

To: All Members of the Council

Emma McQuillan, Democratic Services  
Manager

**Policy and Governance**

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Date: 2 April 2015

Dear Councillor

**COUNCIL MEETING - TUESDAY, 14 APRIL 2015**

A MEETING of the WAVERLEY BOROUGH COUNCIL will be held in the COUNCIL CHAMBER, COUNCIL OFFICES, THE BURYS, GODALMING on **TUESDAY, 14 APRIL 2015** at **7.00 pm** and you are hereby summoned to attend this meeting.

The Agenda for the Meeting is set out below.

Yours sincerely

ROBIN TAYLOR

Head of Policy and Governance

**This meeting will be webcast from the conclusion of Informal Question Time and can be viewed by visiting [www.waverley.gov.uk](http://www.waverley.gov.uk). Prior to the commencement of the meeting, the Mayor to receive any informal questions from members of the public, for a maximum of 15 minutes.**

**AGENDA**

1. **MINUTES** (Pages 5 - 14)

To confirm the Minutes of the Council meeting held on 17 February 2015 (herewith).

2. **APOLOGIES FOR ABSENCE**

The Mayor to report apologies for absence.

3. **DECLARATIONS OF INTEREST**

To receive from Members, declarations of interest in relation to any items included on the agenda for this meeting in accordance with the Waverley Code of Local Government Conduct.

4. MAYOR'S ANNOUNCEMENTS

5. QUESTIONS FROM MEMBERS OF THE PUBLIC

To answer the following questions from members of the public, received in accordance with Procedure Rule 10:-

i. from Mr John Price

“Who is the present appointed Heritage Champion for WAVERLEY and when was the appointment made?”

ii. from Mr Jerry Hyman of Farnham

“The evidence from Visitor Surveys suggests that SANGs are having the opposite effect to intended, as visitor numbers to the TBHSPA have increased since 2005. Of course, common sense and principles indicated that would happen, but in hot pursuit of East Street and cramming Farnham, Waverley led the 13 'TBHSPA-affected' planning authorities to adopt the SANG strategy at the SEP EiP TBHSPA technical sessions in 2006/7.

Clearly this poses a very real threat of unmitigated disaster to endangered bird species, and even Natural England say they have no evidence that SANGs are effective. As we know, the NPPF and the law demand "convincing" evidence that the cumulative effect of development must not cause any significant harmful impact on the protected species populations and their habitats.

If this Council has any real evidence that the SANG strategy is not counter-productive, where can that evidence be found?”

**[NB. Questions from members of the public express personal views of the questioners and Waverley does not endorse any statements in any way and they do not reflect the views of Waverley Borough Council].**

6. QUESTION TIME

The following question has been received from Cllr Bryn Morgan in accordance with Procedure Rule 11.2:-

“Given the highly controversial manner in which the Farnham Brightwells Scheme at East Street has evolved, the continuing unpopularity of the proposed development with the majority of local Farnham residents, the ineffective waste of millions of pounds of council taxpayers' funds, the very radical proposals for the development of the adjacent Woolmead site, and no likelihood for the foreseeable future that the current CNS scheme will find anything like the required funding to be viable, will the Leader either confirm that this scheme is now a dead duck or that it remain suspended until a full re-appraisal can be undertaken by the new Council following next month's elections?”

7. MOTIONS

To receive any motions submitted in accordance with Procedure Rule 12.1.

8. MINUTES OF THE EXECUTIVE

To receive the minutes of the meetings of the Executive held on:-

8.a Meeting of 3 March 2015 (Pages 15 - 48)

8.b Meeting of 31 March 2015 (Pages 49 - 180)

9. MINUTES OF THE JOINT PLANNING COMMITTEE

To consider the minutes of the meetings of the Joint Planning Committee held on:-

9.a Meeting of 18 February 2015 (Pages 181 - 184)

9.b Meeting of 30 March 2015 (Pages 185 - 194)

9.c Meeting of 1 April 2015 (Pages 195 - 206)

10. MINUTES OF THE LICENSING AND REGULATORY COMMITTEE (Pages 207 - 208)

To consider the minutes of the meeting of the Licensing and Regulatory Committee held on 19 March 2015 (herewith – coloured bright green).

11. MINUTES OF THE AUDIT COMMITTEE (Pages 209 - 214)

To consider the minutes of the Audit Committee held on 23 March 2015 (herewith – coloured lilac).

12. EXCLUSION OF PRESS AND PUBLIC

To consider the following motion, to be moved by the Mayor, where appropriate:-

That, pursuant to Procedure Rule 20 and in accordance with Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of any matter on this agenda on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the item(s), there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified in the appropriate paragraph(s) of the revised Part I of Schedule 12A of the Local Government Act 1972 (to be identified at the meeting).

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# Agenda Item 1.

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MINUTES of the WAVERLEY  
BOROUGH COUNCIL held in  
the Council Chamber, Council  
Offices, The Burys, Godalming  
on 17 February 2015 at 7.00  
pm

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## **Present**

Cllr Liz Wheatley (Mayor)  
Cllr Mike Band (Deputy Mayor)

Cllr Brian Adams	Cllr Carole King
Cllr Paddy Blagden	Cllr Robert Knowles
Cllr Maurice Byham	Cllr Nicky Lee
Cllr Elizabeth Cable	Cllr Denis Leigh
Cllr Carole Cockburn	Cllr Peter Martin
Cllr Jim Edwards	Cllr Tom Martin
Cllr Brian Ellis	Cllr Bryn Morgan
Cllr Patricia Ellis	Cllr Stephen Mulliner
Cllr Jenny Else	Cllr David Munro
Cllr Mary Forsyszewski	Cllr Stephen O'Grady
Cllr Pat Frost	Cllr Donal O'Neill
Cllr Richard Gates	Cllr Julia Potts
Cllr Michael Goodridge	Cllr Wyatt Ramsdale
Cllr Tony Gordon-Smith	Cllr Stefan Reynolds
Cllr Christiaan Hesse	Cllr Chris Storey
Cllr Stephen Hill	Cllr Adam Taylor-Smith
Cllr Nicholas Holder	Cllr Nick Williams
Cllr Simon Inchbald	Cllr Andrew Wilson
Cllr Peter Isherwood	

## **Apologies**

Cllr Stella Andersen-Payne, Cllr Gillian Beel, Cllr Lynn Graffham, Cllr Jill Hargreaves, Cllr Diane James, Cllr Martin Lear, Cllr Jennifer O'Grady, Cllr Stewart Stennett, Cllr Simon Thornton, Cllr Brett Vorley, Cllr Keith Webster and Cllr Ross Welland

Prior to the commencement of the meeting, prayers were led by Minister in Training, Philip Roche.

### 46/14 MINUTES (Agenda item 1.)

The Minutes of the Meeting of the Council held on 9 December 2014 were confirmed and signed.

### 47/14 APOLOGIES FOR ABSENCE (Agenda item 2.)

Apologies for absence were received from Cllrs Stella Andersen-Payne, Gillian Beel, Lynn Graffham, Jill Hargreaves, Diane James, Martin Lear, Jennifer O'Grady, Stewart Stennett, Simon Thornton, Brett Vorley, Keith Webster and Ross Welland.

48/14 DECLARATIONS OF INTEREST (Agenda item 3.)

There were no interests raised under this heading and councillors were reminded that it was not necessary to declare their appointments as Waverley representatives on outside organisations, unless the organisation was specifically discussed in the debate relating to the budget or funding for voluntary sector organisations.

49/14 MAYOR'S ANNOUNCEMENTS (Agenda item 4.)

The Mayor informed the Council that there had been 45 duties since the last meeting, which included the opening of the newly-refurbished Rolston House, Haslemere Leisure Centre and Ophthalmic Department at the Royal Surrey County Hospital.

The Mayor and councillors congratulated Cllr Richard Gates on celebrating his 20th anniversary of continuous service to Council. She also advised of the following dates for diaries:

21 March 2015 - Ahmadyan Muslim Youth Community Sponsored Walk on routes around the Devil's Punch Bowl; and

12 April 2015 – Massed Bands Concert in Charterhouse Hall in aid of the Mayoral Charity.

The Mayor also informed councillors that she had accepted a challenge from the parachute team of the Princess of Wales's Royal Regiment to do a tandem parachute jump and that she would advise councillors of the dates in due course.

And finally, the annual Pancake Race had taken place earlier in the day and unfortunately Waverley had been presented with the Wooden Spoon following a win by Guildford Borough Council. The Mayor thanked the team for participating in the event.

50/14 QUESTIONS FROM MEMBERS OF THE PUBLIC (Agenda item 5.)

The following question was received from Mr Jerry Hyman of Farnham in accordance with Procedure Rule 10:-

"Madame Mayor. Crest Nicholson's contract currently requires that they provide a new Brightwell Gostrey Community Centre within the Brightwells site as a Required Element of their proposed scheme, but on 6th January Waverley's Executive agreed to pursue a 'Memorial Hall solution', which would require the sacrifice of the valuable large community hall constructed in memory of lives lost in the Great War, and gifted to the people of Farnham for their use; and although the Portfolio Holder responded to a Public Question at the 3rd February Executive Meeting by stating that other options, including a (perhaps far preferable) 'Cobgates solution' had been considered, the long-awaited Feasibility Study was not presented to the Executive Meeting and has been withheld; hence we don't know the Council's justification for agreeing to pursue an option that your papers say will cost some £1.5 million in construction costs to alter the Memorial Hall, which is worth some £1 million as it stands - representing a total cost to us in the region of TWO AND A HALF MILLION POUNDS, perhaps sufficient to build

a veritable palace on the Brightwells site or solve all of Cobgates' problems - and given that a stand-alone newbuild Community Centre could be constructed for a fraction of that princely sum, it is difficult to believe that there is not a more appropriate and less expensive alternative to the proposed loss of public use of valuable facilities (for Crest's benefit); and so Madame Mayor, in the absence of the Feasibility Study, will you please now inform Members and the public of the estimated costs of each of the alternative solutions considered, including in particular the likely costs of reconstruction of the Gostrey Centre on its existing site, and at Cobgates ?"

The Portfolio Holder for Older People responded as follows:-

"Thank you for your question Mr Hyman. Following Brightwells Gostrey Centre's request to move off site, the Council examined a number of locations (as I did outline at the Executive on 3 February 2015).

The choice of site depended on two things: the suitability of the site and the cost of acquiring the site. When taking these two considerations together, the overriding favourite was the Memorial Hall because, as you rightly point out, the cost of acquiring other sites would have required significant land purchase.

The proposed designs in front of Council tonight ensure no loss of space for current users and seek to enhance the existing Memorial Hall building. Subsequently, as you know, the Executive have recommended that £1.5m be invested in a fully refurbished and extended Memorial Hall, subject, of course, to Council agreeing this decision tonight. I am sure you would wish to support the Council's commitment to improve services for older people and other groups in Farnham and the surrounding areas."

#### 51/14 BUDGET 2015/2016 (Agenda item 8.)

The Chairman of the Executive presented the reports at Appendices A.1 – A.5 to the agenda, and following this, both the Chairman of the Executive and the Portfolio Holder for Finance delivered Budget Statements to the Council, copies of which are attached as Annexe 1 to these minutes.

#### General Fund Revenue Estimates 2015/16 (Appendix A.1)

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that the report of the Executive at Appendix A.1 be approved and recommendations 1-8 contained therein adopted.

#### General Fund Capital Programme 2015/16 (Appendix A.2)

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that the report of the Executive at Appendix A.2 be approved and recommendations 1-5 contained therein adopted.

Housing Revenue Account Business Plan 2015/2041 and Revenue Budget 2015/16

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that the report of the Executive at Appendix A.3 be approved and recommendations 1-8 contained therein adopted.

Housing Revenue Account Capital Programme 2014/15, New Affordable Homes Programme and Stock Improvement Programme (Appendix A.4)

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that the report of the Executive at Appendix A.4 be approved and recommendations 1-4 contained therein adopted.

Council Tax Setting 2015/16

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that

25.1 The following amounts having been calculated by the Council for the year 2015/2016 in accordance with the Regulations made under Section 31B (3) of the Act be approved:

(a) 52,831.2 being the amount calculated by the Council, in accordance with Regulation 3 of the Local Authorities (Calculation of Council Tax Base) Regulations 1992 (as amended) as its Council Tax Base for the year;

(b) Part of the Council's area – Tax Base Band D Equivalents

Alfold	457.7	being the amounts calculated by the Council in accordance with Regulation 6 of the Regulations as the amounts of its Council Tax base for the year for dwellings in those parts of its area to which one or more special items relate.
Bramley	1,638.6	
Busbridge	429.2	
Chiddingfold	1,366.5	
Churt	630.0	
Cranleigh	5,049.3	
Dockenfield	232.1	
Dunsfold	528.3	
Elstead	1,155.4	
Ewhurst	1,169.3	
Farnham	16,686.8	
Frensham	856.0	
Godalming	8,653.9	
Hambledon	420.6	
Hascombe	164.1	
Haslemere	7,508.4	
Peper Harow	110.8	
Thursley	355.4	
Tilford	356.3	
Witley	3,343.8	



Wonersh 1,718.7

25.2 The following amounts have been calculated for the Council for 2015/2016 in accordance with Sections 31 to 36 of the Local Government Finance Act 1992:

- (a) £77,842,637 being the aggregate of the amounts that the Council estimates for the items set out in Section 31A 2 (a) to (f) of the Act taking into account all precepts issued to it by Parish Councils;
- (b) £66,710,610 being the aggregate of the amounts which the Council estimates for the items set out in Section 31A (3) (a) to (d) of the Act;
- (c) £11,132,027 being the amount by which the aggregate at (a) above exceeds the aggregate at (b) above, calculated by the Council, in accordance with Section 31A (4) of the Act, as its council tax requirement for the year;
- (d) £210.71 being the amount at (c) divided by the amount at 27.1(a) above, calculated by the Council in accordance with Section 31B (1) of the Act and rounded for administrative purposes, as the basic amount of its Council Tax for the year;
- (e) £2,578,127 being the aggregate amount of all special items referred to in Section 34 (1) of the Act;
- (f) £161.91 being the amount at (d) above less the result given by dividing the amount at (e) above by the amount at 27.1(a) above, calculated by the Council in accordance with the Section 34 (2) of the Act and rounded for administrative purposes, as the basic amount of its Council Tax for the year for dwellings in those parts of its area to which no special item relates;

(g) Part of Council's area

	£	
Alfold	209.93	being the amounts given by adding
Bramley	184.72	to the amount at (f) above the
Busbridge	187.54	special item or items relating to
Chiddingfold	247.16	dwellings in those parts of the
Churt	211.14	Council's area mentioned above
Cranleigh	216.49	divided in each case by the amount

Dockenfield	183.88	at 27.1 (b) above calculated by the
Dunsfold	220.59	Council, in accordance with Section
Elstead	193.93	34 (3) of the Act, as the basic
Ewhurst	218.02	amounts of its Council Tax for the
Farnham	219.50	year for dwellings in those parts of
Frensham	205.72	its area to which one or more special
Godalming	214.72	items relate.
Hambledon	187.72	
Hascombe	205.31	
Haslemere	191.75	
Peper Harow	166.42	
Thursley	203.80	
Tilford	226.33	
Witley	213.61	
Wonersh	183.51	

(h)

Valuation Bands

<u>Part of the</u>	Band A	Band B	Band C	Band D	Band E	Band F	Band G	Band H
<u>Council's Area</u>	£	£	£	£	£	£	£	£
Alfold	139.95	163.28	186.60	209.93	256.58	303.23	349.88	419.86
Bramley	123.15	143.67	164.20	184.72	225.77	266.82	307.87	369.44
Busbridge	125.03	145.86	166.70	187.54	229.22	270.89	312.57	375.08
Chiddingfold	164.77	192.24	219.70	247.16	302.08	357.01	411.93	494.32
Churt	140.76	164.22	187.68	211.14	258.06	304.98	351.90	422.28
Cranleigh	144.33	168.38	192.44	216.49	264.60	312.71	360.82	432.98
Dockenfield	122.59	143.02	163.45	183.88	224.74	265.60	306.47	367.76
Dunsfold	147.06	171.57	196.08	220.59	269.61	318.63	367.65	441.18
Elstead	129.29	150.83	172.38	193.93	237.03	280.12	323.22	387.86
Ewhurst	145.35	169.57	193.80	218.02	266.47	314.92	363.37	436.04
Farnham	146.33	170.72	195.11	219.50	268.28	317.06	365.83	439.00
Frensham	137.15	160.00	182.86	205.72	251.44	297.15	342.87	411.44

Godalming	143.15	167.00	190.86	214.72	262.44	310.15	357.87	429.44
Hambledon	125.15	146.00	166.86	187.72	229.44	271.15	312.87	375.44
Hascombe	136.87	159.69	182.50	205.31	250.93	296.56	342.18	410.62
Haslemere	127.83	149.14	170.44	191.75	234.36	276.97	319.58	383.50
Peper Harow	110.95	129.44	147.93	166.42	203.40	240.38	277.37	332.84
Thursley	135.87	158.51	181.16	203.80	249.09	294.38	339.67	407.60
Tilford	150.89	176.03	201.18	226.33	276.63	326.92	377.22	452.66
Witley	142.41	166.14	189.88	213.61	261.08	308.55	356.02	427.22
Wonersh	122.34	142.73	163.12	183.51	224.29	265.07	305.85	367.02

being the amounts given by multiplying the amounts at (g) above by the number which, in the proportion set out in Section 5 (1) of the Local Government Finance Act 1992, is applicable to dwellings listed in a particular valuation band divided by the number which in that proportion is applicable to dwellings listed in valuation band D, calculated by the Council, in accordance with Section 36 (1) of the Local Government Finance Act 1992 as the amounts to be taken into account for the year in respect of categories of dwellings listed in different valuation bands.

- 25.3 that it be noted that for 2015/2016 the Surrey County Council and the Police and Crime Commissioner for Surrey have stated the following amounts in precepts issued to the Council, in accordance with Section 40 of the Local Government Finance Act 1992, for each of the categories of dwellings shown below.

**Valuation Bands**

	A	B	C	D	E	F	G	H
	£	£	£	£	£	£	£	£
S.C.C.	813.12	948.64	1084.16	1,219.68	1,490.72	1,761.76	2,032.80	2,439.36
PCC for Surrey	143.93	167.91	191.90	215.89	263.87	311.84	359.82	431.78

- 25.4 that, having calculated the aggregate in each case of the amounts at 27.2 (h) and 27.3 above, the Council, in accordance with Section 30 (2) of the Local Government Finance Act 1992, hereby sets the following amounts as the amounts of Council Tax for the financial year commencing on 1st April 2015 for each of the categories of dwellings shown below:-

<u>Part of the Council's Area</u>	<u>Valuation Bands</u>							
	A £	B £	C £	D £	E £	F £	G £	H £
<b>Alfold</b>	1,097.00	1,279.83	1,462.66	1,645.50	2,011.17	2,376.83	2,742.50	3,291.00
<b>Bramley</b>	1,080.20	1,260.22	1,440.26	1,620.29	1,980.36	2,340.42	2,700.49	3,240.58
<b>Busbridge</b>	1,082.08	1,262.41	1,442.76	1,623.11	1,983.81	2,344.49	2,705.19	3,246.22
<b>Chiddingfold</b>	1,121.82	1,308.79	1,495.76	1,682.73	2,056.67	2,430.61	2,804.55	3,365.46
<b>Churt</b>	1,097.81	1,280.77	1,463.74	1,646.71	2,012.65	2,378.58	2,744.52	3,293.42
<b>Cranleigh</b>	1,101.38	1,284.93	1,468.50	1,652.06	2,019.19	2,386.31	2,753.44	3,304.12
<b>Dockenfield</b>	1,079.64	1,259.57	1,439.51	1,619.45	1,979.33	2,339.20	2,699.09	3,238.90
<b>Dunsfold</b>	1,104.11	1,288.12	1,472.14	1,656.16	2,024.20	2,392.23	2,760.27	3,312.32
<b>Elstead</b>	1,086.34	1,267.38	1,448.44	1,629.50	1,991.62	2,353.72	2,715.84	3,259.00
<b>Ewhurst</b>	1,102.40	1,286.12	1,469.86	1,653.59	2,021.06	2,388.52	2,755.99	3,307.18
<b>Farnham</b>	1,103.38	1,287.27	1,471.17	1,655.07	2,022.87	2,390.66	2,758.45	3,310.14
<b>Frensham</b>	1,094.20	1,276.55	1,458.92	1,641.29	2,006.03	2,370.75	2,735.49	3,282.58
<b>Godalming</b>	1,100.20	1,283.55	1,466.92	1,650.29	2,017.03	2,383.75	2,750.49	3,300.58
<b>Hambledon</b>	1,082.20	1,262.55	1,442.92	1,623.29	1,984.03	2,344.75	2,705.49	3,246.58
<b>Hascombe</b>	1,093.92	1,276.24	1,458.56	1,640.88	2,005.52	2,370.16	2,734.80	3,281.76
<b>Haslemere</b>	1,084.88	1,265.69	1,446.50	1,627.32	1,988.95	2,350.57	2,712.20	3,254.64
<b>Peper Harow</b>	1,068.00	1,245.99	1,423.99	1,601.99	1,957.99	2,313.98	2,669.99	3,203.98
<b>Thursley</b>	1,092.92	1,275.06	1,457.22	1,639.37	2,003.68	2,367.98	2,732.29	3,278.74
<b>Tilford</b>	1,107.94	1,292.58	1,477.24	1,661.90	2,031.22	2,400.52	2,769.84	3,323.80
<b>Witley</b>	1,099.46	1,282.69	1,465.94	1,649.18	2,015.67	2,382.15	2,748.64	3,298.36
<b>Wonersh</b>	1,079.39	1,259.28	1,439.18	1,619.08	1,978.88	2,338.67	2,698.47	3,238.16

The Local Authorities (Standing Orders) (England) (Amendment) Regulations 2014 came into effect from 25 February 2014 making it mandatory for Councils to conduct a recorded vote at budget-setting Council meetings. Recorded votes were therefore taken on Recommendations 1-24 and 25, with the voting for each as follows:-

Voting for (38)

Cllr Brian Adams, Cllr Mike Band, Cllr Patrick Blagden, Cllr Maurice Byham, Cllr Elizabeth Cable, Cllr Carole Cockburn, Cllr Jim Edwards, Cllr Brian Ellis, Cllr Patricia Ellis, Cllr Jenny Else, Cllr Mary Forszewski, Cllr Pat Frost, Cllr Richard Gates, Cllr Michael Goodridge, Cllr Tony Gordon-Smith, Cllr Christiaan Hesse, Cllr Stephen Hill, Cllr Nicholas Holder, Cllr Simon Inchbald, Cllr Peter Isherwood, Cllr Carole King, Cllr Robert Knowles, Cllr Nicky Lee, Cllr Denis Leigh, Cllr Peter Martin, Cllr Tom Martin, Cllr Stephen Mulliner, Cllr David Munro, Cllr Stephen O'Grady, Cllr Donal O'Neill, Cllr Julia Potts, Cllr Wyatt Ramsdale, Cllr Stefan Reynolds, Cllr Chris Storey, Cllr Adam Taylor-Smith, Cllr Liz Wheatley, Cllr Nick Williams, Cllr Andrew Wilson.

Voting Against (None)Abstentions (1 vote)

Cllr Bryn Morgan.

[NB. Cllr Stephen Mulliner left the meeting at the conclusion of this item].

52/14 MINUTES OF THE EXECUTIVE (Agenda item 9.)52/14a Meeting of 6 January 2015 (Agenda item 9.a)

It was moved by the Chairman of the Executive, duly seconded and

RESOLVED that the Minutes of the Meeting of the Executive held on 6 January 2015 be approved and the recommendations contained therein adopted.

53/14 Meeting of 3 February 2015 (Agenda item 9.b)

It was moved by the Chairman of the Executive and duly seconded that the Minutes of the Meeting of the Executive held on 3 February 2015 be approved and adopted.

i. Funding for Voluntary Sector Organisations 2015/16 (Minute No.133)

It was moved and seconded that the following words be added to the end of the existing Recommendation 60:-

“...and that Waverley Borough Council receive full and transparent accounts detailing income, expenditure and a balance sheet for Rowleys (excluding other AGE UK Waverley activities)”.

Upon being put to the vote, the amendment was CARRIED.

RESOLVED that the Minutes of the Meeting of the Executive held on 3 February 2015 be approved and the recommendations contained therein adopted, as amended.

54/14 MINUTES OF THE JOINT PLANNING COMMITTEE (Agenda item 10.)

It was moved by the Chairman of the Committee, duly seconded and

RESOLVED that the Minutes of the Meetings of the Joint Planning Committee held on 5 and 26 January and 2 February 2015 be approved.

55/14 MINUTES OF THE STANDARDS PANEL (Agenda item 11.)

It was moved by the Chairman of the Panel, duly seconded and

RESOLVED that the Minutes of the Meeting of the Standards Panel held on 26 January 2015 be approved and the recommendations contained therein adopted.

[NB. Cllr Bryn Morgan asked that his vote against the recommendations be recorded].

56/14 MINUTES OF LICENSING AND REGULATORY COMMITTEE (Agenda item 12.)

It was moved by the Chairman of the Committee and duly seconded that the Minutes of the Meeting of the Licensing and Regulatory Committee held on 29 January 2015 be approved and adopted.

i. Waverley Borough Council – Designated Streets Review (Minute No. 25)

It was moved and seconded that Recommendation 5 be amended to delete “and Godalming” and add at the end “and the designation of streets in Godalming be referred back to the Licensing and Regulatory Committee for further consideration.”

Upon being put to the vote, the amendment was CARRIED.

RESOLVED that the Minutes of the Meeting of the Licensing and Regulatory Committee held on 29 January 2015, as amended, be approved and the recommendation contained therein adopted.

The meeting concluded at 8.58 pm

Mayor

## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE EXECUTIVE - 3 MARCH 2015

### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Robert Knowles (Chairman)  
Cllr Julia Potts (Vice-Chairman)  
Cllr Brian Adams  
Cllr Tom Martin

Cllr Donal O'Neill  
Cllr Stefan Reynolds  
Cllr Adam Taylor-Smith  
Cllr Simon Thornton

#### **Apologies**

Cllr Carole King and Cllr Stewart Stennett

146. MINUTES (Agenda item 1)

The Minutes of the Meeting held on 3 February 2015 were confirmed and signed as a correct record.

147. APOLOGIES FOR ABSENCE (Agenda item 2)

Apologies for absence were received from Councillors Carole King and Stewart Stennett.

148. DECLARATIONS OF INTERESTS (Agenda item 3)

There were no declarations of interest raised under this heading.

### **PART I - RECOMMENDATIONS TO THE COUNCIL**

#### Background Papers

Unless specified under an individual item, there are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to the reports in Part I of these minutes.

149. ECONOMIC STRATEGY FOR WAVERLEY (Agenda item 10)

149.1 The Economic Strategy will contribute to the evidence base for the new Local Plan, by clarifying the vision and objectives for the local economy. The previous Economic Strategy was in place from 2007-2012 - the economic climate and regional structures have changed considerably over the last few years and new objectives now need to be considered. Whilst the IED (Institute of Economic Development) advise there is no statutory requirement to have a formal Economic Strategy, they recommend it is important to display good governance and a clear direction. The new Economic Strategy will therefore provide a positive steer for the local economy over the next five years.

149.2 Atkins, who have been involved with the preparation of the Local Plan and the Employment Land Review, were recently asked to review the latest economic data for Waverley. They used the data alongside other developments in the local and regional economy to inform the development of a new Economic Strategy, attached as Annexe 1.

149.3 The Council is proud of its track record as a business friendly organisation and the steps taken by the organisation to support the local economy and businesses. Key examples include:

- Support to local businesses through the supply of delivery of a wide range of employment related training and the supply of apprentices through Waverley Training Services. Support is also provided to residents who are long-term unemployed to help them get back into employment.
- The Council offers free business advice and support to anyone wishing to start or expand a business in the borough, through a service level agreement.
- Rate relief provided to 916 local businesses including rural businesses such as general stores and post offices
- A commitment to pay all invoices to local businesses within 10 working days and actively encourage the use of local suppliers, and the use of local labour in the Council's main contracts.
- Removed unnecessary burdens on local businesses through the development last year of a new Council policy for Regulatory Services which promotes more efficient approaches to regulatory inspection and enforcement
- Free advice and guidance to local businesses from Waverley's Environmental Health Service regarding food hygiene, health & Safety, licensing etc
- Provides local businesses with 16 hectares of land for industrial use, 17 hectares for commercial leisure use, 246 square metres of commercial office accommodation, and 740 square meters of retail space through various lease arrangements.
- The provision of business support alongside Council run workshops and events for local businesses such as the recent Digital Skills Workshops, Compete on the Streets initiative, and Meet the Buyer Event and relevant information and opportunities through a quarterly e-bulletin to local businesses
- The Council helped secure £30,000 for the Portas Town Team Bids last year.
- Offer free parking initiatives at different times of the year to benefit local retailers



- Support the Maltings to provide incubator space for micro business working in arts and craft sector
- Meeting national and local targets for turning around planning applications including applications relating to business premises and providing pre application advice to developers

149.4 Atkins recently reviewed a wealth of local data from sources such as ONS, Experian and the council's own information. They used the data to create an economic profile of the borough which forms the background to the Economic Strategy. The headline statistics are:

**Population** - Waverley's population is growing at a slower rate than the county and national averages, having grown by 6.1% over the period 2000 – 2013 compared to growth rates of 9% across Surrey and 9.4% across England.

**Qualifications** - Waverley has a highly qualified resident population with 40% of residents aged 16 and over holding Level 4 qualifications and above. This is higher than both the England (27%) and Surrey (36%) averages.

**Employment** - The Borough has a higher than average economic activity rate, with 75% of the population aged 16-64 being economically active.

- The Borough also has higher than average levels of self-employment (12% compared to 10% across England)
- It also has a higher than average number of part-time jobs. Approximately 30% of all people aged 16 – 64 working in Waverley work part-time (compared to an average of 25% across Surrey and across England).
- Waverley also has the largest number of homeworkers in Surrey with nearly 10,000 people homeworking.

**Gross pay** - The Borough is one of the least deprived in England, ranking 320<sup>th</sup> out of 326 local authorities in terms of deprivation. It is an affluent Borough with the median gross annual pay of Waverley residents being significantly higher than the national average (£38,200 compared to £27,500). The median gross annual pay of people **working** in Waverley is approximately one third lower than the median gross annual pay of people **living** in Waverley which suggests that many residents commute out of the Borough to access higher paying jobs.

**Business base** - Waverley has one of the highest business densities in Surrey with over 7,000 VAT registered businesses in the Borough. There are 3,949 businesses currently paying NNDR (business rates) within premises in the Borough, of which 421 are currently empty.

- Waverley's business base is dominated by small and medium sized enterprises. Approximately 91% of Waverley's businesses are micro businesses employing fewer than 10 people. This is higher than the national average of 88%. At the same time, the Borough has only 15 large enterprises employing 250 or more people.

- Analysis of a sample of 2,000 businesses in the Borough shows that the average business size is 3 employees. That average however is skewed by a small number of large employers. The typical (median) business size is only 2 employees.

**Town Centres** - The health and vitality of Waverley's town centres is reflected in their low High Street vacancy rates which range from 4% in Haslemere to 7% in Farnham. The overall vacancy rate across the four High Streets is approximately 6% - significantly lower than the UK High Street average of 14%. While the above vacancy rates represent a snapshot (November 2014), they indicate relatively healthy High Streets and town centres.

**Employment premises** - Waverley offers a range of employment premises including business parks and industrial estates, which provide flexible and secure accommodation for both start-up firms and more established, smaller businesses. According to Valuation Office Agency data, Waverley has approximately 264,000 square metres of employment floorspace including office, industrial, and warehousing and distribution floorspace.

149.5 It is important that the Strategy sets out a clear vision to direct the objectives and actions within the work programme. Having reviewed the latest economic data for Waverley, Atkins have suggested the following vision:

***'Waverley will enjoy continued economic prosperity and diversity while safeguarding and enhancing its attractive character and high quality of life'.***

149.6 While the vision aims to provide the overarching direction, six objectives are suggested for the local economy:

- **safeguard and enhance the Borough's attractive character and high quality of life.** Including maintaining access to well paid jobs. Excessive levels of housing or employment growth would threaten Waverley's character and unique characteristics and would ultimately damage its economy.
- **maintain and enhance the attractiveness and vitality of the Borough's town centres**
- **support modest levels of employment growth** at the appropriate locations and without compromising what makes Waverley successful.
- **engage with local businesses and offering business support** – continue to help business start-ups and supporting existing businesses.
- **high quality infrastructure** - the Council will continue working with its partners (including the Local Enterprise Partnership and the private sector) to maintain and improve the Borough's infrastructure, especially in terms of transport and broadband but also wider infrastructure such as Health.

- **provide affordable housing to key workers** - Given the high average cost of housing in the Borough, it is important that Waverley is able to provide affordable housing to key workers as they are vital to the continued prosperity of the Borough and its economy.

149.7 The Executive

**RECOMMENDS that**

- 66. the Economic Strategy, attached as Annexe 1, be approved.**

*[Reason: to formally adopt an economic strategy for the Borough].*

150. RE-EMPLOYMENT POLICY (Agenda item 11)

150.1 The Re-employment Policy is attached as Annexe 2. It states that:

‘Any employee who leaves Waverley on the basis of redundancy or early retirement or for some other reason and receives compensation will not normally be re-engaged in any capacity, including as consultants or agency staff, for a period of **two years** from their leaving date. Any re-employment within the two year period will be determined by the Executive Director, in partnership with the Strategic HR Manager, on an exceptional basis.’

150.2 Any re-employment agreed by the Executive Director within a two year period on an exceptional basis will be subject to an agreed procedure included in the policy document. This has been custom and practice at Waverley for some years and it is timely to formalise this in a policy document.

150.3 Members will be aware of the Small Business, Enterprise and Employment Bill which if passed, will require recovery of exit payments if someone re-joins the same part of the public sector within one year.

150.4 The Executive

**RECOMMENDS that**

- 67. the re-employment policy, attached as Annexe 2, be adopted.**

*[Reason: to adopt a re-employment policy].*

**PART II - MATTERS OF REPORT**

The background papers relating to the following items are as set out in the reports included in the original agenda papers.

151. FORWARD PROGRAMME - MARCH 2015 (Agenda item 5)

RESOLVED that the forward programme of key decisions for the period March 2015 onwards be adopted.

152. BUDGET MANAGEMENT REPORT (Agenda item 6)

RESOLVED that the report be noted and approval given to

1. a virement of £50,000 from additional Planning Income to cover temporary Staff required to assist with planning applications (detailed in paragraph 2.4);
2. £15,000 additional expenditure on Tree Safety Works to be met from the overall revenue underspend (detailed in paragraph 2.5);
3. £15,000 expenditure on replacement ovens at day centres to be met from the overall capital underspend (detailed in paragraph 3.5);
4. £5,000 expenditure on the Address Resolution Project to be met from the underspend on the Contaminated Land revenue project (detailed in paragraph 3.6); and
5. £20,000 extra expenditure on the Signage Project to be met from the capital underspend (detailed in paragraph 3.7);
6. rescheduling of capital works within the HRA from 2014/15 to 2015/16, as detailed at paragraph 4.7; and
7. works exceeding £5,000 to void properties within the HRA capital programme as listed at (Exempt) Annexe 9.

*[Reason: To consider a projection of the expenditure and income position for the 2014/15 budget compared with the approved budget]*

153. LOCAL PLAN PROGRESS REPORT (Agenda item 7)

RESOLVED that

1. the outcome from the consultation be noted and the Executive supports in principle the way forward as set out in the report; and
2. the Statement of Principles attached as Annexe 2 be endorsed.

*[Reason: to seek support in principle to an emerging preferred strategy for the distribution of new homes, subject to further testing].*

154. OCKFORD RIDGE CONSERVATION AREA APPRAISAL AND MILFORD CONSULTATION REPORT (Agenda item 8)

RESOLVED that the draft Conservation Area Appraisal for Ockford Road and the proposed amendments to the Milford Conservation Area be approved for the purposes of public consultation.

*[Reason: to gain authorisation to undertake formal public consultation on the draft Conservation Area Appraisal].*

155. SERVICE PLAN ACTION PLANS 2015/2016 (Agenda item 9)

RESOLVED that the Joint Overview and Scrutiny Committees be thanked for their observations and the Service Plan Action Plans for 2015-16 be endorsed.

*[Reason: to set out the strategic actions for each service, delivering the Council's corporate priorities].*

156. CALENDAR OF MEETINGS 2015/16 (Agenda item 12)

RESOLVED that the revised Calendar of Meetings for 2015/16 be approved.

157. EXECUTIVE DIRECTOR'S ACTIONS (Agenda item 13)

To note the following action taken by the Executive Director after consultation with the Chairman and Vice-Chairman since the last meeting. The Register of Decisions will be laid on the table half an hour before the meeting:

i. Council Offices Urgent Works

As a result of heightened national security threat for all public buildings, to authorise urgent security works carried out to the Council's Central Offices to provide protection for the building and building users by the installation of protective barrier posts. The cost of these works being £18,300 to be met by a virement from savings in the overall General Fund Capital Programme for 2014/15.

158. EXCLUSION OF PRESS AND PUBLIC (Agenda item 14)

At 7.12 p.m. it was

RESOLVED that, pursuant to Procedure Rule 20, and in accordance with Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following item on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during this item, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972, namely:-

Information relating to the financial or business affairs of any particular person (including the authority holding that information).

159. PROPERTY MATTERS - WEYHILL (Agenda item 15)

RESOLVED that the recommendation set out in the (Exempt) Annexe to these minutes be agreed.

**The meeting commenced at 6.45 pm and concluded at 7.18 pm**

**Chairman**

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Waverley  
BOROUGH COUNCIL

ANNEXE 1

# Waverley Economic Strategy 2015 – 2020 -DRAFT-







## Introduction

Waverley is a fantastic place to live and work. The borough has a diverse rural landscape, characterful towns, high quality housing and schools, and access to employment - all within easy reach of London. Whilst our local economy has shown itself to be relatively resilient through the recent economic difficulties, it has not been immune from the challenges affecting many parts of the UK.

This Economic Strategy for 2015-2020 - which Atkins has prepared on our behalf - is based on the latest economic profile data and is designed to be aligned with our Local Plan.

Our Strategy sets out six strategic economic objectives which we feel will help us achieve sustained prosperity for our residents and businesses. Our objectives fit with the local and sub-regional policy context, with the key challenge remaining the achievement of a balanced approach to housing and employment that does not adversely affect the Borough's character and attractiveness.

The Council's six key objectives therefore are to:

- safeguard and enhance the Borough's attractive character and high quality of life;
- maintain and enhance the attractiveness and vitality of main settlements;
- provide high quality infrastructure;
- manage employment growth and continue to encourage skilled and well paid jobs;
- support businesses; and
- provide affordable housing for key workers.

Over previous years, the Council has successfully pursued policies which have helped Waverley retain its attractive character, unique environment and high quality of life while supporting businesses and the vitality of the Borough's high streets. We hope that continued managed growth will ensure that the special things that attract people and businesses to Waverley, will be around for future generations to enjoy,

Cllr Adam Taylor-Smith

Portfolio Holder, Economic Development & Major Projects

February 2015

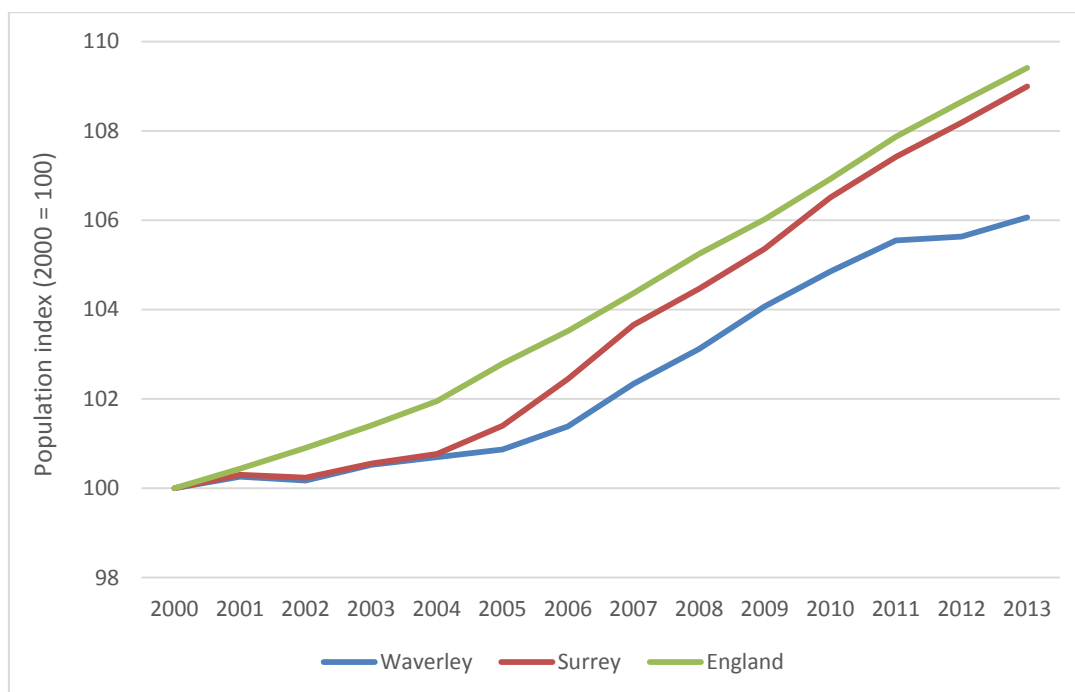
# 1. Waverley's economy

## Current socio-economic characteristics

Waverley's economic characteristics reflect the Borough's unique demographic, heritage and landscape character. The Borough has a population of approximately 122,400 people and is primarily rural in nature, although the majority of the population lives in the main urban settlements of Farnham, Godalming, Haslemere and Cranleigh. Some 80% of the countryside is designated as an Area of Outstanding Natural Beauty (AONB) and the Borough has a rich historic heritage with 45 Conservation Areas and over 1,600 listed buildings.

