council prudent levels of reserves for the Authority.

Financial Procedure Rule C: Risk Management and Control of Resources

Introduction

- C1** It is essential that robust, integrated systems are developed and maintained for identifying and evaluating all significant operational risks to the Authority. This should include the proactive participation of all those associated with planning and delivering services.

Risk Management

- C2** The Cabinet is responsible for approving the Authority's risk management policy statement and strategy and for reviewing the effectiveness of risk management and for promoting it throughout the Authority. The Cabinet is responsible for ensuring that proper insurance exists where appropriate.
- C3** The Executive Director (Transformation) is responsible for preparing the Authority's risk management policy statement and strategy.
- C4** The Chief Finance Officer is responsible for advising the Cabinet on proper insurance cover where appropriate.

Internal Control

- C5** Internal control refers to the systems of control devised by management to help ensure the Authority's objectives are achieved in a manner that promotes economical, efficient and effective use of resources and that the Authority's assets and interests are safeguarded.
- C6** The Chief Finance Officer is responsible for advising on effective systems of internal control. These arrangements need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They should ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.
- C7** It is the responsibility of the CE & Executive Directors to establish sound arrangements for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.

Audit Requirements

- C8** The Accounts and Audit Regulations 2015 issued by the relevant Secretary of State require every local Authority to maintain an adequate and effective internal audit.
- C9** The Audit Commission (subsequently Public Sector Audit Appointments Limited) is responsible for appointing external auditors to each local Authority. The basic duties of the external auditor are governed by the Code of Audit Practice issued by the Comptroller and Auditor General.
- C10** The Authority may, from time to time, be subject to audit, inspection or investigation by external bodies such as HM Customs and Excise and the Inland Revenue, who have statutory rights of access.

Preventing Fraud and Corruption

- C11** The Chief Finance Officer is responsible for the development and maintenance of an anti-fraud and anti-corruption policy.

Assets

C12 The CE & Executive Directors should ensure that records and assets are properly maintained and securely held. They should also ensure that contingency plans for the security of assets and continuity of service in the event of disaster or system failure are in place.

Staffing

C13 The Full Council is responsible for determining how officer support for Executive and non-Executive roles within the Authority will be organised.

C14 The Head of Paid Service is responsible for providing overall management to staff. They are also responsible for ensuring that there is proper use of an evaluation or other agreed system for determining the remuneration of a job.

C15 The CE & Executive Directors are responsible for controlling total staff numbers by:

- advising the Cabinet on the budget necessary in any given year to cover estimated staffing levels
- adjusting the staffing to a level that can be funded within approved budget provision, varying the provision as necessary within that constraint in order to meet changing operational needs
- the proper use of appointment procedures

Financial Procedure Rule D: Treasury Management and Bank Arrangements

Treasury Management

D1 The Council, in adopting these Financial Procedure Rules, has adopted the key recommendations of CIPFA's Code of Practice on Treasury Management.

D2 The key recommendations are:

Key Recommendation 1 – the Council shall put in place formal and comprehensive objectives, policies and practices, strategies and reporting arrangements for the effective management and control of its' treasury management activities.

Key Recommendation 2 – the Council's policies and practices shall make clear that the effective management and control of risk are prime objectives of its treasury management activities.

Key Recommendation 3 – the Council shall acknowledge that the pursuit of best value in treasury management, and the use of suitable performance measures, are valid and important tools for the Council to employ in support of its business and service objectives; and that within the context of effective risk management, its treasury management policies and practices shall reflect this.

Key Recommendation 4 – in order to achieve the above, the Council shall:

- Adopt a treasury management policy statement, as recommended by the Code
- Follow the recommendations in the Code concerning the creation of Treasury Management Practices

D3 The Council shall create and maintain, as cornerstones for effective treasury management:

- A treasury management policy statement, including the policies and objectives of its treasury management activities
- Suitable treasury management practices (TMPs), setting out the manner in which the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities

D4 The Full Council is responsible for approving the Treasury Management Policy Statement, the Treasury Management Strategy and the Annual Investment Strategy. The documents are proposed to the Full Council by the Audit Committee which has responsibility for their scrutiny. The Chief Finance Officer has delegated responsibility for implementing and monitoring the statement.

D5 All money in the hands of the Authority is controlled by the officer designated for the purposes of section 151 of the Local Government Act 1972.

D6 All decisions on borrowing, investment or financing shall be delegated to the Chief Finance Officer, who is required to act in accordance with CIPFA's *Code of Practice for Treasury Management*.

D7 The Chief Finance Officer is responsible for reporting to the Cabinet not less than four times in each financial years on the activities of the treasury management operation and on the exercise of their delegated treasury management powers. One such report will comprise an annual report on treasury management for presentation by 30th September of the succeeding financial year.

Leasing and Other Financial Facilities

D8 The Chief Finance Officer and officers nominated by them are the only officers authorised to enter into and sign agreements for leasing and other financial facilities.

Banking Arrangements

- D9** The Chief Finance Officer and officers nominated by them are the only officers authorised to open, operate and close a bank account on behalf of the Council.
- D10** The Chief Finance Officer and officers nominated by them are the only officers authorised to sign cheques and instigate or arrange other methods of payment.

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Financial Procedure Rule E: Financial Systems and Procedures

Introduction

- E1** Sound systems and procedures are essential to an effective framework of accountability and control.

General

- E2** The Chief Finance Officer is responsible for the operation of the Authority's accounting systems, the form of accounts and the supporting financial records. Any changes made by the CE & Executive Directors to the existing financial systems or the establishment of new systems must be approved by the Chief Finance Officer. However, the CE & Executive Directors are responsible for the proper operation of financial processes in their own service areas.
- E3** Any changes to agreed procedures by the CE & Executive Directors to meet their own specific service needs should be agreed with the Chief Finance Officer.
- E4** The CE & Executive Directors should ensure that their staff receive relevant financial training that has been approved by the Chief Finance Officer.
- E5** The CE & Executive Directors must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. The CE & Executive Directors must ensure that staff are aware of their responsibilities under freedom of information legislation.

Income and Expenditure

- E6** It is the responsibility of the CE & Executive Directors to ensure that a proper scheme of delegation has been established within their area and is operating effectively. The scheme of delegation should identify staff authorised to act on their behalf, or on behalf of the Cabinet, in respect of payments, income collection and placing orders, together with the limits of their Authority. The Cabinet is responsible for approving procedures for writing off debts as part of the overall control framework of accountability and control.

Payments to Employees Councillors

- E7** The CE & Executive Directors are responsible for all payments of salaries and wages to all staff, including payments for overtime, and for payment of allowances Councillors.

Taxation

- E8** The Chief Finance Officer is responsible for advising the CE & Executive Directors, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the Authority.
- E9** The Chief Finance Officer is responsible for maintaining the Authority's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate.

Trading Accounts / Business Units / Local Authority Trading Companies

- E10** It is the responsibility of the Chief Finance Officer to advise on the establishment and operation of proper financial arrangements for trading accounts, business units and Local Authority Trading Companies.

Financial Procedure Rule F: External Arrangements

Introduction

- F1** The Authority provides a distinctive leadership role for the community and brings together the contributions of the various stakeholders. It must also act to achieve the promotion or improvement of the economic, social or environmental well-being of its area.

Partnerships

- F2** The Cabinet is responsible for approving delegations, including frameworks for partnerships. The Cabinet is the focus for forming partnerships with other local public, private, voluntary and community sector organisations to address local needs.
- F3** The Cabinet can delegate functions – including those relating to partnerships – to officers. These are set out in the scheme of delegation that forms part of the Authority's Constitution. Where functions are delegated, the Cabinet remains accountable for them to the Full Council.
- F4** The Head of Paid Service and officers nominated by them represent the Authority on partnership and external bodies, in accordance with the scheme of delegation.
- F5** The Monitoring Officer is responsible for promoting and maintaining the same high standards of conduct with regard to financial administration in partnerships that apply throughout the Authority.
- F6** The Chief Finance Officer must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory. They must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies. They must ensure that the risks have been fully appraised before agreements are entered into with external bodies.
- F7** The CE & Executive Directors are responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies.

External Funding

- F8** The Chief Finance Officer is responsible for ensuring that all funding notified by external bodies is received and properly recorded in the Authority's accounts.

Financial Governance

1. Financial Governance Standards

Why is this important?

- 1.1 All staff and Councillors have a duty to abide by the highest standards of probity in dealing with financial issues. This is facilitated by ensuring everyone is clear about the standards to which they are working and the controls that are in place to ensure that these standards are met.

Key controls

- 1.2 The key controls and control objectives for financial governance standards are:

- (a) their promotion throughout the Authority.
- (b) a monitoring system to review compliance with financial standards, and regular comparisons of performance indicators that are reported to the Cabinet and Full Council.

Responsibility of the Head of Paid Service (Chief Executive)

- 1.3 To establish a framework for management direction, style and standards and for monitoring the performance of the organisation.

Responsibility of the Monitoring Officer

- 1.4 To promote and maintain high standards of financial conduct.
- 1.5 To advise (together with the Chief Finance Officer) the Cabinet or Full Council about whether a decision is likely to be considered contrary or not wholly in accordance with the budget. Actions that may be “contrary to the budget” include
- initiating a new policy
 - committing expenditure in future years to above the budget level
 - incurring interdepartmental transfers above virement limits
 - causing the total expenditure financed from council tax, grants and corporately held reserves to exceed the approved budget

Responsibilities of the Chief Finance Officer

- 1.6 To ensure the proper administration of the financial affairs of the Authority.
- 1.7 To set the financial management standards and to monitor compliance with them.
- 1.8 To ensure proper professional practices are adhered to and to act as head of profession in relation to the standards, performance and development of finance staff throughout the Authority.
- 1.9 To advise on the key financial controls necessary to secure sound financial management.
- 1.10 To ensure that financial information is available to enable accurate and timely monitoring and reporting of comparisons of national and local financial performance indicators.
- 1.11 To complete all grant claims and other financial returns required by government departments and other bodies.

Responsibilities of the CE & Executive Directors

- 1.12 To promote the financial management standards set by the Chief Finance Officer in their service areas and to monitor adherence to the standards and practices, liaising as necessary with the Chief Finance Officer.
- 1.13 To promote sound financial practices in relation to the standards, performance and development of staff in their service areas.
- 1.14 To maintain such records as are required to enable the Chief Finance Officer to complete all grant claims and other financial returns required by government departments and other bodies.

2. Accounting Policies

Why is this important?

- 2.1 The Chief Finance Officer is responsible for the preparation of the Authority's statement of accounts, in accordance with proper practices as set out in the format required by the *Code of Practice on Local Authority Accounting in the United Kingdom* (CIPFA / LASAAC), for each financial year ending 31st March.

Key controls

- 2.2 The key controls for accounting policies are:
 - (a) systems of internal control are in place that ensure that financial transactions are lawful.
 - (b) suitable accounting policies are selected and applied consistently.
 - (c) proper accounting records are maintained.
 - (d) financial statements are prepared which present a true and fair view of the financial position of the Authority and its expenditure and income.

Responsibilities of the Chief Finance Officer

- 2.3 To select suitable accounting policies and to ensure that they are applied consistently. The accounting policies are set out in the statement of accounts, which is prepared at 31st March each year.

Responsibilities of the CE & Executive Directors

- 2.4 To adhere to the accounting policies and guidelines approved by the Chief Finance Officer.

3. Accounting Records and Returns

Why is this important?

- 3.1 Maintaining proper accounting records is one of the ways in which the Authority discharges its responsibility for stewardship of public resources. The Authority has a statutory responsibility to prepare its annual accounts to present a true and fair view of its operations during the year. These are subject to external audit. This audit provides assurance that the accounts are prepared properly, that proper accounting practices have been followed and that quality arrangements have been made for securing economy, efficiency and effectiveness in the use of the Authority's resources.

Key controls

- 3.2 The key controls for accounting records and returns are:

- (a) all finance staff and budget holders operate within the required accounting standards and timetables.
- (b) all the Authority's transactions, material commitments and contracts and other essential accounting information are recorded completely, accurately and on a timely basis.
- (c) procedures are in place to enable accounting records to be reconstituted in the event of systems failure.
- (d) reconciliation procedures are carried out to ensure transactions are correctly recorded.
- (e) prime documents are retained in accordance with legislative and other requirements.

