

**LICHFIELD DISTRICT COUNCIL**



**DRAFT May 2018**

# CONSTITUTION OF THE COUNCIL

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# **PART 1**

## **SUMMARY AND EXPLANATION**

*May 2018*

## **THE COUNCIL'S CONSTITUTION**

Lichfield District Council has a constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these are efficient, transparent and accountable to local people. Some of these processes are required by the law. Others are based on choices made by the Council.

The Constitution is divided into 16 articles which set out the basic rules governing the Council's business.

More detailed procedures and codes of practice are provided in separate rules and protocols in Part 4.

### **WHAT'S IN THE CONSTITUTION?**

Article 1 of the Constitution commits the Council to managing its affairs in the best interests of its community. Articles 2 – 16 explain the rights of residents and how the key parts of the Council operate. These are:

- Councillors (Article 2);
- Residents and the Council (Article 3);
- The Council (Article 4);
- Chairing the Council (Article 5);
- Overview and Scrutiny Committee (Article 6);
- The Cabinet (Article 7);
- Planning and other committees (Article 8);
- Panels and Forums (Article 9);
- The Audit and Member Standards Committee (Article 10);
- Joint arrangements (Article 11);
- Officers (Article 12);
- Decision making (Article 13);
- Finance, Contracts and Legal Matters (Article 14);
- Review and revision of the Constitution (Article 15);
- Suspension, interpretation and publication of the Constitution (Article 16).

## HOW THE COUNCIL OPERATES

The Council comprises 47 councillors (sometimes referred to as Members) elected every four years. Councillors are democratically accountable to residents of their ward. The overriding duty of councillors is to the whole community, but they have a special duty to their constituents, including those who did not vote for them.

An up to date list of Councillors can be viewed on the Council's website (<http://www.lichfielddc.gov.uk/>) and at the Council Offices, Lichfield. The last whole Council election was held in May 2015.

All Councillors meet together as the Council. Meetings of the Council are normally open to the public. Here Councillors decide the Council's overall policies and set the budget each year. The Council is also responsible for appointing the Leader of the Council who then appoints an Executive (together formally entitled "the Cabinet") and for appointing Committees, some of which are responsible for overseeing and reviewing the decisions of the Cabinet, (Scrutiny Committees) while others discharge regulatory responsibilities or other functions which by law may not be discharged by the Cabinet, for example planning and licensing.

The Council also deals with other matters including those reserved to it by Law, all matters dealt with by the Council, as a whole are listed in Article 4.

The Leader of the Council determines the size of and appoints between 2 and 9 members of the Council to the Cabinet. These members are known as Cabinet Members. The Leader also allocates areas of responsibility to members of the Cabinet and may remove them from the Cabinet at any time.

The Leader is required to appoint one of the members of the Cabinet to be his or her deputy.

Councillors have to agree to follow a Code of Conduct to ensure high standards in the way they undertake their duties.

The Council has adopted the International Holocaust Remembrance Alliance's (IHRA) working definition of anti-Semitism. It states:

Anti-Semitism is a certain perception of Jews, which may be expressed as hatred toward Jews. Rhetorical and physical manifestations of anti-Semitism are directed toward Jewish or non-Jewish individuals and/or their property, toward Jewish community institutions and religious facilities.

## **HOW DECISIONS ARE MADE**

The Leader of the Council ("the Leader") is responsible for the discharge of executive functions. The Leader may delegate some or all of those functions to members of the Cabinet and to others.

Meetings of the Cabinet will generally be open for the public to attend except where personal or confidential matters are being discussed. The Cabinet has to make decisions which are in line with the Council's overall policies and budget. If it wishes to make a decision which is outside the budget or policy framework, this must be referred to the Council as a whole to decide. Further details on the role of the Cabinet can be found in Part 2 Article 7 of this Constitution. Details of the areas of responsibilities held by the Cabinet Members and the powers and duties of the Committees/Sub-Committees can be found in Part 3 of this Constitution.

## **OVERVIEW AND SCRUTINY**

The Council appoints a Strategic Overview and Scrutiny Committee and three further Overview and Scrutiny Committees to support the work of the Cabinet and the Council as a whole.

These Committees carry out the scrutiny function on behalf of the Council; full details can be found in Part 2 Article 6.

They allow a wider involvement in Council business by involving non-councillors from the wider public sector, voluntary and community groups to help them in their work. They may make reports and recommendations to the Cabinet and the Council as a whole on its policies, budget and service delivery.

## **PLANNING AND OTHER COMMITTEES**

The Council has appointed a Planning Committee and a Regulatory and Licensing Committee to deal with matters mainly relating to applications from individuals for consents, approvals and permissions from the Council and a number of other similar functions.

It has also appointed an Audit & Member Standards Committee to deal with internal and external audit matters and matters relating to the Code of Conduct for Members and various governance related issues. Full details can be found in Part 2 of this Constitution.

## **THE COUNCIL'S STAFF**

The Council has people working for it (referred to as 'officers') to give advice, implement decisions and manage the day-to-day delivery of its services. Some officers have a specific duty to ensure that the Council acts within the law and uses its resources wisely. The Council's most senior member of staff is the Chief Executive. A protocol (to be found in Part 5) governs the relationship between employees and Members. A chart setting out the responsibilities of the cabinet members and senior officers can be seen [here](#).

## **WORKING IN PARTNERSHIP**

The Council works in partnership with other organisations to provide seamless, high quality services to its residents and businesses. Further details of the formal partnership arrangements can be found at Part 2 Article 11 of this Constitution.

## **RESIDENTS' RIGHTS**

Residents have a number of rights in their dealings with the Council. These are set out in more detail in Part 2 Article 3 of this Constitution. Some of these are legal rights, whilst others depend on the Council's own processes. The local Citizens' Advice Bureau can advise on an individual's legal rights. Where members of the public use specific council services, they may have additional rights. These are not covered in this Constitution.

Residents have the right to:

- vote at local elections if they are registered;
- contact their local councillor about any matters of concern to them;
- obtain a copy of this Constitution;
- attend meetings of the Council and its committees except where, for example, personal or confidential matters are being discussed;
- petition to request a referendum on a mayoral form of executive;
- attend meetings of the Cabinet (except where, for example, personal or confidential matters are being discussed);
- see reports and background papers, and any record of decisions made by the Council and the Cabinet subject to safeguards concerning sensitive matters;
- complain to the Council about any matter for which the Council is responsible. The Council has a formal complaints procedure to assist someone to do this – a leaflet explaining this procedure is available from the Council Offices, details of the procedure can be found on the Council's website;
- complain to the Ombudsman if they think the Council has not followed its procedures properly. (However, they should only do this after using the Council's own complaints process);
- complain to the Monitoring Officer if they have evidence which they think shows that a Councillor has not followed the Council's Code of Conduct for Members;
- inspect the Council's accounts and make their views known to the external auditor;
- obtain names and addresses and the political groups of Councillors.



The Council welcomes participation by members of the public in its work.

Copies of documents available to the public are normally deposited at the Council Offices and published on the Council's website. The website also includes the Forward Plan, agendas, reports, decision notices and minutes of the Council, the Cabinet, Cabinet Members, Committees and Sub-Committees. Major Policy Documents are also made available on the website ([www.lichfielddc.gov.uk](http://www.lichfielddc.gov.uk)).

### **DIAGRAM OF THE STRUCTURE OF THE COUNCIL**

The structure is set out in the diagram below. The structure has 7 main elements.

The Council (all 47 Councillors)

The Cabinet – the Leader of the Council plus 5 Cabinet members appointed by the Leader of the Council, one of whom is designated as Deputy Leader of the Council.

Planning Committee (15 Councillors)

Regulatory and Licensing Committee (13 Councillors)

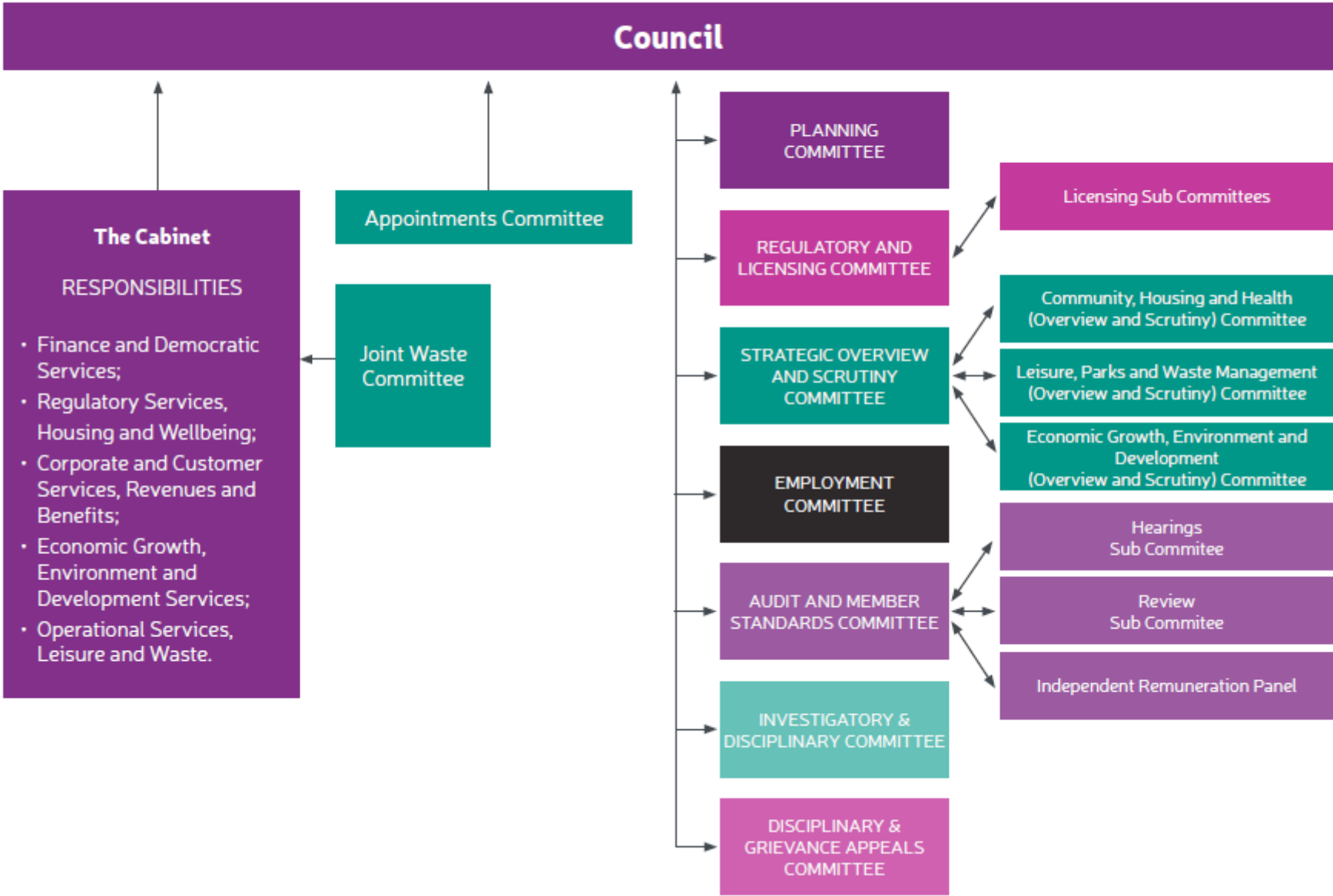
Audit & Member Standards Committee (9 Councillors)

Strategic Overview & Scrutiny Committee (between 9 and 13 Councillors – who are not members of the Cabinet); Economic Growth, Environment & Development (Overview & Scrutiny) Committee, Community, Housing and Health (Overview & Scrutiny) Committee, Leisure, Parks & Waste Management (Overview & Scrutiny) Committee (each consisting of between 9 and 13 Councillors)

Employment Committee (10 Councillors)

(See Diagram overleaf)

# Diagram of the Structure of the Council



## PART 2

### ARTICLES OF THE CONSTITUTION

<b>Article 1</b>	<b>The Constitution</b>	<b>1</b>
<b>Article 2</b>	<b>Councillors</b>	<b>2-3</b>
<b>Article 3</b>	<b>Residents and the Council</b>	<b>4-5</b>
<b>Article 4</b>	<b>The Council</b>	<b>6-10</b>
<b>Article 5</b>	<b>Chairing the Council</b>	<b>11</b>
<b>Article 6</b>	<b>Overview and Scrutiny Committees</b>	<b>12-15</b>
<b>Article 7</b>	<b>The Cabinet</b>	<b>16-19</b>
<b>Article 8</b>	<b>Planning and other Committees</b>	<b>20-23</b>
<b>Article 9</b>	<b>Panels and Forums</b>	<b>24-25</b>
<b>Article 10</b>	<b>The Audit and Member Standards Committee</b>	<b>26-27</b>
<b>Article 11</b>	<b>Joint Arrangements</b>	<b>28-30</b>
<b>Article 12</b>	<b>Officers</b>	<b>31-34</b>
<b>Article 13</b>	<b>Decision Making</b>	<b>35-36</b>
<b>Article 14</b>	<b>Finance, Contracts and Legal Matters</b>	<b>37-38</b>
<b>Article 15</b>	<b>Review and Revision of the Constitution</b>	<b>39-40</b>
<b>Article 16</b>	<b>Suspension, Interpretation and Publication of the Constitution</b>	<b>41</b>
<b>Schedule 1</b>	<b>Description of Executive Arrangements</b>	<b>42</b>

## **1.0 ARTICLE 1 – THE CONSTITUTION**

### **1.1 Powers of the Council**

The Council will exercise all its powers and duties in accordance with the law and this Constitution. A description of the executive arrangements of the Council is set out at Schedule 1 to this Part.

### **1.2 The Constitution**

This Constitution is the Constitution of Lichfield District Council.

The purpose of the Constitution is to:

- (i) enable the Council to provide clear leadership to the community in partnership with residents, businesses and other organisations;
- (ii) support the active involvement of members of the public in the process of local authority decision-making;
- (iii) help councillors represent their Constituents more effectively;
- (iv) enable decisions to be taken efficiently and effectively;
- (v) create an effective means of holding decision-makers to public account;
- (vi) ensure that no one will review or scrutinise a decision in which they were directly involved;
- (vii) ensure that those responsible for decision making are clearly identifiable to local people and that they explain the reasons for decisions; and
- (viii) provide a means of improving the delivery of services to the community.

### **1.3 Interpretation and Review of the Constitution**

Where the Constitution permits the Council to choose between different courses of action, the Council will always choose that option which it thinks is closest to the purposes stated above.

The Council will monitor and evaluate the operation of the Constitution as set out in Article 15.

## 2.0 ARTICLE 2 – COUNCILLORS

### 2.1 Composition and eligibility

**Composition** The Council comprises 47 councillors. The District is divided into 22 wards. Each ward elects between 1 and 3 councillors as shown below:-

<u>Ward</u>	<u>No. of Councillors Elected</u>	<u>Ward</u>	<u>No. of Councillors Elected</u>
ALREWAS & FRADLEY	3	HAMMERWICH AND WALL	2
ARMITAGE WITH HANDSACRE (INCLUDING KINGS BROMLEY)	3	HIGHFIELD	2
BOLEY PARK	2	LEOMANSLEY	3
BONEY HAY & CENTRAL	3	LITTLE ASTON AND STONNALL	2
BOURNE VALE	1	LONGDON	1
CHADSMEAD	2	MEASE VALLEY	1
CHASE TERRACE	2	SHENSTONE	1
CHASETOWN	2	ST JOHN'S	3
COLTON AND THE RIDWARES	1	STOWE	3
CUDBOROUGH	2	SUMMERFIELD AND ALL SAINTS	3
FAZELEY	2	WHITTINGTON AND STREETHAY	3

**Eligibility** Only registered voters of the district; those living or working in the district, or those who have a material interest in land within the district (eg. as owner or tenant) will be eligible to stand to hold the office of Councillor. More information can be found at [Electoral Commission](#).

### 2.2 Election and terms of councillors

The regular election of councillors will be held on the first Thursday in May every four years, the next election being in 2019. The terms of office of councillors will start on

the fourth day after being elected and will finish on the fourth day after the date of the next regular election.

### **2.3 Roles and functions of all councillors**

All councillors will:

- (i) collectively be the ultimate policy-makers and carry out a number of strategic and corporate functions;
- (ii) contribute to the good governance of the area and actively encourage community participation and citizen involvement in decision making;
- (iii) effectively represent the interest of their ward and of individual constituents;
- (iv) respond to constituent's enquiries and representations, fairly and impartially;
- (v) participate in the governance and strategic leadership of the Council;
- (vi) be available to represent the Council on other bodies; and
- (vii) maintain the highest standards of conduct and ethics.

### **2.4 Rights and duties**

- (i) Councillors will have the right to access documents, information, land and buildings of the Council as necessary to enable them to carry out the duties and in accordance with the law;
- (ii) Councillors should consider the situation carefully and, if appropriate, seek guidance from the Monitoring Officer before making public, information which is confidential or exempt without the consent of the Council or divulge information given in confidence to anyone other than a Councillor or officer entitled to know it;
- (iii) For these purposes, "confidential" and "exempt" information is defined in the Access to Information Rules in Part 4 of this Constitution.

### **2.5 Conduct**

Councillors will at all times observe the Member's Code of Conduct and the Protocol on Member/Officer Relations set out in Part 5 of this Constitution.

### **2.6 Allowances**

Councillors will be entitled to receive allowances in accordance with the Members' Allowances Scheme set out in Part 6 of this Constitution.

### 3.0 ARTICLE 3 – RESIDENTS AND THE COUNCIL

#### 3.1 Residents' rights

Residents have the following rights. (Their rights to information and to participate are explained in more detail in the Access to Information Rules in Part 4 of this Constitution):

- (a) **Voting and petitions:** Residents on the electoral roll for the District have the right to vote; sign a petition to request a referendum for an elected mayor form of Constitution; or sign any other petition they wish to support;
- (b) **Information:** Residents have the right to:
  - (i) attend meetings of the Council and its committees except where confidential or exempt information is likely to be disclosed and the meeting is therefore held in private;
  - (ii) attend meetings of the Cabinet except where confidential or exempt information is likely to be disclosed, and the meeting is therefore held in private;
  - (iii) see reports and background papers, and any records of decisions made by the Council, the Cabinet, the non-Executive Committees and significant officer decisions except where confidential or exempt information is likely to be disclosed and the meeting/decision is therefore held/made in private; and
  - (iv) inspect the Council's accounts and make their views known to the external auditor (during the specified period).
- (c) **Complaints:** Members of the public have the right to complain to:
  - (i) the Council both generally and using its complaints scheme ([Complaints and Feedback](#));
  - (ii) the ombudsman (normally after using the Council's own complaints scheme) (<http://www.lgo.org.uk/make-a-complaint>);
  - (iii) the Monitoring Officer that a Councillor has breached the Code of Conduct for Members ([Code of Conduct Complaint](#)).

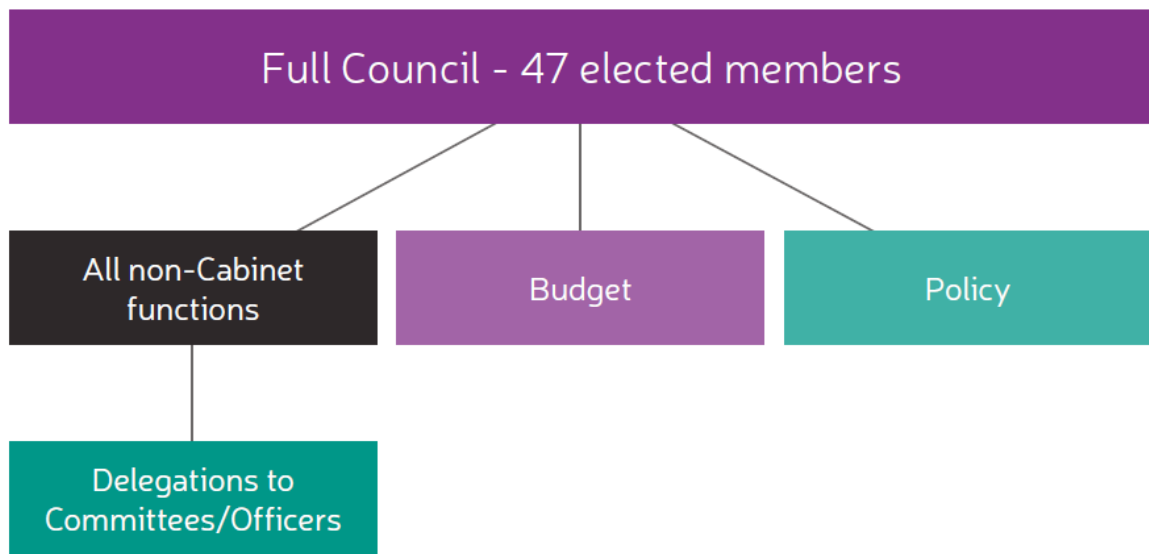
#### 3.2 Members of the public's responsibilities

Members of the public must not be violent, abusive, or threatening to councillors or officers and must not wilfully harm things owned by the Council, councillors, or officers.

A Customer Promise that sets out what members of the public can expect from representatives of the District Council can be found on the Council's website [Customer Promise](#).



## 4.0 ARTICLE 4 – THE COUNCIL



### 4.1 Introduction

The full Council is a formal meeting of all Councillors. The full Council is required by law to take certain important decisions including setting the Council's Budget and Council Tax and approving a number of key plans and strategies, which together form the Policy Framework (listed below). The full Council must also by law take decisions on a number of specific matters.

The full Council provides a central forum for debate and gives the opportunity for Councillors to ask questions about the Council or matters affecting the Council.

### 4.2 The Council

#### The Role

A meeting of the Council is one which all 47 members are entitled to attend and to speak and vote. The Council is responsible for the Budget and Policy Framework of the Council and for all of the functions not the responsibility of the Cabinet; it has a role in holding the Cabinet to account. It will carry out some functions itself but others will be delegated to Committees or named officers.

### 4.3 Policy Framework

The policy framework means the following plans and strategies, all of which are to be adopted by the Council:

Development Plan documents that comprise the Council's Local Development Framework and the revocation or revision of such documents (including any joint documents)

Council's Strategic Plan

Licensing Policy

Gambling Policy

together with any other plans required by law to have the approval of Council and any other plans and strategies which the Council may decide should be adopted by the Council meeting as a matter of local choice.

#### **4.4 Budget**

Responsibility for the budget (sometimes referred to as the Medium Term Financial Strategy or MTFS) includes the allocation of financial resources to different services and projects, proposed contingency funds, setting the council tax and decisions relating to the control of the Council's borrowing requirement, the control of its capital expenditure and the setting of virement limits.

#### **4.5 Functions**

Only the Council will exercise the following functions:

- (a) adopting and changing the Constitution;
- (b) adopting or making material changes to the Council's Policy Framework and Budget;
- (c) adopting or making material changes to the Council's Treasury Management Policies and Investment Strategy;
- (d) subject to the urgency procedure contained in the Access to Information Procedure Rules in Part 4 of this Constitution, making decisions about any matter in the discharge of any function which is covered by the policy framework or the budget where the decision maker or decision making body is minded to make it in a manner which would be contrary to the policy framework or contrary to/not wholly in accordance with the budget i.e. make decisions outside the agreed budget and policy framework;
- (e) determining which Committees, Sub-Committees, working parties, Boards, Panels etc. shall be established as standing committees, the terms of reference of each body, the number of members (voting and non-voting) that each consists of and making the necessary appointments to the bodies;

- (f) taking decisions which are not normally the responsibility of the Leader and which have not been delegated by the Council to Committees, sub-committees, and officers e.g. approval of the Constitution;
- (g) making appointments to committees (including the appointment of Chairmen and Vice Chairmen);
- (h) appointing the Leader of the Council;
- (i) appointing the Chief Executive (who shall be the Head of Paid Service, Electoral Registration Officer, and Returning Officer);
- (j) appointing the Chief Finance Officer for the purposes of Section 151 of the Local Government Act 1972;
- (k) designating the Monitoring Officer for the purposes of Section 5 the Local Government and Housing Act 1989;
- (l) determining the scheme for and amounts of Members' allowances;
- (m) the making of Procedure Rules including those in relation to Contracts and Finance;
- (n) the delegation of non-executive functions to Committees, Sub-Committees and officers, subject to the right to amend the Delegation Scheme from time to time as may be required;
- (o) all other matters which, by law, must be reserved to the decision of the Council as a whole;
- (p) to receive reports from the Cabinet, the Audit and Member Standards Committee and the Regulatory and Licensing Committee;
- (q) the setting of the Council Tax and Other matters reserved to the Council pursuant to Section 67 of the Local Government Finance Act 1992;
- (r) approving the change of name of the District and conferring the title of Honorary Alderman;
- (s) approving the change of name of any Parish;
- (t) approving a petition for a charter to confer borough status;
- (u) appointing to Outside Bodies;
- (v) approving the Council's Petition Scheme;

- (w) to approve bye-laws and local Bills;
- (x) to receive reports from the Cabinet on urgent decisions contrary to the Policy Framework;
- (y) to take all decisions in respect of delegating non-executive functions to another local authority;
- (z) to take all decisions in respect of accepting the delegation of non-Executive functions from another local authority.

#### **4.6 Meetings of the Council**

There are three types of Council meeting:

- 1.1.1 the Annual Meeting;
- 1.1.2 Ordinary Meetings;
- 1.1.3 Extraordinary Meetings

and they will be conducted in accordance with the Council Procedure Rules in Part 4 of this Constitution.

#### **4.7 Responsibility for functions**

The Council will maintain the tables in Part 3 of this Constitution setting out the responsibilities for the Council's functions.

#### **4.8 Quorum**

The quorum for a meeting of the Council shall be one quarter of the number of voting members of the Council.

#### **4.9 Dismissal of Head of Paid Service, Monitoring Officer or s.151 Officer**

The dismissal of the Head of Paid Service, the Monitoring Officer and the s.151 Officer (the statutory officers) is reserved to Council.

Where the circumstances set out in Regulation 6 and Schedule 3 of the Local Authorities (Standing Orders) (England) Regulations 2001 apply any Panel (or Committee or Sub-Committee) advising the Council on dismissal of the 3 posts must appoint at least 2 independent persons to that Panel (Committee or Sub-Committee) – namely independent persons appointed under Section 27(8) of the Localism Act 2011.

The priority for selecting the independent persons is:

- i. Any person who is registered as a local government elector in the register of electors for the area of the authority in accordance with the Representation of the People Acts and has been appointed as an independent person by the Council;
- ii. Any person who is not registered as a local government elector in the register of electors for the area of the authority in accordance with the Representation of the People Acts and has been appointed as an independent person by the Council;
- iii. Any person appointed by another Council as an independent person.

The Panel (Committee or Sub-Committee) advising Council must be appointed at least 20 working days prior to the relevant meeting of the Council.

Where the circumstances set out in Regulation 6 and Schedule 3 of the Local Authorities (Standing Orders) (England) Regulations 2001 apply, before the Council takes a vote on whether or not to dismiss any holder of one of the 3 posts it must take into account any advice, views or recommendations of the Panel, the conclusions of any investigation into the proposed dismissal and any representations from the relevant officer.

Any payments to the independent persons for their assistance to the Council must not exceed the sums payable to that person in their role as an independent person for their work under the Localism Act 2011 (Code of Conduct matters).

## **5.0 ARTICLE 5 – CHAIRING THE COUNCIL**

### **5.1 Role and function of the Chairman**

The Chairman and Vice-Chairman will be elected at the Annual Meeting of the Council. The Chairman of the Council and in his/her absence the Vice-Chairman will have the following roles and functions:

#### **Ceremonial Role**

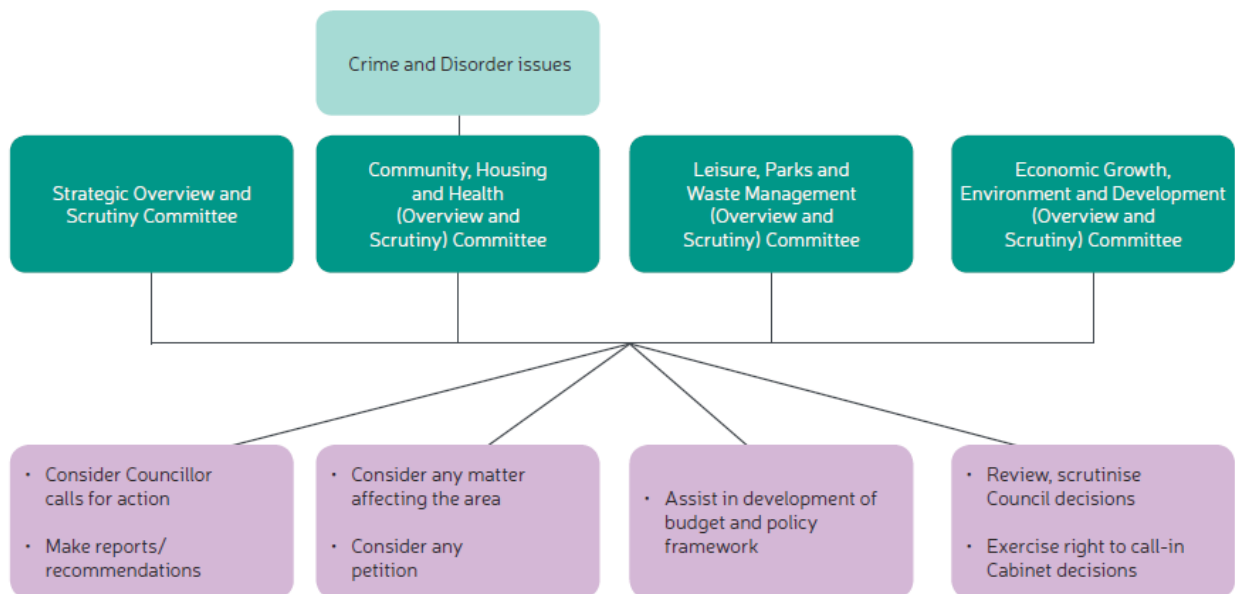
The Chairman of the Council is the civic head of the Council and will represent the Council at such civic and ceremonial functions as the Council determines appropriate.

The Chairman also has a role in promoting public involvement in the Council's activities and to maintain the dignity of the office and at no time to bring discredit to it.

#### **Chairing the Council meeting**

- (i) to uphold and promote the purposes of the Constitution;
- (ii) to preside over meetings of the Council ensuring compliance with the Rules of Procedure in the Constitution so that its business can be carried out efficiently and with regard to the rights of councillors and the interests of the community;
- (iii) to ensure that the Council meeting is a forum for the debate of matters of concern to the local community and the place at which members determine the strategic objectives, policies and programmes to be followed; and
- (iv) The Chairman maintains an apolitical stance, especially when chairing Council meetings.

## 6.0 ARTICLE 6 – OVERVIEW AND SCRUTINY COMMITTEES



**6.1** The Council is required by law to discharge certain overview and scrutiny functions. These functions are an essential component of local democracy. Overview and Scrutiny Committees can contribute to the development of Council policies and also hold the Cabinet to account for its decisions. Another key part of the overview and scrutiny role is to review existing policies, consider proposals for new policies and suggest new policies.

Overview and scrutiny should be carried out in a constructive way and should aim to contribute to the delivery of efficient and effective services that meet the needs and aspirations of local residents.

**6.2** The Council will appoint a Strategic Overview and Scrutiny Committee (which will comprise between 9 and 13 members of the Council except those who are members of the Cabinet), plus Economic Growth, Environment & Development (Overview & Scrutiny) Committee, Community, Housing and Health (Overview & Scrutiny) Committee and Leisure, Parks & Waste Management (Overview & Scrutiny) Committee (each consisting of between 9 and 13 Councillors) to discharge the function; together these Committees will comprise the formal scrutiny arrangements of the Council.

Any member of the Council may refer a matter\* affecting any part of the District to the relevant Overview and Scrutiny Committee ("Councillor Calls for Action").

(\*Defined as a matter which relates to the functions of the Overview and Scrutiny Committee other than a local crime and disorder matter dealt with by the Police and Justice Act 2006 or a matter which the Secretary of State has excluded by Order).

No member of the Council may scrutinise a decision in which they were involved.

The Chairman of the Strategic Overview and Scrutiny Committee may not also chair one of the Overview and Scrutiny Committees.

### 6.3 General Role

The Overview and Scrutiny Committees may :

- (a) review and/or scrutinise decisions made or actions taken in connection with the discharge of any of the Council's functions;
- (b) make reports and/or recommendations to the Council and/or the Cabinet in connection with the discharge of any functions;
- (c) consider any matter affecting the area or its residents;
- (d) exercise the right to call in, for reconsideration, decisions made but not yet implemented by the Cabinet;
- (e) to assist the Council and the Cabinet in the development of its budget and policy framework;
- (f) consider any Councillor Calls for Action requiring scrutiny through the formal scrutiny process.

### 6.4 Specific functions

- (a) **Policy Development and Review.** The Overview and Scrutiny Committees may:
  - (i) assist the Council and the Chief Executive in the development of its budget and policy framework by in-depth analysis of policy issues;
  - (ii) conduct research, community and other consultation in the analysis of policy issues and possible options;
  - (iii) consider and implement mechanisms to encourage and enhance community participation in the development of policy options; and
  - (iv) question members of the Cabinet and officers about their views on issues and proposals affecting the area.
- (b) **Scrutiny.** The Overview and Scrutiny Committees may:



- (i) review and scrutinise decisions made by and performance of any member exercising executive functions and officers both individually and over time;
  - (ii) review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas;
  - (iii) question any member exercising executive functions and officers about their decisions and performance, whether generally in comparison with service plans and targets over a period of time, or in relation to particular decisions, initiatives, or projects;
  - (iv) make recommendations to the Cabinet and/or the Council arising from the outcome of the scrutiny process;
  - (v) question and gather evidence from any person (with their consent);
  - (vi) consider and make recommendations on a Councillor Call for Action;
  - (vii) challenge a decision of the Cabinet or an officer not to classify a certain decision as “key”.
- (c) **Scrutiny of regulatory decisions.** The Overview and Scrutiny Committees may review policies and procedures in connection with any regulatory functions exercised by Planning and Regulatory & Licensing Committees, and Sub-Committees thereof, or by officers, but such a review shall not include scrutiny of any such decision relating to an individual application for determination, consent, licence, permission etc.

## 6.5 Crime and Disorder

The Community, Housing & Health (Overview and Scrutiny) Committee will act as the Council’s Crime and Disorder Committee for the purposes of the Crime and Disorder (Overview and Scrutiny) Regulations. Any member of the Council, whether a member of this Committee or not, may refer a local crime or disorder matter\* to the Committee.

## 6.6 Proceedings of the Overview and Scrutiny Committees

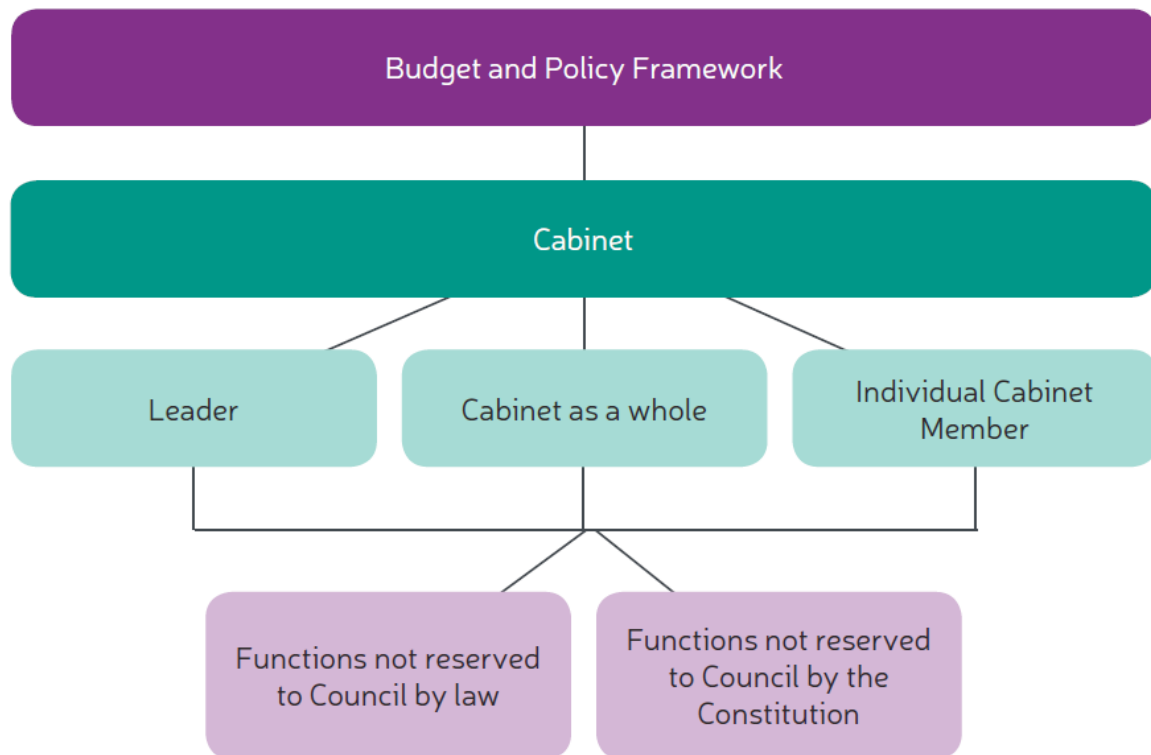
The Overview and Scrutiny Committees will each conduct its proceedings in accordance with the Scrutiny Procedure Rules set out in Part 4 of this Constitution.

## 6.7 Quorum

The quorum for a meeting of the Overview and Scrutiny Committee shall be one quarter of the number of voting members of the Overview and Scrutiny Committee.

- \* Local crime and disorder matter means a matter concerning:
  - a) crime and disorder (including anti-social behaviour or other behaviour adversely affecting the local environment) or
  - b) the misuse of drugs, alcohol or other substances.Where such a matter affects all or part of the electoral area for which the member is elected or any person who lives or works in that area (s.19 Police and Justice Act 2006)

## 7.0 ARTICLE 7 - THE CABINET



### 7.1 Role

The Cabinet and individual cabinet members are appointed by the Leader to carry out all of the Council's functions which are not the responsibility of any other part of the Council, whether by law or under this Constitution. Many decisions will be made by the Leader, Cabinet or individual cabinet members rather than the full Council.

The Leader, Cabinet or individual cabinet members will exercise functions which are not the responsibility of the Council or its Committees by law or under this Constitution and will do so within the policy framework and budget set by the Council in accordance with these arrangements.

The Cabinet has a key role in proposing the budget and policy framework to the Council. The Cabinet and its members will lead the strategic direction and the drive for best value; lead the preparation of the Council's policies and budget; take in year decisions on resources and priorities, and be the focus for forming partnerships with other local public, private and voluntary and community sector organisations to address local needs. The Cabinet will also respond to any recommendations and reports from the Overview and Scrutiny Committees, and the Audit and Member Standards Committee relating to its functions.

The responsibilities of each individual member of the Cabinet are allocated by the Leader of the Council and are set out in Part 3 of this Constitution.

## **7.2 Form and composition**

The Cabinet will consist of the Leader of the Council and between 2 and 9 members of the Council appointed to the Cabinet by the Leader of the Council and known as Cabinet Members; one of whom the Leader of the Council will appoint Deputy Leader of the Council.

## **7.3 Leader of the Council**

The Leader of the Council will be a councillor elected to that position at the first Annual Meeting of Council after a whole Council election until the day of the next post-election Annual Meeting of Council. The Leader of the Council will hold office until or unless:

- (i) he/she resigns from the office; or
- (ii) he/she is no longer a councillor; or
- (iii) he/she is removed from office by resolution of the Council.

The Leader will carry out all of the Council's executive functions which are not the responsibility of any other part of the Council, whether by law or under this Constitution.

## **7.4 Other Cabinet Members**

The Cabinet Members will be councillors appointed to the Cabinet by the Leader of the Council and shall hold office until:

- (i) they are removed from office either collectively or individually by the Leader of the Council;
- (ii) they resign from office;
- (iii) the Leader of the Council ceases to hold office (except that the Deputy Leader of the Council shall act as Leader of the Council until Council appoints another Leader);
- (iv) they are no longer councillors.

The Leader of the Council may change the membership of the Cabinet at any time.

One of the Cabinet Members will be appointed by the Leader of the Council as Deputy Leader of the Council. The Deputy Leader may exercise all of the functions of the Leader of the Council where the position is vacant or where the Leader is absent or is

otherwise unable to act. The Leader of the Council may remove the Deputy Leader from office at any time.

#### **7.5 Responsibility for functions**

- (a) The Monitoring Officer will maintain a list in Part 3 of this Constitution setting out which individual members of the Cabinet, officers, or joint arrangements are responsible for the exercise of particular Cabinet functions; and
- (b) Where a Cabinet Member is unable to act, either through absence or otherwise, the Leader of the Council shall act in his/her place, if the Leader of the Council is unable to act, either through absence or otherwise, the Deputy Leader of the Council shall act in his/her place.

#### **7.6 Delegation of Functions**

The Leader of the Council may exercise executive functions himself/herself or may otherwise make arrangements to delegate responsibility for their discharge as set out below:-

- (a) the Leader of the Council may delegate executive functions to:-
  - (i) the Cabinet as a whole;
  - (ii) a Committee of the Cabinet (comprising Cabinet Members only);
  - (iii) an individual Cabinet Member;
  - (iv) a joint committee;
  - (v) another local authority or the executive of another local authority;
  - (vi) an officer of the Council.

#### **7.7 Proceedings of the Cabinet**

Proceedings of the Cabinet shall take place in accordance with the Cabinet Procedure Rules set out in Part 4 of this Constitution.

#### **7.8 Quorum**

The quorum for a meeting of the Cabinet shall be three voting members of the Cabinet including either the Leader or the Deputy Leader.

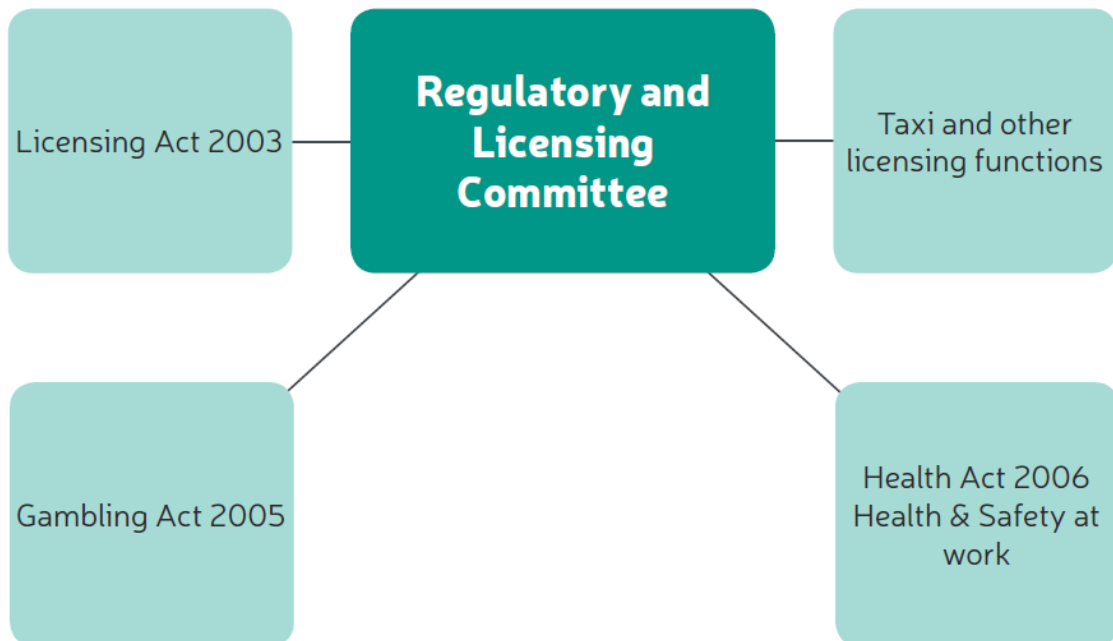
## **7.9 Forward Plan**

A Forward Plan setting out details of key decisions which it is known are due to be taken by the Cabinet over a four month period will be prepared and made available for inspection and published on the website.