Waverley's population is growing at a slower rate than the county and national averages, having grown by 6.1% over the period 2000 – 2013 compared to growth rates of 9% across Surrey and 9.4% across England (**Figure 1**). This level of growth equates to approximately 315 new residents per year. Waverley's population has an older than average age profile, with residents aged 65 and over accounting for 21% of the Borough's population (compared to 17% across England).

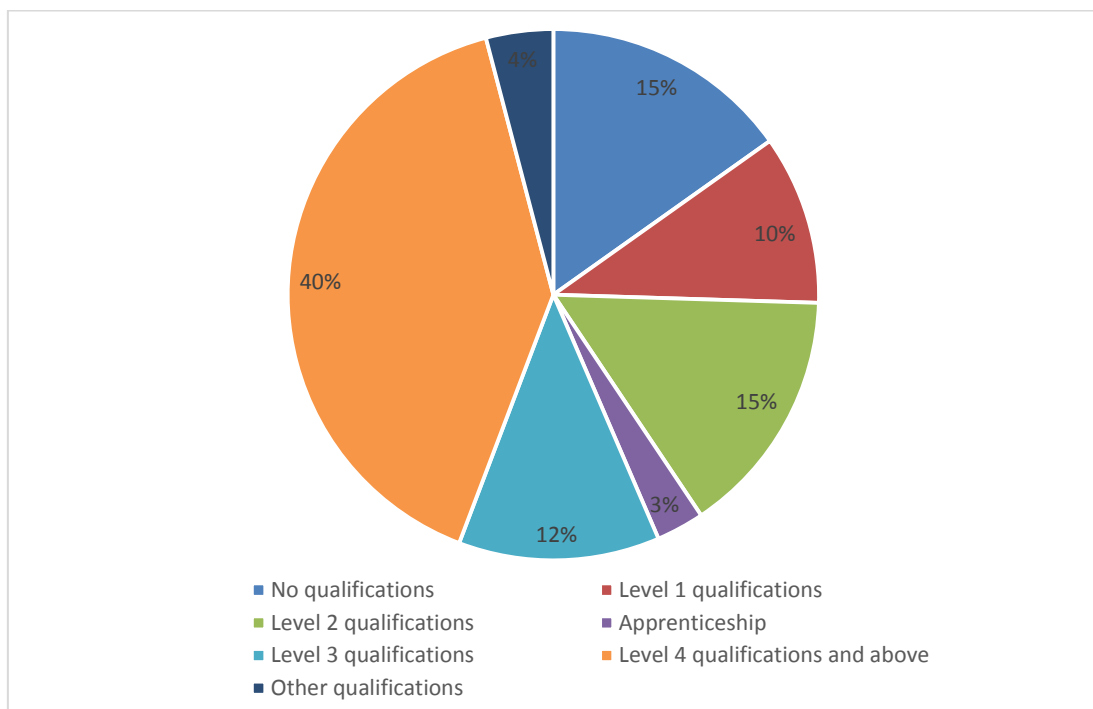
**Figure 1: Index of mid-year population estimates 2000-2013 (2000 = 100)**



Source: ONS

Waverley has a highly qualified resident population with 40% of residents aged 16 and over holding Level 4 qualifications and above. This is higher than both the England (27%) and Surrey (36%) averages (**Figure 2**). Waverley also has a lower than average proportion of residents with no qualifications (15% compared to 22% and 16% across England and Surrey respectively).

**Figure 2: Highest level of qualification of Waverley residents aged 16 and over, Census 2011**



Source: ONS

The Borough has a higher than average economic activity rate, with 75% of the population aged 16-64 being economically active. The Borough also has higher than average levels of self-employment (12% compared to 10% across England) and a higher than average number of part-time jobs. Approximately 30% of all people aged 16 – 64 working in Waverley work part-time (compared to an average of 25% across Surrey and across England). Waverley also has the largest number of homeworkers in Surrey with nearly 10,000 people homeworking.

Waverley has a small proportion of people claiming unemployment-related benefits. Approximately 0.6% of the population aged 16-64 claims unemployment-related benefits which is three times lower than the national average.

The Borough is one of the least deprived in England, ranking 320<sup>th</sup> out of 326 local authorities in terms of deprivation. It is an affluent Borough with the median gross annual pay of Waverley residents being significantly higher than the national average (£38,200 compared to £27,500).

Reflecting the low levels of deprivation, good quality housing, good transport connections, first class schools, active communities, good health facilities, and diverse range of leisure and recreational opportunities, Waverley is often named in national surveys as one of the best places to live in Great Britain<sup>1</sup>. The attractiveness of the Borough is reflected in its average house prices which are significantly higher than the national average and among the highest in Surrey.

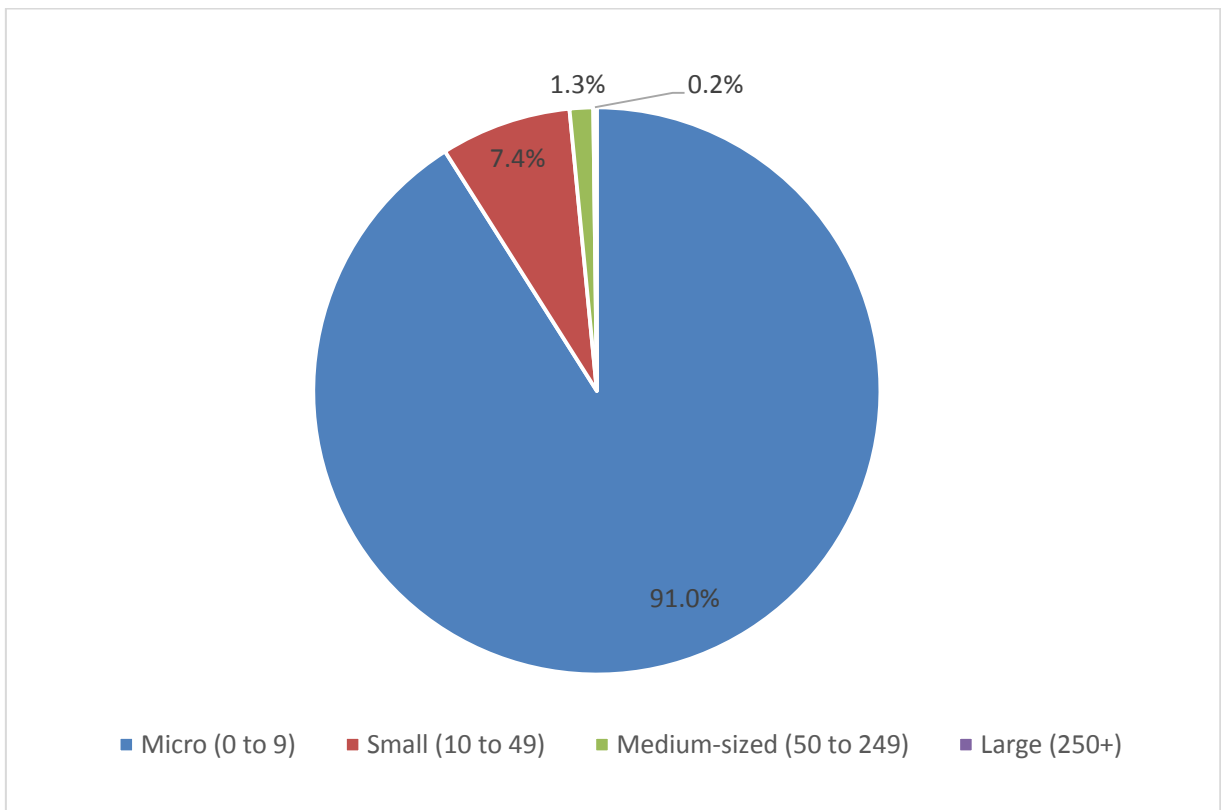
## Businesses and employment

Waverley has one of the highest business densities in Surrey with over 7,000 VAT registered businesses in the Borough. There are 3,949 businesses currently paying NNDR (business rates) within premises in the Borough, of which 421 are currently empty.

Waverley’s business base is dominated by small and medium sized enterprises. Approximately 91% of Waverley’s businesses are micro businesses employing fewer than 10 people (**Figure 3**). This is higher than the national average of 88%. At the same time, the Borough has only 15 large enterprises employing 250 or more people.

<sup>1</sup> As an example, Waverley came first in the 2013 Halifax Rural Areas Quality of Life Survey.

Figure 3: Waverley enterprises by number of employees

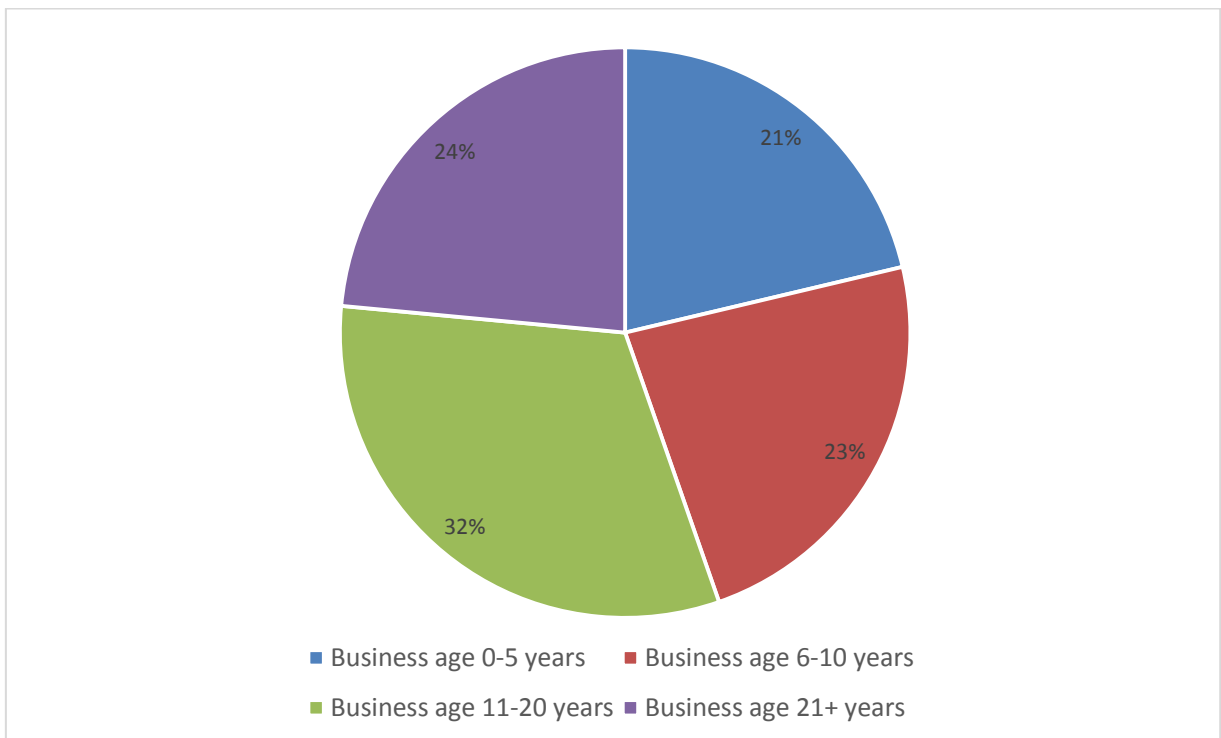


Source: ONS / IDBR

Analysis of a sample of 2,000 businesses in the Borough shows that the average business size is 3 employees. That average however is skewed by a small number of large employers. The typical (median) business size is only 2 employees.

The median business turnover is £82,000 which further confirms that small businesses are the lifeblood of Waverley's economy. The Borough has a higher than average proportion of younger businesses, with 45% of businesses in Waverley being up to 10 years old (compared to the national average of 35%) and 76% being up to 20 years old (compared to the national average of 58%) (Figure 3).

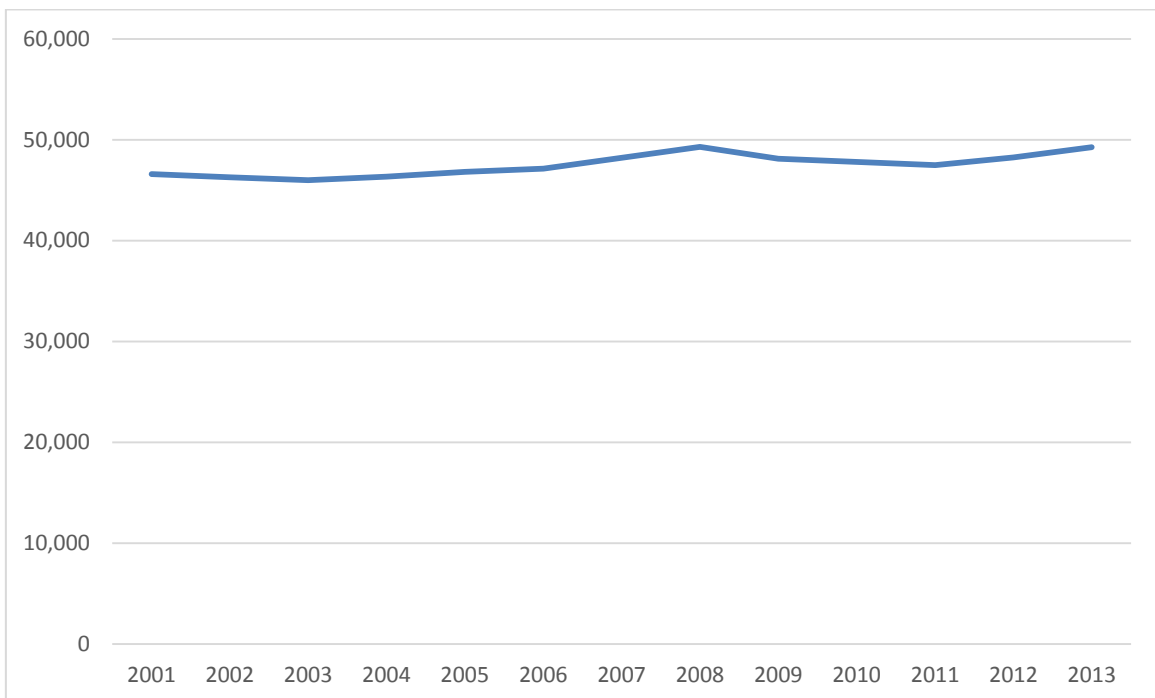
**Figure 3: Waverley business age based on a sample of 2,000 businesses**



Source: Experian

As of 2013, Waverley had some 49,250 full time equivalent (FTE) jobs. As **Figure 4** illustrates, the Borough has experienced modest levels of employment growth since 2001 and that trend of slow growth is likely to continue in the future.

**Figure 4: Waverley FTE employment 2001-2013**



Source: ONS, Experian

Waverley has a jobs density of approximately 0.8 which means there are approximately 0.8 jobs for every resident aged 16-64. The Borough has high levels of out-commuting with approximately 43% of residents in employment working outside the Borough. The most popular commuting destinations are

Guildford, Central London and East Hampshire. At the same time, over 26,000 people commute into Waverley.

### Income levels and housing affordability

The median gross annual pay of people **working** in Waverley (£26,300) is approximately one third lower than the median gross annual pay of people **living** in Waverley (£38,200) which suggests that many residents commute out of the Borough to access higher paying jobs.

The gap between residence-based and workplace-based income levels, in combination with the high average property prices in Waverley, has implications on the affordability of housing for lower-paid workers, including key workers. Research undertaken by Waverley Borough Council in 2014 showed that the minimum income level required to purchase an entry-level property on the open market in Waverley was £47,000, with properties in most parts of the Borough requiring an income of at least £60,000 (**Table 1**).

**Table 1: Income levels required to purchase an entry-level property on the open market**

Area	Lower quartile purchase price
Cranleigh	£47,000
Farnham	£60,000
Haslemere	£63,000
Godalming	£61,000
Smaller rural settlements	£74,000

Source: Waverley Borough Council, figures are rounded

However, less than 29% of Waverley households have an income over £60,000. Furthermore, the median gross annual pay of people working in Waverley is less than half this amount. This not only creates affordability issues but also affects employers' ability to recruit locally.

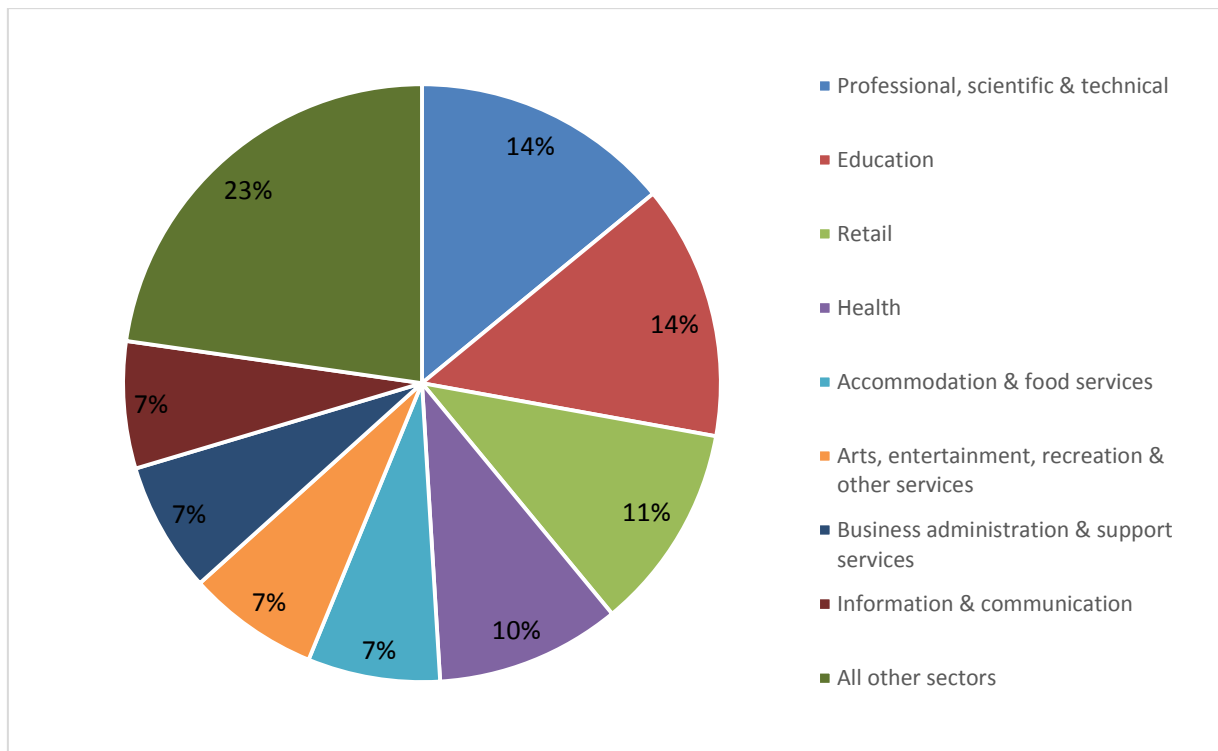
In September 2014, the Council's Housing Strategy and Enabling Team surveyed local public and private sector employers to establish the extent to which housing costs affect the recruitment and retention of their staff. The key findings of this survey showed that:

- More than 80% of companies based in Waverley surveyed viewed a lack of housing that people can afford in the local area as having had a great deal of impact on the local economy.
- 88% of respondents viewed a lack of affordable housing in the local area as having 'some or a great deal of impact' on their ability to recruit or retain staff.
- 68% of respondents reported that employees commute into work because they cannot afford to live in the area, with 32% of respondents believing this factor has had the greatest impact on their organisation's efficiency.
- 42% of respondents reported that employees have relocated away from the local area as the cost of buying a home in the local area is too high.
- 83% of respondents reported some or great difficulties in recruiting new staff, as opposed to 58% of respondents who reported some or great difficulties in retaining staff.
- Responses from public and private sector employers based in Waverley were similar suggesting that income levels for workers across sectors are commonly below the level required to access housing on the open market.

### Main employment sectors

The main business sectors in Waverley are Professional, scientific & technical; Education; Retail; and Health. These four sectors account for approximately half of all jobs in the Borough (**Figure 4**).

**Figure 4: Waverley employment by sector**



Source: ONS

Waverley Borough Council is one of the largest employers in the Borough, with a direct and significant supply chain that benefits the local economy. However, the overall proportion of jobs in the Public administration & defence sector is low (1% compared to 5% in Guildford and 3% across Surrey) and employment levels in the sector were almost halved (-48%) between 2009 and 2013.

Employment in manufacturing has seen steady decline since the year 2000 with the number of FTE jobs in the sector shrinking by over 40%. However, other sectors have shown good levels of growth in recent years including accommodation, food services and recreation; information and communication, public services; and retail (including wholesale).

Social enterprises are also an important part of the community life in Waverley. There is a growing and vibrant social enterprise sector in the Borough with social enterprises providing services that are delivered locally, are tailored to local need and provide additional social value. There are currently over 120 social enterprises in Waverley covering a wide range of areas including Arts, crafts and museums; Business support; Conservation; Disabled services; Education and training; Furniture; Gardening; Halls; Housing and accommodation; Housing associations; Leisure; Music and media; Personal support; Retail; Charity shops; and Voluntary services.

### Town centres

The retail sector is of particular importance to Waverley as it plays a major role in the vitality and attractiveness of the Borough's town centres. The 2013 Waverley Town Centres Retail Study Update confirmed that all four of the Borough's town centres are healthy, vital and viable. Waverley's town centres offer a good mix of shops; services; and bars and restaurants, with many small, independent shops but also good representation from national retailers and charity shops.

The health and vitality of Waverley's town centres is reflected in their low High Street vacancy rates which range from 4% in Haslemere to 7% in Farnham (**Table 2**). The overall vacancy rate across the four High Streets is approximately 6% which is significantly lower than the UK High Street average of

14%. While the above vacancy rates represent a snapshot of the time they were collected (November 2014) and are subject to frequent change, they indicate healthy High Streets and town centres.

**Table 2: High Street vacancy rates<sup>2</sup>**

Town	Retail premises	Vacant	Vacancy rate
Farnham	270	20	7%
Godalming	195	9	5%
Haslemere (not including Weyhill)	116	5	4%
Cranleigh	109	7	6%
<b>Total</b>	<b>690</b>	<b>41</b>	<b>6%</b>

Source: Waverley Borough Council

## Employment land

Waverley offers a range of employment premises including 45 business parks and industrial estates, which provide flexible and secure accommodation for both start-up firms and more established, smaller businesses.

According to Valuation Office Agency data, Waverley has approximately 264,000 square metres of employment floorspace including office, industrial, and warehousing and distribution floorspace. Reflecting the Borough’s business base, most of the demand for business premises originates from smaller businesses and consists mainly of demand for small-medium sized units.

While the Borough is constrained in its ability to provide significant levels of new employment land, the 2014 Employment Land Update Study identified a number of potential sources that could bring forward new employment floorspace including currently vacant floorspace of approximately 28,000 square metres, short to medium term undeveloped opportunity land totalling approximately 6 hectares, and land with scope for intensification over the medium to long term totalling approximately 4 hectares.

## Local and sub-regional policy context

### Waverley Borough Local Plan (2002)

The Council is currently in the process of preparing its new Local Plan which will replace the existing Local Plan adopted in 2002. Over time, the policies of the Local Plan will be replaced by those in the new Local Plan but until that point, the “saved policies” (as of September 2007) of the 2002 Local Plan will continue to be part of the development plan.

The vision of the Local Plan is to help maintain and improve the quality of life in Waverley, providing for homes, jobs, infrastructure and services without undermining the Borough’s environmental quality.

Town centres are of particular importance and the Plan seeks to maintain and enhance their role as the focus of shopping, commercial and social life in the Borough. The Plan recognises that all four of Waverley’s town centres are historic and relatively small in scale and that they have scope to accommodate only limited development. It emphasises the importance of safeguarding the character and quality of each town centre and identifies retail, leisure and commercial uses as the most appropriate for town centre locations.

In terms of industry and commerce, the Plan adopts an approach that ensures that new economic development takes place in a manner which complements and enhances the environment. The Plan seeks to safeguard existing suitably located industrial and commercial land, promote appropriate redevelopment and more intensive use of existing sites, and encourage opportunities for suitable new development. A key consideration for any proposed new development should be whether it will adversely affect the character or function of the locality.

<sup>2</sup> These figures are for the four High Streets only and do not include less prominent or smaller shopping streets and parades in places such as Farncombe and Weyhill. The Council is aiming to do a wider survey or retail vacancy rates in the future.



### Waverley Economic & Community Development Framework 2007-2012

Waverley's Economic & Community Development Framework 2007-2012 was adopted in 2007 as the basis for Waverley's economic and community development activities. While the Framework only covered the period to 2012, it outlined the Council's commitment to building prosperous and cohesive communities where people want to live and work and where businesses want to invest.

The Framework reflected the Council's top priorities of:

- Protecting and enhancing Waverley's unique mix of rural and urban communities;
- Improving the quality of life for all residents;
- Improving and supporting opportunities for all to take part in sport, recreation and culture; and
- Ensuring all of the Council's activities are customer focused and provide good value for money.

Key objectives included ensuring businesses engagement and support; promoting tourism within Waverley; supporting local training and skill providers to match skills with business needs; addressing rural economy issues; and ensuring wider access to Broadband particularly in rural parts of the Borough.

### Waverley Employment Land Review Update 2014

The 2014 Employment Land Review Update (ELR) highlighted the fact that Waverley has historically recorded low levels of employment growth, as the Council's policies have mainly focused on preserving the character of Waverley's market towns. It considered that this is likely to continue to be the case over the coming years resulting in relatively modest levels of employment growth and therefore additional employment land requirements.

According to data from Estates Gazette's EGi database, Waverley has approximately 28,200 square metres of B-class floorspace that is being actively marketed. The majority of that floorspace falls under the B1a/b use class (offices, and research and development). By using EGi and VOA data, the ELR estimated a vacancy rate of 11% across all B-class floorspace in the Borough. This is considered to be at the higher end of the acceptable level of vacancy which allows for churn and choice in the market.

According to the ELR, employment growth is mainly expected to come from B1 sectors and primarily from small and medium sized enterprises. The projection of past employment growth trends suggests that Waverley will have no net additional employment land requirements over the period to 2031, with the projected increase in B1 demand balanced out by the forecast decline in B2 and B8 land requirements.

A key challenge for Waverley therefore, will be to safeguard its good quality employment sites in order to be able to meet the needs of local businesses while releasing surplus industrial and warehousing land that is not fit for purpose in order to help relieve the Borough's strong housing pressures.

### Draft West Surrey Strategic Housing Market Assessment (December 2014)

The Draft West Surrey Strategic Housing Market Assessment (SHMA) provides an assessment of the need for housing across Guildford, Waverley and Woking. It makes no judgements regarding future policy decisions as these are the responsibility of the three Borough Councils.

The SHMA notes the strong relationship between Waverley and Guildford with over 7,700 people per day travelling from Waverley to Guildford for work and 3,720 in the other direction. It also notes that Waverley has the highest median house prices in the Housing Market Area (HMA) with a high proportion of detached homes and a high proportion of larger homes with four or more bedrooms.

The SHMA highlights the fact that Waverley has a low proportion of people aged between 20-35, and higher proportions of people in all age groups over 45. The Borough also has low levels of ethnic diversity.

The SHMA considers that the 2012-based Sub-National Population Projections (SNPP) that project a 13.1% growth in Waverley's population over the period 2011-2031 are sound. It notes that levels of

net internal migration are expected to increase in Waverley over time as a result of the strong growth in older age groups and therefore a likely decline in out-migration relative to in-migration.

Based on the SNPP projections, the SHMA estimates a need for 477 homes per year in Waverley between 2011-2031. In terms of affordable housing need, it identifies that 337 additional households per year will require support in meeting their housing need and concludes that given current mechanisms for funding affordable housing provision, it is unlikely that it would be feasible to deliver sufficient overall housing provision to fully meet this need.

Adjusting the above housing need projections to account for growth in the student population and younger households, the SHMA concludes that Waverley's overall need for housing over the 2011-2031 period is likely to be between 512 – 649 homes per year. The SHMA notes that these conclusions are draft and will be reviewed when the Government publishes the 2012-based Household Projections.

The 512 dwellings per year need projection is based on demographic projections while the 649 dwellings per year projection is based on the Experian employment forecasts presented in the 2014 Employment Land Update Study. As the Employment Land Study noted, the Experian forecasts project employment growth levels significantly higher than the extrapolation of historic employment growth trends. Therefore, the higher end of the SHMA's housing need range assumes a level of economic growth that is above that experienced in the past and may not be realistic.

### **Enterprise M3 Strategy for Growth (Strategy and Action Plan) 2013**

The Strategy outlines the Local Enterprise Partnership's vision for the sub-region. The vision is to be *"the premier location in the country for enterprise and economic growth balanced with an excellent environment and quality of life"*.

The Strategy sets key targets around increasing productivity, jobs and business start-ups as well as business growth and development. It also recognises the important role of transport and broadband infrastructure for enabling economic growth. The LEP's key economic targets include:

- Creating 25,000 jobs by 2020;
- Increasing GVA per head from 8% to 10% above the national average; and
- Adding an additional 1,400 businesses per annum.

However, the Strategy does not identify Waverley as a strategic location for employment growth. The LEP's Commercial Property Market Study (April 2013) identifies the sub-region's key market ready sites and key investment potential sites in locations such as Farnborough, Staines, Andover, Basingstoke and the Blackwater Valley.

### **Socio-economic baseline and policy context implications**

The analysis of Waverley's socio-economic profile shows the Borough to be a prosperous, attractive and well-performing place to live and work. The Borough performs well across most socio-economic indicators, with a small but thriving economy and highly successful town centres.

The Council has successfully pursued a policy of managed growth which has helped Waverley retain its unique character, excellent environmental quality and high quality of life while supporting businesses and the vitality of the Borough's town centres.

The continuation of these policies is aligned to the local and sub-regional policy context with the key challenge remaining the achievement of a balanced approach to housing and employment that does not adversely affect the Borough's character and attractiveness.



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LOCAL NECTARINES 2.00  
LOCAL MANGOES 60c  
LOCAL BERRIES 1.50  
LOCAL MEDJOL DATES 3.50  
LOCAL PINEAPPLES 1.00  
LOCAL WATERMELONS 1.00  
LOCAL CUCUMBERS 1.00  
LOCAL ZUCCHINI 1.00  
LOCAL CARROTS 1.00  
LOCAL POTATOES 1.00  
LOCAL ONIONS 1.00  
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LOCAL HERBS 1.00  
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LOCAL SWEET POTATOES 1.00  
LOCAL SQUASH 1.00  
LOCAL PUMPKIN 1.00  
LOCAL BUTTERNUT SQUASH 1.00  
LOCAL CABBAGES 1.00  
LOCAL BRUSSEL SPROUTS 1.00  
LOCAL CAULIFLOWERS 1.00  
LOCAL BROCCOLI 1.00  
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LOCAL SPINACH 1.00  
LOCAL KALE 1.00  
LOCAL LETTUCE 1.00

## 2. Economic strengths, weaknesses, opportunities and threats

### SWOT analysis of Waverley's economy

The development of Waverley's economic strategy needs to be grounded on a thorough understanding of the Borough's strengths, weaknesses, opportunities and threats (SWOT). This section presents a SWOT analysis of the Borough's economy.

Strengths	Weaknesses
<p>Waverley has a <b>diverse economy, a strong SME business base, a highly skilled and qualified population, and low levels of unemployment.</b></p> <p>Waverley has <b>vibrant and attractive town centres</b> which form the heart of the Borough's economy.</p> <p><b>Retail and education</b> are key sectors. The Borough is home to a number of large independent schools such as Charterhouse and Cranleigh School.</p> <p>Waverley's <b>attractive rural nature is an important feature.</b> Waverley benefits from areas of outstanding natural beauty and associated rural attractions. These include the Rural Life Centre (Farnham), Winkworth Arboretum (Godalming), Sculpture Park (Farnham), Open Air Museum (Farnham) and Devil's Punchbowl.</p> <p><b>The University for the Creative Arts (UCA) is located in the Borough.</b> The University has over 2,000 students studying a wide range of creative arts subjects including Fine Art, Photography, Textiles, Crafts, Film, Graphics, Journalism, and Advertising.</p> <p>The <b>historic revival of the arts and crafts movement</b> in Waverley Borough. There are a variety of businesses across the Borough engaging in activities such as pottery, art textiles and glass making. The Maltings is a successful key location for some of these types of arts and crafts activities.</p> <p>Waverley's towns offer a <b>number of tourism attractions</b> that attract visitors from within and outside the Borough. These include Farnham Maltings, New Ashgate Gallery, Farnham Castle, and museums in Haslemere, Farnham and Godalming.</p>	<p>Waverley has several large centres. This includes the three large towns of Farnham, Haslemere and Godalming and the large village of Cranleigh. As a result, other neighbouring Boroughs can concentrate their resources into once location, whilst <b>Waverley Borough has to coordinate its resources across several locations that are under different town council management.</b> This has the benefit of town councils having in-depth knowledge of local needs that reflect each settlement's unique role and characteristics. But it can also create increased bureaucracy and result in competing/different priorities.</p> <p>Furthermore, <b>Waverley Borough has four different chambers of commerce.</b> While this enables each chamber to have its fingers on the pulse of the local economy and fully understand the needs of local businesses, it also makes economic logistics more difficult in comparison to other neighbouring boroughs that typically have one chamber of commerce.</p> <p><b>Broadband infrastructure is weak in some parts of the Borough, particularly rural areas</b> (although the issue is being addressed by the Superfast Broadband project that is being rolled out by the Surrey Economic Partnership).</p> <p><b>In parts of the Borough, transport infrastructure is either lacking or stretched in terms of capacity,</b> necessitating further investment and improvements.</p> <p>Existing <b>industrial areas are under pressure from housing development</b> as residential development attracts higher returns for developers compared to commercial uses.</p>

Opportunities	Threats
<p><b>Ensuring the vitality and viability of Waverley’s town centres is important.</b> The Borough’s town centres already benefit from a range of retail businesses and tourism attractions that should be protected and enhanced. The Council should continue to look at ways to maintain the vibrancy of the town centres and develop initiatives that will encourage more people to visit them (e.g. lower car parking charges).</p> <p><b>Strengthening business links with the University for the Creative Arts</b> could lead to secondment/industry placements and future employment opportunities for local students.</p> <p>Waverley has a high proportion of business start-ups and supports a large concentration of small businesses and home-working. Whilst Enterprise First does provide some support (across the Surrey region) there is opportunity for the Council to <b>better engage with small businesses.</b></p> <p>There is opportunity to <b>diversify hotel activities.</b> The larger hotels could expand their offering, e.g. hosting an evening restaurant and enhancing reputation as a wedding location. This could provide local employment opportunities and also serve local tourism needs. There is also an identified need for more budget accommodation options such as B&amp;B’s and low cost hostels.</p> <p>There is a need and an opportunity to enhance the well-being of rural communities by <b>protecting community and social facilities, such as pubs and post offices in rural areas.</b></p>	<p>The demographic profile of Waverley’s population is changing with a <b>decline in the proportion of residents of working age.</b></p> <p><b>High property prices in Waverley are pricing out key workers such as nurses, teachers and care workers.</b> As a result, some employers are finding it difficult to recruit. In addition to affordable housing options for key workers, it is important (like elsewhere in the country) that there is affordable workspace for smaller businesses in Waverley.</p> <p><b>Future population and employment growth (even relatively small levels of growth) will place further pressure on the Borough’s existing transport infrastructure.</b> This necessitates the delivery of transport infrastructure improvements, particularly in areas that are currently lacking or near capacity.</p> <p>Retail is a key sector of Waverley’s economy and a key prerequisite to the continued vibrancy of its town centres. <b>Waverley’s High Streets (much like High Streets across the country) face a number of challenges including the continued growth of internet shopping, high rents etc.</b></p> <p>Furthermore, the image and attractiveness of town centres is threatened by <b>perceptions about a declining mix of independent retailers and the proliferation of certain retailers</b> (e.g. coffee shops, charity shops etc.).</p>

### 3. Waverley's economic vision and objectives

Waverley is a highly attractive place to live, work and recreate. This is a result of the high quality of its environment, the unique character of its towns and rural areas and the Borough's balanced levels of housing and employment growth. The Council's vision is that:

***Waverley will enjoy continued economic prosperity and diversity while safeguarding and enhancing its attractive character and high quality of life.***

The Council's top priority is therefore to **safeguard and enhance the Borough's attractive character and high quality of life**. High levels of housing or employment growth would threaten Waverley's character and unique characteristics and would ultimately damage its economy.

The Council's focus will continue to be **maintaining and enhancing the attractiveness and vitality of the Borough's town centres**.

The above do not mean that the Council is negative towards any proposals for employment growth. It will continue its successful approach of **supporting modest levels of employment growth** at the appropriate locations and without compromising what makes Waverley special. The Council will **make best use of its existing supply of employment land to accommodate small levels of employment growth in key growth sectors** so that there is a balance between population and employment growth.

At the same time it will fully explore opportunities for higher levels of mixed use development and growth in appropriate locations that would not adversely affect the character and vitality of its towns or rural areas.

The Council has an excellent record of **engaging with local businesses and offering business support**. It will continue to do so, helping business start-ups and supporting existing businesses.

A key factor for any successful, modern economy is the provision of **high quality infrastructure**. The Council will continue working with its partners (including the Local Enterprise Partnership and the private sector) to maintain and improve the Borough's infrastructure, especially in terms of **transport and broadband**.

Waverley has high levels of commuting, both outwards and inwards. In general, many Waverley residents commute out of the Borough to access higher paying jobs while many people commute into the Borough to fill lower paying but vitally important jobs such as nurses, teachers, police officers and firefighters. Given the high average cost of housing in the Borough, it is important that Waverley is able to **provide affordable housing to key workers**, as they are vital to the continued prosperity of the Borough and its economy.

#### **Objective 1 - Safeguard and enhance the Borough's attractive character and high quality of life**

The Council has a successful track record of safeguarding and enhancing Waverley's attractive character and high quality of life and this should continue to be its focus. The Council will continue to plan for appropriate levels of development in the Borough's towns and rural areas so that they can continue to be attractive and successful places to live, work and recreate.

Safeguarding Waverley's character and environmental quality goes beyond maintaining the Borough's heritage and quality of life. These are key factors for the success of the Borough's economy and failure to safeguard them is likely have an adverse economic as well as environmental effect.

Promoting the rural economy (through supporting arts and crafts fairs, farmers markets and protecting community and social facilities such as pubs and post offices in rural areas) will benefit local people and domestic tourism in the Borough.

The SHMA identifies a significant level of additional housing need in the Borough over the period to 2031 but it will ultimately be up to the Council to decide what level of housing is appropriate for the Borough.

## Objective 2 – Maintain and enhance the attractiveness and vitality of main settlements

Waverley's town centres are not only vital to the Borough's economy, they are the heart of the local communities. They accommodate a wide range of businesses, with many small independent businesses, a range of national multiple retailers, a number of charity shops and a variety of services.

The review of High Street vacancy rates indicates the Borough's town centres are performing well but, as is the case across the country, town centres are facing increased competition from online retailers and there can be a perception that they are in decline. The Government's recent announcements regarding the reform of business rates is likely to give a boost to town centres but the Council should continue to focus on maintaining and enhancing the attractiveness and vitality of the Borough's town centres.

While a mix of uses (including residential) is important for successful town centres, the vitality and viability of town centres could be threatened by an over-concentration of non-retail uses. The Council will continue to support retail as the main town centre use and work with the Chambers of Commerce and town centre businesses to develop and implement events and initiatives that will increase footfall numbers. Such activities include town days, Small Business Saturday days and free parking events. An example is the new free parking scheme that the Council, in consultation with the Chambers of Commerce, is preparing to trial (on an initial pilot basis for three months). This will provide free parking on one afternoon a week in selected car parks in each town.

Compete on the Street is a programme to improve customer service amongst high street retailers, and was run successfully in Godalming in 2014 through a joint partnership between Godalming Town Council, Waverley Borough Council and Godalming Chamber of Commerce. A team of mystery shoppers visited over 40 retailers who wanted to be part of the scheme. Experts gave them constructive feedback and advice on improving customer care. Waverley is offering the programme to the other towns in 2015

The Borough's High Streets are of good quality but there is always scope for further investment and improvement. The Council is supporting Town Team partners with finance won from DCLG Portas bids in Godalming, Farnham and Cranleigh to improve High Streets and it is important that town centres receive regular investment to maintain their attractiveness and competitiveness.