Responsibilities of the Chief Finance Officer

- 3.3 To determine the accounting procedures and records for the Authority and to arrange for the compilation of all such accounts and accounting records under their direction. Where these are maintained outside the finance department, the Chief Finance Officer should consult the CE or Deputy concerned.
- 3.4 To make proper arrangements for the audit of the Authority's accounts in accordance with the Accounts and Audit Regulations 2015.
- 3.5 To comply with the following principles when allocating accounting duties:
 - (a) separating the duties of providing information about sums due to or from the Authority and calculating, checking and recording these sums from the duty of collecting or disbursing them.
 - (b) employees with the duty of examining or checking the accounts of cash transactions must not themselves be engaged in these transactions.
- 3.6 To ensure that all claims for funds including grants are made by the due date.
- 3.7 To prepare and publish the audited accounts of the Authority for each financial year, in accordance with the statutory timetable and with the requirement for the Audit Committee to approve the statement of accounts before the statutory deadline.
- 3.8 To administer the Authority's arrangements for under- and overspendings to be carried forward to the following financial year.
- 3.9 To ensure the proper retention of financial documents in accordance with the requirements set out in the Authority's document retention schedule.

Responsibilities of the CE & Executive Directors

- 3.10 To consult and obtain the approval of the Chief Finance Officer before making any changes to accounting records and procedures.
- 3.11 To comply with the principles outlined in paragraph 3.5 when allocating accounting duties.
- 3.12 To maintain adequate records to provide a management trail leading from the source of income / expenditure through to the accounting statements.
- 3.13 To supply information required to enable the statement of accounts to be completed in accordance with guidelines issued by the Chief Finance Officer.

4. The Annual Statement of Accounts

Why is this important?

- 4.1 The Authority has a statutory responsibility to prepare its own accounts to present a true and fair view of its operations during the year. The Audit Committee is responsible for approving the annual statutory statement of accounts.

Key controls

- 4.2 The key controls for the annual statement of accounts are:
- (a) the Authority is required to make arrangements for the proper administration of its financial affairs and to secure that one of its officers has the responsibility for the administration of these affairs.
 - (b) the Authority's statement of accounts must be prepared in accordance with proper practices as set out in the *Code of Practice on Local Authority Accounting in the United Kingdom* (the Code) (CIPFA / LASAAC).

Responsibilities of the Chief Finance Officer

- 4.3 To select suitable accounting policies and to apply them consistently.
- 4.4 To make judgements and estimates that are reasonable and prudent.
- 4.5 To comply with the Code.
- 4.6 To draw up the timetable for final accounts preparation and to advise staff and external auditors accordingly.
- 4.7 To sign and date the statement of accounts by the statutory deadline, stating that it presents a true and fair view of the financial position of the Authority at the accounting date and its income and expenditure for the year ended 31 March 20xx.

Responsibilities of the CE & Executive Directors

- 4.8 To comply with accounting guidance provided by the Chief Finance Officer and to supply the Chief Finance Officer with information when required.

Financial Planning and Management

1. Budgeting

Format of the Budget

Why is this important?

- 1.1 The format of the budget determines the level of detail to which financial control and management will be exercised. The format shapes how the rules around virement operate, the operation of cash limits and sets the level at which funds may be reallocated within budgets.

Key controls

- 1.2 The key controls for the budget format are:

- (a) the format complies with all legal requirements.
- (b) the format reflects the accountabilities of service delivery.

Responsibilities of the Chief Finance Officer

- 1.3 To advise the Cabinet on the format of the budget that is approved by the Full Council.

Responsibilities of the CE & Executive Directors

- 1.4 To comply with accounting guidance provided by the Chief Finance Officer.

Budget Monitoring and Control

Why is this important?

- 1.5 Budget management ensures that once the Full Council has approved the budget, allocated resources are used for their intended purposes and are properly accounted for. Budgetary control is a continuous process, enabling the Authority to review and adjust its budget targets during the financial year. It also provides the mechanism that calls to account managers responsible for defined elements of the budget.

- 1.6 By continuously identifying and explaining variances against budgetary targets, the Authority can identify changes in trends and resource requirements at the earliest opportunity. The Authority itself operates within an annual cash limit, approved when setting the overall budget. To ensure that the Authority in total does not overspend, each service is required to manage its own expenditure within the cash-limited budget allocated to it.

- 1.7 For the purposes of budgetary control by managers, a budget will normally be the planned income and expenditure for a service area or cost centre. However, budgetary control may take place at a more detailed level if this is required by the scheme of delegation of the CE & Deputy concerned.

Key controls

- 1.8 The key controls for managing and controlling the revenue budget are:

- (a) Budget Holders should be responsible only for income and expenditure that they can influence.

- (b) there is a nominated Budget Holder for each cost centre heading.
- (c) Budget Holders accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities.
- (d) Budget Holders follow an approved certification process for all expenditure.
- (e) income and expenditure are properly recorded and accounted for.
- (f) performance levels / levels of service are monitored in conjunction with the budget and necessary action is taken to align service outputs and budget.

Responsibilities of the Chief Finance Officer

- 1.9** To establish an appropriate framework of budgetary management and control that ensures that:
- (a) budget management is exercised within annual cash limits unless the Full Council agrees otherwise.
 - (b) each Department has available timely information on receipts and payments on each budget which is sufficiently detailed to enable managers to fulfil their budgetary responsibilities.
 - (c) expenditure is committed only against an approved budget head.
 - (d) all officers responsible for committing expenditure comply with relevant guidance, and the Financial Procedure Rules.
 - (e) each cost centre has a single named Budget Holder, determined by the CE or Deputy concerned. As a general principle, budget responsibility should be aligned as closely as possible to the decision-making processes that commits expenditure.
 - (f) significant variances from approved budgets are investigated and reported by Budget Holders regularly.
- 1.10** To administer the Authority's scheme of virement.
- 1.11** To submit reports to the Cabinet and to the Full Council, in consultation with the CE or Deputy concerned, where they are unable to balance expenditure and resources within existing approved budgets under their control.
- 1.12** To prepare and submit reports on the Authority's projected income and expenditure compared with the budget on a regular basis.

Responsibilities of the CE & Executive Directors

- 1.13** To maintain budgetary control within their service areas, in adherence to the principles in 1.9, and to ensure that all income and expenditure are properly recorded and accounted for.
- 1.14** To ensure that an accountable Budget Holder is identified for each item of income and expenditure under the control of the CE or Deputy concerned (grouped together in a series of cost centres). As a general principle, budget responsibility should be aligned as closely as possible to the decision-making that commits expenditure.
- 1.15** To ensure that spending remains within the service's overall cash limit, and that individual budget heads are not overspent, by monitoring the budget and taking appropriate corrective action where significant variations from the approved budget are forecast.

- 1.16 To ensure that a monitoring process is in place to review performance levels / levels of service in conjunction with the budget and is operating effectively.
- 1.17 To prepare and submit in conjunction with the Chief Finance Officer reports to Cabinet on the service's projected expenditure compared with its budget.
- 1.18 To ensure compliance with the scheme of virement.
- 1.19 To agree with the CE or Deputy concerned where it appears that a virement proposal may impact materially on another service area or Department's level of service activity.

Budget Preparation and Medium-Term Planning

Why is this important?

- 1.20 The Authority is a complex organisation responsible for delivering a wide variety of services. It needs to plan effectively and to develop systems to enable scarce resources to be allocated in accordance with carefully weighed priorities. The budget is the financial expression of the Authority's plans and policies.
- 1.21 The revenue budget must be constructed so as to ensure that resource allocation properly reflects the service plans and priorities of the Full Council. Budgets (spending plans) are needed so that the Authority can plan, authorise, monitor and control the way money is allocated and spent. It is illegal for an Authority to budget for a deficit.
- 1.22 Medium-term planning (or a three to five-year planning system) involves a planning cycle in which managers develop their own plans. As each year passes, another future year will be added to the medium-term plan. This ensures that the Authority is always preparing for events in advance.

Key controls

- 1.23 The key controls for budgets and medium-term planning are:
 - (a) specific budget approval for all expenditure.
 - (b) Budget Holders are consulted in the preparation of the budgets for which they will be held responsible and accept accountability within delegations set by the Cabinet for their budgets and the level of service to be delivered.
 - (c) a monitoring process is in place to review regularly the effectiveness and operation of budget preparation and to ensure that any corrective action is taken.

Responsibilities of the Chief Finance Officer

- 1.24 To prepare and submit reports on budget prospects to the Cabinet, including resource constraints set by the Government, in accordance with the approved budget timetable. Reports should take account of medium-term prospects, where appropriate.
- 1.25 To determine the detailed form of revenue estimates and the methods for their preparation, consistent with the budget approved by the Full Council, and after consultation with the Cabinet and the CE & Executive Directors
- 1.26 To prepare and submit reports to the Cabinet and Full Council on the aggregate spending plans of the Council and on the resources available to fund them, identifying, where appropriate, the implications for the level of council tax or housing rent levels to be levied in accordance with statutory timetables.

- 1.27 To advise on the medium-term implications of spending decisions.
- 1.28 To encourage the best use of resources and value for money by working with the CE & Executive Directors to identify opportunities to improve economy, efficiency and effectiveness, and by encouraging good practice in conducting financial appraisals of development or savings options, and in developing financial aspects of service planning.
- 1.29 To advise the Full Council on Cabinet proposals in accordance with their responsibilities under section 151 of the Local Government Act 1972.

Responsibilities of the CE & Executive Directors

- 1.30 To prepare estimates of income and expenditure, in consultation with the Chief Finance Officer, to be submitted to the Cabinet, in accordance with statutory deadlines.
- 1.31 To prepare budgets that are consistent with any relevant cash limits, with the Authority's annual budget cycle and with guidelines issued by the Cabinet. The format should be prescribed by the Chief Finance Officer in accordance with the Full Council's general directions.
- 1.32 To ensure prior approval by the Full Council for new proposals that:
- (a) increase the budgetary requirement in current or future years, or
 - (b) change existing policies, initiate new policies or cease existing policies, or
 - (c) materially extend or reduce the Authority's services.

A report on new proposals should explain the full financial implications, following consultation with the Chief Finance Officer. Unless the Full Council has agreed otherwise, the CE & Executive Directors must plan to contain the financial implications of such proposals within their cash limit.

- 1.33 To agree with the CE & Deputy concerned where it appears that a budget proposal may impact materially on another service area or Department's level of service activity.
- 1.34 To integrate financial and budget plans into service planning, so that service plans are fully costed and can be incorporated into medium term budget forecasts.
- 1.35 In consultation with the Chief Finance Officer and in accordance with the laid-down guidance and timetable, to prepare detailed draft revenue and capital budgets for consideration by the Cabinet, including proposals for the setting of fees and charges.
- 1.36 When drawing up draft budget requirements, to have regard to:
- (a) Spending patterns and pressures revealed through the budget monitoring process.
 - (b) Legal requirements.
 - (c) Policy requirements as defined by the Full Council in the approved policy framework.
 - (d) Initiatives already under way.

Resource Management

Why is this important?

- 1.37 A mismatch often exists between available resources and required resources. A common scenario is that available resources are not adequate to fulfil need / desire. It is therefore imperative that needs / desires are carefully prioritised and that resources are utilised to fulfil

all legal responsibilities and minimise the level of waste, inefficiency or loss. Resources may include staff, money, equipment, goods and materials.

Key controls

- 1.38 The key controls for resource management are:
- (a) resources are acquired in accordance with the law and using an approved authorisation process.
 - (b) resources are used only for the purpose intended, to achieve the approved policies and objectives, and are properly accounted for.
 - (c) resources are securely held for use when required.
 - (d) resources are used with the minimum level of waste, inefficiency or loss for other reasons.

Responsibilities of the Chief Finance Officer

- 1.39 To advise on methods available for the funding of resources, such as grants from central government and borrowing.
- 1.40 To assist in the allocation of resources to Budget Holders.

Responsibilities of the CE & Executive Directors

- 1.41 To work within budget limits and to utilise resources allocated in the most efficient, effective and economic way.
- 1.42 To identify opportunities to minimise or eliminate resource requirements or consumption without having a detrimental effect on service delivery.

Capital Programmes

Why is this important?

- 1.43 Capital expenditure involves acquiring or enhancing fixed assets with a long-term value to the Authority, such as land, buildings, and major items of plant, equipment or vehicles. Capital assets shape the way services are delivered in the long term and create financial commitments for the future in the form of financing costs and revenue running costs.
- 1.44 The Government places strict controls on the financing capacity of the Authority. This means that capital expenditure should form part of an investment strategy and should be carefully prioritised in order to maximise the benefit of scarce resources.

Key controls

- 1.45 The key controls for capital programmes are:
- (a) Sufficient regard being given to the Capital Strategy adopted by the Full Council.
 - (b) Specific approval by the Full Council for the programme of capital expenditure following recommendation by the Cabinet.
 - (c) A scheme and estimate, including project plan, progress targets and associated revenue expenditure is prepared for each capital project, for approval by the CE & Executive Directors.