The Cabinet will not know about every key decision far enough in advance for it to be included in the Forward Plan. In such circumstances, the Chairman of the Strategic Overview and Scrutiny Committee (or in his/her absence, the Vice-Chairman) will be informed and a copy of the relevant details will be supplied to the members of the Overview and Scrutiny Committee at least three working days before the decision can be taken.

In cases of special urgency where a key decision is required at short notice, a decision can be made and action upon, but only with the agreement of the Chairman of the Strategic Overview and Scrutiny Committee or the Chairman of the Council (or in his/her absence the Vice-Chairman) who must agree that the matter is urgent and cannot reasonably be deferred.

## 8.0 ARTICLE 8 – PLANNING AND OTHER COMMITTEES



### 8.1 Introduction

The Council will appoint committees to undertake a variety of regulatory and other functions that are the responsibility of the Council but which do not have to be carried out by the full Council.

## 8.2 Standing Committees

The Standing Committees are listed below and full details of their functions can be found in Part 3 of the Constitution (Responsibility for Council Functions) :-

- **Planning Committee**

The role of the Planning Committee is to be responsible for determining applications and enforcement decisions of the Council in relation to Town and Country Planning and other related matters as set out in Part 3 of the Constitution.

The Planning Committee shall comprise 15 members of the Council.

The quorum for a meeting of the Planning Committee shall be one quarter of the number of voting members of the Committee; the quorum is therefore 4.

- **Regulatory and Licensing Committee**

The role of the Regulatory and Licensing Committee is to be responsible for determining applications and enforcement decisions of the Council in relation to all licensing matters (other than those which are by law matters for the Cabinet) and other related matters as set out in Part 3 of the Constitution.

The Regulatory and Licensing Committee shall comprise 13 Councillors appointed by the Council at its Annual Meeting. The Committee can exercise certain of its functions (under the Licensing Act 2003, the Gambling Act 2005 and taxi licensing legislation) through Licensing Sub-Committees; which shall comprise of any 3 of the 13 Councillors of the Committee.

The Head of Legal, Property and Democratic Services is responsible for choosing the members of any such sub-committee.

The quorum for a meeting of the Regulatory and Licensing Committee shall be one quarter of the number of voting members of the Committee, quorum is therefore 4.

The quorum for a meeting of a Licensing Sub-Committee shall be 3 voting members of the Licensing and Regulatory Committee.

- **Employment Committee**



The Employment Committee is responsible for setting policies relating to staffing matters, as well as approving the staffing structures of the Council.

The Employment Committee shall comprise of 10 Members.

The quorum of the Committee shall be 3 members.

- **Appointments Committee**

The role of the Appointments Committee is to make recommendations to full Council in respect of appointments to the posts of Chief Executive (Head of Paid Service) and Directors. The Committee also makes recommendations to Council in respect of the appointment of the Monitoring Officer and the officer holding the post as Section 151 officer.

The Appointments Committee shall comprise 4 Cabinet Members plus the Leader of the Principal Opposition Group,

The quorum of the Committee shall be 3 members.

- **Investigatory and Disciplinary Committee**

The role of the Investigatory and Disciplinary Committee is to investigate and make a determination on any disciplinary action (including dismissal) against any officer listed in paragraph 3 of Schedule 1 Part II of the Local Authorities (Standing Orders) (England) Regulations 2001 (members of the Council's Leaderships Team); save that in Article 4.9 dismissal of the Chief Executive, Monitoring Officer and the Chief Finance Officer when acting as Section 151 Officer is reserved to full Council, and the rules specified in Article 4.9 apply.

The Investigatory and Disciplinary Committee shall comprise 7 members of the Council; shall include at least one member of the Cabinet and shall comply with the provisions of the Local Government and Housing Act 1989 re: political balance.

The quorum of the Committee shall be 3 members which shall include at least one member of the Cabinet.

No member of this Committee may also be a member of the Disciplinary and Grievance Appeals Committee.

The Head of Corporate Services is responsible for arranging training for and providing advice to this Committee.

- **Disciplinary and Grievance Appeals Committee**

The role of the Disciplinary and Grievance Appeals Committee is to consider appeals against dismissals and grievances by Chief Officers of the Council and appeals against dismissals (including redundancy) by Heads of Service and the Assistant Chief Executive.

The Disciplinary and Grievance Appeals Committee shall comprise 7 members of the Council; shall include at least one member of the Cabinet and shall comply with the provisions of the Local Government and Housing Act 1989 re: political balance.

The quorum of the Committee shall be 3 members which shall include at least one member of the Cabinet.

No member of this Committee may also be a member of the Investigatory and Disciplinary Committee.

The Head of Corporate Services is responsible for arranging training for and providing advice to this Committee.

### **8.3 Other Committees and Sub-Committees**

The Council will appoint such other committees as it considers appropriate to exercise any of its functions.

Any committee appointed by the Council may at any time appoint additional sub-committees and panels throughout the year. Their terms of reference and delegation of powers to them shall be explicit and within the Appointing Committee's terms of reference.

The Council in the case of Standing Committees or the parent committee in the case of sub-committees or panels will appoint the members to serve on the committee, sub-committee or panel subject to the right of a political group within the meaning of the Local Government and Housing Act 1989 and any regulations made under that Act to make nominations for those appointments at the meeting that makes the appointments before the appointments are made.

### **8.4 Qualifications for sitting on Planning and other Committees**

Only those members who have undertaken appropriate training at the appropriate time may vote on the relevant committees, sub-committees or panels. These requirements apply to the Planning Committee and the Regulatory and Licensing Committee and any sub-committee or panel thereof.

## **9.0 ARTICLE 9 – PANELS AND FORUMS**

**9.1** The Council will appoint the following panels to advise on the discharge of certain functions of the Council as set out in Part 3 of the Constitution (Responsibility for Council Functions)

- **Parish Forum**

### **1. Composition**

Eleven District Councillors and County Councillors and two representatives from each Parish/Town Council.

### **2. Terms of Reference**

- 2.1 The Parish Forum provides an opportunity for representatives of the Parish, District and County Council to meet to discuss issues of mutual concern.
- 2.2 The Parish Forum shall maintain a partnership approach in the interests of the community.
- 2.3 The Parish Forum shall enable the District Council and County Council to receive the views of Parish Councils on issues of mutual interest.
- 2.4 The Parish Forum shall disseminate information from the District Council and the County Council including any strategic or policy issues affecting the community.
- 2.5 The Parish Forum shall enable the District Council to share and consult over future plans and proposals of relevance to the Parishes.
- 2.6 The Parish Forum shall make recommendations to the Cabinet and /or the Council as appropriate.

- **Asset Strategy Group**

### **1. Composition**

- 1.1 The Group shall consist of 4 Members and 7 Officers and be a sub-group of the Cabinet.
- 1.2 The Asset Strategy Group provides a member/officer forum which provides a corporate strategic approach to asset management. The Asset Strategy Group meets at least three times a year.

### **2. Terms of Reference**

- 2.1 To provide strategic direction and co-ordination for the management of the Council's asset portfolio.

- 2.2 To ensure a strategic co-ordinated approach across all services to the planning, implementation, operation, management, monitoring and review of land and property assets supporting the delivery of services.
- 2.3 To ensure that the Council's assets are provided and used to meet the current and future needs of service users;
- 2.4 To ensure that the Council's property portfolio is actively managed to meet the identified required level of financial return and ensure consistency with the Strategic Plan;
- 2.5 To ensure sufficient, effective, economic and sustainable use of assets in delivering services and meeting the Council's objectives;
- 2.6 To consider acquisition and disposal of land and property to meet the Council's changing objectives and to maximise the council's financial returns where appropriate;
- 2.7 To report recommendations for changes to the property portfolio to the Cabinet;
- 2.8 Agreeing revisions to the Asset Management Plan.

- **Lichfield District Board**

1. The Council has also appointed a Lichfield District Board which is a co-operative partnership with the shared purpose of improving the quality of life for all who live in, work in or visit Lichfield District. It is comprised of the key strategic decision makers from the public, voluntary and business sectors who are responsible for promoting the health, wealth and wellbeing of the community.

**9.2** A Member of the Cabinet may also be a Member on a Panel or Forum.

## 10.0 ARTICLE 10 – THE AUDIT AND MEMBER STANDARDS COMMITTEE



### 10.1 Introduction

The Council will establish an Audit and Member Standards Committee. Its role is to promote and maintain high standards of conduct by Councillors, to oversee the following: complaints; the elections process and other related matters as set out in Part 3 of the Constitution. It also undertakes a full audit role as set out in Part 3 of the Constitution.

The Council will appoint members of the Audit and Member Standards Committee annually.

The Chairman of the Audit and Member Standards Committee or of any Sub-Committee of the Committee shall be a voting member of the Audit and Member Standards Committee.

## **10.2 Composition of the Audit and Member Standards Committee**

- (a) The Audit and Member Standards Committee will consist of:
- nine councillors other than the Chairman and the Leader of the Council
  - one independent person who is not a Councillor or officer of the Council or any other body having a Standards Committee for Member Standards matters (an independent person);

### **Independent Person**

The Independent person will not be entitled to vote at meetings.

## **10.3 Quorum**

- (a) The quorum for a meeting of the Audit and Member Standards Committee shall be one quarter of the number of voting members of the Committee, quorum is therefore 3.
- (b) The quorum for a meeting of a sub-committee of the Audit and Member Standards Committee shall be 3 voting members of the sub-committee.

## **10.4 Roles and Function**

The Audit and Member Standards Committee will have the roles and functions as set out in Part 3 of this Constitution.

## **10.5 Assessment Sub-Committee**

The Assessment Sub-Committee shall comprise 5 members of the Audit and Member Standards Committee. The Sub-Committee shall be chaired by a voting member of the Audit and Member Standards Committee and shall conduct hearings into allegations that a Councillor (including a Parish Councillor) has breached the Code of Conduct for Members of the relevant authority in accordance with the arrangements for such hearings approved by Lichfield District Council.

## **10.6 Review Sub-Committee**

The Review Sub-Committee shall comprise 4 members of the Audit and Member Standards Committee. The Sub-Committee shall be chaired by a voting member of the Audit and Member Standards Committee and shall review, if so requested by the person making the allegation, any decision of the Monitoring Officer in consultation with the Independent Person, following an initial assessment and decision not to investigate an allegation of a breach of the Code of Conduct for Members in accordance with the arrangements for such hearings approved by Lichfield District Council.

## **11.0 ARTICLE 11 - JOINT ARRANGEMENTS**

### **11.1 Introduction**

There are a number of circumstances where the Council is entitled to carry out certain functions jointly with another local authority.

### **11.2 Arrangements to promote well being**

The Council, acting through the Cabinet and subject to budget and policy, in order to promote the economic, social, or environmental well-being of its area, may:

- (i) enter into arrangements or agreements with any person or body;
- (ii) co-operate with, or facilitate or co-ordinate the activities of, any person or body; and
- (iii) exercise on behalf of that person or body any functions of that person or body.

### **11.3 Joint arrangements**

- (a) The Council may establish joint arrangements with one or more local authorities and/or their Cabinets to exercise functions which are not executive functions in any of the participating authorities, or to advise the Council. Such arrangements may involve the appointment of a joint committee with these other local authorities.
- (b) The Cabinet may establish joint arrangements with one or more local authorities to exercise functions which are executive functions. Such arrangements may involve the appointment of joint committees with these other local authorities.
- (c) Except as set out below, the Cabinet may only appoint Cabinet members to a joint committee and those appointments need not reflect the political composition of the local authority as a whole.
- (d) The Cabinet may appoint members to a joint committee from outside the Cabinet in the following circumstances:
  - the joint committee has functions for only part of the area of the authority, and that area is smaller than two-fifths of the authority by area or population. In such cases, the Cabinet may appoint to the joint committee any councillor who is a member for a ward which is wholly or partly contained within the area;
  - the joint committee is between the county council and a single district council and relates to functions of the Cabinet of the county council. In such cases, the Cabinet of the county council may appoint to the joint

committee any councillor who is a member for an electoral division which is wholly or partly contained within the area.

- (e) Details of any joint arrangements including any delegations to joint committees will be found in the Council's scheme of delegations in Part 3 of this Constitution.

#### **11.4 Access to information**

- (a) The Access to Information Rules in Part 4 of this Constitution apply.
- (b) If all the members of a joint committee are members of the Cabinet in each of the participating authorities then its access to information regime is the same as that applied to the Cabinet.
- (c) If the joint committee contains members who are not in the Cabinet of any participating authority then the access to information rules in Part VA of the Local Government Act 1972 will apply.

#### **11.5 Delegation to and from other local authorities**

- (a) The Council may delegate non-executive functions to another local authority or, in certain circumstances, the Cabinet of another local authority in accordance with the law and any restrictions elsewhere in this Constitution.
- (b) The Leader may delegate executive functions to another local authority or the Cabinet of another local authority in accordance with the law and any restrictions elsewhere in this Constitution.
- (c) The decision whether or not to accept such a delegation from another local authority shall be reserved to the Council.

#### **11.6 Contracting Out**

The Council may contract out to another body or organisation functions:

- (a) which may be exercised by an officer and which are subject to an order under section 70 of the Deregulation and Contracting Out Act 1994; or
- (b) under contracting arrangements where the contractor acts as the Council's agent under usual contracting principles, provided there is no delegation of the Council's discretionary decision-making.

#### **11.7 Lichfield and Tamworth Joint Waste Committee**

11.7.1 The Committee shall consist of:

- (a) the Council Leader (or nominated deputy) from each Council;



- (b) The Portfolio Holder with responsibility for Waste Manager (or nominated deputy) from each Council;
- (c) The Chief Executive (or nominated deputy) from each Council in an advisory capacity;
- (d) The Chief Officer with responsibility for Waste Management (or nominated deputy) in an advisory capacity.

11.7.2 Each of the Joint Committee Members (or substitute members as appropriate) of the Councils shall have one vote on any issue before the Joint Committee for determination. Decisions shall be made by simple majority.

11.7.3 The quorum for the Joint Committee shall be two Voting Members (one from each Council).

11.7.4 Full details regarding the Joint Committee can be found in the Constitution of the Lichfield and Tamworth Waste Collection Services Joint Committee here (link to document to be included here).

## **11.8 Commercial Arrangements**

11.8.1 The Council may choose to deliver services in different ways or through alternative governance arrangements. Any such changes will be agreed through existing approval mechanisms, and, where required, amendment of the constitution.

## **12.0 ARTICLE 12 – OFFICERS**

### **12.1 General**

The Council may engage such officers as it considers necessary to carry out its functions.

### **12.2 Chief Officers**

The Council will engage persons for the following posts who will be designated Chief Officers

- Chief Executive
- Directors

### **12.3 Head of Paid Service, Monitoring Officer, and Chief Financial Officer**

The Council designates the following posts as shown:

Chief Executive	-	Head of Paid Service
Head of Finance and Procurement	-	Section 151 Officer
Head of Legal, Property and Democratic Services	-	Monitoring Officer

Such posts will have functions described in Articles 12.5 – 12.7 below.

### **12.4 Structure**

The overall structure of the Council showing the senior management and deployment of officers is set out in Part 7 of this Constitution. Further details can be found on the Council's website [Lichfield Leadership](#).

### **12.5 Functions of the Head of Paid Service**

#### **(a) Discharge of Functions by the Council**

The Chief Executive is responsible to the Council for the manner in which the discharge of the Council functions is co-ordinated, the appointment of officers required for the discharge of functions, and the organisation and training of them.

#### **(b) Restrictions on Functions**

The Chief Executive may not be the Monitoring Officer, but may hold the post of Chief Finance Officer, if qualified.

## **12.6 Functions of the Chief Finance Officer**

### **(a) Ensuring Financial Prudence of Decision Making**

After consulting the Head of Paid Service and the Monitoring Officer, the Chief Finance Officer will report to the Council (and to the Cabinet in relation to an executive function) and the Council's external auditor if he/she considers that any proposal, decision or course of action will involve incurring unlawful expenditure or is otherwise unlawful and is likely to cause a loss or deficiency or if the Council is about to enter an item of account unlawfully.

### **(b) Administration of Financial Affairs**

The Chief Finance Officer will have responsibility for:

- the proper administration of financial affairs of the Council under Section 151 of the Local Government Act 1972 and Section 114 of the Local Government Finance Act 1998, and
- conducting a continuous internal audit of the financial affairs of the Council as required by the Accounts and Audit Regulations and for maintaining an adequate and effective system of internal audit as required by those regulations.

### **(c) Providing Advice**

The Chief Finance Officer will, where appropriate in consultation with the Monitoring Officer, provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity, and budget framework issues to all councillors and will support and advise all councillors and officers in their respective roles.

### **(d) Give Financial Information**

The Chief Finance Officer will provide financial information to the media, the public, and the community in accordance with legislation.

### **(e) Restrictions on Post**

The Chief Finance Officer cannot be the Monitoring Officer, but may hold the post of Head of Paid Service.

## **12.7 Functions of the Monitoring Officer**

### **(a) Maintaining the Constitution**

The Monitoring Officer will maintain an up to date version of the Constitution and ensure that it is widely available for consultation by members, officers, and the public.

(b) Ensuring Lawfulness and Fairness of Decision Making

After consulting the Head of Paid Service and Chief Finance Officer, the Monitoring Officer will report to the Council (in relation to a non-executive function) and to the Cabinet in relation to an executive function if he/she considers that any proposal, decision, or omission will give rise to unlawfulness or any decision or omission has given rise to maladministration. Such a report will have the effect of preventing the proposal or decision from being implemented until the report has been considered.

(c) Supporting the Audit and Member Standards Committee

The Monitoring Officer will contribute to the promotion and maintenance of high standards of conduct through provision of support to the Audit and Member Standards Committee.

Notwithstanding any duty of confidentiality, the Monitoring Officer shall be at liberty to disclose any information relating to the Council's affairs, and provide copies of any records or documents belonging to the Council to the Audit and Member Standards Committee, for the purposes of investigation or determination of an allegation that a Councillor has failed to comply with the Code of Conduct for Members.

(d) Receiving Reports

The Monitoring Officer will receive and act on reports made by the Council's Audit and Member Standards Committee.

(e) Conducting Investigations

The Monitoring Officer will conduct investigations into matters as directed by or which fall within the jurisdiction of the Audit and Member Standards Committee and the Monitoring Officer and make reports or recommendations in respect of the same to the Audit and Member Standards Committee, in so doing the Monitoring Officer shall comply with any arrangements for such investigations as may be adopted by the Council.

(f) Proper Officer for Access to Information

The Monitoring Officer will ensure that decisions, together with the reasons for those decisions, and relevant reports and background papers are made publicly available in accordance with legislation.

- (g) Advising whether Cabinet Decisions are within the Budget and Policy Framework.

The Monitoring Officer will advise whether the decisions of the Cabinet are in accordance with the Council's budget and policy framework.

- (h) Providing Advice

The Monitoring Officer will provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors.

- (i) Restrictions on Post

The Monitoring Officer cannot be the Chief Finance Officer or the Head of Paid Service.

#### **12.8 Duty to Provide Sufficient Resources to the Monitoring Officer and Chief Finance Officer**

The Council will provide the Monitoring Officer and the Chief Finance Officer with such office accommodation and other resources as are in their opinion sufficient to allow their duties to be performed.

#### **12.9 Conduct**

Officers will comply with the requirements of the Council's Disciplinary Rules and Procedures relating to conduct, Officers Code of Conduct and the Protocol on Officer/Member Relations set out in Part 5 of this Constitution.

#### **12.10 Employment**

The recruitment selection and dismissal of officers will comply with the employment rules as set out in Part 4 of this Constitution.

## **13.0 ARTICLE 13 - DECISION MAKING**

### **13.1 Responsibility for Decision Making**

The Council will issue and keep up-to-date a record of what part of the Council or individual has responsibility for particular types of decisions or decisions relating to particular areas or functions. This record is set out in Part 3 of this Constitution.

### **13.2 Principles of decision-making**

All decisions of the Council will be made in accordance with the following principles:

- (i) proportionality (i.e. the action must be proportionate to the desired outcome);
- (ii) due consultation and the taking of professional advice;
- (iii) due regard to the Members' Code of Conduct;
- (iv) a presumption in favour of openness;
- (v) clarity of aims and desired outcomes;
- (vi) explaining what options were considered;
- (vii) giving the reasons for the decision and the proper recording of those reasons;
- (viii) consideration to ways in which human rights can be enhanced and protected by the Council's actions.

### **13.3 Types of decision –**

- (a) Decisions reserved to Council - Decisions relating to the functions listed in Article 4 will be made by the Council and not delegated.
- (b) Key decisions:
  - (i) A key decision is defined as a decision likely to result in the Council incurring expenditure which is, or the making of savings which are, significant having regard to the Council's budget for the service or function to which the decision relates, or to be significant in terms of its effects on communities living or working in an area comprising two or more wards in the Council's area. The Council had decided that any decision involving expenditure, income or savings over £75,000 (excluding any decision relating to investment of Council monies as part of Treasury Management Procedures) will be a key decision;

- (ii) A decision taker may only make a key decision in accordance with the requirements of the Cabinet Procedure Rules set out in set out in Part 4 of this Constitution.

#### **13.4 Decision making by the Council**

Subject to Article 13.8, the Council will follow the Council Procedure Rules set out in Part 4 of this Constitution when considering any matter.

#### **13.5 Decision making by the Cabinet**

Subject to Article 13.8, the Cabinet will follow the Cabinet Procedure Rules set out in Part 4 of this Constitution when considering any matter.

#### **13.6 Decision making by the Scrutiny Committees**

The Overview and Scrutiny Committees will follow the Scrutiny Procedure Rules set out in Part 4 of this Constitution when considering any matter.

#### **13.7 Decision making by other committees and sub-committees established by the Council**

Subject to Article 13.8, other Council committees and sub-committees will follow those parts of the Council Procedure Rules set out in Part 4 of this Constitution as apply to them.

#### **13.8 Decision making by Council bodies acting as tribunals**

The Council, a Councillor, or an officer acting as a tribunal or in a quasi-judicial manner or determining/considering (other than for the purposes of giving advice) the civil rights and obligations or the criminal responsibility of any person will follow a proper procedure which accords with the requirements of natural justice and the right to a fair trial contained in Article 6 of the European Convention on Human Rights.

## **14.0 ARTICLE 14 – FINANCE, CONTRACTS AND LEGAL MATTERS**

### **14.1 Financial management**

The management of the Council's financial affairs will be conducted in accordance with the Financial Procedure Rules set out in Part 4 of this Constitution.

### **14.2 Contracts**

Every contract made by the Council will comply with the Contract Procedure Rules set out in Part 4 of this Constitution.

### **14.3 Legal proceedings**

The Chief Executive or the Head of Legal, Property and Democratic Services is, within budgetary provision and the policy framework, authorised to institute, defend, or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the Council or in any case where the Head of Legal, Property and Democratic Services considers that such action is necessary to protect the Council's interests.

The Chief Executive and the Head of Legal, Property and Democratic Services have authority to authorise officers to appear in Court on behalf of the Council.

### **14.4 Authentication of documents**

Where any document is necessary to any legal procedure or proceedings on behalf of the Council, it will be signed by the Chief Executive, Director of Place & Community, Director of Transformation & Resources, Head of Legal, Property & Democratic Services or other person authorised by the Chief Executive, unless any enactment otherwise authorises or requires, or the Council has given requisite authority to some other person.

Any contract with a value exceeding £75,000, entered into on behalf of the Council shall be made in writing. Subject to the Contract Procedure Rules it must be signed by at least two authorised officers of the Council or made under common seal of the Council attested by at least one officer and one Member. Where the contract is less than or equal to £75,000 in value it can be signed by one officer, with requisite authority, or made under common seal of the Council attested by at least one officer and one Member.

In addition to any other person who may be authorised by resolution of the Council, the proper officer for the purposes of authentication of documents under the Local Government Acts shall be:

- (i) The Chief Executive;
- (ii) The Director of Transformation & Resources;



- (iii) The Director of Place & Community;
- (iv) The Head of Legal, Property & Democratic Services;
- (v) Any officer authorised in writing by such Chief Officer.

#### **14.5 Common Seal of the Council**

The Common Seal of the Council will be kept in a safe place in the custody of the Monitoring Officer. A decision of the Council, or of any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision.

The common seal of the Council shall be affixed to a document only on the authority of:-

- (a) a resolution of the Council or Cabinet;
- (b) a resolution of a Committee or Sub-Committee which the Council has empowered to authorise the use of the seal;
- (c) a decision by the Council, or by a Committee, Sub-Committee, Cabinet or Cabinet Member or officer exercising delegated functions, to do anything where a document under the common seal is necessary or desirable as part of the action.

The Common Seal will be affixed to those documents which in the opinion of the Monitoring Officer should be sealed. The affixing of the Common Seal will be attested by the Chief Executive, the Monitoring Officer or other person authorised by the Chief Executive plus one Member.

Any entry of the sealing of every deed or document to which the Common Seal has been affixed shall be made and consecutively numbered in a register provided for the purpose by the person attesting the affixing of the Common Seal.

## **15.0 ARTICLE 15 - REVIEW AND REVISION OF THE CONSTITUTION**

### **15.1 Duty to monitor and review the constitution**

The Monitoring Officer will monitor the operation and effectiveness of the Constitution and review it at least bi-annually to ensure that the aims and principles of the Constitution are given full effect and that the content is up to date.

In undertaking this task the Monitoring Officer may:

- (i) observe meetings of different parts of the member and officer structure;
- (ii) undertake an audit trail of a sample of decisions;
- (iii) record and analyse issues raised with him/her by Councillors, officers, the public and other relevant stakeholders; and
- (iv) compare practices in this authority with those in other comparable authorities, or national examples of best practice.

### **15.2 Changes to the Constitution**

#### **(a) Approval**

Subject to (c) below changes to the constitution will only be approved by the Council and changes will only be approved after consideration of the proposals by the Chief Executive and the Monitoring Officer (and the Chief Finance Officer if the change impacts on his/her responsibilities) except that:

- (i) the Leader of the Council may, at any time, amend the areas of responsibility delegated to members of the Cabinet.
- (ii) the Chief Executive may, at any time, amend the responsibilities of the Leadership Team.

subject to the Leader of the Council and/or the Chief Executive notifying the Monitoring Officer of the changes approved in order that the Constitution of the Council may be amended accordingly.

#### **(b) Change in the form of Governance**

The Council will take reasonable steps to consult with local electors and other interested persons in the area when drawing up proposals to change the form of its executive governance arrangements.

#### **(c) Interpretation and Consequential Changes**

In the event of any issue arising as to the interpretation of the Constitution the matter will be referred to the Chief Executive whose decision in that regard

shall be final. The Chief Executive, in consultation with the Monitoring Officer, shall also be authorised to make minor changes to the Constitution designed to reflect legislative changes; to remove any inconsistency or ambiguity and/or give effect to any decisions of the Council. The Chief Executive in consultation with the Monitoring Officer and the Chief Finance Officer shall also produce guidance and/or protocols to assist in the interpretation of the Constitution.

## **16.0 ARTICLE 16 – SUSPENSION, INTERPRETATION AND PUBLICATION OF THE CONSTITUTION**

### **16.1 Suspension of the Constitution**

- (a) **Limit to suspension** - The Articles of this Constitution may not be suspended. The Rules of Procedure relating to meetings of the Council, the Cabinet, Committees and Sub-committees may be suspended by the Council, the Cabinet, Committees and any Sub-committees to the extent permitted within the Council Procedure Rules and the Cabinet Procedure Rules included in Part 4 and by the law.
- (b) **Procedure to suspend** - A motion to suspend any such rules will not be moved without notice unless at least one half of all councillors is present. The extent and duration of suspension will be proportionate to the result to be achieved, taking account of the purposes of the Constitution set out in Article 1.

### **16.2 Interpretation**

The ruling of the Chairman of Council as to the construction or application of this Constitution or as to any proceedings of the Council shall not be challenged at any meeting of the Council. Such interpretation will have regard to the purposes of this Constitution contained in Article 1.

### **16.3 Publication**

- (a) The Monitoring Officer will make available a copy of this Constitution electronically to each councillor upon delivery to him/her of that individual's declaration of acceptance of office on the councillor first being elected to the Council.
- (b) The Monitoring Officer will ensure that copies of this Constitution are available for inspection at the Council's offices, and can be purchased by members of the local press and the public on payment of a reasonable fee to be determined by the Monitoring Officer.
- (c) The Monitoring Officer will ensure that the Constitution is made available on the Council's website ([Lichfield District Council](#)).

## **Schedule 1: Description of Executive Arrangements**

The following parts of this Constitution constitute the executive arrangements:

1. Article 6 Overview and Scrutiny Committees and the Overview and Scrutiny Procedure Rules;
2. Article 7 The Cabinet and the Cabinet Procedure Rules;
3. Article 11 (Joint arrangements)
4. Article 13 (Decision making) and the Access to Information Procedure Rules;
5. Part 3 (Responsibility for Functions).

## PART 3

### RESPONSIBILITY FOR FUNCTIONS

#### INDEX TO PART 3

#### RESPONSIBILITY FOR FUNCTIONS

#### Section

1 RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS

2 RESPONSIBILITY FOR COUNCIL FUNCTIONS

Council	Appointments Committee
Planning Committee	Disciplinary and Grievance Appeals Committee
Regulatory and Licensing Committee	Investigatory and Disciplinary Committee
Audit and Member Standards Committee	Joint Waste Committee
Employment Committee	Licensing Sub-Committee
Strategic Overview and Scrutiny Committee	Assessment Sub-Committee
Community, Housing and Health (Overview and Scrutiny) Committee	Review Sub-Committee
Leisure, Parks and Waste Management (Overview and Scrutiny) Committee	Economic Growth, Environment and Development (Overview and Scrutiny) Committee

3 RESPONSIBILITY FOR CABINET FUNCTIONS

Cabinet

Leader of the Council

Cabinet Members

Note: The functions and responsibilities shall be construed with reference to the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 and all subsequent amendments to the Regulations (referred to as the Functions Regulations)

**PART 3 – Section 1 - Responsibility for Local Choice Functions**

Function	Decision Making Body	Delegation of Functions
Appeals against disciplinary action against Chief Officers and appeals in respect of dismissals for Heads of Service and the Assistant Chief Executive	Disciplinary and Grievance Appeals Committee	Officers as set out in Part 3
Functions relating to contaminated land under the Environmental Protection Act 1990	Cabinet	Officers as set out in Part 3
Functions relating to the control of pollution or the management of air quality	Cabinet	Officers as set out in Part 3
Service of an abatement notice in respect of a statutory nuisance	Cabinet	Officers as set out in Part 3
Passing of a resolution that Schedule 2 to the Noise and Statutory Nuisance Act 1993 should apply in the Authority's area	Cabinet	None
Inspection of the Authority's area to detect statutory nuisances	Cabinet	Officers as set out in Part 3
Investigation of complaints as to the existence of statutory nuisances	Cabinet	Officers as set out in Part 3
Obtaining of information under Section 330 of the Town and Country Planning Act 1990 as to interests in land	Cabinet	Officers as set out in Part 3
Obtaining of information under Section 16 of the Local Government (Miscellaneous Provisions) Act 1976 as to interests in land	Cabinet	Officers as set out in Part 3
Appointments to Outside Bodies in relation to Executive functions and revocation of such appointments	Council	
The making of agreements with other local authorities for the placing of staff at the disposal of those authorities.	Cabinet	Officers as set out in Part 3

**PART 3 – Section 2 – Responsibility for Council Functions**

Council/ Committee/Panel	Functions	Delegation of Functions
Council	Making and amending Standing Orders, Contract and Financial Procedure Rules	None
	Appointment of Staff	Appointment of Chief Executive is reserved to full Council. Appointment of Directors – delegated to Appointments Committee Appointment of other staff – delegated to officers as set out in Part 3.
	Designation of officers as the Monitoring Officer and Section 151 Officer	None
	Determining the scheme for Members allowances	None
	Decisions on delegation of non-executive functions to other local authorities	None
	Appointment of the Proper Officer for Public Health	None
	Making appointments to outside bodies in relation to non-Executive functions	None
Planning Committee	Functions relating to town and country planning and development control as specified in Schedule 1 Part A to the Functions Regulations.	Officers as set out in Part 3
	Imposing such conditions, limitations, restrictions or other terms as it considers appropriate on any approval, consent, licence, permission or registration granted in the exercise of the functions set out above.	Officers as set out in Part 3
	In respect of the functions set out above, determining whether and in what manner to enforce any failure to comply with any approval, consent, licence, permission or registration granted by the Committee (or by an officer acting under delegated powers) or any failure to comply with a condition, limitation or terms to which any such approval, consent, licence, permission or registration is subject	Officers as set out in Part 3
	Powers relating to the protection of important hedgerows and the preservation of trees	Officers as set out in Part 3
	Functions relating to high hedges under the Anti-social Behaviour Act 2003	Officers as set out in Part 3
	Local List of Building of Architectural or Historical Interest	None



Council/ Committee/Panel	Functions	Delegation of Functions
Employment Committee	Responsible for making appointments to all posts below Chief Officer which are not within the remit of the Appointments Sub-Committee, including deciding the salary and the terms and conditions of employment of such.	Chief Executive and officers in Part 3
	Determining the terms and conditions of employment of employees including Policies relating to employment including code of conduct, disciplinary, attendance management etc. Approving revised structures within a department for which budget provision has been made but which fall outside officer delegations, provided that any restructuring across departments shall be referred to Council for approval.	Officers as set out in Part 3
	Flexible retirement/redundancy	Chief Executive/Head of Corporate Services
	Approval and monitoring of health, safety and welfare policy	Policy approved by Committee Protocols, procedures and guidance delegated to officers?
	Functions relating to Local Government Pensions etc., for all employees under Regulations made under Sections 7, 12 or 24 of the Superannuation Act 1972.	Chief Finance Officer
	Pensions	Chief Executive/Head of Corporate Services
	Authorisation of Officers	Chief Executive
	Proper Officer appointment	Chief Executive
	Power to pay appropriate expenses duly incurred by the Returning Officer in the organisation of all elections, polls, referenda in accordance with nationally determined fees and charges or in accordance with rates of pay agreed by Staffordshire County Council	Chief Executive
Council/ Committee/Panel	Functions	Delegation of Functions
Regulatory and Licensing Committee/ Licensing Sub- Committee	Functions relating to the licensing and registration of taxis, gaming, entertainment, food, licensing activities under the Licensing Act 2003, and miscellaneous matters as set out in Part B of Schedule 1 to the Functions Regulations	Officers as set out in Part 3 Licensing Act 2003 – see Appendix A Gambling Act 2005 – see Appendix B
	Functions relating to health and safety under any “relevant statutory provisions” within the meaning of Part I of the Health and Safety at Work etc., Act 1974, to the	Officers as set out in Part 3

	extent that these functions are discharged otherwise than in the Council's capacity as employer.	
	Health Act 2006 functions	Officers as set out in Part 3
	Determining the amount of any charge to be made for any application for approval, consent, licence, permit or registration within the terms of reference of the Committee.	Officers as set out in Part 3
	In relation to the functions set out above, determining whether and in what manner to enforce any failure to comply with any approval, licence, permission or registration granted by the Committee (or an officer acting under delegated powers) or any failure to comply with a condition, limitation or term to which any such approval, consent, licence, permission or registration is subject.	Officers as set out in Part 3
	Functions relating to public rights of way – Part D Functions Regulations	Officers as set out in Part 3
	To carry out all functions within Schedule 1 to the Functions Regulations if not specified elsewhere in the Constitution	None
	To exercise the powers and duties of the Council pursuant to the Clean Neighbourhoods and Environment Act 2005 or subsequent legislation which may not be the responsibility of a Member of the Cabinet including the institution of legal proceedings	Officers as set out in Part 3
	To consider and determine appeals in respect of: traffic orders, hackney carriage and private hire licences, or any other licence, permit or consent within the remit of the Regulatory and Licencing Committee.	Licensing Sub-Committee
	Functions relating to elections and parishes – Functions Regulations	Chief Executive
<b>Council/ Committee/Panel</b>	<b>Functions</b>	
Overview and Scrutiny Committees	As set out in Part 2 Article 6 of the Constitution	
Audit and Member Standards Committee	<p><b>Audit Activity:</b> to consider internal and external audit plans and make recommendations thereon; to consider any reports relating to the management or arrangements for the provision of the internal audit service and make recommendations thereon; to comment on the scope and depth of internal and external audit work and to ensure it gives value for money; to consider a quarterly summary of internal audit work, recommendations made and performance and make recommendations thereon; to consider the annual internal audit report and opinion and a summary of audit activity and the level of assurance it can give over the Council's corporate governance arrangements and make recommendations thereon; to consider external audit reports and make recommendations thereon; to approve arrangements for appointment of the Council's External Auditor; to commission work from internal and external audit; to monitor the effectiveness of the control environment including the arrangements for ensuring value for money and for managing the authority's exposure to the risks of</p>	

	<p>fraud and corruption. In respect of this, to consider the external audit opinion on value for money;; to review the authority’s fraud risk profile; to review the annual counter fraud plan of activity; and to monitor performance of the counter-fraud function.</p>	
	<p><b>Regulatory Framework:</b> to maintain an overview of the Council’s Constitution in respect of contract procedures, financial regulations and to review the adequacy of policies and practices to comply with statutory requirements and guidance; to review the Council’s Annual Governance Statement and to bring any matters to concern to the attention of the Council; to review the Treasury Management Strategy; to review any issues referred to it by the Chief Executive, Chief Finance Officer, Monitoring Officer in connection with their statutory duties or by any other Council body; to monitor the effective development and operation of risk management and corporate governance and make recommendations thereon; to review and recommend appropriate development of policies on raising concerns at work and the anti-fraud and anti-corruption strategy; to monitor and advise the Council on its Confidential Report Code “Whistleblowing Policy”; to consider the Council’s compliance with its own and other published standards and controls including its corporate governance arrangements; duty to make arrangements for proper administration of financial affairs etc as required by Section 151 Local Government Act 1972 (or subsequent legislation); duty to approved authority’s statement of accounts, income and expenditure and balance sheet or record of payments and receipts (as the case may be) as required by the Accounts and Audit Regulations.</p>	
	<p><b>Accounts:</b> to review the annual statement of accounts – specifically to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council; to consider the external auditor’s report to those charged with governance on issues arising from the audit of the accounts.</p>	
	<p>To promote and maintain high standards of conduct by Councillors (including Parish Councillors)</p>	
	<p>To advise the Council and the Parish Councils on the adoption or revision of their Member Code of Conduct</p>	
	<p>To advise the Council and the Parish Council on the operation of the Member Code of Conduct</p>	<p>Monitoring Officer</p>
	<p>To monitor that such Member Codes of Conduct have been adopted by the Council and the Parish Councils and that Members of the Councils concerned have signed to accept the provisions of the relevant Code</p>	<p>Monitoring Officer</p>
	<p>To ensure that arrangements are made for advice to be available to assist members to comply with the adopted Codes of Conduct</p>	<p>Monitoring Officer</p>
	<p>To ensure that arrangements are put in place for keeping and updating the Registers of Members’ Interests for the Council and for the Parish Councils</p>	<p>Monitoring Officer</p>
	<p>Advising on training for Councillors, Parish Councillors and co-opted members on matters relating to the Code of Conduct</p>	<p>Monitoring Officer</p>
	<p>Functions relating to standards of conduct of councillors under any relevant statutory provision</p>	
	<p>To consider and determine allegations the Councillors, including Parish Councillors have breached the Code of Conduct of the relevant authority in accordance with the</p>	<p>Hearings Sub-Committee Review Sub-Committee Monitoring Officer for initial assessment of</p>

	arrangements approved by the principal Council	complaints
	The determination of applications from Lichfield District Councillors for dispensations in accordance with statutory provision	To Monitoring Officer as set out in Part 3
	To be the Standards Committee for the Parish Councils in the District of Lichfield	
	To monitor and to advise the Council on its Regulation of Investigatory Powers Act (RIPA) Policy	
	Power to make payments or provide other remedy maladministration	Delegated to officers as set out in Part 3
	Receive report from Independent Remuneration Panel	None
	The Council's formal complaints procedure	Delegations to officers as set out in Part 3
<b>Council/ Committee/Panel</b>	<b>Functions</b>	
Independent Remuneration Panel	To recommend to the Audit and Member Standards Committee a scheme for the payment of allowances to members of Lichfield Council and to constituent Parish Councils.	
Appointments Committee	To make recommendations to Council as to the appointment of the Chief Executive, Monitoring Officer and Officer holding the post as section 151 officer and to make appointments in so far as the Head of Paid Service is not authorised to do so by virtue of the Local Authorities (Standing Orders) (England) Regulations 2001.  The appointment of Chief Officers, excluding the Head of Paid Service.	
Investigatory and Disciplinary Committee	To investigate and make a determination on any disciplinary action (including dismissal) against any member of the Council's Leadership Team; excluding decisions on dismissal regarding the Chief Executive, Monitoring Officer and the Section 151 Officer.	
Disciplinary and Grievance Appeals Committee	To consider appeals against dismissals and grievances by Chief Officers of the Council and appeals against dismissals (including redundancy) by Heads of Service and the Assistant Chief Executive.	
Joint Waste Committee	To oversee the operation of the Lichfield and Tamworth Waste Collection Service reporting to Cabinet as necessary (see Part 2 – 11.7)	

## Appendix A

**Licensing Act 2003** – all functions under the Act and subsequent legislation – excluding those matters which fall within the authority of the Cabinet or any member thereof

Function	Delegation to Sub-Committee	Delegation to Officers
Determination of the following in accordance with the Council's Licensing Policy:		
Application for Personal Licence	If a police objection received	If no objection made
Application for Personal Licence with unspent convictions	All cases	
Minor variation to a premises/club licence		All cases
Application for premises licence/club premises certificate	If a relevant representation made	If no relevant representation made
Application for provisional statement	If a relevant representation made	If no relevant representation made
Application to vary premises licence/club premises certificate (other than minor variation)	If a relevant representation made	If no relevant representation made
Application to vary designated premises supervisor	If a police objection received	All other cases
Request to be removed as designated premises supervisor		All cases
Application for transfer of premises licence	If a police objection received	All other cases
Application for interim authorities	If a police objection received	All other cases
Application to review premises licence/club premises certificate	All cases	
Decision on whether an application, representation or complaint is irrelevant, frivolous or vexatious etc		All cases
Decision to make representations when the local authority is a consultee and not the relevant authority considering the application	All cases	
Responding to a temporary event notice		All cases
Determination of a police objection to a temporary event notice	All cases	
To make representations on applications received by the Council pursuant to the Licensing Act 2003 (or subsequent legislation)		All cases

## Appendix B

**Gambling Act 2005**

Function	Delegation to Sub-Committee	Delegation to Officers
All functions excluding the passing of a "no casinos" resolution and the production of the three year gambling policy		
Making recommendations to Council regarding the adoption of (1) a "no casinos" resolution or (2) the approval/adoption of the three year gambling policy		
Determination of an application for a premises licence in respect of which representations have been made under s161 (and not withdrawn)	All cases	
Determination of an application for the variation of a premises licence in respect of which representations have been made under s161 as applied by s187 (and not withdrawn)	All cases	
Determination of an application to transfer following representations by the Gambling Commission	All cases	
Determination of an application for a provisional statement under s204 in respect of which representations have been made under s161 as applied by s204 (and not withdrawn)	All cases	
A review of a premises licence under s201	All cases	

**Part 3 – Section 3 – Responsibility for Cabinet Functions**

Who is responsible	Functions	Delegation of Functions
Cabinet	The preparation of the policy framework and budget and the implementation of these in respect of Council functions and services not otherwise the responsibility of full Council.	Delegation to officers set out at Part 3 Delegation to individual Members of the Cabinet as set out below.
	Determination of recommendations and reports from members of the Cabinet not in accordance with their delegations.	
	The approval of a) Local Development documents that comprise the Local Development Framework and b) supplementary planning documents for submission to Council	
	Determination of recommendations from the Overview and Scrutiny Committees where the recommendation of that Committee is not accepted by the relevant Cabinet Member.	
	Response to inspection reports from the External Auditor	
	To consider, in accordance with the Council's Petitions Scheme any petition signed by at least 1,000 qualifying persons	
Leader of the Council	Functions undertaken as agents for or on behalf of other authorities or organisations	
	Determination of applications for a ban on organised marches in the District	
	Consideration of matters arising from a "Community Call for Action" under the Police & Justice Act 2006 requesting/requiring action by the Council	
	Preparation of the Strategic Plan	
	Relationships with external organisations	
	The determination of applications for financial assistance from voluntary bodies, individuals and other organisations.	Delegation to officers set out at Part 3
	To appoint any member of the Council to the Cabinet on a temporary basis with responsibility for any identified area of duties of Cabinet members if no member of the Cabinet would be able to act in the matter due to a Disclosable Pecuniary Interest, subject to such a temporary appointment not increasing the size of the Cabinet to more than 10 members, including the Leader and Deputy Leader of the Council.	
Relevant Cabinet	After consultation with the appropriate officers to make any decisions within their	All decisions must be in accordance with the

Member or Leader of the Council	areas of service responsibilities listed below which are not already delegated to an officer, a key decision or a non-executive decision and to monitor budget compliance and overall performance in those areas.	Cabinet Procedure Rules, Financial Procedure Rules and the Contract Procedure Rules
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**Part 3 – Section 3 – Cabinet Responsibilities**

Role	Key Corporate Priority responsibility	Service Responsibilities
Leader	Overall strategic direction of the Council, External partnerships / agencies, Liaison with County Council and Government, the Strategic Plan, the Constitution, MTFS	Oversees work of the Chief Executive and Assistant Chief Executive
Cabinet Member	Finance and Democratic Services	Oversees the work of, legal, democratic services, finance and Asset Management including corporate property maintenance and management
Cabinet Member	Regulatory Services, Housing and Wellbeing	Oversees the work of strategic housing, housing operations and homelessness, DFGs, environmental health, food safety (executive functions only), pest control, health and safety outside of corporate responsibility, public health, cemeteries, licensing (executive functions only) and environmental crime.
Cabinet Member	Corporate Services, Customer Services, Revenues and Benefits	Oversees the work of customer services, ICT, Health & Safety Service, partnership working, Human Resources, Complaints, Performance Management and Communications, Revenues and Benefits, Council Office management, corporate insurance.
Cabinet Member and Deputy Leader	Economic Growth, Environment and Development Services	Oversees the work of development management (executive functions only), business infrastructure, support and growth, local plans, building control and Land Charges, tourism, rural strategy, countryside management, conservation and design and landscape planning, traffic signs, CCTV, planning enforcement, historic buildings, car parks and sustainable development.
Cabinet Member	Operational Services, Leisure and Waste	Oversees the work of waste and street scene, drainage systems, flood protection, leisure and culture, street lighting, grounds maintenance, street cleansing, energy saving and the local environment, , parks and open spaces and the depot.