The Council would also look favourably on the prospect of any towns considering forming a Business Improvement District<sup>3</sup>, and would run the ballot that would decide whether eligible businesses support such a scheme.

## Objective 3 – Provide high quality infrastructure

Broadband is a key part of the modern economy, and is particularly important for people that work from home or remotely from their offices. Broadband internet access is important to most of today's businesses but is especially important to small businesses and business start-ups as it can open up significant new markets, reduce costs and enable entrepreneurial activity. Given Waverley's high proportion of small businesses and its higher than average proportion of younger businesses, broadband access is a key economic priority.

The Council appreciates the critical importance of good broadband access and is currently working closely with the Surrey Economic Partnership, Surrey County Council and the Local Enterprise Partnership to complete the roll out the Superfast Broadband project which is bringing broadband to rural parts of the Borough.

Transport infrastructure is also of critical importance to Waverley's economy. Parts of the Borough benefit from excellent transport links to London and the major airports but there is scope for further improvement to transport infrastructure.

The Council recognises that while good progress has been made in rolling out superfast broadband, the delivery of transport infrastructure improvements is a more complicated and strategic issue. Because of the strategic, cross-border nature of transport infrastructure, the Council alone cannot deliver significant transport improvements. It will continue to work with M3 LEP partners to maximise

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<sup>3</sup> A BID is a business-led and business funded body with the aim of investing collectively to improve a defined commercial area.

the benefits of membership of the M3 LEP and secure a share of the Government's planned investment in transport infrastructure, where the opportunity arises. However, the Council recognises the LEP has prioritised other parts of the sub-region for transport investment. It will therefore continue to explore other ways of funding infrastructure improvements, including developers' contributions where appropriate.

In conclusion, the Council will continue to engage with local businesses to fully understand their needs and will work closely with its partners and the private sector to deliver high quality, modern infrastructure.

### **Objective 4 – Manage employment growth and continue to encourage higher skilled and well paid jobs**

Waverley has historically recorded relatively low levels of population and employment growth. This reflects a number of factors such as the character and rural nature of the Borough, the demographic profile of its population, the high average house prices, the constraints on the land available for development and the low demand from businesses to relocate to Waverley<sup>4</sup>.

While other districts face pressing challenges to diversify their economies, Waverley already has a diverse business base, which includes many small and medium sized enterprises operating across a range of industry sectors. This, in combination with the Borough's high levels of economic prosperity, means there is no strategic need to pursue high levels of growth.

While the Council is keen to manage employment growth levels so that they do not adversely affect the Borough's character and environmental quality, it will maintain a positive outlook towards exploring opportunities for employment growth in appropriate locations with an emphasis on higher skilled well paid jobs.

The Borough will aim to make full use of its existing supply of employment land to accommodate levels of employment growth in line with past trends. The 2014 Employment Land Review Update concluded that Waverley has sufficient land supply to meet trend-based needs over the period to 2031. The former Dunsfold Aerodrome (Dunsfold Park) may present an opportunity for potentially significant levels of mixed use development that the Council would consider.

Key employment sectors over the coming years are likely to include the service industry (including retail, food and drink, and leisure) and office-based sectors such as information and communication, and public services. There are also mutual opportunities to be gained from strengthening links between local businesses and the University for the Creative Arts (e.g. greater sharing of knowledge between local businesses and students, secondments and industry placements, and potential employment opportunities).

The Borough has the potential to further explore the benefits of the visitor economy, including forging stronger links with Visit Surrey to take advantage of additional publicity for Waverley's large scale events and activities. The main focus will be on attracting day visits and providing events and attractions that can be enjoyed by local residents.

The Borough enjoys high levels of home working and this trend is likely to grow further in future years. This reduces the need for physical employment space, reduces demand on Waverley's transport infrastructure, and encourages more day to day spend from these workers in local shops and the wider economy. However, it places a greater emphasis on the need for high quality broadband and telecommunications infrastructure and locally delivered business support services.

### **Objective 5 – Support businesses**

The Council has a good track record of supporting local businesses and it is important that it continues to engage with them, understand their needs and offer high quality business support.

As part of its business support plan, the Council has had a Service Level Agreement with Enterprise First for several years. Enterprise First is a not for profit organisation that provides free business

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<sup>4</sup> An example of this is that the World Wildlife Fund (WWF) left Waverley to move to a more attractive environment for their business but there has been no interest from other businesses to move into the vacated premises.



advice to local start-ups on behalf of the Council. Its offer includes a variety of free programmes and support for businesses, including practical workshops on marketing and finance and annual “Ask the Expert” events where people thinking of starting a business can put questions to a panel of experts on various subjects such as accountancy, law, social media, and many council services such as business rates and planning.

The business support provided by Enterprise First has been well received by local businesses (a case study is presented in Appendix 1). The current agreement runs until the end of March 2017 and it is important that the Council continues to offer local business first class support beyond that date.

Communication with businesses is essential and the Council will continue to communicate with businesses, including sending regular e-bulletins with details of events and news, maintaining and updating its economic development webpages, and publishing regular press releases and articles in Waverley’s Making Waves magazine.

Support for social enterprises is also important both from an economic and a social perspective. Social enterprises are an important part of the community life in Waverley, providing high quality products and services and generating a profit for community benefit rather than private gain. While social enterprises cannot be ‘planted’ in a community, the Council and other bodies (e.g. Surrey Network for Social Enterprise) can create the conditions to encourage them to start up and grow. This can be achieved by providing the information volunteers need to set up a social enterprise, providing training for volunteers and promoting the services of social enterprises.

The Council will also support initiatives to further develop the skills and qualifications of the local workforce. This will benefit both the local workforce and local businesses, as it will make it easier to recruit locally.

The Council will continue to support its successful job clubs initiative, which supports job seekers to find work or training. There are currently two job clubs in Waverley, providing tailored support and advice to those seeking employment. Cranfold Job Seekers’ Club in Cranleigh has been running for over 20 years, open two days a week, assisted by a team of volunteers and supported by a grant from the Council. Over a year ago, the Council also established a job club at Sandy Hill in Farnham, staffed by Waverley Training Services, in partnership with First Wessex. It offers advice in areas such as CV preparation, interview techniques and job search.

### **Objective 6 – Provide affordable housing for key workers**

It is vital to Waverley’s prosperity that it continues to deliver high quality health, educational, care and security services. However, the high cost of living in Waverley is not matched by the typical pay offered by these types of local jobs, particularly those in key service sectors.

The median gross annual pay of people working in Waverley is £26,300 while the median house price is £350,000 and the mean house price is £452,750. This means that the typical house in Waverley costs more than 13 times the typical salary of people working in the Borough.

This creates the crucial challenge of ensuring that key workers are able to find affordable accommodation within the Borough. At present, Waverley has a high proportion of residents commuting out of the Borough to access higher paying jobs while a significant number of workers from outside the Borough commute into Waverley.

The Council will explore ways of ensuring that key workers are able to live and work in Waverley. This is vital not only for ensuring the continued provision of key services but also to enable key workers to set roots in the Borough, become an integrated part of the communities they serve and reduce the staff turnover levels in key service sectors and reduce pressure on local transport infrastructure. .

## 4. Delivering the strategy

### A partnership for success

The Council has a key role to play in the delivery of this economic strategy but its ultimate success will depend on the development of strong partnerships with the private sector and other key stakeholders including the Local Enterprise Partnership, Surrey County Council, national public sector bodies, educational institutions, and training and business support providers.

Key employers (including businesses and schools) and the private sector (e.g. developers) have a key role to play in investing in the local economy, safeguarding existing jobs, creating new employment opportunities and delivering jobs and prosperity in the Borough. The Council has a crucial role to play in supporting and developing business partnerships, engaging with local businesses, understanding their problems and working with them to find efficient solutions. It will use its planning policies to support the continued prosperity of the Borough and maximise its network of partnerships to influence strategic decisions (such as securing investment in local infrastructure improvements).

With local authority budgets likely to continue to shrink in real terms over the coming years, the Council will need to prioritise and manage its resources in a way that maximises the impact of any interventions. The Council is unlikely to be able to achieve the objectives of this Strategy by itself and therefore engaging with, supporting and enabling partners (including the private sector) will be vital to the success of this Strategy.

For the Economic Strategy to remain relevant over time, it must remain organic and evolving. This document does not seek to give all the answers or detail the specific initiatives and actions that need to be delivered over the period to 2020. Rather, it sets the starting point for an ongoing process of honest dialogue and open exchange of ideas between all parties interested in the continued prosperity of the Borough.

The next step will be for the Council to engage with local residents, businesses and key partners to further develop its strategic economic priorities and the delivery approach. The Strategy will be updated on a regular basis (every 1-2 years) to reflect the key messages emerging from the consultation process and the changing economic circumstances.

### Measuring progress

The success of the Strategy will be measured through a range of Key Performance Indicators (KPIs), both quantitative and qualitative. These will include:

- Town centre vacancy rates;
- Town centre footfall numbers;
- Town centre perception surveys;
- Business surveys;
- Business start-up and survival rates;
- Employment numbers;
- Economic activity levels;
- Residence and workplace based earnings levels;
- Broadband coverage; and
- Transport network improvements (including traffic and congestion levels).

It should be noted that the success of the Strategy could be affected by a range of external factors including the state of the national and international economy. Therefore the evaluation of the success of the Strategy will need to be undertaken within that context.

The Council will prepare annual economic reports providing updates of the Borough's economy, including analysis of key socio-economic indicators. The Council will undertake an interim evaluation of its Economic Strategy in 2-3 years' time, and a final evaluation upon the end of the Strategy period. The findings of the evaluations will be used to learn lessons about what has worked well and what could be improved, make adjustments to the Strategy and inform the future economic plans of the Council.



## Appendix 1

Enterprise First business support case study:

The Lavender Hill Company



## Sue Pritchard - Lavender Hill Company

Sue Pritchard worked as a manager in a number of florists for many years, her dream one day to own her own shop.

In 2002 Sue set up her own business preparing and selling wedding flowers from her garage as a Sole Trader and the business 'grew and grew'! After 8 years, Sue and her husband, who worked alongside her with his own furniture restoration business, found they had outgrown their workshop and mainly through personal recommendations, Sue realised there was an opportunity to fulfil her dream.

A unit on a popular parade of shops on the outskirts of Farnham town centre was spotted and the business plan was prepared. During Sue's communication with Waverley Borough Council, she was referred to Enterprise First for FREE business advice.

Sue first met with Henry Green, one of Enterprise First's Business Advisors in January 2011 to discuss how to go about starting up, renting premises and possible funding. Her initial meeting led to a follow up appointment to cover the Business Plan, in particular income and expenditure.

A month down the line Sue returned to Enterprise First once more to finalise her next steps forward and armed with new confidence, contacts and a bucket load of enthusiasm, took on the shop lease which officially opened to the public on the 22<sup>nd</sup> March 2011. Sue still regularly meets with Henry for advice and support for her business.

"Thanks to Enterprise First for the sound and wise information ... and for your friendly and professional help".

<http://www.lavenderhillcompany.co.uk>

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The Lavender Hill Company  
33-35 Ridgeway Rd  
Farnham  
Surrey  
GU9 8NN

07930 760236  
01252 711175





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## Re-employment Policy

<b>Original Policy:</b> December 2014	<b>CMT Date:</b> January 2015	<b>JCC Cons Date:</b>	<b>Exec:</b>
<b>Full Council:</b>	<b>Next Review:</b>	<b>Uploaded:</b>	

# **Re-employment Policy**

This policy exists to explain the approach taken by Waverley to the re-employment of employees who have left the Council with a compensation payment e.g. redundancy.

## **1. Policy**

- 1.1. Any employee who leaves Waverley on the basis of redundancy or early retirement or for some other reason and receives compensation will not normally be re-engaged in any capacity, including as consultants or agency staff, for a period of **two years** from their leaving date. Any re-employment within the two year period will be determined by the Executive Director, in partnership with the Strategic HR Manager, on an exceptional basis and must be approached following the procedure as outlined below.

## **2. Procedure**

- 2.1. Any manager who wishes to employ a former employee, in any capacity, within the two year period must seek approval of the Executive Director who will consider the re-employment on a case-by-case basis, supported by Strategic HR, before making an offer of employment.
- 2.2. In cases where the manager wishes to re-employ an employee, who left within two years due to redundancy or early retirement with compensation, they must make a written application to the Executive Director outlining the full circumstances of the case including;
  - the benefits received by the employee from the Council on leaving the service; and,
  - the reason why the post cannot be filled by other means
- 2.3. When considering whether to re-employ, account must be taken of the financial commitment that has been made by the Council to that employee in the form of redundancy payments, compensation, and early payment of pension or level of on-going pension.

## **3. Re-employment**

- 3.1. In the event that an individual is re-employed they will be treated as new starters and any previous service with the Council or other public authorities will not count towards entitlement to notice periods, sick leave, annual leave, maternity leave, probationary period etc.



## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE EXECUTIVE - 31 MARCH 2015

### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Robert Knowles (Chairman)

Cllr Julia Potts (Vice Chairman)

Cllr Brian Adams

Cllr Carole King

Cllr Tom Martin

Cllr Donal O'Neill

Cllr Stefan Reynolds

Cllr Stewart Stennett

Cllr Adam Taylor-Smith

Cllr Simon Thornton

Prior to the commencement of the meeting, a minute's silence was held in memory of Cllr Gillian Beel who had died the previous week.

160. MINUTES (Agenda item 1)

The Minutes of the Meeting held on 3 March 2015 were confirmed and signed as a correct record.

161. DECLARATIONS OF INTEREST (Agenda item 3)

There were no declarations of interest raised under this heading.

162. QUESTIONS FROM MEMBERS OF THE PUBLIC (Agenda item 4)

The following questions were received from members of the public in accordance with Procedure Rule 10:-

i. from Patrick Haveron of Godalming

"It is both Government and Conservative Party policy that Local Authorities determine their own housing targets. Could the Leader and the Portfolio Holder for Planning explain who in Government keeps writing to Waverley with increased housing numbers?"

The Planning Portfolio Holder replied as follows:-

"The Department for Communities and Local Government (DCLG) guided by the Office of National Statistics (ONS) regularly publish updates to the projections for household and population growth by borough. Each time this is done, Councils are required by the NPPF to consider their ability to meet this alleged need. Councils translate these numbers into housing numbers and distribution. Failure to achieve these numbers can lead to an Inspector finding the Local Plan unsound.

When the Government says that local authorities determine their own needs, it is referring to the landscape, environmental and sustainability issues clarified in the NPPF and NPPG which can act as a constraint on the potential land available for building. Consequently the housing number that is deliverable is reduced.”

ii. from David Beaman of Farnham

"The detailed budget papers for 2015/16 reveal that an estimated £1,662,360 will be received in New Homes Bonus as a direct grant from Central Government and will account for 11.8% of WBC's revenue and represents an increased grant of £279,460 over the final estimate of New Homes Bonus expected to be received in the current 2014/15 year. Why is no reference made to this increased Government grant in WBC's Council Tax information leaflet in which the only statement relates to the reduction in Revenue Support Grant which incidentally is 25% and not almost 30%?"

The Portfolio Holder for Finance responded as follows:-

“Thank you for your question Mr Beaman. I’m sorry but you appear to have got the wrong end of the stick. Waverley has been extremely prudent in its use of the New Homes Bonus and I’ll explain why.

Firstly let me be crystal clear in that Waverley has never made a secret of the New Homes Bonus, in fact, it is a key feature of our published financial strategy. The reason that it is not mentioned in the council tax leaflet is because, unlike many other councils, Waverley do not use it simply to balance our books. Given that the new homes bonus is in fact a short term funding measure with an uncertain future, I’m sure you will agree that this is a very prudent approach by us.

I think Waverley’s policy is to use the new homes bonus to invest in new and improved services and facilities for our residents and we try to ensure that these either reduce running costs or increase income – the leisure centre refurbishments and improvements to the recycling service are two recent examples. The return on our investment using New Homes Bonus at our Leisure Centres equates to some 4.5% which is far in excess of what we could earn in the bank. This policy helps us to balance our budget in the long term which, in the light of major cuts to our revenue support grant, I’m sure you will agree is good news for our council tax payers.

Finally, you have questioned the percentage reduction. I can confirm that Waverley’s revenue support grant, excluding the 2014/15 council tax freeze grant which the Government includes in the total figure, has reduced by £619,000 in 2015/16 which is a 30% reduction compared to the previous year.”

iii. from Jerry Hyman of Farnham

"The word we hear from the City is that the funding offer for CNS' Brightwells scheme is substantially reduced from expected, perhaps only half that necessary, due to the scheme's mix (or 'balance') being commercially unviable without public subsidy, and hence there is concern that to proceed would present a major risk to both council tax payers and to Farnham's environment, as the Council would in effect be requiring that CNS brings forward a major redesign and balancing of the scheme post-commencement.

In such situations, a safeguard exists in the public's ability to resort to the Courts on EIA and Habitats grounds, and also in the legal requirement that the land cannot be disposed of for less than 'best consideration' unless referred to the Secretary of State - but unfortunately the conditional contract appears to allow for financial/viability conditions to be waived, and it is possible that the Council would consider the matter of 'best consideration' in Exempt session, such that the public you serve may be deprived of the benefit of the transparency necessary to ensure probity and legal compliance in relation to the land value; and so in view of these concerns and the expectation of transparency in major public projects, will the Council please assure us that were it to decide to risk proceeding, and if it makes CNS' contract unconditional in order to allow CNS to commence demolition and development at Brightwells, then the terms and financial figures agreed in the Contract (and in particular the land value decided upon) will be made public immediately following such a decision? Thank you."

The Leader of the Council replied as follows:-

"I can assure Mr Hyman that Waverley will follow due process and meet statutory requirements relating to the publication of information supporting a key decision, having regard to commercial sensitivity and the need to protect Waverley's contractual position. Financial and contractual information will be available once the contract with the developer is unconditional. Achieving best consideration is not an option, it is a legal requirement so Waverley will undertake all of the necessary due diligence that is necessary to support a decision of this importance."

## **PART I - RECOMMENDATIONS TO THE COUNCIL**

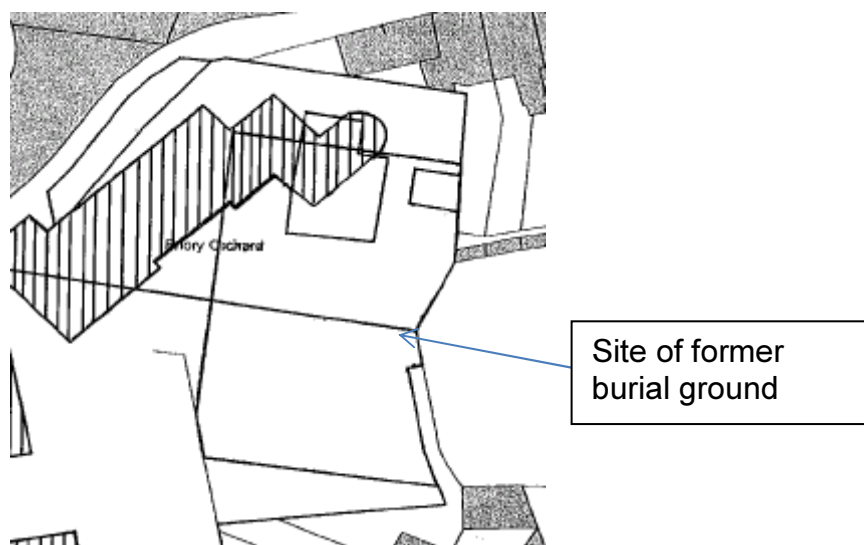
### Background Papers

Unless specified under an individual item, there are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to the reports in Part I of these minutes.

#### 163. STATION ROAD - BUDGET APPROVAL (Agenda item 6)

163.1 In March 2014, the Ministry of Justice issued a licence to allow the excavation of the bones from the former burial ground at Station Road on the part of the site that will be occupied by residential buildings and the immediate surrounding area. The Executive approved an additional budget to enable Surrey County Archaeological Unit (SCAU) to be commissioned to carry out the excavation of this area. They excavated 85 skeletons, which exceeded their 50-60 estimate.

- 163.2 Prior to applying for the licence, Surrey County Archaeological Unit (SCAU) as the contractor has the general preference to remove all the bones within the identified former burial ground, whatever the cost or delay. The options available were considered and it was decided to proceed on a pragmatic staged approach to avoid incurring unnecessary costs and time delays, in consultation with our Employers Agent, and started with the area of the site where all bones were required to be removed because its new use would be for housing.
- 163.3 At that stage, it was accepted that less archaeological works would be required in the adjoining area, which is to be used for gardens and car parking. The excavation that followed revealed that the bones were located closer to the surface in places, due to the sloping ground. As a result the Council has been informed that more extensive excavation is required in other parts of the former burial ground site to enable the construction vehicles and machinery to move around the site and materials to be stored as part of the development process.
- 163.4 In January 2015, Waverley received agreement from the Ministry of Justice to an extension of the current licence to enable the excavation of additional areas of the site and agreed for some of the archaeological remains in the car parking areas, below an approved level, to be left in situ and protected to enable construction. To ensure that things progress as quickly as possible, the Council has instructed W Stirland to appoint Surrey County Archaeological Unit (SCAU) to carry out the next phase of the archaeological excavation works.
- 163.5 Construction vehicles and materials could harm the archaeology so the Council has been required to put the main construction work on hold while this further stage of archaeological works is carried out. Work will recommence as soon as possible once excavation in the key access areas has been completed.
- 163.6 The costs of additional archaeological works and costs incurred as a result of the delays in the delivery programme due to the extended excavation will exceed our current budget allocation and further approval is required. The costs are estimated to be a maximum of £227,000. It is proposed that this amount be vired from the general buy-back provision that is included within the New Homes Capital programme. This additional cost would take the overall budget for the 14 Station Road affordable homes to £2,257,000. This equates to an average build cost of £161,000 per unit. Despite these additional costs, allowing for the known challenges of this site, this average cost per unit is still not excessive compared to current build costs for other sites where the average ranges from £142,000 to £158,000 per unit.



163.7 The Executive

**RECOMMENDS that**

- 68. approval be given to a virement of £227,000 from the general buy-back budget within the New Affordable Homes Capital Programme, to pay for the additional costs associated with the Station Road development, as set out in the report.**

*[Reason: to seek budget approval for abnormal costs to enable the development to progress]*

**164. REVIEW OF CONTRACT PROCEDURE RULES AND FINANCIAL REGULATIONS  
(Agenda item 7)**

164.1 The Financial Regulations and Contract Procedure Rules were last updated in January 2012 and have been reviewed in line with our commitment within the Annual Governance Statement.

164.2 The objective of the review was to ensure that the Financial Regulations and Contract Procedure Rules reflect the current management reporting structure and to support service delivery whilst ensuring our governance arrangement remain secure in relation to risk and statutory compliance.

164.3 The Financial Regulations have been reviewed and proposed changes are shown as tracked changes at Annexe 1. References to management posts superseded in the management restructure have been updated to the current post titles. The following items are drawn to the Executive’s attention for specific review:

- a. A201 scheme of virement: propose to maintain these limits.

Amount	Approval Required
< £500 same service	Budget manager notify Executive Director

£500 to £1,000 same service	Director and Service Head agree with Director of Finance and Resources
£1,001 to £10,000 same service	CMT
£10,000 to £50,000 same service	Executive
< £10,000 between services or between capital/revenue	CMT with agreement of Finance Portfolio Holder
£10,000 to £50,000 between services or between capital/ revenue	Executive
> £50,000	Executive & Council

- b. B203: changed budget monitoring reports to CMT from Bi-monthly to monthly.
- c. C515: “maintain inventories for fixtures, equipment above £200” whilst low value, this limit deters fraud.
- d. C705: translated “Head of OD” to Finance for reporting staffing budget likely overspends.
- e. D108: translate “Head of Information Technology” to Head of Customer IT and Office Services before changing any existing IT based systems.
- f. D203: write off limits for bad debts: propose to maintain the limits as shown in the table below:

Amount	Approval Required
< £25*	Service manager and Internal Audit Client Manager
£25 to £ 5,000*	Director of Finance and Resources
>£ 5,000 up to £ 7,500	Director of Finance and Resources and Executive Director
>£ 7,500	Executive

- g. D227 and 227a: propose to maintain the 30 day invoice payment and 1 days for local suppliers and small businesses.
- h. D238: authorised Signatory list, translated “Head of Exchequer Services” to read Head of Finance.

164.4 The Contract Procedure Rules have been reviewed and proposed amendments are shown as tracked changes at Annexe 2. Public Contract Regulations 2015 were published on 6 February 2015 and come into effect on 26 February 2015. These have been reviewed alongside the CPRs and no amendments are proposed.

164.5 References to management posts superseded in the management restructure have been updated to the current post titles. The following items have been adjusted and are drawn to the Executive's attention for review:

- EU Directives references have been updated to include Public Contracts Regulations 2015 ("the Regulations").
- The CPRs have been updated to reflect the use of Intend as the procurement process. All references to postal and email have been deleted and new procedure implemented for "In-tend" electronic procurement.
- Reference to "Improvement and Efficiency South East" has been deleted as this has been superseded by the In-tend process.
- The same financial thresholds are proposed to continue, with only threshold 4 changing as necessary to comply with OJEU limit changes.

164.6 The financial thresholds for the aggregate value of the contract are currently as follows:

Threshold 1: up to and including £10,000  
Threshold 2: from £10,000 up to and including £25,000  
Threshold 3: from £25,000 up to and including £172,000  
Threshold 4: over £172,000\*

\*Threshold 4 value aligns broadly to the OJEU limit for supplies and services. This will be updated automatically if the OJEU limit changes

EU Procurement thresholds from 1st January 2014 to 31 December 2015 are:

- Supplies £172,514
- Services £172,514
- Works £4,322,012

The EU Procurement thresholds are still current as at February 2015.

164.7 Section 6 has been inserted as follows:

## 6 ELECTRONIC TENDERING (E-TENDERING)

6.1 All quotations and tenders shall be sought using the Council's electronic tendering portal, the South East Shared Services e-Sourcing Portal, provided by 'In-tend'.

The In-tend system captures and records information through out each tender exercise. Therefore requirement to maintain a paper audit trail as specified in previous CPRs has been removed.

No changes have been made to the number of quotes required within each threshold level; the current rules are workable and provide good governance.

Dispatch of invitation to tender rules are updated to comply with the In-tend system, which has templates. These capture information and remove the need for a manual record to be made. Section 12.

Receipt of tendered and quotations has been amended to comply with the In-tend system functionality. Section 13.

Method of opening and recording tenders has been amended to comply with the In-tend system functionality. Section 14.

164.8 In accordance with the Terms of Reference set out in the Constitution, the Audit Committee is required to maintain an overview of the Council's Contract Procedure Rules and Financial Regulations. The Audit Committee reviewed the revised documents at its meeting on 23 March and endorsed the revisions, with no particular observations to submit to the Executive.

164.9 The Executive accordingly

**RECOMMENDS that**

**69. the revised Financial Regulations and Contract Procedure Rules, attached as Annexes 1 and 2, be adopted.**

*[Reason: to review the documents in accordance with the Constitution and agree any revisions]*

165. AMENDMENTS TO SCHEME OF DELEGATION (Agenda item 8)

165.1 The Scheme of Delegation to officers is kept under regular review and this report brings together a number of areas that have been identified by Planning and Housing Services to enable effective and timely actions to be taken, including:-

- Neighbourhood Planning
- Planning Enforcement
- Strategic Environmental Assessments
- Expenditure levels for Housing Operations

**Neighbourhood Planning**

165.2 The Government has recently amended its regulations relating to the production of neighbourhood plans by local communities (town and parish councils in Waverley). For example, it has set statutory time limits for local planning authorities to designate neighbourhood areas. At present, when the Council receives an application from a town or parish council, officers undertake a 6 week public consultation and then take a report to the Executive with a recommendation to approve (or not) the area. The designation process can take 3 months or more in total.



- 165.3 On 9 February, the Neighbourhood Planning (General) (Amendment) Regulations 2015 came into force. From now on, all area applications that follow parish boundaries (the vast majority in Waverley) will need to be designated within 8 weeks, with this period running from the date following that on which the application is first publicised. The period for consultation has been reduced from 6 to 4 weeks. Applications that include land in more than one local authority have to be determined within 20 weeks. All others have to be determined within 13 weeks.
- 165.4 It is considered that area applications that follow parish boundaries should, from now on, be dealt with as a delegated matter, with the decision being made by the Head of Planning after consultation with the Planning Portfolio holder. This is because there would not be sufficient time to continue to take reports to the Executive and allow for the call in period. These area applications are usually straightforward and uncontentious. Other applications (for example those that include parts of more than one parish), will continue to be taken to Executive for a decision, as there will be more time available (and these decisions may be more finely balanced).
- 165.5 It should be noted that The National Planning Practice Guidance (NPPG), the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 and the Local Government Act 2000 allow the Executive to delegate the decision on neighbourhood planning to a committee or others in the authority. If the Government were to make further amendments to the Neighbourhood Plan regulations or guidance relating to the designation of areas, the arrangements for designating Neighbourhood Areas can be reviewed at that time if necessary.

### **Planning Enforcement**

- 165.6 The Scheme of Delegation currently details the following authority:

“77(vi) authority to waive or relax the requirements of an Enforcement Notice in accordance with Section 173A of the Town and Country Planning Act 1990 (or as may be modified, amended or re-enacted)”.

It is proposed that the word ‘withdraw’ be added to this authority as all three of the powers (withdraw, waive and relax) are contained within the provisions of Section 173A of the Act. The reason for this is to ensure that officers can act effectively when necessary and so that the authority is consistent with the legislation.

- 165.7 The withdrawal of an enforcement notice does not affect the power of the local planning authority to issue a further enforcement notice. However, compensation may be payable by the Local Planning Authority to the person on whom a notice was issued if the Enforcement Notice is withdrawn and loss was suffered as a result of the issue of the notice.

### **Strategic Environmental Assessments**

- 165.8 The Scheme of Delegation currently refers to Strategic Environmental Assessments and states:

“To carry out the appropriate Strategic Environmental Assessments pursuant to the SEA Directive and the Environmental Assessment of Plans & Programmes Regulations 2004.”

165.9 It is proposed to change the wording to accommodate the entire process. A screening assessment determines whether a Strategic Environmental Assessment (SEA) is required but does not form part of the SEA itself. This should be included within the scope of paragraph 90 therefore the words “the screening assessment and” be inserted after “To carry out...”. Whilst the paragraph also implies delegation to the Head of Planning, this also needs to be explicit and included in the second column.

165.10 The paragraph which follows paragraph 91 in the scheme but which is not numbered reads:

“To determine whether an Appropriate Assessment is required under the Conservation of Habitats and Species Regulations 2010 (Habitats Regulations) and to undertake such an assessment.”

165.11 Whilst it is implicit that delegated power falls to the Head of Planning, this should be explicit and included within the second column. This should therefore be renumbered as 91a.

### **Expenditure Levels – Housing Operations**

165.12 The Housing Service has a number of high value generic property service budgets for which there are no current delegations to Officers within the Council’s Scheme of Delegation. Consequently, even though the overall budget has been approved, Officers have to return to the Executive seeking approval to spend from those budgets.

165.13 Much of the spend is planned on specific Housing properties and is agreed as part of the annual budget-setting process. However, in a number of the areas the specific demand on the budget is unknown until events happen and action needs to be taken (for example major structure works, the re-servicing of void properties and aids and adaptations). In these situations, the budget exists but no specific approval is in place to spend these large items of expenditure.

165.14 The delay in seeking authorisation from the Executive can result in poor customer service and additional complaints, rent loss and harm to the Council’s reputation. The table at Annexe 3 demonstrates the volumes and amounts of expenditure involved and the requested levels of delegation. To deliver an effective Housing Operations Service, the following delegation is required:

*To authorise the Head of Housing Operations to approve expenditure from specific Council approved budgets up to £30,000 per property.*

165.15 The Head of Strategic Housing and Delivery already has the delegated authority to approve expenditure up to £30,000 under the Private Sector Home Improvement Policy. The proposed delegated authority for the Head of Housing Operations would align the delegated authority in specific major HRA spend to the delegation that already exists for private sector spend.

165.16 If the delegated authority is agreed, the internal process for authorising expenditure will be reviewed so that it will include a formal procedure for appraising all proposed large expenditure. The appraisal will consider the cost of the works in relation to the 30-year rental income for the property, the demand for the property and the development potential for the site. The Executive therefore

## **RECOMMENDS that**

### **70. the Scheme of Delegation be amended as follows:-**

- 1. to delegate the designation of Neighbourhood Area applications that cover the whole of a Parish Council area to the Head of Planning, in consultation with the Portfolio Holder for Planning;**
- 2. to insert the word 'withdraw' into existing Section 77(vi);**
- 3. to insert "the screening assessment and" into paragraph 90, renumber paragraphs to add in 91A and add Head of Planning in the second column; and**
- 4. add the following authority, that the Head of Housing Operations be authorised to approve expenditure from specific Council-approved budgets up to £30,000 per property.**

*[Reason: to agree amendments to the Council's Scheme of Delegation to Officers]*

### **166. GODALMING CROWNPITS CONSERVATION AREA APPRAISAL (Agenda item 9)**

166.1 Godalming Crownpits is one of 43 Conservation Areas (CA) in Waverley. Currently eight Conservation Area Appraisals (CAAs) have been completed (Wrecclesham, Bramley, Farnham Town Centre, Wheelerstreet, Godalming Town Centre, Milford, Chiddingfold and Haslemere).

166.2 In 2011 Executive agreed a programme for the commencement of CAAs. This is the sixth CAA to be completed since the programme commenced. Wheelerstreet was the pilot Appraisal which was used to test the guidance set out by English Heritage. Following successful adoption of the Wheelerstreet CAA, this approach formed the basis of all future CAAs.

166.3 CAAs are undertaken to identify and explain the character of the Conservation Area (CA). This document will identify the specific qualities of the Godalming Crownpits CA and thereby help to manage change within the area. The Management Plan section also identifies a variety of projects that should be implemented to preserve and enhance the area.

166.4 The need to undertake CAA is set out in the Planning (Listed Building and Conservation Areas) Act 1990 (Section 71) and is supported through saved policy HE8 of the Waverley Local Plan. It is therefore considered pertinent for Waverley to undertake CAAs with the aim to appraise the character of each CA; identify the qualities which should be preserved and enhanced, and produce a management plan to include proposals for enhancement where necessary. This process also allows a review of the boundary and an assessment of adjacent areas to evaluate whether the boundary should be extended.

166.5 The CAA for Godalming Crownpits is attached at Annexe 4.

166.6 As part of the consultation process, a walkabout was conducted with Local Councillors and representatives from the Parish Council. A public consultation was undertaken to support the development of the CAA and to ask the public's views of the proposed extensions. The consultation started on 12 December 2014 for six weeks, ending on 23 January 2015.

166.7 The following methods to inform the public of the consultation included:

- Letter to all residents in the CA
- Letter for key stakeholders including:
  - Parish Council
  - Surrey County Council
  - Statutory consultees (English Heritage, Natural England and Environment Agency)
  - Relevant internal Waverley officers
  - Local Councillors

166.8 In addition to the key consultees (English Heritage, Natural England, Godalming Trust and Godalming Town Council) 4 responses were received to the consultation. An additional anonymous response was also received. The responses have been summarised in the Consultation Statement which is attached at Annexe 5.

166.9 The Executive

**RECOMMENDS that**

**71. the Conservation Area Appraisal for Godalming Crownpits be adopted as a material planning consideration.**

*[Reason: to agree the adoption of the Conservation Area Appraisal as a material planning consideration].*

167. DOMESTIC ABUSE POLICY (Agenda item 10)

167.1 Following the death of police officer Heather Cooper, the Safer Waverley Partnership undertook its first Domestic Homicide Review. Out of this came an overview report and action plan. One of the key recommendations was for all organisations, particularly in Surrey, to develop a robust Domestic Abuse policy for their staff.

167.2 The policy at Annexe 6 has been written with reference to Surrey County Council's Domestic Abuse Policy as well as guidance on developing an effective domestic abuse policy from the Equality and Human Rights Commission and the Chartered Institute of Personnel and Development.

167.3 The aim of the policy is to:

- Confirm that Waverley is committed to supporting staff affected by domestic abuse.
- Raise awareness that domestic abuse occurs regardless of gender and that one in four women are likely to experience domestic abuse at some point in their lifetime.
- Raise awareness that 75% of those experiencing domestic abuse are targeted whilst at work.

167.4 The Executive

**RECOMMENDS that**

**72. the Domestic Abuse Policy, attached as Annexe 6, be adopted.**

*[Reason: to adopt a robust Domestic Abuse Policy for staff].*

168. TREASURY MANAGEMENT FRAMEWORK 2015/16 (Agenda item 11)

168.1 At the Executive meeting on 3 February 2015, the Treasury Management Framework for 2015/16 was endorsed, a copy of which is attached as Annexe 7, without being referred to Council for approval. In accordance with the Statutory Code of Practice on Treasury Management, the framework requires approval by the Council and the Executive now accordingly

**RECOMMENDS that**

**73. the Treasury Management Framework for 2015-16 be endorsed.**

*[Reason: to ensure the Treasury Management Framework is approved by the Council as required by the Statutory Code of Practice]*

169. IT DEVELOPMENT TEAM STAFFING - SHAREPOINT (Agenda item 13)

*[This item contains exempt information by virtue of which the public is likely to be excluded during the item to which the report relates, as specified in Paragraph 1 of the revised Part I of Schedule 12A to the Local Government Act 1972, namely:-*

*Information relating to an individual]*

169.1 The delivery of Microsoft Sharepoint solutions across Waverley to replace outdated applications and provide new solutions on a common structured platform which links seamlessly with the Council's corporate office products – Word, Excel and Outlook - remains a key component in the Council's IT Strategy. Adoption of the Microsoft product set has been part of the strategic direction for IT following the move away from the Lotus Notes system and

Sharepoint is fundamental to achieving collaboration in teams and effective information management.

- 169.2 In the current year's budget (2014/15), provision was included to provide a staff resource for a Sharepoint Project Manager post with the key responsibility for driving the change to Sharepoint across all services. However several attempts to recruit to this post, both through normal recruitment channels and via IT agencies, have failed to attract candidates of an appropriate calibre.
- 169.3 Approval is now sought for an alternative solution to providing the appropriate level of Sharepoint resource which largely seeks to capitalise and build on the strengths and talents already present within the IT Development Team, to both deliver the Sharepoint project as well as provide increased resilience and capacity within the IT Development Team.
- 169.4 The IT Development Officer (post number BA03) has recently reduced his part-time hours from 3 days per week to 2 days per week and it is proposed that the resultant saving be allocated towards the net cost of the staffing changes set out in this report. The existing and proposed staffing structures of the IT Development Team are set out in (Exempt) Annexe 8.
- 169.5 The specific proposal is to utilise the skills and expertise of the existing post holder (BI12) to provide management responsibility for the project and the detailed technical knowledge of Sharepoint required (this additional responsibility is not expected to affect the salary level of this post). In support there would be a new post of Sharepoint Officer whose role would be to champion the introduction of Sharepoint, to explain the solution to users and to act as a conduit between the services and IT. The qualities required in this new post are technical i.e. an understanding of Sharepoint and how it works, drive and determination, enthusiasm and a focus on project delivery. The post of Sharepoint Project Manager which as set out above has not been filled would be deleted.
- 169.6 In addition a new Graduate Trainee - IT Development post is proposed to support the delivery and implementation of this project and to provide future resilience to the IT service generally. Whilst these new posts are yet to be evaluated it is anticipated that the Sharepoint Officer post will be pay band 7 and the Graduate Trainee – IT Development post will be pay band 9. The scope of each job as outlined in the relevant job descriptions, will reflect that.
- 169.7 The net result of the proposed changes as set out in the table in (Exempt) Annexe 9 will result in a full year additional cost of approximately £6,500 with effect from 2016/17. In 2015/16 because the appointment of the Graduate Trainee post will be part year only the cost can be contained within the existing budget for the IT Development team. It is proposed that the additional full year cost of approximately £6,500 can be offset by transferring part of the saving that will arise from the proposed deletion of the post of part-time Sustainability Officer (currently vacant) which will achieve a total saving of £13,300 p.a. including on-cost. The Council will still have a full time sustainability officer who will continue to provide support to achieve the Council's priorities in this area.

169.8 The effect on the IT Development Team staffing establishment will be a net increase in staff from 9.6 fte to 10.4 fte i.e. an increase on the establishment of 0.8 staff. However, as set out above, this increase of 0.8 will be further offset by 0.5 fte as a result of the deletion of the part-time Sustainability Officer post (EB08), resulting in a net increase on the overall staffing establishment of 0.3 of a post.