- (d) Proposals for improvements and alterations to buildings must be approved the CE or Deputy concerned.
- (e) Capital procurements should be in accordance with Contract Procedure Rules.
- (f) The development and implementation of asset management plans.
- (g) Accountability for each proposal is accepted by a named manager.
- (h) Monitoring of scheme progress in conjunction with expenditure and comparison with approved budget.

Responsibilities of the Chief Finance Officer

- 1.46 To prepare capital estimates jointly with the CE & Executive Directors and to report them to the Cabinet for approval. The Cabinet will make recommendations on the capital estimates and on any associated financing requirements to the Full Council.
- 1.47 To prepare and submit reports to the Cabinet on the projected income, expenditure and resources compared with the approved estimates.
- 1.48 To issue guidance concerning capital schemes and controls, for example, on project appraisal techniques. The definition of 'capital' will be determined by the Chief Finance Officer, having regard to government regulations and accounting requirements.

Responsibilities of the CE & Executive Directors

- 1.49 To comply with guidance concerning capital schemes and controls issued by the Chief Finance Officer.
- 1.50 To ensure that all capital proposals have undergone a project appraisal in accordance with guidance issued by the Chief Finance Officer.
- 1.51 To ensure that all capital procurements are added to the annual procurement plan.
- 1.52 To ensure that adequate records are maintained for all capital contracts.
- 1.53 To proceed with projects only when there is adequate provision in the capital programme and with the agreement of the Chief Finance Officer, where required.
- 1.54 To obtain authorisation from the Cabinet for individual schemes where the estimated expenditure exceeds the capital programme provision.
- 1.55 To prepare and submit reports, jointly with the Chief Finance Officer, to the Cabinet, of any variation in contract costs greater than the approved budget. The Cabinet may meet cost increases by virement from savings elsewhere within their capital programme, save that there can be no transfer of approved budgets between the General Fund and the Housing Revenue Account.
- 1.56 To ensure that credit arrangements, such as leasing agreements, are not entered into without the prior approval of the Chief Finance Officer and, if applicable, approval of the scheme through the capital programme.

Emergency and Urgent Expenditure (Council Procedure Rule 46)

- 1.57 Nothing in these Financial Procedure Rules shall prevent the Chief Executive, the Deputy Chief Executive, an Executive Director or Director from incurring expenditure outside of the budgetary framework which is essential to meet any immediate needs created by a sudden emergency, or which is referable to Section 138 of the Local Government Act 1972, or which is outside the

Council's control (e.g. by order of the Courts or any other body with an equivalent power), or which has some other overriding urgency, subject to:

- (a) It not being practical to convene a quorate meeting of the Full Council.
- (b) The Chair of the relevant Scrutiny Committee, or in their absence the Mayor, or in their absence the Deputy Mayor, agreeing that the expenditure is a matter of urgency.
- (c) The matter has first been discussed with the Head of Paid Service and the Chief Finance Officer.
- (d) The reasons why it was impractical to convene a quorate meeting of the Full Council under 1.57(a) and the consent under 1.57(b) being noted on the record of the decision.

1.58 Following the decision to incur expenditure outside of the budgetary framework on the grounds of urgency, the relevant Cabinet Member will provide a full report to the next available Full Council meeting explaining the decision, the reasons for it and why the decision was treated as a matter of urgency. The report will also set out the level of expenditure incurred or likely to be incurred under the decision and proposals for the mitigation of the expenditure by the deferment of other expenditure where possible.

2. Maintenance of Reserves

Why is this important?

2.1 The Authority must decide the level of general reserves it wishes to maintain, based on the advice of the Chief Finance Officer, before it can decide the level of council tax. Reserves are maintained as a matter of prudence. They enable the Authority to provide for unexpected events and thereby protect it from overspending, should such events occur. Reserves for specific purposes may also be maintained, such as the purchase or renewal of capital items.

Key controls

2.2 To maintain reserves in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom* (CIPFA / LASAAC) and agreed accounting policies.

2.3 For each reserve established, the purpose, usage and basis of transactions should be clearly identified.

2.4 Authorisation of appropriation to and from reserves by the CE or Executive Director concerned in consultation and agreement with the Chief Finance Officer.

Responsibilities of the Chief Finance Officer

2.5 To advise the Cabinet and the Full Council on prudent levels of reserves for the Authority.

Responsibilities of the CE & Executive Directors

2.6 To ensure that resources are used only for the purposes for which they were intended.

3. Managing Expenditure

Scheme of Virement

Why is this important?

3.1 The scheme of virement is intended to enable the Cabinet, the CE & Executive Directors and their staff to manage budgets with a degree of flexibility within the overall policy framework determined by the Full Council, and therefore to optimise the use of resources.

3.2 The scheme of virement empowers the CE & Executive Directors to manage the resources under their control, and therefore to be accountable to the Cabinet and Full Council for their financial performance.

Key controls

3.3 Key controls for the scheme of virement are:

- (a)** it is administered by the Chief Finance Officer within guidelines set by the Full Council. Any variation from this scheme requires the approval of the Full Council.
- (b)** the overall budget is agreed by the Cabinet and approved by the Full Council. The CE & Executive Directors and their nominated Budget Holders are therefore authorised to incur expenditure in accordance with the estimates that make up the budget. The rules below cover virement; that is, switching revenue resources between approved portfolio service budgets or between pay and non-pay budget headings, or capital expenditure between approved capital projects. For the avoidance of doubt, the Chief Finance Officer will maintain a list of approved portfolio service headings and approved capital projects.
- (c)** virement does not create additional overall budget liability. The CE & Executive Directors are expected to exercise their discretion in managing their budgets responsibly and prudently. For example, they should aim to avoid supporting recurring expenditure from one-off sources of savings or additional income, or creating future commitments, including full-year effects of decisions made part way through a year, for which they have not identified future resources. The CE & Executive Directors must plan ahead to fund such commitments from within their own budgets.
- (d)** virement between budgets of the Housing Revenue Account and the General Fund, and between revenue and capital budgets is prohibited.

3.4 Where an approved budget is a lump-sum budget, earmarked reserve or contingency under the control of the Chief Finance Officer, intended for allocation during the year, its allocation will not be treated as a virement, provided that the amount is used in accordance with the purposes for which it has been established.

Responsibilities of the Chief Finance Officer

- 3.5** To prepare jointly with the CE & Executive Directors a report to the Cabinet where cumulative virements on any single approved portfolio service budget, between pay and non-pay budgets within any single approved portfolio service budget, or on any single approved capital project, in excess of £250,000 are proposed.
- 3.6** To maintain a list of approved portfolio service headings.
- 3.7** To maintain a list of approved capital projects.
- 3.8** To maintain a register of approved virements.
- 3.9** To monitor that any allocation of an approved budget that is a lump-sum budget or contingency intended for allocation during the year is in accordance with the purposes for which it was established and the Cabinet approved scheme for its release. Where any proposed allocation falls outside of these conditions, the allocation will be deemed to be a virement and treated accordingly.

Responsibilities of the CE & Executive Directors

- 3.10** The CE & Executive Directors may exercise virement on budgets under their control for amounts up to £100,000 following notification to the Chief Finance Officer.
- 3.11** The CE & Executive Directors may exercise virement on budgets under their control for amounts between £100,000 and up to £250,000 subject to the approval of the Chief Finance Officer.

DRAFT

Risk Management and Control of Resources

1. Risk Management

Why is this important?

- 1.1 All organisations, whether private or public sector, face risks to people, property and continued operations. Risk is the chance or possibility of loss, damage, injury or failure to achieve objectives caused by an unwanted or uncertain action or event. Risk management is the planned and systematic approach to the identification, evaluation and control of risk. Its objectives are to secure the assets of the organisation and to ensure the continued financial and organisational well-being of the organisation. In essence it is, therefore, an integral part of good business practice. Risk management is concerned with evaluating the measures an organisation already has in place to manage identified risks and then recommending the action the organisation needs to take to control these risks effectively.
- 1.2 It is the overall responsibility of the Cabinet to approve the Authority's risk management policy statement and strategy, and to promote a culture of risk management awareness throughout the Authority.

Key controls

- 1.3 The key controls for risk management are:
- (a) Procedures are in place to identify, assess, prevent or contain material known risks, and these procedures are operating effectively throughout the Authority.
 - (b) A monitoring process is in place to review regularly the effectiveness of risk reduction strategies and the operation of these controls. The risk management process should be conducted on a continuing basis.
 - (c) Managers know that they are responsible for managing relevant risks and are provided with relevant information on risk management initiatives.
 - (d) Provision is made for losses that might result from the risks that remain.
 - (e) Procedures are in place to investigate claims within required timescales.
 - (f) Acceptable levels of risk are determined and insured against where appropriate.
 - (g) The Authority has identified business continuity plans for implementation in the event of disaster that results in significant loss or damage to its resources.

Responsibilities of the Head of Paid Service (Chief Executive)

- 1.4 To promote the Authority's risk management policy statement and strategy.

Responsibilities of the Executive Director (Transformation)

- 1.5 To prepare the Authority's risk management policy statement and strategy in conjunction with the CE & Executive Director and the Chief Finance Officer.

Chief Finance Officer

- 1.6 To include all appropriate employees of the Authority in a suitable fidelity guarantee insurance.

1.7 To effect corporate insurance cover, through external insurance and internal funding, and periodically review the same.

1.8 To negotiate all claims in consultation with other officers, where necessary.

Responsibilities of the CE & Executive Director

1.9 To notify the Chief Finance Officer immediately of any loss, liability or damage that may lead to a claim against the Authority, together with any information or explanation required by the Chief Finance Officer or the Authority's insurers. Only the Chief Finance Officer may negotiate settlement of claims.

1.10 To take responsibility for risk management, having regard to advice from the Chief Finance Officer and other specialist officers (e.g. crime prevention, fire prevention, health and safety).

1.11 To ensure that there are regular reviews of risk within their service areas.

1.12 To notify the Chief Finance Officer promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances. In particular notice shall be given of the following:

(a) The acquisition of property or other assets whether by ownership, lease agreement, hiring or loan. The CE or Deputy concerned is responsible for maintaining current valuations.

(b) Any matters arising from the Council's position as an employer or enabler of voluntary labour.

(c) Any matters arising from the carrying out of the Council's functions and services or those in which the Council has an interest.

1.13 To consult the Chief Finance Officer and the Monitoring Officer on the terms of any indemnity that the Authority is requested to give.

1.14 To ensure that employees, or anyone covered by the Authority's insurances, do not admit liability or make any offer to pay compensation that may prejudice the assessment of liability in respect of any insurance claim.

Responsibilities of the Audit Committee

1.15 To assess and approve the corporate risk arrangements and monitor the effective development and operation of good practice risk management and corporate governance arrangements across the Council.

2. Internal Controls

Why is this important?

2.1 The Authority is complex and beyond the direct control of individuals. It therefore requires internal controls to manage and monitor progress towards strategic objectives.

2.2 The Authority has statutory obligations, and, therefore, requires internal controls to identify, meet and monitor compliance with these obligations.

2.3 The Authority faces a wide range of financial, administrative and commercial risks, both from internal and external factors, which threaten the achievement of its objectives. Internal controls are necessary to manage these risks.

- 2.4 The system of internal controls is established in order to provide measurable achievement of:
- (a) Efficient and effective operations.
 - (b) Reliable financial information and reporting.
 - (c) Compliance with laws and regulations.
 - (d) Risk management.

Key controls

- 2.5 The key controls and control objectives for internal control systems are:
- (a) Key controls should be reviewed on a regular basis and the Authority should make a formal statement annually to the effect that it is satisfied that the systems of internal control are operating effectively.
 - (b) Managerial control systems, including defining policies, setting objectives and plans, monitoring financial and other performance and taking appropriate anticipatory and remedial action. The key objective of these systems is to promote ownership of the control environment by defining roles and responsibilities.
 - (c) Financial and operational control systems and procedures, which include physical safeguards for assets, segregation of duties, authorisation and approval procedures and information systems.
 - (d) An effective internal audit function that is properly resourced. It should operate in accordance with the United Kingdom Public Sector Internal Audit Standards and with any other statutory obligations and regulations.

Responsibilities of the Chief Finance Officer

- 2.6 To assist the Authority to put in place an appropriate control environment and effective internal controls which provide reasonable assurance of effective and efficient operations, financial stewardship, probity and compliance with laws and regulations.