# **SCHEME OF DELEGATIONS TO OFFICERS**

## **Powers Delegated to Officers**

1. The functions, powers and duties in this scheme are delegated to Officers as shown in the attached schedule. These include the power to do anything which is calculated to facilitate, or is conducive to, the discharge of these functions. This scheme operates under Sections 101, 111, 151 and 270 of the Local Government Act 1972 and all other enabling powers of the Council and should be read in conjunction with any scheme of delegation to elected member bodies approved by the Council from time to time.
2. When functions are delegated to an Officer, the Council or the elected member body to which it has delegated those functions will retain concurrent powers where this is legally permissible. For the avoidance of doubt, where an officer has delegated a function to another officer, any officer of a higher rank, where qualified, within the structure can exercise that function. A function delegated to an officer may be passed back by that officer to the person (including another officer), committee or body giving the delegated power to the officer.
3. The Chief Executive shall have the responsibility to ensure that the Council's policies, practices and procedures are carried out in a corporate, consistent and coordinated manner.
4. Subject to Paragraphs 5 and 6, the Chief Executive and each Director shall have the following general responsibilities, powers and duties and where functions reside by law with the Chief Executive as Head of Paid Service the Chief Executive authorises the Directors to carry out these functions on behalf of the Head of Paid Service:-
  - (a) To implement and act within the approved policies, plans, practices and procedures of the Council including service of statutory notices in accordance with approved policies, plans, practices and procedures and making planning applications to implement approved policies and plans.
  - (b) To delegate further, in writing, all or any of their delegated functions to other Officers with the written agreement of the Chief Executive.
  - (c) In exercising delegated powers, to consult with such other Officers as appropriate and to have regard to any advice given and in particular to seek appropriate advice in relation to a professional judgement required in any area in which he/she is not professionally qualified.
  - (d) To advise on policy development and formulation.
  - (e) To act in accordance with the Rules of Procedure and any arrangements approved in pursuance of them.
  - (f) To carry out any functions assigned in pursuance of the Rules of Procedure and any approved policies, plans, practices and procedures of the Council.

- (g) To appoint, discipline, suspend or dismiss any employee below Director level who is employed in the delivery of services for which he/she is responsible, within the guidance issued by Chief Executive/ Head of Corporate Services.
- (h) To be responsible for the performance of those employees carrying out the functions for which he/she is responsible.
- (i) In consultation with the Head of Corporate Services, to make changes to the establishment of a department for which he/she is responsible subject to financial provision for the current and future years being available and the changes not amounting to a significant change to the structure of a department or service.
- (j) In accordance with guidance issued by the Chief Executive/Head of Corporate Services to approve the grading of new posts for which financial provision has been made by the Cabinet and the regrading of existing posts.
- (k) In consultation with the Head of Corporate Services, to approve the temporary appointment of staff to cover absences of employees due to illness, maternity or other long term absence provided that the period of temporary employment does not exceed twelve months and the cost of doing so can be contained within existing departmental budgets.
- (l) To authorise the acquisition of equipment or services necessary for the day to day performance of the Council's business or fulfilment of any matter authorised by the Council or elected member body for which a budget has been approved.
- (m) To manage any physical assets, including land and buildings (except for the acquisition, appropriation or disposal of land and buildings), IT, vehicles and equipment generally, allocated to the service for which he/she is responsible.
- (n) To enter into any arrangements, contractual, partnership, or otherwise with any other body for the carrying out of the functions of either body.
- (o) When any Head of Service is unable to act or is absent, the powers delegated to him/her under this Scheme of Delegation or otherwise shall be exercised by the Chief Executive or the Director who is their line manager (except where that person is unable to exercise the function due to qualification or legislative requirements).
- (p) To keep the relevant Councillor(s) informed as appropriate of matters affecting their wards.

5. The following functions are not delegated to any Officer:

- (a) any matters which the Council or an elected member body to which functions have been delegated has resolved shall be determined by itself
- (b) any function which by law may not be delegated to an Officer
- (c) the adoption of new policy or significant variations to existing policies
- (d) the appointment, terms and conditions, discipline, suspension or dismissal of the Chief Executive
- (e) the appointment, suspension or dismissal of the section 151 Officer or the Monitoring Officer.

- (f) any matter involving finance which cannot be met from within the Approved Budget;
  - (g) any matter which the Chief Executive, Director or Head of Service concerned considers inappropriate to be dealt with under delegated powers or in which the Officer concerned has an interest.
  - (h) any matter which constitutes a Key Decision within Article 13.3(b) of the Constitution.
6. Where it is legally permissible an Officer may decide not to exercise any function in relation to a particular matter and to invite the Council, or the appropriate elected member body as appropriate to do so instead. It is open to an Officer to consult with appropriate Councillors on the exercise of delegated powers or in deciding whether or not to exercise such powers.
  7. Where functions are delegated by officers, this must be in writing and a copy of the scheme of delegation must be deposited with the Head of Legal, Property and Democratic Services. This internal scheme of delegation must be regularly reviewed and updated.
  8. The Monitoring Officer is authorised to make any minor variations to this scheme of delegation to Officers at any time as needs and circumstances change; and shall be the final arbiter in relation to the interpretation and application of the scheme.
  9. The delegations below are in addition to any delegations contained elsewhere within the Constitution.
  10. The Heads of Service have authority to set the fees and charges for matters within their respective areas unless otherwise reserved to another body.

## **SCHEDULE TO THE SCHEME OF DELEGATION TO OFFICERS**

### **CHIEF EXECUTIVE**

1. To be Head of the Paid Service.
2. To be the Electoral Registration Officer and Returning Officer for Elections.
3. Within the overall resources allocated by the Council and in direct support of the Council's objectives, to act on behalf of the Council on all matters including those which have been delegated to any other Officer **PROVIDED THAT**
  - 3.1 the Chief Executive may not exercise a power which is reserved by statute to another Officer;
  - 3.2 before exercising the power of another Officer, the Chief Executive shall consult with that Officer if available;
  - 3.3 the Chief Executive when exercising any powers may authorise the incurring of expenditure in an emergency even if there is no specific provision in the budget of the Council.
4. In consultation with the Leader of the Council, the relevant Cabinet Member or the Chairman of the relevant Committee as appropriate, to authorise any urgent action when it would be in the best interests of the Council to act prior to the appropriate Council or Committee meeting, or prior to an

executive decision being made; subject to such action being reported to the next Council/Cabinet/Committee meeting.

5. To keep under constant review the needs of the District and its community in relation to all those services provided by the Council and to take all such action which in his/her judgement is necessary to ensure that those needs are met within the framework of any policies agreed by the Council.
6. To make arrangements for dealing with any matter raised by the Government or local authority association calling for a view or decision by the Council.
7. To be responsible for the overall organisational structure of the Council and to determine job titles.
8. To be responsible via the Head of Corporate Services for determining and issuing guidance to Officers for the management of human resources, including recruitment, training, conditions of service, staff development/appraisal, disciplinary matters, health and safety, employee welfare and any other matter concerning staff.
9. To ensure the provision of professional advice to all parties in the decision-making process.
10. Together with the Monitoring Officer to be responsible for a system of record keeping for all local authority decisions.
11. To represent the Council on partnership and other bodies.
12. To be responsible for the health and safety of all employees of the Council.
13. To sign any document on behalf of the Council and to witness affixation of the Council's Common Seal to any document.
14. In consultation with the Leader of the Council, to authorise the acquisition or disposal of land and buildings where the decision is time critical, prior to formal approval by Cabinet.

#### **DIRECTOR OF PLACE & COMMUNITY**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions in accordance with the Strategic Plan. Also all functions within the remit of the Head of Development Services, Head of Leisure and Operational Services, Head of Economic Growth, Head of Regulatory Services, Housing and Wellbeing and the Joint Waste Manager.
2. To sign any document on behalf of the Council and to witness affixation of the Council's Common Seal to any document.
3. To ensure the provision of professional advice to all parties in the decision-making process.
4. To represent the Council on partnership and other bodies.
5. To be responsible for the health and safety of all employees of the Council.

## **DIRECTOR OF TRANSFORMATION & RESOURCES**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions in accordance with the Strategic Plan. Also all functions within the remit of the Head of Legal, Property and Democratic Services, Head of Corporate Services, Head of Customer Services, Revenues and Benefits and Head of Finance and Procurement.
2. To sign any document on behalf of the Council and to witness affixation of the Council's Common Seal to any document.
3. To authorise payments in cases of maladministration.
4. To ensure the provision of professional advice to all parties in the decision-making process.
5. To represent the Council on partnership and other bodies.
6. To be responsible for the health and safety of all employees of the Council.

## **ASSISTANT CHIEF EXECUTIVE**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to the Council's Fit for the Future programme and transformation/commercialisation agendas.

## **HEAD OF DEVELOPMENT SERVICES**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to Development management; Planning Enforcement; Southern Staffordshire Building Control Partnership; Urban Design and Conservation; Arboriculture; Land Charges shared service; Environmental improvement projects; Countryside management and bio diversity.
2. This includes providing delegated authority for right of access to land and property in accordance with provisions set within planning and other relevant legislation for all officers within the service area.
3. To authorise the issue of Stop Notices, Requisition for Information, Temporary Stop Notices, Enforcement Notices, Listed Building Enforcement Notices and Breach of Condition Notices under the relevant Town and Country Planning legislation.
4. Determination as to the expediency of initiating enforcement proceedings, including the authorisation or an Enforcement Notice, Breach of Condition Notice, to require maintenance of untidy land/buildings (Section 215 Notices), Stop Notice, Temporary Stop Notice, Listed Building Enforcement Notice, Discontinuance Notices and Conservation Area Enforcement Notice; prosecutions and injunctions relating to TPO and Conservation Area offences; subject to consultation/notification provisions set out in internal scheme of delegation.
5. The making of Directions under Article 4 of the Town and Country Planning (General Permitted Development Order) or subsequent legislation, in consultation with the Monitoring Officer.

6. The making of Discontinuance, Revocation and Modification Orders subject to the completion of a covenant not to claim compensation in respect of the Orders, in consultation with the Monitoring Officer.
7. To determine planning applications, certificates of lawfulness, prior notifications, condition compliance applications, non-material and material amendment applications, hazardous substances consents
8. To negotiate and determine the contents of Section 106 Agreements.
9. To deal with all matters relating to trees, hedgerows, high hedges, listed buildings, Conservation and Building Act matters.
10. To authorise any urgent action necessary to preserve any building which he considers important and which appears to be in danger of alteration or demolition or collapse, pending a report to the next available meeting of the Planning Committee.
11. To authorise any action necessary in respect of works to dangerous trees under Section 23 the Local Government (Miscellaneous Provisions) Act 1976, and associated powers and functions.
12. To negotiate and agree Planning Performance Agreements (PPAs) and the fees attributable thereto.
13. To make, vary, modify, revoke (and confirm unless there are substantial unresolved objections) tree preservation orders under section 198 of the Town and Country Planning Act 1990 (as amended).
14. To determine notices under the Hedgerow Regulations 1997 for the removal of hedges and the authority to serve all relevant notices for the purpose of enforcing the regulations.
15. To make representations on Licensing Act 2003 applications as the local planning authority.
16. To deal with any appeals to defend the Council's position to any decisions made in respect of planning, trees, heritage assets, hedges, planning enforcement, CIL and s.106 Agreement matters.

## **APPENDIX A**

### **SCHEME OF DELEGATION OF PLANNING DECISIONS**

1. The powers delegated shall only be exercised after ensuring that all statutory requirements have been complied with and after considering all representations received.
2. The powers delegated shall be:-
  - 2.1 To determine applications for planning permission, permissions in principle, technical details consents and applications for reserved matters.
  - 2.2 To determine approvals and consents pursuant to any condition imposed on a planning consent and applications to modify or discharge planning obligations.
  - 2.4 To determine whether prior approval is required (under any relevant part of the General Permitted Development Order).

- 2.5 To determine approvals to and agreements to certain other matters relating to the exercise of permitted development rights as defined in the General Permitted Development Order.
- 2.6 To determine consents for the display of advertisements.
- 2.7 To determine Hazardous Substance Consents.
- 2.8 To determine Listed Building Consents.
- 2.9 To determine Demolition Consent Orders.
- 2.10 To determine applications for a certificate of existing or proposed lawful use or development; Certificates of Appropriate Alternative Development; for listed building consent and related powers; and related powers.
- 2.8 Determination of applications to fell or carry out works to trees protected by a tree preservation order or notification of works to trees within Conversation Areas.
- 2.9 Determination of complaints under Part 8 of the Anti-Social Behaviour Act 2003 (high hedges) or subsequent legislation.
- 2.10 To instigate prosecutions in consultation with the Council's legal representative.
- 2.11 To determine matters submitted under Schedule 17 (the Planning Conditions Schedule) of the High Speed Rail (London-West Midlands) Act 2017, unless the applications includes Council owned land or a call-in request made by a Member which is in accordance with the HS2 Planning Memorandum proforma.
- .
- 3.2 .
- 3.3 The application has been submitted by or on behalf of the Council or the site/land is owned by the Council.
- 3.4 where the applicant or landowner is a Member of the Council.
- 3.5 where the applicant or landowner is a member of staff of Lichfield District Council).
- 3.6 A written request has been made by a Member of the Council for the application to be determined by Planning Committee in accordance with the Planning Committee Members' Code of Good Practice or the Non-Committee Members Good Practice Guidance and which explains the planning or probity reasons for the call-in and the call-in is in accordance with the Non-Planning or Planning Committee Members Code of Good Practice.
- 3.7 The applicant is required to enter into a Section 106 agreement for more than 2 obligations.
- 8. **TO DETERMINE** responses to consultations with the Council as Local Planning Authority of and by other local authorities and statutory bodies,
- 9.
- 10

12. Action pursuant to the Town and Country Planning (Environmental Impact Assessment) Regulations 2017 or subsequent Regulations.

13. To comment on behalf of the Council on:

- (a) Consultations from adjoining local planning authorities
- (b) Overhead lines
- (c) County Council matters
- (d) County Council applications, after consultation with the appropriate ward member(s) electronically through the Council's e-mail system
- (e) Consultations from outside bodies relating to landscaping/arboricultural matters.
- (f) Consultations with government departments
- (g) consultations with West Midlands Licensing Authority
- (h) consultations from Statutory Undertakers and person acting on their behalf.

For the avoidance of doubt this does not confer authority on the Head of Development Services to reply to a consultation undertaken in respect of a possible Development Consent Order under the Planning Act 2008

14. To make minor modifications to the wording of conditions or reasons for refusal wording post committee to render them National Planning Policy Guidance compliant and include all relevant planning policies.

#### **HEAD OF LEGAL, PROPERTY & DEMOCRATIC SERVICES**

- 1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to Members' services, including governance and advice; Electoral services; Management of the council's property portfolio; Surveillance regulations (RIPA); Legal services, including probity and standards; Monitoring officer role; Data protection and freedom of information; Deeds.
- 2. To sign any document on behalf of the Council and to witness affixation of the Council's Common Seal to any document.
- 3. To authorise the institution, defence, withdrawal, compromise or any other action relating to claims or legal proceedings, civil or criminal.
- 4. To be the Monitoring Officer including authority to grant dispensations under section 33 of the Localism Act 2011.
- 7. To be the Council's Money Laundering Reporting Officer.
- 8. Responsibility for oversight of the Regulation of Investigatory Powers Act.
- 9. Responsibility for maintaining a register of Assets of Community Value.
- 10. To be, or to identify and appoint, the Senior Information Risk Officer And Data Protection Officer

#### **HEAD OF ECONOMIC GROWTH**



Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to major development projects, including Friarsgate; Car parking management and strategy; Civil parking enforcement; Business support and inward investment; City/town centre development; Lichfield City Centre development strategy; Planning policy; Development plans and implementation; HS2; Tourism and the visitor economy, including the tourist information centre; CCTV.

### **HEAD OF CUSTOMER SERVICES, REVENUES & BENEFITS**

Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to Administration and collection of local taxation; Administration of housing benefits and local council tax support; Corporate debt recovery; Customer services (including reception and telephony).

### **HEAD OF LEISURE & OPERATIONAL SERVICES**

Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to the provision of leisure centres; Management of parks and open spaces; Reservoir management; Leisure strategy and development; Sport development; Sports partnerships; Grounds maintenance; Street cleansing; Public toilets; Shopmobility; Abandoned vehicles; Depot management; Fleet management; Lichfield Garrick liaison

### **HEAD OF CORPORATE SERVICES**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to the provision and management of the IT estate; Channel shift; GIS Graphical information systems, including street naming & numbering; Health and safety; Insurance and risk management; HR services; Employee Liaison Group (industrial relations); Corporate communications, media relations and website/intranet support; Corporate strategic planning; Performance management; Complaints and compliments; MP enquiries; Ombudsman investigations; Research; Equalities; District Council House management and maintenance.
2. To authorise payments in cases of maladministration.

### **HEAD OF FINANCE AND PROCUREMENT**

1. Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to Financial probity; Strategic financial management and planning; Treasury and investments; Revenue strategy; Capital strategy; Accounts payable; External funding procedures; Cashiers and Income Management; Risk management strategy and procedures; Internal audit; Procurement strategy and procedures.
2. To exercise the proper administration of the Council's financial affairs under Section 151 of the Local Government Act 1972, Section 114 of the Local Government Finance Act 1988 and

Regulation 5 of the Accounts and Audit Regulations 2003.

3. s.21&22 Staffordshire Act 1983 powers.

### **HEAD OF REGULATORY SERVICES, HOUSING & WELLBEING**

Within the overall resources allocated by the Council and in direct support of the Council's objectives to act on behalf of the Council on all matters relating to the discharge of the Council's functions relating to Homelessness and housing advice; Housing strategy and affordable housing; Housing and health partnerships; Affordable warmth; Disabled facilities grants; Food safety regulation and enforcement; Environmental protection, including pollution, nuisance, scrap metal dealers, stray dogs and pest control; Infectious disease control; Housing regulation; Licensing; District Board; Community Safety Partnership; Locality commissioning; Small grants; Anti-social behaviour; Safeguarding; Emergency planning and business continuity.

In relation to the functions listed above, determining whether and in what manner to enforce any failure to comply with any approval, licence, permission or registration granted or any failure to comply with a condition, limitation or term to which any such approval, consent, licence, permission or registration is subject save that this cannot override any limitation contained elsewhere in the Constitution. For the avoidance of doubt, this includes the power to suspend private hire/taxi licences.

## **PART 4**

### **RULES OF PROCEDURE**

<b>Section 1</b>	<b>Standing Orders for Meetings</b>	<b>1-23</b>
<b>Section 2</b>	<b>Access to Information Procedure Rules</b>	<b>24-35</b>
<b>Section 3</b>	<b>Budget and Policy Framework Procedure Rules</b>	<b>36-41</b>
<b>Section 4</b>	<b>Cabinet Procedure Rules</b>	<b>42-44</b>
<b>Section 5</b>	<b>Overview and Scrutiny Procedure Rules</b>	<b>45-52</b>
<b>Section 6</b>	<b>Financial Procedure Rules</b>	<b>53-121</b>
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## **PART 4 - SECTION 1 – STANDING ORDERS FOR MEETINGS**

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2. Ordinary meetings
3. Election of Leader of the Council
4. Vote of No Confidence in the Leader of the Council
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7. Notice of and summons to meetings
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11. Questions by members
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15. Rules of debate
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32. Application to Committees and Sub-Committees
33. Determination of Planning Applications by the Planning Committee contrary to officer recommendations

## **1.0 ANNUAL MEETING OF THE COUNCIL**

In a year when there is an ordinary election of councillors, the annual meeting will take place within 21 days of the retirement of the outgoing councillors. In any other year, the annual meeting will take place in May.

The Annual Meeting will:

- (i) elect a person to preside if the Chairman and Vice-Chairman of Council are not present;
- (ii) consider priority business;
- (iii) elect the Chairman of the Council;
- (iv) elect the Vice-Chairman of the Council;
- (v) approve the minutes of the last meeting;
- (vi) receive any apologies for non-attendance;
- (vii) receive any declarations of interest;
- (viii) at its first post election Annual Meeting, appoint a Leader of the Council for a term of office expiring at the next post election annual meeting (unless resigned, removed or disqualified from office in accordance with the Constitution);
- (ix) following his/her election the duly elected Leader of the Council shall assume the full powers of the Leader and will appoint a Deputy Leader of the Council who, in their absence or following a vote of no confidence (see paragraph 4.0 of this Article) will act as Leader, and advise the Council of the members he/she intends to appoint to the Cabinet;
- (x) appoint the Strategic Overview and Scrutiny Committee, the Audit and Member Standards Committee, the Planning Committee, the Employment Committee, the Regulatory and Licensing Committee, other Overview and Scrutiny Committees and such other committees as the Council considers appropriate to deal with matters which are not reserved to the Council and are not Cabinet functions (as set out in Part 3 of this Constitution);
- (xi) agree the scheme of delegation for those matters not reserved to the Council and are not Cabinet functions (as set out in Part 3 of this Constitution);
- (xii) consider any business set out in the notice convening the meeting; and

- (xiii) receive any announcements from the Chairman.

## **1.1 Selection of Councillors on Committees and Outside Bodies**

At the annual meeting, the Council will:

- (i) decide which committees and sub-committees to establish for the municipal year;
- (ii) decide the size and terms of reference for those committees;
- (iii) decide the allocation of seats to political groups in accordance with the political balance rules;
- (iv) receive nominations of councillors to serve on each committee and outside body; and
- (v) appoint the Chairman, Vice-Chairman and members to committees and outside bodies except where appointment to those bodies has been delegated by the Council or is exercisable only by the Cabinet.

## **2.0 ORDINARY MEETINGS**

Ordinary meetings of the Council will take place in accordance with a programme decided at the Council's annual meeting. Ordinary meetings will:

- (i) elect a person to preside if the Chairman and Vice-Chairman are not present;
- (ii) consider priority business;
- (iii) approve the minutes of the last meeting;
- (iv) apologies for absence;
- (v) receive any declarations of interest from members;
- (vi) questions pursuant to Council Procedure Rule 11.4;
  
- (vii) receive a report from the Leader of the Council and receive questions and answers thereon in accordance with Council Procedure Rule 11;
- (viii) receive reports from the Cabinet and statutory officers and receive questions and answers on any of those reports;
- (ix) receive minutes from the Council's Committees and receive questions and answers on any of those minutes;

- (x) consider motions;
- (xi) consider any other business specified in the summons to the meeting, including consideration of proposals from the Cabinet in relation to the Council's budget and policy framework and reports of the scrutiny committees for debate;
- (xii) receive the Chairman's announcements.

### **3.0 ELECTION OF LEADER OF THE COUNCIL**

**3.1** The Monitoring Officer will conduct the vote for the election of the Leader of the Council in accordance with the following procedure:

- (i) each member present at the time will have one vote;
- (ii) the vote will be taken by way of a named vote (roll call) and recorded in the minutes;
- (iii) the Monitoring Officer will call out the name of each nominated person in alphabetical order and invite Members to vote according to their preference; alternatively they may, if they wish, abstain;
- (iv) at the conclusion of the vote the Monitoring Officer will announce the number of votes cast for each nominated person. If any one nominated person receives an overall majority of the votes cast (abstentions will not be counted), they will be declared the winner and be elected as the Leader of the Council;
- (v) if no one nominated person receives an overall majority of the votes cast, then the nominated person receiving the least number of votes will be eliminated;
- (vi) the Monitoring Officer will then invite further round(s) of voting as necessary in accordance with the procedures set out in paragraphs 3.1 (i) to 3.1 (v) above until one nominated person receives an overall majority, for which any abstentions will not be counted;
- (vii) any member not present at the start of the first vote (iii) will not be entitled to a vote at a later round (vi) even if they have joined the meeting by that stage.

**3.2** Paragraphs (ii) and (iii) will be waived if only one nomination is made. Voting will then be by a show of hands.



#### **4.0 VOTE OF NO CONFIDENCE IN THE LEADER OF THE COUNCIL**

- 4.1** Any motion of no confidence in the Leader of the Council must be received by the Chief Executive by no later than 10 clear working days before the meeting of the Council to which it is to be submitted. The motion must be signed by at least 15 members of the Council and must set out the reasons why the signatories have concluded that a vote of no confidence in the Leader is required.
- 4.2** The motion will be listed first on the agenda.
- 4.3** No amendments to a motion calling for a vote of no-confidence motion in the Leader of the Council will be allowed.
- 4.4** Each member present at the time will have one vote.
- 4.5** Voting will be by way of a named vote (roll call) recorded in the minutes.
- 4.6** In order to carry the motion, at least two thirds overall majority of those members present will be required.
- 4.7** In the event of the motion being carried, the Deputy Leader of the Council will assume the full powers of the Leader of the Council until a new Leader of the Council is appointed by the Council.

#### **5.0 CALLING EXTRAORDINARY MEETINGS**

- 5.1** Those listed below may request the Chief Executive to call Council meetings in addition to ordinary meetings:
- (i) the Council by resolution;
  - (ii) the Chairman of the Council;
  - (iii) the Monitoring Officer;
  - (iv) any five members of the Council if they have signed a requisition presented to the Chairman of the Council and he/she has refused to call a meeting or has failed to call a meeting within seven days of the presentation of the requisition.

#### **6.0 TIME AND PLACE OF MEETINGS**

- 6.1** The time and place of meetings will be determined by the Chief Executive and notified in the summons.

## **7.0 NOTICE OF AND SUMMONS TO MEETINGS**

**7.1** The Chief Executive (in the case of Full Council meetings) or the Director of Transformation and Resources will give notice to the public of the time and place of any meeting in accordance with the Access to Information Rules. At least five clear days before a meeting, the Chief Executive (for Full Council meeting) or the Director of Transformation and Resources will send a summons signed by him or her to every councillor. The summons will give the date, time and place of the meeting and specify the business to be transacted, and will be accompanied by such reports as are available.

## **8.0 CHAIRMAN OF MEETING**

**8.1** The person presiding at the meeting may exercise any power or duty of the Chairman. Where these rules apply to committee and sub-committee meetings, references to the Chairman also include the Chairman of committees and sub-committees.

## **9.0 QUORUM**

**9.1** The quorum of a meeting will be the whole number immediately greater than or equal to one quarter of the whole number of members or 3 whichever is the greater. See also Rule 32 (c) in relation to Committees and Sub-Committees. During any meeting if the Chairman counts the number of members present and declares there is not a quorum present, the meeting will adjourn immediately. Remaining business will be considered at a time and date fixed by the Chairman. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting.

## **10.0 DURATION OF MEETING**

**10.1** Unless the majority of councillors present vote for the meeting to continue, any meeting shall stand adjourned after three hours provided that, if there is a quorum present and in the opinion of the Chairman the matters remaining to be considered are either of such importance that it's in the interest of the Council that the consideration thereof should then take place or that the extension of time required is minimal, councillors may consent to the continuation of the meeting. Remaining business will be considered at a time and date fixed by the Chairman. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting.

## **11.0 QUESTIONS BY MEMBERS**

### **11.1 On Reports of the Cabinet or Committees**

A member of the Council may ask the Leader or appropriate Cabinet Member or the Chairman of a Committee any question without notice upon an item of the report of the Cabinet or by a Committee when that item is being received or under consideration (including debate) by the Council.

## **11.2 Questions on Notice at Full Council**

Subject to Rule 11.4, a Councillor may ask:

- the Chairman;
- a member of the Cabinet;
- the Chairman of any committee, sub-committee or panel;

a question on any matter in relation to which the Council has powers or duties or which affects the District of Lichfield.

## **11.3 Questions on notice at Committees and Sub-committees**

Subject to Rule 11.4, a member of a committee or sub-committee may ask the Chairman of it a question on any matter in relation to which the Council has powers or duties or which affect the District of Lichfield and which falls within the terms of reference of that committee or sub-committee.

## **11.4 Notice of questions**

A member may only ask a question under Rule 11.2 or 11.3 if either:

- (a) it is received by 12 noon at least two working days' prior to the meeting in writing or by email of the question to the Chief Executive; or
- (b) the question relates to urgent matters, they have the consent of the Cabinet Member/Chairman to whom the question is to be put, and the content of the question is given to the Chief Executive by 10.00 a.m. on the day of the meeting. Every question shall be put and answered without discussion but the person to whom the question has been put may decline to answer.

The Chief Executive may reject a question if it:

- (a) is not about a matter for which the Council has a responsibility or which affects the District;
- (b) is defamatory, frivolous or offensive;
- (c) is substantially the same as a question which has been put at a meeting of the Council in the past six months;
- (d) requires the disclosure of confidential or exempt information.

## **11.5 Response**

An answer maybe:

- (a) in writing or a direct oral answer;
- (b) where the desired information is in a publication of the Council or other published work, a reference to that publication; or
- (c) where the reply cannot conveniently be given at the meeting, a written answer circulated to the questioner.

#### **11.6 Supplementary Question**

A member having given notice of a question under Procedure Rule 11.2 and having received a reply under paragraph 11.5 may ask one supplementary question on the point of the original question. The response to the supplementary question shall be made in accordance with Procedure Rule 11.5.

#### **11.7 No debate on questions**

There shall be no debate on a question submitted under Procedure Rule 11.2 or on a supplementary question under Procedure Rule 11.6. A questioner may request that the matter under question be referred to the appropriate committee or sub-committee, if such a request is made the Chairman will ask for a seconder to the proposal; the seconder will have no right to speak on the proposal. The Member responding to the question shall have the right to comment on the proposed referral. The question will then be put to the vote without further debate.

**11.8** A member may not submit a question under Council Procedure Rule 11 relating to an individual determination made by the Planning; Regulatory and Licensing; or Audit and Member Standards Committees or any sub-committee thereof, or taken under powers delegated therefrom.

#### **12.0 REPORT OF THE LEADER OF THE COUNCIL**

**12.1** The Leader of the Council shall at each ordinary meeting of the Council submit a report on the work of the Cabinet and shall be open to question thereon.

**12.2** The Leader of the Council may invite (a) representative(s) of a partner organisation(s) to address the Council in respect of any matters referred to in the Leader's report relating to partnership working between the Council and the organisation(s).

**12.3** A member of the Council may, at the discretion of the Chairman, ask the Leader of the Council a question relating to a matter referred to in the Leader's report to Council and may, after having the response from the Leader (or at the Leader's discretion the relevant Cabinet Member, or representative of a partner organisation) ask one supplementary question on the point of the original question.

**12.4** A member of the Council may question the Leader once (with the provision for a supplementary question) on each item in the Leader's report.

**12.5** An answer by the Leader of the Council may take the form of:

- (a) a direct oral answer by the Leader of the Council;
- (b) a direct oral answer by a Cabinet Member with responsibility for the matter subject to question;
- (c) a direct oral answer from a representative of a partner organisation invited by the Leader of the Council to respond;
- (d) where the desired information is in a publication of the Council or other published work, a reference to that publication; or
- (e) where the reply cannot conveniently be given orally, a written answer circulated to the questioner.

**12.6** There shall be no debate on a question submitted under Procedure Rule 12.3. A questioner may request that the matter under question be referred to the Cabinet or appropriate committee or sub-committee, if such a request is made the Chairman will ask for a seconder to the proposal, the seconder will have no right to speak on the proposal; the Member of the Council, in responding to the question shall have the right to comment on the proposed referral. The question will then be put to the vote without further debate.

## **13.0 MOTIONS ON NOTICE**

### **13.1 Notice**

Except for motions which can be moved without notice under Rule 14, written notice of every motion, signed by a councillor, must be delivered to the Chief Executive not later than six clear days before the date of the meeting. These will be entered in a book open to public inspection and maintained by the Monitoring Officer.

The Chief Executive may reject a motion if it:

- (i) is not about a matter for which the Council has a responsibility or which affects the District;
- (ii) is defamatory, frivolous or offensive;
- (iii) is substantially the same as a motion which has been put at a meeting of the Council in the past six months;
- (iv) requires the disclosure of confidential or exempt information.

### **13.2 Motion set out in agenda**

Motions for which notice has been given will be listed on the agenda in the order in which notice was received, unless the councillor giving notice states, in writing, that they propose to move it at a later meeting or withdraw it.

### **13.3 Scope**

Motions must be about matters for which the Council has a responsibility or which affect the District of Lichfield.

### **13.4 Motions not moved**

If a motion set out in the summons is not moved either by a councillor who gave notice thereof or by some other councillor on his/her behalf it shall be treated as withdrawn and shall not be moved without fresh notice.

### **13.5 Automatic reference to committee**

If the subject matter of any motion of which notice has been duly given comes within the province of the Cabinet or any committee or sub-committee it shall, upon being moved and seconded, stand referred without discussion to the Cabinet or such committee or sub-committees, or to such other committee or sub-committee as the Council may determine, for consideration and report: provided that the Chairman may, if he/she considers it convenient and conducive to the despatch of business, allow the motion to be dealt with at the meeting at which it is brought forward.

## **14.0 MOTIONS WITHOUT NOTICE**

The following motions may be moved without notice:

- (a) to appoint a Chairman of the meeting at which the motion is moved;
- (b) in relation to the accuracy of the minutes;
- (c) to change the order of business in the agenda;
- (d) to refer something to an appropriate body or individual;
- (e) to appoint a committee or member arising from an item on the summons for the meeting;
- (f) to receive reports or adoption of recommendations of the Cabinet or committees or officers and any resolutions following from them;
- (g) to withdraw a motion;
- (h) to extend the time limit for a speech;

- (i) to amend a motion;
- (j) to proceed to the next business;
- (k) that the question be now put;
- (l) to adjourn a debate;
- (m) to adjourn a meeting;
- (n) that the meeting continue beyond 3 hours in duration;
- (o) to take a named vote under Procedure Rule 16.4;
- (p) to suspend a particular Council Procedure rule;
- (q) to exclude the public and press in accordance with the Access to Information Rules;
- (r) to not hear further a councillor named under Rule 20.3 or to exclude them from the meeting under Rule 20.4; and
- (s) to give the consent of the Council where its consent is required by this Constitution.

## **15.0 RULES OF DEBATE**

### **15.1 No speeches until motion seconded**

No speeches may be made after the mover has moved a proposal and explained the purpose of it until the motion has been seconded.

### **15.2 Right to require motion in writing**

Unless notice of the motion has already been given, the Chairman may require it to be written down and handed to him/her before it is discussed.

### **15.3 Secunder's speech**

When seconding a motion or amendment, a councillor may reserve their speech until later in the debate.

### **15.4 Content and length of speeches**

Speeches must be directed to the question under discussion or to a point of order or personal explanation. No speech may exceed 10 minutes without the consent of the Chairman.

### **15.5 Only one councillor to stand at a time**

A councillor when speaking shall stand, if they are able to do so, and address the Chairman. If two or more councillors rise, the Chairman shall call on one to speak; the other or others shall then sit. While a councillor is speaking the other councillors shall remain seated, unless rising to a point of order or personal explanation.

### **15.6 When a councillor may speak again**

A councillor who has spoken on a motion may not speak again whilst it is the subject of debate, except:

- (a) to speak once on an amendment moved by another councillor;
- (b) to move a further amendment if the motion has been amended since he/she last spoke;
- (c) if his/her first speech was on an amendment moved by another councillor, to speak on the main issue (whether or not the amendment on which he/she spoke was carried);
- (d) in exercise of a right of reply;
- (e) on a point of order or a personal explanation;
- (f) in accordance with Council Procedure Rules 12.3 and 12.4;
- (g) where a Councillor wishes to put forward a factual correction.

A councillor may speak more than once to ask questions of a Cabinet member or officer who is attending any Overview and Scrutiny Committee, save that when the Committee formally moves to debate the matter before it, the procedure set out above shall apply.

### **15.7 Amendments to motions**

- (a) An amendment to a motion must be relevant to the motion and will either be:
  - (i) to refer the matter to an appropriate body or individual for consideration or reconsideration;
  - ;
  - (ii) to leave out words and/or insert and/or add others;as long as the effect of (ii) is not to negate the motion.



- (b) Only one amendment may be moved and discussed at any one time. No further amendment may be moved until the amendment under discussion has been disposed of.
- (c) If an amendment is not carried, other amendments to the original motion may be moved.
- (d) If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further amendments are moved.
- (e) After an amendment has been carried, the Chairman will read out the amended motion before accepting any further amendments, or if there are none, put it to the vote.

#### **15.8 Alteration of motion**

- (a) A councillor may alter a motion of which he/she has given notice with the consent of the meeting. The meeting's consent will be signified without discussion.
- (b) A councillor may alter a motion which he/she has moved without notice with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion.
- (c) Only alterations which could be made as an amendment under Procedure Rule 15.7 may be made.

#### **15.9 Withdrawal of motion**

A councillor may withdraw a motion which he/she has moved with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion. No councillor may speak on the motion after the mover has asked permission to withdraw it unless permission is refused.

#### **15.10 Right of reply**

- (a) The mover of a motion has a right to reply at the end of the debate on the motion immediately before it is put to the vote.
- (b) If an amendment is moved, the mover of the original motion has the right of reply at the close of the debate on the amendment, but may not otherwise speak on it.
- (c) The mover of the amendment has no right of reply to the debate on his or her amendment.
- (d) A right of reply having been exercised, the question shall immediately be put to the meeting by the Chairman.

### **15.11 Motions which may be moved during debate**

When a motion is under debate, no other motion may be moved except the following procedural motions:

- (a) to withdraw a motion;
- (b) to amend a motion;
- (c) to proceed to the next business;
- (d) that the question be now put;
- (e) to adjourn a debate;
- (f) to adjourn a meeting;
- (g) that the meeting continue beyond 3 hours in duration;
- (h) to exclude the public and press in accordance with the Access to Information Rules;
- (i) to not hear further a member named under Procedure Rule 20.3 or to exclude them from the meeting under Rule 20.4;
- (j) a requisition for a named vote under Procedure Rule 16.4.

### **15.12 Closure motions**

- (a) A member may move, without comment, the following motions at the end of a speech of another councillor:
  - (i) to proceed to the next business;
  - (ii) that the question be now put;
  - (iii) to adjourn a debate; or
  - (iv) to adjourn a meeting.
- (b) If a motion to proceed to next business is seconded and the Chairman thinks the item has been sufficiently discussed, he or she will give the mover of the original motion a right of reply and then put the procedural motion to the vote without further debate or discussion.
- (c) If a motion that the question be now put is seconded and the Chairman thinks the item has been sufficiently discussed, he/she will put the procedural motion to the vote without further debate or discussion. If it is passed

he/she will give the mover of the original motion a right of reply before putting his/her motion to the vote.

- (d) If a motion to adjourn the debate or to adjourn the meeting is seconded and the Chairman thinks the item has not been sufficiently discussed and cannot reasonably be so discussed on that occasion, he/she will put the procedural motion to the vote without giving the mover of the original motion the right of reply and without further debate or discussion.

### **15.13 Point of Order and Personal Explanation**

A point of order is a request from a councillor to the Chairman to rule on an alleged irregularity in the procedure of the meeting. A councillor may raise a point of order at any time. The Chairman will hear them immediately. A point of order may only relate to an alleged breach of the Council Rules of Procedure or the law. The councillor must indicate the rule or law and the way in which he/she considers it has been broken without which the alleged breach shall be disregarded. The ruling of the Chairman on the matter will be final and shall not be open to debate.

A councillor may rise to give a personal explanation at any time and will be heard immediately. A personal explanation must be confined to some material part of a former speech either by or relating to the Member, at the same meeting which may have been misunderstood. The ruling of the Chairman on the matter will be final and shall not be open to debate.