169.9 The Executive

**RECOMMENDS that**

- 73. the proposed restructure of the IT Development Team be approved, as set out in the report, noting that the costs is contained within existing budgets; and**
- 74. the post of part-time sustainability officer be deleted from the establishment.**

*[Reason: to consider a realignment of staff resources to support the development of the Sharepoint product as the corporate information management system and collaboration tool].*

**PART II - MATTERS OF REPORT**

The background papers relating to the following items are as set out in the reports included in the original agenda papers.

170. **EXECUTIVE FORWARD PROGRAMME - APRIL 2015** (Agenda item 5)

RESOLVED that the Executive forward programme for the period April 2015 onwards be adopted.

171. **OCKFORD RIDGE - PROCUREMENT ROUTE AND PRE-DEVELOPMENT BUDGET** (Agenda item 12)

*[This item contains exempt information by virtue of which the public is likely to be excluded during the item to which the report relates, as specified in Paragraph 1 of the revised Part I of Schedule 12A to the Local Government Act 1972, namely:-*

*Information relating to the financial or business affairs of any particular person (including the authority holding that information)]*

RESOLVED that

1. approval be given to proceed with the Homes and Communities Agency (HCA) Delivery Partner Panel 2 framework for the procurement of the Ockford Ridge Project; and
2. £166,000 of the Ockford Ridge capital budget for pre-development costs be allocated for the two show homes on Site C and 16 new affordable homes on Site D.

*[Reason: to consider the use of the Homes and Communities Delivery Partners Panel 2 (DPP2) Framework and agree budget allocation for pre-development costs.]*

172. PROPERTY MATTER (Agenda item 16)

*[This item contains exempt information by virtue of which the public is likely to be excluded during the item to which the report relates, as specified in Paragraph 1 of the revised Part I of Schedule 12A to the Local Government Act 1972, namely:-*

*Information relating to the financial or business affairs of any particular person (including the authority holding that information)]*

RESOLVED that the recommendations set out in the (Exempt) Annexe to these minutes be agreed.

**The meeting commenced at 6.45 pm and concluded at 7.17 pm**

**Chairman**



## FINANCIAL REGULATIONS (wef 14 April 2015)

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# Financial Regulations

## **FINANCIAL REGULATION A: FINANCIAL MANAGEMENT**

### INTRODUCTION

#### **Director of Finance and Resources**

The Director of Finance and Resources 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 1996 or as amended.

The Director of Finance and Resources is responsible for:

- the proper administration of Waverley'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 preparing the medium-term financial strategy
- treasury management
- ensuring arrangements for preventing fraud are in place

The Director of Finance and Resources's responsibilities included in these Financial Regulations relate to the Director of Finance and Resources and any nominated officer representatives.

#### **Executive Director, Directors and Heads of Service**

Executive Director, Directors and Heads of Service are responsible for:

- ensuring that members of the Council are advised of the financial implications of all proposals and that the financial implications have been agreed by the Director of Finance and Resources
- signing contracts on behalf of the authority (see Contract Procedure Rules).

It is the responsibility of Executive Director, directors and Heads of Service to consult with the Director of Finance and Resources and seek approval on any matter liable to affect Waverley's finances materially, before any commitments are incurred.

In relation to these Financial Regulations, the term Director and Service Head covers any officer nominated by a Director and Service Head as their representative and it covers the Director of Finance and Resources's role as a service manager.

## FINANCIAL MANAGEMENT STANDARDS

### **Why this is important**

All staff and Members have a duty to abide by the highest standards of probity in dealing with financial issues including complying with the CIPFA/SOLACE guide on Corporate Governance. This duty is facilitated by ensuring that everyone is clear about the standards to which they are working and that the necessary controls are in place to ensure that these standards are met.

### **Responsibilities of the Director of Finance and Resources**

- A101** To ensure the proper administration of Waverley's financial affairs.
- A102** To set the financial management standards and to monitor compliance with them.
- A103** 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.
- A104** To advise on the key strategic controls necessary to secure sound financial management.
- A105** 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 Executive Director, Directors and Heads of Service**

- A106** To promote the financial management standards set by the Director of Finance and Resources in their services and to monitor adherence to the standards and practices, liaising as necessary with the Director of Finance and Resources.
- A107** To promote sound financial practices in relation to the standards, performance and development of staff in their services.

### **Joint Responsibility**

- A108** To ensure that robust procedures are in place to provide the necessary assurance to the Council about the adequacy of the finance and governance arrangements in place as presented in the Annual Governance Statement.

## MANAGING EXPENDITURE

### Scheme of Virement

#### Why this is important

The scheme of virement is intended to enable budgets to be managed with a degree of flexibility within the overall policy framework determined by the full Council. Virement is a tool to change the intended purpose of a budget and should only be used to assist in the managing of budgets to deliver services, not to cover overspends that have already occurred.

Virements should be considered in conjunction with the budget monitoring process and, at the discretion of the Director of Finance and Resources, virements should be approved in accordance with the table below. In instances where a major item of expenditure or external income is subject to volatility in the year and/or it is the subject of specific monitoring, the Director of Finance and Resources may decide that a virement is not appropriate, provided that Members are kept informed through the budget monitoring and outturn process. Any budget transfer should be treated as a virement with the specified limits being applied.

#### Scheme of Virement

A201 A virement is the transfer of budget provision from any one single budget head to another. All virements must be requested by e-mail to the Chief Accountant and can not be requested after the end of the financial year to which they relate. For the purpose of this scheme, a budget head is a line in the budget book. The following virement limits apply to each individual transfer.

<b>Amount</b>	<b>Approval Required</b>
<b>&lt; £ 500 same service</b>	<b>Budget manager notify Executive Director</b>
<b>£ 500 to £1,000 same service</b>	<b>Director and Service Head agree with Director of Finance and Resources</b>
<b>£1,001 to £ 10,000 same service</b>	<b>CMT</b>
<b>£ 10,000 to £50,000 same service</b>	<b>Executive</b>
<b>&lt; £ 10,000 between services or between capital/revenue</b>	<b>CMT with agreement of Finance Portfolio Holder</b>
<b>£ 10,000 to £50,000 between services or between capital/revenue</b>	<b>Executive</b>
<b>&gt; £50,000</b>	<b>Executive &amp; Council</b>

### **Treatment of year-end balances**

**A202** Overspends of more than £1,000 on any individual revenue budget head will, at the discretion of the Director of Finance and Resources, be carried forward to the following year, and will constitute the first call on that budget in the following year. The Director of Finance and Resources will report the extent of overspendings carried forward to the Executive.

**A203** Planned/Programmed carry forwards on revenue service estimates may occur in exceptional cases where, for reasons outside of the budget manager's control, the budget could not be spent in the year and is still required in the following year for the same purpose. Carry forwards are subject to the approval of the Director of Finance and Resources if less than £5,000 and CMT and Executive if they are over £5,000. **A204** Carry forward requests for underspending on capital schemes will be subject to consideration by the Capital Monitoring Group and approval by the Director of Finance and Resources who will also set a timetable for the scheme's completion.

## **ACCOUNTING POLICIES**

### **Why this is important**

The Director of Finance and Resources is responsible for the preparation of Waverley'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: A Statement of Recommended Practice* (CIPFA/LASAAC), (the SORP) and the *Best Value Accounting Code of Practice* for each financial year ending 31 March.

### **Responsibilities of the Director of Finance and Resources**

**A301** To select suitable accounting policies and to ensure that they are applied consistently and appropriately. The accounting policies are set out in the statement of accounts, which is prepared at 31 March each year.

### **Responsibilities of Executive Director, Directors and Heads of Service**

**A302** To adhere to the accounting policies and guidelines approved by the Director of Finance and Resources.

## **ACCOUNTING RECORDS AND RETURNS**

### **Why this is important**

Maintaining proper accounting records is one of the ways in which Waverley discharges its responsibility for stewardship of public resources. The authority has a statutory

responsibility to prepare its annual accounts to present its operations during the year fairly. These are subject to external audit. This audit provides assurance that the accounts are free from material mis-statement and that the financial statements present fairly the financial position of the Council and its income and expenditure for the year.

### **Responsibilities of the Director of Finance and Resources**

- A401** To determine the accounting procedure and record requirements for the authority. Where these are maintained outside the finance department, the Executive Director should advise the Director and Service Head concerned.
- A402** To arrange for the compilation of all accounts and accounting records within the Director of Finance and Resources's control.
- A403** To comply with the following principles when allocating accounting duties:
- (a) separating the duties of providing information about sums payable to or by Waverley and about 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.
- A404** To make proper arrangements for the audit of Waverley's accounts in accordance with the Accounts and Audit Regulations.
- A405** To ensure that all claims for funds including grants are made by the due date.
- A406** To prepare and publish the audited accounts for each financial year, in accordance with the statutory timetable.
- A407** To administer Waverley's arrangements for under and overspends to be carried forward to the following financial year.
- A408** To ensure the proper retention of financial documents.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- A409** To consult and obtain the approval of the Director of Finance and Resources before making any changes to accounting records and procedures.
- A410** To maintain adequate records to provide a management trail leading from the source of income/expenditure through to the accounting statements.
- A411** To supply information required to enable the statement of accounts to be completed in accordance with guidelines and timescales issued by the Director of Finance and Resources.



## THE ANNUAL STATEMENT OF ACCOUNTS

### **Why this is important**

Waverley has a statutory responsibility to prepare its own accounts to present fairly its operations during the year. The full Council is responsible for approving the statutory annual statement of accounts by the prescribed deadline.

### **Responsibilities of the Director of Finance and Resources**

**A501** To select suitable accounting policies and to apply them consistently.

**A502** To make judgments and estimates that are reasonable and prudent.

**A503** To comply with the Statement of Recommended Practice.

**A504** To draw up the timetable for final accounts preparation and to advise staff and external auditors accordingly.

**A505** To report major changes in requirements to the Audit Committee.

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

### INTRODUCTION

Waverley's constitution requires the full Council to agree the policy framework and budget, which will be proposed by the Executive

### PERFORMANCE PLANS

### **Responsibilities of the Director of Finance and Resources**

**B101** To advise on and supply the financial information for the Corporate Plan and service plans in accordance with statutory requirements and timetables.

**B102** To contribute to the development of corporate and service targets and objectives and performance information.

**B103** To ensure that the Financial Strategy is in line with corporate objectives.

### **Responsibilities of Executive Director, Directors and Heads of Service**

**B104** To contribute to the development of service and performance plans in line with statutory and corporate requirements.

**B105** To contribute to the development of corporate and service targets and objectives and performance information.

**B106** To ensure that systems are in place to measure activity and collect accurate information for use as performance indicators.

**B107** To ensure that performance information is monitored frequently enough to measure success and improvements and to allow corrective action to be taken if targets are not likely to be met.



## BUDGETING

Revenue budget preparation, monitoring and control

### **Responsibilities of the Director of Finance and Resources**

**B201** To establish an appropriate framework of budgetary management and control that ensures that:

- (a) budget management is exercised within annual cash limits
- (b) each Director and Service Head 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 regulations
- (e) each cost centre has a single named manager, determined by the relevant Director and Service Head. 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.

**B202** To submit reports to the Executive and to the full Council, in consultation with the relevant Director and Service Head, where a Director and Service Head identifies unavoidable expenditure not in the approved budget

**B203** To prepare and submit reports on Waverley's projected income and expenditure compared with the budget on a monthly basis to budget managers and to CMT.

### **Responsibilities of Executive Director, Directors and Heads of Service**

**B204** To maintain budgetary control within their departments, in adherence to the principles in B201, and to ensure that all income and expenditure is properly recorded and accounted for.

**B205** To ensure that spending remains within their services' overall budget, 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.

**B206** To prepare and submit to the CMT and Executive reports on the service's projected expenditure compared with its budget, in consultation with the Director of Finance and Resources.

**B207** To ensure prior approval by the full Council or Executive (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 services.

**B208** To ensure compliance with the scheme of virement.

## Budgets and medium-term planning

### **Responsibilities of the Director of Finance and Resources**

**B209** To prepare and submit reports on medium-term budget prospects for the Executive including resource constraints set by the Government.

**B210** To determine the detailed form of revenue estimates and the methods for their preparation, consistent with the budget approved by the full Council, and after consultation with the Executive and CMT.

**B211** To prepare and submit reports to the Executive on the aggregate spending plans of departments and on the resources available to fund them, identifying, where appropriate, the implications for the level of council tax to be levied.

**B212** To advise on the medium-term implications of spending decisions and the adequacy of reserves.

**B213** To encourage the best use of resources and value for money by working with Executive Director, directors and Heads of Service 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.

**B214** To advise the full Council on Executive proposals in accordance with the Director of Finance and Resources's responsibilities under section 151 of the Local Government Act 1972.

### **Responsibilities of Executive Director, Directors and Heads of Service**

**B215** To prepare estimates of income and expenditure, in consultation with the Director of Finance and Resources, Directors to be submitted to the Executive.

**B216** To prepare budgets that are consistent with Waverley's Corporate Strategy, Medium Term Financial Strategy, the annual budget cycle and with guidelines issued by the Executive

**B217** To integrate financial and budget plans into service planning, so that budget plans can be supported by financial and non-financial performance measures.



**B218** In consultation with the Director of Finance and Resources and in accordance with the laid-down guidance and timetable, to prepare detailed draft revenue and capital budgets for consideration by the appropriate committee.

**B219** When drawing up draft budget requirements, to have regard to:

- (a) spending patterns and pressures revealed through the budget monitoring process and the Medium Term Financial Strategy.
- (b) legal requirements
- (c) policy requirements as defined by the full Council in the approved policy framework
- (d) initiatives already under way.

Resource allocation

#### **Responsibilities of the Director of Finance and Resources**

**B220** To advise on methods available for the funding of resources, such as external grants and borrowing and financing requirements.

**B221** To assist in the allocation of resources to budget managers.

#### **Responsibilities of Executive Director, Directors and Heads of Service**

**B222** To work within budget limits and to utilise resources allocated in the most efficient, effective and economic way.

**B223** To identify opportunities to minimise or eliminate resource requirements or consumption without having a detrimental effect on service delivery.

Capital Programmes

#### **Responsibilities of the Director of Finance and Resources**

**B224** To prepare capital estimates jointly with CMT and to report them to the Executive for approval and recommendation to the full Council.

**B225** To prepare and submit reports to the Executive on the projected income, expenditure and resources compared with the approved estimates.

**B226** To obtain authorisation from the Executive for individual schemes where the estimated expenditure exceeds the capital budget for the scheme by more than £20,000 or 10%, whichever is the lesser.

#### **Responsibilities of Executive Director, Directors and Heads of Service**

**B227** To ensure that all capital proposals have undergone a project appraisal in accordance with guidance agreed in Waverley's Capital Strategy.

**B228** To ensure that adequate records are maintained for all capital contracts and



ensure compliance with Waverley's Contract Procedure Rules.

- B229** To proceed with projects only when there is adequate provision in the capital programme and with the agreement of the Executive Director where required.
- B230** To notify the Director of Finance and Resources of any known or potential variation in a capital scheme's costs greater than £20,000 or 10%, whichever is the lesser
- B230a** To report to the Capital Monitoring Group if it is likely that a capital project will underspend or slip against its agreed timetable, particularly if this will result in the project not being delivered in the approved financial year.
- B231** To ensure that credit arrangements, such as leasing agreements, are not entered into without the prior approval of the Executive Director.

## MAINTENANCE OF RESERVES

### **Responsibilities of the Director of Finance and Resources**

- B301** To advise the Executive and/or the full Council on prudent levels of reserves and balances in accordance with the requirements of the Local Government Act 2003, and to take account of the advice of the external auditor in this matter.
- B302** To ensure that reserves are used only for the purpose originally intended.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- B303** To ensure that revenue and capital resources are used only for the purposes for which they were intended.

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

### INTRODUCTION

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

### RISK MANAGEMENT AND INSURANCE

#### **Responsibilities of the Director of Finance and Resources**

- C101** To prepare and promote Waverley's risk management policy statement.
- C102** To include all Waverley employees in a suitable fidelity guarantee insurance.
- C103** To effect corporate insurance cover, through external insurance and internal funding as appropriate, and to negotiate all claims in consultation with other officers, where necessary.

#### **Responsibilities of Executive Director, Directors and Heads of Service**



- C104** To notify the Director of Finance and Resources immediately of any loss, liability or damage that may lead to a claim against Waverley, together with any information or explanation required by the Director of Finance and Resources or the authority's insurers.
- C105** To take responsibility for risk management, having regard to advice from the Director of Finance and Resources and other specialist officers.
- C106** To ensure that there are regular reviews of risk within their departments.
- C107** To notify the Executive Director promptly of all new risks, properties or vehicles that require insurance and of any alterations affecting existing insurances.
- C108** To consult the Director of Finance and Resources and the Solicitor to the Council on the terms of any indemnity that the authority is requested to give.
- C109** To ensure that employees, or anyone covered by Waverley'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.
- C110** To ensure that all contractors or consultants employed have in place adequate insurance, as defined by the Executive Director and head of legal services, to cover the risks associated with the contract.
  
- 111** To identify, evaluate and report on key risks associated with policy decisions and service developments, and in the preparation of service plans, in accordance with Waverley's agreed risk framework agreed in the Risk Management Strategy.
- C112** To identify and evaluate risks before entering any form of partnership with outside organisations or individuals.

## INTERNAL CONTROLS

### **Responsibilities of the Director of Finance and Resources**

- C201** 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, fraud elimination and compliance with laws and regulations.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- C202** 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.
- C203** To review existing controls in the light of changes affecting Waverley and to establish and implement new ones in line with guidance from the Director of Finance and Resources



**C204** To ensure that staff have a clear understanding of the benefits of sound controls.

## AUDIT REQUIREMENTS

Internal audit

### **Responsibilities of the Director of Finance and Resources**

**C301** To ensure that internal auditors have the authority to:

- (a) access all assets, records, documents, correspondence and control systems
- (b) receive any information and explanation from members and staff considered necessary concerning any matter under consideration
- (c) require any employee of the authority to account for cash, stores or any other authority asset under their control
- (d) access records belonging to third parties, such as contractors, when required
- (e) direct the head of paid service, the Executive and the full Council if required.
- (f) access authority premises at reasonable times

**C302** To approve the strategic and annual audit plans prepared by the Internal Audit Client Manager, which take account of the characteristics and relative risks of the activities involved.

**C303** To ensure that effective procedures are in place to investigate promptly any fraud or irregularity.

**C304** To ensure there is effective liaison between external and internal audit.

**C305** To report on the adequacy of the control arrangements in place.

### **Responsibilities of Executive Director, Directors and Heads of Service**

**C306** 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.

**C307** To ensure that auditors are provided with any information and explanations that they seek in the course of their work.

**C308** To consider and respond promptly to recommendations in audit reports.

**C309** To ensure that any agreed actions arising from audit recommendations are carried out in a timely and efficient fashion.

**C310** To notify the Executive Director immediately of any suspected fraud, theft, irregularity, improper use or misappropriation of the Waverley's property or resources. Pending investigation and reporting, the Director and Service Head should take all necessary steps to prevent further loss and to secure records and documentation against removal or alteration.

**C311** 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 Internal Audit Client Manager prior to implementation.

## PREVENTING FRAUD AND CORRUPTION

### **Responsibilities of the Director of Finance and Resources**

- C401** To develop and maintain an anti-fraud and anti-corruption policy.
- C402** To maintain adequate and effective internal control arrangements.
- C403** To ensure that all suspected irregularities are reported to the Internal Audit Client Manager, the Executive Director and the Executive

### **Responsibilities of Executive Director, Directors and Heads of Service**

- C404** To ensure that all suspected irregularities or financial improprieties are reported to the Internal Audit Client Manager.
- C405** To initiate proceedings in accordance with the authority's disciplinary procedures where the outcome of an audit investigation indicates improper behaviour.

## ASSETS Security

### **Responsibilities of the Director of Finance and Resources**

- C501** To ensure that an asset register is maintained in accordance with CIPFA's good practice guide for all fixed assets with a value in excess of Waverley's current asset de-minimis levels.
- C502** To ensure that assets are valued in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice* (CIPFA/LASAAC).

### **Security**

- C503** To maintain a property database in a form approved by the Executive Director for all land, buildings, plant and machinery and moveable assets currently owned or used by the authority
- C504** To ensure that lessees and other prospective occupiers of council land and buildings are not allowed to take possession or gain entry until a lease or agreement, in a form approved by the Director and Service Head in consultation with the Director of Finance and Resources and the Solicitor to the Council, has been established as appropriate.
- C505** To ensure the proper security of all buildings and other assets under their control.
- C506** Where land or buildings are surplus to requirements, the disposal must be considered in accordance with the Contract Procedure Rules.
- C507** To ensure that no Waverley asset is subject to personal use by an employee without proper authority.
- C508** To ensure the safe custody of vehicles, equipment, furniture, stock, stores and other

property belonging to Waverley.

- C509** To ensure that assets are identified, their location recorded in an inventory and that they are appropriately marked and insured.
- C510** To ensure cash holdings on premises are kept to a minimum and are kept securely in accordance with insurance requirements.
- C511** 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 Director of Finance and Resources as soon as possible.
- C512** All asset disposals should be carried out in accordance with the Contract Procedure Rules.
- C513** To arrange for the valuation of assets for accounting purposes to meet requirements specified by the Director of Finance and Resources.
- C514** 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, and that all employees understand that this may be sensitive or privileged, or may possess some intrinsic value, and its disclosure or loss could result in a cost to Waverley in some way.

### **Inventories**

- C515** To maintain inventories and record an adequate description of furniture, fittings, equipment, plant and machinery above £200 in value. Inventories should be kept securely.
- C516** 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
- C517** To ensure that property is only used for the authority's business, unless the relevant Director and Service Head gives permission for other use.

### **Responsibilities of Executive Director, Directors and Heads of Service -**

#### **Stocks and stores**

- C518** To make arrangements for the care and custody of stocks and stores.
- C519** To ensure stocks are maintained at reasonable levels and are subject to a regular independent physical check. All discrepancies should be investigated and reported to internal audit.
- C520** To authorise or write off disposal of redundant stocks and equipment.

Asset disposal

#### **Responsibilities of the Director of Finance and Resources**

- C521** To issue guidelines representing best practice for disposal of assets based on the advice from the Asset Advisory Group.



### **Responsibilities of Executive Director, Directors and Heads of Service**

- C522** To seek the best price in the disposal of surplus or obsolete materials, stores or equipment and ensure that the current Contract Procedure Rules are applied in every case.
- C523** To ensure that income received for the disposal of an asset is properly banked and coded.

### **TREASURY MANAGEMENT**

#### **Responsibilities of Director of Finance and Resources – treasury management and banking**

- C601** To execute and administer all treasury management decisions and act in accordance with Waverley's agreed policy statement and treasury management practices, CIPFA's Standard of Professional Practice on Treasury Management and the Prudential Code. The main requirements are as follows:
- (1) To create and maintain a treasury management policy statement, stating the policies and objectives of Waverley's treasury management activities
  - (2) To create and maintain a set of treasury management practices which state how the policies and objectives will be achieved and how Waverley will manage and control those activities.
  - (3) To report to the Executive and Corporate O&S Committee on Waverley's treasury management policies, practices and activities, including, as a minimum, an annual strategy and plan in advance of the year and an annual report after its close.
- C602** To operate bank accounts as are considered necessary. Opening or closing any bank account require the Executive Directors approval.

#### **Responsibilities of Executive Director, Directors and Heads of Service – investments and borrowing**

- C603** To ensure that loans are not made to third parties and that interests are not acquired in companies, joint ventures or other enterprises without approval of the Executive, after consultation with the Director of Finance and Resources.

#### **Responsibilities of Executive Director, Directors and Heads of Service – trust funds and funds held for third parties**

- C604** To arrange for all trust funds to be held, wherever possible, in Waverley's name. All officers acting as trustees by virtue of their official position shall deposit securities, etc relating to the trust with the Solicitor to the Council, unless the deed otherwise provides.
- C605** To arrange, where funds are held on behalf of third parties, for their secure administration, approved by the Director of Finance and Resources, and to





maintain written records of all transactions.

- C606** To ensure that trust funds are operated within any relevant legislation and the specific requirements for each trust for their intended purpose.

### **Responsibilities of the Director of Finance and Resources – imprest accounts**

- C607** To provide authorised Waverley employees with cash or bank imprest accounts to meet minor expenditure after an assessment of need.
- C608** 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.

### **Responsibilities of Executive Director, Directors and Heads of Service – imprest accounts**

- C609** To ensure that approved 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 Director of Finance and Resources cash and all vouchers to the total value of the imprest amount
  - (d) record transactions promptly
  - (e) reconcile and balance the account monthly; reconciliation sheets to be signed and retained by the imprest holder
  - (f) provide the Director of Finance and Resources with a certificate of the value of the account held at 31 March each year

## **STAFFING**

### **Responsibilities of the Director of Finance and Resources**

- C701** To ensure that budget provision exists to fund all employee costs.

### **Responsibilities of Executive Director, directors and Heads of Service**

- C702** Heads of Service, in conjunction with the Head of OD should produce an annual manpower budget.
- C703** Heads of Service, in conjunction with the Head of Finance should monitor staff activity to ensure adequate control over costs.
- C704** To ensure that the staffing budget is not exceeded without due authority and that the scheme of virement is applied to changes.



**C705** To ensure that the Head of Finance is immediately informed if the staffing budget is likely to be materially over or underspent.

#### PARTNERSHIP RISKS (ALSO SEE SECTION E)

#### **Responsibilities of Director of Finance and Resources**

**C801** To ensure that all service, contractual and financial partnerships have been the subject of a robust risk assessment prior to the Council committing to enter into the partnership, which has considered:

- The responsibilities and commitment of the Council
- Any financial obligations entered into
- The governance arrangements
- Any liabilities or insurance requirements

#### **Responsibilities of Executive Director, Directors and Heads of Service**

**C802** Inform the Director of Finance and Resources prior to committing the Council to any form of partnership

**C803** Complete a risk assessment as described in C801

**C804** Ensure that proper review and monitoring arrangements are in place

**C805** Update Waverley's central register of partnerships

### FINANCIAL REGULATION D: SYSTEMS AND PROCEDURES

#### INTRODUCTION

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

The Director of Finance and Resources is responsible for the operation of the authority's accounting systems, the form of accounts and the supporting financial records. Executive Director, directors and Heads of Service are responsible for the proper operation of financial processes in their own departments.

#### GENERAL

#### **Responsibilities of the Director of Finance and Resources**

**D101** 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 Executive Director, Directors and Heads of Service**

- D102** To ensure that accounting records are properly maintained and held securely.
- D103** To ensure that vouchers and documents with financial implications are not destroyed, except in accordance with arrangements approved by the Director of Finance and Resources.
- D104** 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.
- D105** 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.
- D106** To ensure there is a documented and tested disaster recovery plan.
- D107** To ensure that systems are documented and staff are trained in operations.
- D108** To consult with the Head of Customer IT and Office Services before changing any existing IT-based system or introducing new systems.
- D109** To establish a scheme of delegation identifying officers authorised to act upon the Director and Service Head's behalf in financial matters; including payments, income collection and placing orders.
- D110** To supply lists of authorised officers to the Director of Finance and Resources showing specimen signatures and the limits of the individual's authority, together with any subsequent variations.
- D111** To ensure that effective contingency arrangements, including back-up procedures, exist for all 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.
- D112** To ensure that, where appropriate, computer systems are registered in accordance with data protection legislation following consultation with Waverley's data protection and freedom of information officer. Staff should be made aware of their responsibilities under the legislation.
- D113** 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.
- (d) All staff comply with Waverley's IT Code of Conduct.

## INCOME AND EXPENDITURE

### Income

#### **Responsibilities of the Director of Finance and Resources**

- D201** To agree arrangements for the collection of all income due to the authority and to approve the procedures, systems and documentation for its collection.
- D202** To order and supply to departments all receipt forms, books or tickets and similar items and to ensure that satisfactory control arrangements are in place.
- D203** To agree the write-off of bad debts in all Waverley services according to the following limits:

Amount	Approval Required
< £25*	Service manager and Internal Audit Client Manager
£25 to £ 5,000*	Director of Finance and Resources
>£ 5,000 up to £ 7,500	Director of Finance and Resources and Executive Director
>£ 7,500	Executive

\* Includes the write-back of credit balances

- D204** To report all write-off schedules to the Executive for noting within the budget monitoring reports.
- D205** To establish and initiate appropriate recovery procedures, including legal action where necessary, for debts that are not paid promptly.
- D206** To issue official receipts or to maintain other documentation for income collection.
- D207** To hold securely receipts, tickets and other records of income for the appropriate period.
- D208** To lock away all income to safeguard against loss or theft, and to ensure the security of cash handling.
- D209** 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 paying-in slips to provide an audit trail. Money collected and deposited must be reconciled to the bank account on a monthly basis.
- D210** To ensure income is not used to cash personal cheques.
- D211** Ensure that once raised, no 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.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- D212** 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. Where charges are not included in the approved fees and charges schedule, the proposed charging policy must be determined in conjunction with the Head of Finance.
- D213** To notify the Director of Finance and Resources of outstanding income relating to the previous financial year as soon as possible after 31 March in line with the timetable determined by the Director of Finance and Resources and not later than 30 April.
- D214** Executive Director, directors and Heads of Service have a responsibility to assist the Director of Finance and Resources in collecting debts that they have originated, by providing any further information requested by the debtor, and in pursuing the matter on Waverley's behalf.

### Ordering and paying for work, goods and services

#### **General**

- D215** 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.
- D216** Official orders should only be made by authorised officers and in accordance with the Contract Procedure Rules.
- D217** Official orders must not be raised for any personal or private purchases, nor should the authority's contracts be used for personal or private benefit.

### **Responsibilities of the Director of Finance and Resources**

- D218** To approve the form of official orders and associated terms and conditions having regard to the Contract Procedure Rules.
- D219** To make payments from Waverley's funds provided that the Director and Service Head has authorised the expenditure and certified that the expenditure has been incurred in accordance with financial regulations.
- D220** To make payments to contractors on the certificate of the appropriate Director and Service Head, which must include details of the value of work, retention money, amounts previously certified and amounts now certified.
- D221** To provide advice on making payments by the most economical means.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- D222** To ensure that the department obtains best value from all purchases by taking

appropriate steps to obtain competitive prices for goods and services of the appropriate quality, with regard to the Procurement Strategy and Contract Procedure Rules.

- D223** Official orders must be issued for all work, goods or services to be supplied to the authority, except for supplies of utilities, periodic payments such as rent or rates, petty cash purchases or other exceptions specified by the Director of Finance and Resources in the 'Exceptions to Official Orders Schedule' or otherwise detailed in the Contract Procedure Rules.
- D224** To ensure that official orders are only used for goods and services provided to the service and are raised in accordance with the Contract Procedure Rules.
- D225** 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.
- D226** To maintain an up-to-date list of officers authorised to sign orders.  
The list should include specimen signatures and identify in each case the limits of the individual's authority. The officer authorising 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 as necessary. Best value principles of assessing quality against cost should underpin the authority's approach to procurement.
- D227** To ensure that payment is made within 30 days of receipt of invoice, unless in dispute, and that a proper VAT invoice (if supplier registered) has been received, checked, coded and certified for payment.
- D227a** To ensure that every endeavour is made to pay invoices for local suppliers and small businesses within 10 days
- D228** 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 signed the order, and in every case, a different officer from the person checking a written invoice, should authorise the invoice.
- D229** To ensure that the department 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 Director of Finance and Resources.
- D230** To ensure that payments are not requested on a photocopied or faxed invoice, statement or document other than the formal invoice.
- D231** To notify the Director of Finance and Resources of outstanding expenditure relating to the previous financial year as soon as possible after 31 March in line with the timetable determined by the Director of Finance and Resources and, in any case, not later than 30 April.
- D232** To notify the Director of Finance and Resources immediately of any expenditure to



be incurred as a result of statute/court order where there is no budgetary provision.

## Payments to employees and Members

### **Responsibilities of the Director of Finance and Resources**

- D233** To arrange and control secure and reliable payment of salaries, wages, or other emoluments to employees.
- D234** To record and make arrangements for the accurate and timely payment of tax, superannuation and other deductions.
- D235** To make arrangements for payment of all travel and subsistence claims and members' allowances.
- D236** 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
  - conditions and contracts of employment are correctly applied
  - employees' names listed on the payroll are checked at regular intervals to verify accuracy and completeness.

### **Responsibilities of Executive Director, Directors and Heads of Service**

- D237** To ensure appointments are made in accordance with Waverley's regulations of the authority and approved establishments, grades and scale of pay and that adequate budget provision is available.
- D238** To send an up-to-date list of the names of officers authorised to sign records to personnel, together with specimen signatures. The Head of Finance should have signatures of officers authorised to sign timesheets and claims.
- D239** To ensure that payroll transactions are processed only through the payroll system.
- D240** To certify travel and subsistence claims and other allowances to ensure 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

## TAXATION

### **Responsibilities of the Director of Finance and Resources**

- D301** To complete all Inland Revenue returns regarding PAYE, VAT and the construction industry tax deduction scheme and make the appropriate payments or claims.
- D302** To monitor Waverley's VAT partial exemption position periodically.

### **Responsibilities of Executive Director, Directors and Heads of Service**



**D303** To ensure that the correct VAT liability is attached to all income due and that all VAT shown as recoverable on purchases complies with HM Customs and Excise regulations.

**D304** To ensure that, where construction and maintenance works are undertaken, the contractor fulfils the necessary construction industry tax deduction requirements.

## **FINANCIAL REGULATION E: EXTERNAL ARRANGEMENTS**

### **INTRODUCTION**

Waverley 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**

#### **Responsibilities of the Director of Finance and Resources**

**E101** To advise on the key elements of funding a project including:

- (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.

**E102** To ensure that the accounting arrangements are satisfactory.

#### **Responsibilities of Executive Director, Directors and Heads of Service**

**E103** To maintain a register of all contracts entered into with external bodies in accordance with procedures specified by the Director of Finance and Resources.

**E104** To ensure that, before entering into agreements with external bodies, a risk management appraisal has been prepared.

**E105** To ensure that such agreements and arrangements support the corporate objectives and do not impact adversely upon the services provided by the authority.

**E106** To ensure that all agreements and arrangements are properly documented.

**E107** To provide appropriate information to the Director of Finance and Resources to enable a note to be entered into the authority's statement of accounts concerning material items.

### **EXTERNAL FUNDING**

#### **Responsibilities of the Director of Finance and Resources**

**E201** To ensure that all funding notified by external bodies is received and





properly recorded in the authority's accounts.

**E202** To ensure that the matched funding or sponsored organisation scheme requirements are considered prior to entering into the agreements and that future revenue budgets reflect these requirements.

**E203** To ensure that audit requirements are met.

**E204** To ensure that funds are received from only appropriate sources and that their purpose is clearly documented.

**Responsibilities of Executive Director, Directors and Heads of Service**

**E204** To ensure that all claims for funds are made by the due date.

**E205** To ensure that the project progresses in accordance with the agreed project and that all expenditure is properly incurred and recorded.

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## **Contract Procedure Rules**

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## INTRODUCTION

These Contract Procedure Rules (CPRs) set out the Council's rules and requirements in respect of all matters relating to the advertising, tendering, award and extension (in terms of both time and content) of contracts. They set out the way in which business and relationships with suppliers of goods, works and services should be conducted. They represent the minimum standard required, and may be supplemented as deemed necessary by additional checks and controls by the relevant director or his/her staff.

The Public Contracts Regulations 2015 and separate EU Directives govern the award of higher value contracts. The requirements regarding tendering, notices and negotiations set out in those Regulations and Directives take precedence over the CPRs, but the CPRs should still be applied in an appropriate manner.

**These CPRs should be read in conjunction with the Council's Financial Regulations and officers may act only within the authority specified in the Council's Scheme of Delegation and the Authorised Signatory List, available from the Head of Finance.**

## DEFINITIONS/GLOSSARY OF TERMS

### Supplier/contractor

Both these terms are used to refer to a provider or potential provider of goods, works or services. Once a contract has been placed with a supplier, that supplier may be more precisely referred to as a contractor.

A supplier or contractor may be any form of legal entity and thus includes sole traders, partnerships, consortia, limited companies (private or public), governmental organisations or other public bodies.

### Quotations and tenders

The terms "quotation" and "tender" are used throughout these CPRs. For the purposes of the application of these CPRs the following definitions should be used:

**Quotation:** a price given by a supplier for a specified piece of work, goods or service based largely on the supplier's terms and conditions but with relevant conditions as determined by the Council.

**Tender:** a price given by a supplier in response to a full specification of the goods, works or services required and based upon terms and conditions specified by the Council. These terms and conditions may be as laid out in a commonly used standard form of contract.

The processes for seeking and receiving quotations and tenders are set out within these CPRs. The precise requirements in respect to any specific contract will have to be assessed according to the nature and complexity of the contract as well as its value.

### Responsible Purchasing

The Council's overarching approach to the acquisition of goods and services, ensuring that purchasing decisions are made with the best long-term interest of the environment in mind, particularly having regard to sustainability issues.

## **Specification**

The use of the word 'specification' refers to a statement of the Council's minimum purchase requirements. For illustrative purposes, it includes as appropriate such matters as:

- a) Technical drawings
- b) Recognised international standards
- c) Method of delivery
- d) Terms and conditions of supply and delivery
- e) Responsible purchasing requirements.

## **Professional services ("consultants")**

Consultants are used for a wide variety of purposes. Generally the term is therefore used to relate to the providers of professional skills and expertise which, for whatever reason, cannot be provided by the Council's own staff. Regardless of the role to be played, for the purposes of these CPRs contracts for the provision of professional expertise will be regarded in the same manner as other contracts for the supply of goods, works and services.

Appointment of a person through an employment agency or an appropriate professional body to fulfil duties that otherwise would be performed by a member of staff will not be subject to CPRs. A separate procedure is available from Employee Services concerning this. Engaging a person to undertake a specific piece of work with specific terms of reference is deemed to be consultancy and must be procured in accordance with the CPRs.

## **Contract**

This term is used to refer to any procurement transaction or planned procurement transaction.

## **Contract value**

All references to contract values refer to the estimated value unless otherwise specified. The estimated value is calculated over the entire period of the contract, including the period of any possible extensions to the term of the contract. Where the term of the contract is not known, a term of 4 years must be assumed and applied when calculating the contract value. The calculation of the value must be assessed exclusive of Value Added Tax.

## **Matrix**

Under the requirements of Best Value, a local authority is required to adopt the best option for service delivery. This will be identified as a result of balancing a number of factors as appropriate. The matrix sets a template for evaluating these factors and may be supplemented as appropriate with a scoring and weighting formula. It will be used in this way to identify the best value option.

## **EU Directives on procurement**

These are rules that override these CPRs for large value contracts. EU Directives must be applied once the value of the contract reaches or exceeds the relevant financial threshold. Their application and link to CPRs is outlined above in the introduction. The Directives are implemented into UK law as the Public Contracts

Regulations 2015 (“the Regulations”), and reference to those Regulations in these CPRs includes any subsequent amendments to those Regulations and any replacement Regulations (and amendments thereto). The value of contracts that are subject to these Directives is revised annually and it will be necessary to seek confirmation of current values from the Borough Solicitor.

### **Goods/Works/Services**

A contract will be in connection with the acquisition of one or more of these categories of purchases. The use of one of these terms should be taken to mean all the terms unless expressly stated to the contrary.

### **Relevant Director**

This term is used to denote the Executive Director, Director of Finance and Resources (Section 151 Officer) or the Director of Operations in person. Where an officer from one service is working in circumstances where they are responsible to another service for the purposes of a procurement exercise, then it is that other director who is the responsible director. In some CPRs the Executive Director and the Section 151 Officer are mentioned by title; where this is done, they are not acting as the relevant director.

### **Relevant Head of Service**

This term is used to denote the head of the service responsible for the contract. Where Head of Service is working in circumstances where they are responsible to another Head of Service for the purposes of a procurement exercise, then it is that other Head of Service that is the responsible Head of Service.

### **Relevant Portfolio holder**

This refers to the elected Member of the Council who at the time the procurement exercise is being undertaken is the relevant member of the Council’s Executive responsible for the service in question.

### **Term tender (“call-off contracts”)**

This term is used to describe a contract that is entered into for a specified period but where the total value and quantity of items ordered cannot be quantified at the outset. An example might be a contract for the supply of office stationery. Such contracts may also be referred to as “call-off contracts”. Prices are specified for the duration of the contract, subject as necessary to fluctuation according to agreed formulae.

### **Partnership contracts**

Partnership contracts are designed to enhance cooperation between the Council and a contractor/other parties to the contract. The purpose is to enable services to be reviewed and delivery arrangements amended at various times within the life of the contract. Whilst terms and conditions may require amendment as a consequence, it is not intended that this should impede smooth working and transition to new arrangements should be facilitated. Therefore different arrangements will apply to allow amendment to terms and conditions in a planned and controlled manner.

### **Highest/lowest price**

The term “lowest price” (where payment is to be made by the Council) shall also be taken to mean the highest price (where payment is to be made to the Council).

### **Land and buildings**

Disposal of land and buildings refers to outright sale and long-term leases. It does not include short-term leases of three years or less. The disposal of small parcels of land, such as to private residents for extension of gardens, may be the subject of standard procedures that may be agreed between the relevant director and the Section 151 Officer in accordance with CPR 24.