Responsibilities of the CE & Executive Directors

- 2.7 To manage processes to check that established controls are being adhered to and to evaluate their effectiveness, in order to be confident in the proper use of resources, achievement of objectives and management of risks.
- 2.8 To review existing controls in the light of changes affecting the Authority and to establish and implement new ones in line with guidance from the Chief Finance Officer. The CE & Executive Directors should also be responsible for removing controls that are unnecessary or not cost or risk effective – for example, because of duplication.
- 2.9 To ensure staff have a clear understanding of the consequences of lack of control.

3. Audit Requirements

Internal Audit

Why is this important?

- 3.1 The requirement for an internal audit function for local authorities is implied by section 151 of the Local Government Act 1972, which requires that authorities “make arrangements for the proper administration of their financial affairs”. The Accounts and Audit Regulations 2015, more specifically require that a “relevant Authority must undertake an effective internal audit to

evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance”.

- 3.2** Accordingly, internal audit is an independent and objective appraisal function established by the Authority for reviewing the system of internal control. It examines, evaluates and reports on the adequacy of internal control as a contribution to the proper, economic, efficient and effective use of resources.

Key controls

- 3.3** The key controls for internal audit are:

- (a) That it is independent in its planning and operation.
- (b) The Chief Internal Auditor has direct access to the Head of Paid Service, all levels of management and directly to Councillors.
- (c) The internal auditors comply with the United Kingdom Public Sector Internal Audit Standards.

Responsibilities of the Chief Finance Officer

- 3.4** To ensure that internal auditors have the Authority to:

- (a) Access Authority premises at reasonable times.
- (b) Access all assets, records, documents, correspondence and control systems.
- (c) Receive any information and explanation considered necessary concerning any matter under consideration.
- (d) Require any employee of the Authority to immediately account for cash, stores or any other Authority asset under their control.
- (e) Access records belonging to third parties, such as contractors, when required.
- (f) Directly access the Head of Paid Service, the Cabinet and the Audit Committee.

Pursuant to this regulation, the same access rights apply to the Chief Finance Officer in relation to the internal control of the Council.

- 3.5** To approve the strategic and annual audit plans prepared by the Chief Internal Auditor, which take account of the characteristics and relative risks of the activities involved.

- 3.6** To ensure that effective procedures are in place to investigate promptly any fraud or irregularity.

Responsibilities of the Head of Internal Audit

- 3.7** Whenever appropriate, to consult with the CE or Deputy concerned on the timing and nature of audits to avoid unnecessary service disruption.

- 3.8** To consult with the CE & Executive Directors on the findings and recommendations of an audit relating to their Department or service area prior to publication.

Responsibilities of the CE & Executive Directors

- 3.9** To ensure that internal auditors are given access at all reasonable times to premises, personnel, documents and assets that the auditors consider necessary for the purposes of their work.

- 3.10 To ensure that auditors are provided with any information and explanations that they seek in the course of their work.
- 3.11 To consider and respond promptly to recommendations in audit reports.
- 3.12 To ensure that any agreed actions arising from audit recommendations are carried out in a timely and efficient fashion.
- 3.13 To notify the Chief Finance Officer immediately of any suspected fraud, theft, irregularity, improper use or misappropriation of the Authority's property or resources. Pending investigation and reporting, the CE or Deputy concerned should take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration.
- 3.14 To ensure that new systems for maintaining financial records, or records of assets, or changes to such systems, are discussed with and agreed by the Head of Internal Audit prior to implementation.
- 3.15 To arrange for procedural and operational notes to be issued to all members of staff operating financial systems or procedures, such notes to be subject to the approval and retention of the Chief Finance Officer.
- 3.16 To ensure that the duty of providing information, calculating, checking and recording sums due to or from the Council shall be separated as completely as possible from the duty of collecting or disbursing those sums.

External Audit

Why is this important?

- 3.17 The external auditor has rights of access to all documents and information necessary for audit purposes.
- 3.18 The Local Audit and Accountability Act 2014 makes the Comptroller and Auditor General responsible for the preparation, publication and maintenance of the Code of Audit Practice. The Code sets out what local auditors are required to do to fulfil their statutory responsibilities under the Act.
- 3.19 The Authority's accounts are scrutinised by external auditors, who must be satisfied that the statement of accounts gives a 'true and fair view' of the financial position of the Authority and its income and expenditure for the year in question and complies with the legal requirements.

Key controls

- 3.20 External auditors are appointed by the Audit Commission (subsequently Public Sector Audit Appointments Limited), normally for a minimum period of five years. The Comptroller and Auditor General prepares a code of audit practice, which external auditors follow when carrying out their audits.

Responsibilities of the Chief Finance Officer

- 3.21 To ensure that external auditors are given access at all reasonable times to premises, personnel, documents and assets that the external auditors consider necessary for the purposes of their work, including records belonging to third parties, such as contractors, when required
- 3.22 To ensure there is effective liaison between external and internal audit.

- 3.23 To work with the external auditor and advise the Full Council, Cabinet, Audit Committee and the CE & Executive Directors on their responsibilities in relation to external audit.

Responsibilities of the CE & Executive Directors

- 3.24 To ensure that external auditors are given access at all reasonable times to premises, personnel, documents and assets which the external auditors consider necessary for the purposes of their work.
- 3.25 To ensure that all records and systems are up to date and available for inspection.

4. Preventing Fraud and Corruption

Why is this important?

- 4.1 The Authority will not tolerate fraud and corruption in the administration of its responsibilities, whether from inside or outside the Authority.
- 4.2 The Authority's expectation of propriety and accountability is that Councillors and staff at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures and practices.
- 4.3 The Authority also expects that individuals and organisations (e.g. suppliers, contractors, service providers) with whom it comes into contact will act towards the Authority with integrity and without thought or actions involving fraud and corruption.

Key controls

- 4.4 The key controls regarding the prevention of financial irregularities are that:
- (a) The Authority has an effective anti-fraud and corruption policy and strategy, and maintains a culture that will not tolerate fraud or corruption.
 - (b) The Authority has an effective anti-money laundering policy and strategy.
 - (c) All Councillors and staff act with integrity and lead by example.
 - (d) Senior managers are required to deal swiftly and firmly with those who defraud or attempt to defraud the Authority or who are corrupt.
 - (e) High standards of conduct are promoted amongst Councillors and Co-opted Members by the Standards Committee.
 - (f) The maintenance of a register of interests in which any hospitality or gifts accepted must be recorded.
 - (g) Whistle blowing procedures are in place and operate effectively.

Responsibilities of the Chief Finance Officer

- 4.5 To develop and maintain an anti-fraud and anti-corruption policy.
- 4.6 To maintain adequate and effective internal control arrangements.
- 4.7 To ensure that all suspected irregularities are reported to the Head of Internal Audit, the Head of Paid Service, the Audit Committee and the Cabinet.

Responsibilities of the CE & Executive Directors

- 4.8 To actively apply the requirements of the Anti-Fraud & Corruption Policy and Strategy, the Anti-Money Laundering Policy and Strategy and Whistleblowing Policy.

- 4.9 To ensure that all suspected irregularities are reported to the Head of Internal Audit.
- 4.10 To instigate the Authority's disciplinary procedures where the outcome of an audit investigation indicates improper behaviour.
- 4.11 To ensure that where financial impropriety is discovered, the Chief Finance Officer is informed, and where sufficient evidence exists to believe that a criminal offence may have been committed, the police are called in to determine with the Crown Prosecution Service whether any prosecution will take place.
- 4.12 To maintain a departmental register of interests on Business World (the Hospitality Book).

5. Assets

Security

Why is this important?

- 5.1 The Authority holds assets in the form of property, vehicles, equipment, furniture and other items worth many millions of pounds. It is important that assets are safeguarded and used efficiently in service delivery, and that there are arrangements for the security of both assets and information required for service operations. An up-to-date asset register is a prerequisite for proper fixed asset accounting and sound asset management.

Key controls

- 5.2 The key controls for the security of resources such as land, buildings, fixed plant machinery, equipment, software and information are:
- (a) Resources are used only for the purposes of the Authority and are properly accounted for.
 - (b) Resources are available for use when required.
 - (c) Resources no longer required are disposed of in accordance with the law and the Financial Procedure Rules of the Authority so as to maximise benefits.
 - (d) An asset register is maintained for the Authority, assets are recorded when they are acquired by the Authority and this record is updated as changes occur with respect to the location and condition of the asset.
 - (e) All staff are aware of their responsibilities with regard to safeguarding the Authority's assets and information, including the requirements of the Data Protection Act as set out in the Council's Data Protection Policy and software copyright legislation.
 - (f) All staff are aware of their responsibilities with regard to safeguarding the security of the Authority's computer systems, including maintaining restricted access to the information held on them and compliance with the Authority's computer and Internet security policies.

Responsibilities of the Chief Finance Officer

- 5.3 To ensure that an asset register is maintained in accordance with good practice for all fixed assets. The function of the asset register is to provide the Authority with information about fixed assets so that they are:
- (a) Safeguarded.
 - (b) Used efficiently and effectively.

(c) Adequately maintained.

5.4 To receive the information required for accounting, costing and financial records from the CE & Executive Directors.

5.5 To ensure that assets are valued in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom* (CIPFA / LASAAC).

Responsibilities of the CE & Executive Directors

5.6 The CE & Executive Directors (and the Directors in their service areas) shall maintain a property database in a form approved by the Chief Finance Officer for all properties, plant and machinery and moveable assets currently owned or used by the Authority. Any use of property by a department or establishment other than for direct service delivery should be supported by documentation identifying terms, responsibilities and duration of use.

5.7 To ensure that lessees and other prospective occupiers of Council land are not allowed to take possession or enter the land until a lease or agreement, in a form approved by the CE or relevant Deputy in consultation with the Chief Finance Officer, has been established as appropriate.

5.8 To ensure the proper security of all buildings and other assets under their control.

5.9 Where land or buildings are surplus to requirements, a recommendation for sale should be the subject of a joint report by the CE or relevant Executive Director and the Chief Finance Officer.

5.10 To pass title deeds to the Executive Director (Legal and Democratic Services) who is responsible for custody of all title deeds.

5.11 To ensure that no Council asset is subject to personal use by an employee without proper Authority.

5.12 To ensure the safe custody of vehicles, equipment, furniture, stock, stores and other property belonging to the Authority.

5.13 To ensure that the department maintains a register of moveable assets in accordance with arrangements defined by the Chief Finance Officer.

5.14 To ensure that assets are identified, their location recorded and that they are appropriately marked and insured.

5.15 To consult the Chief Finance Officer in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.

5.16 To ensure cash holdings on premises are kept to a minimum.

5.17 To ensure that keys to safes and similar receptacles are carried on the person of those responsible at all times; loss of any such keys must be reported to the Chief Finance Officer as soon as possible.

5.18 To record all disposal or part exchange of assets that should normally be by competitive tender or public auction, unless, following consultation with the Chief Finance Officer, the Cabinet agrees otherwise.

5.19 To ensure that all employees are aware that they have a personal responsibility with regard to the protection and confidentiality of information, whether held in manual or computerised records. Information may be sensitive or privileged, or may possess some intrinsic value, and its disclosure or loss could result in a cost to the Authority in some way.

Inventories

Responsibilities of the CE & Executive Director

- 5.20** To maintain inventories and record an adequate description of furniture, fittings, equipment, tools, plant and machinery above £500 in replacement value used by their service area.
- 5.21** To carry out an annual check of all items on the inventory in order to verify location, review condition and to take action in relation to surpluses or deficiencies, annotating the inventory accordingly. Any deficiencies identified must be notified to the Chief Finance Officer promptly, indicating where possible the reasons for such deficiency (e.g. theft, loss). Attractive and portable items such as computers, cameras and video recorders should be identified with security markings as belonging to the Authority.
- 5.22** To make sure that property is only used in the course of the Authority's business, unless the CE or Deputy concerned has given permission otherwise.

Stocks and Stores

Responsibilities of the CE & Executive Director

- 5.23** To make arrangements for the care and custody of stocks and stores in their service area, in consultation with the Chief Finance Officer.
- 5.24** To ensure stocks are maintained at reasonable levels and are subject to a regular independent physical check. All discrepancies should be investigated and pursued to the satisfaction of the Chief Finance Officer. Certified records of such stocktaking shall be maintained. The CE & Executive Directors shall certify and forward promptly to the Chief Finance Officer a statement of stockholding as at the 31 March of each year.
- 5.25** To investigate and remove from the Authority's records (i.e. write off) discrepancies as necessary, or to obtain Cabinet approval if they are in excess of a predetermined limit.
- 5.26** To authorise for write off and disposal of redundant stocks and equipment. Procedures for disposal of such stocks and equipment should be by competitive quotations or auction, unless, following consultation with the Chief Finance Officer, the Cabinet decides otherwise in a particular case. In all cases disposal should ensure that the best price is obtained, bearing in mind other factors, such as environmental issues
- 5.27** To seek Cabinet approval to the write-off of redundant stocks and equipment in excess of a predetermined sum.