### **15.14 Motions affecting persons employed by the Council**

If any question arises at a meeting of the Council (or of the Cabinet, a committee or a sub-committee) to which Section 100(A) of the Local Government Act 1972 applies as it relates to the appointment, promotion, dismissal, salary, superannuation or conditions of service, or the conduct of any person employed by the Council, such question shall not be subject of discussion until the Council, Cabinet, or relevant committee or sub-committee as the case may be, has decided whether or not the power of exclusion of the public under Section 100(A) of the Local Government Act 1972 shall be exercised.

### **15.15 Councillor with a Disclosable Pecuniary Interest**

Where a Councillor has a Disclosable Pecuniary Interest in a matter to be considered at a meeting, the Councillor may attend the meeting when it considers the item only for the purposes of making representations, answering questions or giving evidence relating to the matter, provided that the public are also allowed to attend the meeting for the same purpose whether under a statutory right or otherwise. Once the Councillor has made these representations or the meeting considers that the Councillor has concluded making representations, the Councillor must leave the room during the discussion or vote on the matter.

## **16.0 VOTING**

### **16.1 Majority**

Unless this Constitution provides otherwise, any matter will be decided by a simple majority of those councillors voting and present in the room at the time the question was put. Only those councillors who have been present for the entirety of the debate on the item in question are entitled to vote.

### **16.2 Chairman's casting vote**

If there are equal numbers of votes for and against, the Chairman will have a second or casting vote. There will be no restriction on how the Chairman chooses to exercise a casting vote.

### **16.3 Method of Voting**

Unless this Constitution provides otherwise, or a named vote is demanded under Rule 16.4, the Chairman will take the vote by show of hands or, if there is no dissent, by the affirmation of the meeting.

### **16.4 Named vote**

There shall be a named (or roll-call) vote if:

- (a) the majority of Councillors present at the meeting demand it or the Leader of the Principal Opposition Party demands it,
- (b) The law so requires it, including in relation to the adoption of the annual budget for the Council and the setting of the Council Tax

Where there is a named vote the names for and against the motion or amendment or abstaining from voting will be taken down in writing and entered into the minutes.

### **16.5 Right to require individual vote to be recorded**

Where any Councillor requests it immediately after the vote is taken, their vote will be so recorded in the minutes to show whether they voted for or against the motion or abstained from voting.

### **16.6 Voting on appointments**

If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

## **17.0 MINUTES**

### **17.1 Signing the minutes**

The Chairman will sign the minutes of the proceedings at the next suitable meeting. The Chairman will move that the minutes of the previous meeting be signed as a correct record. The only part of the minutes that can be discussed is their accuracy.

### **17.2 Contents of Minutes**

Minutes of meetings of the Council shall record the proposal (including any amendment) moved, duly seconded and adopted by the Council.

### **17.3 No requirement to sign minutes of previous meeting at extraordinary meeting**

Where in relation to any meeting, the next meeting for the purpose of signing the minutes is a meeting called under paragraph 3 of schedule 12 to the Local Government Act 1972 (an Extraordinary Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of paragraph 41(1) and (2) of schedule 12 relating to signing of minutes.

### **17.4 Form of minutes**

Minutes will contain all motions and amendments in the exact form and order the Chairman put them.

## **18.0 RECORD OF ATTENDANCE**

All councillors present during the whole or part of a meeting must sign their names on the attendance sheets before the conclusion of every meeting as a record of their attendance.

## **19.0 EXCLUSION OF PUBLIC**

Members of the public and press may only be excluded either in accordance with the Access to Information Rules in Part 4 of this Constitution or Procedure Rule 20 (Disturbance by Public).

## **20.0 COUNCILLORS' CONDUCT**

### **20.1 Standing to speak**

When a councillor speaks at a Council meeting they must stand, if they are able to do so, and address the meeting through the Chairman. If more than one councillor stands, the Chairman will ask one to speak and the others must sit. Other councillors must remain seated whilst a councillor is speaking unless they wish to make a point of order or give a personal explanation.

## **20.2 Chairman standing**

When the Chairman stands during a debate, any councillor speaking at the time must stop and sit down. The meeting must be silent.

## **20.3 Councillor not to be heard further**

If a councillor persistently disregards the ruling of the Chairman by behaving improperly or offensively or deliberately obstructs business, either during their speech or at any point during the meeting, the Chairman may move that the councillor be not heard further. If seconded, the motion will be voted on without discussion. If the motion is carried the Councillor concerned may still vote on the matter under debate.

## **20.4 Councillor to leave the meeting**

If the councillor continues to behave improperly after such a motion is carried, the Chairman may move that either the councillor leaves the meeting or that the meeting is adjourned for a specified period. If seconded, the motion will be voted on without discussion.

## **20.5 General disturbance**

If there is a general disturbance making orderly business impossible, the Chairman may adjourn the meeting for as long as he/she thinks necessary.

## **21.0 DISTURBANCE BY PUBLIC**

### **21.1 Removal of member of the public**

If a member of the public interrupts proceedings, the Chairman will warn the person concerned. If they continue to interrupt, the Chairman will order their removal from the meeting room.

### **21.2 Clearance of part of meeting room**

If there is a general disturbance in any part of the meeting room open to the public, the Chairman may call for that part to be cleared.

## **22.0 SUSPENSION AND AMENDMENT OF COUNCIL PROCEDURE RULES**

### **22.1 Suspension**

All of these Council Rules of Procedure except Rule 13.5 and 15.3 may be suspended by motion on notice or without notice if at least one half of the whole number of councillors are present. Suspension can only be for the duration of the meeting.

## **22.2 Amendment**

Any motion to add to, vary, or revoke these Council Rules of Procedure will, when proposed and seconded, stand adjourned without discussion to the next ordinary meeting of the Council.

## **23.0 DELEGATION**

Where there has been any delegation of a power duty or function to a committee, the committee, shall in turn be duly authorised to further delegate the same provided that such delegation does not contravene any other decision of the Council.

## **24.0 SUBSTITUTE MEMBERS**

**24.1** The substitution rules will not apply to meetings of the Cabinet or the Audit and Member Standards Committee.

**24.2** Subject to any other restrictions elsewhere in the Constitution, any Member of the Council will be permitted to act as a substitute on a Council Body.

**24.3** The Monitoring Officer may consider a request from a Member of a Council Body to appoint a substitute Member, providing that substitute Member is from the same political group.

**24.4** In order to be eligible to sit as substitutes on regulatory or quasi-judicial committees or panels or staff appointments or disciplinary bodies established by the Council, Members must have received the required training in relevant procedures and the law.

**24.5** Substitute Members will have all the powers and duties of any ordinary Member of the committee but will not be able to exercise any special powers or duties exercisable by the person they are substituting.

**24.6** Substitute Members may attend meetings in that capacity only:

- (i) to take the place of the ordinary Member for whom they are designated substitute;
- (ii) where the ordinary Member will be absent for the whole of the meeting;
- (iii) where the ordinary Member has notified the Monitoring Officer of the intended substitution by 10 am on the day of the relevant meeting.

## **25.0 REPORTS OF OFFICERS**

(a) Every such report to the Cabinet or any committee or sub-committee shall be issued by the Director of Transformation and Resources to all councillors, or

to all members of the Cabinet, committee, or sub-committee, as the case may be, with the summons or agenda which provides for the consideration thereof, at least 5 working days before the date on which the meeting is to be held, or, exceptionally, as soon as practicable before the meeting.

- (b) All business to be discussed at meetings of the Cabinet or any committee or sub-committee shall be set out in the agenda or in a report thereto.
- (c) The Leader of the Council (or other Councillor presiding at a meeting of the Cabinet) and the Chairman of the appropriate committee shall be authorised to allow urgent business to be brought forward at the conclusion of the business set out on the agenda, provided a written report detailing the subject matter has been circulated to the councillors present at the commencement of the meeting and the reasons for the urgency given.

## **26.0 URGENT ACTION**

The Chief Executive, in consultation with the Leader of the Council, relevant Cabinet Member, or the Chairman of the relevant committee, as appropriate, shall authorise any urgent action when it would be in the best interests of the Council to act prior to the appropriate Council or Committee meeting or prior to an executive decision being made; subject to such action being reported to the next meeting of the Council, the Cabinet or the committee.

## **27.0 INTERESTS OF COUNCILLORS IN CONTRACTS AND OTHER MATTERS**

- (a) If any councillor has a Disclosable Pecuniary Interest in a matter as defined in the Code of Conduct (see Part 5 hereof) and attends a meeting at which the matter is considered the councillor shall disclose to the meeting the existence and nature of that interest at the commencement of that consideration or when the interest becomes apparent.
- (b) If any councillor has a Disclosable Pecuniary Interest in a matter as defined in the Code of Conduct (see Part 5 hereof) then that member shall:
  - (i) withdraw from the room where the meeting is being held whenever it becomes apparent that the matter is being considered at that meeting unless a dispensation has been obtained from the Audit and Member Standards Committee or has been granted by the Monitoring Officer in accordance with any delegated authority therefrom:
  - (ii) not exercise executive functions in relation to that matter; and
  - (iii) not seek improperly to influence a decision about that matter.

## **28.0 INTEREST OF EMPLOYEES AND COUNCILLORS IN CONTRACTS ETC**

The Monitoring Officer shall record in a book to be kept for the purpose particulars of any notice given by an employee of the Council under section 117 of the Local



Government Act 1972 of a pecuniary interest in a contract, and the book shall be open during office hours to the inspection of any councillor and a similar record shall be kept of such interests declared by councillors.

### **29.0 PROCEDURE RULES TO BE GIVEN TO COUNCILLORS**

A copy of these Procedure Rules, and of such statutory provisions as regulate the proceedings and business of the Council shall be provided electronically to each councillor by the Monitoring Officer on or before the councillor signs a Declaration of Acceptance of Office on being first elected to the Council.

### **30.0 INSPECTION OF DOCUMENTS**

- (a) A councillor may, for purposes of his/her duty as such councillor but not otherwise, on application in writing to the Chief Executive, inspect any document which has been considered by a committee or by the Council, and if copies are available shall on request be supplied for the like purposes with a copy of such a document.
- (b) The written application shall set out the duty which the councillor is seeking to discharge in inspecting the document and the reasoning underlying the same.
- (c) A councillor shall not knowingly inspect and shall not call for a copy of any document relating to a matter in which he/she is professionally interested or in which he/she has a Disclosable Pecuniary Interest as defined in the Code of Conduct (see Part 5 hereof) or, directly or indirectly, any pecuniary interest within the meaning of section 94 of the Local Government Act, 1972. This Procedure Rule shall not preclude the Chief Executive from declining to allow inspection of any document which, in the event of legal proceedings, would be protected by privilege arising from the relationship of solicitor and client.

### **31.0 INSPECTION OF LAND, PREMISES, ETC. BY COUNCILLORS**

A councillor shall not issue any order for goods, works or services on behalf of the Council or claim by virtue of his/her membership of the Council any right to inspect, or to enter upon any lands, offices, or premises which the Council has the power or duty to inspect or enter,

### **32.0 APPLICATION TO COMMITTEES AND SUB-COMMITTEES**

All of the Council Rules of Procedure apply to meetings of the Council. None of the rules apply to meetings of the Cabinet. Only Rules 6-27 (but not Rules 12, 13) and 26), apply to meetings of committees and sub-committees save that:

- (a) the Chairman of the meeting may at his discretion waive the prohibition on members speaking more than once as contained in Rule 15.6;

- (b) Rule 17.2 shall apply to meetings of the Planning Committee or the Licensing and Regulatory Committee only when those committees are not considering individual applications.
- (c) Rule 9 shall apply to committees and sub-committees subject to a quorum being no fewer than 3 members of the committee/sub-committee.

**33.0 DETERMINATION OF PLANNING APPLICATIONS BY THE PLANNING COMMITTEE CONTRARY TO OFFICER RECOMMENDATIONS**

The Chairman of the Planning Committee shall not accept a proposal to determine a planning application contrary to officers' recommendations unless:

- (a) a motion to approve a planning application incorporates any conditions to be attached to such approval and also includes reasons for planning permission being granted and reasons for such conditions as may be imposed.
- (b) a motion to refuse a planning application incorporates the grounds for planning permission being refused.

## **PART 4 - SECTION 2 – ACCESS TO INFORMATION PROCEDURE RULES**

### **1.0 Introduction**

These rules apply to all meetings of the Council, the Cabinet and any committees or sub-committees (together referred to in this Section as meetings).

These rules do not affect any more specific rights to information contained elsewhere in this Constitution or the law. In addition to the specific measures set out below the Council will ensure that it complies with the Openness of Local Government Bodies Regulations 2014 in making all relevant papers and documents available to members of the public.

### **2.0 Additional rights to information**

These rules do not affect any more specific rights to information contained elsewhere in this Constitution or the law nor do these rules limit or diminish the Council's duties to protect certain information, including personal information. This includes the rights and duties from the provisions of the Freedom of Information Act 2000, the Data Protection Act 1998, the General Data Protection Regulation and the Data Protection Act 2018 (when enacted).

### **3.0 Rights to Attend Meetings, Record Meetings and Public Speaking**

Members of the public may attend all meetings subject only to the exceptions in these rules.

Members of the public have a right to speak at Planning Committee in accordance with the Public Speaking at Planning Committee guidance.

Applicants or Licence Holders have a right to speak at Licensing and Regulatory Committee or Licensing Sub-Committee at a hearing relating to their application/licence.

All public meetings of the Council may be recorded; a protocol in respect of the recording of meetings is in place (Appendix B to this Section).

The Council Procedure Rules of this Constitution allow that, if a member of the public or press interrupts the proceedings at any meeting, the Chairman may warn him/her. If he/she continues the interruption and a warning has been given, the Chairman may order his/her removal from the meeting place. In the event of a general disturbance in any part of the meeting place open to the public, the Chairman may order that part to be cleared. If the Chairman considers the orderly dispatch of business impossible, the Chairman may without question adjourn the meeting.

#### **4.0 Notices of Meetings**

The Council will give at least five clear days' notice of any meeting by posting details of the meeting at District Council House, Lichfield and on its website at [Council Meetings](#).

#### **5.0 Access to Agenda and Reports before the Meeting**

The Council will make copies of the agenda and reports open to the public available for inspection at the Council Offices, Lichfield and on the website at least five clear days before the meeting. If an item is added to the agenda later, the revised agenda will be open to inspection from the time the item was added to the agenda. Where reports are prepared after the agenda has been sent out, the Monitoring Officer shall make each such report available to the public as soon as the report is completed and sent to Councillors.

#### **6.0 Supply of Copies**

Copies of :

- (i) any agenda and reports which are open to public inspection;
- (ii) any further statements or particulars necessary to indicate the nature of the items in the agenda

will be available to members of the public attending a meeting and available on the Council's website [Council Meetings](#) 5 working days prior to the meeting. .

#### **7.0 Access to Minutes etc, after the Meeting**

The Council will continue to publish on its website the following for six years after a meeting:

- (a) the minutes of the meeting or the record of decisions taken together with the reasons for those decisions, for all meetings of the Cabinet, excluding any part of the minutes of proceedings when the meeting was not open to the public or which disclose exempt or confidential information;
- (b) a summary of any proceedings not open to the public where the minutes open to inspection would not provide a reasonably fair and coherent record;
- (c) the agenda for the meeting; and
- (d) reports relating to items considered when the meeting was open to the public.

## **8.0 Background Papers**

- (a) Every report will set out a list of those documents (called background papers) relating to the subject matter of the report which in the Monitoring Officer's opinion:
  - (i) disclose any facts or matters on which the report or an important part of the report is based; and
  - (ii) which have been relied on to a material extent in preparing the report but does not include published works or those which disclose exempt or confidential information.
- (b) The Council will retain for public inspection for four years after the date of the meeting one copy of each of the documents on the list of background papers.

## **9.0 Exclusion of Access by the Public to Meetings**

**9.1** The public may only be excluded under rule 9.2 or 9.4 for the part or parts of the meeting during which it is likely that confidential or exempt information would be divulged.

### **9.2 Confidential Information – Requirement to exclude public**

The public must be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that confidential information would be disclosed.

### **9.3 Meaning of Confidential Information**

Confidential information means information given to the Council by a Government Department on terms which forbid its public disclosure or information which cannot be publicly disclosed by any enactment or Court Order.

### **9.4 Exempt Information – Discretion to exclude public**

The public may be excluded from meetings whenever it is likely in view of the nature of the business to be transacted, or due to the nature of the proceedings, that exempt information would be disclosed. A decision to exclude the public is to be made by a formal resolution of Council, committee or sub-Committee.

When the meeting will determine any person's civil rights or obligations, or adversely affect their possessions, Article 6 of the Human Rights Act, 1998

establishes a presumption that the meeting will be held in public unless a private hearing is necessary for one of the reasons specified in Article 6.

## 9.5 Meaning of Exempt Information

Exempt information means information falling within the following categories (subject to any condition):

<u>Category</u>
1. Information relating to any individual.
2. Information which is likely to reveal the identity of an individual.
3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).
4. Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
6. Information which reveals that the authority proposes— (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment.
7. Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.
Conditions
A. Information falling within paragraph 3 above is not exempt information by virtue of that paragraph if it is required to be registered under— (a) the Companies Acts (as defined in Section 2 of the Companies Act 2006) (b) the Friendly Societies Act, 1974; (c) the Friendly Societies Act, 1992; (d) the Industrial and Provident Societies Acts, 1965 to 1978; (e) the Building Societies Act, 1986; or (f) the Charities Act, 1993.
B. Information is not exempt information if it relates to proposed development for which the local planning authority may grant itself planning permission pursuant to

- C. Information which—
- (a) falls within any of paragraphs 1 to 7 above; and
  - (b) is not prevented from being exempt by virtue of paragraph 8 or 9 above, is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

## **10.0 Exclusion of Access by the Public to Reports**

With the approval of the Director of Transformation and Resources, the Council may withhold public access to reports which, in the opinion of the Monitoring Officer, relate to items during which, in accordance with Rule 9, the meeting is likely not to be open to the public. Such reports will be marked "Not for Publication" together with the category of information likely to be disclosed. If the information is exempt information the category of exemption must also be marked in the report.

## **11.0 Cabinet and Officer Decisions**

### **(a) Advance notice of key decisions**

- (i) The Cabinet is required to give advance notice of forthcoming "Key Decisions", which are defined as any Cabinet, Committee of Cabinet, individual member or officer decision in the course of exercise of an executive function decision likely to:
  - result in the Council incurring expenditure which is or the making of savings which are significant having regard to the Council's budget for the service or function to which the decision relates or
  - be significant in terms of its effects on communities living or working in an area comprising two or more wards within the area of the Council

In addition, any decision involving expenditure or savings of over £75,000 (but excluding any decision relating to investment/withdrawal of Council monies as part of Treasury Management Procedures) will be considered to be a key decision.

Subject to Rule 11(d) (general exception) and Rule 11(e) (special urgency), a key decision may not be taken unless:

- A Notice of Key Decision has been published in connection with the matter in question;

- at least 28 clear days has elapsed since the publication of the Notice of Key Decision; and
- where the decision is to be taken at a meeting of the Cabinet notice of the meeting has been given in accordance with Rule 4 (Notice of Meetings).

**(b) Contents of Notice of Key Decision**

The Notice of Key Decision will state that a key decision is to be taken by the Cabinet, an individual Cabinet Member or an officer in the course of the discharge of an executive function. It will describe the following particulars:

- (i) the matter in respect of which the decision is to be made;
- (ii) where the decision maker is an individual, the name and title of the decision maker, and where the decision maker is a body, its name and a list of its membership;
- (iii) the date on which, or the period within which, the decision is to be made;
- (iv) a list of the documents submitted to the decision maker for consideration in relation to the matter;
- (v) the address from which, subject to any prohibition or restriction on their disclosure, copies of, or extracts from, any document listed is available;
- (vi) that other documents relevant to the matter may be submitted to the decision maker; and
- (vii) the procedure for requesting details of those documents (if any) as they become available.

**(c) Publication of the Notice of Key Decision**

The Notice of Key Decision must be made available for inspection by the public at the Council Offices, Lichfield and on the Council's website [Forward Plan](#) and a link to the Forward Plan will be sent to all Members of the Council digitally.

**(d) General Exception**

If a Notice of Key Decision has not been published, then subject to Rule 11(e) (special urgency), the decision may still be taken if:

- (i) the decision must be taken by such a date that it is impracticable to publish a Notice of Key Decision;



- (ii) the Monitoring Officer has informed the Chairman of the Overview and Scrutiny Committee, or in his/her absence the Vice-Chairmen, in writing, or if there is no such person, each member of that committee in writing, by notice, of the matter about which the decision is to be made;
- (iii) the Monitoring Officer has made copies of that notice available to the public at the Council Offices, Lichfield, and publish the notice on the [Forward Plan](#) and
- (iv) at least 5 clear days have elapsed since the Monitoring Officer complied with 11 (d) (ii) and (iii).

As soon as reasonably practicable after the Monitoring Officer has complied with Rule 11(e), he/she must make available at Council Offices Lichfield and publish on the [Forward Plan](#) the reasons why compliance with Rule 11(a) is impractical.

At least once a year a report must be taken to full Council setting out all executive decisions taken under urgency provisions.

**(e) Special Urgency**

If by virtue of the date by which a key decision must be taken Rule 11(d) (general exception) cannot be followed, then the key decision can only be taken with the agreement of the Chairman of the relevant Overview and Scrutiny Committee that the taking of the decision cannot be reasonably deferred.

As soon as reasonably practicable after agreement has been obtained under Rule 11(e), the decision maker must make available at Council Offices Lichfield and publish on [Forward Plan](#) a notice setting out the reasons that the decision is urgent and cannot reasonably be deferred.

**(f) Notice of Private Meetings of the Cabinet**

At least 28 clear days before a private meeting the Cabinet must:-

- (i) make available at the offices of the Council a notice of its intention to hold the meeting in private (a "Notice of Private Meeting") including reasons for doing so; and
- (ii) publish that notice on the Council's website.

At least five clear days before a private meeting, the Cabinet must:-

- (i) make available at the Council Offices, Lichfield, a further notice of its intention to hold the meeting in private; and
- (ii) publish that notice on the Council's website.

This further notice must include:-

- (i) a statement of the reasons for the meeting to be held in private
- (ii) details of any representations received by the Cabinet about why the meeting should be open to the public; and
- (iii) a statement of the response of the Cabinet to any such representations.

Where the date by which a meeting must be held makes compliance with this Rule impractical, the meeting may only be held in private where the Cabinet has obtained agreement that the meeting is urgent and cannot reasonably be deferred from the Chairman of the Overview and Scrutiny Committee

As soon as reasonably practicable after the Cabinet has obtained agreement to hold a private meeting, it must

- (i) make available at the Council Offices, Lichfield, a notice setting out the reasons why the meeting is urgent and cannot reasonably be deferred; and
- (ii) publish that notice on the Council's website.

**(g) Where the Chairman of the Overview and Scrutiny Committee is Unable to Act**

Where the agreement of the Chairman of the Overview and Scrutiny is required by 11(d) or 11(e) and where there is no Chairman of the Overview and Scrutiny Committee, or if the Chairman of the Overview and Scrutiny Committee is unable to act, then agreement shall be sought from the Vice-Chairmen of the Overview and Scrutiny Committee.

If there is no Vice-Chairmen of the Overview and Scrutiny Committee or the Vice-Chairmen of the Overview and Scrutiny Committee are unable to act, then the agreement of the Chairman of the Council, or in his/her absence the Vice Chairman of the Council will suffice.

**(h) Attendance at Private Meetings of the Cabinet**

All members of the Cabinet will be served notice of all private meetings of the Cabinet and shall be entitled to attend private meetings of the Cabinet unless precluded from doing so by law or by the Code of Conduct for Members. Members other than Cabinet members will not be entitled to attend private meetings of the Cabinet.

**(i) Recording a Decision by the Cabinet or other Individual Cabinet Member or a Key Decision by an officer**

As soon as reasonably practicable after a Cabinet decision has been made by the Cabinet collectively or by an individual Cabinet Member, the Cabinet or Cabinet Member, or in the case of a key decision made by an officer, the officer shall make a written record of that decision which shall include:

- (a) record of the decision including the date;
- (b) record of reasons for the decision;
- (c) details of alternative options considered;
- (d) record of any conflict of interest declared; and
- (e) any dispensation granted by Audit and Member Standards Committee or Head of Paid Service, where appropriate.

Records of Cabinet and Key officer decisions shall be sent to the Monitoring Officer who shall maintain such records and shall publish them on the Council's website, together with a copy of any report considered and any background papers.

Rules 11(i)(b) and 11(i)(c) do not apply where the publication of a report or background paper would be likely to disclose exempt or confidential information

## **Filming, Videoing, Photography and**

### **Audio Recording at council meetings**

Lichfield District Council is committed to being open and transparent in the way it conducts its business. The press and members of the public are therefore welcome to film, photograph or record decision making in action at any meeting that is open to the public.

The Council also welcomes the use of social media.

This Protocol provides practical information to assist anyone considering filming, videoing, photographing or making audio recordings of meetings.

#### **Before the meeting**

Anyone intending to film or record a meeting is encouraged to contact the Head of Legal, Property and Democratic Services for advice and guidance. Reasonable advance notice will enable practical arrangements to be made and any special requirements to be discussed.

Flash photography, additional lighting or large equipment will not be permitted, unless agreed in advance and it can be accommodated without causing disruption to the proceedings. Requests to use equipment of this nature will be subject to consideration of the constraints of the meeting rooms.

#### **General**

The Chairman of the meeting or the relevant Cabinet Member will be informed of any intention to film and s/he will make an announcement to attendees before the start of the meeting informing attendees that the meeting may be filmed.

Notice of the filming/recording/broadcasting of meetings will be displayed in and outside the place of meeting and meeting agendas will include the following:

“The Council, members of the public and the press may record/film/photograph or broadcast this meeting when the public and the press are not lawfully excluded. Any member of the public who attends a meeting and objects to being filmed should advise the Head of Legal, Property and Democratic Services (in advance) who will instruct that they are not included in the filming.”

Members of the public speaking at, or attending, the meeting (including asking questions or presenting petitions) must not be filmed if they have indicated that they do not wish to be

included.

Recording and reporting the council's meetings is subject to the law and it is the responsibility of those doing the recording and reporting to ensure compliance. This will include the Human Rights Act, the Data Protection Act, GDPR and the laws of libel and defamation.

Any person or organisation choosing to film, record or broadcast any meeting of the Council, its Cabinet or committees is responsible for any claims or other liability resulting from them so doing and by choosing to film, record or broadcast proceedings they accept that they are required to indemnify the Council, its members and officers in relation to any such claims or liabilities.

The Council will display the requirements as to filming, recording and broadcasting at its meeting venues and those undertaking these activities will be deemed to have accepted them whether they have read them or not.

The Council will publish the guidance on the filming, recording and broadcasting of meetings on its website.

Filming or recording must be non-intrusive and the Council's Rules of Procedure Rule 22 provides for the removal of a member of the public from a meeting should that person, having been warned, continue to interrupt proceedings. The Chairman of a meeting or an individual Cabinet Member may also call any part of the meeting room to be cleared in the event of a general disturbance.

It should be noted that the Chairman of a meeting will have absolute discretion to terminate or suspend any of the above activities if, in his/her opinion, continuing to do so would prejudice the running of the meeting. The circumstances in which termination or suspension might occur could include:

- public disturbance, disruption or suspension of the meeting.
- the meeting agreeing to formally exclude the press and public from the meeting due to the exempt/confidential nature of the business being discussed, in accordance with statutory procedures.
- where it is considered that continued recording/ photography/ filming/ webcasting might infringe the rights or privacy of any individual (including staff members), or intimidate them.
- for any other reason which the Chairman considers reasonable in the circumstances.

### **During the meeting**

Filming or recording of Meetings should:

- Not interfere with the effective conduct of the meeting, nor should it be disruptive or distracting. The Chairman or the Cabinet Member has discretion to suspend or

stop filming or recording at any time if and to take appropriate action if anyone is, in his/her opinion, doing so in a disruptive manner.

- Not seek to 'overview' sensitive information such as close ups of confidential papers or private notes
- Usually take place from a specified location(s) within the room.
- Not obstruct others from observing and participating in the proceedings.
- Cease immediately if and when the meeting agrees to formally exclude the Press and public due to business of an Exempt or Confidential nature (see 'Exempt or confidential business' below).
- Not be edited in a way that could lead to misinterpretation of the proceedings or the comments made, or that ridicules those being filmed.
- When published or broadcast, recordings should be accompanied by information including when and where the recording was made and the context in which the discussion took place.
- Be overt (i.e. clearly visible to anyone at the meeting).
- Cease, unless continued filming has been explicitly agreed in advance with the Head of Legal, Property and Democratic Services, when the meeting is formally concluded.

### **Exempt or confidential business**

All meetings of the Cabinet, Committee, Sub Committee and Panel meetings are open to the public except in limited circumstances where the Council is legally required, or allowed, to close the meeting to the public. The circumstances where business is 'exempt' or 'confidential' are set out in Section 2 Part 4 of the Council's Constitution.

## **PART 4 - SECTION 3 - BUDGET AND POLICY FRAMEWORK PROCEDURE RULES**

### **1.0 The Framework for Cabinet Decisions**

The Council will be responsible for the adoption of its Budget and Policy Framework as set out in Article 4. Once a Budget or a Policy Framework is in place, it will be the responsibility of the Cabinet to implement it. References in these rules to the Policy Framework are to the plans and strategies required by law to be adopted by the Council as set out in Article 4.

#### **Process for developing Policy Framework**

- 1.1 The Leader of the Council will publicise at the Council's offices and on its website, a timetable for making proposals to the Council for the adoption of any plan, strategy, or budget that forms part of the Budget and Policy Framework, and its arrangements for consultation after publication of those initial proposals. The Chairman of the Strategic Overview and Scrutiny Committee and the Chairman of the Audit and Member Standards Committee will also be notified. The consultation period shall, in each instance, be dependent on the nature or complexity of the plan strategy or budget in question."
- 1.2 At the end of that period, the Cabinet will then draw up firm proposals having regard to the responses to that consultation. The Cabinet will then consult the relevant Overview and Scrutiny Committee on the proposals. It will be open to the Overview and Scrutiny Committee to investigate, research or report in detail with policy recommendations before the end of the consultation period. The Cabinet will take any response submitted from the Overview and Scrutiny Committee into account in drawing up firm proposals for submission to the Council, and its report to Council will reflect the comments made by consultees, and the Cabinet's further response.
- 1.3 Once the Cabinet has approved the firm proposals, they will be referred at the earliest opportunity to the Council for decision.
- 1.4 In reaching a decision, the Council may adopt the Cabinet's proposals, amend them, refer them back to the Cabinet for further consideration, or in principle, substitute its own proposals in their place.
- 1.5 If it accepts the recommendation of the Cabinet without amendment, the Council may make a decision which has immediate effect. Otherwise, it may only make an in-principle decision. In either case, the decision will be made on the basis of a simple majority of votes cast at the meeting.
- 1.6 The decision will be publicised.
- 1.7 Where the Cabinet has submitted a draft plan or strategy to the Council for its consideration and, following consideration of that draft plan or strategy, the Council has any objections to it, the Council must take the action set out in Rule 1.8 below.

1.8. Before the Council:

1.8.1 amends the draft plan or strategy;

1.8.2 approves, for the purpose of its submission to the Secretary of State or any Minister of the Crown for his approval, any plan or strategy (whether or not in the form of a draft) of which any part is required to be so submitted; or

1.8.3 adopts (with or without modification) the plan or strategy,

it must inform the Leader of the Council of any objections which it has to the draft plan or strategy and must give to him instructions requiring the Cabinet to reconsider, in the light of those objections, the draft plan or strategy submitted to it.

1.9 Where the Council gives instructions in accordance with Rule.1.8, it must specify a period of at least five working days beginning on the day after the date on which the Leader of the Council receives the instructions within which the Leader of the Council may:-

1.9.1 submit a revision of the draft plan or strategy as amended by the Cabinet (the “revised draft plan or strategy”), with the Cabinet’s reasons for any amendments made to the draft plan or strategy, to the Council for its consideration; or

1.9.2 inform the Council of any disagreement that the Cabinet has with any of the Council’s objections and the Cabinet’s reasons for any such disagreement.

1.10 When the period specified by the authority, referred to in paragraph 1.9, has expired, the Council must, when:-

1.10.1 amending the draft plan or strategy or, if there is one, the revised draft plan or strategy;

1.10.2 approving, for the purpose of its submission to the Secretary of State or any Minister of the Crown for his approval, any plan or strategy (whether or not in the form of a draft or revised draft) of which any part is required to be so submitted; or

1.10.3 adopting (with or without modification) the plan or strategy,

take into account any amendments made to the draft plan or strategy that are included in any revised draft plan or strategy, the Cabinet’s reasons for those amendments, any disagreement that the Cabinet has with any of the Council’s objections and the Cabinet’s reasons for that disagreement, which the Leader of the Council submitted to the Council, or informed the Council of, within the period specified.



## Process for developing the Budget/MTFS

- 1.11 Subject to Rule 1.15, where the Cabinet submits to the Council for its consideration in relation to the following financial year:-
- 1.11.1 estimates of the amounts to be aggregated in making a calculation (whether originally or by way of substitute) in accordance with any of sections 32 to 37 or 43 to 49, of the Local Government Finance Act 1992;
  - 1.11.2 estimates of other amounts to be used for the purposes of such a calculation;
  - 1.11.3 estimates of such a calculation; or
  - 1.11.4 amounts required to be stated in a precept under Chapter IV of Part I of the Local Government Finance Act 1992,
- and following consideration of these estimates or amounts the Council has any objections to them, it must take the action set out in Rule 1.12.
- 1.12 Before the Council makes a calculation (whether originally or by way of substitute) in accordance with any of the sections referred to in Rule 1.11.1, or issues a precept under Chapter IV of Part I of the Local Government Finance Act 1992, it must inform the Leader of the Council of any objections which it has to the Cabinet's estimates or amounts and must give to him instructions requiring the Cabinet to reconsider, in the light of those objections, those estimates and amounts in accordance with the Council's requirements.
- 1.13 Where the Council gives instructions in accordance with Rule 1.12, it must specify a period of at least five working days beginning on the day after the date on which the Leader of the Council receives the instructions on behalf of the Cabinet within which the Leader of the Council may:-
- 1.13.1 submit a revision of the estimates or amounts as amended by the Cabinet ("revised estimates or amounts"), which have been reconsidered in accordance with the Council's requirements, with the Cabinet's reasons for any amendments made to the estimates or amounts, to the Council for the Council's consideration; or
  - 1.13.2 inform the Council of any disagreement that the Cabinet has with any of the Council's objections and the Cabinet's reasons for any such disagreement.
- 1.14 When the period specified by the Council, referred to in Rule 1.13, has expired, the Council must, when making calculations (whether originally or by way of substitute) in accordance with the sections referred to in Rule 1.13, or issuing a precept under Chapter IV of Part I of the Local Government Finance Act 1992, take into account:-
- 1.14.1 any amendments to the estimates or amounts that are included in any revised estimates or amounts;

1.14.2 the Cabinet's reasons for those amendments;

1.14.3 any disagreement that the Cabinet has with any of the Council's objections;  
and

1.14.4 the Cabinet's reasons for that disagreement,

which the Leader of the Council submitted to the Council, or informed the Council of, within the period specified.

1.15 The above Rules shall not apply in relation to -

1.15.1 calculations or substitute calculations which the Council is required to make in accordance with relevant legislation; and

1.15.2 amounts stated in a precept issued to give effect to calculations or substitute calculations made in accordance with relevant legislation.

1.16 In approving the Budget and Policy Framework, the Council will also specify the extent of virement within the Budget and degree of in-year adjustments to the Policy Framework which may be undertaken by the Cabinet, in accordance with these Rules and the Financial Procedure Rules. Any other changes to the policy and budgetary framework are reserved to the Council.

1.17 The Cabinet will in addition to the above provisions consult the Scrutiny Committee regularly in the process of preparing the draft budget and draft plans and strategies and, where appropriate, stakeholders.

## **2.0 Decisions outside the Budget and Policy Framework**

2.1 Subject to the provisions of Rule 1.16 and Rule 3.3 below the Cabinet members of the Cabinet, and any officers discharging Cabinet functions may only take decisions which are in line with the Budget and Policy Framework. If any of these bodies or persons considers it desirable for a decision to be made which is contrary to the Policy Framework, or contrary to or not wholly in accordance with the Budget approved by the Council, that decision may only be taken by the Council, subject to Rule 3.3 below.

## **3.0 Urgent decisions outside the Budget or Policy Framework**

3.1 The Cabinet may take a decision which is contrary to the Council's Policy Framework or contrary to or not wholly in accordance with the budget approved by full Council if the decision is a matter of urgency. However, the decision may only be taken if it is not practical to convene a meeting of the full Council and the Chairman of the Strategic Overview and Scrutiny Committee or in his absence the Vice-Chairmen of the Strategic Overview and Scrutiny Committee agrees that the decision needs to be taken as a matter of urgency.

- 3.2 The reasons why it is not practical to convene a meeting of the Council and the Chairman of the Overview and Scrutiny Committee's consent to the decision being taken as a matter of urgency must be noted on the record of the decision.
- 3.3 Following the decision, the Cabinet will provide a full report to the next available Council meeting explaining the decision, the reasons for it, and why the decision was treated as a matter of urgency.

#### **4.0 Virement**

- 4.1 The Financial Procedure Rules set out the arrangements for authorising virement between budget heads. Virement of expenditure permitted under the Financial Procedure Rules shall be deemed to be expenditure within the Council's Budget. Virement between budget heads is an integral and important feature of budgetary control. It allows service providers to adapt to service changes within the Council Policy Framework. The details of virement can be found in Financial Procedures Rules in Part 4 of the Constitution.

#### **5.0 In-year changes to Policy Framework**

The responsibility for agreeing the Budget and Policy Framework lies with the Council, and decisions by the Cabinet, members of the Cabinet, or officers discharging Cabinet functions must be in line with it. No changes to any policy and strategy which make up the Policy Framework may be made by those bodies or individuals except as set out in Rules 2.0, 3.0 and 4.0 above.

#### **6.0 Call-in of decisions outside the Budget or Policy Framework**

Save in the circumstances referred to in Rule 3.0 above, if the Monitoring Officer and/or Chief Finance Officer consider that a proposed decision would be contrary to the Policy Framework or contrary to or not wholly in accordance with the Budget, no action may be taken in respect of the decision or its implementation until the Council has met and considered the matter. The Council may:

- (a) determine that the proposed decision falls within the existing Budget and Policy Framework. In this case no further action is required, save that the decision of the Council shall be minuted and circulated to all councillors in the normal way; or
- (b) amend the Council's policy concerned to encompass the decision or proposal of the body or individual responsible for that Cabinet function and agree to the decision with immediate effect. In this case, no further action is required save that decision of the Council shall be minuted and circulated to all councillors in the normal way; or
- (c) where the Council accepts that decision or proposal is contrary to the Policy Framework or contrary to or not wholly in accordance with the Budget, and

does not amend the existing policy or budget to accommodate it, require the Cabinet to reconsider the matter; or

- (d) approve the decision or proposal as an exception to the policy; or
- (e) provide the relevant budgetary provision for the decision or proposal.

## **PART 4 - SECTION 4 - CABINET PROCEDURE RULES**

### **1.0 How Does the Cabinet Operate**

#### **1.1 Who may make Cabinet decisions?**

Cabinet functions may be discharged by:

- (i) the Cabinet as a whole;
- (ii) an individual member of the Cabinet;
- (iii) an officer;

#### **1.2 Delegation by the Leader**

Following the annual meeting of the Council, the Monitoring Officer will, at the direction of the Leader, draw up a written record of executive delegations made by the Leader for inclusion in the Council's scheme of delegation at Part 3 to this Constitution. This will contain the following information about executive functions in relation to the coming year:

- 1.2.1 the extent of any authority delegated to Cabinet members individually, including details of the limitation on their authority;
- 1.2.2 the nature and extent of any delegation to officers with details of any limitation on that delegation, and the title of the officer to whom the delegation is made.

#### **1.3 Sub-delegation of executive functions**

- 1.3.1 Where the Cabinet or an individual member of the Cabinet is responsible for an executive function, they may delegate further to an officer.
- 1.3.2 Where executive functions have been delegated, that fact does not prevent the discharge of delegated functions by the person or body who delegated.

#### **1.4 The Council's scheme of delegation and executive functions**

- 1.4.1 The Leader may amend the scheme of delegation relating to executive functions at any time. In doing so the Leader will give written notice to the Monitoring Officer and to the person, body or committee concerned. The notice must set out the extent of the amendment to the scheme of delegation, and whether it entails the withdrawal of delegation from any person, body or committee. The Monitoring Officer will present a report to the next ordinary meeting of the Council setting out the changes made by the Leader.

## **1.5 Cabinet meetings – when and where?**

The frequency and timing of meetings of the Cabinet will be determined by the Leader. The Cabinet will meet at the Council's Main Offices, Lichfield or another location to be agreed by the Leader of the Council.

## **1.6 Public or private meetings of the Cabinet?**

The Cabinet will meet in public subject to the right to meet in private under the Local Government Act 1972 (as reflected in the Access to Information Rules in Part 4 of this constitution).

## **1.7 Quorum**

The quorum for a meeting of the Cabinet shall be 3 including either the Leader or the Deputy Leader.

## **1.8 How are decisions to be taken by the Cabinet?**

Cabinet decisions which have been delegated to the Cabinet will be taken at a meeting convened in accordance with the Access to Information Rules in Part 4 of this Constitution.

## **2.0 How Are Cabinet Meetings Conducted?**

### **2.1 Who presides?**

If the Leader of the Council is present, he/she will preside. In his/her absence, the Deputy Leader of the Council will preside.

### **2.2 Who may attend?**

Details are set out in the Access to Information Rules in Part 4 of this Constitution.

### **2.3 What business?**

At each meeting of the Cabinet the following business will be conducted:

- (i) apologies for absence;
- (ii) declarations of interest, if any;
- (iii) matters set out in the agenda for the meeting, including matters referred to the Cabinet (whether by a scrutiny committee, or by the Council) for reconsideration by the Cabinet in accordance with the provisions contained in the Overview and Scrutiny Procedure Rules or the Budget and Policy Framework Procedure Rules set out in Part 4 of this Constitution; and consideration of reports from the Overview and Scrutiny Committees. The agenda shall indicate which are key decisions and which are not to be

considered in public in accordance with the Access to Information Procedure Rules set out in Part 4 of this Constitution.

## 2.4 Consultation

All reports to the Cabinet from any member of the Cabinet on proposals relating to the budget and policy framework must contain in a standard paragraph of the report details of the nature and extent of consultation with stakeholders and the relevant scrutiny committee, and the outcome of that consultation. Reports about other matters will set out the details and outcome of consultation as appropriate. The level of consultation required will be appropriate to the nature of the matter under consideration.

## 2.5 Who can put items on the Cabinet agenda?

- (i) The Leader of the Council will decide upon the schedule for the meetings of the Cabinet. He/she may put on the agenda of any Cabinet meeting any matter which he/she wishes and which is a matter which may be the responsibility of the Cabinet or a Cabinet Member. The Director of Transformation and Resources shall comply with the Leader of the Council's requests in this respect.
- (ii) Any member of the Cabinet may require the Director of Transformation and Resources to place an item on the agenda of the next available meeting of the Cabinet for consideration. If he/she receives such a requirement in writing the Leader of the Council will comply with it;
- (iii) The Director of Transformation and Resources will place on the agenda of the next or next but one meeting of the Cabinet any item which the Council or a scrutiny committee have resolved that be considered by the Cabinet;
- (iv) Any councillor may ask the Leader of the Council to put an item on the agenda of a Cabinet meeting for consideration, and if the Leader of the Council agrees the item will be considered at the next or next but one meeting of the Cabinet. The notice of the meeting will give the name of the councillor who asked for the item to be considered. The councillor will be invited to attend the meeting, whether or not it is a public meeting.
- (v) The Monitoring Officer and/or the Chief Finance Officer and/or the Chief Executive may place an item for consideration on the agenda of a Cabinet meeting and may request the Chief Executive to call such a meeting in pursuance of their statutory duties. The Chief Executive will comply with that request. If there is no meeting of the Cabinet timely enough to deal with the issue in question, the Chief Executive shall convene an earlier meeting of it at which the matter will be considered.