### **Lists prepared by third parties**

This refers to such lists as “Constructionline” and similar lists of contractors that have been assessed by other organisations.

### **Scheme of Delegation**

This term refers to the Council’s Scheme of Delegation, which specifies the extent to which the conduct of the Council’s affairs is delegated to Council officers. If at any time there appears to be a conflict between the Scheme of Delegation and Contract Procedure Rules, the former shall take precedence.

### **Authorised Signatory List**

This is the list of officers authorised to make financial transactions. Head of Service approval is required before an officer may be included in the List.

### **Financial Regulations**

This refers to the set of rules that govern the way the Council’s finances are administered and controlled. They are maintained by the Section 151 OfficerSection 151 Officer.

### **Section 151 Officer (or Deputy Section 151 Officer)**

This refers to the Council’s Chief Finance Officer, being the officer responsible for the Council’s financial administration as defined by the Local Government Act 1972.

### **Monitoring Officer**

This refers to the officer appointed in accordance with the Local Government and Housing Act 1989.

### **Corporate Management Team**

The Corporate Management Team is the meeting of the Executive Director and Directors, which is advised by Heads of Service and other Officers as appropriate.

### **Open tendering**

Open tendering refers to a situation where all contractors that have expressed an interest in a contract are sent an invitation to tender. It is distinct from selective/restrictive tendering in that assessment of the contractors will take place once the tenders/quotations are received using a questionnaire and an assessment of their financial stability, references and insurances.

### **Selective/restricted tendering**

Selective or restricted tendering refers to a situation where contractors expressing an interest in tendering/supplying a quotation are asked to complete a pre-qualification questionnaire. The completed questionnaire is assessed, and an assessment of the contractors' financial stability, references and insurances is undertaken in order to produce a short-list of contractors that will be invited to tender/provide a quotation.



## **1 EU PROCUREMENT DIRECTIVES**

- 1.1 The decision as to the tendering route, the assessment criteria and the contract advertising and letting timetable shall conform to any requirements set out within the EU Directives and Regulations. The estimated value of the contract shall be assessed over the whole life of the contract.
- 1.2 The need to apply the EU Directives and Regulations is dependent upon a combination of the value of the contract and the nature of the contract. Different value thresholds apply according to whether the contract is in respect of goods, works or services (or a combination).
- 1.3 The relevant Head of Service in conjunction with the Borough Solicitor shall ensure that adequate research into the EU Directives is undertaken to determine whether the Directives and Regulations apply and to enable the contract to be tendered and let in full accordance with the requirements of the Directives and Regulations.

## **2 EXCEPTIONS TO CONTRACT PROCEDURE RULES**

- 2.1 Contract Procedure Rules shall not apply in the following circumstances (N.B. this CPR should be read in conjunction with 2.3):
  - a) Extensions to the duration and/or value of an existing contract, where no extension provision currently exists in that contract, provided that the extension is on the same terms and conditions as the original contract, to a maximum of 2 years unless otherwise required by EU Directives or as stated in the notices placed in the Official Journal of the European Union, subject to
    - the provisions of CPR 2.3, and
    - where the sum of the proposed extension and any previous extension(s) is more than 2 years or 20% in value of the original contract value, the approval of the Executive is required prior to the award of the proposed extension, and
    - there has been a decision of the Council to make adequate budgetary provision that will be sufficient to meet the costs of the extension in any financial year covered by the extension;
  - b) proprietary goods where it can be demonstrated that they can only be obtained from one contractor;
  - c) contracts for the acquisition of property, in which circumstances the Asset Management Team shall advise and seek the approval of the Executive as to the procedure to be followed;
  - d) where, subject to an assessment of the associated risks undertaken in consultation with the Borough Solicitor, the Council is letting a contract on behalf of another public body or partner organisation under the tendering and contract-letting rules and requirements of that other body or organisation;
  - e) where there is insufficient credible competition (the Head of Finance must sign off the competition assessment);
  - f) Variation (additional work) to an existing contract where the variation is outside the scope of the contract but the

circumstances are such that it would be inappropriate to offer the additional work to competition. These circumstances should be documented and this documentation retained on the contract file. The relevant Head of Service shall sign the document(s).

- 2.2 Contract Procedure Rules shall not apply to contracts of employment and orders placed against a call-off or government framework contract.
- 2.3 The agreement of the Section 151 shall be sought prior to awarding a contract or extension to a contract as defined in and under the provisions of CPR 2.1.
- 2.4 In any other circumstances where the relevant Head of Service considers that there is good reason not to obtain competitive quotations or tenders, which are not adequately covered by the exceptions set out in CPR 2.1, a request to seek a single tender or quotation may be made to the Section 151 Officer. Such a request must be supported by the relevant strategic director. The Section 151 Officer shall ensure that:
- the request does not contravene the Council's statutory obligations;
  - the request considers the requirements of CPR 8.8;
  - there is adequate and appropriate reason for awarding a contract without competition;
  - the award of a contract would provide good value for money and shall specify the evidence to be supplied to evidence this;
  - the necessary checks regarding the proposed contractor have been undertaken in accordance with CPR 10.1 (as appropriate) and that the results do not indicate that a contract award presents undue risk to the Council; and
  - An assessment of any associated risks has been undertaken.

The Section 151 Officer may, after consideration of the facts, specify that the request be treated as a request for a waiver in accordance with CPR 3.

- 2.5 Where a contract is awarded under 2.4, the provisions of 2.1 will not apply. Any extension or variation to the contract shall be submitted to the Executive for approval in accordance with CPR 3.

### **3 WAIVERS OF AND VARIATIONS TO CONTRACT PROCEDURE RULES**

- 3.1 In circumstances where there is a demonstrable and justifiable need to waive or vary one or more of these CPRs due to reasons that are not covered by any other CPR, whether this be on the grounds of urgency or the need to utilise an alternative procurement route, the approval of the Section 151 Officer shall be sought by the relevant Head of Service. If the estimated value of the contract in question falls within threshold 3, the S151 Officer will need to consult with the Finance Portfolio Holder and relevant service Portfolio Holder, where appropriate, and the proposal will only continue if their agreement is given. If the estimated value is within threshold 4, the approval of the Executive must be given before it proceeds.

3.2 All requests for a waiver shall be made by e-mail, detailing:

- a) the specific CPRs to be waived/varied
- b) the reasons why a waiver is sought
- c) the proposed course of action
- d) any risks associated with the proposed action

the e-mail will be printed and signed by the requesting officer once approval has been given. In any instance where the relevant Head of Service is required to consult the Section 151 Officer, where the Section 151 Officer is also the line manager of the relevant Head of Service, the Executive Director shall be consulted and their approval or advice sought.

3.3 The approval of a waiver shall be evidenced by the Director of Finance and Resources or annotating the request with “approved” and signing the request in person. This approval document shall be retained by the relevant Head of Service for a minimum of seven years or otherwise as in accordance with the Council’s policy on document retention.

#### **4 JOINT COMMISSIONING, CONSORTIA, TERM TENDERS AND FRAMEWORK AGREEMENTS**

4.1 For contracts estimated to be within threshold 3 and above, where the Council either

- wishes to become party to a contract with a consortium, which has undertaken the task of obtaining competitive prices, or
- seeks to jointly commission a contract with other local authorities or organisations, or
- seeks to jointly deliver services in partnership with other local authorities or organisations

the approval of the Section 151 Officer shall be sought to waive the need to seek additional quotations or tenders or to approve the alternative methodology for obtaining quotations or tenders. The Section 151 Officer shall ensure that the requirements of CPRs and/or the EU Directives have been satisfied. The approval of the Section 151 Officer shall be sought to any alternative CPRs (or equivalent) that shall operate in respect of any joint commissions.

4.2 The use of a term-tender should be made wherever one exists for the purchase in question. Such contracts should be sought wherever regular purchases of a similar nature are made and the level and frequency of purchases warrants the resources necessary to tender such a contract.

4.3 Where an officer identifies a need for an additional such contract, it shall be discussed with the relevant Head of Service. Where the purchases are likely to be made by all departments or more than one Council service a corporate approach must be adopted and Corporate Management Team should give agreement to the terms and conditions of the contract sought.

4.4 Regard shall be paid to EU Directives when preparing a term tender, and tendering procedures shall conform to those regulations.

## **5 FINANCIAL THRESHOLDS**

5.1 Prior to commencement of a procurement exercise, an assessment of the

- the responsible purchasing requirements, and
- estimated value of the contract

must be made by the relevant director, Head of Service or other nominated lead officer. For procurements in thresholds 3 and 4 an explanation of how the estimated value has been calculated must be provided. If external assistance is required to calculate the estimate, this must not be provided by potential contractors for that procurement.

5.2 The assessment of the responsible purchasing requirements shall be undertaken using the guidance provided in the 'Short Guide'. The assessment will enable decisions to be taken, and the completed matrices shall be retained together with a full record of decisions made and the reasons. The matrices shall be used to identify the most appropriate product at the outset, or to aid the selection of the short-listed contractors at the invitation to tender and/or tender assessment stages.

5.3 The CPRs, including the financial thresholds to which reference is made throughout these CPRs, will be reviewed bi-annually. The financial thresholds for the aggregate value of the contract are currently as follows:

Threshold 1: up to and including £10,000

Threshold 2: from £10,000 up to and including £25,000

Threshold 3: from £25,000 up to and including £172,000

Threshold 4: over £172,000\*

\*Threshold 4 value aligns broadly to the OJEU limit for supplies and services. This will be updated automatically if the OJEU limit changes

EU Procurement thresholds from 1st January 2014 to 31 December 2015 are:

- Supplies £172,514
- Services £172,514
- Works £4,322,012

5.4 Where the cheapest quotation or tender received is above the upper limit of the estimated CPR financial threshold and/or any approved budget for the procurement of the goods, works or services, the approval of the Section 151 Officer shall be sought to accept the tender or quotation or for agreement of action to be taken. If the Section 151 Officer decides not to accept the tender or quotation, they shall indicate the course of action to be taken which may involve seeking Member approval.

## **6 ELECTRONIC TENDERING (E-TENDERING)**

6.1 All quotations and tenders shall be sought using the Council's electronic tendering portal, the South East Shared Services e-Sourcing Portal, provided by 'In-Tend'.

## **7 NUMBERS OF QUOTATIONS OR TENDERS REQUIRED**

### **Contracts within threshold 1 in value**

- 7.1 Where the estimated contract value is within threshold 1, a minimum of two alternative quotations must be sought. However, subject to the written approval of the relevant Head of Service and to the requirements of CPR 6.2, one quotation may be sought. The Head of Service may choose to seek additional quotations if appropriate. In the case of recurring procurements for the same goods or services, if the officer wishes to request a quotation from the same contractor for more than two consecutive times then the approval of the Section 151 Officer will be necessary.
- 7.2 Where circumstances suggest that competitive tenders may be required, owing to the nature or complexity of the contract, the tendering methodology should be discussed and agreed with the relevant Head of Service and the Section 151 Officer and the relevant CPRs shall be applied.

### **Contracts within threshold 2 in value**

- 7.3 Where the contract value is estimated to be within threshold 2 in value, a minimum of two alternative quotations must be sought. The Head of Service may choose to seek additional quotations if appropriate. In the case of recurring procurements for the same goods or services, if the officer wishes to request a quotation from the same 2 contractors for more than two consecutive times then the approval of the Section 151 Officer will be necessary.
- 7.4 Where a quotation is sought, competitive prices may be received by the relevant Head of Service via the Council's e-tendering portal. The e-tendering portal records and maintains a record of these facts. Under no circumstances shall the provisions in this CPR be applied to tenders. Tenders shall be received and opened in accordance with CPR 12.
- 7.5 Where circumstances suggest that competitive tenders may be required, owing to the nature or complexity of the contract, the tendering methodology should be discussed and agreed with the relevant Head of Service and the Section 151 Officer and the relevant CPRs shall be applied.

### **Contracts within threshold 3 in value**

- 7.6 Where the contract value is estimated to be within threshold 3, a minimum of three alternative quotations shall be sought in writing via the Council's e-tendering portal. The Head of Service may choose to seek additional quotations if appropriate. In the case of recurring procurements for the same goods or services, if the officer wishes to request a quotation from the same 3 contractors for more than two consecutive times then the approval of the Section 151 Officer will be necessary. Where a tender is appropriate, CPR 6.55 and CPR 12.2 shall apply.

### **Contracts within threshold 4 in value**

- 7.7 Where the contract value is estimated to be within threshold 4, the OJEU procedure must be followed for all procurements of supplies or services. Where the procurement is for works and the value is estimated to be less than

the OJEU limit for 'works', a minimum of four tenders shall be sought via the Council's e-tendering portal.

- 7.8 If the nature of a contract suggests that a quotation is more appropriate than tenders, on the grounds of the straightforward nature of the purchase or contract, then the relevant Head of Service and the Section 151 Officer shall be consulted and the agreement of both obtained in writing before a quotation may be sought.
- 7.9 If a quotation route is agreed, any additional safeguards over and above the anticipated terms and conditions of the contractor identified by the consultation shall be included in the invitation to submit a quotation, and the contractor shall be required to acknowledge these in his quotation.

### **Emergency provisions**

- 7.10 Notwithstanding the waiver provisions contained within CPR 3, where professional services of consultants are required urgently due to unforeseen circumstances, a contract for a value not exceeding threshold 2 may be placed without the need to advertise and obtain alternative quotations or tenders. Where the estimated value is within threshold 3, the relevant Head of Service shall obtain the agreement of the Section 151 Officer to waive the requirement to obtain alternative tenders or quotations, and shall advise the relevant portfolio holder(s) of the actions and make a report to the next meeting of CMT. If no or insufficient budget provision exists to make the emergency procurement, subsequent approval must be sought in accordance with the Financial Regulations and the Constitution. Any extension to a contract so awarded shall be subject to the provisions of CPR 2.3. This provision does not apply to procurements with a value within threshold 4.

## **8 METHOD OF ADVERTISING CONTRACTS OTHER THAN WHERE SELECT LISTS ARE USED**

- 8.1 Where appropriate, advertisements for all forthcoming contracts subject to a tender, excluding contracts to be let using a select list but including applications for admission to a select list as defined in CPR 9.1, and all contracts for which quotations/tenders are to be obtained that are within threshold 4, shall be placed on the Council's e-tendering portal. Contracts subject to a tender that are over threshold 4 in value can also be advertised using the Council's e-tendering portal and may also be placed in either a local newspaper or a relevant trade newspaper or journal.
- 8.2 The advertisement shall provide details of the contract sought, specify a time limit (not being less than 14 days from the latest date of publication of an advertisement) by which time expressions of interest are to be received and the name, address, e-mail address and contact telephone number of the person to whom the expressions should be returned. The advertisement shall also indicate whether or not further details can be obtained and, if so, how they can be obtained.

## **9 METHODS OF TENDERING OTHER THAN SELECT LISTS**

### **Open tendering**

- 9.1 Once the closing date for receipt of expressions of interest has been reached, tender documents shall be dispatched electronically via the Council's e-tendering portal to all suppliers who have expressed an interest in tendering. The contractors shall also be sent a qualification questionnaire seeking information that will enable the suitability of the contractor to be assessed. As a minimum, the information sought shall be sufficient to enable the financial assessment to be undertaken in accordance with CPR 10. An assessment matrix shall also be provided that explains the process and the criteria to be used in evaluating the suitability of a contractor, and the minimum qualification requirements shall be stated.

### **Selective/restricted tendering**

- 9.2 Once the closing date for receipt of expressions of interest has been reached, a pre-qualification questionnaire (PQQ) shall be sent electronically via the Council's e-tendering portal to all suppliers who have expressed an interest in tendering. The pre-qualification questionnaire will seek information to enable the suitability of the contractor to be assessed. As a minimum, the information sought shall be sufficient to enable the financial assessment to be undertaken in accordance with CPR 10. A date by which completed questionnaires are to be received by the Council shall be specified. An assessment matrix shall also be provided that explains the process and the criteria to be used in evaluating the suitability of a contractor, and the minimum qualification requirements shall be stated.
- 9.3 Upon receipt of completed pre-qualification questionnaires, the information shall be analysed; an assessment of the contractor's finances shall only be undertaken if the requirements of the technical assessment have been met. Tender documents shall be dispatched to a sufficient number of contractors as required by CPR 5 that have been assessed as meeting the minimum technical and financial requirements in respect of a contract of the relevant estimated value.
- 9.4 If fewer than the required minimum number of contractors either meet the minimum qualification requirements or express an interest, the relevant director should be consulted to agree whether to seek additional tenderers or to obtain approval from the Corporate Management Team to seek fewer than the minimum required number of tenders.

### **Lists prepared by third parties**

- 9.5 Lists of contractors prepared by third parties (other than consultants acting on the Council's behalf) may be used provided that the criteria for admission to the lists are no less stringent than would have been the case had the Council have sought to prepare the list itself.
- 9.6 The criteria should be set as if the Council were undertaking the assessment in accordance with CPR 10, and sample checks should be undertaken as soon as possible to verify that the correct assessment as to suitability and capability has been made. Invitations to tender shall be sent to the number of

contractors, as required by CPR 5 in respect of a contract of the relevant estimated value, whose names are contained in the list.

- 9.7 Contractors suggested by consultants or other contractors working on the Council's behalf shall be subjected to the same checks and assessments as required under CPR 10.1. The relevant Head of Service shall seek quotations or tenders from at least one contractor who is not suggested by the consultant in addition to any sought from contractors suggested by the consultant. The total number of quotations or tenders sought shall be as required by CPR 5.

#### **Limit on the number and value of contracts awarded to contractors**

- 9.8 Throughout the process of seeking expressions of interest and assessing contractors, the relevant Head of Service shall consider the number and value of other contracts already awarded, or proposed to be awarded, to a contractor. In the interests of probity and risk management no contractor may be awarded a contract if this would mean that 35% or more of the contractor's overall business would be generated from the Council's contracts, unless the approval of Corporate Management Team has been obtained. The Head of Service will need to produce a risk assessment to support the case to be considered by CMT.

### **10 SELECT LISTS**

- 10.1 The relevant Head of Service may, at his discretion, maintain a standing list of contractors for contracts up to and including threshold 3 in value. Select lists shall not be applied to contracts estimated to be over threshold 3 in value, in which case one of the other tendering routes specified in this CPR shall be used.
- 10.2 A standing list shall be renewed at least every three years. The relevant Head of Service may determine that a list may be maintained and reviewed on a rolling basis whereby over a period of no more than three years all contractors admitted to the list shall have been reviewed in accordance with CPR 10 and readmitted (or not) or replaced.
- 10.3 Expressions of interest may be sought via the Council's e-tendering portal. Contractors seeking inclusion on such a list shall be sent a qualification questionnaire seeking information that will enable the suitability of the contractor to be assessed. As a minimum, the information sought shall be sufficient to enable the financial assessment to be undertaken in accordance with CPR 10. An assessment matrix shall also be provided that explains the process and the criteria to be used in evaluating the suitability of a contractor, and the minimum qualification requirements shall be stated.
- 10.4 The relevant Head of Service shall invite the requisite number of contractors included in the list to provide a quotation or tender (as appropriate) for any contract for goods, works or services as are the subject of the list without the need to advertise the contract or undertake further assessment of the contractors. Quotations or tenders shall be received electronically via the Council's e-tendering portal and opened in accordance with CPRs 12 and 13. If fewer than the number of contractors as required by CPR 5 are considered to be capable of performing the contract, the approval of the Head of Finance shall sought as to whether or not invitations may be sent to fewer than the



requisite number, or what tendering option should be followed to increase the number of tenders sought.

## **11 ASSESSMENT OF CONTRACTORS**

- 11.1 Assessment of a contractor's financial standing need not be undertaken in respect of contracts estimated to fall within thresholds 1 and 2 as defined in CPR 5.3. Before inviting tenders or quotations for contracts estimated to be within or above threshold 3 in value, or where a contractor has expressed an interest in being included in a standing list compiled under CPR 7, an assessment shall be made of a contractor's
- a) financial stability and resources
  - b) insurances
  - c) technical and other relevant references
  - d) business continuity plans
  - e) qualifications and experience
  - f) environmental, ethical and employment policies
  - g) previous experiences of dealings with the contractor
  - h) responsible purchasing policies
  - i) details of other contracts already, or proposed to be, awarded to the contractor.

and any other issues that may be considered by the relevant Head of Service as being relevant to the contract. Items (a) (b) and (d) shall be undertaken in conjunction with the Section 151 Officer. For procurements falling in threshold 4, an assessment of responsible purchasing policies shall be undertaken by the relevant Head of Service using the guidance included in the 'Short Guide'.

- 11.2 If a contractor is an individual person, financial vetting (which may include obtaining their credit rating) cannot take place until the express permission of the contractor has been obtained in writing. Contractors who are sole traders can be awarded an individual contract with a value within threshold 1 or 2. If the value falls within threshold 3 or 4 the Head of Service will need to approve the award to the individual person having regard to any associated risks.
- 11.3 A contractor that does not meet the Council's minimum requirements shall not be invited to submit a tender, or be admitted to a standing list, as appropriate.
- 11.4 If it is thought that the nature of the contract renders such an assessment unnecessary, the agreement of both the relevant Head of Service and the Section 151 Officer shall be sought prior to the dispatch of invitations to tender.

## **12 DISPATCH OF INVITATIONS TO TENDER**

- 12.1 Invitations to tender or submit a quotation shall be issued electronically via the Council's e-tendering portal. The e-tendering portal has templates with mandatory fields for essential information and optional fields for supplementary information.
- 12.2 The invitation to tender shall be accompanied by all relevant specifications, terms and conditions, technical drawings and any other relevant supporting

documentation. **The advice of the Borough Solicitor Head of Finance shall be sought in the preparation of tender and contract documentation.**

- 12.3 Where the best value option is to be identified after a full appraisal using assessment criteria, the invitation shall specify the headline assessment criteria and associated weightings that will be used in evaluating tenders or quotations received (CPR 14 refers).
- 12.4 If there are to be post-tender negotiations, the invitation to tender shall advise the contractor of the process that will be followed (CPR 14.7 - 14.10 refer).

### **13 RECEIPT AND CUSTODY OF TENDERS AND QUOTATIONS**

- 13.1 All tenders shall be returned via the Council's e-tendering portal.

### **14 OPENING OF QUOTATIONS AND TENDERS**

- 14.1 The e-tendering portal provides two main options for opening quotations and tenders: 'informal' and 'formal'. The Head of Policy & Governance or representative shall be nominated as 'Opening Ceremony User' on the portal and shall supervise the opening of tenders.
- 14.2 The informal opening procedure allows quotations to be opened at separate times by each of the 'opening ceremony users', but not to be viewed by the 'project users' (evaluation panel members) until all 'opening ceremony users' have opened them. Any quotation or tender received after the specified date and time or at a location other than the one specified will be rejected unless the Section 151 Officer considers that there are exceptional circumstances that warrant including it and this will only be done up to the time when the other tenders are opened.
- 14.3 The formal opening procedure requires all 'opening ceremony users' to be present when opening tenders online. All quotations and tenders for contracts estimated to be within threshold 4 in value shall be opened together at one time in the presence of the relevant Director, the Head of Policy & Governance and the Section 151 Officer or their nominated representative(s).
- 14.4 In all instances, regardless of the estimated value of the contract, the Executive Director and Section 151 Officer shall be consulted and their approval obtained before any tenders or quotations that are received late are opened. If it is agreed that they shall be opened, they shall be taken into account in the evaluation process as set out in CPR 14.

### **15 EVALUATION OF QUOTATIONS AND TENDERS**

- 15.1 The normal practice shall be to accept the offer from the contractor who, having satisfied the Council's minimum requirements, has offered the lowest price. This approach will not apply in cases where the relevant director considers in advance of seeking quotations or tenders that there are other issues that should be taken into account and that the best value solution should be sought. Whichever method is adopted, the Head of Service must be able to demonstrate that value for money has been properly assessed. An assessment of the most cost-effective product or service may be undertaken in advance of seeking and accepting the lowest price quotation or tender

without recourse to using the full best value solution option as contained in CPR 14.2 to 14.6 provided this assessment is approved in advance by:

- a) the relevant Head of Service where the contract is estimated to be up to and including threshold 2 in value; or
- b) the Section 151 Officer where the contract is estimated to be within threshold 3 in value; or
- c) the Corporate Management Team where the contract value is estimated to be within threshold 4 in value.

### **Best value solution**

15.2 Where there are such other factors apart from price that should be taken into account when evaluating a tender/quotation, the relevant Head of Service shall be responsible for ensuring that the assessment criteria and matrix are determined during the preparation of the contract specification and are duly approved. This shall include:

- the assessment criteria
- the scoring system and the weightings to be applied to each criteria
- the minimum scores to be achieved (as appropriate)
- the evaluation matrix as defined in the definitions/glossary of terms above.

### **Approval of evaluation teams and assessment criteria**

- 15.3 The assessment criteria and matrix shall be referred for approval as follows:
- a) where the contract is estimated to be within threshold 4 in value, to the Council's Corporate Management Team; or
  - b) where the contract is estimated to be within threshold 3 in value, to the relevant director, or
  - c) where the contract is estimated to be up to and including threshold 2 in value, to the relevant Head of Service.
- 15.4 The relevant Head of Service shall nominate the membership of the evaluation panel and seek the approval of the panel's membership from the relevant director, Section 151 Officer or Corporate Management Team when as appropriate with reference to CPR 14.3. Membership of a panel shall consist of no less than two officers plus any other persons who are not members of the Council's staff.
- 15.5 The documentation on which the criteria and associated definition of minimum financial and non-financial requirements, scoring mechanism and weightings are detailed shall be signed and dated by the officers as determined by CPR 14.3. The documents shall be kept securely by the relevant director until the assessment of the tenders or quotations commences.
- 15.6 The lowest-priced tender or quotation that meets the assessment criteria as defined in accordance with CPR 14.3 shall be accepted subject to approval of the person or persons as determined by CPR 14.4. If other than the lowest-priced tender or quotation is considered to offer the best value solution, approval to accept it shall be sought from the Executive unless the approved

assessment methodology as required by CPR 14.3 has set a framework whereby the lowest-priced may be rejected in favour of another that would give a greater benefit to the Council. Minimum and/or maximum quality thresholds may be considered to be appropriate and, when this is included in the evaluation pre-determined methodology, contractors whose quality score falls outside of the agreed levels can be eliminated regardless of price.

### **Post-tender/quotation (pre contract) negotiations**

- 15.7 In circumstances where the relevant Head of Service is of the view that post-tender/quotation negotiations will be necessary in order to ensure that the Council awards a contract to the contractor offering the best value option, the Section 151 Officer, Monitoring Officer and the Borough Solicitor must all approve use of post-tender negotiations before the contract is tendered.
- 15.8 In instances where the EU Directives apply, post-tender negotiations must conform to the requirements of those Directives.
- 15.9 If post-tender/quotation negotiations are to be used, this must be stated in the contract documentation and in any advertisement inviting expressions of interest. Contract documents shall set out the Council's approach to post-tender/quotation negotiations which is as follows:
- a) the Section 151 Officer, Monitoring Officer and the Borough Solicitor shall be involved in the process;
  - b) the Council reserves the right to enter into post-tender/quotation negotiations on any aspect of the tender;
  - c) all post-tender/quotation negotiations shall be conducted in a manner that provides equal opportunity for all tenderers and that maintains high standards of probity.
- 15.10 A person to whom the appropriate level of delegated authority has been delegated in writing by the relevant Director will conduct all post-tender/quotation negotiations. Post-tender/quotation negotiations shall be fully documented and documentation will be kept on file as evidence to support the action taken. Each contractor will be invited to submit a best and final offer at the end of negotiations under the same procedure that applied to the receipt and opening of the original tenders.

### **Financial examination of quotations and tenders**

- 15.11 An examination of at least the two lowest tenders/quotations shall be undertaken to identify any errors and omissions. If an arithmetical error or omission is detected in any, the contractor shall be asked to confirm or amend the price and the award or assessment of the tender/quotation shall be completed accordingly subject to consultation with the Section 151 Officer. Where an arithmetical error or omission relegated a tender to at least the third lowest then the next lowest tender shall be evaluated and so on until the two lowest tenders are identified.
- 15.12 In the event that during the assessment of tenders or quotations the relevant director identifies a need to hold post-tender/quotation discussions, the Section 151 Officer shall be consulted and the approach agreed before any negotiations are held. Negotiations shall conform to the requirements of CPR 14.7 - 14.10.

- 15.13 Where a contractor appears to have misunderstood part of the specification or other requirements, the relevant director shall discuss and agree the course of action with the Section 151 Officer.
- 15.14 Where a contractor has introduced qualifications to the tender/quotation, the course of action shall be agreed with the Section 151 Officer.
- 15.15 A full record of errors and omissions, the contractors' responses and the consequent evaluation shall be maintained.

**Examination of quotations and tenders where the best value solution is sought**

- 15.16 Where there is to be an evaluation of factors other than price, all tenders received must be examined and subjected to the full assessment process, using the assessment matrix and scheme as approved beforehand in accordance with CPR 14.3. The assessment shall include checks to detect errors. The evaluation process must be applied to all tenders received, and the best value solutions identified and ranked according to the assessment criteria and the associated weightings. Financial assessment shall be dealt with in accordance with the process set out in CPR 14.11 to 14.15.
- 15.17 No amendment shall be made to the assessment matrix unless approval is obtained in accordance with CPR 14.3 beforehand.
- 15.18 A comprehensive record shall be kept of the assessment criteria and the evaluation process and the findings and assessment made. Records shall be retained in accordance with the Council's policy on document retention and other relevant statutory requirements.
- 15.19 Once the evaluation process has identified the tender or quotation that offers the best value solution, the contract may be awarded in accordance with CPR 14.6.

**Other matters to be taken into account in the evaluation of tenders/quotations**

- 15.20 The relevant Head of Service shall identify relevant Council policies , strategies and statements that are applicable to the contract, and shall ensure that an adequate and appropriate assessment of tenderers' own policies and practices and/or readiness to comply with the Council's is included in the assessment of tenders/quotations. This shall apply regardless of whether the best value solution or the lowest price is to be selected, and the assessment matrix prepared in accordance with CPR 14.3 shall include relevant criteria applicable to the assessment. *[Note: this need only apply if the assessment has not taken place at the short-listing stage – see CPR 10.]*
- 15.21 Such assessment shall encompass as a minimum the following:
- a) customer care
  - b) sustainability
  - c) equality and diversity
  - d) anti-fraud and corruption
  - e) health and safety
  - f) environmental credentials
  - g) locality and impact on the local economy

and shall include any other matter that the relevant Head of Service considers appropriate. Should the relevant Head of Service consider that any of the items (a) to (d) above do not apply, he shall prepare a written statement explaining the reasons and shall sign that statement.

## **16 ACCEPTANCE OF TENDERS AND QUOTATIONS**

- 16.1 The selected contractor shall be notified in writing or by e-mail if appropriate that they are the preferred contractor. Other contractors should not be notified that they have been unsuccessful until the selected contractor has been awarded the contract with the Council on the terms and conditions specified and after any agreed amendment to the original price has been applied.
- 16.2 Where there have been post-tender negotiations, the tender or quotation accepted shall be that submitted at the end of the negotiations in accordance with CPR 14.7 to 14.10.
- 16.3 The relevant director shall seek the Section 151 Officer's view on the need to undertake further assessments of the selected contractor's financial stability during the period of the contract. The relevant Head of Service shall request the Head of Finance to undertake the financial reassessments at the agreed times.

## **17 FORM OF CONTRACT**

- 17.1 As any acceptance of a quotation or a tender, whether made orally or in writing, may constitute a contract in law, no indication of acceptance shall be made to any contractor except by an officer authorised so to do. If any doubt exists, the approval of the Head Finance should be sought, or the Council's Authorised Signatory List should be checked to confirm whether an officer has been authorised by their Head of Service in person to authorise an order.
- 17.2 Contracts valued at up to threshold 3 in value shall be the subject of an official order unless a tender has been received, in which case a formal contract shall be prepared in accordance with the requirements of the Borough Solicitor and signed by the relevant Director or Head of Service, as specified within the Council's Scheme of Delegation.
- 17.3 All contracts within threshold 4 in value shall be the subject of a formal contract under seal prepared by the Borough Solicitor and signed by the Borough Solicitor. Contracts below threshold 4 may be under seal if the Borough Solicitor advises that it is appropriate.
- 17.4 All contracts shall
- a) specify the goods, materials or services to be supplied and/or the works to be undertaken, the price to be paid, payment terms and conditions, details of any discounts or penalties, the period of the contract and any other terms and conditions that may be agreed
  - b) provide for the payment of liquidated damages where they are appropriate
  - c) contain details of any security that is required by the Council (CPR 18 refers).

17.5 No works, goods or services to be the subject of a contract shall commence until such time as all parties have signed the relevant form of contract and it has been sealed as necessary. This requirement may be waived in exceptional circumstances upon the authority of the Executive Director (subject to their not being the relevant director and the provisions of CPR 3) who may require adequate other safeguards are provided pending signing and/or sealing of the contract.

## **18 CONDITIONS RELATING TO SUB-CONTRACTING**

18.1 Contract terms and conditions shall specify that the contractor shall not sub-contract all or any part of the contract without the express consent of the Council and that the Council reserves the right to be consulted for approval of the contractor's preferred sub-contractor and to undertake an assessment of their ability to perform the sub-contract. The relevant Head of Service shall consult the Head of Finance before determining what level of assessment shall be undertaken.

18.2 In contracts where the Council wishes to nominate a sub-contractor, the contract shall specify whether or not the Council will be undertaking the tendering process to select the nominated sub-contractor.

18.3 The same tendering or quotation requirements shall be applied to selected nominated sub-contractors as contained in CPR 5, subject to any requirements of the EU Directives, and the tendering methods as set out in CPR 7 shall apply. If the relevant Head of Service determines that it is not feasible or practical to obtain tenders or quotations, the Section 151 Officer shall be asked to approve the waiver of the requirement to invite tenders or quotations and approve the contractor to be appointed.

18.4 Assessment of nominated sub-contractors shall be undertaken in full accordance with CPR 10.1.

## **19 SECURITY TO BE PROVIDED BY THE CONTRACTOR IN RESPECT OF THE CONTRACT AND EXTENSIONS TO THE PERIOD OF THE CONTRACT**

19.1 Adequate financial security shall be sought from the successful contractor. Appropriate financial security and/or a performance bond shall be required for all contracts within threshold 4 in value unless, after a comprehensive analysis of the risks and their financial impact is submitted, the Section 151 Officer approves an alternative measure. Where a bond is to be sought, this shall only be in a form and from a bondsman approved by the Borough Solicitor.

19.2 For contracts in thresholds 3 and 4 in value, the relevant Head of Service shall discuss with the Section 151 Officer to agree what assessment of the risks associated with the contract shall be undertaken. A bond or other form of appropriate security shall be obtained if, after this assessment has been considered by the Section 151 Officer it is determined that the circumstances and nature of the contract warrant it. For contracts within thresholds 1 and 2 in value, security will not be sought unless the relevant Head of Service, in considering the nature and profile of the contract, considers that there are

circumstances to warrant an appropriate form of security subject to obtaining the formal agreement of the Section 151 Officer.

- 19.3 Where an alternative to a performance bond is requested, a comprehensive analysis of the risks and the financial impact shall be undertaken and submitted by the relevant Head of Service to the Section 151 Officer. The value and type of financial security will be determined on a case by case basis but, as a guide, 10% of the contract value would be considered to be an appropriate safeguard.
- 19.4 In any case where the form of security proposed is other than a performance bond, the Section 151 Officer shall approve the form prior to acceptance of the proposal.
- 19.5 Where the contract price is to be varied (outside of those obligations specifically allowed in the contract) and increases subsequent to the determination of the value of the performance bond (or other security) or the period of the contract is extended during the life of the contract the Borough Solicitor must be consulted in order to determine whether there is a need to seek the agreement of the bondsman of this increase in order to maintain adequate or continued cover under the bond.
- 19.6 Retention shall be deducted unless the relevant Head of Service agrees otherwise with the Section 151 Officer in respect of all contracts falling into the threshold 4. Retentions may be deducted from payments and recorded in contract records in respect of other contracts if the relevant Head of Service determines this to be necessary.

## **20 MANAGEMENT OF CONTRACTS**

- 20.1 The relevant Head of Service shall nominate, in agreement with other Heads of Service in respect of a corporate contract, an officer to lead a procurement exercise which will result in the letting of a contract.
- 20.2 This lead officer shall ensure that the appropriate skills, experience and knowledge are brought to play in the procurement exercise. The lead officer shall involve other officers of the Council as necessary, and if supplementary advice and resources are required he shall arrange for the procurement thereof.
- 20.3 The relevant Head of Service shall also ensure that the management responsibilities and arrangements are identified and agreed prior to the contract being awarded to manage the resultant contract. These must include details of how variations will be managed, how performance will be measured and monitored, how valuations of work will be determined and when milestones will be reached. For contracts in threshold 3 to 4 this must be signed off by the director. The contract must be signed by both parties prior to the contract start or delivery date.
- 20.4 Guidance on the management of procurement projects and contract management shall be obtained by reference to the Council's Procurement Manual.
- 20.5 Where the contract is a partnership contract, the lead officer shall ensure that the relevant Head of Service is advised of any proposed amendments to the terms and conditions. The relevant Head of Service shall ensure that a full



report is presented to the Corporate Management Team before any changes are agreed. The Corporate Management Team shall provide direction and advice as to any actions it wishes to be taken.

- 20.6 In the event that a contract is to be terminated for what ever reason, advice of the Borough Solicitor should be sought in the first instance.

## **21 STANDARD CONTRACT CLAUSES ADDRESSING RELEVANT LEGISLATION**

- 21.1 Every written contract shall contain a clause empowering the Council to cancel the contract, and recover from the contractor any loss resulting from such cancellation, should the contractor have offered or agreed to give any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to do or for having done or forborne to do any action in relation to the obtaining or execution of the contract with the Council, or for showing or forbearing to show favour or disfavour to any person in relation to the contract or any other contract with the Council, or if the like acts shall have been done by any person employed by him or acting on his behalf (whether with or without the contractor's knowledge), or if in relation to any contract with the Council, the contractor or any person employed by him or acting on his behalf shall have committed any offence under the Prevention of Corruption Acts 1889 to 1916 or the Bribery Act 2010 or shall have given any fee or reward the receipt of which is an offence under Section 117(2) of the Local Government Act 1972.
- 21.2 Every written contract shall contain a clause that requires the contractor to work in partnership with the Council in combating fraud and corruption as applicable to the contract.
- 21.3 Appropriate clauses shall be included in written contracts to ensure the contractor complies with the Council's policies, statements and practices as defined in accordance with CPR 14.21 throughout the period of the contract.
- 21.4 Where a contract is of a nature of a partnership, where the Council and contractor will work over the period of the contract to develop and improve the specification of the contract to improve service delivery, there shall be a clause within the contract to grant the Council officers, including the Council's internal auditors, access to the contractor's records appertaining to the contract. This shall include such considerations, but not restricted to, financial, governance, business continuity, transactions and performance data.

## **22 SPECIAL PROVISIONS**

### **Contracts involving the transfer of staff and/or Council-owned assets**

- 22.1 If a contract involves the transfer of staff or other Council-owned assets or resources to the contractor, the Borough Solicitor (and Strategic HR Manager if staff are involved) shall be consulted at the earliest opportunity and their advice incorporated into the proposed terms and conditions of the contract. Agreement must be sought from the Executive to the terms and conditions of the contract and the transfer.

22.2 Once received, tenders shall be evaluated by the officers concerned and notified to the relevant portfolio holder before seeking approval from the Executive to enter into a contract with any contractor.

**Contracts involving stage payments**

22.3 Where any contract will involve stage payments, the relevant Head of Service shall ensure that the contract documentation is prepared with the agreement of the Borough Solicitor.

22.4 The relevant Head of Service shall ensure that the requirements of the deputy Section 151 Officer regarding the maintenance of a contracts register are fulfilled.

22.5 A final account in respect of all contracts in threshold 4 shall be prepared and presented for examination by the Head of Finance before final payment is made.

**Register of contracts**

22.6 The relevant Head of Service shall ensure that any contract over threshold 3 in value shall be recorded in the Council's Register of Contracts, maintained by the Borough Solicitor. The Borough Solicitor shall make appropriate arrangements to ensure that contracts are duly notified on a timely basis.

**Compliance of contractors with contract procedure rules**

22.7 It shall be a condition of engagement by the Council of any person (not being an officer or member of the Council) to supervise a contract that he shall act in full accordance with these Contract Procedure Rules when supervising the contract as if he were an officer of the Council. It shall be the responsibility of the relevant Head of Service to ensure that the person is made aware of the requirement and to provide them with a copy of Contract Procedure Rules and any other relevant documentation.

**23 NOVATION OF CONTRACTS**

23.1 When a request is received from a contractor to novate or otherwise re-assign their contract, the relevant Head of Service shall make arrangements to assess the options open to the Council. If it is considered that the best option is to agree to the novation, the relevant Head of Service shall make such enquiries as set out in CPR 10.1 to assess the suitability and standing of the proposed new contractor. The agreement of the Section 151 Officer to the novation shall be sought. The Borough Solicitor shall be requested to undertake the necessary legal processes to effect the novation.