Intellectual Property

Why is this important?

- 5.28** Intellectual property is a generic term that includes inventions and writing. If these are created by the employee during the course of employment, then, as a general rule, they belong to the employer, not the employee. Various acts of Parliament cover different types of intellectual property.
- 5.29** Certain activities undertaken within the Authority may give rise to items that may be patentable, for example, software development. These items are collectively known as intellectual property.

Key controls

- 5.30** In the event that the Authority decides to become involved in the commercial exploitation of inventions, the matter should proceed in accordance with the Authority's approved intellectual property procedures.

Responsibilities of the Chief Finance Officer

- 5.31** To develop and disseminate good practice through the Authority's intellectual property procedures.

Responsibilities of the CE & Executive Directors

- 5.32** To ensure that controls are in place to ensure that staff do not carry out private work in Council time and that staff are aware of an employer's rights with regard to intellectual property.

Moveable Asset Disposal

Why is this important?

- 5.33** It would be uneconomic and inefficient for the cost of assets to outweigh their benefits. Obsolete, non-repairable or unnecessary resources should be disposed of in accordance with the law and the Financial Procedure Rules of the Authority.

Key controls

- 5.34** Assets for disposal are identified and are disposed of at the most appropriate time, and only when it is in the best interests of the Authority, and best price is obtained, bearing in mind other factors, such as environmental issues. For items of significant value, disposal should be by competitive tender or public auction.
- 5.35** Procedures protect staff involved in the disposal from accusations of personal gain.

Responsibilities of the Chief Finance Officer

- 5.36** To issue guidelines representing best practice for disposal of assets.
- 5.37** To ensure appropriate accounting entries are made to remove the value of disposed assets from the Authority's records and to include the sale proceeds if appropriate.

Responsibilities of the CE & Executive Directors

- 5.38** To seek advice from purchasing advisors on the disposal of surplus or obsolete materials, stores or equipment.
- 5.39** To ensure that income received for the disposal of an asset is properly banked and coded.

6. Staffing

Why is this important?

- 6.1** In order to provide the highest level of service, it is crucial that the Authority recruits and retains high calibre, knowledgeable staff, qualified to an appropriate level.

Key controls

- 6.2** The key controls for staffing are:
- (a)** An appropriate staffing strategy and policy exists, in which staffing requirements and budget allocation are matched.
 - (b)** Procedures are in place for forecasting staffing requirements and cost.

- (c) Controls are implemented that ensure that staff time is used efficiently and to the benefit of the Authority.
- (d) Checks are undertaken prior to employing new staff to ensure that they are appropriately qualified, experienced and trustworthy.

Responsibilities of the Chief Finance Officer

- 6.3 To ensure that budget provision exists for all existing and new employees.
- 6.4 To act as an advisor to the CE & Executive Directors on areas such as National Insurance and pension contributions, as appropriate.

Responsibilities of the CE & Executive Directors

- 6.5 To produce an annual staffing budget consistent with the approved staff establishment.
- 6.6 To ensure that the staffing budget is an accurate forecast of staffing levels and is equated to an appropriate revenue budget provision (including on-costs and overheads).
- 6.7 To monitor staff activity to ensure adequate control over such costs as sickness, overtime, training and temporary staff.
- 6.8 To ensure that the staffing budget is not exceeded without due Authority and that it is managed to enable the agreed level of service to be provided.
- 6.9 To ensure that the Chief Finance Officer is immediately informed if the staffing budget is likely to be materially over- or underspent.

Appendix D

Treasury Management and Bank Arrangements

1. Treasury Management

Why is this important?

- 1.1 Many millions of pounds pass through the Authority's books each year. This led to the establishment of codes of practice. These aim to provide assurances that the Authority's money is properly managed in a way that balances risk with return, but with the overriding consideration being given to the security of the Authority's capital sum.

Key controls

- 1.2 That the Authority's borrowings and investments comply with the CIPFA *Code of Practice on Treasury Management* and with the Authority's treasury policy statement.

Responsibilities of the Chief Finance Officer

- 1.3 To arrange the borrowing and investments of the Authority in such a manner as to comply with the CIPFA *Code of Practice on Treasury Management* and the Authority's treasury management policy statement and strategy.
- 1.4 To advise the CE & Executive Directors on the Treasury Management Policy Statement, the Treasury Management Strategy and the Annual Investment Strategy to be proposed to the Audit Committee for scrutiny before adoption by Full Council.
- 1.5 To advise the CE & Executive Directors on suitable Treasury Management Practices to be proposed to the Audit Committee for adoption.
- 1.6 To report four times a year on treasury management activities undertaken and results achieved to the Cabinet.
- 1.7 To ensure that all investments of money are made in the name of the Authority or in the name of nominees approved by the Full Council.
- 1.8 To ensure that all securities that are the property of the Authority or its nominees and the title deeds of all property in the Authority's ownership are held in safe custody.
- 1.9 To effect all borrowings in the name of the Authority and in accordance with the approved borrowing limits.
- 1.10 To act as the Authority's registrar of stocks, bonds and mortgages and to maintain records of all borrowing of money by the Authority.

Responsibilities of the CE & Executive Directors

- 1.11 To ensure that loans are not made to third parties and that interests are not acquired in companies, joint ventures or other enterprises without the approval of the Full Council, following consultation with the Chief Finance Officer.
- 1.12 To propose to the Audit Committee, on the advice of the Chief Finance Officer, the Treasury Management Policy Statement, The Treasury Management Strategy and the Annual Investment Strategy for scrutiny before adoption by Full Council before the commencement of each forthcoming years.

- 1.13 To propose to the Audit Committee, on the advice of the Chief Finance Officer, revisions to the Treasury Management Policy Statement, The Treasury Management Strategy and the Annual Investment Strategy for scrutiny before adoption by Full Council from time to time as necessary during the financial year.
- 1.14 To propose to the Audit Committee for adoption, on the advice of the Chief Finance Officer, suitable Treasury Management Practices.
- 1.15 To propose, on the advice of the Chief Finance Officer, the Prudential Indicators in accordance with the Prudential Code, before the commencement of each forthcoming financial year.
- 1.16 To report annually to the Cabinet on treasury management activities undertaken and results achieved and the outturn Prudential Indicators in the preceding financial year.

2. Leasing and Other Financial Facilities or Credit Arrangements

Key Controls

- 2.1 The Chief Finance Officer and officers nominated by them are the only officers authorised to enter into an agreement for leasing and other financial facilities or credit arrangements.

Responsibilities of the Chief Finance Officer

- 2.2 To evaluate and arrange all leasing and other financial facilities, excluding the short term hiring of equipment for periods of less than one year.

Responsibilities of the CE & Executive Directors

- 2.3 To ensure that credit arrangements, such as leasing agreement, are not entered into without the prior approval of the Chief Finance Officer or their nominated officer and, if applicable, approval of the scheme through the capital programme.

3. Bank Accounts and Cheque Security

Key Controls

- 3.1 The key controls for bank accounts and cheque security are:
 - (a) The Chief Finance Officer and officers nominated by them are the only officers authorised to open, operate and close a bank account.
 - (b) The Chief Finance Officer and officers nominated by them are the only officers authorised to sign cheques and instigate or arrange other methods of payment.

Responsibilities of the Chief Finance Officer

- 3.2 To make arrangements for the opening, operation and closing of Bank, Building Society or other appropriate accounts in respect of Council monies.
- 3.3 To make arrangements for the ordering, safe custody and issue of all cheque stationery. All cheques issued shall be crossed "Account Payee" unless otherwise agreed by the Chief Finance Officer.
- 3.4 To make suitable arrangements for the electronic signature of all computer generated cheques.
- 3.5 To nominate officers responsible for the hand countersigning of any cheque over £100,000.

Responsibilities of the CE & Executive Directors

- 3.6 To follow the instructions on banking issued by the Chief Finance Officer.

4. Trust Funds and Unofficial Funds

Responsibilities of the CE & Executive Directors

- 4.1 To arrange for all trust funds to be held, wherever possible, in the name of the Authority. All officers acting as trustees by virtue of their official position shall deposit securities, etc relating to the trust with the Chief Finance Officer, unless the deed otherwise provides.
- 4.2 To ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.
- 4.3 To arrange, where funds are held on behalf of third parties, for their secure administration, approved by the Chief Finance Officer, and to maintain written records of all transactions.
- 4.4 Unofficial funds (for example contributions towards the Mayor's Charity) shall be accounted for and kept separately from all Council monies.
- 4.5 Bank accounts for unofficial funds shall be operated through the Chief Finance Officer.
- 4.6 Receipts shall be issued for all sums collected for any unofficial fund except where deemed unnecessary after consultation with the Chief Finance Officer.
- 4.7 The Chief Finance Officer may consult with the CE & Executive Directors on the form of records and the arrangements for the preparation of accounts for any unofficial fund and may carry out an audit thereon.
- 4.8 The Chief Finance Officer shall be consulted where there is doubt about the utilisation or operation of any unofficial fund.

Financial Systems and Procedures

1. General

Why is this important?

- 1.1 Service areas have many systems and procedures relating to the control of the Authority's assets, including purchasing, costing and management systems. Service areas are increasingly reliant on computers for their financial management information. The information must therefore be accurate and the systems and procedures sound and well administered. They should contain controls to ensure that transactions are properly processed and errors detected promptly.
- 1.2 The Chief Finance Officer has a professional responsibility to ensure that the Authority's financial systems are sound and should therefore be notified of any new developments or changes.

Key controls

- 1.3 The key controls for systems and procedures are:
- (a) Basic data exists to enable the Authority's objectives, targets, budgets and plans to be formulated.
 - (b) Performance is communicated to the appropriate managers on an accurate, complete and timely basis.
 - (c) Early warning is provided of deviations from target, plans and budgets that require management attention.
 - (d) Operating systems and procedures are secure.

Responsibilities of the Chief Finance Officer

- 1.4 To make arrangements for the proper administration of the Authority's financial affairs, including to:
- (a) Issue advice, guidance and procedures for officers and others acting on the Authority's behalf.
 - (b) Determine the accounting systems, form of accounts and supporting financial records.
 - (c) Establish arrangements for audit of the Authority's financial affairs.
 - (d) Approve any new financial systems to be introduced.
 - (e) Approve any changes to be made to existing financial systems.

Responsibilities of the CE & Executive Directors

- 1.5 To ensure that accounting records are properly maintained and held securely.
- 1.6 To ensure that vouchers and documents with financial implications are not destroyed, except in accordance with arrangements approved by the Chief Finance Officer.

- 1.7 To ensure that a complete management trail, allowing financial transactions to be traced from the accounting records to the original document, and vice versa, is maintained.
- 1.8 To incorporate appropriate controls to ensure that, where relevant:
- (a) All input is genuine, complete, accurate, timely and not previously processed.
 - (b) All processing is carried out in an accurate, complete and timely manner.
 - (c) Output from the system is complete, accurate and timely.
- 1.9 To ensure that the organisational structure provides an appropriate segregation of duties to provide adequate internal controls and to minimise the risk of fraud or other malpractice.
- 1.10 To ensure there is a documented and tested disaster recovery plan to allow information system processing to resume quickly in the event of an interruption.
- 1.11 To ensure that systems are documented and staff trained in operations.
- 1.12 To consult with the Chief Finance Officer before changing any existing system or introducing new systems.
- 1.13 To establish a scheme of delegation identifying officers authorised to act on behalf of the CE or Deputy concerned in respect of payments, purchase orders, contracts and agreements, and showing the limits of their Authority, in accordance with the scheme of delegation table below:

Role	Chief Finance Officer and Head of Paid Service	Chief Finance Officer or Head of Paid Service	Deputy Chief Executive, Executive Director	Director	Assistant Director, Head of Service, Group Manager	Business Unit Manager	Line Manager
Limit	Unlimited	£10M	£1M	£500,000	£75,000	£25,000	£10,000

The business unit manager and line manager roles are to be determined by the CE or Deputy concerned or Executive Director / Director as appropriate.