## **PART 4 - SECTION 5 – OVERVIEW AND SCRUTINY PROCEDURE RULES**

**1.0** The Council at its annual meeting will appoint a Strategic Overview and Scrutiny Committee, an Economic Growth, Environment & Development (Overview & Scrutiny) Committee, a Community, Housing and Health (Overview & Scrutiny) Committee and a Leisure, Parks & Waste Management (Overview & Scrutiny) Committee known collectively as “the scrutiny committees”. The scrutiny committees may appoint sub-committees, panels or task groups.

1.1 The scrutiny committees will perform all overview and scrutiny functions on behalf of the Council, in accordance with this Constitution.

1.2 The terms of reference of the scrutiny committees are set out in Part 3 of this Constitution.

### **2.0 WHO MAY SIT ON THE SCRUTINY COMMITTEES**

2.1 All Councillors except members of the Cabinet shall be eligible to serve on the scrutiny committees. However, no councillor may be involved in scrutinising a decision in which he/she has been directly involved.

### **3.0 CO-OPTees**

3.1 The scrutiny committees shall be entitled to appoint persons as non-voting co-optees.

### **4.0 MEETINGS OF THE SCRUTINY COMMITTEES**

4.1 Meetings will be held in accordance with the schedule of meetings approved by the Council and additional meetings may be called from time to time as and when appropriate. A scrutiny committee meeting may be called by a Chairman of the relevant scrutiny committee, by any member of the committee, or by the Chief Executive if he/she considers it necessary or appropriate.

### **5.0 QUORUM**

5.1 The quorum for the scrutiny committees shall be one quarter of the voting members of the committee or three voting members whichever is the greater number.

### **6.0 WHO CHAIRS OVERVIEW AND SCRUTINY COMMITTEE**

6.1 The Chairmen of the scrutiny committees will be drawn from among the members sitting on the relevant committee, save that the Chairman or Vice-Chairman of the Council shall not be the chairman or vice-chairman of a scrutiny committee. The Chairman of the Strategic Overview and Scrutiny Committee may not also chair one of the Overview and Scrutiny Committees.



## **7.0 SCRUTINY WORK PROGRAMME**

Overview and Scrutiny Committees will prepare their work plan each year and update it regularly and these will be reviewed by the Overview and Scrutiny Coordinating Group.

### **The Overview & Scrutiny Coordinating Group**

#### **Membership**

- 7.1 The Overview and Scrutiny Coordinating Group (the Group) will comprise the chairmen and vice-chairmen of each of the overview and scrutiny committees along with Leader of the Council, Deputy Leader and Leader of the Principal Minority Group. The Chairman of the Strategic Overview and Scrutiny Committee shall be the Chairman of the Coordinating Group.
- 7.2 The Group will meet no less than twice per year.

#### **Responsibility**

- 7.3 The Group will be responsible for supporting the preparation of the work programmes of the Overview and Scrutiny committees to ensure that the work programmes are meaningful, avoid duplication, are properly scoped and resourced and are timely.
- 7.4 Where more than one committee has an interest in a subject, the Group will identify the Committee to take the lead and will support the Chairman of that Committee to find ways of engaging with the other interested Committees.

#### **Reporting**

- 7.5 Proposed work programmes will be considered by the relevant Overview and Scrutiny Committees at each meeting.
- 7.6 The Group will report annually to Council on the working of the overview and scrutiny functions and may make recommendations for improvement.

## **8.0 AGENDA ITEMS**

- 8.1 Any member of the Overview and Scrutiny Committee shall be entitled to give notice to the Chairman of the relevant Overview and Scrutiny Committee or the Chairman of the Co-ordinating Group that he/she wishes an item relevant to the functions of a scrutiny committee to be included on the agenda for the next available meeting of the relevant committee.

## **9.0 REVIEW OF COUNCIL ACTIVITIES**

9.1 The Overview and Scrutiny Committee shall also respond, as soon as its work programme permits, to requests from the Council and, if it considers it appropriate, the Cabinet, to review particular areas of Council activity. Where it does so, the Overview and Scrutiny Committee shall report its findings and any recommendations back to the Cabinet and/or the Council. The Council and/or the Cabinet shall consider the report of the Overview and Scrutiny Committee at its next or next but one meeting.

## **10.0 COUNCILLOR CALL FOR ACTION**

10.1 Any member of the Council may refer a matter which affects their ward to the relevant Overview and Scrutiny Committee (except that a member may not exercise this right relevant to a matter upon which they may exercise Cabinet powers).

10.2 Any member referring a Councillor Call for Action shall have the right to:-

- make representations to the relevant Overview and Scrutiny Committee as to why the committee should scrutinise the matter
- if the Overview and Scrutiny Committee decides not to scrutinise the matter, receive reasons from the committee for not doing so.
- if the Overview and Scrutiny Committee decides to scrutinise the matter, receive the committee report and/or recommendation(s)

## **11.0 POLICY REVIEW AND DEVELOPMENTS**

11.1 The role of the Overview and Scrutiny Committee in relation to the development of the Council's budget and policy framework is set out in detail in the Budget and Policy Framework Procedure Rules.

11.2 In relation to the development of the Council's approach to other matters not forming part of its policy and budget framework, the scrutiny committees may make proposals to the Cabinet for developments insofar as they relate to matters within their terms of reference;

11.3 The scrutiny committees may hold enquiries and investigate the available options for future direction in policy development and may appoint advisers and assessors to assist it in this process within the budgetary provision assigned to it. It may go on site visits, conduct public surveys, hold public meetings, commission research and do all other things that it reasonably considers necessary to inform its deliberations within such budgetary provision. It may ask witnesses to attend to address it on any matter under consideration and may pay to any advisers, assessors, and witnesses a reasonable fee and expenses for doing so within the budgetary provision assigned to it.

## **12.0 REPORTS FROM THE SCRUTINY COMMITTEES**

- 12.1 Once it has formed recommendations on proposals, the Chairman of the scrutiny committee will prepare a formal report and submit it to the Director of Transformation and Resources for consideration by Council or by the Cabinet which shall consider and respond to the recommendations.
- 12.2 The Council or the Cabinet shall consider the report of the scrutiny committee at its next or next but one meeting.

## **13.0 MAKING SURE THAT SCRUTINY REPORTS ARE CONSIDERED BY THE CABINET**

- 13.1 The reports of the scrutiny committees referred to the Cabinet shall be included in the agenda by the Director of Transformation and Resources at the next or next but one meeting.
- 13.2 Where a scrutiny committee prepares a report for consideration in relation to a matter where the Council has delegated decision making power to an individual member of the Cabinet, the scrutiny committee, will submit a copy of its report to him/her for consideration and, at the same time send a copy of the report to the Director of Transformation and Resources. The member with delegated decision making power must consider the report and respond in writing to the scrutiny committee, within four weeks of receiving it. A copy of his/her written response to it shall be sent to the Director of Transformation and Resources and the Leader of the Council. The member will also, at the request of the scrutiny committee, attend a future meeting of the scrutiny committee, to present the response.

## **14.0 SCRUTINY OF CABINET DECISIONS**

- 14.1 Once any proposed decision (whether or not the proposal constitutes a key decision) has been considered by the Overview and Scrutiny Committee, and subject to that committee having no adverse comments to make thereon, any decision of the Cabinet or a Cabinet Member in accordance with that proposal will not be subject to further call in and, unless prescribed by law or the Council's Constitution, not subject to any requirement for approval by Council.
- 14.3 Where a Cabinet decision has been made (either by the Cabinet, a Cabinet Member or an officer) and that decision was not treated as a key decision and the Overview and Scrutiny Committee are of the opinion that the decision should have been treated as a key decision, the Overview and Scrutiny Committee may require the Cabinet or officer to submit a report to full Council within a reasonable period. The report must include details of the decision and reasons for it, by whom the decision was taken and the reasons for not classing the decision as key.

## **15.0 COUNCILLORS AND EMPLOYEES GIVING ACCOUNT**

- 15.1 Within its terms of reference each scrutiny committee may scrutinise and review decisions made or actions taken in connection with the discharge of any Council functions. As well as reviewing documentation, in fulfilling the scrutiny role, it may

require, in accordance with any protocol the Council may adopt, any member of the Cabinet, the Chief Executive, or any employee to attend before it to explain in relation to matters within their remit:

- any particular decision or series of decisions;
- the extent to which the actions taken implement Council policy; and/or
- their performance,

and it is the duty of those persons to attend if so required.

15.2 Where any member of the Cabinet or employee is required to attend a scrutiny committee, under this provision, the chairman of that committee or panel will inform the Director of Transformation and Resources. The Director of Transformation and Resources shall inform the councillor or employee in writing giving at least 5 working days' notice of the meeting at which he/she is required to attend. The notice will state the nature of the item on which he/she is required to attend to give account and whether any papers are required to be produced for the committee. Where the account to be given to the committee will require the production of a report, the councillor or employee concerned will be given sufficient notice to allow for preparation of that documentation.

15.3 Where, in exceptional circumstances, the member of the Cabinet or employee is unable to attend on the required date, the Chairman of the scrutiny committee, shall, in consultation with the councillor or employee, arrange an alternative date for attendance to take place within a maximum of 21 days from the date of the original request, unless an extended period is agreed by the relevant chairman.

## **16.0 ATTENDANCE BY OTHERS**

16.1 A scrutiny committee may invite people other than those people referred to in paragraph 16 above to address it, discuss issues of local concern, and/or answer questions. It may for example wish to hear from residents, stakeholders (including partner organisations), and councillors and employees in other local authorities and shall invite such people to attend.

16.2 With the agreement of the relevant chairman, all non-Cabinet members may make representations to a scrutiny committee, of which they are not a member, although they may not take part in the debate or formally put forward proposals.

16.3 With the agreement of the relevant scrutiny committee, a Cabinet member may make representations to a scrutiny committee acting in his/her capacity as a Ward Councillor, subject to the matter under consideration not falling within that Member's responsibilities, but may not take part in the debate or formally put forward proposals.

16.4 With the agreement of the relevant scrutiny committee chairman, a non-Cabinet member excluded under Paragraph 2.1 may make representations to a scrutiny

committee acting in his/her capacity as Ward Councillor, but may not take part in the debate formally put forward proposals or vote on relating to a decision in which he/she has been directly involved and even if he/she is a member of the Committee

- 16.5 Nothing in the Overview and Scrutiny Procedure Rules 18.2 and 18.3 inhibits a member's ability to submit a Councillor Call for Action pursuant to Overview and Scrutiny Procedure Rule 10.

## **17.0 CALL-IN**

- 17.1 When a decision is proposed by the Cabinet or an individual Cabinet Member, notice of it shall be published, by electronic means (. All non-Cabinet members, together with the Monitoring Officer and Chief Finance Officer will be sent copies within the same timescale by the person responsible for proposing the decision.
- 17.2 The notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of 5 working days after the publication of the proposed decision, unless the Chairman or Vice-Chairmen of Overview and Scrutiny Committee or 5 members of Overview and Scrutiny Committee or the Leader of the Principal Opposition or 10 non-cabinet members object and call it in. Where a member calls in a decision for scrutiny that member shall specify the reason or reasons for requesting consideration by the Overview and Scrutiny Committee. The Monitoring Officer or the Chief Finance Officer may also call-in a matter for scrutiny on the same terms as non-Cabinet members.
- 17.3 During the call-in period, the Director of Transformation and Resources shall call in a decision for scrutiny by the Overview and Scrutiny Committee if so requested in accordance with 17.2 above, and shall then notify the decision-maker of the call-in. The Director of Transformation and Resources shall call a meeting of the Overview and Scrutiny Committee, on such date as he/she may determine, where possible after consultation with the chairman of the committee.
- 17.4 If, having considered the proposed decision, the Overview and Scrutiny Committee is still concerned about it, it may refer it back to the decision making person or body for reconsideration, setting out in writing the nature of its concerns. If referred back, the decision maker shall then reconsider the decision, amending it, abandoning it, or pursuing it. If having taken account of the Overview and Scrutiny Committee recommendations the decision maker decides to amend, abandon or pursue the decision it shall be notified to members in accordance with the procedures set out at paragraph 17.1 and 17.2 but the decision shall not be further subject to the call-in procedure.
- 17.5 If having been taken back for reconsideration by the decision making person or body, proposes a decision in accordance with the recommendation(s) of the Overview and Scrutiny Committee then this decision shall be notified to members in accordance

with the procedures set out at paragraph 17.1 and 17.2 but the decision shall not be further subject to the call-in procedure.

17.6 If having considered the proposed decision, the scrutiny committee does not refer the matter back to the decision making person or body for reconsideration, the decision shall take effect on the date of the Overview and Scrutiny Committee.

17.7 The call-in procedure shall not apply:

- where the decision being taken by the Cabinet is urgent. A decision will be urgent if any delay likely to be caused by the call-in process would seriously prejudice the Council's or the public interest. The record of the decision, and notice by which it is made public shall state whether in the opinion of the decision making person or body, the decision is an urgent one, and therefore not subject to call-in. The Chairman of the Overview and Scrutiny Committee must agree both that the decision proposed is reasonable in all the circumstances and to it being treated as a matter of urgency. In the absence of the chairman, the Vice-Chairmen's consent shall be required. Decisions taken as a matter of urgency must be reported to the Leader of the Principal Opposition Party and to the next available meeting of the Overview and Scrutiny Committee, together with the reasons for urgency.

## **18.0 CABINET DECISIONS SUBMITTED FOR SCRUTINY**

18.1 The procedures at paragraphs 17.5 to 17.8 will be applied to all proposed decisions by the Cabinet or a member of the Cabinet considered by the Overview and Scrutiny Committee.

## **19.0 PROCEDURE AT OVERVIEW AND SCRUTINY COMMITTEE MEETINGS**

19.1 The Overview and Scrutiny Committee shall consider the following business:

- (i) apologies
- (ii) declarations of interest;
- (iii) consideration of any matter referred to the committee for a decision in relation to call in of a decision;
- (iv) responses of the Cabinet to report of the Overview and Scrutiny Committee
- (v) a Councillor Call for Action
- (vi) the business otherwise set out on the agenda for the meeting.

19.2 Where the Overview and Scrutiny Committee conducts investigations (e.g. with a view to policy development), the committee, may also ask people to attend to give

evidence at committee meetings which are to be conducted in accordance with the following principles:

- (i) the investigation will be conducted fairly and all members of the committee given the opportunity to ask questions of attendees and to contribute and speak;
- (ii) those assisting the committee by giving evidence be treated with respect and courtesy; and

that the investigation be conducted so as to maximise the efficiency of the investigation or analysis.

19.3 Following any investigation or review, the Overview and Scrutiny Committee shall prepare a report for submission to the Cabinet and/or Council as appropriate.

19.4 Subject to Access to Information and Confidentiality rules, all reports and findings arising from investigations by the Overview and Scrutiny Committee shall be made public.

## **20.0 SCRUTINY COMMITTEE RECOMENDATIONS**

20.1 When at a meeting of the Overview and Scrutiny Committee a proposition is made, at the request of the proposer that reference to that proposition shall be included in the scrutiny section of the subsequent report to Council, such reference shall be so included in the relevant section of that report.

## **21.0 SCRUTINY REVIEWS**

21.1 The schedule of scrutiny reviews proposed shall be presented to the Overview and Scrutiny Committee for consideration at least annually.

21.2 Upon commencement of a scrutiny review the scoping of the review and the proposed consultation exercise will be approved by the Overview and Scrutiny Committee.

21.3 Progress against a scrutiny review improvement plan shall be reported to the Overview and Scrutiny Committee by the relevant Cabinet Member at least annually.

**SECTION 6**

**FINANCIAL PROCEDURE RULES**



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## **STATUS OF FINANCIAL PROCEDURE RULES**

- 1.1** Financial procedure rules provide the framework for managing the authority's financial affairs. They apply to every member and officer of the Council and anyone acting on its behalf.
- 1.2** They form an integral part of the regulations and procedures used within the Council and should not be considered in isolation to other parts of the Constitution particularly Contract Procedure Rules and other financial policies and procedures.
- 1.3** The procedure rules identify the financial responsibilities of the Council, Cabinet and scrutiny members, the Head of Paid Service, the Chief Finance Officer and Monitoring Officer.
- 1.4** All members 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.
- 1.5** 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 Council for approval. This will usually be done during the annual review of the Constitution. 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 members.
- 1.6** The authority's detailed financial procedures, setting out how the procedure rules will be implemented, are contained in the appendices to the financial procedure rules.
- 1.7** Members of Leadership Team 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. They must also ensure that an adequate number of copies are available for reference within their service areas.
- 1.8** The Chief Finance Officer is responsible for issuing advice and guidance to underpin the financial procedure rules that members, officers and others acting on behalf of the authority are required to follow.

- 1.9** Reference to Head of Paid Service, Monitoring Officer, Chief Finance Officer, Members of Leadership Team, and Heads of Service should be construed with reference to article 12 of this Constitution.
- 1.10** The Council's Leadership Team comprises the Chief Executive, two Directors, Heads of Service and Assistant Chief Executive.

## **Financial Regulation A: Financial Management**

### INTRODUCTION

- A.1** Financial management covers all financial accountabilities in relation to the running of the authority, including the policy framework and budget.

### THE COUNCIL

- A.2** The 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. It is also responsible for approving and monitoring compliance with the authority's overall framework of accountability and control. The framework is set out in its constitution. The Council is also responsible for monitoring compliance with the agreed policy and related Cabinet decisions.
- A.3** The 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 CABINET

- A.4** The Cabinet is responsible for proposing the policy framework and budget to the Council, and for discharging Cabinet functions in accordance with the policy framework and budget.
- A.5** Cabinet decisions can be delegated to an individual Cabinet member, an officer or a joint committee.
- A.6** The Cabinet is responsible for establishing protocols to ensure that individual Cabinet members consult with relevant officers before taking a decision within his or her delegated authority. In doing so, the individual member must take account of legal and financial liabilities and risk management issues that may arise from the decision.

## COMMITTEES OF THE COUNCIL

**A.7** The Council has established the following committees:

- Overview and Scrutiny
- Planning
- Regulatory and Licensing
- Audit and Member Standards Committee
- Employment Committee

**A.8** The functions of these Committees can be found at Part 3 of the Constitution.

## THE STATUTORY OFFICERS

**THROUGHOUT THESE PROCEDURE RULES REFERENCES TO THE HEAD OF PAID SERVICE, CHIEF FINANCE OFFICER, MONITORING OFFICER, LEADERSHIP TEAM AND DIRECTORS SHOULD BE CONSTRUED WITH REFERENCE TO DEFINITIONS IN ARTICLE 12 OF THIS CONSTITUTION.**

### Head of Paid Service

**A.9** The Head of Paid Service is responsible for the corporate and overall strategic management of the authority as a whole. He or she must report to and provide information for the Cabinet, the Council, the Overview and Scrutiny Committee and other committees. He or she is 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 Council's decisions (see below).

### Monitoring Officer

**A.10** The Monitoring Officer is responsible for promoting and maintaining high standards of conduct and therefore provides support to the Audit and Member Standards Committee. The Monitoring Officer is also responsible for reporting any actual or potential breaches of the law or maladministration to the Council and/or to the Cabinet, and for ensuring that procedures for recording and reporting key decisions are operating effectively.

**A.11** The Monitoring Officer must ensure that Cabinet decisions and the reasons for them are made public. He or she must also ensure that council members are aware of decisions made by the Cabinet.

- A.12** The Monitoring Officer is responsible for advising all councillors and officers about who has authority to take a particular decision.
- A.13** The Monitoring Officer is responsible for advising the Cabinet or Council about whether a decision is likely to be considered contrary to or not wholly in accordance with the policy framework.
- A.14** The Monitoring Officer (together with the Chief Finance Officer) is responsible for advising the Cabinet or 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 inter-service transfers above virement limits
  - causing the total expenditure financed from council tax, grants and corporately held reserves to increase, or to increase by more than a specified amount.
- A.15** The Monitoring Officer is responsible for maintaining an up-to-date Constitution.

#### Chief Finance Officer

- A.16** 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 Accounts and Audit Regulations 2011.

- A.17** The Chief Finance Officer is responsible for:
- the proper administration of the authority's financial affairs
  - setting and monitoring compliance with financial management standards
  - advising on the corporate financial position and on the key financial controls necessary to secure sound financial management

- providing financial information
- preparing the revenue budget and capital programme
- treasury management.

**A.18 Section 114** of the Local Government Finance Act 1988 requires the Chief Finance Officer to report to the 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 he or she 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.

#### MEMBERS OF LEADERSHIP TEAM

**A.19** Members of Leadership Team are responsible for:

- ensuring that Cabinet members are advised of the financial implications of all proposals and that the financial implications have been agreed by the Chief Finance Officer

**A.20** It is the responsibility of members of Leadership Team 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.

## OTHER FINANCIAL ACCOUNTABILITIES

### Virement

- A.21** The Council is responsible for agreeing procedures for virement of expenditure between budget headings.
- A.22** Members of Leadership Team 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.

### Accounting policies

- A.23** The Chief Finance Officer is responsible for selecting accounting policies and ensuring that they are applied consistently.

### Accounting records and returns

- A.24** The Chief Finance Officer is responsible for determining the accounting procedures and records for the authority.

### The annual statement of accounts

- A.25** 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* (CIPFA/LASAAC). The Audit Committee is responsible for approving the annual statement of accounts.



## **FINANCIAL REGULATION B: FINANCIAL PLANNING**

### **INTRODUCTION**

**B.1** The 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 Strategic Plan
- the medium term financial strategy
- the budget
- the capital programme

### **POLICY FRAMEWORK**

**B.2** The Council is responsible for approving the policy framework and budget. The policy framework comprises the following statutory plans and strategies:

- Strategic Plan
- capital programme
- treasury management policy statement
- sustainable community strategy
- crime and disorder reduction strategy?
- plans and strategies which together comprise the development plan
- local development framework
- risk management strategy

**B.3** The Council is also responsible for approving procedures for agreeing variations to approved budgets, plans and strategies forming the policy framework and for determining the circumstances in which a decision will be deemed to be contrary to the budget or policy framework. Decisions should be referred to the Council by the Monitoring Officer.

**B.4** The Council is responsible for setting the level at which the Cabinet may vire budget funds from one service to another. 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 set by the Council.

## Preparation of the Council plan

- B.5** The Chief Executive is responsible for proposing the Council plan to the Cabinet for consideration before its submission to the Council for approval.

## CABINET BUDGETING

### Budget format

- B.6** The general format of the budget will be approved by the Council and proposed by the Cabinet on the advice of the Chief Finance Officer. The draft budget should include allocation to different services and projects, proposed taxation levels and contingency funds where necessary.

### Budget preparation

- B.7** The Chief Finance Officer is responsible for ensuring that a revenue budget is prepared on an annual basis and a medium term financial strategy on a rolling five-yearly basis for consideration by the Cabinet, before submission to the Council. The Council may amend the budget or ask the Cabinet to reconsider it before approving it.
- B.8** The Cabinet is responsible for issuing guidance on the general content of the budget in consultation with the Chief Finance Officer as soon as possible following approval by the Council.
- B.9** It is the responsibility of members of Leadership Team to ensure that budget estimates reflecting agreed service plans are submitted to the Cabinet and that these estimates are prepared in line with guidance issued by the Cabinet.

### Budget monitoring and control

- B.10** The Chief Finance Officer is responsible for providing appropriate financial information to enable budgets to be monitored effectively. He or she must monitor and control expenditure against budget allocations and report to the Cabinet on the overall position on a regular basis.

**B.11** It is the responsibility of members of Leadership Team 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.

#### Resource allocation

**B.12** The Chief Finance Officer is responsible for developing and maintaining a resource allocation process that ensures due consideration of the Council's policy framework.

#### Preparation of the capital programme

**B.13** The Chief Finance Officer is responsible for ensuring that a capital programme is prepared on an annual basis for consideration by the Cabinet before submission to the Council.

#### Guidelines

**B.14** Guidelines on budget preparation are issued to members and members of Leadership Team by the Cabinet following agreement with the Chief Finance Officer. The guidelines will take account of:

- legal requirements
- medium-term planning prospects
- the Council plan
- available resources
- spending pressures
- best value and other relevant government guidelines
- other internal policy documents
- cross-cutting issues (where relevant)

#### MAINTENANCE OF RESERVES

**B.15** It is the responsibility of the Chief Finance Officer to advise the Cabinet and/or the Council on prudent levels of reserves for the authority.

## **FINANCIAL REGULATION C: RISK MANAGEMENT AND CONTROL OF RESOURCES**

### **INTRODUCTION**

- C.1** 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**

- C.2** The Audit and Member Standards Committee is responsible for approving the authority's risk management policy statement and strategy and for reviewing the effectiveness of risk management. The Chief Finance Officer is responsible for ensuring that proper insurance exists where appropriate.
- C.3** The Chief Finance Officer is responsible for preparing the authority's risk management policy statement, for promoting it throughout the authority and for advising the Cabinet on proper insurance cover where appropriate.

### **INTERNAL CONTROL**

- C.4** 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.
- C.5** 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.
- C.6** It is the responsibility of members of Leadership Team 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**

- C.7** The Accounts and Audit Regulations 2015 issued by the Secretary of State for Communities and Local Government require every local authority to maintain an adequate and effective internal audit.

- C.8** The Public Sector Audit Appointments Ltd is responsible for appointing external auditors to each local authority. The basic duties of the external auditor are governed by part 5 of the Local Audit and Accountability Act 2014.
- C.9** The authority may, from time to time, be subject to audit, inspection or investigation by external bodies such as HM Revenue and Customs, who have statutory rights of access.

#### PREVENTING FRAUD AND CORRUPTION

- C.10** The Chief Finance Officer is responsible for the development and maintenance of an anti-fraud and anti-corruption policy.

#### ASSETS

- C.11** Members of Leadership Team 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.

#### TREASURY MANAGEMENT

- C.12** The authority has adopted CIPFA's Code of Practice for Treasury Management in the Public Services.
- C.13** The Council is responsible for approving the treasury management policy statement setting out the matters detailed in chapter 6 of CIPFA's Code of Practice for Treasury Management in the Public Services. The policy statement is proposed to the Council by the Chief Finance Officer. The Chief Finance Officer has delegated responsibility for implementing and monitoring the statement.
- C.14** 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, the Chief Finance Officer.
- C.15** The Chief Finance Officer is responsible for reporting to the Audit Committee a proposed treasury management strategy for the coming financial year at or before the start of each financial year.
- C.16** All Cabinet 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 in the Public Services*.

- C.17** The Chief Finance Officer is responsible for reporting to the Audit and member Standards Committee not less than four times in each financial year on the activities of the treasury management operation and on the exercise of his or her delegated treasury management powers. One such report will comprise an annual report on treasury management for presentation by 30 September of the succeeding financial year.

## STAFFING

- C.18** The Council is responsible for determining how officer support for Cabinet and non-Cabinet roles within the authority will be organised.
- C.19** The Head of Paid Service is responsible for providing overall management to staff. He or she is also responsible for ensuring that there is proper use of the evaluation or other agreed systems for determining the remuneration of a job.

## FINANCIAL REGULATION D: SYSTEMS AND PROCEDURES

### INTRODUCTION

- D.1** Sound systems and procedures are essential to an effective framework of accountability and control.

### GENERAL

- D.2** 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 members of the Leadership Team to the existing financial systems or the establishment of new systems must be approved by the Chief Finance Officer. However, members of the Leadership Team are responsible for the proper operation of financial processes in their own service areas.
- D.3** Any changes to agreed procedures by members of the Leadership Team to meet their own specific service needs should be agreed with the Chief Finance Officer.
- D.4** Members of Leadership Team should ensure that their staff receive relevant financial training that has been approved by the Chief Finance Officer.
- D.5** Members of the Leadership Team must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. Members of the Leadership Team must ensure that staff are aware of their responsibilities under freedom of information legislation.

## INCOME AND EXPENDITURE

- D.6** It is the responsibility of members of the Leadership Team 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 the member of the Leadership Team's 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 AND MEMBERS

- D.7** The Chief Finance Officer is responsible for all payments of salaries and wages to all staff, including payments for overtime, and for payment of allowances to members.

## TAXATION

- D.8** The Chief Finance Officer is responsible for advising members of Leadership Team, in the light of guidance issued by appropriate bodies and relevant legislation as it applies, on all taxation issues that affect the authority.
- D.9** 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

- D.10** It is the responsibility of the Chief Finance Officer to advise on the establishment and operation of trading accounts and business units.

## FINANCIAL REGULATION E: EXTERNAL ARRANGEMENTS

### INTRODUCTION

- E.1** The local 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

- E.2** The Cabinet is responsible for approving 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.
- E.3** The Cabinet can delegate its functions - including those relating to partnerships - to officers. The functions of the Cabinet, including a scheme of delegation, are approved by the Council and form Part 3 of this Constitution. Where functions are further delegated, the Cabinet remains accountable for them to the Council.
- E.4** The Authority is represented on partnership and external bodies at member and officer levels as appropriate.
- E.5** The Monitoring Officer is responsible for promoting and maintaining the same high standards of conduct with regard to administration in partnerships that apply throughout the authority.
- E.6** The Chief Finance Officer must ensure that the accounting arrangements to be adopted relating to partnerships and joint ventures are satisfactory. He or she must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies. He or she must ensure that the risks have been fully appraised before agreements are entered into with external bodies.
- E.7** Members of Leadership Team are responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies.

#### EXTERNAL FUNDING

- E.8** 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.

#### WORK FOR THIRD PARTIES

- E.9** The Cabinet is responsible for approving the contractual arrangements for any work for third parties or external bodies.



## Appendix A Financial Management

### FINANCIAL MANAGEMENT STANDARDS

#### **Why is this important?**

- 1.01** All staff and members 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**

- 1.02** The key controls and control objectives for financial management standards are:
- (a) their promotion throughout the authority
  - (b) a monitoring system to review compliance with financial standards, and regular comparisons of performance indicators and benchmark standards that are reported to the Cabinet and Council.

#### **Responsibilities of the Chief Finance Officer**

- 1.03** To ensure the proper administration of the financial affairs of the authority.
- 1.04** To set the financial management standards and to monitor compliance with them.
- 1.05** 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.
- 1.06** To advise on the key strategic controls necessary to secure sound financial management.
- 1.07** To ensure that financial information is available to enable accurate and timely monitoring and reporting of comparisons of national and local financial performance indicators.

#### **Responsibilities of members of the Leadership Team**

- 1.08** 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.
- 1.09** To promote sound financial practices in relation to the standards, performance and development of staff in their service areas.

## MANAGING EXPENDITURE

### Scheme of virement

#### **Why is this important?**

- 1.10** The scheme of virement is intended to enable the Cabinet, members of the Leadership Team and their staff to manage budgets with a degree of flexibility within the overall policy framework determined by the Council, and therefore to optimise the use of resources.

#### **Key controls**

- 1.11** Key controls for the scheme of virement are:
- (a) it is administered by the Chief Finance Officer within guidelines set by the Council. Any variation from this scheme requires the approval of the Council.
  - (b) the overall budget is agreed by the Cabinet and approved by the Council. Members of the Leadership Team and budget managers are therefore authorised to incur expenditure in accordance with the estimates that make up the budget. The rules below cover virement; that is, switching resources between approved estimates or heads of expenditure. For the purposes of this scheme, a budget head is considered to be a line in the approved estimates report, for example the “Supplies and Services” line within a service’s budget.
  - (c) virement does not create additional overall budget liability. Members of the Leadership Team are expected to exercise their discretion in managing their budgets responsibly and prudently. Any virement that would result in a change of policy or a new policy, or that would result in an increased ongoing commitment for the Council will require the approval of the Council.

- (d) a proposed virement in excess of £25,000 must be the subject of a joint report by the Chief Finance Officer and the proposing member of the Leadership Team to the Cabinet.

### **Responsibilities of the Chief Finance Officer**

- 1.12** To prepare jointly with the member of the Leadership Team a report to the Cabinet where virements in excess of £25,000 are proposed.

### **Responsibilities of members of Leadership Team and**

- 1.13** A member of the Leadership Team may exercise virement on budgets under his or her control on any one budget head during the year, following notification to the Chief Finance Officer.

- 1.14** The prior approval of the relevant member of the Cabinet is required for any virement, of whatever amount, where it is proposed to:

- vire between budget heads within a single service budget
- vire between two or more service budgets

- 1.15** The prior approval of the Cabinet is required for any virement, of whatever amount, where it is proposed to:

- vire between budgets of different Cabinet members
- vire between budgets managed by different members of the Leadership Team

- 1.16** Virement that is likely to impact on the level of service activity of another member of the Leadership Team should be implemented only after agreement with the relevant member of the Leadership Team.

- 1.17** No virement relating to a specific financial year should be made after 31 March in that year.

- 1.18** Where an approved budget is a lump-sum budget or contingency intended for allocation during the year, its allocation will not be treated as a virement, provided that:

- (a) the amount is used in accordance with the purposes for which it has been established.

- (b) the Cabinet has approved the basis and the terms, including financial limits, on which it will be allocated. Individual allocations in excess of the financial limits should be reported to the Cabinet.

## ACCOUNTING POLICIES

### Why is this important?

**1.19** 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 31 March.

### Key controls

**1.20** 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 fairly the financial position of the authority and its expenditure and income.

### Responsibilities of the Chief Finance Officer

**1.21** 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 31 March each year, and covers such items as:

- (a) separate accounts for capital and revenue transactions
- (b) the basis on which debtors and creditors at year end are included in the accounts
- (c) details on substantial provisions and reserves
- (d) fixed assets
- (e) depreciation
- (f) capital charges
- (g) work in progress
- (h) stocks and stores
- (i) deferred charges
- (j) accounting for value added tax
- (k) government grants

- (l) leasing
- (m) pensions

### **Responsibilities of members of Leadership Team**

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

### ACCOUNTING RECORDS AND RETURNS

#### **Why is this important?**

- 1.23** 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 fairly 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**

- 1.24** The key controls for accounting records and returns are:
- (a) all Cabinet members, finance staff and budget managers 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**

- 1.25** To determine the accounting procedures and records for the authority. Where these are maintained outside the finance service area, the Chief Finance Officer should consult the member of the Leadership Team concerned.
- 1.26** To arrange for the compilation of all accounts and accounting records under his or her direction.
- 1.27** 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.
- 1.28** To make proper arrangements for the audit of the authority's accounts in accordance with the Accounts and Audit Regulations 2015.
- 1.29** To ensure that all claims for funds including grants are made by the due date.
- 1.30** To prepare and publish the audited accounts of the authority for each financial year, in accordance with the statutory timetable.
- 1.31** To ensure the proper retention of financial documents in accordance with the requirements set out in the authority's document retention schedule.

### **Responsibilities of members of the Leadership Team**

- 1.32** To consult and obtain the approval of the Chief Finance Officer before making any changes to accounting records and procedures.
- 1.33** To comply with the policies referred to in paragraph 1.38 when allocating accounting duties.
- 1.34** To maintain adequate records to provide a management trail leading from the source of income/expenditure through to the accounting statements.
- 1.35** To supply information required to enable the statement of accounts to be completed in accordance with guidelines issued by the Chief Finance Officer.

## THE ANNUAL STATEMENT OF ACCOUNTS

### Why is this important?

- 1.36** The authority has a statutory responsibility to prepare its own accounts to present fairly its operations during the year. The Audit and Member Standards Committee is responsible for approving the statutory annual statement of accounts.

### Key controls

- 1.37** The key controls for the annual statement of accounts are:

- 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. In this authority, that officer is the Chief Finance Officer
- 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 (CIPFA/LASAAC).

### Responsibilities of the Chief Finance Officer

- 1.38** To select suitable accounting policies and to apply them consistently.
- 1.39** To make judgments and estimates that are reasonable and prudent.
- 1.40** To comply with the Code of Practice on Local Authority Accounting in the United Kingdom.
- 1.41** To sign and date the statement of accounts, stating that it gives 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.
- 1.42** To draw up the timetable for final accounts preparation and to advise staff and external auditors accordingly.

### Responsibilities of members of the Leadership Team

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

## **Appendix B Financial Planning**

### PERFORMANCE PLANS

#### **Why is this important?**

**2.01** Each local authority has a statutory responsibility to publish various performance plans, crime reduction strategies, etc. The purpose of performance plans is to explain overall priorities and objectives, current performance, and proposals for further improvement.

#### **Key controls**

**2.02** The key controls for performance plans are:

(a) to ensure that all relevant plans are produced and that they are consistent

(b) to produce plans in accordance with statutory requirements

(c) to meet the timetables set

(d) to ensure that all performance information is accurate, complete and up to date

(e) to provide improvement targets which are meaningful, realistic and challenging.

#### **Responsibilities of the Chief Finance Officer**

**2.03** To advise and supply the financial information that needs to be included in performance plans in accordance with statutory requirements and agreed timetables.

**2.04** To contribute to the development of corporate and service targets and objectives and performance information.

**2.05** To ensure that systems are in place to measure activity and collect accurate information for use as performance indicators.

**2.06** To ensure that performance information is monitored sufficiently frequently to allow corrective action to be taken if targets are not likely to be met.

#### **Responsibilities of members of the Leadership Team**



- 2.07** To contribute to the development of performance plans in line with statutory requirements.
- 2.08** To contribute to the development of corporate and service targets and objectives and performance information.

## BUDGETING

Format of the budget

### **Why is this important?**

- 2.09** 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**

- 2.10** The key controls for the budget format are:
- (a) the format complies with all legal requirements
  - (b) the format complies with CIPFA's Service Reporting Code of Practice for Local Authorities
  - (c) the format reflects the accountabilities of service delivery.

### **Responsibilities of the Chief Finance Officer**

- 2.11** To advise the Cabinet on the format of the budget that is approved by the Council.

### **Responsibilities of members of the Leadership Team**

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

Revenue budget preparation, monitoring and control

### **Why is this important?**

- 2.13** Budget management ensures that once the budget has been approved by the Council, resources allocated 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.

- 2.14** 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.
- 2.15** 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 member of the Leadership Team.

### **Key controls**

- 2.16** The key controls for managing and controlling the revenue budget are:
- (a) budget managers should be responsible only for income and expenditure that they can influence
  - (b) there is a nominated budget manager for each cost centre heading
  - (c) budget managers accept accountability for their budgets and the level of service to be delivered and understand their financial responsibilities
  - (d) budget managers 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 budgets.

### **Responsibilities of the Chief Finance Officer**

- 2.17** To establish an appropriate framework of budgetary management and control that ensures that:
- (a) budget management is exercised within annual cash limits unless the Council agrees otherwise.

- (b) each member of the Leadership Team 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 manager, determined by the relevant member of the Leadership Team. 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 managers regularly.

**2.18** To administer the authority's scheme of virement.

**2.19** To submit reports to the Cabinet and to the Council, in consultation with the relevant member of the Leadership Team, where a member of the Leadership Team is unable to balance expenditure and resources within existing approved budgets under his or her control.

**2.20** To prepare and submit reports on the authority's projected income and expenditure compared with the budget on a regular basis.

### **Responsibilities of members of the Leadership Team**

**2.21** To maintain budgetary control within their service areas, in adherence to the principles in 2.17, and to ensure that all income and expenditure is properly recorded and accounted for.

**2.22** To ensure that an accountable budget manager is identified for each item of income and expenditure under the control of the member of the Leadership Team (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.

**2.23** 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.

- 2.24** 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.
- 2.25** To prepare and submit to the Cabinet reports on the service's projected expenditure compared with its budget, in consultation with the Chief Finance Officer.
- 2.26** To ensure prior approval by the Council or Cabinet (as appropriate) for new proposals, of whatever amount, that:
  - (a) create financial commitments in future years
  - (b) change existing policies, initiate new policies or cease existing policies
  - (c) materially extend or reduce the authority's services.
- 2.27** To ensure compliance with the scheme of virement.
- 2.28** To agree with the relevant member of the Leadership Team where it appears that a budget proposal, including a virement proposal, may impact materially on another service area or member of Leadership Team level of service activity.

Budgets and medium-term planning

### **Why is this important?**

- 2.29** 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.
- 2.30** The revenue budget must be constructed so as to ensure that resource allocation properly reflects the service plans and priorities of the 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.
- 2.31** 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**

- 2.32** The key controls for budgets and medium-term planning are:
- (a) specific budget approval for all expenditure
  - (b) budget managers 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**

- 2.33** To prepare and submit reports on budget prospects for the Cabinet, including resource constraints set by the Government. Reports should take account of medium-term prospects, where appropriate.
- 2.34** To determine the detailed form of revenue estimates and the methods for their preparation, consistent with the budget approved by the Council, and after consultation with the Cabinet and members of the Leadership Team.
- 2.35** To prepare and submit reports to the Cabinet on the aggregate spending plans of service areas and on the resources available to fund them, identifying, where appropriate, the implications for the level of council tax to be levied.
- 2.36** To advise on the medium-term implications of spending decisions.
- 2.37** To encourage the best use of resources and value for money by working with members of the Leadership Team 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.
- 2.38** To advise the Council on Cabinet proposals in accordance with his or her responsibilities under section 151 of the Local Government Act 1972.

### **Responsibilities of members of the Leadership Team**

- 2.39** To prepare estimates of income and expenditure, in consultation with the Chief Finance Officer, to be submitted to the Cabinet.

- 2.40** 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 Council's general directions.
- 2.41** To integrate financial and budget plans into service planning, so that budget plans can be supported by financial and non-financial performance measures.
- 2.42** 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 appropriate committee.
- 2.43** 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 Council in the approved policy framework
  - (d) initiatives already under way.

Resource allocation

**Why is this important?**

- 2.44** 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 fairly allocated, in order to fulfil all legal responsibilities. Resources may include staff, money, equipment, goods and materials.

**Key controls**

- 2.45** The key controls for resource allocation 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**

- 2.46** To advise on methods available for the funding of resources, such as grants from central government and borrowing requirements.
- 2.47** To assist in the allocation of resources to budget managers.

### **Responsibilities of members of the Leadership Team**

- 2.48** To work within budget limits and to utilise resources allocated, and further allocate resources, in the most efficient, effective and economic way.
- 2.49** 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?**

- 2.50** 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.
- 2.51** The Prudential Code places 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**

##### **2.52 The key controls for capital programmes are:**

- (a) specific approval by the Council for the programme of capital expenditure
- (b) expenditure on capital schemes is subject to the approval of the Chief Finance Officer

- (c) a scheme and estimate, including project plan, progress targets and associated revenue expenditure is prepared for each capital project, for approval by the Cabinet
- (d) proposals for improvements and alterations to buildings must be approved by the appropriate member of the Leadership Team
- (e) the development and implementation of asset management plans
- (f) accountability for each proposal is accepted by a named manager
- (g) monitoring of progress in conjunction with expenditure and comparison with approved budget.

### **Responsibilities of the Chief Finance Officer**

- 2.53** To prepare capital estimates jointly with members of the Leadership Team 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 Council.
- 2.54** 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.
- 2.54** To obtain authorisation from the Cabinet for individual schemes where the estimated expenditure exceeds the capital programme provision by more than 10% of the original sum.