**24 DISPOSAL OF COUNCIL PROPERTY**

**Land and buildings**

24.1 Disposal (including sales, leases, easements and wayleaves) of land and buildings owned and funded by the General Fund shall first be valued by a qualified valuer. The Director of Finance and Resources shall report to the Corporate Management Team to determine whether, in the light of the valuation and location, there are strategic issues, risks or conditions of

disposal relative to the Asset Management Plan (or equivalent) and Corporate Plan. If such considerations exist, the disposal shall be referred to the Asset Advisory Group, which will report its views and recommendations to the Corporate Management Team.

- 24.2 Disposal (including sales, leases, easements and wayleaves) of land and buildings owned and funded by the Housing Revenue Account, with the exception of sales under the Right to Buy Scheme, shall first be referred to the Head of Strategic Housing who shall consult the relevant director (or otherwise as may be specified in the Scheme of Delegation) to consider any risks associated with the disposal and the strategic and long-term issues in the light of the Asset Management Plan (or equivalent). The Head of Strategic Housing shall obtain a current valuation of the land and/or buildings and report his views and recommendations to the Council's Corporate Management Team.
- 24.3 Any resultant proposal to dispose of the land and/or buildings shall then be discussed by the chairman of the Asset Management Team (or equivalent) or the Head of Strategic Housing (as appropriate) with the Section 151 Officer and the relevant portfolio holders responsible for the services in question and the management of the Council's assets. A report outlining the reasons why disposal is recommended, and showing how it would be in accordance with the Asset Management Plan (or equivalent) and the proposed method of disposal of the land and/or buildings shall be presented to the Executive for approval.

#### **Other Council assets**

- 24.4 Proposed disposals of other Council-owned assets, including surplus or obsolete furniture or equipment, shall be discussed with the relevant Head of Service to obtain agreement that there is no further need for the items. Items shall first be offered for transfer to other sections or departments of the Council.
- 24.5 Any items that remain for disposal shall be sold at the highest price possible. An estimated sale value shall be agreed by the relevant Head of Service and the Section 151 Officer or Deputy Section 151 Officer, taking note of any value included in the Council's accounts and any professional valuations as may be deemed appropriate by the Section 151 Officer. A note shall be made and retained on file as evidence to support the adopted approach and the valuation. The method of disposal shall be agreed with the Section 151 Officer.
- 24.6 If deemed appropriate by the relevant Head of Service and the Section 151 Officer, items may either be
- a) sold to a member of staff at an agreed price (where the item is of little or no intrinsic value); or
  - b) offered for sale to all members of staff at the price agreed; or
  - c) advertised for sale in local papers or relevant trade magazines, as appropriate, at the price agreed; or
  - d) offered for sale at the best sealed bid received where it is difficult to place a value. This may include the use of suitable, secure internet services. The relevant Head of Service and the

Section 151 Officer may set a reserve price below which an item may not be sold without the approval of the relevant portfolio holder responsible for the management of the Council's assets.

- 24.7 If it is considered that there is a ready market for the item(s) in question, then sealed bids shall be invited from contractors or organisations that are identified as having a potential interest. The minimum number of bids sought shall be determined in accordance with the thresholds contained in CPR 5.3.
- 24.8 All sealed bids shall be treated as being tenders and their receipt, opening and acceptance shall be in accordance with CPRs 12, 13, 14 and 15.
- 24.9 Where there is the option of trading an old piece of equipment in part-exchange for a new piece, this option shall be expressly mentioned in any invitation to tender or provide a quotation.
- 24.10 Disposal of any stocks and stores that are recorded in the Council's accounts shall be disposed of after obtaining the agreement in writing of the relevant director and the Section 151 Officer and shall be undertaken in accordance with the provisions of the Council's Financial Regulations.

**Authority to spend – high value individual property items in Housing  
Potential delegations needed in Scheme of Delegation**

**ANNEXE 3**

<b>Spending area</b>	<b>Approximate number of instances in a year</b>	<b>Issues/Risks</b>	<b>Delegation requested</b>	<b>Officer level for delegation</b>
Aids and adaptations	50	Poor Customer Service Rent Loss Loss of Reputation and complaints Health and Safety	£30k per property £20K per property	Head of Housing Property Services Manager
Urgent roofing works – health and safety requirements	20	Poor Customer Service Rent Loss Loss of Reputation and complaints Health and Safety	£30k per property £20K per property	Head of Housing Property Services Manager
Major Structural Works	40	Poor Customer Service Rent Loss Loss of Reputation and complaints Health and Safety	£30k per property £20K per property	Head of Housing Property Services Manager
Void works	150 between £5k and £20k  50 above £20k	Poor Customer Service Rent Loss Loss of Reputation and complaints Health and Safety Performance could reduce	£30k per property £20K per property	Head of Housing Property Services Manager

Noted that for the purpose of the seeking authority to spend or applying a delegation, the cost is the estimated aggregate cost of all elements of the necessary works.

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# Godalming Crownpits Conservation Area Appraisal and Management Plan

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# **PART 1 – Godalming Crownpits Conservation Area Appraisal**

## **1. Introduction**

### **1.1 What is a Conservation Area?**

A Conservation Area (CA) is defined as “an area of special architectural and historical interest, the character or appearance of which it is desirable to preserve or enhance”<sup>1</sup>. Designation of a CA applies to all land within the CA and therefore planning control is directed at maintaining the special interest of the entire area, including the buildings, streetscene, uses and the relationship of these elements with open spaces and landscape.

CA designation gives a degree of protection against demolition of buildings and walls and the removal, or works, to trees, as well as reducing householder permitted development rights. CA designation enables the planning authority to ensure that the historic character and special interest which attracts people to live, work and visit the area remains intact and that development is of high architectural quality and in keeping with the area’s existing character.

### **1.2 What is a Conservation Area Appraisal (CAA) and Management Plan?**

A CAA sets out to identify and assess the special interest of the CA, such as the notable buildings and open spaces, and the inter-relation of these together to form a unique character. The management plan will use the information gathered in the CAA to identify and implement enhancement schemes to preserve and enhance the CA.

The final document will inform positive management of the CA and will be adopted by the Council as a material consideration to be used in the determination of any application for planning permission and listed building consent within the CA. It will also be used to influence enhancement schemes for the long term management of the CA.

The document should be read in conjunction with Waverley’s Local Plan (both adopted and emerging) and National Planning Policy Framework (NPPF).

### **1.3 Planning Policy Framework and Sources**

The Planning (Listed Building and Conservation Area) Act 1990 Section 71 (1) states:

*“It shall be the duty of a local planning authority from time to time to formulate and publish proposals for the preservation and enhancement of any parts of their area which are conservation areas.”*

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<sup>1</sup> Planning (Listed Buildings and Conservation Area) Act 1990

Policy HE8 in the Local Plan states:

*“...the Council will seek to preserve or enhance the character of conservation areas by...(e) carrying out conservation area appraisals”.*

The NPPF, Chapter 12 (126) states:

*“Local planning authorities should set out in their Local Plan a positive strategy for the conservation and enjoyment of the historic environment...”*

The CAA helps to identify significance of heritage assets, and as such enables planners to confidently determine whether an application will devalue the significance of the CA.

It is in accordance with the above legislation and local policy that this CAA has been conducted. This appraisal was compiled with the assistance of English Heritage’s guidance “Understanding Place: Conservation Area Designation, Appraisal and Management” (March 2011)<sup>2</sup>. English Heritage has also published guidance called “Knowing Your Place” (March 2011).

#### **1.4 Methodology**

To assess the CA comprehensively, a historic study of the area was undertaken, including assessment of historic maps in comparison to Waverley’s mapping system. In conjunction with this, site visits were conducted to establish the character and identify the architectural interest of the CA. A photographic survey was undertaken of the key views and vistas within the CA, and is used throughout this appraisal. The boundary has also been reviewed.

#### **1.5 Community Involvement**

A site visit was held on 22 October 2014 with Local Councillors to identify enhancement schemes and gain feedback on the CAA, with any comments made incorporated.

A 6 week consultation was undertaken to seek residents’ views. Key stakeholders (including English Heritage and the Town Council) were also consulted. Responses to the consultation have been reviewed and where necessary the document updated.

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<sup>2</sup> <http://www.english-heritage.org.uk/publications/understanding-place-conservation-area>

## **1.6 Summary of Godalming Crownpits Conservation Area**

<b>Table 1: Godalming Crownpits CA at a glance</b>	
Date of designation	17 April 1984
Location	Easting (x) 497,498.37m; Northing (y) 143,260.66m
Current Size	4.36 ha
Changes to Boundary	No
General Condition	Good
Listed Buildings	12 - Grade II
Positive Factors	Central recreation ground; traditional building materials
Negative Factors	Heavy traffic; minimal parking;

## 2. Defining the Special Interest

English Heritage defines special interest as the “special architectural or historic interest” of the area that warrants designation and the “character or appearance of which it is desirable to preserve or enhance”<sup>3</sup>.

### 2.1 Summary of the Special Interest

The following provides a summary of the special interest of Godalming Crownpits CA:

Heritage	12 listed buildings and 3 heritage features
Form	Linear: a result of development along Brighton Road
Notable buildings	Weavers Cottage & Well Cottage; The Busbridge Institute.
Character areas	Due to linear form and infill development through time, no easily divisible character areas.
Main Architectural Features	Tile hanging; red brick; timber framing and whitewash walls; Bargate stone; creative Victorian stone laying; leaded lights; traditionally detailed roof junctions; stone walls adjacent to street.
Vistas	Looking south and north along Brighton Road from the Recreation Ground; the views from the northerly and southerly extent of the CA along Brighton Road.

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<sup>3</sup> <http://www.english-heritage.org.uk/publications/understanding-place-conservation-area/>

### 3. Assessing the Special Interest

#### 3.1 Location and Setting

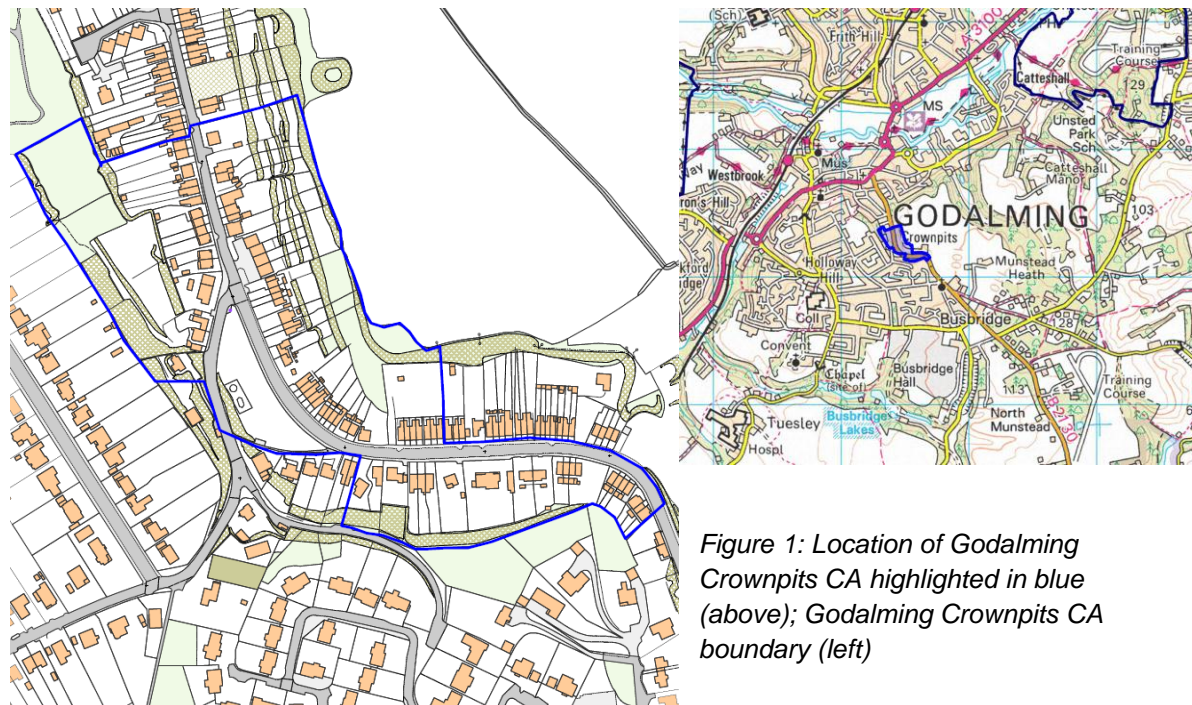


Figure 1: Location of Godalming Crownpits CA highlighted in blue (above); Godalming Crownpits CA boundary (left)

Godalming Crownpits CA is located half a mile south-east of Godalming Town Centre, on the main road from Godalming to Horsham. The CA was originally a separate hamlet to Godalming which developed in a linear form along Brighton Road. A triangular green and play area overlooked by listed buildings (The Busbridge Institute and 107-111 Brighton Road) could be identified as a centre of the CA. Over time, as Godalming grew, Crownpits merged with the town and is now part of the suburbs which extend out along the main access roads.

A distinctive feature of the CA that significantly contributes to the character and aesthetics of Crownpits is its setting within a heavily wooded valley; the loss of which would have a highly detrimental effect on the CA. To the east of Crownpits are the former Bargate stone quarries and sand pits which had a significant influence on the identity and development of the CA. As one of Godalming's older industries, the quarries supplied a large proportion of the building materials for the CA until the transport revolution in the early 19<sup>th</sup> century, which enabled the delivery and use of 'foreign' materials.

Due to the location of the CA along Brighton Road, all properties experience a high volume of traffic throughout the day; traffic-calming measures have been introduced to reduce traffic speed, however traffic noise remains a noticeable concern to the CA.

### 3.1.1 Landscape Setting

The geology of Godalming Crownpits CA is Lower Greensand with punctuations of Bargate Stone. The settlement is located above Godalming, and is situated in a valley with steep wooded valley walls to the east and west, up which Crownpits Lane winds.

### 3.1.2 General Character and Plan Form

Godalming Crownpits CA developed linearly along Brighton Road and historically the land use, and thus underlying character of the area, is residential (with the exception of a tailor on Brighton Road). The curve of Brighton Road through the CA, the slope of the green and its setting in the wooded valley all contribute to the charm of the area. This, alongside the listed buildings and the local 19<sup>th</sup> century Bargate stone cottages to the north and east of the triangular green, give the area a distinctive character that is important to preserve.

### 3.1.3 Economic profile and potential forces for change

Within Godalming Crownpits CA, 77% of the population own their own property and 97% of the working age population are employed or self-employed<sup>4</sup>. This reflects the majority of Waverley, which is an affluent area with a buoyant local economy.

The land use is residential and, therefore, there is little income generated within the CA, with the exception of a tailor on Brighton Road. Infill development within the CA is not a primary concern as the CA is relatively densely packed along Brighton Road, and the steep topography does not lend itself to development to the rear of the existing properties.

### 3.1.4 Vistas

Below is a selection of the key vistas experienced by those who live, work and travel through the CA.



Figure 2: Plan view of vistas in Godalming Crownpits CA

Figure 3: Vista 1 - View south along Brighton Road from Crownpits Lane; the CA is surrounded by wooded valley walls.

<sup>4</sup> NOMIS official labour market statistics: <https://www.nomisweb.co.uk>



Figure 4: Vista 2 - Recreation Ground at the centre of Godalming Crownpits CA.



Figure 5: Vista 3 - View north across the recreation ground with notable building, the Busbridge Institute.



Figure 6: Vista 4 (top left), 5 (top right) and 6 (left): Photographs taken progressively along Brighton Road demonstrates the funnel effect and linear form of the properties through the CA



### **3.2 Historic Development**

Crownpits, which has historically been referred to as Crompett in 1548 and Crumpotes in 1614<sup>5</sup>, originally developed along Brighton Road in close proximity to, but as an independent hamlet from, Godalming. The CA is directly adjacent to stone pits and quarries, where building materials for the local area would have been sourced. This proximity to the main town and the stone pits and quarries, is most likely the reason that Crownpits developed where it did, due to a high demand for housing locally.

Assessment of historic maps demonstrates that development principally extended from north to south along Brighton Road. Well Cottage, Weavers Cottage and 111 Brighton Road are the oldest dwellings within the CA, characterised by the traditional Surrey vernacular, though the majority of development occurred in the 19<sup>th</sup> century after the transport revolution. There are therefore strong influences from the Domestic Revival, Arts and Crafts movement and the move towards more creative architecture in the late 19<sup>th</sup> century (as seen at 105 Brighton Road.)



*Figure 7: 107- 109 Brighton Road 2014 (left) and in 1984 at the time of designation (right). Comparisons show increasing personalisation and planting of the front gardens which obscures the front of the properties; the loss of the traditional stone wall in front of 107 Brighton Road emphasises the importance of preserving details such as these within the CA.*

The CA is, and has historically been, residential, although records and historic maps show there were two pubs, The Three Crowns and The Queens Head, and a post office until the late 20<sup>th</sup> century; these would have served those travelling south from Godalming. In 1886, the Busbridge Institute was presented to the Parish for use by the Busbridge Cricket Club and Men’s Club “for the promotion of friendly intercourse among its members, to promote Newspapers to inform, games to amuse, and books to interest”<sup>6</sup>. However, The Busbridge Institute, together with The Three Crowns and The Queens Head, has since been converted into housing.

A key feature in the CA is the recreation ground and play park. It was the first land to be owned by the council as a public ground, specifically for the use of the local

<sup>5</sup> University of Surrey (1985) ‘Local History of Godalming’

<sup>6</sup> University of Surrey (1985) ‘Local History of Godalming’

children of Busbridge Parish<sup>7</sup>. The recreation ground was originally unfenced and had basic play equipment, however, over the years it has been modernised; new equipment was installed in 2014, and fences around the play area and along the boundary with Brighton Road, have been erected to provide a safe area of play.

### **3.3 Architectural Quality and Built Form**

#### **3.3.1 Period and style**

Godalming Crownpits CA developed primarily between the 17<sup>th</sup> and 20<sup>th</sup> century; the majority of development occurred in the 19<sup>th</sup> century. This is evident from the variety of architectural styles seen throughout the CA.



*Figure 8: Creative stonework typical of late Victorian architects (105 Brighton Road).*

The oldest buildings in the CA, Well Cottage, Weavers Cottage and 111 Brighton Road, were built in the early 17<sup>th</sup> century, and are typical of the style and character of that time. The irregular timber-framing, with windows and tall, steep roofs are traditional to the Surrey vernacular.

Wisteria Cottage and 66-68 Brighton Road at the northern tip of the CA are examples of early 19<sup>th</sup> century dwellings,

which are common throughout the CA. The regularity and symmetry of the fenestration is demonstrative of the classical influences that remained common at that time. Later in the 19<sup>th</sup> century, Victorian architects desired to be more creative and artistic. This is evident within Godalming Crownpits CA in the form of irregular, creatively placed stone work on the walls of many properties (for example 105 Brighton Road, see Figure 8).

Further north, 86-88 and 78-84 Brighton Road are examples of dwellings influenced by the Domestic Revival and Arts and Crafts movements of the late 19<sup>th</sup> century. These properties are larger and more dominant on the streetscene than the 17<sup>th</sup> century cottages. The elevations



*Figure 9: 86-88 Brighton Road; example of properties influenced by the Domestic Revival.*

<sup>7</sup> Notes on Crownpits from Godalming Museum

have greater symmetry, and the materials used and plan form of the properties were influenced by traditional rural dwellings.

Towards the south of the CA, on the east side of Brighton Road, the terraced properties are built in a style which is increasingly indistinguishable from buildings in other parts of the country. A building which is in contrast to the character and styles within the CA is 87, 87A, 89 and 89A Brighton Road.

### **3.3.2 Scale and height of buildings**

The properties within Crownpits CA are in general no greater than 2 storeys, with the exception of the 1970s development on the site of the Three Crowns, which is 2 and a half storeys and unsympathetic to the character of the CA. There is a mix of artisan cottages, terraced properties and detached/semi-detached dwellings throughout the CA, a direct reflection of the continual development of the CA over time.

### **3.3.3 Materials**

Roof tiles: The traditional properties have plain clay tile roofs, which is desirable and is common throughout the borough of Waverley, however, a large proportion of the properties in Godalming Crownpits CA now have slate or concrete roof tiles.

Walls: The CA demonstrates a mix of building materials:

- Timber framing and white wash (early 19<sup>th</sup> century)
- Tile hanging
- Bargate rubblestone
- Red brick

### **3.3.4 Street form and frontages**

The street form is dominated by stone walls with rounded cappings on the boundary of each property and the road. This is important to the character of the CA as it provides a strong sense of place, separating the private from public space. The dwellings are, on the whole, set close to the road, with only small front gardens behind the stone walls. This, in addition to the parking bays which are prominent at the northern end of the CA, creates a sense of enclosure as public space is limited. The mixed eaves height along Brighton Road, especially at the northern end, creates contrast and interest, adding to the diversity of styles within the CA.

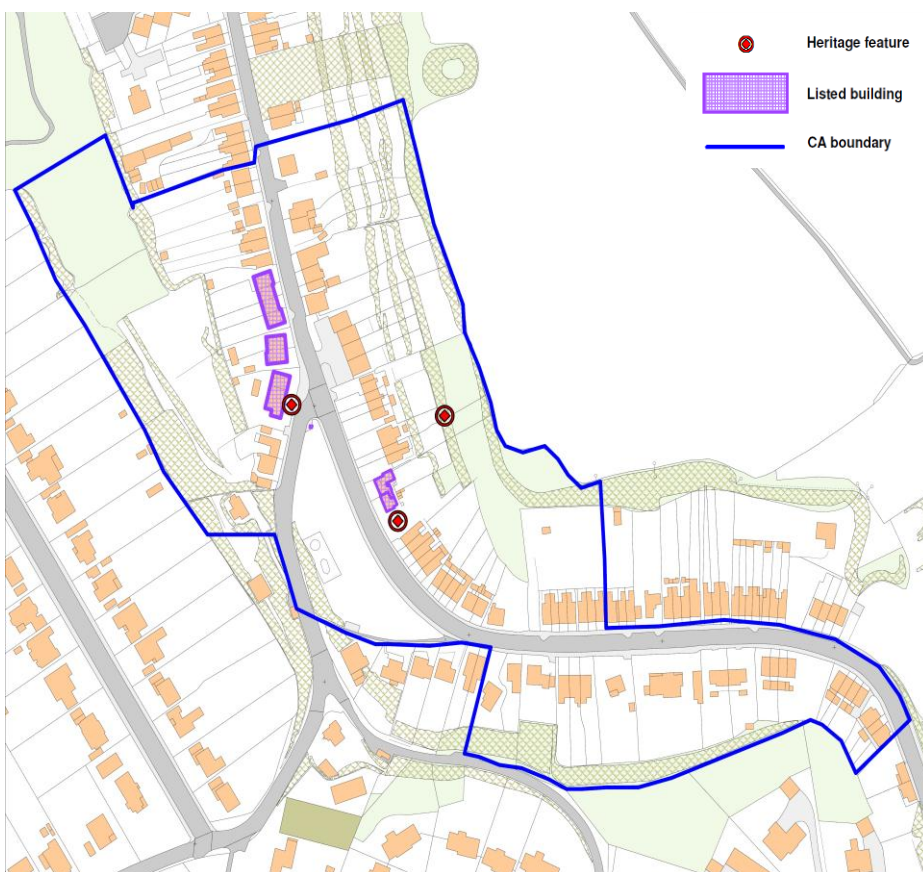
87, 87A, 89 and 89A Brighton Road are prominent on the streetscene as they are inconsistent with the traditional character of the CA in materials, style and design. The properties are set further back from the road, allowing for a large area of parking between the properties and road. The lack of a stone wall, which is evident either side of these properties and aids in legibly identifying private land, emphasises the difference and inconsistencies in style and design of this property to the rest of the CA.

### 3.3.5 Details

The following details or features are common, or evident, throughout the CA:

- Leaded lights
- Bay windows
- Traditionally detailed roof junctions and canopies
- Brick nogging
- Galletting
- Creative, irregular stone work
- Brick or stone jambs, quoins and window heads on Victorian properties
- Large red brick chimneys (predominantly on the late-19<sup>th</sup> century dwellings).
- Stone walls with rounded cappings (brick towards the south of the CA).

### 3.4 Listed Buildings and Heritage Features



*Figure 10: Plan of Godalming Crownpits CA showing location of listed buildings and heritage features*

### 3.4.1 Listed Buildings

There are 12 statutory listed buildings in the CA:

*Grade I* - none

*Grade II\** - none

*Grade II*

- 107, 109, 111 Brighton Road, Godalming
- 78-84 (even) Brighton Road
- 86 & 88 Brighton Road, Godalming
- The Busbridge Institute, Brighton Road, at junction with Crownpits Lane
- 1 x Telephone Box, Crownpits Lane, at junction with Brighton Road
- 109 Brighton Road, Godalming

### 3.4.2 Buildings of Local Merit (BLM's)

Buildings of Local Merit (BLMs) are buildings identified by Waverley as of local historic, architectural or townscape merit. Many local authorities have lists of such buildings, sometimes called the local list and sometimes Buildings of Townscape Merit (BTM).

There are presently no BLM's within Godalming Crownpits CA, though some buildings identified as 'Positive Contributors' may in the future be assessed for local designation.

### 3.4.3 Heritage Features

In 1986, Waverley Borough Council produced a list of heritage features in Waverley<sup>8</sup>. The list covers natural landmarks, archaeological sites, historic structures, historic trees, roads, track ways and gardens. The purpose of the list was to identify features that for the most part were not protected by legislation, but were a significant and valuable part of the character and history of the Borough. The intention was that by recording them there would be more awareness of the value of preserving them.

List of heritage features:

- A Victorian well house built over the site of a collapsed well on the south side of 109 Brighton Road.
- A plaque on the wall of the former Busbridge Institute, now converted into housing.
- Industrial archaeology – old Bargate stone quarries



Figure 11: The plaque found on the former Busbridge Institute

<sup>8</sup> Waverley Borough Council (1986) 'Heritage Features in Waverley' (4 volumes)

### **3.5 Heritage at Risk**

There are no buildings within the CA on the Waverley BC & English Heritage “Heritage at Risk Register”<sup>9</sup>.

At time of print, there are no identified Grade II properties which are considered to be ‘at risk’.

It is important to ensure that any listed buildings that fall into disrepair are identified early, so that Waverley Borough Council can work with the owners to find appropriate solutions and bring the building into a productive use.

### **3.6 Buildings which positively contribute to the CA**

Positive Contributors are buildings which are not listed, or locally listed, but positively contribute to the special interest of the CA.

The following buildings have been identified as positively contributing to the character of the CA:

- Greystones, located towards the south of the CA on the west side of Brighton Road, positively contributes to the CA due to the use of traditional building materials and detailing. Tile hanging on the first floor is broken up by the Bargate stone front gable, which has tile hanging in the jettied apex of the gable and a large bay window on the ground floor. In addition to these details, the large red brick chimneys and leaded lights are typical of the Surrey vernacular.
- 103 and 105 Brighton Road: These are excellent examples of the late 19<sup>th</sup> century properties within the CA. The irregular and creative stonework with red brick jambs and quoins is of particular note. The properties are set back from the road behind a traditional stone wall.



*Figure 12: Greystones, Brighton Road.*



*Figure 13: 103 and 105 Brighton Road*

<sup>9</sup> <http://www.english-heritage.org.uk/caring/heritage-at-risk/>

## **3.7 Open Spaces and Streetscape**

### **3.7.1 Open spaces**

Godalming Crownpits CA has a limited area of open space as it developed along a main road, where properties are set close to the road. However, at the junction of Brighton Road and Crownpits Lane there is a large area of grassland called the Recreation Ground, which includes a recently refurbished LEAP (Local Equipped Area of Play). A fence surrounds this area, providing protection from the busy main road and there is provision of seating and bins to preserve the clean and family friendly character of the area.



*Figure 14: Play park and recreation ground at centre of Godalming Crownpits CA*

at the junction of Brighton Road and Crownpits Lane there is a large area of grassland called the Recreation Ground, which includes a recently refurbished LEAP (Local Equipped Area of Play). A fence surrounds this area, providing protection from the busy main road and there is provision of seating and bins to preserve the clean and family friendly character of the area.

The CA boundary includes areas of woodland/trees to the rear of the majority of properties on Brighton Road and Crownpits Lane. This land is steep and the trees and wooded sides, which emphasise the depth of the valley, are integral to the character of the CA.

### **3.7.2 Streetscape**

Brighton Road is a busy main road through from Hambledon to Godalming. The northern half of the CA has a closed and busy street scene. A noticeable feature of this section is the parking bays along the length of Brighton road, which, in effect, reduces the road to a single lane. Bins clutter the pavements on the refuse collection day due to lack of space, however they are not excessively noticeable throughout the rest of the week.

## **3.8 Assessment of Condition**

Overall: Good condition

The listed buildings, heritage assets and other buildings within the CA are all in good condition and appear to be well maintained, which reflects on the character of the CA.

The following issues have been identified within the CA:

- Heavy traffic through Brighton Road
- Insufficient parking within the CA

### **3.9 Identifying the Boundary**

Assessment of the boundary of Godalming Crownpits CA has identified no addition or removal of land is necessary. Since designation, there has been minimal development within or surrounding the CA and thus it is concluded that the original boundary captures all buildings and areas that contribute to the special interest and significance of this CA.



## **PART 2 - Management Plan**

### **4.0 Management Plan**

The following sections within the Management Plan set out specific actions/projects aimed at preserving and enhancing the CA in the future.

### **4.1 Managing Change**

The qualities that make CAs appealing can often lead to further pressure for development. However, given the close knit development pattern of the CA, there are few (if any) opportunities for new development (beyond smaller extensions or alterations to existing buildings). It is expected that where consent or planning permission is necessary, the appraisal section of this document should be taken into account when making the decision.

Various small scale enhancement opportunities within the CA have also been identified and form part of this management plan.

Significant care would need to be taken if changes/ development are proposed that would detrimentally impact the heavily wooded setting within which the CA sits.

#### **4.1.1 Small scale changes**

CA status does not mean that change cannot occur but rather that any changes should enhance the area and respect features which contribute to the character of the area. However, small-scale and piecemeal change can cause the greatest damage to the character and appearance of a CA. The replacement of traditional materials with inappropriate alternatives or the removal of original features may seem to have insignificant effect but cumulatively such changes gradually erode the special character of the area.

Whilst there is stricter permitted development rights with a CA, many small-scale changes do not require planning permission. In these instances careful consideration should be given to the wider impact of these proposals. It is always advisable to check with the Planning Projects Teams before undertaking any work in a CA.

The distribution of a leaflet to all residents within the CA to outline the 'dos and don'ts' of minor alterations to properties within the CA would be a useful tool in increasing understanding and awareness.

#### **Recommendation:**

That residents, owners and businesses contact the Planning Project Team to discuss any small-scale changes and the potential impact of these on the CA before undertaking the works.

Subject to funding and resources, the Borough Council will consider the preparation of a leaflet giving general information about the constraints of living in a CA, and design guidance for residents of the CA on the following:

- Extensions, including porches and dormers;
- Use of traditional materials and details;
- Conservation of historic fabric;
- Rooflights and satellite dishes.

## **4.2 Designation**

### **4.2.1 Buildings of Local Merit**

In addition to statutory listing, the NPPF states that Heritage Features and BLMs are designated heritage assets. Waverley has set up a project to identify, review and adopt additional BLM's. This is a community led project which includes a consultation process with owners and local amenity societies. The Town Council take the lead on the project with support given by Waverley.

#### Recommendation:

That Godalming Town Council with the support of Waverley Borough Council officers undertake a review of the BLMs to identify potential candidates to be designated as a BLM.

## **4.3 Heritage at Risk**

The character of Godalming Crownpits CA is heavily reliant on the preservation of the heritage assets. These assets should be preserved, and those which are deemed 'at risk' identified.

## **4.4 Celebration**

### **4.4.1 Waverley Design Awards**

The Waverley Design Awards scheme was introduced in 1995 to encourage an interest in the quality of the built and natural environment of the borough. The scheme promotes an awareness of the need for high standards in design including planning, architecture, sustainable development and landscaping.

The awards are made every two years and the next one is due in 2015. It is important to ensure that outstanding design is identified and promoted especially when it preserves and enhances the CA.

### **4.4.2 Godalming Trust Design Awards**

The Godalming Trust runs a Design Awards to highlight outstanding design of new buildings, sympathetic restoration of old buildings, enhancements to the environment and the general ambience of the area. The Design Awards are run biennially, and the next Awards are to be held in 2016.

Recommendation:

Godalming Town Council are encouraged to nominate new, outstanding developments to the Waverley and Godalming Trust Design Awards.

## **4.5 Enhancement Schemes**

### **4.5.1 Poorly maintained private land**

Poorly maintained private land can significantly undermine the quality of the environment and there are small pockets in the CA where this appears to be a problem.

Recommendation:

Work with landowners to come to a suitable solution to improve badly maintained properties. In certain circumstances the Planning Enforcement Team at Waverley BC may take appropriate action such as issuing a notice under Section 215 (1) of the Town and Country Planning Act 1990 (as amended).

### **4.5.2 Utility companies**

Utility companies often carry out works on the highway within the CA (road or pavement). Utility companies (and their contractors) are required to ensure that the surface is made good, to the same standard that was originally there. In addition, it is understood that they can implement a temporary surface for a period of six months before making the area good. Within a CA unsatisfactory works by utility companies can undermine the character of the area and have a detrimental impact on the appearance of the street.

A Task Group at Surrey County Council (SCC) has produced a report: "Improving the Co-ordination and Quality of Work of Utilities Companies in Surrey", 10 January 2013 which considered the views of residents, Councillors, utilities companies and officers. The conclusions were that SCC could undertake a number of actions to work more effectively with utilities companies to improve the quality of street works in Surrey, minimising the disruption caused to residents and road users by:

- Communication
- Monitoring and Reporting
- Utility companies must apply for a permit from the Streetworks team at SCC.
- Improved working in areas with special conditions (*including Conservation Areas*).

Recommendation

Utility Companies should be made aware of the CAA document, and in particular be encouraged to ensure that their work is completed and 'made-good' as soon as practically possible. Where this has not happened (and within the existing guidance) the Streetworks team at SCC should be informed so that they can take appropriate action.

### **4.5.3 Standardisation of street furniture and de-cluttering**

It is important to reinforce the distinctiveness of Godalming Crownpits through a clear and consolidated approach to street furniture, including bollards, lamp posts, benches and litter bins.

In order to ensure consistency throughout the CA, coordinated street furniture should be implemented throughout the town and within new public realm schemes. Where this is not possible, the commissioning authority (whether it is Waverley, Surrey or Godalming Town Council) should contact the Planning Projects Team to discuss a suitable alternative.

Road markings should be kept to a minimum and thin (conservation area) double yellow lines should be used where necessary.

Improving the CA does not just mean the installation of new coordinated street furniture, it also means rationalising what is already there and removing or repositioning signage and street furniture that is no longer required or used. It also involves cleaning road signs on a regular basis.

#### Recommendation:

A Steering Group should conduct a survey with SCC to identify areas most in need, and specific signs to be removed. This could include:

- Redundant posts with no signage.
- Redundant signage no longer required.
- The rationalisation of signage and furniture where other, more appropriate signage/ furniture exists.
- Upgrade, clean or replace signage in poor repair.
- 

### **4.5.4 Traffic management**

High traffic levels on Brighton Road are a defining feature of the CA. Existing parking on-street serves both the residential properties and as an additional traffic calming measure to the existing raised tables.

#### Recommendation

There are no immediate changes proposed to the current arrangements, however it is recommended that, in conjunction with Surrey County Council, this is kept under review pending any advances in traffic management techniques.

#### **4.5.5 Relocate and upgrade noticeboard at north entrance to the recreation ground**

The existing noticeboard at the north of the recreation ground is in poor condition and is relatively inaccessible. It is therefore recommended that the noticeboard be updated, and possibly relocated to a more suitable location, such as next to the telephone box.

#### **4.5.6 Upgrade the bollards and metal barrier at north entrance to the recreation ground**

The bollards and metal barrier to the rear of the telephone box on the recreation ground are not in keeping with the aesthetics of the CA. It is therefore recommended that the bollard be replaced, possibly by a less intrusive wooden post, and the barrier be changed to traditional fencing, following that around the recreation ground.

#### **4.5.7 Interpretation panel**

The designation status, historic and architectural interest of Godalming Crownpits is relatively unknown by the residents of Godalming. Therefore it is proposed that an interpretation panel be positioned within the recreation ground, identifying the history and special interest of the area which has influenced the designation of the CA.

#### **4.5.8 Plant shrubs in front of the substation**

The brick substation situated on the south side of the recreation ground is intrusive to the appearance of the area. Therefore, it is recommended that planting of small shrubbery is used to soften the edges of the substation.

#### **4.5.9 Continued maintenance of trees in the recreation ground**

Continued maintenance of the trees in the recreation ground is recommended to ensure the footpath is accessible all year round and the recreation ground is kept tidy for those that live in the area.

#### **4.5.10 Re-paint and clean the listed telephone box**

The listed telephone box is still in working order, and is a pleasant feature within the CA. It is recommended that the telephone box be restored to its best condition through cleaning and re-painting where necessary.

### **4.6 Taking the CAA forward**

It is recognised that the CAA be a living document that informs the consideration of planning applications within the area. It also, through the Management Plan identifies the key environmental enhancements that are a priority for the CA. Whilst Waverley Borough Council has a key role in ensuring that the document is implemented and regularly reviewed, many of the Management Plan actions need to be co-ordinated with partner organisations such as Surrey County Council and Godalming Town Council. Without these partners involvement, many of the projects will neither be viable or achievable.

## **Appendices**

### **Appendix 1: Extracts from Waverley BC Local Plan 2002**

#### **Local Plan Policy HE8 – Conservation Areas**

The Council will seek to preserve or enhance the character of conservation areas by:

- (a) the retention of those buildings and other features, including trees, which make a significant contribution to the character of the conservation area;
- (b) requiring a high standard for any new development within or adjoining conservation areas, to ensure that the design is in harmony with the characteristic form of the area and surrounding buildings, in terms of scale, height, layout, design, building style and materials;
- (c) in exceptional circumstances, allowing the relaxation of planning policies and building regulations to secure the retention of a significant unlisted building;
- (d) protecting open spaces and views important to the character and setting of the area;
- (e) carrying out conservation area appraisals;
- (f) requiring a high standard and sympathetic design for advertisements. Internally illuminated signs will not be permitted;
- (g) encouraging the retention and restoration of shop fronts where much of the original detailing still remains. Alterations will take into account the upper floors in terms of scale, proportion, vertical alignment, architectural style and materials. Regard shall be paid to the appearance of neighbouring shop fronts, so that the proposal will blend in with the street scene.
- (h) encouraging the Highway Authority to have regard to environmental and conservation considerations in implementing works associated with its statutory duties, including the maintenance, repair and improvement of public highways and the provision of yellow lines, street direction signs and street lighting.

## Appendix 2 - Glossary of terms

IMPORTANT NOTE: This glossary does not provide legal definitions, but acts as a guide to key planning terms.

Building of Local Merit: BLM stands for Building of Local Merit. It is a building identified by Waverley as of local historic, architectural or townscape merit. Many local authorities have lists of such buildings, sometimes called the local list and sometimes Buildings of Townscape Merit (BTM). In Waverley we chose the designation BLM because it is less likely to be confused with statutory listed buildings and also recognises that not all our valuable buildings are within towns.

Conservation Areas: Areas designated by the Local Planning Authority under the Planning (Listed Buildings and Conservation Areas) Act 1990 Section 69 as being of special architectural or historic interest, the character of which it is desirable to preserve and enhance.

Development: Development is defined under the 1990 Town and Country Planning Act as “the carrying out of building, engineering, mining or other operation in, on, over or under land, or the making of any material change in the use of any building or other land.”

Galletting: Architectural technique of placing pebbles or flint in the mortar between bricks or stonework.

Heritage Assets: Parts of the historic environment which have significance because of their historic, archaeological, architectural or artistic interest.

Listed Building: A building of special architectural or historic interest. Listed buildings are graded I, II\* or II. Listing includes the interior as well as the exterior of the building, and any buildings or permanent structures (e.g. walls) within its curtilage. English Heritage is responsible for designating buildings for listing in England.

Local Plan: A development plan prepared by district and other local planning authorities.

Non-designated Heritage Asset:

These are buildings, monuments, sites, places, areas or landscapes that have not previously been formally identified but that have a degree of significance meriting consideration in planning decisions, because of its heritage interest.

National Planning Policy Framework:

Issued by central government setting out its planning policies for England and how these are expected to be applied. It sets out the Government's requirements for the planning system only to the extent that it is relevant, proportionate and necessary to do so. It provides a framework within which local people and their accountable councils can produce their own distinctive local and neighbourhood plans, which reflect the needs and priorities of their communities.