- 1.14 To supply lists of authorised officers, with delegated limits, to the Chief Finance Officer, together with any subsequent variations.
- 1.15 Where a role is covered by the employment of an interim, that interim will be able to inherit the delegated Authority limits of the substantive post being covered, at the discretion of the CE or Deputy concerned.
- 1.16 To ensure that effective contingency arrangements, including back-up procedures, exist for computer systems. Wherever possible, back-up information should be securely retained in a fireproof location, preferably off site or at an alternative location within the building.
- 1.17 To ensure that, where appropriate, computer systems are registered in accordance with data protection legislation and that staff are aware of their responsibilities under the legislation and the Data Protection Policy.
- 1.18 To ensure that relevant standards and guidelines for computer systems are observed.

- 1.19 To ensure that computer equipment and software are protected from loss and damage through theft, vandalism, etc.
- 1.20 To comply with the copyright, designs and patents legislation and, in particular, to ensure that:
- (a) Only software legally acquired and installed by the Authority is used on its computers.
 - (b) Staff are aware of legislative provisions.
 - (c) In developing systems, due regard is given to the issue of intellectual property rights.

2. Income

Why is this important?

- 2.1 Income can be a vulnerable asset and effective income collection systems are necessary to ensure that all income due is identified, collected, receipted and banked properly. It is preferable to obtain income in advance of supplying goods or services as this improves the Authority's cash flow and also avoids the time and cost of administering debts.

Key controls

- 2.2 The key controls for income are:
- (a) All income due to the Authority is identified and charged correctly, in accordance with an approved charging policy, which is regularly reviewed.
 - (b) All income is collected from the correct person, at the right time, using the correct procedures and the appropriate stationery.
 - (c) The method(s) of payment for all systems is determined in conjunction with the Chief Finance Officer.
 - (d) All money received by an employee on behalf of the Authority is paid without delay to the Chief Finance Officer or if so directed, to the Authority's bank account(s), and properly recorded. The responsibility for cash collection should be separated from that for:
 - identifying the amount due
 - reconciling the amount due to the amount received
 - (e) Effective action is taken to pursue non-payment within defined timescales.
 - (f) Formal approval for debt write-off is obtained.
 - (g) Appropriate write-off action is taken within defined timescales.
 - (h) Appropriate accounting adjustments are made following write-off action.
 - (i) All appropriate income documents are retained and stored for the defined period in accordance with the document retention schedule.
 - (j) A person who is not involved in the collection or banking process reconciles money collected and deposited to the bank account.

Responsibilities of the Chief Finance Officer

General

- 2.3 To order and supply to service areas all receipt forms, books or tickets and similar items and to satisfy themselves regarding the arrangements for their control.

Billing

- 2.4 To ensure that all debts to be written off of £25,000 or over are approved by Cabinet.
- 2.5 To issue procedures for the write off of debts below £25,000, and to keep a record of all sums written off up to the approved limit.
- 2.6 To ensure that appropriate accounting adjustments are made following write-off action.

Income Collection

- 2.7 To agree arrangements for the collection of all income due to the Authority and to approve the procedures, systems and documentation for its collection.

Banking

- 2.8 To arrange facilities for the banking and / or collection by a security courier of income as is deemed necessary. Money deposited and collected must be reconciled to the bank account on a regular basis.

Responsibilities of the CE & Executive Directors

- 2.9 To establish a charging policy for the supply of goods or services in consultation with the Chief Finance Officer, including the appropriate charging of VAT, and to review it regularly, in line with corporate policies.
- 2.10 To ensure that only Council employees, or where appropriate agents working to a formal contract, are authorised to bill, collect, bank or otherwise handle council monies, unless prior agreement is obtained from the Chief Finance Officer. Each authorised officer or agent shall use such systems, make such returns and keep such records as the Chief Finance Officer requires or approves.
- 2.11 To separate the responsibility for identifying amounts due and the responsibility for collection, as far as is practicable.

Billing

- 2.12 To raise accounts for any sums due as soon as possible unless otherwise agreed with the Chief Finance Officer.
- 2.13 To notify the Chief Finance Officer promptly of all monies due to the Council and of contracts, leases and other agreements and arrangements entered into which involve the receipt of monies by the Council.
- 2.14 To establish and initiate appropriate recovery procedures, including legal action where necessary, for debts that are not paid promptly. In circumstances in which legal action for recovery is necessary the matter shall be referred to the Executive Director (Legal and Democratic Services) for appropriate action. The CE & Executive Directors have a responsibility to assist the Chief Finance Officer and the Executive Director (Legal and Democratic Services) in collecting debts that they have originated, by providing promptly any evidence required for the recovery process to proceed. The CE & Executive Directors similarly should not unreasonably withhold any further information requested by the debtor.
- 2.15 To recommend to the Chief Finance Officer all debts to be written off and to keep a record of all sums written off up to the approved limit. Once raised, no bona fide debt may be cancelled, except by full payment or by its formal writing off. An adjustment to a debt can only be made to correct a factual inaccuracy or administrative error in the calculation and / or billing of the original debt.

- 2.16** To notify the Chief Finance Officer of outstanding income relating to the previous financial year as soon as possible after 31 March in line with the timetable determined by the Chief Finance Officer.

Income Collection

- 2.17** To issue official receipts or to maintain other documentation for all income collection. In no circumstances must any form of receipt be used which has not been approved by the Chief Finance Officer.
- 2.18** To ensure that at least two employees are present when post is opened so that money received by post is properly identified, recorded and banked. The form of these systems is to be agreed with the Chief Finance Officer.
- 2.19** To ensure that no unsolicited business cheques (excepting those from financial institutions) are accepted for personal debts unless there is prior individual agreement with the Chief Finance Officer.
- 2.20** To hold securely receipts, tickets and other records of income for the appropriate period.
- 2.21** To lock away all income to safeguard against loss or theft, and to ensure the security of cash handling. Only up to approved levels of cash can be held on the premises.
- 2.22** To ensure income is not used to cash personal cheques or make any other payments.
- 2.23** To ensure the separation of all monies collected from the collecting officer's personal monies and from other official funds.

Banking

- 2.24** To ensure that each authorised officer or agent who prepares money for banking to the credit of the Council's account shall enter on the paying-in slip particulars of such payments including, in the case of each cheque paid in, the amount of the cheque and suitable reference to identify the payee and the account for which the cheque was received. The name of the receiving establishment shall be recorded on the back of each cheque received.
- 2.25** Unless otherwise authorised by the Chief Finance Officer, collecting officers or agents shall bank, pass to an authorised security courier or pay over to the Chief Finance Officer at agreed intervals, all monies collected to the time of banking, collection or payment over.
- 2.26** To keep a record of every transfer of money between employees of the Authority and / or any security courier. The receiving officer must sign for the transfer and the transferor must retain a copy.

3. Expenditure

Ordering and Paying for Work, Goods and Services

Why is this important?

- 3.1** Public money should be spent with demonstrable probity and in accordance with the Authority's policies. Authorities have a statutory duty to achieve best value in part through economy and efficiency. The Authority's procedures should help to ensure that services obtain value for money from their purchasing arrangements. These procedures should be read in conjunction with the Authority's Contract Procedure Rules.

General

- 3.2** Every officer and Councillor has a responsibility to declare any links or personal interests that they may have with purchasers, suppliers and / or contractors if they are engaged in contractual or purchasing decisions on behalf of the Authority, in accordance with appropriate codes of conduct.
- 3.3** Official orders must be in a form approved by the Chief Finance Officer. Official orders must be issued for all work, goods or services to be supplied to the Authority, except for payment types specified by the Chief Finance Officer as listed in section 8.6 (Payment without Purchase Order) of the Contract Procurement Rules. Where due to an emergency situation goods are supplied or works are executed without the Authority of an official order, a confirmatory order shall be issued as soon as is practical after the verbal order.
- 3.4** Where items of similar work require to be undertaken, similar goods to be purchased or similar services to be provided, individual elements may not be placed by the issue of orders without consideration of the total sum with reference to Contract Procedure Rules.
- 3.5** Apart from petty cash and schools' own bank accounts the normal method of payment from the Authority shall be by electronic transfer or other instrument or approved method, drawn on the Authority's bank account by the Chief Finance Officer. The use of direct debit shall require the prior agreement of the Chief Finance Officer.
- 3.6** The use of Corporate procurement cards shall be in accordance with the guidance and rules issued by the Chief Finance Officer.
- 3.7** Official orders must not be raised for any personal or private purchases, nor must personal or private use be made of Authority contracts.

Key controls

- 3.8** The key controls for ordering and paying for work, goods and services are:
- (a)** All goods and services are ordered only by appropriate persons and are correctly recorded.
 - (b)** All goods and services shall be ordered in accordance with the Authority's Contract Procedure Rules.
 - (c)** Except in the case of emergency or extreme urgency, orders will only be made where there is sufficient uncommitted budgetary provision to fund the proposed purchase.
 - (d)** Goods and services received are checked to ensure they are in accordance with the order. Goods should not be received by the person who placed the order.
 - (e)** Payments are not made unless goods have been received by the Authority to the correct price, quantity and quality standards.
 - (f)** All payments are made to the correct person, for the correct amount and are properly recorded, regardless of the payment method.
 - (g)** All appropriate evidence of the transaction and payment documents are retained and stored for the defined period, in accordance with the document retention schedule.
 - (h)** All expenditure, including VAT, is accurately recorded against the right budget and any exceptions are corrected.

- (i) In addition, the effect of e-business / e-commerce and electronic purchasing requires that processes are in place to maintain the security and integrity of data for transacting business electronically.

Responsibilities of the Chief Finance Officer

- 3.9 To approve the form of official orders and associated terms and conditions.
- 3.10 To make payments from the Authority's funds on the authorisation of the CE or Deputy concerned that the expenditure has been duly incurred in accordance with Financial Procedure Rules.
- 3.11 To make payments, whether or not provision exists within the estimates, where the payment is specifically required by statute or is made under a court order.
- 3.12 To make payments to contractors on the certificate of the CE or Deputy concerned, which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- 3.13 To provide advice and encouragement on making payments by the most economical means.
- 3.14 To ensure that a budgetary control system is established that enables commitments incurred by placing orders to be shown against the appropriate budget allocation so that they can be taken into account in budget monitoring reports.
- 3.15 To ensure that all the Authority's financial systems and procedures are sound and properly administered.
- 3.16 To approve any changes to existing financial systems and to approve any new financial systems before they are introduced.
- 3.17 To issue and maintain guidance and rules in relation to the use of Corporate Procurement Cards.

Responsibilities of the CE & Executive Directors

- 3.18 To ensure that all expenditure incurred and committed is in accordance with the Council's standing orders, Contract Procedure Rules and these Financial Procedure Rules.
- 3.19 To ensure that official orders as approved by the Chief Finance Officer are used for all goods and services, other than the exceptions specified in 3.3.
- 3.20 To ensure that orders are only used for goods and services provided to the department. Individuals must not use official orders to obtain goods or services for their private use.
- 3.21 To ensure that only those staff designated by them authorise orders. The authoriser of the order should be satisfied that the goods and services ordered are appropriate and needed, that there is adequate budgetary provision and the order is correctly coded, and that quotations or tenders have been obtained if necessary. Best value principles should underpin the Authority's approach to procurement. Value for money should always be achieved.
- 3.22 To ensure that goods and services are checked on receipt to verify that they are in accordance with the order. A different officer from the person who authorised the order should where possible, carry out this check.
- 3.23 To ensure that payment is not made unless a proper VAT invoice has been received, checked, coded and certified for payment, confirming:

- (a) Receipt of goods or services.
 - (b) That the invoice has not previously been paid.
 - (c) That the invoice has been prepared by the supplier and not by any employee of the Council.
 - (d) That the invoice shall not be altered in any way, such as handwriting of PO number or cost centre.
 - (e) That discounts have been taken where available.
- 3.24** Where any invoice is received directly in departments, to ensure that it is passed for payment to the Chief Finance Officer in a timely fashion.
- 3.25** To ensure that two authorised members of staff are involved in the ordering, receiving and payment process. A different officer from the person who authorised the order shall goods receive against the order.
- 3.26** For payments, other than for goods, services and work, for which an invoice is not available (for instance the payment of grant aid) an expenditure voucher form shall be duly completed and certified and dealt with as an invoice under these Financial Procedure Rules.
- 3.27** To encourage suppliers of goods and services to receive payment by the most economical means for the Authority. It is essential, however, that payments made by direct debit have the prior approval of the Chief Finance Officer.
- 3.28** To ensure that the department obtains best value from purchases by taking appropriate steps to obtain competitive prices for goods and services of the appropriate quality, with regard to the best practice guidelines contained in the Authority's Contract Procedure Rules.
- 3.29** To ensure that loans, leasing or rental arrangements are not entered into without prior agreement from the Chief Finance Officer. This is because of the potential impact on the Authority's borrowing powers, to protect the Authority against entering into unapproved credit arrangements and to ensure that value for money is being obtained.
- 3.30** To notify the Chief Finance Officer of outstanding expenditure relating to the previous financial year as soon as possible after 31 March in line with the timetable determined by the Chief Finance Officer.
- 3.31** To arrange for any supplier that falls within the "Construction Industry Scheme" (CIS) to be set up on the financial system as a CIS supplier with their Unique Tax Reference (UTR). To arrange for all requisitions to CIS suppliers to include the appropriate split of labour and materials. The Chief Finance Officer shall arrange for the UTRs to be verified by HM Revenue & Customs and for the appropriate CIS returns and payments to be made.
- 3.32** To ensure that all appropriate payment records are retained and stored for the defined period, in accordance with the document retention schedule.