### **Responsibilities of members of the Leadership Team**

- 2.58** To comply with guidance concerning capital schemes and controls issued by the Chief Finance Officer.
- 2.59** To ensure that all capital proposals have undergone a project appraisal in accordance with guidance issued by the Chief Finance Officer.
- 2.60** To ensure that adequate records are maintained for all capital contracts.



- 2.61** 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.
- 2.62** To prepare and submit reports, jointly with the Chief Finance Officer, to the Cabinet, of any variation in contract costs greater than the approved limits. The Cabinet may meet cost increases of up to 10% by virement from savings elsewhere within their capital programme.
- 2.63** To prepare and submit reports, jointly with the Chief Finance Officer, to the Cabinet, on completion of all contracts where the final expenditure exceeds the approved contract sum by more than 10% of the original sum.
- 2.64** 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.

#### MAINTENANCE OF RESERVES

##### **Why is this important?**

- 2.66** The local authority must decide the level of general reserves it wishes to maintain 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**

- 2.67** To maintain reserves in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom* (CIPFA/LASAAC) and agreed accounting policies.
- 2.68** For each reserve established, the purpose, usage and basis of transactions should be clearly identified.
- 2.69** Authorisation and expenditure from reserves by the appropriate member of the Leadership Team or Assistant Director in consultation with the Chief Finance Officer.

##### **Responsibilities of the Chief Finance Officer**

- 2.70** To advise the Cabinet and/or the Council on prudent levels of reserves for the authority, and to take account of the advice of the external auditor in this matter.

##### **Responsibilities of members of the Leadership Team**

- 2.71** To ensure that resources are used only for the purposes for which they were intended.

## **Appendix C Risk Management and Control of Resources**

### **RISK MANAGEMENT**

#### **Why is this important?**

- 3.01** 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.
- 3.02** It is the overall responsibility of the Audit Committee to approve the authority's risk management strategy, and to promote a culture of risk management awareness throughout the authority.

#### **Key controls**

- 3.03** 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 Chief Finance Officer**

- 3.04** To prepare and promote the authority's risk management policy statement.
- 3.05** To develop risk management controls in conjunction with other members of Leadership Team.
- 3.06** To include all appropriate employees of the authority in a suitable fidelity guarantee insurance.
- 3.07** To effect corporate insurance cover, through external insurance and internal funding, and to negotiate all claims in consultation with other officers, where necessary.

### **Responsibilities of members of the Leadership Team**

- 3.08** To notify the Head of Corporate Services 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.
- 3.09** To take responsibility for risk management, having regard to advice from the Head of Corporate Services and other specialist officers (e.g. crime prevention, fire prevention, health and safety).
- 3.10** To ensure that there are regular reviews of risk within their service areas.
- 3.11** To notify the Head of Corporate Services promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances.
- 3.12** To consult the Head of Corporate Services and the Monitoring Officer on the terms of any indemnity that the authority is requested to give.
- 3.13** 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.

## INTERNAL CONTROLS

### Why is this important?

- 3.14** The authority is complex and beyond the direct control of individuals. It therefore requires internal controls to manage and monitor progress towards strategic objectives.
- 3.15** The authority has statutory obligations, and, therefore, requires internal controls to identify, meet and monitor compliance with these obligations.
- 3.16** 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.
- 3.17** 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

- 3.18 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 principles contained in the UK Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN) and with any other statutory obligations and regulations.

### **Responsibilities of the Chief Finance Officer**

- 3.19** 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 members of Leadership Team**

- 3.20** 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.
- 3.21** 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. Members of the Leadership Team should also be responsible for removing controls that are unnecessary or not cost or risk effective – for example, because of duplication.
- 3.22** To ensure staff have a clear understanding of the consequences of lack of control.

## AUDIT REQUIREMENTS

### Internal audit

#### **Why is this important?**

- 3.23** 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 (SI 2015/234), regulation 6, more specifically require that a “relevant body must undertake an adequate and effective internal audit of its accounting records and of its system of internal control”.
- 3.24** 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. In order to maintain its independence the service is managed by the Chief Executive.

### **Key controls**

**3.25** The key controls for internal audit are:

- (a) that it is independent in its planning and operation
- (b) the head of internal audit has direct access to the Head of Paid Service, Chief Finance Officer, all levels of management and directly to elected members
- (c) the internal auditors comply with the UK Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN).

### **Responsibilities of the Chief Finance Officer**

**3.26** 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 account for cash, stores or any other authority asset under his or her control
- (e) access records belonging to third parties, such as contractors, when required
- (f) directly access the Head of Paid Service, the Cabinet and Audit and Member Standards Committee.

**3.27** To review the strategic and annual audit plans prepared by the head of internal audit, which take account of the characteristics and relative risks of the activities involved.

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

## **Responsibilities of members of the Leadership Team**

- 3.29** 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.
- 3.30** To ensure that auditors are provided with any information and explanations that they seek in the course of their work.
- 3.31** To consider and respond promptly to recommendations in audit reports.
- 3.32** To ensure that any agreed actions arising from audit recommendations are carried out in a timely and efficient fashion.
- 3.33** 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 member of the Leadership Team should take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration.
- 3.34** 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.

## External audit

### **Why is this important?**

- 3.35** The Public Sector Audit Appointments Ltd is responsible for appointing external auditors to each local authority. The external auditor has rights of access to all documents and information necessary for audit purposes.
- 3.36** The basic duties of the external auditor are defined in the Local Audit and Accountability Act 2014. In particular, part 5 of the 2014 Act requires the Comptroller and Auditor General to prepare a code of audit practice, which external auditors follow when carrying out their duties. The code of audit practice issued in April 2015 sets out the auditor's principal objectives which are to review and report upon, to the extent required by the relevant legislation and the requirements of the Code, the audited body's:
  - (a) financial statements
  - (b) arrangements for securing economy, efficiency and effectiveness in its use of resources.

- 3.37** The authority's accounts are scrutinised by external auditors, who must be satisfied that the statement of accounts gives a 'true and fair view' the financial position of the authority and its income and expenditure for the year in question and complies with the legal requirements.

### **Key controls**

- 3.38** External auditors are appointed by the Audit Commission normally for a minimum period of five years. The Audit Commission prepares a code of audit practice, which external auditors follow when carrying out their audits.

### **Responsibilities of the Chief Finance Officer**

- 3.39** 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.
- 3.40** To ensure there is effective liaison between external and internal audit.
- 3.41** To work with the external auditor and advise the Council, Cabinet and members of the Leadership Team on their responsibilities in relation to external audit.

### **Responsibilities of members of Leadership Team**

- 3.42** 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.
- 3.43** To ensure that all records and systems are up to date and available for inspection.

## **PREVENTING FRAUD AND CORRUPTION**

### **Why is it this important?**

- 3.44** The authority will not tolerate fraud and corruption in the administration of its responsibilities, whether from inside or outside the authority.
- 3.45** The authority's expectation of propriety and accountability is that members and staff at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures and practices.
- 3.46** 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**

#### **3.47 The key controls regarding the prevention of financial irregularities are that:**

- (a) the authority has an effective anti-fraud and anti-corruption policy and maintains a culture that will not tolerate fraud or corruption
- (b) all members and staff act with integrity and lead by example
- (c) senior managers are required to deal swiftly and firmly with those who defraud or attempt to defraud the authority or who are corrupt
- (d) high standards of conduct are promoted amongst members by the Audit and Member Standards Committee
- (e) the maintenance of a register of interests in which any hospitality or gifts accepted must be recorded
- (f) whistle blowing procedures are in place and operate effectively
- (g) legislation including the Public Interest Disclosure Act 1998 is adhered to.

### **Responsibilities of the Chief Finance Officer**

**3.48** To develop and maintain an anti-fraud and anti-corruption policy.

**3.49** To maintain adequate and effective internal control arrangements.

**3.50** To ensure that all suspected irregularities are reported to the chief internal auditor, the Head of Paid Service, the Cabinet and the Audit and Member Standards Committee.

### **Responsibilities of members of the Leadership Team**

**3.51** To ensure that all suspected irregularities are reported to the chief internal auditor.

**3.52** To instigate the authority's disciplinary procedures where the outcome of an audit investigation indicates improper behaviour.

- 3.53** 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.
- 3.54** To ensure that any interests are entered into the Council's register of interests.

## ASSETS

### Security

#### **Why is this important?**

- 3.55** The authority holds assets in the form of property, vehicles, equipment, furniture and other items worth 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**

- 3.56** 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 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 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**

- 3.57** To ensure that an asset register is maintained in accordance with good practice for all fixed assets with a value in excess of £10,000 (equipment) and £25,000 (land and property). The function of the asset register is to provide the authority with information about fixed assets so that they are:
- safeguarded
  - used efficiently and effectively
  - adequately maintained.
- 3.58** To receive the information required for accounting, costing and financial records from each member of the Leadership Team.
- 3.59** 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 members of the Leadership Team**

- 3.60** 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 member of the Leadership Team in consultation with the Chief Finance Officer, has been established as appropriate.
- 3.61** To ensure the proper security of all buildings and other assets under their control.
- 3.62** Where land or buildings are surplus to requirements, a recommendation for sale should be the subject of a joint report by the member of the Leadership Team and the Chief Finance Officer to the Monitoring Officer.
- 3.63** To pass title deeds to the Monitoring Officer who is responsible for custody of all title deeds.
- 3.64** To ensure that no authority asset is subject to personal use by an employee without proper authority.
- 3.65** To ensure the safe custody of vehicles, equipment, furniture, stock, stores and other property belonging to the authority.

- 3.66** To ensure that the service area maintains a register of moveable assets in accordance with arrangements defined by the Chief Finance Officer.
- 3.67** To ensure that assets are identified, their location recorded and that they are appropriately marked and insured.
- 3.68** 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.
- 3.69** To ensure cash holdings on premises are kept to a minimum.
- 3.70** 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.
- 3.71** 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.
- 3.72** 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

- 3.73** To maintain inventories and record an adequate description of furniture, fittings, equipment, plant and machinery above £1,000 in value.
- 3.74** 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. Attractive and portable items such as computers, cameras and video recorders should be identified with security markings as belonging to the authority.
- 3.75** To make sure that property is only used in the course of the authority's business, unless the member of the Leadership Team concerned has given permission otherwise.

## Stocks and stores

- 3.76** To make arrangements for the care and custody of stocks and stores in the service area.
- 3.77** To ensure stocks are maintained at reasonable levels and are subject to a regular independent physical check. All significant discrepancies should be investigated and pursued to a satisfactory conclusion.
- 3.78** 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.
- 3.79** To authorise or write off 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.
- 3.80** To seek Cabinet approval to the write-off of redundant stocks and equipment in excess of a predetermined sum.

## Asset disposal

### **Why is this important?**

- 3.81** 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 procedure rules of the authority.

### **Key controls**

- 3.82** 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.
- 3.83** Procedures protect staff involved in the disposal from accusations of personal gain.

### **Responsibilities of the Chief Finance Officer**

- 3.84** To issue guidelines representing best practice for disposal of assets.
- 3.85** 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 members of the Leadership Team**

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

### TREASURY MANAGEMENT

#### **Why is this important?**

- 3.88** 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**

- 3.89** 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 Chief Finance Officer – treasury management and banking**

- 3.90** 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.
- 3.91** To report four times a year on treasury management activities to the Audit Committee.
- 3.92** To operate bank accounts as are considered necessary – opening or closing any bank account shall require the approval of the Chief Finance Officer.

### **Responsibilities of members of the Leadership Team– treasury management and banking**

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

### **Responsibilities of Chief Finance Officer – investments and borrowing**

- 3.94** To ensure that all investments of money are made in the name of the authority or in the name of nominees approved by the Council.
- 3.95** 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 the custody of the appropriate member of the Leadership Team.
- 3.96** To effect all borrowings in the name of the authority.
- 3.97** 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 members of the Leadership Team – investments and borrowing**

- 3.98** 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 Council, following consultation with the Chief Finance Officer.

### **Responsibilities of members of the Leadership Team – trust funds and funds held for third parties**

- 3.99** 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.
- 3.100** 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.
- 3.101** To ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust.

### **Responsibilities of the Chief Finance Officer – imprest accounts**

- 3.102** To provide employees of the authority with cash or bank imprest 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.

- 3.103** 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.
- 3.104** To reimburse imprest holders as often as necessary to restore the imprests, but normally not more than monthly.

### **Responsibilities of members of the Leadership Team – imprest accounts**

- 3.105** To ensure that employees operating an imprest account:
- (a) obtain and retain vouchers to support each payment from the imprest 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 imprest amount
  - (d) record transactions promptly
  - (e) reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the imprest 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 float 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 float 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 an imprest advance, an employee shall account to the Chief Finance Officer for the amount advanced to him or her.

## **STAFFING**

### **Why is this important?**

- 3.106** 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**

**3.107** 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**

**3.108** To ensure that budget provision exists for all existing and new employees.

**3.109** To act as an advisor to members of the Leadership Team on areas such as National Insurance and pension contributions, as appropriate.

## **Responsibilities of members of the Leadership Team**

**3.110** To produce an annual staffing budget in consultation with the Chief Finance Officer.

**3.111** 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).

**3.112** To monitor staff activity to ensure adequate control over such costs as sickness, overtime, training and temporary staff.

**3.113** 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.

**3.114** To ensure that the Head of Corporate Services and the Chief Finance Officer are immediately informed if the staffing budget is likely to be materially over or underspent.

## **Appendix D Financial Systems and Procedures**

### GENERAL

#### **Why is this important?**

- 4.01** 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.
- 4.02** 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**

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**

- 4.03 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 members of the Leadership Team**

- 4.04** To ensure that accounting records are properly maintained and held securely.
- 4.05** To ensure that vouchers and documents with financial implications are not destroyed, except in accordance with arrangements approved by the Chief Finance Officer.
- 4.06** 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.
- 4.07** 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.
- 4.08** 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.
- 4.09** 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.
- 4.10** To ensure that systems are documented and staff trained in operations.
- 4.11** To consult with the Chief Finance Officer before changing any existing system or introducing new systems.
- 4.12** To establish a scheme of delegation identifying officers authorised to act upon the member of the Leadership Team's behalf in respect of payments, income collection and placing orders, including variations, and showing the limits of their authority.
- 4.13** To supply lists of authorised officers, with specimen signatures and financial limits, to the Chief Finance Officer, together with any subsequent variations.

- 4.14** 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.
- 4.15** 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.
- 4.16** To ensure that relevant standards and guidelines for computer systems issued by the member of the Leadership Team are observed.
- 4.17** To ensure that computer equipment and software are protected from loss and damage through theft, vandalism, etc.
- 4.18** 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.

## INCOME AND EXPENDITURE

### Income

#### **Why is this important?**

- 4.19** 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**

- 4.20** 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) all money received by an employee on behalf of the authority is paid without delay to the Chief Finance Officer or, as he or she directs, to the authority's bank account and properly recorded. The responsibility for cash collection should be separated from that:
  - for identifying the amount due
  - for reconciling the amount due to the amount received
- (d) effective action is taken to pursue non-payment within defined timescales
- (e) formal approval for debt write-off is obtained
- (f) appropriate write-off action is taken within defined timescales
- (g) appropriate accounting adjustments are made following write-off action
- (h) all appropriate income documents are retained and stored for the defined period in accordance with the document retention schedule
- (i) money collected and deposited is reconciled to the bank account by a person who is not involved in the collection or banking process.

### **Responsibilities of the Chief Finance Officer**

- 4.21** To agree arrangements for the collection of all income due to the authority and to approve the procedures, systems and documentation for its collection.
- 4.22** To order and supply to service areas all receipt forms, books or tickets and similar items and to satisfy himself or herself regarding the arrangements for their control.
- 4.23** To agree the write-off of bad debts up to an approved limit in each case and to refer larger sums to the appropriate member of the Cabinet.
- 4.24** To approve all debts to be written off in consultation with the relevant member of the Leadership Team and to keep a record of all sums written off up to the approved limit of £1,000 and to adhere to the requirements of the Accounts and Audit Regulations 2015.

- 4.25 To obtain the approval of the appropriate member of the Cabinet in consultation with the relevant member of the Leadership Team for writing off debts in excess of the approved limit of £1,000.
- 4.26 To ensure that appropriate accounting adjustments are made following write-off.

#### **Responsibilities of members of the Leadership Team**

- 4.27 To establish a charging policy for the supply of goods or services, including the appropriate charging of VAT, and to review it regularly, in line with corporate policies.
- 4.28 To separate the responsibility for identifying amounts due and the responsibility for collection, as far as is practicable.
- 4.29 To authorise appropriate recovery procedures, including legal action where necessary, for debts that are not paid promptly.
- 4.30 To issue official receipts or to maintain other documentation for income collection.
- 4.31 To ensure that at least two employees are present when post is opened so that money received by post is properly identified and recorded.
- 4.32 To hold securely receipts, tickets and other records of income for the appropriate period.
- 4.33 To lock away all income to safeguard against loss or theft, and to ensure the security of cash handling.
- 4.34 To ensure that income is paid fully and promptly into the appropriate authority bank account in the form in which it is received. Appropriate details should be recorded on to paying-in slips to provide an audit trail. Money collected and deposited must be reconciled to the bank account on a regular basis.
- 4.35 To ensure income is not used to cash personal cheques or other payments.
- 4.36 To supply the Chief Finance Officer with details relating to work done, goods supplied, services rendered or other amounts due, to enable the Chief Finance Officer to record correctly the sums due to the authority and to ensure accounts are sent out promptly. To do this, members of the Leadership Team should use established performance management systems to monitor recovery of income and flag up areas of concern to the Chief Finance Officer. Members of the Leadership Team have a responsibility to assist the Chief Finance Officer in collecting debts that

they have originated, by providing any further information requested by the debtor, and in pursuing the matter on the authority's behalf. Only up to approved levels of cash can be held on the premises.

- 4.37** To keep a record of every transfer of money between employees of the authority. The receiving officer must sign for the transfer and the transferor must retain a copy.
- 4.38** 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. A credit note to replace a debt can only be issued to correct a factual inaccuracy or administrative error in the calculation and/or billing of the original debt.
- 4.39** To obtain the approval of the Chief Finance Officer when writing off debts in excess of the approved limit, and the approval of the appropriate member of the Cabinet where required.
- 4.40** 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 and not later than 15 April.

Ordering and paying for work, goods and services

#### **Why is this important?**

- 4.41** 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. Regard shall be had at all times to the Council's procurement strategy. These procedures should be read in conjunction with the authority's Contract Procedure Rules on tenders and contracts.

#### **General**

- 4.42** Every officer and member of the authority 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.

- 4.43** 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 supplies of utilities, stationery ordered over the internet in line with the contract for such, purchases made in accordance with the purchasing card scheme, periodic payments such as rent or rates, petty cash purchases or other exceptions specified by the Chief Finance Officer.
- 4.44** Each order must conform to the guidelines approved by the Council on central purchasing and the standardisation of supplies and materials. Standard terms and conditions must not be varied without the prior approval of the Chief Finance Officer.
- 4.45** Apart from petty cash the normal method of payment from the authority shall be by BACS, CHAPS or cheque, 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.
- 4.46** 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**

- 4.47** 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 code of practice for tenders and contracts unless they are purchased from sources within the authority
  - (c) 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
  - (d) payments are not made unless goods have been received by the authority to the correct price, quantity and quality standards
  - (e) all payments are made to the correct person, for the correct amount and are properly recorded, regardless of the payment method
  - (f) all appropriate evidence of the transaction and payment documents are retained and stored for the defined period, in accordance with the document retention schedule



- (g) all expenditure, including VAT, is accurately recorded against the right budget and any exceptions are corrected
- (h) 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**

- 4.48** To ensure that all the authority's financial systems and procedures are sound and properly administered.
- 4.49** To approve any changes to existing financial systems and to approve any new systems before they are introduced.
- 4.50** To approve the form of official orders and associated terms and conditions.
- 4.51** To make payments from the authority's funds on the member of the Leadership Team's authorisation that the expenditure has been duly incurred in accordance with financial procedure rules.
- 4.52** 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.
- 4.53** To make payments to contractors on the certificate of the appropriate member of the Leadership Team, which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- 4.54** To provide advice and encouragement on making payments by the most economical means.
- 4.55** 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.

#### **Responsibilities of members of the Leadership Team**

- 4.56** To ensure that unique official orders are used for all goods and services, other than the exceptions specified in 4.43.
- 4.57** To ensure that orders are only used for goods and services provided to the service area. Individuals must not use official orders to obtain goods or services for their private use.

- 4.58** To ensure that only those staff authorised by him or her place orders and to maintain an up-to-date list of such authorised staff. 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 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.
- 4.59** To ensure that goods and services are checked on receipt to verify that they are in accordance with the order. This check should, where possible, be carried out by a different officer from the person who authorised the order. Appropriate entries should then be made in inventories or stores records.
- 4.60** 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 expenditure has been properly incurred and is within budget provision
  - (d) that prices and arithmetic are correct and accord with quotations, tenders, contracts or catalogue prices
  - (e) correct accounting treatment of tax
  - (f) that the invoice is correctly coded
  - (g) that discounts have been taken where available
  - (h) that appropriate entries will be made in accounting records.
- 4.61** To ensure that two authorised members of staff are involved in the ordering, receiving and payment process. If possible, a different officer from the person who placed the order, and in every case, a different officer from the person checking a written invoice, should authorise the invoice.
- 4.62** To ensure that the service area maintains and reviews periodically a list of staff approved to authorise invoices. Names of authorising officers together with specimen signatures and details of the limits of their authority shall be forwarded to the Chief Finance Officer.
- 4.63** To ensure that where payments are to be made on a photocopied or faxed invoice, the invoice is certified by the Chief Finance Officer or some other officer authorised by the Chief Finance Officer.

- 4.64** To encourage suppliers of goods and services to receive payment by the most economical means for the authority, generally BACS. It is essential, however, that payments made by direct debit have the prior approval of the Chief Finance Officer.
- 4.65** To ensure that the service area 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 issued by the Monitoring Officer, which are in line with best value principles and contained in the authority's contract procedure rules.
- 4.66** To utilise the central purchasing procedures established by the Monitoring Officer in putting purchases, where appropriate, out to competitive quotation or tender. These will comply with the authority's contract procedure rules and will cover:
- (a) authorised officers and the extent of their authority
  - (b) advertisement for tenders
  - (c) selection of tenderers
  - (d) compliance with UK and EC legislation and regulations
  - (e) procedures for the submission, receipt, opening and recording of tenders
  - (f) the circumstances where financial or technical evaluation is necessary
  - (g) procedures for negotiation
  - (h) acceptance of tenders
  - (i) the form of contract documentation
  - (j) cancellation clauses in the event of corruption or bribery
  - (k) contract records
- 4.67** To ensure that employees are aware of the national code of conduct for local government employees (summarised in the procedures and conditions of employment manual).
- 4.68** To ensure that loans, leasing or rental arrangements are not entered into without prior agreement from the Chief Finance Officer. This is to protect the authority against entering into unapproved credit arrangements and to ensure that value for money is being obtained.

- 4.69** 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 and, in any case, not later than 15 April.
- 4.70** With regard to contracts for construction and alterations to buildings and for civil engineering works, to document and agree with the Chief Finance Officer the systems and procedures to be adopted in relation to financial aspects, including certification of interim and final payments, checking, recording and authorising payments, the system for monitoring and controlling capital schemes and the procedures for validation of subcontractors' tax status.
- 4.71** To notify the Chief Finance Officer immediately of any expenditure to be incurred as a result of statute/court order where there is no budgetary provision.
- 4.72** To ensure that all appropriate payment records are retained and stored for the defined period, in accordance with the document retention schedule.

Payments to employees and members

#### **Why is this important?**

- 4.73** 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 Members' allowances are authorised in accordance with the scheme adopted by the Council.

#### **Key controls**

- 4.74** The key controls for payments to employees and members are:
- (a) proper authorisation procedures are in place and that there is adherence to corporate timetables in relation to:
- starters
  - leavers
  - variations
  - enhancements

and that 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 HM Revenue and Customs regulations are complied with.

#### **Responsibilities of the Chief Finance Officer**

- 4.75** 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 him or her, on the due date.
- 4.76** To record and make arrangements for the accurate and timely payment of tax, superannuation and other deductions.
- 4.77** To make arrangements for payment of all travel and subsistence claims or financial loss allowance.
- 4.78** To make arrangements for paying members travel or other allowances upon receiving the prescribed form, duly completed and authorised.
- 4.79** To ensure that all salaries and wages are paid monthly by BACS, this being the most economical means.
- 4.80** To ensure that there are adequate arrangements for administering superannuation matters on a day-to-day basis.

#### **Responsibilities of members of the Leadership Team**

- 4.81** To ensure appointments are made in accordance with the procedure rules of the authority and approved establishments, grades and scale of pay and that adequate budget provision is available.
- 4.82** To notify the Chief Finance Officer of all appointments, terminations or variations which may affect the pay or pension of an employee or former employee, in the form and to the timescale required by the Chief Finance Officer.
- 4.83** To ensure that adequate and effective systems and procedures are operated, so that:
  - payments are only authorised to bona fide employees
  - payments are only made where there is a valid entitlement
  - potential redundancy liabilities on short term posts are considered

- conditions and contracts of employment are correctly applied
  - employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness.
- 4.84** To send an up-to-date list of the names of officers authorised to sign records to the Chief Finance Officer, together with specimen signatures.
- 4.85** To ensure that payroll transactions are processed only through the payroll system. Members of the Leadership Team should give careful consideration to the employment status of individuals employed on a self-employed consultant or subcontract basis. The HM Revenue and Customs applies a tight definition for employee status, and in cases of doubt, advice should be sought from the Chief Finance Officer.
- 4.86** To certify travel and subsistence claims and other allowances. 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.
- 4.87** To ensure that the Chief Finance Officer is notified of the details of any employee benefits in kind, to enable full and complete reporting within the income tax self-assessment system.
- 4.88** 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**

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

### TAXATION

#### **Why is this important?**

- 4.90** 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**

**4.91** 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**

**4.92** To complete all HM Revenue and Customs returns regarding PAYE.

**4.93** To complete a monthly return of VAT inputs and outputs to HM Revenue and Customs.

**4.94** To provide details to the HM Revenue and Customs regarding the construction industry tax deduction scheme.

**4.95** To maintain up-to-date guidance for authority employees on taxation issues in the accounting manual and the tax manual.

## **Responsibilities of the members of the Leadership Team**

**4.96** 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.

**4.97** To ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.

**4.98** 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.

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

## **Appendix E External Arrangements**

### **PARTNERSHIPS**

#### **Why is this important?**

- 5.01** 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.
- 5.02** 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**

- 5.03** 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.
- 5.04** 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.
- 5.05** 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.
- 5.06** 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**

**5.07** The key controls for authority partners are:

- (a) if appropriate, to be aware of their responsibilities under the authority's financial and contract procedure rules
- (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**

**5.08** To advise on effective controls that will ensure that resources are not wasted.

**5.09** 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.

**5.10** To ensure that the accounting arrangements are satisfactory.

## **Responsibilities of members of the Leadership Team**

- 5.11** To maintain a register of all contracts entered into with external bodies in accordance with procedures specified by the Chief Finance Officer.
- 5.12** To ensure that, before entering into agreements with external bodies, a risk management appraisal has been prepared for the Chief Finance Officer.
- 5.13** To ensure that such agreements and arrangements do not impact adversely upon the services provided by the authority.
- 5.14** To ensure that all agreements and arrangements are properly documented.
- 5.15** 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.

## EXTERNAL FUNDING

### **Why is this important?**

- 5.16** 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 the single regeneration budget 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**

- 5.17** 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 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**

- 5.18** To ensure that all funding notified by external bodies is received and properly recorded in the authority's accounts.
- 5.19** To ensure that the match-funding requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.
- 5.20** To ensure that audit requirements are met.

### **Responsibilities of members of the Leadership Team**

- 5.21** To ensure that all claims for funds are made by the due date.
- 5.22** To ensure that the project progresses in accordance with the agreed project and that all expenditure is properly incurred and recorded.

### **WORK FOR THIRD PARTIES**

#### **Why is this important?**

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

#### **Key controls**

- 5.24** 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.

## **Responsibilities of Chief Finance Officer**

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

## **Responsibilities of members of the Leadership Team**

- 5.26** To ensure that the approval of the Cabinet is obtained before any negotiations are concluded to work for third parties.
- 5.27** To maintain a register of all contracts entered into with third parties in accordance with procedures specified by the Chief Finance Officer.
- 5.28** To ensure that appropriate insurance arrangements are made.
- 5.29** To ensure that the authority is not put at risk from any bad debts.
- 5.30** To ensure that no contract is subsidised by the authority.
- 5.31** To ensure that, wherever possible, payment is received in advance of the delivery of the service.
- 5.32** To ensure that the service area/unit has the appropriate expertise to undertake the contract.
- 5.33** To ensure that such contracts do not impact adversely upon the services provided for the authority.
- 5.34** To ensure that all contracts are properly documented.
- 5.35** To provide appropriate information to the Chief Finance Officer to enable a note to be entered into the statement of accounts.

# **SECTION 7**

## **CONTRACT PROCEDURE RULES**

**Summary of the main controls and procedures shown in these Contract Procedure Rules (“CPRs”)**

**THESE CONTRACT PROCEDURE RULES MUST BE READ IN ACCORDANCE WITH THE COUNCIL’S CURRENT PROCUREMENT PLAN**

- **Do the rules apply?** Check the guidance on the Council’s Intranet and in the event of any doubt you can contact the Monitoring Officer about whether these CPRs apply to a specific contract.
- **Responsibility** - Individual Heads of Service will be responsible for governing the procurement process, **deciding whether we should buy anything** and if so ensuring that there is budget for the proposed purchase. **If the rules are breached it is potentially a matter for disciplinary action.** (see Rule C11)
- **Joint Procurement** – Heads of Service must look at options for joint procurement and use of Framework agreements. (See Rule C11 and Section F)
- **Compliance with other policies including equality, health and safety-** When buying anything for us, you have to consider the importance and effect of our other policies, for example, the relevant Health and Safety Policy and the Council’s Equality Statement. (See Rules B3 and D3)
- **Conflicts** - If you are involved in the procurement process or manage any contracts, you must declare any possible conflict of interest to your manager and the Monitoring Officer. The golden rule is, if in doubt; declare it; (See Rules C2 - C4)
- **Contract Value** - The contract value does not just mean its yearly value but all payments over the length of the contract (including any extensions – even if those extensions are never activated) – special rules apply if there is no set length for the contract (see Rules C7-8 and H1-3).
- **Record Retention** - You must keep all tender-related documents in line with our policies on keeping documents and to satisfy audit requirements. You must also place the contract on the Contract Register (see Rule N1-N3)
- **Publicising the Contract** – All invitations to tender for contracts at and over £25,000 must be placed on the Tenders and Contracts part of the website, and the Government’s Contract Finder website and all awarded contracts over £5,000 must be entered on to the Council’s contract register and those awards at and over £25,000 must also be entered on the Contract Finder Website. (See Rules N4, F10 and F13)
- **Delegations** - Staff involved in the procurement process must act in line with the Scheme of Delegation. Heads of Service and Members of Leadership Team have authority to sign contracts up to £75,000. Contracts of £75,000 and above must have the authority of a Member of Leadership team and a member of Cabinet (see rule F10).
- **Follow the process carefully** - You must follow the correct tendering process – this will depend on the value of the contract and the extent to which a framework agreement is already in place
- **Higher Value Contracts** - For all contracts over £75,000, you must consult the Monitoring Officer before buying what is needed (See Rule F9 - 10)
- **Electronic Procurement** - Electronic procurement (including e-tendering) is a developing area and one the Council is keen to encourage. However it is important that you discuss this with the Monitoring Officer to ensure compliance with the Council’s rules. (See Rules F16

and 17)

- **Tender Evaluation** - When you evaluate a tender using MEAT (most economically advantageous tender), you must use the tender evaluation methodology referred to in these CPRs (See Rules M1 and M2).
- **Financial Appraisal** - You cannot accept a tender or appoint a provider for a contract worth over £25,000 which meet certain criteria, unless you have carried out a financial check in line with the supplier financial appraisal strategy (see Rule F10 and Annex 2).
- **Waivers from the Rules – Only applicable to non EU procurement contracts** - In certain situations, we allow an exception to below EU threshold contracts under these CPRs as long as you fill in a waiver form and this is authorised (See Rule U1)
- **Monitoring the Contract** – Once the contract is awarded the work does not stop; the Head of Service must ensure that compliance with the contract including with any policies such as Health and Safety and Equality is monitored (See Section V)

Options available for the tendering process

<p>Low-value transactions</p>	<p>Up to £1,000</p>	<ul style="list-style-type: none"> <li>• A framework agreement if there is one, unless best value can be achieved through other procurement routes</li> <li>• For transactions valued below £1,000, you can use a purchasing card.</li> </ul>
<p>Intermediate-value transactions</p>	<p>Over £1,000 and up to £75,000</p>	<p>A framework agreement if there is one, unless best value can be achieved through other procurement routes</p> <p>Three written quotations invited</p> <p>If no framework option – decide whether a bespoke contract is needed or whether the Council’s standard terms and conditions will suffice</p>
<p>High-value transactions</p>	<p>Over £75,000 and up to EU transactions limit</p>	<p>A framework agreement if there is one, unless best value can be achieved through other procurement routes and is agreed by the Monitoring Officer</p> <p>Placed on the Tenders and Contracts part of the Website and the Government’s Contracts Finder Website</p> <p>Three written tenders invited</p> <p>If no framework option – decide whether a bespoke contract is needed or whether the Council’s standard terms and conditions will suffice</p>
<p>EU transactions</p>	<p>Goods and Services over £181,302</p> <p>Works over £4,551,413</p>	<p>Special rules apply – see guidance from the Monitoring Officer</p>



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**No.**

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## **A Introduction**

- A1 These CPRs are part of our Constitution and are our procedural regulations for buying items for us. They do not apply to buying items or services from within the Council. In addition the Council's procurement plan and any relevant financial regulations must also be met.
- A2 We explain the difference between goods, work and services in the glossary of terms at the end of these CPRs.
- A3 The CPRs apply to any contract that results in us making a payment and contracts where a service is being provided for us which results in some income being generated for us.
- A4 The CPRs also apply if we are acting as the lead organisation in partnership or other joint arrangement or if we appoint a subcontractor in connection with any contract.
- A5 The CPRs do not cover grants which we may receive or make (unless the grant is part of a contract for services).

### **KEY DIFFERENCES BETWEEN GRANTS & CONTRACTS**

1) Contracts – the essential elements of a contract are that there is a mutual bargain with consideration paid. A contract contains reciprocal obligations and the payment may be subject to VAT, depending on the service being supplied. Generally all contracts are subject to EU Procurement Rules to some degree whereas a grant is not.

2) Grants - the grant funder is subsidising a service it considers necessary, but which the grant recipient does not otherwise have the resources to deliver on a self-sustaining basis.

The essential elements of a grant are that the funds must be freely given and the donor receives nothing in return. Unless the grant agreement is a Deed, there is no obligation to pay and a grant is also outside the scope of VAT.

3) The “grey area” between Grants and Contracts - restricted grants and contracts for services can sometimes operate in a similar way.

For example, a local authority could give a grant to a childcare organisation to enable it to provide a certain number of subsidised places. Alternatively, the local authority could contract with the childcare organisation to purchase a certain number of childcare places on behalf of service users. To avoid any doubt it is important to make it clear whether the arrangement is a grant or a contract and that the drafting does not include any ambiguous language.

4) Appropriate Agreement - once it has been decided whether the payment is a grant or for contracted services, careful drafting of the Agreement is important.

For example, invoices are raised under a contract, but a grant is usually 'claimed' or 'drawn down'. "Clawback" provisions are used in the drafting of a Grant Agreement to enable funders to reclaim funding if the terms of a grant are not complied with.

With a contract, there should be no mention of clawback as the funder's remedy for any breach is to sue for damages. If in any doubt seek the guidance of the Corporate Director Governance who will provide you with an appropriate Agreement for your intended use.

A6 The CPRs do not apply to:

- contracts of employment;
- contracts relating to interest in land (also known as property);
- contracts placed by the Chief Finance Officer for treasury management purposes "or in the course of Treasury management activities"
- contracts relating to selling or otherwise disposing of our assets.
- Instructions to Counsel by the Head of Legal, Property and Democratic Services.

A7 If you are in any doubt about whether the CPRs apply, you must always check with the guidance issued by the Monitoring Officer.

A8 Our 'best value duty' is very important. It means that we must always consider how each procurement meets our duty to secure continuous improvement in what we do after taking account of economy, efficiency, effectiveness and outcomes. **As a result, we need to question whether we should be buying anything at all and, if we do, whether we can buy it best ourselves or jointly, or if we should rely on someone else to get better value.**

A9 Government and EU public procurement regulations require that we must allow, and be seen to be allowing, freedom of opportunity to trade and to be open and clear about how we do things.

A10 If we fail in this duty, a provider could make a complaint against us which could result in them claiming damages and even suspension of the contract.

A11 The most important principles are being clear, open and providing fair competition. Whenever we are buying goods and services for the council, we must always act to promote competition and to achieve value for money. However we must also ensure that we try and be innovative in the ways in which we procure services. This is critical for us to achieve our ambition. If you think that any part of the rules are stifling this then you should contact the Monitoring Officer so that he/she consider a suitable amendment to the rules.

A12 The CPRs have three main aims. These are to:

- keep to the obligations that govern spending public money, such as the EU procurement directives (reflected in the Public Contracts Regulations 2015);
- get best value in the way we spend money, so that we may in turn offer better and more cost-effective services to the public; and
- protect people who follow the CPRs.

A13 The CPRs:

- are written in plain English; and
- help decisions to be made by the right people at the right level in the council.

A14 With regard to below EU threshold contracts these CPRs may be suspended if the Chief Executive decides that it is appropriate to do so, see heading U6, for details.

A15 The rules are **automatically complied with** if we are entering into a framework agreement negotiated by another public organisation or you are buying something jointly with one or more public organisations and you are following their procurement processes or any of the other situations covered in U7;

A16 These CPRs apply to all contracts for goods, or for work, services or utilities for us or which we provide (other than those stated above) or you have a valid waiver under the section headed 'Exceptions from the CPRs'.

A17 **These rules must be followed and breach of them is potentially a matter for disciplinary action.**

## **B Context**

B1 The European Union sets down (through a treaty) what obligations are placed on us when we are buying. The main principle is to make sure that everyone in the marketplace who could provide the goods, work or services to us has the opportunity to do so.

- B2 We all now need to think about the way we arrange this, for example, e-auctions, e-tendering, or setting up a framework or placing a supply contract. More and more, councils are working collaboratively through joint procurements (in other words, buying the goods and services you need with another service area or another council or councils and sometimes other public organisations).
- B3 When you are buying anything for us, you **must** consider the importance and effect of our other policies on what you are buying. For example, this could include the Strategic Plan, the Corporate Equality Statement, the Council's Health and Safety Policies, the Council's Safeguarding Children and Vulnerable Adults Policy and economic aspirations.
- B4 If you are buying larger or expensive goods, work or services, remember that the Public Contracts Regulations 2015 for higher value orders and contracts are stricter than for those of lower value. This is so that the benefits of a more thorough, complicated process are not outweighed by the price compared to the value of the Goods, Work or Services in question.
- B5 At the highest end of the value scale, we **must** follow full EU public procurement directives, which say that we must keep to certain other procedures. In these cases, you **must** consult the Monitoring Officer.

## **C Before we start**

### **Making sure we keep to law and policies**

- C1 When making or proposing a contract on our behalf, the Head of Service will:
- keep to all relevant legal requirements including EU procurement regulations, relevant health and safety, environmental and equalities and discrimination law;
  - comply with these CPRs; and
  - keep to our financial regulations.

### **Honesty and conflicts of interest**

- C2 Every officer who takes any decision or has any influence about a contract must keep to our local code of conduct for employees.
- C3 Every officer who has a financial interest in a contract must contact the Monitoring Officer who will make a record in a book we will keep for the purpose, under Section 117 of the Local Government Act 1972.
- C4 You **must** tell the Monitoring Officer if you are dealing with a contract for the council and have been offered a gift or hospitality. You can get more advice and guidance on the Council's Intranet in relation to Gifts and hospitality.

## The competitive process

- C5 EU directives, UK law and Government policy says that we **must** always make sure that we are offering the opportunity to provide goods, work or services to the whole market to make sure there is fair competition.
- C6 If your contract is a high you **must** follow the section on high-value procurements.
- C7 The value of a contract means the estimated total value over the length of time it will apply, including any extension options (**not the yearly value**), before VAT.
- If the contract is for buying a single item, which is not related to buying other items, the contract is worth the price, or estimated price, referred to in that contract.
  - If the contract is for buying a related group of items, the contract is worth the total price, or estimated total price, of the group.
- C8 If there is no set length of time for the contract, **this is the estimated value of the contract over a period of four years**. You should not split contracts to avoid the values, either by item or length.

## Who can buy goods and services?

- C9 Heads of Service should make sure that any buying is carried out by an authorised person who can prove they have the skills and knowledge appropriate for buying the goods, work and services. These people should already have authority under our scheme of delegation for procurement. If not, they need to be granted authority from the relevant person or organisation.
- C10 Each Head of Service **must** make sure that we do not go over the limits in the scheme of delegation.
- C11 Before starting a procurement process, you need to make sure that you have carefully identified the need and fully assessed the options for meeting it.

Before you start, you **must** consider the following.

- **Do we need to spend the money?** Is there a clear business need, supported by appropriate evidence and a budget in place?
- **What is important to the council in this procurement?** Do you just need the goods, work or services? Or are there other things you want to bring about (for example, improved environmental performance, new jobs) or added social value. It is important that we consider whether we can obtain social value through the contract that is improving the social, environmental or

economic wellbeing of our area (by virtue of the Public Services (Social Value) Act 2012. This allows commissioners to achieve broader aims but you **must** consider the guidance issued by the Monitoring Officer.

- **Can you buy what you need with another council or public authority?** If you think you could save us money or achieve other advantages if you bought what you need with someone else, consider whether there is an existing framework arrangement or contract you can use. This framework or contract could be one already set up by another council or joint-purchasing organisation or run centrally by the Government (such as the Government Procurement Service).
- **Can we use a purchasing consortium?** Is there some kind of recognised purchasing group in place (often referred to as a buying consortium) where members can use the purchasing arrangements to buy goods or services? If there is a group in place, you do not have to keep to these regulations. However, you can only buy the goods or services that are covered by the group arrangements. If the goods or services are outside the scope of the group arrangements, you must use some other method of procurement in line with these regulations.

#### **Employment issues and TUPE (Transfer of Undertaking Protection of Employment Regulations)**

- C12 Entering into new contractual arrangements or changing existing contractual arrangements can give rise to TUPE implications. It is not always obvious that there are TUPE implications (for example, when a contract with another supplier comes to an end and is to be put out to tender again). So, **if in any doubt, you must get the** advice of HR to make sure that any relevant TUPE arrangements are in place.
- C13 Where it has been decided that goods, work or services should be bought from an external source, you **must** consider the effects this may have on the existing in-house team and the possibility of staff transferring to the new provider under TUPE.
- C14 These contracts **must** contain conditions to make sure appropriate workforce (and other) information will be made available in enough time when that contract is due to end to make sure that we can fulfil TUPE obligations.
- C15 TUPE situations will almost always give rise to pensions issues. You can get advice on this from the County Council's Pensions Section – this will be arranged by HR. You will need an actuarial statement on pension information for any proposed TUPE transfers. It is the responsibility of the person managing the tender process to get this. Sometimes, we may need a pension admissions agreement.



C16 You can get more information on TUPE from [www.acas.org.uk](http://www.acas.org.uk).