Strategic Housing Land Availability Assessment (SHLAA):

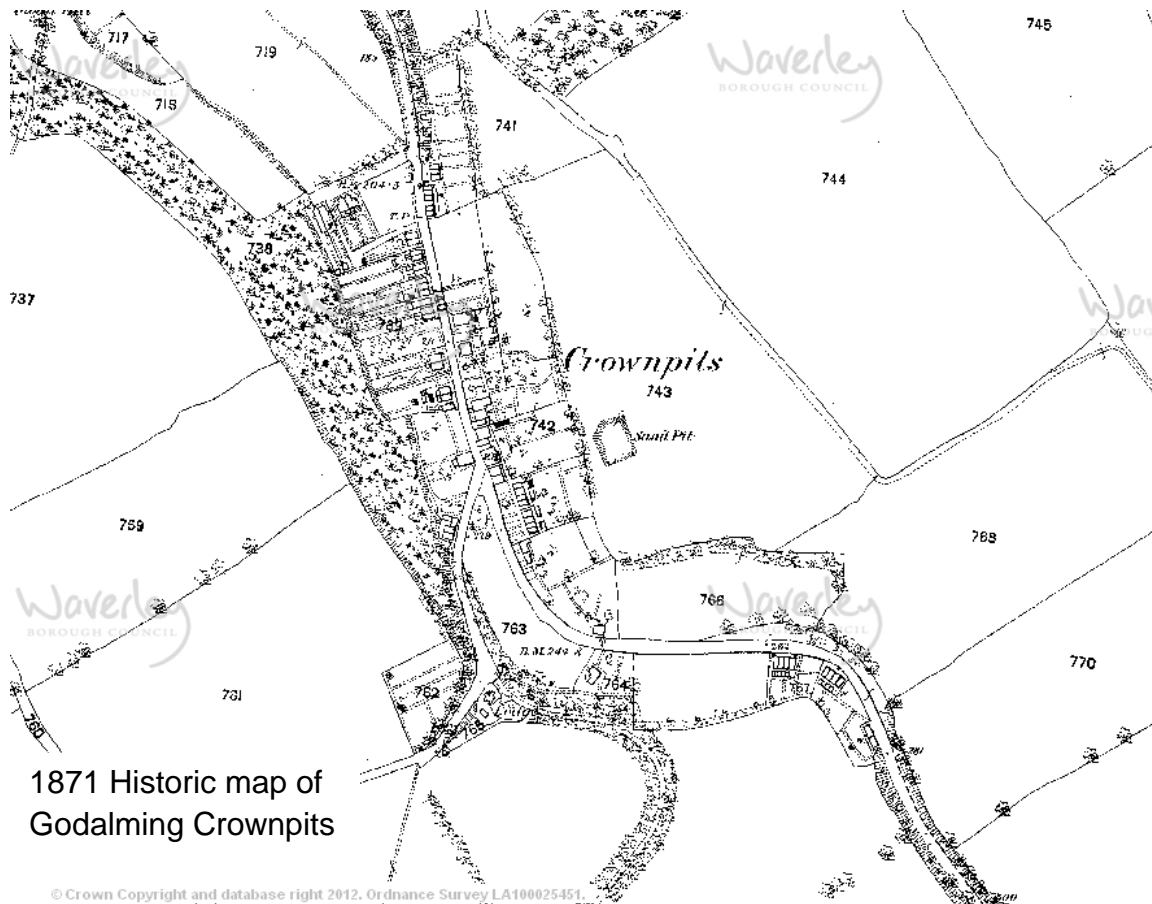
The SHLAA identifies a future supply of land which is suitable, available and achievable for housing uses over the plan period covered by the Local Plan. The SHLAA only identifies sites. It does not allocate sites to be developed (this is the role of the Local Plan). The identification of sites within the SHLAA does not imply that the Council would necessarily grant planning permission for residential (or other) development.

Vernacular:

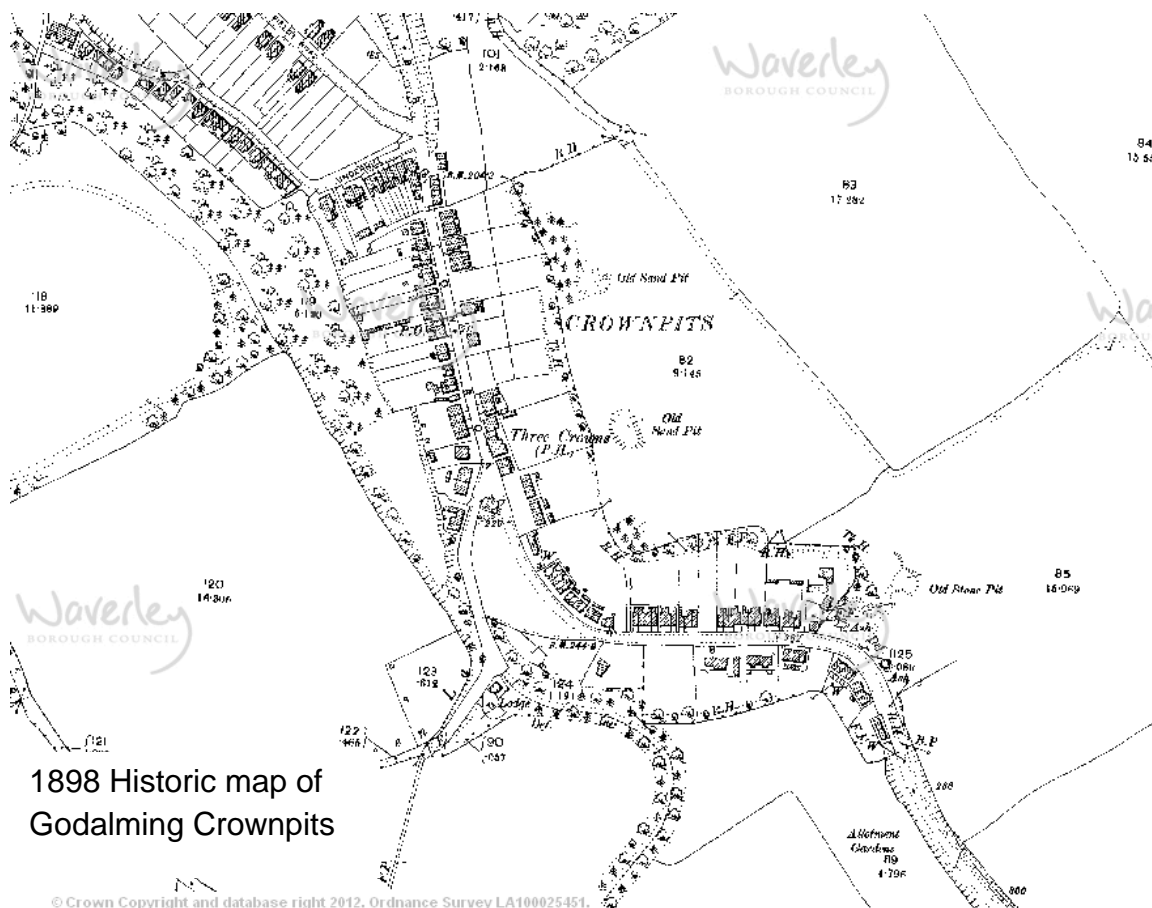
Traditional architecture using local materials and following well-tried forms and types. For example, the Surrey vernacular is typified by timber frames and tile hanging.



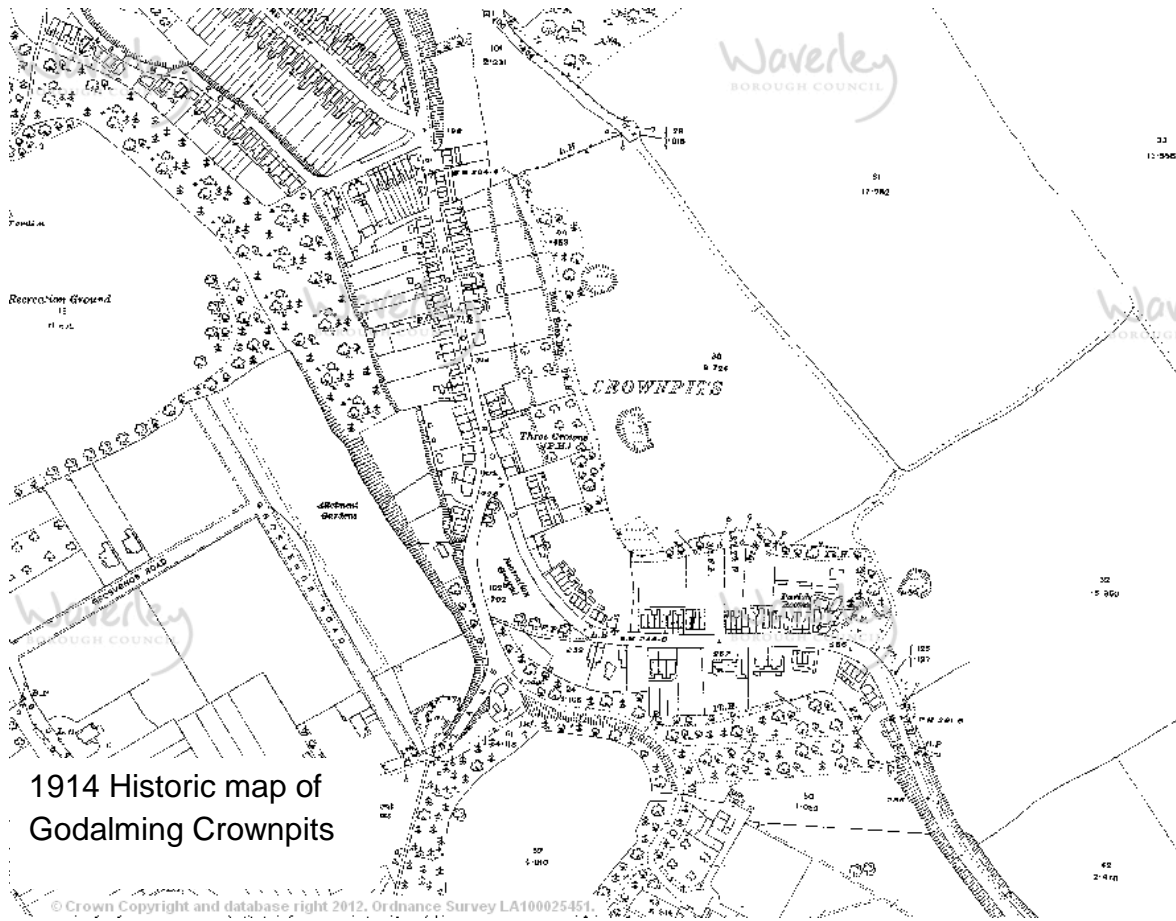
### Appendix 3: Historical maps



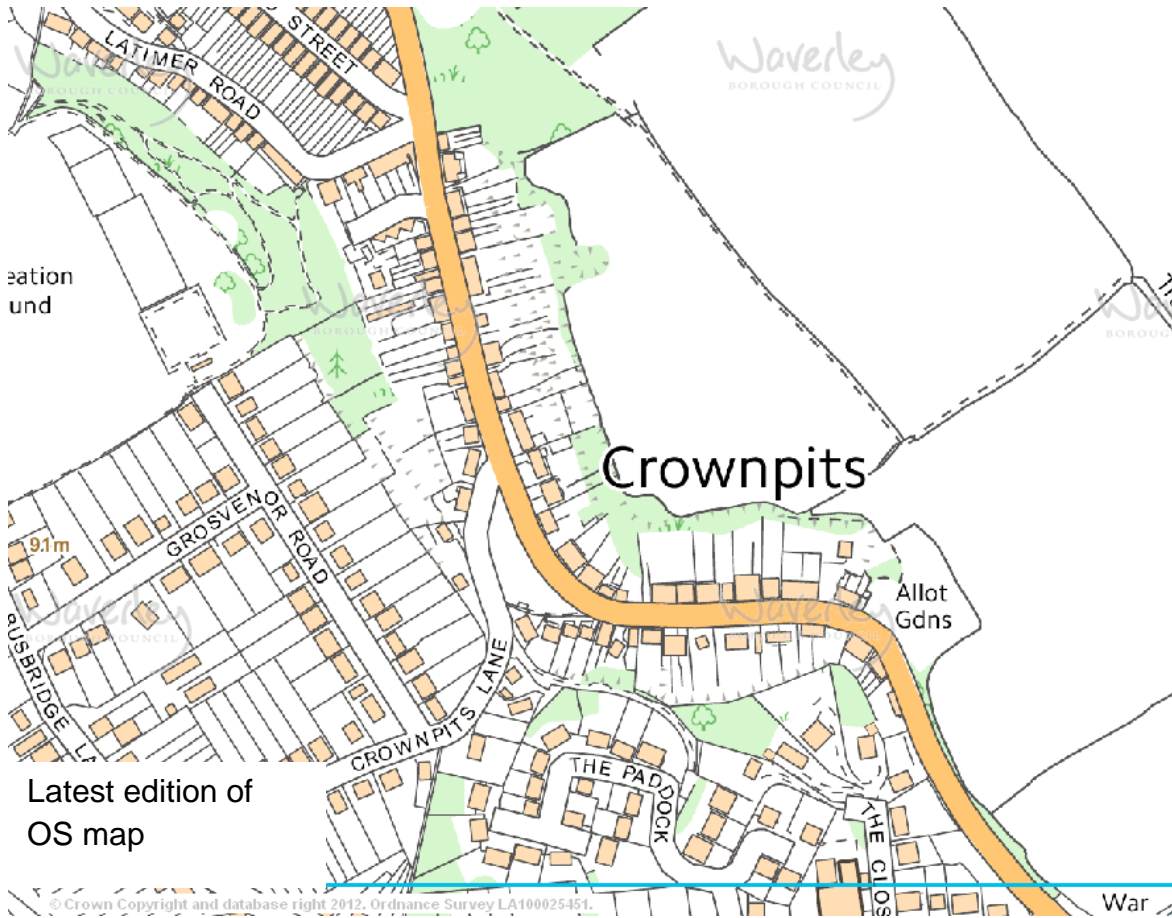
1871 Historic map of Godalming Crownpits



1898 Historic map of Godalming Crownpits



1914 Historic map of Godalming Crownpits



Latest edition of OS map

## **Consultation Statement**

### **Godalming Crownpits Conservation Area Appraisal (CAA)**

#### **Introduction**

Waverley Borough Council prepared a draft Conservation Area Appraisal for Godalming Crownpits and carried out an associated consultation. This report outlines how the consultation was undertaken, who was involved and how responses were considered.

#### **Consultation Process**

The consultation started on Friday 12 December 2014 for six weeks, ending on Friday 23 January 2015.

The following methods to inform the public of the consultation included:

- Letter to all residents and businesses in the CA
- Letter for key stakeholders including:
  - Town Council
  - Surrey County Council
  - Statutory consultees (English Heritage, Natural England and Environment Agency)
  - Relevant internal Waverley officers
  - Local Councillors

A hard copy of the draft Crownpits CAA document was made available at Planning Reception, Council Offices, Godalming (Monday to Thursday 9am – 5pm and Friday 9am – 4pm) and a copy could be viewed online at:

[www.waverley.gov.uk/crownpitscaa](http://www.waverley.gov.uk/crownpitscaa)

Whilst the consultation was focussed, it did not preclude other interested parties from responding. In addition to the webpage on the Council website, a press release (Appendix B) was issued to inform the public of the consultation.

A full summary of the consultation responses is set out below. The main issues have been identified as a result of this process and where practicable and appropriate, amendments made to the CAA.

A walkabout was conducted with Local and Town Councillors and environmental enhancement projects for the management plan were highlighted. This gave participants the opportunity to raise questions, but also to gain feedback on the content.

Respondents were able to comment of the draft Godalming Crownpits CAA in a variety of ways:

- Via the online Innovem (consultation) database accessed via the website (with no need to register)
- By email to the conservation inbox (conservation@waverley.gov.uk)
- By letter

A number of key questions were asked:

- Do you have any comments on the draft Godalming Crownpits Conservation Area Appraisal, and should it cover any other issues?
- Do you have any comments on the draft Management Plan, and should it cover any other issues?
- Do you believe the Godalming Crownpits Conservation Area boundary should be amended (either extended or reduced)? If so, please identify where the boundary should be extended or reduced, what it should include or exclude, and why?

### Consultation Responses

8 responses were received to the draft document. An additional anonymous response was also received. The responses fell into one of three categories:

- 1) Key consultees
- 2) General comments on the CAA and Management Plan
- 3) Comments suggesting amendments to boundary

The comments are summarised below.

#### 1) Key consultees

Consultee	Comment
English Heritage	<p>Consider the appraisal a thorough assessment of the CA which clearly identifies what is special about the Godalming Crownpits Conservation Area.</p> <p>Recommend further information regarding the setting of the CA in the wooded valley and how changes to this may impact on the character and appearance of the CA.</p> <p>Recommend assessment of small changes to the architectural detailing of the CA.</p> <p><b>Response: The report has been updated accordingly.</b></p>
Godalming Town Council (GTC)	GTC agreed they had no response.
Godalming Trust	<p>The CAA is well drafted and presented. Recommend inclusion of the Godalming Trust Design Awards within Section 4.4 'Celebration'.</p> <p><b>Response: The report has been amended accordingly.</b></p>
Natural England	No comment

## 2) General comments on the CAA and Management Plan

<b>Respondent comment</b>	<b>Waverley response</b>
Consideration should be given to more parking bays. Increased parking would mitigate issue of cars parking on yellow lines.	This is a specific Highways matter and not a matter which the CAA should address. However, the document recognises that parking is a significant issue within the Conservation Area (CA).
Parking bays on Brighton Road should be removed to allow free flow of traffic; the recreation area should be turned into a pay to use parking area for Crownpits residents as Holloway Recreation Ground is a short walk away.	From a conservation perspective Officers do not support this proposal as the recreation ground is integral to the character of the CA. It would be for the landowner to take such a proposal forward with Surrey County Council Highways.

## 3) Comments suggesting amendments to boundary

<b>Respondent comment</b>	<b>Waverley response</b>
Inclusion of Busbridge Church and the war memorial	Busbridge Church and the war memorial are located within the Munstead Conservation Area and are Grade II* and Grade II listed buildings respectively. They are better related to the Munstead CA and therefore inclusion within Godalming Crownpits is not necessary.
Inclusion of Holloway Hill recreation ground and the woodland which borders it looking down onto Brighton Road	The woodland, in part, is included within the CA. English Heritage guidance is clear that areas of open landscape which have no historical connection to the CA should not be included within the designation. Therefore the inclusion of Holloway Hill recreation ground is in part not necessary and in part not appropriate due to the current guidance.

## Next Steps

The consultation has informed the necessary amendments to the document before being submitted through the committee process (Executive and Full Council) for adoption as a material consideration in planning applications and to inform future environmental enhancement works.

## Appendix A – Consultees

- Surrey County Council
  - Highways & Parking
  - Landscape
  - Rights of Way
- Waverley Borough Council
  - Local Ward Councillors
  - Officers from Planning, Environmental Services (Rob Anderton), Community Services (Matt Lank/Jane Bowden),
- All commercial businesses in CA
- English Heritage
- Natural England
- Environment Agency
- Southern Water
- Godalming Town Council
- Godalming Trust
- The Owner/ Occupiers in:
  - Brighton Road
  - Crownpits Lane

# News Release

Issued by Waverley Borough Council

Date: 11 December 2014

## **Godalming Crownpits Conservation Area Consultation**

Local residents are encouraged to have their say on Waverley Borough Council's draft Conservation Area Assessment for Godalming Crownpits. The Crownpits were designated as a Conservation Area in 1984 and the current consultation is about enhancements and a possible extension to the area.

Councillor Brian Adams, Executive Member for Planning, said:

"Conservation Areas have considerable weight when determining planning applications. As one of 43 Conservation Areas in Waverley we are keen to ensure that the Crownpits area is preserved and enhanced. Local people can help to define what contributes to the special character, sense of place and historic context of the area and what improvements are needed".

Councillor Tom Martin, Ward Member for Godalming Holloway, hopes that local people will take a strong interest.

"The listed buildings and 19<sup>th</sup> Century bargate cottages give the area a special character. Upgraded signs, tree planting and a repaint of the telephone box are among the improvements that could be made. There is also potential to extend the Conservation Area to include more Victorian cottages. Local residents' views on these ideas and their suggestions for other enhancements will be highly valuable and I hope there will be a good response to the consultation".

The draft Godalming Crownpits Conservation Area Assessment is open for comment until 23 January 2015. It can be viewed online and comments can be submitted at [www.waverley.gov.uk/crownpitscaa](http://www.waverley.gov.uk/crownpitscaa).

A printed version of the document is also available at the planning reception of Waverley Borough Council, The Burys Godalming, GU7 1HR, and responses can be sent by email to [conservation@waverley.gov.uk](mailto:conservation@waverley.gov.uk) or by post for the attention of Jennifer Samuelson.

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## Domestic Abuse Policy

<b>Original Policy:</b> February 2015	<b>CMT Date:</b> 16/02/2015	<b>JCC Cons Date:</b> 02/03/2015	<b>Exec:</b>
<b>Full Council:</b>	<b>Next Review:</b>	<b>Uploaded:</b>	

## **Domestic Abuse Policy**

### **1. Policy**

1.1. Waverley Borough Council recognises the damaging nature of domestic abuse and the serious impact it can have in the workplace in terms of the morale, health, wellbeing and self confidence of an employee. It can affect performance at work and can result in:

- Employee absenteeism and turnover
- Reduced work performance
- Stress and anxiety
- Concerns over the safety of employees

1.2. Through appropriate support and management action, Waverley aims to maintain a high performing staff team to deliver high quality services to the community.

1.3. Waverley is committed to supporting staff affected by domestic abuse through:

- Encouraging employees experiencing domestic abuse to confidentially raise the issue at work, without fear of stigma or victimisation
- Publicising within the Council offices and on Backstage, those organisations which can offer appropriate support and assistance
- Responding sensitively and effectively to those needing help and support
- Ensuring all line managers are aware of domestic abuse and its implications in the workplace

1.4. The procedure, gives guidance on how to recognise and support employees who are victims of domestic abuse.

### **2. Background**

2.1. Domestic abuse occurs regardless of gender. Whilst one in four women will experience domestic abuse at some point in their lifetime and research shows that women are more likely to suffer more serious injury and ongoing assaults than men, it should be acknowledged that men can experience domestic abuse from their female partner and that domestic abuse also occurs in same-sex relationships.

2.2. It is therefore likely that all workplaces, including Waverley, will have staff that have experienced or are experiencing domestic abuse as well as those who are perpetrators of abuse. Research also shows that whilst for some, the workplace can be a place of safety, 75% of those experiencing domestic abuse are targeted by the abuser whilst at work.

### **3. What is Domestic Abuse?**

The UK Government's definition of domestic abuse is:

- 3.1. "Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 or over who are, or have been, intimate partners or family members regardless of gender or sexuality. This can encompass, but is not limited to, the following types of abuse: psychological, physical, sexual, financial, and emotional.
    - 3.1.1. Controlling behaviour is: a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.
    - 3.1.2. Coercive behaviour is: an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim."
  - 3.2. Domestic abuse can go beyond actual physical violence. It can also involve emotional abuse, destructive criticism, pressure tactics, disrespect, breaking trust, isolation from friends, family or other potential sources of support, control over access to money, personal items, food, transportation and the telephone, and stalking.
  - 3.3. It can also include abuse inflicted on, witnessed by or threatened against children. It should be remembered that any children within the household or linked to relationships will be adversely affected by seeing or hearing such abuse and may be injured as part of the abuse or as a result of intervening during episodes of abuse.
  - 3.4. Domestic abuse occurs in all social classes, cultures, and age groups whatever the sexual orientation, mental or physical ability. Once it has started it often becomes more frequent and more violent.
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**TREASURY MANAGEMENT FRAMEWORK 2015/16**

**STATEMENT OF TREASURY MANAGEMENT POLICY**

**Overview**

The Council adopts the key recommendations of CIPFA's Treasury Management in the Public Services: Code of Practice (the Code), as described in Section 5 of the Code. The full Code is available for Members on request and identifies 3 key principles which organisations should apply:

- 1) formal and comprehensive objectives, policies and practices, strategies and reporting arrangements for the effective management and control of treasury management activities should be put in place,
- 2) effective management and control of risk are the prime objectives of Treasury Management and are the responsibility of the Council. Waverley's Treasury Management Strategy must make clear its appetite for risk, the use of which financial instruments are allowed for the prudent management of those risks and that priority is given first to security, then to liquidity and last to yield.
- 3) treasury management policies and practices should reflect that the pursuit of value for money is nevertheless important and performance measures are important and valid tools to be used in support of this.

Accordingly, the Council will create and maintain, as the cornerstones for effective Treasury Management:

- A treasury management policy stating the policies, objectives and approach to risk management of its treasury management activities.
- A treasury management strategy on at least an annual basis including approved treasury management practices (TMPs), setting out the manner in which the Council will seek to achieve its policy objectives, and prescribing how it will manage and control those activities.

The content of the policy, strategy and TMPs will follow the recommendations contained in the Code, subject only to amendment where necessary to reflect the particular circumstances of this Council. Such amendments will not result in the organisation materially deviating from the Code's key principles.

The Council will receive reports on its treasury management policy and practices and the Executive will receive reports on treasury activities and performance, including as a minimum, the annual strategy in advance of the year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.

The Council delegates responsibility for the regular monitoring of its Treasury Management Policy and practices to the Executive, and for the execution and administration of day to day treasury management decisions to the Director of Finance and Resources (Section 151 Officer) who will act in accordance with the Waverley's Policy, Strategy and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

The Council nominates the Corporate Overview and Scrutiny Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.

**Overall policy:**

Waverley Borough Council defines its treasury management objectives as:

The effective management of the Council's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks in order to ensure that financial resources are available at the right time to deliver the Council's service priorities.

**Risk:**

Waverley regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation and any financial instruments entered into to manage these risks.

**Value for money:**

Waverley acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives and is therefore committed to the principles of achieving value for money in treasury management and to employing suitable performance monitoring arrangements within the context of effective risk management.

**Borrowing:**

The Council's borrowing will be affordable, sustainable and prudent and consideration will be given to the management of interest rate risk and refinancing risk. The source from which the borrowing is taken and the type of borrowing should ensure the Council is transparent and has flexibility and control over its debt.

**Investment:**

Waverley's primary objective in relation to investments remains the security of capital. The liquidity or accessibility of the Authority's investments followed by the yield earned on investments remain important but are secondary considerations.

**Treasury Management Strategy Statement 2015/16**  
**(incorporating Treasury Management Practice statements)**

**Overall policy:**

The major objective of managing daily cash balances to meet cash flow commitments remains the priority.

**Investments:**

Waverley's policy is to give security of investment a higher priority than rate of return/yield. Waverley's strategy and day to day practice, therefore, continue to be refined, within the boundaries agreed in the Annual Investment Strategy, in response to market conditions.

Currently, Local Authorities' legal power to use derivative instruments remains unclear. The General Power of Competence enshrined in the Localism Bill is not considered sufficiently explicit. Consequently, Waverley does not intend to use derivatives. Should this position change, the Council may seek to develop a detailed and robust risk management framework governing the use of derivatives, but this change in strategy will require full Council approval.

**Risk:**

Waverley acknowledges that no treasury management activity is without risk. The major area of risk is identified as investment risk. Risks will be mitigated in a number of ways as set out in accordance with the specified Treasury Management Practices and Annual Investment Strategy. The cornerstones of current investment strategy are:

- to restrict lending to only those institutions which fit the Council's policy in terms of financial standing, credit ratings etc;
- generally to restrict lending to the shorter-term (typically 6 months or less) or to cover precept dates for the remainder of the year, except where the Director of Finance and Resources or Head of Finance agree to an investment over a longer period if interest rates are favourable, and within Waverley's criteria;
- to fix financial limits to each institution depending the quality of their financial ratings,
- to make all cash investments in GBP sterling in order to avoid exchange rate risk,
- that Waverley's general preference is for fixed rate investments for budgetary certainty and the avoidance of yield risk.
- To consider other forms of investment, such as property acquisitions, on a case by case basis subject to a comprehensive business case being presented to Members including analysis of risk and viability.

The Council is also committed to using available market intelligence to aid investment and borrowing decision making.

## **Value for money:**

Waverley is committed to the pursuit of value for money in its Treasury Management function and to use performance methodology in support of that aim. This will be achieved through the formal reporting process set out in the Treasury Management Practices as well as the use of comparative performance indicators (including Prudential Indicators) for its investment returns and costs.

## **Borrowing:**

Waverley borrowed £189m in March 2012, £5m of which was borrowed internally, for the purposes of HRA self-financing implementation. The Council adopted a flexible approach to this borrowing in consultation with treasury management advisers and in accordance with the approved HRA Financing Strategy approved by Council on 21<sup>st</sup> February 2012.

The following issues will be considered prior to undertaking any external borrowing:

- Affordability
- Maturity profile of existing debt
- Interest rate and refinancing risk
- Borrowing source

It may be advantageous in future with the HRA debt, as the Business Plan is developed, to reschedule some of the debt. Waverley's debt portfolio can be restructured by prematurely repaying loans and refinancing them on similar or different terms to achieve a reduction in risk, savings in interest costs and/or to meet changing cash demands. The rationale for undertaking any future HRA debt rescheduling would be one or more of the following:

- Interest rate savings and premiums
- Rebalancing the interest rate structure of the debt portfolio
- Changing the maturity profile of the debt portfolio

Currently there is no planned long/medium term borrowing planned in respect of General Fund services. Temporary borrowing for the purposes of financing day to day expenditure commitments is allowed for short periods if economic on the day. All borrowing activity will be reported to the Executive.

Overall, borrowing will be managed within the Authorised Limit for External Debt (See Prudential Indicator 5) and the HRA debt will not exceed the specified statutory cap.

*Minimum Revenue Provision (MRP) Annual Policy Statement* - The scheme of Minimum Revenue Provision (MRP) requires Local Authorities to set aside some of their revenues as provision for debt each year of an amount considered to be 'prudent'. Prudent provision should ensure that debt is repaid over a period that is reasonably commensurate with that over which the capital expenditure provides benefits, or, in the case of borrowing supported by Government Revenue Support Grant, the period implicit in the grant determination.

Following the implementation of International Financial Reporting Standards, finance leases may also be subject to the requirements of MRP. However, borrowing to finance capital expenditure on housing assets is not subject to MRP.



Guidance on MRP has been issued by the Department of Communities and Local Government. The guidance sets out options for making a prudent provision for MRP. If the Council undertakes borrowing requiring an MRP provision, it will apply the most appropriate option having regard to the guidance. A more detailed statement on the MRP policy adopted will then be submitted to Council.

## **TREASURY MANAGEMENT PRACTICES (TMP)**

### **TMP1 RISK MANAGEMENT**

#### **General Statement**

The Director of Finance and Resources, (Section 151 Officer) will design, implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy/suitability thereof, and report as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the organisation's objectives in this respect, all in accordance with the procedures set out in *TMP6 Reporting requirements and management information arrangements*. In respect of each of the following risks, detailed arrangements, which seek to ensure compliance with these objectives, are set out in 'Additional Information' schedules that were agreed with the Portfolio Holder for Finance and the Director of Finance and Resources in March 2010.

#### **Credit and Counterparty Risk Management**

The key risk in Waverley Borough Council's treasury management activities is the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with which funds may be deposited and will limit its investment activities to the instruments, methods and techniques referred to in *TMP4 Approved instruments methods and techniques*.

#### **Liquidity Risk Management**

Waverley Borough Council will ensure it has adequate cash resources, borrowing arrangements, overdraft or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business/service objectives.

Waverley Borough Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current approved capital programme or to finance future debt maturities. The statutory HRA debt transaction has already been undertaken.

#### **Interest Rate Risk Management**

Waverley Borough Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements, as revised, in accordance with *TMP6 Reporting requirements and management information arrangements*. It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of interest rates. This should be subject to the consideration and, if required, approval of any policy or budgetary implications considered by the Executive as appropriate.

## **Exchange Rate Risk Management**

Waverley Borough Council's current approved policy allows cash investments solely in GBP sterling and, accordingly, does not have an exchange rate risk management strategy at this time. Should market conditions change such that foreign currency deals become appropriate, this Treasury Management Practice will be developed to cover this.

## **Refinancing Risk Management**

Waverley Borough Council will ensure that its borrowing is structured and documented, and the maturity profile of the debt is managed with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to Waverley as can reasonably be achieved in the light of market conditions prevailing at the time.

## **Legal and Regulatory Risk Management**

Waverley Borough Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. In framing its TMP1[1] *credit and counterparty risk management*, it will ensure that there is evidence of counterparties' powers, authority and compliance in respect of the transactions they may effect with Waverley, particularly with regard to duty of care and fees charged.

Waverley Borough Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as it is reasonably able to do so, will seek to minimise the risk of these impacting adversely on the Council.

## **Fraud, Error and Corruption, and Contingency Management**

Waverley Borough Council will ensure that it has identified the circumstances, which may expose it to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings. Accordingly, it will employ suitable systems and procedures, and will maintain effective contingency management arrangements, to these ends.

## **Market Risk Management**

Waverley Borough Council will ensure that its stated treasury management policies and objectives do not expose the Council to the risk of adverse market fluctuations in the value of the principal cash sums it invests and will accordingly protect itself from the effects of such fluctuations.

## **TMP2 PERFORMANCE MEASUREMENT**

Waverley Borough Council is committed to the pursuit of value for money in its treasury management activities, and to the use of performance methodology in support of that aim, within the framework set out in its treasury management policy statement.

Accordingly, the treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated business or service objectives.

## **TMP3 DECISION-MAKING AND ANALYSIS**

Waverley Borough Council will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions, both for the purposes of learning from the past, and for demonstrating that reasonable steps were taken to ensure that all issues relevant to those decisions were taken into account at the time.

## **TMP4 APPROVED INSTRUMENTS, METHODS AND TECHNIQUES**

Waverley Borough Council will undertake its treasury management activities by employing only those instruments, methods and techniques detailed in the Treasury Management Strategy and Annual Investment Strategy, and within the limits and parameters defined in TMP1 *Risk management*.

Should Waverley decide in future to use derivative instruments for the management of risks, these will be limited to those set out in its annual treasury strategy. The organisation will seek proper advice and will consider that advice when entering into arrangements to use such products to ensure that it fully understands those products

## **TMP5 ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS**

Waverley Borough Council considers it essential, for the purposes of the effective control and monitoring of its treasury management activities, for the reduction of the risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times a clarity of treasury management responsibilities.

The principle on which this will be based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling these policies, particularly with regard to the execution and transmission of funds, the recording and administering of treasury management decision, and the audit and review of the treasury management function.

If the Council has to depart from these principles, the Director of Finance and Resources will ensure that the reasons are properly reported in accordance with TMP6 *Reporting requirements and management information arrangements* and the implications properly considered and evaluated.

The Director of Finance and Resources will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management and the arrangements for absence cover. The responsible officer will also ensure that at all

times those engaged in treasury management will follow the policies and procedures set out.

The delegations to the Director of Finance and Resources in respect of treasury management have been agreed with the Portfolio Holder for Finance and the Director of Finance and Resources in March 2010. The Director of Finance and Resources will fulfil all such responsibilities in accordance with the Council's policy statement and TMPs and CIPFA's *Standard of Professional Practice on Treasury Management*.

#### **TMP6 REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS**

Waverley Borough Council will ensure that regular reports are prepared and considered on:

- the implementation of its treasury management policies
- the effects of decisions taken and transactions executed in pursuit of those policies
- the implications of changes, particularly budgetary, resulting from regulatory economic, market or other factors affecting its treasury management activities
- the performance of the treasury management function.

As a minimum:

The Executive will receive:

- An annual report on the strategy to be pursued in the coming year;
- Quarterly monitoring reports on treasury management activities and risks;
- An annual report on the performance of the treasury management function, on the effects of the decisions taken and the transactions executed in the past year, and on any circumstances of non-compliance with the organisation's treasury management policy statement and TMPs.

The Corporate Overview and Scrutiny Committee will have responsibility for the scrutiny of treasury management policies and practices and will receive the annual strategy documents for comment and periodic performance reports.

#### **TMP7 BUDGETING, ACCOUNTING AND AUDIT ARRANGEMENTS**

The Director of Finance and Resources will prepare, and the Council will approve and, if necessary, from time to time will amend, an annual budget for treasury management, which will bring together all of the costs involved in running the treasury management function, together with associated income. The matters to be included in the budget will at a minimum be those required by statute or regulation, together with such information as will demonstrate compliance with TMP1 *Risk management*, TMP2 *Performance measurement* and TMP6 *Approved instruments, methods and techniques*. The Director of Finance and Resources will exercise effective controls over this budget and will report upon and recommend any changes required in accordance with TMP6 *Reporting requirements and management information arrangements*.

The Council will account for its treasury management activities, for decisions made and transactions executed, in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being.

## **TMP8 CASH AND CASH FLOW MANAGEMENT**

Unless statutory or regulatory requirements demand otherwise, all monies in the hands of the Council will be under the control of the Director of Finance and Resources, and will be aggregated for cash flow and investment management purposes. Cash flow projections will be prepared on a regular and timely basis and the Director of Finance and Resources will ensure that these are adequate for the purposes of monitoring compliance with TMP1[1] liquidity risk management.

## **TMP9 MONEY LAUNDERING**

Waverley Borough Council is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, the Council will maintain procedures for verifying and recording the identity of counterparties and reporting suspicions, and will ensure that staff involved in this are properly trained. The present arrangements, including the name of the officer to whom reports should be made have been agreed by the Audit Committee.

## **TMP10 TRAINING AND QUALIFICATIONS**

Waverley Borough Council recognises the importance of ensuring that all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will therefore seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The Director of Finance and Resources will recommend and implement the necessary arrangements.

The Director of Finance and Resources will ensure that Members tasked with treasury management responsibilities, including those responsible for scrutiny, have access to training relevant to their needs and those responsibilities.

Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

## **TMP11 USE OF EXTERNAL SERVICE PROVIDERS**

Waverley Borough Council recognises that responsibility for treasury management decisions remains with the Council at all times. The Council recognises that there may be potential value in employing external providers of treasury management services, in order to acquire access to specialist skills and resources. When it employs such service providers, it will ensure it does so for reasons, which have been submitted to a full evaluation of the costs and benefits. The Council will also ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review. Where services are subject to formal tender or re-tender arrangements, legislative requirements will always be observed. The monitoring of such arrangements rests with the Director of Finance and Resources.

## **TMP12 CORPORATE GOVERNANCE**

Waverley Borough Council is committed to the pursuit of proper corporate governance throughout its businesses and services, and to establishing the principles and practices by which this can be achieved. Accordingly, the treasury management function and its activities will be undertaken with openness and transparency, honesty, integrity and accountability.

The Council has adopted and has implemented the key principles of the Code. This, together with the other arrangements detailed for review as mentioned in this document, are considered vital to the achievement of proper corporate governance in treasury management, and the Director of Finance and Resources will monitor and, if and when necessary, report upon the effectiveness of these arrangements.

## **Annual Investment Strategy 2015-16**

The Annual Investment Strategy is required under the Treasury Management code of Practice and statutory Investment Guidance issued by the Department of Communities and Local Government. Waverley's primary objective in relation to the investment of public funds remains the security of capital. The liquidity or accessibility of the Authority's investments and the yields earned on investments are important but are secondary considerations.

The 2015/16 Strategy is framed against this backdrop of continued uncertainty in the market. On a local level, the Strategy also recognises the significant levels of cash currently held by Waverley, mainly due to the accumulated HRA funds which will be spent on new affordable homes as schemes are delivered.

The capital finance regulations require the Council to determine a number of limits and guidelines for its investment activity including 'specified' and 'non-specified' investments. Specified investments are those held in sterling with a maturity of no more than a year and must be with the UK Government, UK local authorities or "high" credit rated institutions. Non-specified investments are any investments that do not meet the above criteria.

To meet the requirements of the Regulations it is proposed that the following policy and limits apply to all of Waverley's investment activity in 2015/16:

- Cash investments only with UK Local Authorities and the UK Government and institutions assessed as having a 'high credit quality'
- 'High credit quality' means having AAA rating for sterling money market funds or a minimum rating of A- for any banks and building societies, and being considered to have high credit credentials after taking account of the factors listed below.
- Waverley will not make any non-specified cash investments, other than when the investment is non-specified by virtue of it being for a period of more than one year, subject to it being an approved counterparty and an assessment of risk.
- £10million is the maximum investment in any single specified organisation at any one time.
- £15m is the total investment with any group - £7.5m remaining the maximum with any single member of that group
- Up to date information gathered by officers, together with specialist advice if appropriate, will be used to ensure compliance with the strategy
- Every investment will have a ratings check on the day of the investment and a list of potential counterparties will be prepared and approved by the S151 Officer before 1st April each year and updated throughout the year
- The maximum total investment at any one time that can prudently be committed for more than one year is £10 million.
- If cashflow certainty can be demonstrated over a longer term, Waverley will consider investing in property provided that a business case is presented to Members including a risk and viability assessment.
- The Director of Finance and Resources can seek the approval of the Executive to change the above limits during the year if necessary, provided that it is in the best interests of the Council to do so.