Contract Payments

- 3.33** Contracts within the scope of this section are defined as those that require completion of formal contract documentation to enable compliance with Contract Procedure Rules. This section should be read in conjunction with those rules. This includes work under a schedule of rates and those instances where individual items of work or services placed by orders require a formal contract for the totality of the services or works. Excluded are instances where the Council is the contractor.

Responsibilities of the Chief Finance Officer

- 3.34 To keep a register of contracts entered into by the Council and of payments made under such contracts.
- 3.35 To comment on the financial viability of the potential contractor and recommend if appropriate contract and / or annual limits, unless otherwise determined by some other method adopted by the Council.
- 3.36 To issue appropriate guidelines concerning the calculation of bonds and liquidated damages.

Responsibilities of the CE & Executive Directors

- 3.37 To comply with the requirements of the Contract Procurement Rules.
- 3.38 To adhere to any guidelines issued by the Chief Finance Officer concerning the calculation of bonds and liquidated damages.
- 3.39 To inform the Chief Finance Officer without delay, and in any case before the first payment of monies becomes due, of every contract entered into.

4. Petty Cash Accounts and Cash Floats

Why is this important?

- 4.1 There are a number of petty cash accounts and cash floats used throughout the Council that facilitate the smooth operation of services and enable the local collection of cash. These accounts and floats must have proper controls to prevent loss.

Key Controls

- 4.2 The Key controls for petty cash accounts and cash floats are:
 - (a) Defined procedures are in place for the operation and reconciliation of petty cash accounts and cash floats.
 - (b) Only designation employees will hold and operate petty cash accounts.
 - (c) Cash floats are only provided to designated cash collection points.

Responsibilities of the Chief Finance Officer

- 4.3 To issue defined procedures for the operation and reconciliation of petty cash accounts and cash floats.
- 4.4 To provide designated employees of the Authority with petty cash accounts to meet minor expenditure on behalf of the Authority and to prescribe rules for operating these accounts. Minor items of expenditure should not exceed the prescribed amount.
- 4.5 To determine the petty cash limit and to maintain a record of all transactions and petty cash advances made, and periodically to review the arrangements for the safe custody and control of these advances.
- 4.6 To reimburse petty cash account holders as often as necessary to restore the account, but normally not more than monthly.
- 4.7 To provide cash floats to designated cash collection points.

Responsibilities of the CE & Executive Directors

- 4.8** To designate the employees within their service who will hold and operate each petty cash account and cash float.
- 4.9** Follow the defined procedures for the operation of petty cash accounts and cash floats as issued by the Chief Finance Officer
- 4.10** To ensure that designated employees operating a petty cash account:
- (a)** Obtain and retain vouchers to support each payment from the petty cash account. Where appropriate, an official receipted VAT invoice must be obtained.
 - (b)** Make adequate arrangements for the safe custody of the account.
 - (c)** Produce upon demand by the Chief Finance Officer cash and all vouchers to the total value of the petty cash amount.
 - (d)** Record transactions promptly.
 - (e)** Reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the petty cash account holder.
 - (f)** Provide the Chief Finance Officer with a certificate of the value of the account held at 31 March each year.
 - (g)** Ensure that the petty cash account is never used to cash personal cheques or to make personal loans and that the only payments into the account are the reimbursement of the account and change relating to purchases where an advance has been made.
 - (h)** On leaving the Authority's employment or otherwise ceasing to be entitled to hold a petty cash account, an employee shall account to the Chief Finance Officer for the amount advanced to them.

5. Payments to Employees and Councillors

Why is this important?

- 5.1** Staff costs are the largest item of expenditure for most Authority services. It is therefore important that payments are accurate, timely, made only where they are due for services to the Authority and that payments accord with individuals' conditions of employment. It is also important that all payments are accurately and completely recorded and accounted for and that Councillors' allowances are authorised in accordance with the scheme adopted by the Full Council.

Key controls

- 5.2** The key controls for payments to employees and Councillors are:
- (a)** Proper authorisation procedures are in place and that there is adherence to corporate timetables in relation to starters, leavers, variations and enhancements and that where appropriate payments are made on the basis of timesheets or claims.
 - (b)** Frequent reconciliation of payroll expenditure against approved budget and bank account.
 - (c)** All appropriate payroll documents are retained and stored for the defined period in accordance with the document retention schedule.
 - (d)** That Inland Revenue regulations are complied with.

Responsibilities of the Chief Finance Officer

- 5.3** To arrange and control secure and reliable payment of salaries, wages, compensation or other emoluments to existing and former employees, in accordance with procedures prescribed by them, on the due date.
- 5.4** To record and make arrangements for the accurate and timely payment of tax, pension and other deductions.
- 5.5** To make arrangements for payment of all travel and subsistence claims.
- 5.6** To make arrangements for paying Councillors travel or other allowances upon receiving the prescribed form, duly completed and authorised.
- 5.7** To ensure that there are adequate arrangements for administering pension matters on a day-to-day basis.

Responsibilities of the CE & Executive Directors

- 5.8** To ensure appointments are made in accordance with the regulations of the Authority and approved establishments, grades and scale of pay and that adequate budget provision is available.
- 5.9** To notify the Executive Director (Transformation) promptly, in the form and to the timescale required, of:
 - (a)** All appointments, resignations, dismissals and suspensions.
 - (b)** Absences from duty for sickness or any other reason.
 - (c)** Changes in remuneration other than normal increments and pay awards and agreements of general application.
 - (d)** Information necessary to maintain records of services and benefits for Income Tax, National Insurance, etc.

which may affect the pay or pension of a Councillor, an employee or a former employee

- 5.10** To ensure that adequate and effective systems and procedures are operated, so that:
 - (a)** Payments are only authorised to bona fide employees.
 - (b)** Payments are only made where there is a valid entitlement.
 - (c)** Conditions and contracts of employment are correctly applied.
 - (d)** Employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness.
- 5.11** To send an up-to-date list of the names of officers authorised to sign records, timesheets and claims to the Executive Director (Transformation), together with specimen signatures.
- 5.12** To ensure that payroll transactions are processed only through the payroll system. The CE & Executive Directors should give careful consideration to the employment status of individuals employed on a self-employed consultant or subcontract basis. The Inland Revenue applies a tight definition for employee status, and in all cases, advice should be sought from the Chief Finance Officer.
- 5.13** To certify travel and subsistence claims and other allowances and expenses. Certification is taken to mean that journeys were authorised and expenses properly and necessarily incurred,

and that allowances are properly payable by the Authority, ensuring that cost-effective use of travel arrangements is achieved. Due consideration should be given to tax implications and that the Chief Finance Officer is informed where appropriate.

- 5.14 To ensure that the Executive Director (Transformation) is notified of the details of any employee benefits in kind, to enable full and complete reporting within the income tax self-assessment system.
- 5.15 To ensure that all appropriate payroll documents are retained and stored for the defined period in accordance with the document retention schedule.

Responsibilities of Members

- 5.16 To submit claims for Councillors' travel and subsistence allowances on a monthly basis and, in any event, within one month of the year-end.

6. Taxation

Why is this important?

- 6.1 Like all organisations, the Authority is responsible for ensuring its tax affairs are in order. Tax issues are often very complex and the penalties for incorrectly accounting for tax are severe. It is therefore very important for all officers to be aware of their role.

Key controls

- 6.2 The key controls for taxation are:
 - (a) Budget managers are provided with relevant information and kept up to date on tax issues.
 - (b) Budget managers are instructed on required record keeping.
 - (c) All taxable transactions are identified, properly carried out and accounted for within stipulated timescales.
 - (d) Records are maintained in accordance with instructions.
 - (e) Returns are made to the appropriate authorities within the stipulated timescale.

Responsibilities of the Chief Finance Officer

- 6.3 To complete a monthly return of VAT inputs and outputs to HM Revenue and Customs.
- 6.4 To provide details to the Inland Revenue regarding the construction industry tax deduction scheme.
- 6.5 To maintain up-to-date guidance for Authority's officers on taxation issues in the accounting manual and the tax manual.
- 6.6 To ensure that the correct VAT liability is attached to all income due and that all VAT recoverable on purchases complies with HM Revenue and Customs regulations.
- 6.7 To ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.

Responsibilities of Executive Director (Transformation)

- 6.8 To complete all Inland Revenue returns regarding PAYE.

- 6.9** To ensure that all persons employed by the Authority are added to the Authority's payroll and tax deducted from any payments, except where the individuals are bona fide self-employed or are employed by a recognised staff agency.

Responsibilities of the CE & Executive Directors

- 6.10** To follow the guidance on taxation issued by the Chief Finance Officer in the Authority's accounting manual and VAT manual.

7. Trading Accounts, Business Units and Local Authority Trading Companies

Why is this important?

- 7.1** Trading accounts, business units and Local Authority Trading Companies have become more important as local authorities have developed a more commercial culture.

Responsibilities of the Chief Finance Officer

- 7.2** To advise on the establishment and operation of proper financial arrangements for trading accounts, business units and Local Authority Trading Companies.

External Arrangements

1. Partnerships

Why is this important?

- 1.1 Partnerships are likely to play a key role in delivering community strategies and in helping to promote and improve the well-being of the area. Local authorities are working in partnership with others – public agencies, private companies, community groups and voluntary organisations. Local authorities still deliver some services, but their distinctive leadership role is to bring together the contributions of the various stakeholders. They therefore need to deliver a shared vision of services based on user wishes.
- 1.2 Local authorities will mobilise investment, bid for funds, champion the needs of their areas and harness the energies of local people and community organisations. Local authorities will be measured by what they achieve in partnership with others.

General

- 1.3 The main reasons for entering into a partnership are:
- (a) the desire to find new ways to share risk.
 - (b) the ability to access new resources.
 - (c) to provide new and better ways of delivering services.
 - (d) to forge new relationships.
- 1.4 A partner is defined as either:
- (a) an organisation (private or public) undertaking, part funding or participating as a beneficiary in a project, or
 - (b) a body whose nature or status give it a right or obligation to support the project.
- 1.5 Partners participate in projects by:
- (a) acting as a project deliverer or sponsor, solely or in concert with others.
 - (b) acting as a project funder or part funder.
 - (c) being the beneficiary group of the activity undertaken in a project.
- 1.6 Partners have common responsibilities:
- (a) to be willing to take on a role in the broader programme appropriate to the skills and resources of the partner organisation.
 - (b) to act in good faith at all times and in the best interests of the partnership's aims and objectives.
 - (c) be open about any conflict of interests that might arise.
 - (d) to encourage joint working and promote the sharing of information, resources and skills between public, private and community sectors.

- (e) to hold confidentially any information received as a result of partnership activities or duties that is of a confidential or commercially sensitive nature.
- (f) to act wherever possible as ambassadors for the project.

Key controls

- 1.7 The key controls for Authority partners are:
- (a) if appropriate, to be aware of their responsibilities under the Authority's Financial Procedure Rules and the code of practice on tenders and contracts.
 - (b) to ensure that risk management processes are in place to identify and assess all known risks.
 - (c) to ensure that project appraisal processes are in place to assess the viability of the project in terms of resources, staffing and expertise.
 - (d) to agree and accept formally the roles and responsibilities of each of the partners involved in the project before the project commences.
 - (e) to communicate regularly with other partners throughout the project so that problems can be identified and shared to achieve their successful resolution.

Responsibilities of the Chief Finance Officer

- 1.8 To advise on effective controls that will ensure that resources are not wasted.
- 1.9 To advise on the key elements of funding a project. They include:
- (a) a scheme appraisal for financial viability in both the current and future years.
 - (b) risk appraisal and management.
 - (c) resourcing, including taxation issues.
 - (d) audit, security and control requirements.
 - (e) carry-forward arrangements.

- 1.10 To ensure that the accounting arrangements are satisfactory.