### **The main contracts**

C17 For high value contracts a Director must get further relevant approval from the relevant Cabinet Member before a contract is to be awarded.

C18 The Director **must** consider if members should be involved in decisions during the tender process on High Value Contracts, for example by deciding on the conditions for awarding the contract.

### **Other**

C19 A Director or Head of Service will not, without approval from the Chief Finance Officer enter into a contract for supplying goods or services under any operating lease, hire, rental or any other credit arrangements.

C20 Heads of Service and Directors must make sure all contracts and related records are kept, so they can be inspected, for a period of 10 years. This includes decisions to suspend these regulations and using any delegated powers.

C21 The Monitoring Officer may make arrangements under these CPRs about keeping records for certain types of contracts.

C22 Any interim contractor or consultant who is responsible to us for preparing or supervising a contract on our behalf must do the following. They must:

- keep to these regulations as though they were a Director, though the procedure may be modified so that inviting, opening and accepting tenders can be approved beforehand by the Director concerned;
- if the Chief Finance Officer or any officer we have authorised asks, produce all the records they keep in relation to the contract; and
- at the end of a contract, send all records, documents and so on relating to the contract to the Director concerned.

### **D Defining the need**

D1 At the least, you **must** clearly and carefully specify the goods, work or services to be supplied, the agreed programme for delivery and the terms for payment together with all other terms and conditions. You also need to make sure that you will have the funds in the budget to pay for them.

D2 This means you **must** decide before beginning the procurement process the size, scope, and specification of the goods, work or services needed. If you are buying with someone else, you **must** decide this scope with your partners first.

- D3 You **must** keep to any other council policies which could apply to what you want to buy including the Council equality statement and the Council's Health and Safety Policy and Safeguarding Policy.
- D4 When identifying and defining the need, you should make sure you have involved a wider range of organisations relevant to the goods, work or services to be supplied. By knowing the market and encouraging a wider supply base, you have more chance to find the right providers and achieve the right services at the right price.

## **E Contract strategy**

- E1 Once you have decided on the need, you **must** decide on your strategy for buying the goods, work or services. This means taking a step back from the traditional procurement process and assessing the purchasing options particularly when purchasing services.
- E2 You **must** consider options for delivering goods, work or services. The options for goods, works or services are:
- not buying the goods, having the work done or providing the services at all;
  - providing the goods, work or services ourselves (for example, by taking spare goods from another directorate or using their staff);
  - getting someone else to provide the ongoing goods, work or service (using the 'voluntary sector' or another local authority or public organisation); or
  - providing the goods, work or services with someone else (the private or 'third' sector or another local authority or public organisation).

## **F How we buy the goods and services we need**

### **Framework agreements (including the Crown Commercial Services (CCS), ESPO, WMS)**

- F1 You **must** use framework agreements for goods, work and services (including approved lists) **if they** exist, no matter what the value, unless the relevant Director or the Chief Finance Officer confirms, in writing, that the particular needs justify another procurement route.
- F2 Framework agreements are arrangements with providers for providing goods, work or services on agreed terms for a set period for estimated quantities against which orders may be placed if and when needed during the contract period. They offer benefits of pre-negotiated terms, bulk-buying, improved

services and reduced administration costs over the period of the arrangement.

- F3 A framework agreement may also have the option for you to hold a mini-competition with all the capable providers on the framework when you come to buy for us. Care must be taken to follow the rules set out in the framework agreement.
- F4 You **must** investigate whether call-off contracts or frameworks are relevant in your own case. You could get better value for us by using an existing framework agreement (and if relevant the central government agreements). **You also need to check if legally you can use them.**
- F5 Countywide arrangements for routine goods and services and directorate-specific contracts, for example, maintaining premises (such as gas servicing) and terms of tenders for highways maintenance would fall into the definition of a framework.

#### **Full tender procedures (over the EU thresholds)**

- F7 If you are inviting tenders for contracts over EU procurement thresholds, you **must** decide on the procedure to follow before you advertise and it **must** be one of the following.
- **Open procedure** (Regulation 27) - all interested providers send us a tender in response to an advertisement.
  - **Restricted procedure** (Regulation 28) - expressions of interest from interested providers in response to an advertisement, with us inviting a selection of those providers to send us a tender.
  - **Competitive procedure with negotiation** (Regulation 29) – a procurement procedure under which contracting authorities may award a contract following evaluation of the bidders' initial tenders. However, they may also conduct the procedure in successive stages and carry out negotiations on the initial and any subsequent tenders. Only use this procedure if it is agreed by the Corporate Director Governance.
  - **Competitive Dialogue procedure** (Regulation 30) - where the purpose of the procurement is known but not the solution. Only use this procedure if it is agreed by the Corporate Director Governance.
  - **Innovation Partnership** (Regulation 31) – this new procedure is aimed at encouraging the development of innovative products, services or works, which are not already available on the market. A problem for companies which want to provide such new approaches is the cost of investing in the development of innovative products or services, without any likelihood that these could be taken through to final production or delivery unless there

were further procurement processes after an initial R&D services contract.

- F8 For all transactions valued above the EU threshold, and for all transactions over £75,000 (not including VAT), you must get approval of the proposed tender process from the Monitoring Officer.

#### **Full tender procedures for high-value transactions**

- F9 For transactions valued at over £75,000 (not including VAT) but below the EU thresholds, you must carry out a formal tender process in line with the following principles.

- Openness
- Transparency
- Visibility
- Value for money
- In the best interests of the council
- Competition

- F10 It is a requirement of these CPRs that any contract at £75,000 or over is advertised on the Council's Website in the Tenders and Contracts section, unless the Monitoring Officer agrees otherwise. In addition as a result of the changes in the Public Contracts Regulations 2015 the tender must also be advertised on the Government's Contracts Finder website. As stated below High Value Contracts require approval from the relevant Cabinet member before they can formally be awarded. In addition a financial appraisal must be carried out if it is appropriate in accordance with the financial appraisal strategy at Annex 2. Also seek....(add in existing)....

#### **Intermediate-value transaction**

- F11 For transactions valued over £1,000 but at or below £75,000 (not including VAT), you **must** seek three written quotations before you issue a purchase order or contract, specifying the goods, work or services. This must set out prices, our terms and conditions of contract and terms of payment, unless a framework already exists and this must show value for money. If there is a framework, you **must** follow the procedure as set out in the framework, unless the relevant Director or the Monitoring Officer confirms, in writing, that the particular requirements justify using another procurement route. Annex 3 should be referred to.

F12 Your order must contain our standard terms and conditions of contract between us and the provider. A quotation and a purchase order will create a legally binding contract. We use the purchase order to formalise the terms of the contract. The award of contracts over £25,000 must also be recorded on the Government's Contracts Finder website.

### **Low-value transactions**

F13 For transactions valued up to £1,000 (not including VAT), there is no obligation to obtain more than one quote before you can purchase the services/goods or works. However you must issue a formal purchase order specifying the goods, work or services and setting out prices and terms of payment, unless a framework already exists and this must show value for money. If there is a framework, you **must** follow the procedure set out in that framework, unless the Monitoring Officer confirms, in writing, that the particular requirements justify using another procurement route.

F14 Your purchase order **must** contain our standard terms and conditions of contract between us and the provider. A quotation and a purchase order will create a legally binding contract. We use the purchase order to formalise the terms of the contract.

### **Electronic procurement and emailed quotations**

F15 You should always aim to use electronic procurement (or e-procurement) systems rather than paper systems. If you are going to use e-tendering provided by another organisation, this must be agreed by the Monitoring Officer. Using e-tendering may disadvantage some smaller providers. You should make it clear that paper systems can still be used, so that we attract the widest range of providers.

F16 If you accept electronic quotations, these **must** be:

- sent to a specific email address;
- opened at a set time;
- opened in the presence of a duly authorised officer;
- logged under the price given; and
- kept on the relevant file.

## **G The EU directives**

### **Extra requirements for transactions valued over EU limits**

G1 Below are the contract values above which you must follow procedures governed by the EU directives.

For goods and services (including goods and consultancy services)	£181,302
For work	£4,551,413 (from January 2018)

These limits are changed in January every two years. You **must** check the latest limits before you go ahead.

## H Adding contracts together

H1 You **must never** deliberately split down the value of contracts.

H2 Wherever possible, we should make our purchases in the form of a single large contract rather than a series of smaller contracts. However, there will be circumstances where using lots of (smaller) contracts, is appropriate.

H3 You **must** add together the value of the separate contracts of the same type over a short period so you can decide whether the value of the contract falls within the limits.

## I Procedures governed by the EU directives

I1 If your contract has a value over the current EU threshold for Goods, Services or Works, you **must** comply with the UK Public Contracts Regulations 2015. **EU treaty rules (reflected in the Public Contracts Regulations 2015) only apply in full to non-Schedule 3 services.**

Schedule 3 services are described in Annex 4 and where their contract value is above the current Schedule 3 'light touch regime' threshold of **£589,148** you must:

- Post in the OJEU a contract notice - or a Prior Information Notice - making known the intention to award a contract for any Schedule 3 service **above** the 'light touch regime' threshold (Annex 4) – thereby, by definition, inviting expressions of interest.
- Thereafter, by definition, hold some sort of (competitive) award process following this.
- Ensure that their award procedures are at least sufficient to ensure compliance with the principles of equal treatment and transparency.
- Run the process in conformity with the information in the call for competition (but may depart from it in certain circumstances which would not result in breach equal treatment and transparency).

- Allow reasonable and proportionate time and time-limits for the whole process.
- Publish a contract award notice (once awarded – these can be grouped for publication quarterly).

An OJEU call for competition (Contract Notice or PIN) can be dispensed with only where:

- The contract is below-threshold.
- The “negotiated procedure without notice” can be used – ie, where a procurer can legitimately approach one provider direct.
- There is some other reason why the EU rules don’t require a competition (perhaps because what might otherwise have been a procurement is instead an in-house arrangement, or a public-to-public co-operation).

12 The Public Procurement Regulations 2015 contain conditions relating to providing notices and other documents electronically.

13 You **must** tender the contract under one of the procurement options listed at F1 above (for particularly complicated contracts). This Council would only consider the use of the Competitive Procedure with Negotiation in exceptional circumstances.

14 EU directives and the Public Procurement Regulations 2015 are very detailed and we can only give details of the main ones here. If in doubt, you should get the guidelines and advice from a procurement advisor.

15 For each contract, unless we say differently below, you must publish a contract notice in the Supplement to the Official Journal of the European Union (OJEU). **Great care must be taken in filling out the information in the OJEU notice to make sure that the information is accurate.** Advertisements you publish as well as this **must not**:

- appear in any form before we have sent a contract notice to OJEU; and
- contain any information on top of that in the contract notice in OJEU.

16 You **must** always follow the minimum timescales relating to tender procedures governed by the EU directives. The timescales given for completing and returning tenders are only the minimum, so there is flexibility to extend timescales to encourage bids from smaller providers or consortiums. If procurement falls under Schedule 3 services or is under the EU procurement limits, there is no formal time limit. Similarly, when faced with short timescales within which to use the funds, you should still make sure the process used is fair, clear and accessible to all.

17 If you have sent a prior information notice (PIN) announcing a forthcoming contract notice to OJEU between 52 and 365 days before you have sent the contract notice, reduced timescales may apply.

18 You must also, now under the Public Services (Social Value) Act 2012 consider:

- How what is proposed to be procured could seek to improve the economic, social and environmental well-being of the area.
- How the Council may through the contracting process seek to secure improvement in the economic, social and environmental well-being in conducting the process of procurement.
- Whether any consultation with the local community is necessary to establish how the contract being procured may improve the economic, social and environmental well-being of the area.

## **J Tender documents**

J1 Every above EU threshold invitation to tender using a Pre-Qualification Questionnaire (PQQ) should include:

- the nature and purpose and, if it applies, the proposed length of the contract;
- an outline of the goods, work or services to be supplied or carried out;
- a statement on our procedures for getting tenders;
- a requirement for the applicant to provide information about their technical, commercial and financial standing if we do not already have the information;
- a closing date for receiving applications;
- the evaluation criteria (with weightings) to include in any tender process (see regulation 13);
- an outline process and timetable;
- a statement that we do not have to accept the lowest or any tender; and
- a named Individual to deal with from the Council (or its agent).

J2 Unless we change it every **invitation to tender should** include:



- the nature, purpose, start date and period of the contract;
- the detailed specification and quantities of goods, work or services to be supplied or carried out;
- the times at, or within which, and the places at which the goods, work or services are to be supplied or performed;
- a copy of the conditions of contract which the successful contractors will have to keep to;
- information on TUPE;
- the evaluation criteria (with weightings) for awarding the contract
- a statement that we do not have to accept the lowest or any tender;
- the closing time and date, and address for receiving tenders;

**NOTE: Pre-Qualification Questionnaires are no longer allowed in below EU threshold procurement**

## **K Getting tenders**

K1 The Head of Service must send to every person who wants to give us a tender any documents which the Council considers are necessary to fully inform their proposed tender. This includes a returnable tender form or other document which tells each company wanting to tender to:

- include their offer price (or prices) for the goods, work, services or utilities;
- include their signature or seal;
- return the filled-in tender form to the Manager concerned at the address given by a certain date and time;
- where returning by post send the filled-in tender in an envelope with the word 'TENDER' addressed to the relevant Director at the Council followed by the subject the tender relates to and the closing date and time for receiving tenders;
- be told that, depending on procurement regulations relating to e-tendering arrangements, we will not consider tenders sent in only by fax or email.

## **L Receiving and opening tenders and PQQs (pre-qualification questionnaires)**

- L1 Every response to a PQQ or an invitation to tender should be delivered:
- no later than the time given for sending us the tender in the invitation to tender (and addressed to the relevant Director at the place shown in the invitation to tender (or e-mail address)); or
  - on a read-only CD-ROM clearly labelled with the tenderer's name and contract reference, or via email (or provided in hard copy as a last resort);

There should be no other labelling or markings on the packet that identifies who is providing the tender.

- L2 The Head of Service **must** keep the tenders secure until the time we have given for their opening. These are to be kept in the safe held by Land Charges. We will not open tenders before the closing date and time. Two officers **must** open all tenders at the same time. They **must** not be involved in the tender evaluation and award.

- L3 We **must** list the opened tenders on a list of tenders. Tenders must be signed and dated by the people opening them. Pages with prices in them do not need to be signed, only the total price page.

- L4 Email tenders **must** be stored in a specific address which is secure and which meets our audit requirements.

- L5 We will not open a tender if it is received late and after we have opened other tenders for that contract.

- L6 If the circumstances mean it is appropriate, the Director or the Monitoring Officer may postpone, for a reasonable period, the closing time and date for receiving tenders. This applies as long as we have let everyone know, in the same way, who we have asked for tenders from and that tenders have not been opened.

## **M Evaluating tenders and quotations**

- M1 If we have asked for written quotations for contracts valued at or below £75,000 (not including VAT), unless otherwise decided by the Director or Head of Service the contract shall be awarded based on identifying the most economically advantageous tender (MEAT).

- M2 For contracts valued over £75,000 (not including VAT) and for all contracts governed by EU directives, the contract shall be awarded based on identifying the most economically advantageous tender (MEAT). However, there are some situations where using MEAT will not be an appropriate method of evaluation. This is usually if the only obvious difference between products or solutions will be that of price (for example, if you are buying stationery or other standard items). It is unlikely that you could choose providers for services or work on price alone as these will often need

wider evaluation techniques. When deciding on how we evaluate tenders, we need to be careful that using a lowest-price method of evaluation rather than MEAT is appropriate for the procurement.

- M3 This evaluation involves scoring tenders fairly by an officer or panel of officers or independent experts using criteria which **must**:
- be already set out in the invitation to tender documents in order of importance;
  - be strictly kept to at all times throughout the tender process;
  - reflect the principles of best value;
  - include price;
  - consider whole-life costing, particularly in the case of capital equipment where the full cost of maintenance and so on should be taken into account;
  - be able to be assessed independently;
  - be weighted according to importance;
  - show wider social value if this has been included in the specification; and
  - avoid discrimination on the basis of nationality, or other cause which goes against any of our policies.
- M4 If you use this evaluation method, you must award the contract to the company which sends us the most economically advantageous tender. (In other words, the tender that achieves the highest score in the independent assessment.)

## **N Awarding contracts and audit trails**

- N1 You **must** record in writing the results of the tender-evaluation process and the decision to award a contract.
- N2 You **must** only award a contract if you are authorised to do so. You **must** make sure that the appropriate budget holder has the funds in place before you make the award.
- N3 Heads of Service and Directors should make sure that proper records of all procurement activity are kept in electronic or hard-copy format as appropriate. This is in line with our policy on keeping documents.
- N4 All contracts awarded with a value over £1,000 must be recorded on the Council's contract register (via the Intranet) unless the Monitoring Officer agrees otherwise. This is critical to allow for the Council to carefully monitor its spend and to allow the

public to view the way in which the Council spends its resources.

N5 We cannot accept any tender which breaks EU procurement regulations.

N6 We cannot accept any tender unless, where required, we have carried out a financial check in line with our supplier financial appraisal strategy (Annex 2).

**O Standstill period (for EU tenders only)**

O1 For all contracts tendered under EU directives, we **must** have a 'standstill period' between the decision to award and the actual award of the contract. The minimum standstill period is calculated depending on the means of communication used to transmit the standstill notice:

At least 10 calendar days, when the notice is communicated using electronic means (e.g fax, email); or

When using non-electronic means, there is a choice between either 15 days from date of sending or 10 days from date of receipt.

Once we have made the decision to award a contract, we must write to each company that provided a tender with the outcome of the tender process. This notice **must** include:

- details of the criteria for awarding the contract;
- if possible, the score or ranking the company achieved against those criteria;
- if possible, the score or ranking the winning company achieved; and
- the name of the winning company

O2 There **must** be at least 10 calendar days between sending this notice and the end of the contract. Special rules apply if a company asks us for a debrief on the tender process. Even if a company asks for a debrief outside of the standstill period, we **must** still provide this. In this instance, you must get advice from the appointed procurement advisor as soon as possible. The appointed procurement advisor will be a person with legal or procurement qualifications.

**P Contract award notice (EU contracts only)**

P1 We **must** announce all contracts awarded under the EU directive using a contract award notice in OJEU which must be sent no later than 48 calendar days after the date we award the contract.

P2 Awards of all contracts for £25,000 and over must be recorded on the Government's Contract Finder Website.

**Q Conditions of contract**

Q1 There must be written evidence of every contract and all contracts must be in a form agreed with the Monitoring Officer.

Q2 All transactions **must** use an appropriate model form of contract approved by the Monitoring Officer (or a form decided by the Director after consulting the Monitoring Officer).

Q3 For all contracts for services estimated at a value over £75000 (not including VAT), if the model conditions of contract are not suitable, you **must** consult the Monitoring Officer to produce a suitable set of conditions of contract (with other advisors if necessary) before inviting tenders.

Q4 The Monitoring Officer **must**:

- keep a record or list of all model sets of conditions of contract that gives details of when the conditions were last updated, who is responsible for updating them, any changes and contact references;
  - keep all current model conditions of contract under review;
  - monitor and review conditions of contract issued by other organisations; and
- make sure that information is sent to directorates and access is given to available framework agreements and contracts, local or joint framework agreements and call-off contracts.

**R Insurance**

R1 Insurance conditions will be contained in the conditions of contract. In terms of insurance, we will normally need the successful contractor to have the following types and minimum limits of cover. These figures can be varied by agreement of the Council's Section 151 Officer (the Officer with responding for finance matters)

	<b>Works Contracts</b>	<b>Goods and services Contracts</b>
Public Liability	£25 million	£5 million
Employers Liability	£5 million	£5 million
Professional Indemnity	£2 million	£2 million

R2 The above limits relate to each claim. For public liability and employers' liability, the cover must be in place throughout the period covered by the contract. For professional indemnity, the conditions are more complicated. Not only must the cover be in place throughout the period covered by the contract but also for another six years after the end of the contract (or 12 years if the contract is executed as a Deed). For certain types of services, for example, financial advice, the amount of professional indemnity insurance cover will need to be higher to protect us in case anyone gives inappropriate advice.

R3 When providing goods and services, the above limits may not be appropriate for small and medium enterprises (SMEs) and sole suppliers. In these instances, we can reduce these limits after carrying out a risk assessment and filling in the relevant sections of the waiver form (Annex 1) after consulting the Chief Finance Officer.

### **S Transferring contracts**

S1 In appropriate circumstances we may agree to transfer a contract, by novation or assignment. You must ask for advice on how to transfer a contract from the Monitoring Officer, **before** any contract is transferred.

S2 The Monitoring Officer **must** take this decision and it must be notified to the Cabinet.

### **T Changing and extending contracts**

T1 Depending on any legal restrictions and the need to keep to these CPRs, a Director may authorise the following extensions and changes to an existing contract.

- An extension for a particular period under the terms and conditions of the contract (but depending on the satisfactory performance when monitoring the contract).
- A single extension of the contract by up to half the contract term as long as this would not place the contract over the EU limit or break any law.
- Any other change, and if relevant a resulting change in price, decided in line with the contract terms.

T2 Any extension to the contract period cannot be longer than the original length of the original contract. Any extension or change to the contract must be notified to the Cabinet.

T3 You **cannot** extend or change contracts arranged under the EU regulations without consulting the procurement service.

## **U Exceptions from the regulations**

U1 An exception to these CPRs means we give permission to agree a below EU threshold contract without keeping to one or more of these CPRs. We may grant an exception under conditions set out below. We cannot grant an exception if to do so would mean breaking any laws on public procurement or other relevant legislation.

U2 **An exemption will automatically apply where we decide to use a framework agreement or to jointly contract with another public authority acting as the lead authority (see Rule A15).**

U3 The Chief Executive may grant an exception to these CPRs as detailed below. If you want an exception (other than those automatically covered which are listed below at paragraph U7 or at A14), you must apply in writing using the request for waiver form (Annex 1 of these CPRs) and send it to the Monitoring Officer. Please include the exception you want and your reasons for it.

U4 The Monitoring Officer will keep a register of all exceptions to these CPRs.

U5 We will not agree an application for an exception unless you have a good reason. We do not consider a lack of time caused by poor forward planning as a good reason and so will not allow it.

### **Exceptions which involve the request for waiver form (Annex 1 of these regulations)**

**Note: the Council cannot give an exception for above EU threshold value contracts that are covered by the Public Contracts Regulations 2015.**

#### General contracts

U6 We may grant an exception in the following circumstances.

- If there is an unexpected emergency involving danger to life or health or serious damage to property, if the goods, work or services are needed more urgently than would be possible if we followed the tender or quotation procedure.
- If, for technical reasons, the goods, work or services can be bought from only one provider and this can be justified.
- If the proposed contract is an extension or change to the scope of an existing contract with a value (including the change or extension) that is below the relevant EU threshold. However, this does not apply if the existing contract provides for an extension.

- If we can achieve value for money by buying used vehicles, equipment or materials.
- To develop our aims to develop the economy, whilst complying with the Public Contracts Regulations 2015.

U7 You will, as detailed in A14 and A15, not need separate authorisation in the following circumstances:

- If you place an order with a single provider under an existing corporate contract or framework agreement.
- If you place an order through a buying consortium of which we are a member.
- As part of a partnering contract that involves a series of contracts with one provider.
- you are buying something jointly with one or more public organisations and you are following their procurement processes
- If any law says we must contract differently from these standing orders.
- If you place an order under an arrangement, of which we are a member that has gone through a competitive process which meets EU conditions, for example, Crown Commercial Services.
- For goods, work or services which must be provided by a public utility or a local authority other than us under their legal powers.

## **V Monitoring the Contract**

V1 Once the contract has been awarded and recorded it is important that we do not simply ignore the contract until it comes round to retender. The contract must be properly monitored and checked to ensure that the contract is being properly performed and that the Council continues to obtain best value. It is the Heads of Service responsibility to ensure that this happens.



**Request for 'Waiver' (exception)  
From Contract Procedure Rules**

**LICHFIELD DISTRICT COUNCIL**

NOTES:

- Please see the Contract Procedure Rules, regarding requests for waivers
- Waivers cannot be approved that would place the Council in breach of national legislation or EU procurement law
- Requests may be made by email. Requests for waivers must be made **prior to commencement of any procurement activity**
- This form is to be completed and passed to the relevant officer authorised under the constitution to sign/seal the Contract/Framework Agreement, prior to entering into any Contract/Framework Agreement

Compliance with certain EU Regulations (reflected in the Public Contracts Regulations 2015) is still required even if a waiver is granted. Please seek the advice of a Procurement Advisor for the following procurements:-

Schedule 3 services and single supplier procurements that are over the EU threshold are not exempt from EU procurement law but are merely partially exempt

- A copy of the completed waiver form duly signed by all parties indicated should be placed on the contract file and a copy must be sent to the Monitoring Officer for filing on the council's waiver database – send to: [address needed](#)
- This waiver request must not be completed or signed by any individual who has a direct or indirect interest in the request.

		INFORMATION TO BE INSERTED
1	<b>TITLE of Contract/Framework Agreement</b>	
2	<b>Description of Goods/Works/Services</b>	
3	<b>NAME of proposed provider, if known</b>	
4	<b><u>Duration and Value of Contract</u></b>	
4.1	Duration of Contract/Framework Agreement (include initial term and any options to extend)  <u>Note</u>  Framework Agreement should not generally be for more than four years	..... years
4.2	If Contract/Framework Agreement duration is in excess of 4 years provide justification for extended period	
4.3	If proposed Contract has been renewed or extended previously with the same provider/group of companies please indicate (this may affect the aggregated value of the Contract).	
4.4	Have there been any previous waivers in respect of this contract?	<input type="checkbox"/> YES <input type="checkbox"/> NO  If <input type="checkbox"/> YES please provide details of (i)      date and value of Contract (ii)     date(s) and values of any previous waivers and any limitations attached to previous waivers (iii)    value of this waiver request

		INFORMATION TO BE INSERTED
<b>4.5</b>	<p>Total <b>VALUE</b> (excluding VAT) of proposed Contract/Framework Agreement <b>include any amounts specified at 4.4 TOTAL VALUE should be value over entire duration including any extension period</b></p> <p><u>Note</u></p> <p>Include <u>all</u> anticipated ancillary matters such as maintenance support, licences, training, expenses etc.</p>	
<b>4.6</b>	If unable to determine value, please provide brief explanation	
<b>5</b>	<b><u>Budget</u></b>	
<b>5.1</b>	Is there a budget available for the total value of Contract?	<input type="checkbox"/> YES <input type="checkbox"/> NO
<b>5.2</b>	If reply to 5.1 is <input type="checkbox"/> NO how is funding to be sourced?	
<b>5.3</b>	Is funding conditional?	<input type="checkbox"/> YES <input type="checkbox"/> NO
		If <input type="checkbox"/> YES include brief summary of funding conditions
<b>6</b>	<p><b><u>Evidence of Value for Money</u></b></p> <p><u>Note</u></p> <p>If a formal tendering process is not to be undertaken value for money must be evidenced (without exception)</p>	Details of value for money:
<b>7</b>	<p><b><u>EU Thresholds</u></b></p> <p>Is Contract over EU Thresholds?</p> <p><b>EU Thresholds as at January 2018:</b></p> <ul style="list-style-type: none"> <li>• works £4,551,413 +</li> <li>• goods &amp; services £181,302</li> </ul>	<input type="checkbox"/> YES <input type="checkbox"/> NO
		<input type="checkbox"/> YES complete Point 13

		<b>INFORMATION TO BE INSERTED</b>
<b>8</b>	<p><b><u>Procurement Route</u></b></p> <p>If the Contract is over £75K (excluding VAT) Monitoring Officer to sign confirmation that there is not a more suitable alternative procurement route</p>	<p>Signature .....</p> <p>Monitoring Officer</p>
<b>9</b>	<p><b><u>Reason for Request</u></b></p> <p>Brief description why waiver is being requested</p> <p><u>Note</u></p> <p>There is a general presumption that all Contracts/Framework Agreements will be formally tendered. If this is not the case, the reasons must be explained along with the actual procurement route to be taken.</p>	
<b>10</b>	<p><b><u>Risks</u></b></p>	
<b>10.1</b>	<p>Details of any material risks e.g.</p> <ul style="list-style-type: none"> <li>• Variation to standard contract clauses (Legal)</li> <li>• DBS Disclosures (HR)</li> <li>• Non-standard Insurance limits (Public Liability/Employers Liability/Professional Indemnity Insurances)</li> <li>• Financial vetting revealing significant risk</li> <li>• Other (please specify)</li> </ul>	
<b>10.2</b>	<p>Why is the council assuming any material risks?</p>	
<b>11</b>	<p><b><u>Other Information</u></b></p> <p>Other relevant information (if applicable)</p>	
<b>12</b>	<p><b><u>Exit Plan</u></b></p> <p>What are the plans for the provision of goods/works/services upon the expiry of the Contract e.g. re-tender/one-off project?</p>	

**CONTRACTS OVER THE EU THRESHOLD**

<p><b>13</b></p>	<p>Does the request for waiver fall within one of the following categories?</p> <p>Contract for:</p>	<div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; padding: 2px 10px;">YES</div> <div style="border: 1px solid black; padding: 2px 10px;">NO</div> </div> <p><u>Note</u></p> <p>If <span style="border: 1px solid black; padding: 0 5px;">NO</span> the request for waiver is likely to be refused if over the EU Threshold</p>
<p><b>13.1</b></p>	<p>Acquisition or development of material for broadcasting</p>	
<p><b>13.2</b></p>	<p>Arbitration or conciliation services</p>	
<p><b>13.3</b></p>	<p>Financial services in connection with the issue, purchase, sale or transfer of securities</p>	
<p><b>13.4</b></p>	<p>Central bank services</p>	
<p><b>13.5</b></p>	<p>Employment and other contracts of service</p>	
<p><b>13.6</b></p>	<p>Research and development services, unless solely for the benefit of the council and paid for by the council</p>	
		<p><b>INFORMATION TO BE INSERTED</b></p>
<p><b>13.7</b></p>	<p>Services, where the council has the <u>exclusive</u> right to provide the service</p>	
<p><b>13.8</b></p>	<p>EU Services under Schedule 3 or EU directive 14 exemption</p>	
<p><b>SUBMISSION BY REQUESTING OFFICER</b></p>		
<p><b>14</b></p>	<p>For completion by requesting officer only</p> <p><b>I confirm that the information set out above is correct.</b></p>	

	Contract Officer's signature: Name..... Post ..... Tel No..... Date..... <i>(either type name or use signature)</i>	
<b>WAIVER AUTHORISATION</b>  <b>NOTE: FOR ALL CONTRACTS EXEMPTION CAN ONLY BE GIVEN BY THE CHIEF EXECUTIVE</b>		
15	<input type="checkbox"/> APPROVED	<input type="checkbox"/> REFUSED
16	Comments and Restrictions/Limitations to approval/reasons for refusal (if any)	
17	Name/signed ..... Chief Executive ..... Date .....	

## Supplier financial appraisal strategy

### Aim

The aim of the supplier financial appraisal strategy is to reduce as far as possible the effect of a business failure on the most vulnerable in the community.

### Principles

The strategy is based on:

- the need to help the Council make the right decision for all main critical contracts;
- promoting competition when buying goods, work, services and utilities;
- choosing the most suitable suppliers of goods, work, services and utilities based on a set of financial and market measures;
- the need to take account of the level of risk associated with the supply, service or supplier; and
- the ongoing assessment of the supplier's financial strength.

### The main responsibilities

While the final decision to reject an applicant for financial reasons rests with the Chief Finance Officer the emphasis will be based on a partnership approach.

Internal Audit will monitor how we follow this strategy through their planned procurement audit assignments carried out each year.

### Method

The following method applies for all contracts awarded using a tendering procedure or waiver.

For contracts with a value of **less than £75,000** you do not need to carry out a financial appraisal before awarding a contract.

For contracts with a value over **£75,000 but less than £1 million** the Head of Service, the relevant Director and the Chief Finance Officer will decide whether a financial appraisal is needed, before the contract is awarded.

The basic assessment involves four questions as shown below.

- Is the type of supply or service being bought 'routinely' rather than as a one-off purchase?
- Is the supply or service readily available from a number of other suppliers?
- Can the supply or service be easily substituted?
- Are contract payments only made once we have received the supply or service?

If you answer no to any of the four questions, you will normally carry out a financial appraisal using the same process and a choice of those factors (1 to 8) shown below.

The procurement officer, lead commissioning manager and a representative from the relevant joint finance unit will decide on the need to carry out a financial appraisal for each year of the contract.

We will carry out detailed financial appraisals:

- for all tendering exercises **over £1 million**;

### **Pre-contract award**

Factors to be discussed

- 1 We will take account of output from financial checks carried out using the financial assessors N2Check, Dunn & Bradstreet and Experian (based on those accounts lodged with Companies House).
- 2 We will analyse the latest set of accounts (if not lodged with Companies House).
- 3 We will carry out financial checks on the parent company (if there is one).
- 4 We will analyse the contract value when compared to:
  - the recommended total yearly contract value as defined by Dunn & Bradstreet;
  - the market standard of no more than 25% of turnover; and
  - the current total spending with the tender applicant.
- 5 In terms of the nature of the contract, we will look at:



- the type of supply or service (for example, regular or one-off);
  - the extent of competition within the market (for example, how easy to source the contract); and
  - the payment terms (for example, payment in advance or payment once the goods or services are received).
- 6 We will also look at information from suppliers gathered through current arrangements for managing services or from other sources.
  - 7 We will check the movement in share prices (if this applies).
  - 8 For sole traders and partnerships, we need to change certain factors. For example, we will replace factors 1 and 2 with the requirement for tender applicants to fill in a financial assessment in a format set by the Chief Finance Officer. This will show certain information on trading accounts for the last three years. The assessment will automatically work out the average liquidity score.

Following on from the above, we will assess whether to reject the tender for financial reasons. Before we reject it, we will consider the need to get (where appropriate) a banker's reference or parent company guarantee. We will record and keep the result of this assessment (including the reasons behind it).

#### **Post-contract award**

In assessing the ongoing financial strength of suppliers, we will repeat the above process for each year of the contract within one month of the anniversary of the contract award date. This will help us manage contracts effectively.

## SAFEGUARDING REQUIREMENTS

### Working with Contractors

All contractors providing a service to Lichfield District Council need to be made aware of the council's Safeguarding Children and Adults at Risk of Abuse and Neglect Policy and Procedure and agree to comply with the policy and procedures. Any contracts or Service Level Agreements or contracts in place should therefore specify this requirement.

#### **Contractors working with Children and Adults at risk**

Where the contractor will be working with children, young people and/or adults at risk, contractors will be required to have approved their own Safeguarding Policy and Procedures, which have been reviewed by the officer responsible for the contract and agreed as fit for purpose. Advice may be sought from the Designated Safeguarding Officer.

Contractors must also follow safer recruitment selection policies and ensure these are implemented whenever a person is employed or volunteers to work with children, young people or adults at risk. This will also include a requirement that the provider will not sub-contract to any organisation that does not have safe recruitment processes.

These requirements will be included in the terms of any contract drawn up between the council and contractors or agencies that provide council services for, or adults to work with, children and adults at risk. The specific terms of the application of this policy, to contractors delivering services on behalf of the council, will be specified, where appropriate, in contractual documents, including procurement standards, monitoring and quality assurance.

It is the responsibility of the manager who is using the services of the contractor to check that any necessary Disclosure and Barring Service checks have been satisfactorily completed. The manager will monitor safeguarding compliance as part of the regular contract management monitoring.

The Designated Safeguarding Officer will use the Contracts Register to monitor compliance with Safeguarding requirements.

#### **Partnership working and Grant aided organisations**

Voluntary organisations, private and community sector providers working in partnership with the council involving children and adults at risk will be made aware of the council's Safeguarding Policy and Procedure and agree to comply with the policy and procedures.

Grant aided organisations delivering services involving children and adults at risk will be required to demonstrate that they have in place an appropriate Safeguarding Policy and procedure as a condition of financial support.

## Current wording

### Use of Contractors

Contractors must comply with the principles set out in:

- The Safeguarding Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012.
- The Department for Education '*Revised guidance on safeguarding children and safer recruitment in education*' (2010).
- Disclosure and Barring Service (DBS) Checks: Policy and Guidance for service providers and CQC staff (July 2011).

Lichfield District Council and its employees, elected members and volunteers should undertake reasonable care that contractors doing work on behalf of the Council are monitored appropriately. Service Level Agreements or contracts in place for these contractors should therefore specify this requirement.

Any contractor or sub-contractor engaged by the Council in areas where workers are likely to come into contact with children or vulnerable adults<sup>1</sup> and take part in 'regulated activity'<sup>2</sup> (as defined within the new definition with effect from September 2012) must have an appropriate DBS check.

There are five types of check that are available. Further guidance is provided on the DBS website ([www.gov.uk/disclosure-barring-service](http://www.gov.uk/disclosure-barring-service)) to enable employers to establish, which, if any, level of check is required. The checks that are available are:

1. **Enhanced Check for Regulated Activity (Children)** - used when someone is undertaking regulated activity relating to children. This check involves a check of the police national computer, police information and the children's barred list.

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<sup>1</sup> The DBS definition of regulated activity relating to **adults** no longer labels adults as 'vulnerable'. Instead the definition identifies the **activities** which, if any requires them, lead to that adult being considered vulnerable at that particular time. This means that the focus is on the activities required by the adult and not on the setting in which the activity is received, nor on the personal characteristics or circumstances of the adult receiving the activities. There is no longer a requirement for a person to do the activities a certain number of times before they are engaging in regulated activity. Further guidance is on the DBS website: [www.gov.uk/disclosure-barring-service](http://www.gov.uk/disclosure-barring-service)

<sup>2</sup> The full definition of regulated activity is set out in Schedule 4 of the Safeguarding Vulnerable Groups Act 2006, as amended (in particular, by the Protection of Freedoms Act 2012). Further information can be found at: [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/143666/eligibility-guidance.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/143666/eligibility-guidance.pdf)

2. **Enhanced Check for Regulated Activity (Adults)** - used when someone is undertaking regulated activity relating to adults. This check involves a check of the police national computer, police information and the adults barred list.
3. **Enhanced Check for Regulated Activity (Children and Adults)** - used when someone is undertaking regulated activity relating to both children and adults. This check involves a check of the police national computer, police information and the children's and adults barred list.
4. **Enhanced DBS Check** - used where someone meets the pre September 2012 definition of regulated activity. This level of check involves a check of the police national computer and police information.
5. **Standard DBS Check** - used primarily for people entering certain professions such as: members of the legal and accountancy professions. Standard DBS checks just involve a check of the police national computer and do not include a check of police information or the children's or adults barred lists.

Where there is potential for contact with children or vulnerable adults, it is the responsibility of the manager who is using the services of the contractor (the Client) to check that the correct Disclosure and Barring Service (DBS) check has been satisfactorily completed.

## Glossary of terms

**Approved contractors list** is a list of suitably accredited and qualified providers from which we ask for quotations or tenders without the need to advertise the procurement.

**Crown Commercial Services** is an executive agency and trading fund of the Cabinet Office of the UK Government. The CCS is responsible for improving government commercial and procurement activity and bringing together policy, advice and direct buying; providing commercial services to the public sector and saving money for the taxpayer

**Competitive dialogue procedure** is used when we cannot provide a precise specification and where there is scope to negotiate about what services companies can provide. The purpose of this procedure is to negotiate on the specification of the project and not on the price.

**Consortium** means an association of several business organisations who are legally bound together to work towards a commonly held aim. .

**Contract** means any agreement where we agree to carry out or to buy or sell any goods, work, services or utilities for payment or otherwise.

**Electronic procurement** means procurement using the internet, including online e-auctions and buying portals on the internet. You can take advantage of reduced minimum time periods when you arrange your contracts under the EU procurement regime and send your documents electronically. You can get advice and guidance on this from a procurement advisor.

**EU procurement regulations** means the Public Contract Regulations 2015 together with relevant EU directives, case law and guidance issued.

**Framework agreement** means an agreement or other arrangement which sets the terms (in particular the price and, where appropriate, quality) under which the provider will enter into one or more contracts or a series of contracts with us. This may also be referred to as a continuous contract or a standing offer.

**‘Lowest tender in price terms’** for accepting a tender means either the lowest cost or, if the evaluation is not just based on price, the most economically advantageous tender score after an evaluation.

**Open procedure** This means an advert will be placed in OJEU and relevant press and trade journals. The tender will be open to anyone who shows an interest.

**Public organisation** includes any organisation which may award a public contract under the Public Contract Regulations 2015.

**Public services contract** is one under which we employ a person to provide services.

**Public works contract** is a contract to buy goods (not land or the product of an activity); or hire goods, whether or not we install them. Public works contract is a contract for carrying out work under which we employ a person to do the work.

**Restricted procedure** means an advert will be placed in OJEU, and the relevant press and trade journals. Organisations which express an interest will have to fill in a pre-qualification questionnaire (PQQ). We will evaluate the PQQs and produce a shortlist of suitable organisations which we will then invite to tender.

**'Signing'** a contract includes arrangements for formally accepting a tender, if this is covered in the procurement regulations.

**Standstill period** is the period of time between giving notice of our plan to award the contract and the confirmation of the award of the contract which is needed under the EU procurement regulations (reflected in the Public Contracts Regulations 2015). This gives unsuccessful companies the chance to ask for a debriefing and to challenge an award of a contract.

**'Supply'** includes buying, leasing, hiring or renting goods or services or arranging any form of credit for them (this can also include when we do not pay anything for those goods or services).

**'Tendering'** means a formal procedure for getting written offers (tenders) for supply.

**'Third sector'** means non-governmental organisations that are driven by value and which mainly reinvest any profit to further social, environmental or cultural aims. The sector includes voluntary and community organisations, charities, social enterprises, faith groups, housing associations and co-operatives and mutuals.

**'Value for money'** is not the lowest price but the best combination of whole-life costs and quality to meet users' needs. You should always assess value for money over the whole life of the contract and you should take into account all costs and benefits to society as a whole including the environmental and social benefits and costs, not just those directly relevant to us. (OGC 2008).

**Works** are defined as including:

- building and civil engineering work;
- installing, for example, heating and electrical equipment or ICT equipment;
- carrying out work such as tiling and papering; and
- maintaining buildings.

We may also treat the following activities as a contract for **work**.

- A contract where we employ a provider to act as our agent when letting contracts.
- An agreement where a developer constructs a building on their own land (according to our needs) and then transfers the land and structure to us at a later date.

### SCHEDULE 3 SERVICES

**NOTE:** Under the Public Contract Regulations 2015 ('PCR'), the distinction between Part A and Part B Services has been removed and replaced by what has become known as the "Light Touch Regime" ('LTR'). Details of this regime are at Regulation 74 onwards of the PCR.

A services contract will fall within the scope of the LTR if it is for the certain types of health, social and other services listed at Schedule 3 of the PCR (see H3 and Annex 4). For these LTR contracts, a higher threshold than that for ordinary service contracts will apply, before the LTR is applicable. This threshold is currently set at **£589,148**

Bear in mind that the services listed at Schedule 3 of the PCR do not exactly mirror what used to be categorised as Part B Services under the PCR 2006; if a service is not listed at Schedule 3 of the PCR it will be subject to the full EU procurement regime rather than only the LTR.

While the LTR is not prescriptive as to how contracting authorities design their procurement process for LTR services contracts, it does for the first time require that services contracts that fall within the LTR are advertised.