Responsibilities of the CE & Executive Directors

- 1.11 To maintain a register of all contracts entered into with external bodies in accordance with procedures specified in Contract Standing Orders.
- 1.12 To ensure that, before entering into agreements with external bodies, a risk management appraisal has been prepared.
- 1.13 To ensure that such agreements and arrangements do not impact adversely upon the services provided by the Authority.
- 1.14 To ensure that all agreements and arrangements are properly documented.
- 1.15 To provide appropriate information to the Chief Finance Officer to enable a note to be entered into the Authority's statement of accounts concerning material items.

2. External Funding

Why is this important?

2.1 External funding is potentially a very important source of income, but funding conditions need to be carefully considered to ensure that they are compatible with the aims and objectives of the Authority. Local authorities are increasingly encouraged to provide seamless service delivery through working closely with other agencies and private service providers. Funds from external agencies such as the National Lottery and Government departments provide additional resources to enable the Authority to deliver services to the local community. However, in some instances, although the scope for external funding has increased, such funding is linked to tight specifications and may not be flexible enough to link to the Authority's overall plan.

Key controls

2.2 The key controls for external funding are:

- (a)** to ensure that key conditions of funding and any statutory requirements are complied with and that the responsibilities of the accountable body are clearly understood.
- (b)** to ensure that funds are acquired only to meet the priorities approved in the policy framework by the Full Council.
- (c)** to ensure that any match-funding requirements are given due consideration prior to entering into long-term agreements and that future revenue budgets reflect these requirements.

Responsibilities of the Chief Finance Officer

2.3 To ensure that all funding notified by external bodies is received and properly recorded in the Authority's accounts.

2.4 To ensure that the match-funding requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.

2.5 To ensure that audit requirements are met.

Responsibilities of the CE & Executive Directors

2.6 To ensure that all claims for funds are made by the due date.

2.7 To ensure that the project progresses in accordance with the agreed project and that all expenditure is properly incurred and recorded.

3. Work for Third Parties

Why is this important?

3.1 Current legislation enables the Authority to provide a range of services to other bodies. Such work may enable a unit to maintain economies of scale and existing expertise. Arrangements should be in place to ensure that any risks associated with this work is minimised and that such work is intra vires.

Key controls

3.2 The key controls for working with third parties are:

- (a)** to ensure that proposals are costed properly in accordance with guidance provided by the Chief Finance Officer.
- (b)** to ensure that contracts are drawn up using guidance provided by the Chief Finance Officer and that the formal approvals process is adhered to.

- (c) to issue guidance with regard to the financial aspects of third party contracts and the maintenance of the contract register.

Responsibility of the Chief Finance Officer

- 3.3 To issue guidance with regard to the financial aspects of third party contracts and the maintenance of the contract register.

Responsibilities of the CE & Executive Directors

- 3.4 To ensure that the approval of the Cabinet is obtained before any negotiations are concluded for any material work for third parties.
- 3.5 To maintain a register of all contracts entered into with third parties in accordance with procedures specified by the Chief Finance Officer.
- 3.6 To ensure that appropriate insurance arrangements are made.
- 3.7 To ensure that the Authority is not put at risk from any bad debts.
- 3.8 To ensure that no contract is subsidised by the Authority.
- 3.9 To ensure that, wherever possible, payment is received in advance of the delivery of the service.
- 3.10 To ensure that the department / unit has the appropriate expertise to undertake the contract.
- 3.11 To ensure that such contracts do not impact adversely upon the services provided for the Authority.
- 3.12 To ensure that all contracts are properly documented.
- 3.13 To provide appropriate information to the Chief Finance Officer to enable appropriate disclosures to be included in the statement of accounts.

8. PROPERTY PROCEDURE RULES

Application of the Property Procedure Rules

- 8.1 These Property Procedure Rules (Rules) apply to the acquisition and disposal of land and property owned by the Council corporately. The Rules apply to the leases which are for a fixed term of more than seven years and where considered appropriate by the Executive Director, Environment and Place, to the granting of, or entering into, of a licence agreement.
- 8.2 These Rules must be read in conjunction with any relevant Council policy, and / or the applicable rules and provisions set out elsewhere in this Constitution, including without limitation, the Scheme of Delegation to Officers, and the Financial Procedure Rules set out respectively under section 2 and section 7 above, [and the Cabinet Scheme of Delegation set out under Part 4 of this Constitution].

The Disposal of Land

Duty to Obtain Best Consideration

- 8.3 The Council is under a statutory duty to obtain best consideration (best value) when it disposes of land and property unless:
- 8.3.1 The disposal is of a short tenancy; or,
- 8.3.2 An exemption applies pursuant to *Circular 06/3: Local Government Act 1972 general disposal consent (England) 2003 disposal of land for less than the best consideration that can be reasonably obtained;*
- a short tenancy means either the grant of term not exceeding seven years, or the assignment of a term which at the date of the assignment has not more seven years left to run.
- 8.4 The duty to obtain best consideration is also subject to any other applicable statutory requirements, which may include, without limitation, consultation, notice, and obligations concerning open spaces and playing fields.

The Disposal as a Key Decision

- 8.5 If the estimated capital value, or the annual rental value of the land (or buildings), or their estimated combined value (if applicable), is £500,000 or more (the Key Decision Financial Threshold), the decision to dispose of the land or building shall be approved by the Leader and / or the Cabinet pursuant to the Key Decision making procedure set out under Part 4 of this Constitution.

Reports

- 8.6 No land or property shall be disposed of unless the body or individual responsible for approving of the disposal has been provided with a report which includes the following information:
- 8.6.1 A complete description of all the land and/or property to be included in the disposal;

- 8.6.2 Confirmation from the Monitoring Officer that the title of the land and/or property is owned by the Council (or in the case of a licence, that the licence is still extant and capable of being subject to a disposal);
- 8.6.3 The reason for the disposal and any restrictions which the reason may impose upon the disposal;
- 8.6.4 A report on any information which is held by the Council on the previous use of the land which may affect its value (e.g. if land is / may be contaminated);
- 8.6.5 The estimated value of the land and/or property;
- 8.6.6 Evidence of appropriate consultation (including with relevant Ward Councillors);
- 8.6.7 Recommendations on the following:
 - (a) Issues which need to be resolved before the marketing of the land and/or property can commence;
 - (b) The preferred method of disposal (i.e., sale by auction, sale by informal tender / expression of interest, sale by formal tender, or sale by private treaty);
 - (c) The title to be transferred;
 - (d) The steps which need to be undertaken to maximise the value of the asset prior to disposal (e.g. planning applications);
 - (e) The minimum price that the Council is prepared to receive together with an asking price.

Achieving Best Consideration in Disposals

- 8.7 To achieve best consideration in the disposal of land or property will be advertised on the open market disposals by way of:
 - 8.7.1 Sale by auction; or,
 - 8.7.2 Sale by informal tender/expressions of interest; or,
 - 8.7.3 Sale by formal tender.
- 8.8 The disposal of land or property by formal tender must comply with the relevant Contract Procedure Rules set out above in section 6.

Private Treaty Sales

- 8.9 The Council may consider disposing of land or property by private treaty sale, subject to the duty to obtain best consideration, in the following circumstances:
 - 8.9.1 Where a proposed development opportunity will, in the opinion of the [Leader / Executive Director, Environment and Place] [in consultation with the Chief Finance Officer Monitoring Officer / Chief Executive], contribute to the delivery of the Council's priorities and policies in respect of its land and other property;

- 8.9.2 Existing lessees purchasing the freehold or re-negotiating or extending the terms of an existing lease;
 - 8.9.3 Disposals of property under the Right to Buy legislation;
 - 8.9.4 Disposal of property under the provisions of the Leasehold Reform Act 1967;
 - 8.9.5 "Special purchaser status" where the adjoining land or property owner wishes to purchase the Council's land or property interests. In these circumstances an additional premium will be payable as the land or property has added benefit to the purchaser above its market value.
- 8.10 Except where in the opinion of the Monitoring Officer, the Council is subject to an existing statutory or other legal obligation the Council is under no obligation to dispose of land in the circumstances above if it is not in the Council's interests and / or does not provide best consideration.

The Disposals of other Assets

- 8.11 Prior to the disposal of assets other land or buildings checks must be undertaken to ascertain whether or not the disposal of the particular asset is subject to corporate policy, a contract or other arrangement, and if it is, the asset must be disposed of accordingly.
- 8.12 Subject to Rule 8.11, office equipment and furniture should be advertised internally in the first instance, and thereafter disposed of by way of a public auction, or by seeking three quotes from interested external parties.
- 8.13 The disposal must aim to achieve value for money and be in accordance with Scheme of Delegation to Officers and the Financial Procedure Rules set out above under section 2 and section 7 respectively, [and the Cabinet Scheme of Delegation set out under Part 4 of this Constitution].
- 8.14 Disposals of other assets with a value of or above the Key Decision Financial Threshold shall be approved by the Leader and Cabinet.
- 8.15 Records of disposals must be retained in accordance with the Council's records retention policy.

Reports for Disposals

- 8.16 No land or property shall be disposed of by the Council unless the body or individual responsible for approving of the disposal has been provided with a report which includes the following information:
 - 8.16.1 A complete description of all the land and/or property to be included in the disposal;
 - 8.16.2 Confirmation from the Monitoring Officer that the title of the land and/or property is owned by the Council (or in the case of a licence, that the licence is still extant and capable of being subject to a disposal);
 - 8.16.3 The reason for the disposal and any restrictions which the reason may impose upon the disposal;

- 8.16.4 A report on any information which is held by the Council on the previous use of the land which may affect its value (e.g. if land is / may be contaminated);
- 8.16.5 The estimated value of the land and/or property;
- 8.16.6 Evidence of appropriate consultation (including with relevant Ward Councillors);
- 8.16.7 Recommendations on the following:
 - (a) Issues which need to be resolved before the marketing of the land and/or property can commence;
 - (b) The preferred method of disposal (i.e., sale by auction, sale by informal tender / expression of interest, sale by formal tender, or sale by private treaty);
 - (c) The title to be transferred;
 - (d) The steps which need to be undertaken to maximise the value of the asset prior to disposal (e.g. planning applications);
 - (e) The minimum price that the Council is prepared to receive together with an asking price.

The Acquisition of Land

- 8.17 The Council may acquire land inside or outside of the Council's area for money or money's worth, as a purchaser by:
 - 8.17.1 Agreement for the purposes of discharging any of the Council's functions or for the benefit, improvement or development of the Council's area; or,
 - 8.17.2 By compulsory purchase where the Council is authorised by legislation to do so, and in accordance with the relevant statutory requirements.
- 8.18 The Council may purchase land on behalf of one or more other authorities acting together and under arrangements for the acquisition, including in relation to the use and occupation of the land.
- 8.19 The Council may acquire land for any statutory purpose even if the land is not immediately required for that purpose, and until the land is required for that purpose, it may be used for the purpose of any of the Council's functions.

Reports for Acquisition

- 8.20 No land or property shall be acquired by the Council unless the body or individual responsible for approving of the acquisition has been provided with a report which includes the following information:
 - 8.20.1 A complete description of the land or property that is being considered for purchase;
 - 8.20.2 Evidence that the seller of the land or property is its legal owner, or otherwise entitled / has the owner's consent to make the disposal;
 - 8.20.3 A full business case or similar report detailing the reasons for the purchase;

- 8.20.4 Any information that may affect the value of the land or property, including structural and environmental reports;
 - 8.20.5 The proposed purchase price or rental value together with evidence of the prices for similar land or properties in the location;
 - 8.20.6 Evidence of appropriate consultation (including with relevant Ward Councillors);
 - 8.20.7 The terms and conditions to which the land or property and its disposal is subject.
- 8.21 The information detailed and all of supporting evidence must be retained for twelve years after the acquisition has been completed.

Valuations

- 8.22 All valuations undertaken in respect of the disposal or acquisition of land or buildings shall be carried out by a qualified member of the Royal Institute of Chartered Surveyors (RICS) with 'Registered Valuer' status.
- 8.23 Land or property with value of or above the Key Decision Financial Threshold, or high profile land or property an external franking "Red Book" valuation (the RICS Valuation Global Standard) must be obtained from a qualified member of RICS.
- 8.24 Valuations should be based on existing and alternative uses for the land or buildings to ascertain the most valuable use within planning parameters.

Due Diligence

- 8.25 All prospective purchasers of Council land and buildings are required to undertake and satisfy the Council's due diligence procedures prior to any disposal.
- 8.26 The approval of any due diligence checks shall be the responsibility of an Officer with the appropriate delegated authority under the Scheme of Delegation to Officers. The Officer shall consult with such other Officers as may be required or they deem appropriate.

Land Registry

- 8.27 All land or building disposals and acquisitions must be registered with the Land Registry as required.