The services listed below are found at Schedule 3 to the PCR. These include the following services:

Health, social and related services	Administrative social, educational, healthcare and cultural services
Compulsory social security services	Benefit services
Other community, social and personal services including services furnished by trade unions, political organisations, youth associations and other membership organisation services	Religious services Hotel and restaurant services
Legal services, to the extent not excluded by regulation 10(1)(d)	Other administrative services and government services
Provision of services to the community	Prison related services, public security and rescue services to the extent not excluded by regulation 10(1)(h)
Investigation and security services	International services
Postal services	Miscellaneous services





## **Section 8**

# **EMPLOYMENT PROCEDURE RULES**

## SECTION 8 – EMPLOYMENT PROCEDURE RULES

### 1. Recruitment and appointment

The Head of Corporate Services has the responsibility for advice and guidance concerning the application of the Council's Recruitment and Selection Policy, which is available via the Council's website [Jobs and Careers](#)

#### 1.1.1 Declarations

- 1.1.1.1 The Head of Corporate Services will require a candidate for any appointment to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew, niece or cousin of an existing councillor or officer of the Council or of the partner of such persons. This requirement will be included in any appropriate recruitment literature.

#### **Definitions from Managing Relationships Policy**

A **family relationship** is defined as the following related persons: husband, wife, civil partner, partner, girlfriend/boyfriend, child, grandchild, brother or sister, nephew or niece, grandparents or cousin. The definition includes common-law, same sex relationships, "in-laws", foster-family relationships and step-relationships.

A **close personal relationship** is defined where there is a reasonable perception that employees (or an employee and a third party including an elected Member, service user, contractor or other third party with whom the employee is in contact because of their work) are romantically or sexually involved with each other.

#### **Working Relationships from Code of conduct**

All internal and external relationships with colleagues, service users, contractors and Councillors will be conducted in a professional and respectful way.

Mutual respect between the Council's employees and its Councillors is essential to good local government. However close personal familiarity can damage the relationship and should therefore be avoided. Further details are available in the Council's Constitution with regards to Managing Officer and Member Relationships

#### **Personal Relationships code of conduct**

Council employees cannot be involved in an appointment, or be involved in any decision relating to discipline, promotion or any pay adjustments or conditions, or be in the line management hierarchy of another employee or prospective employee to whom they are related or have a close personal relationship. Employees must

declare all such relationships to their manager and must ensure compliance with all of the Council's policies relating to the recruitment and management of staff. Please refer to the Managing Personal Relationships at Work Policy and the Recruitment Policy for further information.

1.1.1.2 No candidate so related to a councillor or officer will be appointed without the written consent of the relevant Head of Service except where that post-holder is the employee to whom the candidate has declared such a relationship in which case the appropriate member of the Leadership Team (LT) will approve any proposed offer of employment in writing.

1.1.2 Seeking support for appointment.

1.1.2.1 The Council will disqualify any applicant who directly or indirectly seeks the support of any councillor or any employee of the Council for that appointment with the Council. The content of this paragraph will be included in any recruitment information.

1.1.2.2 No councillor or employee of the Council will seek support for any person for any appointment with the Council. This rule shall not preclude any member or employee of the Council from giving a written testimonial of any candidate's ability, experience, or character for consideration in conjunction with an individual application, but, having given such a testimonial, that member or employee shall take no part in the short listing or interview process.

## **1.2 Recruitment of Chief Executive (Head of Paid Service)(Chief Officer)**

Where the Council proposes to appoint a Head of Paid Service or Chief Officer and it is not proposed that the appointment be made exclusively from among their existing officers, the Council will:

1.2.1 draw up a statement specifying:

1.2.1.1 the duties of the post concerned; and

1.2.1.2 any qualifications or qualities to be sought in the person to be appointed;

1.2.2 make arrangements for the post to be advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and

1.2.3 make arrangements for a copy of the statement mentioned in paragraph 1.2.1 to be sent to any person on request.

### **1.3 Officers below Chief Officer Level**

Subject to paragraphs 1.3.1, 1.5 and 1.6, the function of appointment and dismissal of, and taking disciplinary action against, an employee of the Council must be discharged, on behalf of the Council, by the Head of Paid Service or by an officer nominated by him/her except where the Local Authorities (Standing Orders) (England) Regulations 2001 provide that it must be by the Appointments Committee or Council or other body as provided for in Part 3 of the Constitution.

1.3.1 Paragraph 1.3 shall not apply to the appointment or dismissal of or disciplinary action against:-

1.3.1.1 the officer designated as the Head of Paid Service;

1.3.1.3 the Chief Finance Officer within the meaning of Section 151 of the Local Government Act, 1972

1.3.1.4 the Monitoring Officer within the meaning of Section 5 of the Local Government and Housing Act, 1989

1.3.1.5 an assistant for a political group appointed in pursuance of section 9 of the 1989 Act.

### **1.4 Appointment and Dismissal of Chief Executive (Head of Paid Service)**

#### **Appointments**

1.4.1 The appointment or dismissal of the Head of Paid Service will be made following the recommendation of the Appointments Committee, the full Council must approve that appointment before an offer of appointment is made or, as the case may be, must approve that dismissal before notice of dismissal is given.

1.4.3 An offer of an appointment as Head of Paid Service must not be made until:-

1.4.3.1 the Appointments Committee has notified the Proper Officer of the name of the person to whom it wishes to make the offer and any other particulars which the panel considers are relevant to the appointment;

1.4.3.2 the Proper Officer has notified every member of the Cabinet of:-

(a) the name of the person to whom the panel wishes to make the offer (subject to approval of the Council);

(b) any other particulars relevant to the appointment which the panel has notified to the Proper Officer; and

(c) the period within which any objection to the making of the offer is to be made to the Proper Officer by the Leader of the Council on behalf of the Cabinet; and

1.4.3.3 either -

(a) the Leader of the Council has, within the period specified in the notice under sub-paragraph (c) above, notified the committee that neither he/she nor any other member of the Cabinet has any objection to the making of the offer;

(b) the Proper Officer has notified the committee that no objection was received by him/her within that period from the Leader of the Council; or

(c) the committee (or in the case of the appointment of the Head of Paid Service, the full Council) is satisfied that any objection received from the Leader of the Council within that period is not material or well-founded.

1.4.4 Notice of the dismissal as a result of disciplinary action, of an officer referred to in sub-paragraphs 1.3.1.1 to 1.4.3 above must not be given until –

Dismissals

1.4.4.1 the committee has notified the Proper Officer of the name of the person who it wishes to dismiss (in the case of the Head of Paid Service, the Monitoring Officer, or the Chief Finance Officer, subject to the approval of the Council) and any other particulars which it considers are relevant to the dismissal;

1.4.4.2 the Proper Officer has notified every member of the Cabinet of:-

(a) the name of the person whom the committee wishes to dismiss;

(b) any other relevant particulars relevant to the dismissal which the committee has notified to the Proper Officer; and

(c) the period within which any objection to the dismissal is to be made by the Leader of the Council on behalf of the Cabinet to the Proper Officer; and

1.4.4.3 either:-

(a) the Leader of the Council has, within the period specified in the notice under sub-paragraph (c) above, notified the

committee that neither he/she nor any other member of the Cabinet has any objection to the dismissal;

(b) the Proper Officer has notified the committee that no objection was received by him/her within that period from the Leader of the Council; or

(c) the committee (or in the case of the proposed dismissal of the Head of Paid Service, the full Council) is satisfied that any objection received from the Leader of the Council within that period is not material or well-founded.

1.4.5 The Proper Officer for the purposes of the rules shall be the Head of Corporate Services for the time being of the Council or if he/she is unable to act in that capacity (either due to absence or as a result of conflict of interest (e.g. prior involvement)) the Monitoring Officer.

## **1.5 Disciplinary Action/Dismissal – Members of the Leadership Team (other than the Head of Paid Service)**

1.5.1 Where the Head of Paid Service considers that the actions of any officer who is designated as a member of the Leadership Team (other than the Head of Paid Service) warrant investigation, the Head of Paid Service may suspend the relevant officer(s) pending the outcome of an investigation under the Council's disciplinary procedure, but otherwise disciplinary action against or the dismissal of any officer who is designated as a member of the Leadership Team (other than the Head of Paid Service) will be undertaken by a politically balanced panel of councillors set up for that purpose. That panel must include at least one member of the Cabinet.

1.5.2 Notice of disciplinary action against an officer identified in paragraph 1.5.1 must not be given until:-

(a) the panel has notified the Proper Officer of the name of the person who it wishes to discipline and any other particulars which it considers are relevant to the action proposed.

(b) the Proper Officer has notified every member of the Cabinet of:-

(i) the name of the person whom the panel wishes to discipline

(ii) any other particulars relevant to the disciplinary action which the panel has notified to the Proper Officer

1.5.3 Notice of the dismissal as a result of disciplinary action, of an officer referred to in paragraph 1.5.1 must not be given until:-

- (a) the panel has notified the Proper Officer of the name of the person who it wishes to dismiss and any other particulars which it considers are relevant to the dismissal;
- (b) the Proper Officer has notified every member of the Cabinet of:-
  - (i) the name of the person whom the panel wishes to dismiss
  - (ii) any other particular relevant to the dismissal which the panel has notified to the proper officer.

1.5.5 The Proper Officer for the purposes of the rules shall be as specified in paragraph 1.4.5.

## **1.6 Appeals**

Nothing in paragraph 1.3 shall prevent a member from serving on a committee or sub-committee established by the Council to consider an appeal by:-

- 1.6.1 a person against any decision relating to the appointment of that person as an employee of the Council; or
- 1.6.2 an employee of the Council against any decision relating to the dismissal of, or taking disciplinary action against, that employee.

## **1.7 Disciplinary action - Head of Paid Service, Monitoring Officer, and Chief Finance Officer**

- 1.7.1 No disciplinary action in respect of the Head of Paid Service, Monitoring Officer, or Chief Finance Officer, except action described in paragraph 1.7.2, may be taken by the Council, or by a Committee, a Sub-Committee, a Joint Committee on which the Council is represented, or any other person acting on behalf of the Council, other than in accordance with the provisions under regulation 7 and schedule 3 of the Local Authorities (Standing Orders) (England) Regulations 2001 (investigation of alleged misconduct).
- 1.7.2 The Head of Paid Service, Monitoring Officer, or Chief Finance Officer may only be suspended by a politically balanced panel as referred to in paragraph 1.4.1 and such suspension shall only be for the purpose of investigating the alleged misconduct occasioning the action; and any such suspension must be on full pay and terminate no later than the expiry of two months beginning on the date of such suspension.

## **PART 5**

### **CODES AND PROTOCOLS**

<b>Section 1</b>	<b>Members Code of Conduct</b>	<b>1-6</b>
<b>Section 2</b>	<b>Officers Code of Conduct</b>	<b>7-15</b>
<b>Section 3</b>	<b>Protocol on Member/Officer Relations</b>	<b>16-20</b>



## **Part 5 – Section 1**

### **LICHFIELD DISTRICT COUNCIL**

#### **CODE OF CONDUCT**

##### **1.0 Introduction**

- 1.1 This Code of Conduct ("the Code") was adopted by Lichfield District Council ("the Council") as required by Section 27 of the Localism Act, 2011 ("the Act") at a meeting of the Council held on 15th May 2018.
- 1.2 The Council has a statutory duty under the Act to promote and maintain high standards of conduct by members and co-opted members of the Council ("the members"). This means that the Council expects Members to follow this Code when they are conducting the work of the Council, representing the Council on any external organisation, and otherwise acting in their official capacity. The Code of Conduct does not apply to what Members do in their private and personal lives.<sup>1</sup>

##### **Part One - Standards of Conduct**

As a member of the Council you must have regard to, and act in accordance with, the following standards of conduct:<sup>2</sup>

###### **1. Selflessness**

You should serve only in the public interest, and should never improperly confer an advantage or disadvantage on any person, organisation or group, or any other third party.<sup>3</sup>

###### **2. Honesty and Integrity**

You should not place yourself in situations where your honesty and integrity may be questioned, you should not behave improperly and should avoid the appearance of such behaviour.

###### **3. Objectivity**

You must make decisions based on the information before you, having had regard to any professional advice provided to you and in accordance with your view of the public interest. You should make decisions on merit, this includes when making appointments, awarding contracts, or recommending individuals for awards or other recognition.

<sup>1</sup>When engaging in political activities such as canvassing for re-election Members are not acting in their official capacity, and for the purposes of this Code of Conduct, such political activities are considered part of a Member's private and personal life.

<sup>2</sup>And in accordance with any supplementary guidance or protocols agreed by the authority from time to time.

<sup>3</sup>This does not mean that Members are under any obligation to support or become involved in all requests for assistance from their constituents.

#### **4. Accountability**

You are accountable to the public for your decisions and actions and the manner in which you carry out your duties. You must co-operate fully and honestly with any scrutiny appropriate to your office. You should not undertake any action which would bring the Council, your position, or the position of Members generally, into disrepute.

#### **5. Openness**

You must be as open as possible about your actions and those of the authority, and should be prepared to give reasons for those actions.

#### **6. Leadership**

You must promote and maintain high standards of conduct by supporting these principles by leadership and by example, and should act in a way that secures or preserves the confidence of others. You must have due regard to the impartiality and integrity of the authority's statutory officers and its other officers.<sup>4</sup>

### **Part Two – Registration and Disclosure of Interest**

#### **Registration of Interests**

7. Within 28 days of this Code being adopted by the Council or within 28 days of your election or co-option (whichever is the later), you must notify the Monitoring Officer of any 'disclosable pecuniary interests' which you have at that time.<sup>5</sup>
8. Where you are re-elected or re-appointed, notification is only required of any new disclosable pecuniary interests within 28 days of your election or co-option.
9. You must keep your Register of Interests entry up to date by notifying the Monitoring Officer of any changes to your disclosable pecuniary interests within 28 days of the change occurring, or of you becoming aware of the change.
10. A pecuniary interest is a "disclosable pecuniary interest" defined in The Relevant Authorities (Disclosable Pecuniary Interests) Regulations, 2012 described as:-

<sup>4</sup>Members may express themselves robustly in representing their or their constituents' views, although where a Member engages in a sustained or systematic challenge of an officer which is unfounded or in any other way unreasonable, such conduct would fall within the scope of this code.

<sup>5</sup>The Monitoring Officer must enter these interests into the Register of Interests, which will be made available for public inspection and published on the Council's website.

<u>Subject</u>	<u>Description</u>
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the Council) made to the member during the 12 month period ending on the latest date referred to in paragraph 7 above for expenses incurred by him/her in carrying out his/her duties as a member, or towards his/her election expenses.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract made between the member or between his/her spouse or civil partner or the person with whom the member is living as if they were spouses/civil partners (or a body in which such a person is a partner in a firm, a director of an incorporated body or holds the beneficial interest in securities*) and the Council—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land	Any beneficial interest in land which is within the area of the Council.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	<p>Any tenancy where (to the member's knowledge)—</p> <p>(a) the landlord is the Council; and</p> <p>(b) the tenant is a body in which the member, or his/her spouse or civil partner/ the person with whom the member is living as if they were spouses/civil partners has a beneficial interest.</p>
Securities	<p>Any beneficial interest in securities of a body where—</p> <p>(a) that body (to the member's knowledge) has a place of business or land in the area of the Council; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>

\*Securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

11. A pecuniary interest is a 'disclosable pecuniary interest' in relation to you if it is of a type described above, and either:
  - (a) it is an interest of yourself, or
  - (b) it is an interest of:-
    - (i) your spouse or civil partner,
    - (ii) a person with whom you are living as husband and wife, or
    - (iii) a person with whom you are living as if they were civil partners, and the you are aware that that other person has the interest.
12. You are also required to notify the Monitoring Officer of any gifts or hospitality with an estimated value of at least £50.<sup>6</sup> which you receive in your role as a Lichfield District Councillor.<sup>7</sup> You must inform the Monitoring Officer of any such gifts or hospitality within 28 days of receiving them so that the details can be entered into the Register of Members Gifts and Hospitality.<sup>8</sup>

### **Sensitive interests**

13. If the nature of an interest is such that you and the Monitoring Officer consider that disclosure of the details of the interest could lead to you, or a person connected with you, being subject to violence or intimidation, the interest must not be included in any published version of the Register of Interests, or be entered into any copy of the register that is made available for public inspection.<sup>9 10</sup>

<sup>6</sup>This financial limit will be maintained in line with the definition of a donation to be declared by election candidates during local authority elections in England and Wales (as set out in Schedule 2A of the Representation of the People Act 1983).

<sup>7</sup>This does not include civic gifts or hospitality received by the Chairman of the Council whilst acting in this capacity. Civic gifts are to be recorded in a separate register maintained by the Chairman's Secretary.

<sup>8</sup>The Monitoring Officer must enter the receipt of the gifts and/or hospitality in the Register of Gifts and Hospitality which will be made available for public inspection and published on the Council's website.

<sup>9</sup>Instead the Register of Interests may state that the Member has an interest the detail of which are withheld under section 32(2) of the Localism Act 2011

<sup>10</sup>If the Member is required to disclose such an interest in a meeting, the Member need not disclose the interest, but merely the fact that the Member has a disclosable pecuniary interest in the matter concerned.

### **Disclosure of disclosable pecuniary interests at meetings**

14. The following provisions apply if you are present at a meeting of the authority or of any committee<sup>11</sup>, sub-committee, joint committee or joint sub-committee of the authority, and you are aware that you have a disclosable pecuniary interest in a matter to be considered, or being considered, at the meeting.
15. If the interest is not entered in the authority's Register of Interests, you must disclose the interest to the meeting (unless the interest is a sensitive interest).
16. If the interest is not entered in the authority's Register of Interests and is not the subject of a pending notification, you must notify the Monitoring Officer of the interest before the end of 28 days beginning with the date of the disclosure.
17. Where the interest does appear in the Register of Interests, you must bring the interest to the attention of the meeting (unless the interest is a sensitive interest).
18. You may not:
  - (a) participate, or participate further, in any discussion of the matter at the meeting,
  - (b) participate in any vote, or further vote, taken on the matter at the meeting (unless the Member has requested and been granted a relevant dispensation by the Standards and Resources Committee), or
  - (c) remain in the room during the discussion or vote on the matter.
19. Where you have a disclosable pecuniary interest in a matter to be considered at a meeting, you may attend the meeting but only for the purposes of making representations, answering questions or giving evidence relating to the matter, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise. Once you have finished, or the meeting decides you have finished, you must leave the room and may not remain in the room during the discussion or vote on the matter.

### **Disclosure of other interests at meetings**

20. Where you are present at a meeting of the authority, or any committee, sub-committee, joint committee or joint sub-committee of the authority, and identify any other significant interests which you feel should be declared in the public interest, such interests may be declared to the meeting; this includes any interest which relates to or is likely to affect:

<sup>11</sup>This includes meetings of the Cabinet.

- (i) any body of which the member is in a position of general control or management and to which he/she is appointed or nominated by the Council;
- (ii) any body-
  - (a) exercising functions of a public nature;
  - (b) directed to charitable purposes; or
  - (c) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)

of which the member of the Council is a member or in a position of general control or management.

21. In such circumstances you must consider whether your continued participation in the matter relating to your interest would be reasonable in the circumstances, particularly if the interest may give rise to a perception of a conflict of interests in the matter under discussion.

#### **Allegations of a Failure to Comply with Code of Conduct**

22. All complaints alleging a failure to comply with this Code will be considered in accordance with a procedure agreed by the Council.

## **Part 5 – Section 2**

### **OFFICERS**

### **CODE OF CONDUCT**

## **OFFICERS CODE OF CONDUCT**

### **1. BUSINESS, PRIVATE WORK AND GIFTS**

It is not acceptable for staff to undertake private work that may give rise to a conflict between the duties of the council and their duties to a private individual or organisation. Staff should not become involved in a private capacity in any way whatsoever in any matter on which the Council has to make a decision, e.g. Planning and Building Regulation Applications, or any matter in which the Council are involved, e.g. legal work, Grant Applications, Appeals, etc. The public and Members of the Council are entitled to expect their Officers to be entirely independent in such matters and any Officer who undertakes private work in breach of this instruction, without written authority from the appropriate Member of the Leadership Team, will be guilty of Gross Misconduct and may be dismissed.

Notwithstanding the policy, in exceptional cases, the Council may be prepared to give consent for an Officer to undertake work of this nature and applications for consent, giving a detailed justification, should be submitted in writing to the appropriate member of the Leadership Team. Any difficulties of interpretation should also be referred to the appropriate Member of the Leadership Team.

For confirmation on a particular matter please read the following guidelines.

### **2. GUIDELINES RELATING TO CONDUCT OF OFFICERS**

#### **2.1 Introduction**

- 2.1.1 These guidelines are intended to assist employees in providing standards of conduct expected by Lichfield District Council.
- 2.1.2 They apply to all officers of the Council, irrespective of the particular scheme of conditions the person is employed under.
- 2.1.3 The guidelines supplement:-
  - (i) current legislation, the Local Government Act 1972, (section 117 is included at Appendix 'A'); and
  - (ii) the relevant code of Official Conduct as contained in the National Scheme of Conditions of Service relating to the NJC for Local Government Services, JNC for Chief Officers and the JNC for Chief Executives.
- 2.1.4 The guidelines are intended to offer assistance to all officers and cover the following matters:-



- Declaration of interest
- Other Employment and Payment for Services
- Acceptance of Gifts or Hospitality
- Sponsorship of Major Council Events or Activities
- Confidentiality and Accuracy of Information
- Use of Council Facilities and Resources
- Political Interest/Activity
- Discrimination and Equal Opportunities
- Health and Safety Policy

## **2.2 Declaration of Interest**

2.2.1 Upon the commencement of employment with the Council, all officers are required to “declare their interest” in any matters affecting the decisions and/or operations of the Council. In addition, a declaration should also be made in respect of any subsequent acquisition of an interest. An “interest” should be declared so far as it is known where it involves the following:-

- The officer
- The officer’s spouse or partner
- The officer’s close relatives, ie parent, brother, sister or child.

It is only necessary to disclose an interest where the officer can exert influence on any decision making process.

2.2.2 The declaration should be made in writing and submitted to the appropriate member of the Leadership Team who will forward it to the Chief Executive. A central register of interests will be maintained by the Chief Executive and a note of the declaration will be made on the individual’s file.

2.2.3 Officers are reminded of the NJC Scheme of Conditions for Local Government Services that states "Employees will maintain conduct of the highest standard such that public confidence in their integrity is sustained."

## **2.3 Other Employment and Payment for Services**

2.3.1 Before engaging in any business activity or private work, whether paid or unpaid, officers must receive the consent of the appropriate Leadership Team. This will allow a decision to be made as to whether such employment or business activity conflicts with the Authority’s interest or in any way weakens public confidence in the Authority’s business. Notification of any business activity or private work must be given in writing.

2.3.2 The Leadership Team are authorised to give consent provided the activity or work:-

- will not interfere with the officer's official duties;
- does not generate a conflict of interest with Council business;
- does not relate in any way to the granting of planning permission or building regulation approval within the District, or to other decisions made by the Council or its officers (e.g. purchasing, improvement grants, mortgages); and
- does not in any way relate to contracts entered into by the Council.

2.3.3 The Members of the Leadership Team will give any consent in writing and will notify the Chief Executive so that a note can be retained on the officers personal file and central register held in Human Resources Service and a copy retained on a central register maintained by the Chief Executive.

2.3.4 Where consent of a member of the Leadership Team is, the officer concerned will have the right of appeal in the first instance to the Chief Executive and then through normal grievance procedures.

2.3.5 Where a business activity or form of private work is of a continuous nature, it shall be sufficient for the officer concerned to obtain one consent, provided that any change in the situation is notified by the officer at the earliest opportunity.

2.3.6 Where consent is given, the officer must ensure that it is made clear to all concerned that the activity has nothing to do with the Council and no liability rests with the Council. On no account must the activity be carried out during working hours and none of the Council's equipment or facilities should be used. In particular, telephone calls should not be taken at the offices of the Council and the Council's telephone number should not be given to third parties.

2.3.7 In the event that a fee is paid in respect of the provision of a service carried out by an individual in their capacity as an Officer of the Council, the fee should be made payable to the Council and not to the Officer concerned.

2.3.8 A register of other employment and payment for services will be maintained by the Chief Executive.

2.3.9 Officers are reminded of the relevant Scheme of Conditions relating to Official Conduct.

## **2.4 Acceptance of Gifts**

2.4.1 The acceptance of gifts by officers in their individual capacity could be viewed with suspicion by members of the public and make the officer and the Council vulnerable to criticism. Officers should ask themselves the question: If a story appeared on the front page of a newspaper about the matter, would I be

embarrassed? If yes, then it indicates you should not be accepting the gift. **This principle should be considered for all offers of gifts and hospitality.** The Bribery Act 2010 introduced a number of offences relating to the receipt of bribes where a financial or other advantage is being transferred; if you have any concerns you should seek legal advice at the earliest opportunity. The overriding expectation of all officers is that as they occupy positions of trust, they will act in good faith and with impartiality.

- 2.4.2 Modest gifts of a promotional nature, given by way of trade advertisements to a wide range of people, are acceptable. These include calendars, diaries, tape measures and articles for office use, e.g. pens, notepads. Also acceptable are gifts, whether or not of a promotional nature, offered at the conclusion of a courtesy visit to a factory or other premises. It is considered that a modest gift would not exceed the value of £50.00 and receipt of any gift valued higher than this must be notified to the Chief Executive.
- 2.4.3 If an officer receives a significant gift i.e. of a value estimated at over £50.00 without warning (for example, via the post), the officer should immediately inform the appropriate member of the Leadership Team/Head of Service of this matter. The appropriate member of the Leadership Team will then become responsible, in consultation with the Chief Executive, in deciding upon the appropriate action to be taken. This action may involve the return of the gift to the sender or forwarding it on to some charitable or deserving cause, or other measures. The member of the Leadership Team concerned should inform the donor, in writing, of the action taken.
- 2.4.4 There may be occasions where it is not possible to refuse a significant gift without giving offence or where it would be churlish to refuse. In such cases the officer should immediately inform the appropriate member of the Leadership Team and enter receipt of the gift in the central register held by the Monitoring Officer.
- 2.4.5 In summary, if there is any doubt about whether a gift may be accepted, the gift should be politely and tactfully refused.

## **2.5 Offers and Acceptance of Hospitality**

- 2.5.1 Whether officers should accept hospitality as a result of their employment at the Council is very much a matter of judgement given the particular circumstances. The principle mentioned at 2.4.1 above should be considered. It must be apparent that no cause could reasonably arise for adverse criticism of the Council or individuals following the acceptance of any hospitality. It is important that any suggestion of improper influence is completely avoided. In such instances where any suggestion of improper influence is even remotely possible, the offer of hospitality must be politely refused by the officer. This applies to offers to officers and to their immediate families.

2.5.2 The following hospitality would generally be considered acceptable:-

- (a) An offer of a drink following a site visit.
- (b) Hospitality offered by other non-commercial or charitable bodies, provided that there is a general understanding that no indebtedness will result from the acceptance.
- (c) Invitations to functions the officer represents the Council in an official capacity, for example, when invited to speak, opening ceremonies, trade shows.
- (d) Invitations to functions where attendance would be by virtue of the officer's position and as a representative of the Council.
- (e) A working lunch where acceptance does not put the individual's personal integrity, or that of the Council, into question.
- (f) Hospitality of the "corporate entertaining" nature, for example, at sports, social or training events, or at conferences (where others are being simultaneously entertained), is acceptable if there is a general understanding that no indebtedness will result from acceptance. Unless specifically authorised as a duty, the officer would be expected to take leave if it occurs during working time.

2.5.3 Offers of hospitality that appear immodest or lavish should be refused and the offer reported to the Monitoring Officer.

2.5.4 Prior to accepting any offer of hospitality, the views of the appropriate member of the Leadership Team or Chief Executive should be sought. Receipt of any hospitality should be entered in the central register held by the Monitoring Officer.

2.5.5 Breach of the above provisions with regard to the receipt of gifts and hospitality will result in disciplinary action being taken against the officer.

## **2.6 Sponsorship of Major Council Events, Activities or Publications**

2.6.1 All offers of sponsorship should be notified to the Chief Executive. Any sponsorship with a value greater than £500 requires the approval of the Chief Executive.

2.6.2 The record of sponsorship will include:-

- (a) Name of sponsor and type of sponsorship offered; and
- (b) Approval or refusal of the Chief Executive, where appropriate.

Details are to be notified on the relevant form and forwarded to the Chief Executive for retention on the Central Register of Sponsorship.

## **2.7 Confidentiality and Accuracy of Information**

- 2.7.1 The confidentiality of information received in the course of an officer's duty should be respected and should never be used for personal or political gain.
- 2.7.2 No officer shall communicate to the public the proceedings of any confidential section of the Council's meetings, etc. nor the contents of any document relating to the Council unless required to do so by law or expressly authorised to do so by the appropriate member of the Leadership Team. Confidentiality remains when the officer has left the employment of the Council.
- 2.7.3 Information given by an officer in the course of a duty should be true and fair and never designed to mislead.

## **2.8 Use of Council Facilities, Resources, etc**

- 2.8.1 Any facilities, equipment, tools, etc. provided by the Council for use in an officer's duties should be used only for those duties and for no other purpose except where prior approval has been granted by the appropriate Member of the Leadership Team. This applies to all facilities and property, including use of telephones, photocopiers, vehicles or other similar equipment.
- 2.8.2 Where arrangements are in place for officers to make payment for the private use of equipment, such as telephone calls and photocopiers, their position of trust should not be abused. It should be noted this does not give officers the right to use these "paid for" services to the extent that such use interferes with the duties of their post. In particular, telephone calls should be restricted to urgent or emergency use only and the Council's telephone numbers should not be given to third parties.
- 2.8.3 No officers should use their position to gain the use of Council or other services without payment of the appropriate charges. The approved arrangements for the use of equipment, services, etc for private use should always be followed.

## **2.9 Political Interest/Activity**

- 2.9.1 Officers are reminded of their political neutrality and that they serve the Council as a whole and must ensure that the individual rights of members are respected.

- 2.9.2 It is vital that both the Council and the public are confident that officers will serve loyally and impartially. It is essential that in fulfilling their duties and responsibilities officer's own political views do not influence decisions or recommendations.
- 2.9.3 Officers should not carry out any political activity which in any way might confuse the public about whether or not they are still acting as a Council officer.
- 2.9.4 Certain posts are designated as "politically restricted" and have additional conditions laid on them. These posts will have been identified and details issued previously, should there remain any uncertainty officers should contact Human Resources for advice.

## **2.10 Equality Act and Discrimination**

- 2.10.1 The Equality Act 2010 sets out the legal requirements concerning the promotion of equality, eliminating discrimination for everyone protected by the Act. The protected characteristics under the Act are, age, disability, gender, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief and sexual orientation. Officers are required to ensure they do not directly or indirectly discriminate against colleagues, customers applying for a job or customers in receipt of services from the Council.

## **2.11 Failure to comply**

- 2.11.1 The conduct of all officers should be such that they remain immune from any criticism or suspicion that their actions or decisions have been unduly influenced. Officers are expected to use common sense in assessing any situation where this could be construed. No officers should act in any manner that could give rise to such accusations.
- 2.11.2 It is the responsibility of every officer to maintain the standards and integrity expected in public service. It is also each officer's responsibility to bring to the attention of the appropriate member of the Leadership Team any deficiency in the provision of that service and report any impropriety or breach of procedure.
- 2.11.3 Any officer failing to comply with this code of conduct will be liable to disciplinary action which may result in their dismissal.

**Guidelines relating to Conduct of Officers**

**Local Government Act 1972 – Extract**

**Section 117**

- 117-(1) If it comes to the knowledge of an officer employed, whether under this Act or any other enactment, by a local authority that a contract in which he has any pecuniary interest, whether direct or indirect (not being a contract to which he is himself a party), has been, or is proposed to be, entered into by the authority or any committee thereof, he shall as soon as practicable give notice in writing to the authority of the fact that he is interested therein.

For the purposes of this section an Officer shall be treated as having indirectly a pecuniary interest in a contract or proposed contract if he would have been so treated by virtue of section 95 above had he been a member of the authority.

- (2) An officer of a local authority shall not, under colour of his office or employment, accept any fee or reward whatsoever other than his proper remuneration.
- (3) Any person who contravenes the provisions of subsection (1) or (2) above shall be liable on summary conviction to a fine not exceeding (Level 4 on the standard scale).

**Part 5 – Section 3**

**PROTOCOL ON  
MEMBER/OFFICER  
RELATIONS**



## **PROTOCOL ON MEMBER/OFFICER RELATIONS**

### **1. INTRODUCTION**

- 1.1 The relationship between Members (referred to as councillors) and officers is an essential ingredient that goes into the successful working of the organisation. This relationship within Lichfield District Council is characterised by mutual respect, informality and trust. Councillors and officers feel free to speak to one another openly and honestly. Nothing in this Protocol is intended to change this relationship. The purpose of this Protocol is rather to help councillors and officers to perform effectively by giving guidance on their respective roles and expectations and on their relationship with each other. The Protocol also gives guidance on what to do on the rare occasions when things go wrong. Responsibility for the operation of this Protocol lies with the Head of Corporate Services.
- 1.2 The Protocol must be read and operated in the context of any relevant legislation and Codes of Conduct for Members and for Officers and any procedure for confidential reporting.

### **2. ROLES OF COUNCILLORS AND OFFICERS**

- 2.1 The respective roles of councillors and officers can be summarised as follows:

Councillors and officers are servants of the public and they are indispensable to one another. But their responsibilities are distinct. Councillors are responsible to the electorate and serve only so long as their term of office lasts. Officers are responsible to the Council. Their job is to give advice to Councillors and the Council, and to carry out the Council's work under the direction and control of the Council, the Cabinet, and relevant committees, panels, etc.

Mutual respect between Councillors and officers is essential to good local government.

#### **2.2 Councillors**

Councillors have three main areas of responsibility: determining the policy of the Council and giving it political Leadership, representing the Council externally, and acting as advocates on behalf of their constituents. It is not the role of members to involve themselves in the day to day management of Council services.

### 2.3 Members of the Cabinet, Chairmen of Committees

Members of the Cabinet and Chairmen of Committees, Panels etc have additional responsibilities. Because of those responsibilities, their relationships with officers may be different from, and more complex than those of councillors without those responsibilities, and this is recognised in the expectations they are entitled to have.

### 2.4 Opposition Members

As individual members of the Council, all councillors have the same rights and obligations in their relationship with officers and should be treated equally. This principle is particularly important in the context of scrutiny and overview. However, where a political group forms an administration, either alone or in partnership with another group or groups, it is recognised that the relationship between officers, particularly those at a senior level in the organisation, and the administration will differ from that with opposition groups.

### 2.5 Officers

The role of officers is to give advice and information to members and to implement the policies determined by the Council.

Certain officers e.g. Head of Paid Service, Monitoring Officer and Chief Finance Officer (Section 151 Officer) have responsibilities in law over and above their obligations to the Council and its Members that they must be allowed to discharge.

## 3. EXPECTATIONS

Councillors can expect from officers:

- A commitment to the Council as a whole, and not to any political group
- A working partnership
- An understanding of and support for respective roles, workloads and pressures
- Timely response to enquiries and complaints
- Professional advice, not influenced by political views or preference, which does not compromise the political neutrality of officers.
- Regular, up to date information on matters that can reasonably be considered appropriate and relevant to their needs, having regard to any individual responsibilities that they have and positions that they hold
- Awareness of and sensitivity to the political environment
- Respect, dignity and courtesy
- Training and development in order to carry out their role effectively

- Integrity, mutual support and appropriate confidentiality
- Not to have personal issues raised with them by officers outside the agreed procedures
- That officers will not use their relationship with members to advance their personal interests or to influence decisions improperly
- That officers will at all times comply with the Officer Code of Conduct

Officers can expect from councillors:

- A working partnership
- An understanding of and support for respective roles, workloads and pressures
- Political Leadership and direction
- Respect, dignity and courtesy
- Integrity, mutual support and appropriate confidentiality
- Not to be subject to bullying or to be put under undue pressure. Members should have regard to the seniority of officers in determining what are reasonable requests, having regard to the power relationship between members and officers, particularly at junior levels
- That councillors will not use their position or relationship with officers to advance their personal interests or those of others or to influence decisions improperly
- That councillors will at all times comply with the relevant Code of Conduct

#### **4. WHEN THINGS GO WRONG**

##### **Procedure for officers**

- 4.1 From time to time the relationship between councillors and officers may break down or become strained. Whilst it will always be preferable to resolve matters informally, through conciliation by an appropriate senior manager or councillor, officers will have recourse to the Harassment and Grievance Procedures or to the Council's Monitoring Officer, as appropriate to the circumstances. In the event of a grievance or complaint being upheld, the matter will be referred to the Chief Executive, who, having advised the Leader of the Council and the appropriate Group Leader will decide on the course of action to be taken, following consultation with the Chairman and Vice Chairman of the Audit and Member Standards Committee.

## **Procedure for Councillors**

- 4.2 In the event that a councillor is dissatisfied with the conduct, behaviour or performance of an officer, the matter should be raised with the appropriate member of Leadership Team (LT). Where the officer concerned is a member of LT, the matter should be raised with the Chief Executive. Where the officer concerned is the Chief Executive, the matter should be raised with a Director. If the matter cannot be resolved informally, it may be necessary to consider mediation or invoke more formal employment procedures depending on the circumstances.

**PART 6**

**MEMBERS'**  
**REMUNERATION SCHEME**

LICHFIELD DISTRICT COUNCIL

THE LOCAL AUTHORITIES (MEMBERS' ALLOWANCES) (ENGLAND) REGULATIONS 2003

THE LOCAL AUTHORITIES (MEMBERS' ALLOWANCES) (ENGLAND) (AMENDMENT)  
REGULATIONS 2003

**MEMBERS' ALLOWANCES SCHEME**

1. The following allowances are payable to members of Lichfield District Council ("the Council") (and if applicable any non-Member), from 1<sup>st</sup> April 2018 to 31<sup>st</sup> March 2019, and each year thereafter unless amended or revoked, namely,

- an annual basic allowance of £4,131 payable monthly to all members of the Council;
- an annual special responsibility allowance payable monthly to those members (and if applicable any non-member) who hold the following office under the Council at the rates indicated against each office and additional to the basic allowance:

Leader of the Council	£12,393
Deputy Leader	£7,436
Cabinet Members	£6,816
Leader of the Principal Minority Group	£2,828
Deputy Leader of the Principal Minority Group	£707
Chairman of the Planning Committee	£6,196
Vice Chairman of the Planning Committee	£1,558
Chairman of the Overview and Scrutiny Committees	£2,479
Vice Chairman of the Overview and Scrutiny Committees	£620
Chairman of the Audit and Member Standards Committee	£1,549
Vice Chairman of the Audit and Members Standards Committee	£620
Chairman of the Regulatory and Licensing Committee	£2,479
Vice Chairman of the Regulatory and Licensing Committee	£620
Chairman of the Employment Committee	£1,558
Vice Chairman of the Employment Committee	£620
Chairman of the Council	£2,828
Vice Chairman of the Council	£707
Chairman of the Parish Forum	£51 per meeting

on the basis that only one special responsibility allowance will be paid to a member in addition to the basic allowance;

- travel and subsistence allowances in accordance with the Council's scheme for the time being relating to the same (including, for the avoidance of doubt,

parking charges), for officers paid on spinal column point 44 with the Council Offices, Lichfield, being regarded as the normal place of work for the purposes of that scheme and payable in respect of all duties falling within the categories specified in regulation 8 of the Local Authorities (Members' Allowances) (England) Regulations 2003.

- an annual civic duties expenses allowance to the Chairman of the Council of up to £3,000; and
  - an annual civic duties expenses allowance to the Vice-Chairman of the Council of up to £1,500.
2. Where a term of office of any person covered by this scheme begins or ends otherwise than at the beginning or end of a year, the entitlement shall be to payment of such part of the allowance as bears to the whole the same proportion as the number of days during which the term of office as member subsists bears to the number of days in that year.
3. Where payment of any allowance has already been made in respect of any period during which any person covered by this scheme is concerned is:
- 3.1 ceases to be a member of the Council; or
  - 3.2 is in any other way not entitled to receive the allowance in respect of that period,

the Council may require that such part of the allowance as relates to any such period be repaid to the Council.

4. The meetings that count against a member's attendance record are those which are used by the Council in its publication of Members' attendance summary on its website plus all scheduled Planning and Safeguarding Member training sessions for each municipal year.

If a member has a valid reason for missing a meeting, such as illness, paternity/maternity leave or other calamitous life events, then an exemption should be provided for, by the determination of the Monitoring Officer.

5. Councillors shall be reimbursed, up to a specified maximum limit, for costs actually incurred in providing care for any of the following who are at the time part of the claimant's household living with him/her and who would normally be looked after by him/her, whilst the claimant is undertaking an approved duty in accordance with the Council's scheme:

Childcare: capped at the national living wage

Other care: capped at the hourly wage charged by Staffordshire County Council Social Services for a Carer.

In addition to living as part of the claimant's household the dependent must be unable to be left unsupervised by the carer. The carer must not be someone who also ordinarily lives with the claimant as part of the household.

The maximum hourly rate would be the rate chargeable by the County Social Services Department for the provision of a Community Care Worker.

The claimant must produce a receipt for payments he/she has made to the carer, and must sign a certificate which, amongst other things, will state that the costs were properly and necessarily incurred in the course of, or to permit him/her to undertake his/her duties as a Councillor.

4. Where a member of the Council is also a member of another authority, that member may not receive allowances from more than one authority in respect of the same duties.
5. Members of the Council may, in so far as the law allows, be entitled to pensions in accordance with a scheme made under Section 7 of the Superannuation Act, 1972, and both the basic allowance and the special responsibility allowance may be treated as amounts in respect of which such pensions are payable in accordance with that scheme.
6. Any person covered by this scheme may, by notice in writing given to the Chief Executive, elect to forego the entitlement or any part of the entitlement to allowances.
7. Any person covered by this scheme shall supply on a monthly basis, any claim for travelling and/or subsistence allowances to which they have become entitled during the previous month and details of any other expenses incurred in the performance of their duties as a councillor and for which they have not been reimbursed.
8. Claims for travelling and subsistence allowances must be made within two months of the end of the month in which they arose failing which the Chief Finance Officer shall refuse to pay them.
9. As soon as reasonably practicable the Monitoring Officer shall ensure that the provisions relating to the publicity required for this scheme and for the report of the Independent Remuneration Panel are met.



# **PART 7**

## **GOVERNANCE STRUCTURE**

## **GOVERNANCE STRUCTURE**

### **The Cabinet**

Leader of the Council  
Deputy Leader of the Council/Cabinet Member for Economic Growth and Development Services  
Cabinet Member for Finance and Democratic Services  
Cabinet Member for Operational Services, Leisure and Waste  
Cabinet Member for Regulatory Services, Housing and Wellbeing  
Cabinet Member for Corporate Services and Customer Services, Revenues and Benefits

### **The Leadership Team**

Chief Executive  
Director of Place & Community  
Director of Transformation & Resources  
Assistant Chief Executive  
Head of Development Services  
Head of Leisure & Operational Services  
Head of Economic Growth  
Head of Regulatory Services, Housing & Wellbeing  
Head of Legal, Property and Democratic Services  
Head of Corporate Services  
Head of Customer Services, Revenues and Benefits  
Head of Finance & Procurement

### **Statutory Officers**

Head of Paid Service, Electoral Registration Officer and Returning Officer  
- The Chief Executive

Chief Finance Officer for the purpose of Section 151 of the Local Government Act, 1972 –  
Head of Finance and Procurement

Monitoring Officer for the purposes of Section 5 of the Local Government and Housing Act, 1989 – Head of Legal, Property & Democratic Services