The proposed boundaries set out above remain as previously. In practice, the continuing market conditions will mean that controls may be tightened further, within the bounds of the approved policy, to create as much security as possible for Waverley's investment portfolio. These measures include:

- The major objective of managing daily cash balances to meet cash flow commitments remains the priority although it is recognised that the HRA cashflows are now significant and greater certainty exists so longer term investment decisions are possible
- In addition to the thresholds above, the maximum amount invested in any single specified organisation will generally be restricted to no more than 20% of the overall total external investments at that time
- Short term lending, generally targeted at up to 6 month, is generally judged to generate the best balance of return to risk, and most of Waverley's investment will fall into this category; although any opportunities in the yield curve with longer term investments may be taken
- Investments are also monitored on a sector basis and judgments made as to the appropriate level within each sector taking into account appropriate treasury management information
- General Market information is also used to enable some targeting of investment partners and the objective views of the credit agencies still have a value and are monitored more regularly.
- Close monitoring of credit ratings at the point of transaction including consideration of the 'future outlook' assessment.
- Increased frequency of updating the list of preferred organisations for investment with reduced working maximum limits for lower rated counterparties.

In order to continually review the Council's counterparty list and to make a judgement about whether a counterparty has a 'high credit quality', officers will gather and consider information such as:

- Credit rating 'future outlook' assessments
- Published credit ratings for financial institutions
- Economic fundamentals
- Share Prices
- Corporate developments, news, articles, markets sentiment and momentum

A major problem in the current environment is acknowledged as finding an investment counterparty providing acceptable levels of counterparty risk. In order to diversify an investment portfolio largely invested in cash, investments will be placed with a range of approved investment counterparties in order to achieve a diversified portfolio of prudent counterparties, investment periods and rates of return. Maximum investment levels with each counterparty within the limits set out in this Strategy will be set to ensure prudent diversification is achieved.

**Banking** - Waverley banks with HSBC. At the current time, HSBC meets the minimum credit criteria of 'A' long term. The Council continues to monitor the credit rating of HSBC and would report to Members if any major concerns emerged. If the credit rating falls below the Authority's minimum criteria HSBC would have to be used in the short term for business continuity and liquidity requirements.

However, in practice, it would be impossible to restrict the Council's own bank, HSBC, to the same £limits as other investment counterparties because there are many instances when cash in excess of £10m is moving through the Council's HSBC bank accounts. Given also that it is likely that there will often be occasions when Waverley has more cash than the total of its approved counterparty limits, it is therefore necessary to specifically exclude HSBC's banking activities from the £10m limit. It should be noted that existing HSBC bank accounts are all instant access.

**Training** - CIPFA's Code of Practice requires the *responsible officer* to ensure that all members tasked with treasury management responsibilities, including scrutiny of the treasury management function, receive appropriate training relevant to their needs and understand fully their roles and responsibilities. Waverley's approach to training is set out in the schedule supporting Treasury Management Practice (TMP) 10.

## **Prudential Indicators**

To fulfil the requirements of the Prudential Code, the Council must produce and maintain a specified set of 'Prudential Indicators'. In setting and revising these indicators, and more importantly in any decision on borrowing, the Council must take into account affordability, eg implications for Council Tax and housing rents and prudence and sustainability, eg implications for external borrowing. All of the required Prudential Indicators are included below. Explanatory text is included where necessary.

The prudential indicators are there to support decision-making and are not designed to be comparative performance indicators with other councils. The indicators which require future forecasts are rolling scenarios, not fixed for the three-year period. They can be reviewed at any time by the S151 Officer, subject to Council approval. The S151 Officer must monitor performance against each indicator during the year.

There are other major decisions for the Council in the next few years that may have a significant impact on capital financing decisions, such as the ongoing development of the HRA Business Plan and the Brightwells development. As these details become available, the indicators will be reviewed and, if necessary, reconsidered by Members.

### **Indicator 1 - Estimates of capital expenditure**

	<b>2013-14 £000 Actual</b>	<b>2014-15 £000 Latest Estimate</b>	<b>2015-16 £000 Estimate</b>	<b>2016-17 £000 Estimate</b>	<b>2017-18 £000 Estimate</b>
General Fund	1,675	8,016	3,417	1,993	724
HRA	12,255	17,347	21,404	17,888	20,745
<b>Total</b>	<b>13,930</b>	<b>25,363</b>	<b>24,821</b>	<b>19,881</b>	<b>21,469</b>

These estimates are as included in the capital programme report and, in the case of the previous year's actuals, as shown in the Statement of Accounts.

### **Indicator 2 - Estimates of the ratio of financing costs to net revenue stream**

	<b>2013-14 Actual</b>	<b>2014-15 Estimate</b>	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
General Fund	-2.92%	-2.49%	-2.50%	-2.59%	-2.69%
HRA	19.73%	20.02%	19.14%	18.51%	17.73%

The net revenue stream is the total net expenditure to be met from Government grant and local taxpayers or, in the case of the HRA, the net amount to be met from rent income. Financing costs are the net of any interest on borrowing, interest earned on investments and any amounts made as revenue provision to repay debt.

The estimates of financing costs include current commitments and the proposals in the budget report. At 31st March 2014, investments totalling £44million were held, much of which represent balances and reserves, with the balance being held for cash flow purposes. The projected reduction in the General Fund ratio reflects estimates of the overall draw on capital receipts and other internal resources to fund the capital

programme. The HRA figures are determined by Regulations and reflect the external borrowing rate on the self-financing debt.

### **Indicator 3 - Capital financing requirement**

	<b>2013-14 £000 Actual</b>	<b>2014-15 £000 Estimate</b>	<b>2015-16 £000 Estimate</b>	<b>2016-17 £000 Estimate</b>	<b>2017-18 £000 Estimate</b>
General Fund	863	1,500	0	0	0
HRA	192,793	192,793	192,793	192,793	192,793
<b>Total</b>	<b>193,656</b>	<b>194,293</b>	<b>192,793</b>	<b>192,793</b>	<b>192,793</b>

This indicator is a measure of the underlying need to borrow for capital purposes, it is not the level of actual borrowing held or required or of the actual level of other capital resources held. The requirement increases as capital expenditure is incurred or planned, and reduces when financing from capital receipts, grants or revenue is applied. The HRA self-financing debt is deemed to be capital expenditure under the regulations. The calculation of the CFR is taken from the amounts held in the Balance Sheet relating to capital expenditure and its financing.

Waverley intends to finance most of its General Fund routine capital programme from existing resources in the medium term. The programme will be reviewed as part of each year's General Fund budget setting process to match planned expenditure to the level of resources available.

### **Indicator 4 - Actual External Debt**

<b>Actual External Debt as at 31/03/2014</b>	<b>£m</b>
Borrowing	187.0
Other Long-term Liabilities	0.9
<b>Total</b>	<b>187.9</b>

This indicator is obtained directly from the Council's balance sheet. It is the closing balance for actual gross borrowing plus other long-term liabilities. This Indicator is measured in a manner consistent for comparison with the Operational Boundary and Authorised Limit. The HRA self-financing transaction included internal borrowing of £5m from the General Fund which is not included in the prudential indicators.

### **Indicator 5 - Authorised limit for external debt**

	<b>2014-15 Estimate</b>	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
General Fund	£5m	£5m	£5m	£5m
HRA	£188m	£188m	£188m	£188m
<b>Total</b>	<b>£193m</b>	<b>£193m</b>	<b>£193m</b>	<b>£193m</b>

The Authorised Limit sets the maximum level of external borrowing on a gross basis (ie not net of investments) for the Council. It is measured on a daily basis against all external borrowing items on the Balance Sheet ie long and short term borrowing, overdrawn bank balances and long term liabilities. This Prudential Indicator separately identifies borrowing from other long term liabilities such as finance leases.

Whilst cash flows are currently managed using the investment portfolio, it is possible that short-term borrowing may be necessary. As the indicators in this report show, other than the £187m self-financing external debt on the HRA, a significant amount of borrowing for capital purposes is not currently expected to be necessary in the short term. However, it is sensible to have in place an authorised borrowing limit at a prudent level to enable treasury activity if necessary. In approving this limit, the Council is approving the limit as required under section 3(1) of the Local Government Act 2003.

The Authorised Limit has been set on the estimate of the most likely, prudent but not worst case scenario with sufficient headroom over and above this to allow for unusual cash movements.

**Indicator 6 - Operational boundary for external debt**

	<b>2014-15 Estimate</b>	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
General Fund	£5m	£5m	£5m	£5m
HRA	£188m	£188m	£188m	£188m
<b>Total</b>	<b>£193m</b>	<b>£193m</b>	<b>£193m</b>	<b>£193m</b>

The operational boundary for external debt is the most likely, prudent but not worst-case scenario, without the additional headroom allowed for in the authorised limit to allow for unusual cash movements. As the authorised limit for external debt is currently intended to cover mainly cash flow movements and the £187m HRA self-financing external borrowing, it is not necessary to set the operational boundary at a lower level. If a greater degree of borrowing for capital purposes is required in the future, both indicators will be reviewed.

**Indicator 7 - Incremental impact of current capital investment decisions on the council tax**

	<b>2015-16 £000 Estimate</b>	<b>2016-17 £000 Estimate</b>	<b>2017-18 £000 Estimate</b>
For Band D Council Tax	Nil	Nil	Nil
For average weekly housing rents	Nil	Nil	Nil

This indicator shows the impact of the capital investment decisions on the Council Tax and rent levels. It allows the totality of the Council’s plans to be considered at budget setting time. Whilst this is an indicator that Members must consider when taking decisions on borrowing, it doesn’t necessarily follow that council tax or rent has actually been increased by the amount shown in the indicator.

In reality, due to the pressures on Waverley’s budget, any net cost of borrowing will have to be offset by savings in other budgets, therefore the impact on the council taxpayer in cash terms would be zero. This is currently the intention with any future borrowing for General Fund capital schemes. The self-financing debt on the HRA does not impact adversely on housing rents as the HRA 30-year business plan is modelled to meet interest and principal repayments from the cessation of negative housing subsidy payments. If this position changes in the future, this indicator will be revised and reported to Members for approval.

### **Indicator 8 – Limits on Investments**

	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
The upper limit on fixed rate investments as a % of net outstanding principal sums	100%	100%	100%
The upper limit on variable rate investments as a % of net outstanding principal sums*	10%	10%	10%

\*Excludes money held in call or instant access deposit accounts

These indicators allow the Council to manage the extent to which it is exposed to changes in interest rates. The Council calculates these limits on net principal outstanding sums. The upper limit for variable rate exposure has been set to ensure that the Council is not exposed to interest rate reductions which could adversely impact on the revenue budget.

### **Indicator 9 – Maturity Structure of Borrowing**

The maturity structure of borrowing (as % of overall projected fixed rate borrowing)	<b>2015-16 Estimate</b>		<b>2016-17 Estimate</b>		<b>2017-18 Estimate</b>	
	Upper	Lower	Upper	Lower	Upper	Lower
-under 12 months	100%	90%	100%	90%	100%	90%
-between 1 and 30 years	100%	100%	100%	100%	100%	100%

This indicator highlights the existence of any large concentrations of fixed rate debt and is intended to help protect against excessive exposures to interest rate changes in any one period. All borrowing related to the HRA.

### **Indicator 10 – Upper Limits on Investments >364 days**

	<b>2014-15 Estimate</b>	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
The upper limit of principal sums invested for periods of more than 364 days	£10m	£10m	£10m	£10m

The purpose of this limit is to contain exposure to the possibility of loss that may arise as a result of the Council having to seek early repayment of the sums invested.

### **Indicator 11 – Gross debt and the Capital Financing Requirement**

	<b>2015-16 Estimate</b>	<b>2016-17 Estimate</b>	<b>2017-18 Estimate</b>
Gross debt (Indicator 4)	£187m	£187m	£187m
Capital Financing Requirement (Indicator 3)	£193m	£193m	£193m

In order to ensure that over the medium term debt will only be for a capital purpose, external debt should not, except in the short term, exceed the total of the capital financing requirement in the preceding year plus the estimates of any additional capital financing requirement for the current and next two financial years. Based on the definition of this indicator, Waverley's figures are showing a prudent position.

By virtue of paragraph(s) 1 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE JOINT PLANNING COMMITTEE - 18 FEBRUARY 2015

#### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Brian Ellis (Chairman)	Cllr Simon Inchbald
Cllr Maurice Byham (Vice Chairman)	Cllr Diane James
Cllr Paddy Blagden	Cllr Bryn Morgan
Cllr Elizabeth Cable	Cllr Stephen O'Grady
Cllr Mary Foryszewski	Cllr Julia Potts
Cllr Richard Gates	Cllr John Ward
Cllr Michael Goodridge	Cllr Nick Williams
Cllr Christiaan Hesse	Cllr Patricia Ellis
Cllr Stephen Hill	

#### **Apologies**

Cllr Brian Adams, Cllr Peter Isherwood, Cllr Stephen Mulliner, Cllr Stefan Reynolds, Cllr Stewart Stennett, Cllr Chris Storey and Cllr Jane Thomson

59. MINUTES (Agenda item 1.)

The minutes of the meeting held on 2 February were confirmed and signed.

60. APOLOGIES FOR ABSENCE AND DECLARATIONS OF SUBSTITUTES (Agenda item 2.)

Apologies for absence were received from Councillors Brian Adams, Peter Isherwood, Stephen Mulliner, Stefan Reynolds and Stewart Stennett. Councillor Patricia Ellis attended as a substitute.

61. DECLARATIONS OF INTERESTS (Agenda item 3.)

There were no declarations of interest.

### **PART I – RECOMMENDATIONS TO THE COUNCIL**

There were no matters raised under this heading.

#### **Background Papers**

The background papers relating to the following item in Part II are specified in the agenda for the meeting of the Joint Planning Committee.

**PART II – Brief summaries of other matters dealt with**

62. APPLICATION FOR PLANNING PERMISSION - WA/2014/1565 (Agenda item 5.)

Proposed development

Outline application for the erection of up to 120 dwellings together with associated access, parking, public open space and landscaping (as amended by additional information received 17/11/2014 and 04/02/2015) at **Land At Crondall Lane, Farnham**

The Chairman introduced the Officers present and referred Members to the proposed order of business for the meeting.

With reference to the report circulated with the agenda, Officers presented a summary of the planning history of the site, and the current plans and proposals. Officers showed pictures of the site and plans for the application. A representative from the County Highways Authority was also present and advised members of the arrangements in place by the applicant to improve access and highway improvements.

Officers outlined the matters of principle/technical judgement and those matters of judgement and advised members of information received following the agenda being published and detailed in the update sheet. This included reference to three further conditions in relation to the SANG, works relating to the Ecological Assessment and ground levels. There were also 2 additional representations against the application but these did not raise any new material considerations.

Officers advised the Committee that the application was for outline planning permission with all matters reserved except for means of access. Members noted that the site was located in the countryside beyond the Green Belt and although the Councils preference would be for previously developed land to be developed first, they had not been able to identify a deliverable supply of housing sites from the identified sites which would sufficiently meet the housing demand for the next five years. The Committee was advised that the applicant had put forward two sites for SANG, Farnham Park and Crookham Park which was 4.8km north of the application site and Members could agree a preference for this.

Following the officers presentation and before the Committee debated the application, in accordance with the guidance for public participation at meetings, each party was given the opportunity to speak for up to 5 minutes. The following people spoke to the application:

Mr S Edge and Mr J Williamson - Objector  
Cllr Genziani – Farnham Town Council  
Mr G Woolf - Applicant/Agent

Having heard the officers' presentation as well as the representations from the objectors and the applicant and supporter, Members were invited to ask any further questions or to seek clarification on areas of concern from the officers.

The Committee was pleased to note that the scheme would provide for affordable housing as this would improve the vitality of the Town Centre and help young people and families live and remain in Farnham. However, the scheme would result in an increase in traffic movements and Members were concerned about the impact this would have on Crondall Lane. Furthermore, officers had not consulted Hampshire County Council Highways Authority despite the proposal lying on the border and it was felt that they should be consulted on the impact of the development if people were to travel north to the SANG.

There was some concern raised about the size of the development and the impact on infrastructure. Concern was expressed for the amenity of people living on Beavers Close who would be most impacted by the development.

During discussion it was proposed and seconded that there should be an amendment to the conditions if approved in relation to deliveries, that it should not take place before 9.30 Monday to Friday and this amendment was past.

The Committee discussed the proposal for the delivery of SANG and was disappointed that no SANG could be delivered on site and residents would have to drive over the border some distance to visit this area. It was identified that there was some land in the applicants ownership to the North of the site, however, it did not meet Natural Englands criteria as it was too small. Members did not feel that the alternative SANG proposed was appropriate and sought clarification from Natural England about the availability on site for this. Consequently, it was agreed that the application should be deferred until this information was available.

#### Decision

RESOLVED to DEFER a decision on the application for more information from Natural England regarding the proposed SANG and for consultation with Hampshire County Council Highway Authority.

**The meeting commenced at 7pm and concluded at 9.35pm**

**Chairman**

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## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE JOINT PLANNING COMMITTEE - 30 MARCH 2015

#### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Brian Ellis (Chairman)	Cllr Bryn Morgan
Cllr Maurice Byham (Vice Chairman)	Cllr Stephen Mulliner
Cllr Brian Adams	Cllr Stephen O'Grady
Cllr Elizabeth Cable	Cllr Chris Storey
Cllr Richard Gates	Cllr Jane Thomson
Cllr Christiaan Hesse	Cllr Nick Williams
Cllr Stephen Hill	Cllr Carole Cockburn
Cllr Simon Inchbald	Cllr Elliot Nichols
Cllr Peter Isherwood	

#### **Apologies**

Cllr Mary Forszewski, Cllr Michael Goodridge, Cllr Diane James, Cllr Julia Potts, Cllr Stefan Reynolds and Cllr Stewart Stennett

#### **Also Present**

Cllr Stella Andersen-Payne

65. MINUTES (Agenda item 1.)

The minutes of the meeting held on 18 February were confirmed and signed.

66. APOLOGIES FOR ABSENCE AND DECLARATIONS OF SUBSTITUTES (Agenda item 2.)

Apologies for absence were received from Councillors Michael Goodridge, Stewart Stennett, Mary Forszewski, Julia Potts, Diane James and Stefan Reynolds. Councillor Carole Cockburn and Elliot Nichols attended as substitutes.

67. DECLARATIONS OF INTERESTS (Agenda item 3.)

Cllr Storey declared a non-pecuniary interest as knew the external affairs manager at the Amaddyah Islam Assn Islamabad.

#### **PART I – RECOMMENDATIONS TO THE COUNCIL**

There were no matters raised under this heading.

#### **Background Papers**

The background papers relating to the following item in Part II are specified in the agenda for the meeting of the Joint Planning Committee.

**PART II – Brief summaries of other matters dealt with**

68. APPLICATION FOR PLANNING PERMISSION - WA/2015/0075 (Agenda item 5.)

Proposed development

Erection of educational and office buildings, ancillary residential accommodation and mosque following demolition of existing buildings; provision of improved landscaping and drainage system (as amended by plans received 05/03/2015 and amplified by plans and emails received 26/02/2015, 05/02/2015 and 18/03/2015) at **Islamabad, Sheephatch Lane, Tilford GU10 2AQ**

The Chairman introduced the Officers present and referred Members to the proposed order of business for the meeting.

With reference to the report circulated with the agenda, officers presented a summary of the planning history of the site, and the current plans and proposals. Officers showed pictures of the site and plans for the application.

Officers outlined the matters of principle/technical judgement and those matters of judgement and advised members of information received following the agenda being published and detailed in the update sheet. This included an update to Members advising them that the proposal constituted inappropriate development in the Green Belt and would, therefore, if Members were minded to grant permission, the application would need to be referred to the Secretary of State. The update sheet also referred to additional comments from the applicant, a response from the Highways Authority and 2 additional letters of object and 1 of support but these did not raise any new material considerations.

Officers advised the Committee that the application would represent the redevelopment of an existing site where the existing buildings had come to the end of their useful life and did not adequately serve the needs of the community living on the site. Although the proposals were materially larger than the existing buildings, it was considered that there were very special circumstances in this instance to justify setting aside the policies of restraint, namely the benefits which would arise from the improved facilities for the regional religious centre. Officers concluded that the harm to the Green Belt by way of inappropriate development would be demonstrably and significantly outweighed by the benefits of the scheme and that permission should be granted.

Following the officers presentation and before the Committee debated the application, in accordance with the guidance for public participation at meetings, each party was given the opportunity to speak for up to 5 minutes. The following people spoke to the application:

Miss Dadak - Objector  
Cllr Refl – Tilford Parish Council  
Mr Tickle - Applicant/Agent

Cllr Stella Anderson-Payne also spoke to the Committee as Ward Councillor and had up to 4mins.



Having heard the officers' presentation as well as the representations from the objectors, the Parish Council and the agent, Members were invited to ask any further questions or to seek clarification on areas of concern from the officers.

The Committee considered the points raised by the Parish Council and noted concerns about the public address system, lighting on the site and the noise of wind turbines. Therefore, it was agreed, that if the proposal was past then conditions should be strengthened or added to so that these issues were addressed. The Agent concurred in support of these additions when speaking to the Committee.

The Committee recognised the real need for the site to be redeveloped as the buildings were no longer fit for purpose, they were also replacing what was already there. However, there was some concern expressed for the need of the number of units and whether or not they still constituted being ancillary residential units to the site. It was agreed that the Mosque did need replacing but there was some concern to the size of the proposed replacement, as well as concern about the need for an assembly hall. However, they were informed that this would also be used by the nearby school so it needed to be the height it was to accommodate games. Members also noted that the site was well screened and there was a landscaping condition on the proposal to protect this. There was also some concern expressed about the additional transport on the local roads but County Highways had reviewed the supplementary Transport Assessment and was satisfied with the proposal and raised no objection.

### Decision

RESOLVED that permission be GRANTED, subject to

- (a) the completion of a S106 agreement within 3 months of the date of the meeting to
  - i. Limit the number of permanent residential units and number of visitors to the site (to include an event management strategy);
  - ii. Secure the community use of the assembly hall; and
  - iii. Limit occupation of the residential accommodation to ancillary and to prevent it being sold off separately;
- (b) consideration of the views of outstanding consultees and any further representations received;
- (c) referral to the Secretary of State;
- (d) The addition of conditions 23-24 and informative 4 noted in the update sheet;
- (e) The amendment to conditions 13 and 14 and additional condition 25 agreed at the meeting; and
- (f) the informatives and conditions which were in the agenda report as amended above.

### Conditions

1. The plan numbers to which this permission relates are 3854/PL01, 02, 03, 04, 05, 06, 07, 08, 09, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 25, 26, 28, tf994,TS,100, D2254L.110, 111, 112 and 200 received 12/01/2015, PL23A, PL27A and PL29 received 05/03/2015 and PL24A and PL30 received 26/02/2015. The development shall be carried out in accordance with the approved plans. No material variation from these plans shall take

place unless otherwise first agreed in writing with the Local Planning Authority.

2. No development shall take place until details have been submitted to and approved in writing by the Local Planning Authority showing the existing and proposed ground levels of the site and proposed finished floor levels of the buildings hereby permitted. The development shall be carried out in strict accordance with the approved details.
3. No development shall take place until samples of the materials to be used in the construction of the external surfaces of the development hereby permitted have been submitted to and approved in writing by the Local Planning Authority. Development shall be carried out in accordance with the approved details.
4. No development shall take place until samples of the materials to be used in the construction of the hard surface areas of the development hereby permitted have been submitted to and approved in writing by the Local Planning Authority. Development shall be carried out in accordance with the approved details.
5. No development shall take place until the applicant has secured the implementation of a programme of archaeological work in accordance with a Written Scheme of Investigation which has been submitted to and approved in writing by the Local Planning Authority.
6. Prior to commencement of any works on site, details of any services to be provided or repaired including drains and soakaways, on or to the site, shall be submitted to and approved by the Local Planning Authority in writing and shall be carried out as shown. This requirement is in addition to any submission under the Building Regulations. Any amendments to the approved details shall be first agreed with the Local Planning Authority in writing prior to the carrying out of the development.
7. Prior to commencement of any works on site, demolition or other development activities, space shall be provided and clearly identified within the site or on other land controlled by the applicant to accommodate:
  1. Parking of vehicles of site personnel, operatives and visitors.
  2. Loading and unloading plant and materials.
  3. Storage of plant and materials including demolition arisings.
  4. Cement mixing.

The space referred to above and access routes to them (if not existing metalled ones) to be minimally 8 metres away from mature trees and 4 metres from hedgerows, or as may otherwise be agreed in writing by the Local Planning Authority.

8. No development shall take place until a detailed landscaping scheme has been submitted to and approved by the Local Planning Authority in writing.

The landscaping scheme shall be carried out strictly in accordance with the agreed details and shall be carried out within the first planting season after commencement of the development or as otherwise agreed in writing with the Local Planning Authority. The landscaping shall be maintained to the satisfaction of the Local Planning Authority for a period of 5 years after planting, such maintenance to include the replacement of any trees and shrubs that die or have otherwise become, in the opinion of the Local Planning Authority, seriously damaged or defective. Such replacements to be of same species and size as those originally planted.

9. No development shall commence, including any groundwork preparation, until a detailed, scaled Tree Protection Plan 'TPP' and related Arboricultural Method Statement has been submitted to and approved in writing by the Local Planning Authority. These shall include details of the specification and location of exclusion fencing, ground protection and any construction activity that may take place within the Root Protection Area of trees shown to scale on the TPP including installation of service routings. All works shall be carried out in strict accordance with the approved details.
10. No development, groundworks or demolition processes shall be undertaken until an agreed scheme of supervision for the arboricultural protection measures has been submitted to and approved in writing by the Local Planning Authority. The supervision and monitoring shall be undertaken in strict accordance with the approved details. The scheme shall include details of a) a pre-commencement meeting between the retained arboricultural consultant, Local Planning Authority Tree Officer and personnel responsible for the implementation of the approved development and b) timings, frequency & methods of site visiting and an agreed reporting process to the Local Planning Authority.
11. Prior to the commencement of development, details shall be submitted to and approved in writing of the proposed green roof for the assembly hall as shown on Plan Number 3854 PL29A. Details shall include specification of the species/type of greenery to be used and a scheme for the future management and maintenance of the roof. The approved details for the roof shall be carried out and thereafter maintained for the lifetime of the development in accordance with the agreed details, unless otherwise first agreed in writing by the Local Planning Authority.
12. The development shall be carried out in strict accordance with the recommendations contained within Section 5 of the Ecological Assessment by Derek Finnie Associates and the recommendations contained within Surrey Wildlife Trust's letter dated 12/03/2015. No variation from the approved details shall take place without the prior written approval of the Local Planning Authority.
13. Prior to the commencement of development details shall be submitted to and approved in writing by the Local Planning Authority of any external lighting to the site. Such lighting should be of a low luminance level and downward facing. The lighting shall be carried out in strict accordance with the approved details and no other floodlights or other forms of external lighting shall be installed on the site, without the prior permission, in writing, of the Local Planning Authority.

14. No externally mounted amplified systems of public address shall be erected or used at the site without the prior written consent of the Local Planning Authority.
15. Prior to the commencement of development on site, details of a surface water drainage (SuDS) scheme for the site shall first be submitted to and agreed in writing by the Local Planning Authority. No infiltration of surface water into the ground shall be permitted. The development shall be carried out in strict accordance with the approved details and plans and thereafter retained and maintained for the lifetime of the development.
16. Prior to the commencement of development, an investigation and risk assessment, in addition to any assessment provided with the planning application, must be completed in accordance with a scheme to assess the nature and extent of any contamination on the site including asbestos contamination, whether or not it originates within the site. The contents of the scheme are subject to the approval in writing of the Local Planning Authority. The investigation and risk assessment must be undertaken by competent persons and a written report of the findings must be produced. The written report is subject to the approval in writing of the Local Planning Authority. The report of the findings must include:
  - (i) a survey of the extent, scale and nature of contamination;
  - (ii) an assessment of the potential risks to:
    - human health
    - property (existing or proposed) including buildings, crops, livestock, pets, woodland and service lines and pipes
    - adjoining land
    - groundwaters and surface waters
    - ecological systems
    - archaeological sites and ancient monuments
  - (iii) an appraisal of remedial options, and proposal of the preferred option(s)

This must be conducted in accordance with DEFRA and the Environment Agency's "Model Procedures for the Management of Land Contamination, CLR 11"
17. Prior to the commencement of development, a detailed remediation scheme to bring the site to a condition suitable for the intended use by removing unacceptable risks to human health, buildings and other property and the natural and historical environment must be prepared, and is subject to the approval in writing of the Local Planning Authority. The scheme must include all works to be undertaken, proposed remediation objectives and remediation

criteria, timetable of works and site management procedures. The scheme must ensure that the site will not qualify as contaminated land under Part 2A of the Environmental Protection Act 1990 in relation to the intended use of the land after remediation.

18. The approved remediation scheme shall be carried out in accordance with its terms prior to commencement of development other than that required to carry out remediation, unless otherwise agreed in writing by the Local Planning Authority. The Local Planning Authority must be given two weeks written notification of commencement of the remediation scheme works.

Following completion of measures identified in the approved remediation scheme, a validation report that demonstrates the effectiveness of the remediation carried out must be produced, and is subject to the approval in writing of the Local Planning Authority.

19. In the event that contamination is found at any time when carrying out the approved development that was not previously identified it must be reported in writing immediately to the Local Planning Authority. An investigation and risk assessment must be undertaken in accordance with the requirements of condition 1, and where remediation is necessary a remediation scheme must be prepared in accordance with the requirements of condition 2, which is subject to the approval in writing of the Local Planning Authority.

Following completion of measures identified in the approved remediation scheme a validation report must be prepared, which is subject to the approval in writing of the Local Planning Authority in accordance with Condition 18.

20. Where necessary to ensure the long-term effectiveness of the proposed remediation a monitoring and maintenance scheme to include adequate monitoring and the provision of reports on the same, must be prepared and submitted in writing to the Local Planning Authority. The scheme and monitoring reports shall be subject to approval in writing by the Local Planning Authority.

Following completion of the measures identified in that scheme and when the remediation objectives have been achieved, reports that demonstrate the effectiveness of the monitoring and maintenance carried out must be produced, and submitted in writing to the Local Planning Authority. The reports shall be approved in writing by the Local planning Authority

This must be conducted in accordance with DEFRA and the Environment Agency's "Model Procedures for the Management of Land Contamination, CLR 11"

21. Notwithstanding the submitted details and, prior to the commencement of development, a detailed phasing plan showing the time frames for the erection of new buildings and subsequent demolition of existing buildings on site shall be submitted to an approved in writing by the Local Planning Authority. No variation shall take place from the agreed detailed without the prior written consent of the Local Planning Authority.

22. Prior to the commencement of development, full details any on and off-site drainage works shall be submitted to and approved in writing by the Local Planning Authority. The details shall include provision for foul and surface water drainage and protection of the Principal Aquifer to prevent any contamination of groundwater. The development shall be implemented in strict accordance with the approved details unless otherwise first agreed in writing by the Local Planning Authority.
23. The development hereby approved shall not be occupied unless and until space has been laid out within the site in accordance with the approved plans for vehicles to be parked and for vehicles to turn so that they may enter and leave the site in forward gear. Thereafter the parking and turning areas shall be retained and maintained for their designated purposes.
24. No development shall commence until a Construction Transport Management Plan, to include details of:
  - (a) parking for vehicles of site personnel, operatives and visitors
  - (b) loading and unloading of plant and materials
  - (c) storage of plant and materials
  - (d) programme of works (including measures for traffic management)
  - (g) vehicle routing
  - (h) measures to prevent the deposit of materials on the highway
  - (i) on-site turning for construction vehicleshas been submitted to and approved in writing by the Local Planning Authority. Only the approved details shall be implemented during the construction of the development.
25. The permission hereby granted does not permit the installation of wind turbines at the site. No wind turbines shall be erected on the site without the prior written consent of the Local Planning Authority

#### Informatives

1. "IMPORTANT" This planning permission contains certain conditions precedent that state 'before development commences' or 'prior to commencement of any development' (or similar). As a result these must be discharged prior to ANY development activity taking place on site. Commencement of development without having complied with these conditions will make any development unauthorised and possibly subject to enforcement action such as a Stop Notice. If the conditions have not been subsequently satisfactorily discharged within the time allowed to implement the permission then the development will remain unauthorised.
2. There is a fee for requests to discharge a condition on a planning consent. The fee payable is £97.00 or a reduced rate of £28.00 for household applications. The fee is charged per written request not per condition to be discharged. A

Conditions Discharge form is available and can be downloaded from our web site. Please note that the fee is refundable if the Local Planning Authority concerned has failed to discharge the condition by 12 weeks after receipt of the required information.

3. The Council confirms that in assessing this planning application it has worked with the applicant in a positive and proactive way, in line with the requirements of paragraph 186-187 of the National Planning Policy Framework 2012.
4. The developer is reminded that it is an offence to allow materials to be carried from the site and deposited on or damage the highway from uncleaned wheels or badly loaded vehicles. The Highway Authority will seek, wherever possible, to recover any expenses incurred in clearing, cleaning or repairing highway surfaces and prosecutes persistent offenders. (Highways Act 1980 Sections 131, 148, 149).

#### Recommendation B

RESOLVED that, In the event that the requirements of the above are not met, permission be REFUSED for the following reason:

1. The proposal, without appropriate restrictions on the number of residences and visitor movements, could result in an undesirable level of vehicular movements and associated noise and disturbance which could cause harm to the rural character of the area and amenities of neighbouring residential properties contrary to Policies C1, C3, D1 and D4 of the Waverley Borough Local Plan 2002.

**The meeting commenced at 7pm and concluded at 8.35pm**

**Chairman**

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## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE JOINT PLANNING COMMITTEE - 1 APRIL 2015

#### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Brian Ellis (Chairman)	Cllr Diane James
Cllr Maurice Byham (Vice Chairman)	Cllr Stephen Mulliner
Cllr Brian Adams	Cllr Julia Potts
Cllr Elizabeth Cable	Cllr Stefan Reynolds
Cllr Mary Forszewski	Cllr Stewart Stennett
Cllr Richard Gates	Cllr Chris Storey
Cllr Christiaan Hesse	Cllr Jane Thomson
Cllr Simon Inchbald	Cllr Nick Williams
Cllr Peter Isherwood	

#### **Apologies**

Cllrs Paddy Blagden, Cllr Michael Goodridge, Stephen Hill, Bryn Morgan and Cllr Stephen O'Grady

69. MINUTES (Agenda item 1.)

The minutes of the meeting held on 30 March 2015 were confirmed and signed.

70. APOLOGIES FOR ABSENCE AND DECLARATIONS OF SUBSTITUTES (Agenda item 2.)

Apologies for absence were received from Cllrs Paddy Blagden, Michael Goodridge, Stephen Hill, Bryn Morgan and Stephen O'Grady.

71. DECLARATIONS OF INTERESTS (Agenda item 3.)

There were no declarations of Interest raised under this heading.

#### **PART I – RECOMMENDATIONS TO THE COUNCIL**

There were no matters raised under this heading.

#### **Background Papers**

The background papers relating to the following item in Part II are as specified in the agenda for the meeting of the Joint Planning Committee.

**PART II – Brief summaries of other matters dealt with**

72. APPLICATION FOR PLANNING PERMISSION - WA/2014/1565, LAND AT CRONDALL LANE, FARNHAM (Agenda item 5.)

Proposed development

Outline application for the erection of up to 120 dwellings together with associated access, parking, public open space and landscaping (as amended by additional information received 17/11/2014, 04/02/2015 and 19/03/2015 and amplified by email dated 20/03/2015) at Land At Crondall Lane, Farnham.

The Chairman introduced the Officers present and referred Members to the proposed order of business for the meeting.

Officers reminded Members that the application had been considered by the Committee on 18 February 2015 and they had resolved to defer the application for more information about providing SANG on the site, and for consultation with the Hampshire County Council Highways Authority. Members were advised that since that meeting they had consulted the Highway Authority and they had no objection to the proposal. In relation to the SANG, Natural England had confirmed that the field to the north of the application site was not a suitable size to be used as SANG so the proposal would have to stand. However, the applicant had agreed to amend the scheme and proposed the whole of the north field as designated public open space which would be open amenity space for the public to use in perpetuity.

With reference to the report circulated with the agenda, Officers presented a summary of the planning history of the site, and the current plans and proposals. Officers showed pictures of the site and plans for the application.

Officers outlined the matters of principle/technical judgement and those matters of judgement and advised members of information received following the agenda being published and detailed in the update sheet. This included information about changes to the CIL Regulations, an amendment to condition 7 in relation to timings for construction deliveries, responses from Natural England, Hampshire County Council, Rushmoor Borough Council, the Council's Agricultural Consultants and the Council's Drainage Engineer. There were also 5 further representations against the application but these did not raise any new material considerations. Farnham Town Council had also written that day and confirmed their objection to the proposal. Officers presented a revised recommendation which amended reference to the views of outstanding consultees because these had been received.

Officers advised the Committee that the application was for outline planning permission with all matters reserved except for means of access. Members noted that the site was located in the countryside beyond the Green Belt and although the Council's preference would be for previously developed land to be developed first, they had not been able to identify a deliverable supply of housing sites from the identified sites which would sufficiently meet the housing demand for the next five years. The Committee was advised that the applicant had put forward two sites for SANG, Farnham Park and Crookham Park which was 4.8km north of the application site and Members could agree a preference for this.

Following the officers presentation and before the Committee debated the application, in accordance with the guidance for public participation at meetings, each party was given the opportunity to speak for up to 5 minutes. The following people spoke to the application:

Mr S Edge and Mr J Williamson - Objector  
Mr G Woolf - Applicant/Agent

Having heard the officers' presentation as well as the representations from the objectors and the applicant, Members were invited to ask any further questions or to seek clarification on areas of concern from the officers.

As before, the Committee noted that it was pleased the scheme would provide for affordable housing as this would improve the vitality of the Town Centre and help young people and families live and remain in Farnham. However, the scheme would result in an increase in traffic movements and Members were concerned about the impact this would have on Crondall Lane. It was noted though that the Country Highway Authority had assessed the transport assessment and concluded that the proposal would be sufficient to accommodate the increase in traffic and Members were pleased to note the mitigation measures and infrastructure contributions proposed. Furthermore, there was also some concern expressed about the vehicular access into the site although it was noted that there would be quite significant improvements made to Crondall Lane to alleviate any issues. There was also some concern raised about air quality and the increase of this as a result of more traffic movements. Although the air quality officer's advice was slightly unclear, mitigation conditions had been put forward which were endorsed.

There was concern raised about the size of the development and the impact on infrastructure, as well as it being on land located in the countryside beyond the Green Belt. However, it was noted that having regard to the immediate need for additional housing and the lack of alternative deliverable sites to achieve the level of housing required, it was considered that the benefits of the scheme, primarily the significant delivery of housing and the additional open space that would be provided as part of the proposal would demonstrably outweigh the adverse impacts of the scheme.

Members questioned the footpath access into the site and if there could be access onto Beavers Close and through the University into town to help avoid an increase in traffic movements. It was noted that the applicant had tried to explore this with the land owners but with no positive outcome. However, the routes were used informally already and it was felt that this would possibly continue. Officers confirmed that it would be unreasonable for them to enforce the applicant by way of condition to formalise these routes when the ownership of the footpaths was out of their control.

The Committee discussed the proposal for the delivery of SANG and was disappointed that no SANG could be delivered on site and residents would have to drive over the border some distance to visit this area or that space would need to be put forward on Farnham Park. Some Members did not feel that the alternative SANG proposed was appropriate but were pleased to note that the applicant had agreed the land to the North to be designated open space in perpetuity.

It was noted that the recommendation gave the Committee the option of Crookham Park or Farnham Park as SANG and, accordingly, a vote was taken on which area Members felt should be used. It was proposed and seconded that Crookham Park should be used as SANG and put to the vote, it was 8 in favour and 8 against (with 1 abstention). The Chairman used his casting vote for Crookham Park which was passed. Councillors Julia Potts and Diane James asked for their vote against this to be recorded. Having taken a vote on the SANG, Members moved to the vote on the application.

### Decision

Following further discussion, moving to a further revised recommendation to the update sheet, 9 Members voted in favour, 2 against and 6 abstained to the following resolution:

(Councillors Mary Forszewski and Diane James asked for their votes to be recorded against this decision)

RESOLVED that, subject to amending Condition 7 (as noted below) and the applicant entering into a S106 agreement to secure: affordable housing, community facilities, education, libraries, playing pitches, play space, open space, sports/leisure centres, recycling and other environmental improvements, to provide for appropriate SANG to avoid a likely significant effect upon the SPA in respect of Crookham Park, including payment of appropriate contributions to SAMM, the open space and SANG provision to be made for the lifetime of the development, a S278 agreement with the County Highway Authority to secure means of access, pedestrian accessibility/safety improvements, highway infrastructure and sustainable transport improvements, a Travel Plan, repairs and improved access to Public Footpaths, the setting up of a Management Company for the management of on site and adjacent open space, to require the applicant to first secure any necessary planning permission or advertisement consent for the adjacent open space, and subject to the conditions and informatives noted below, permission be GRANTED

### Conditions

1. Details of the reserved matters set out below ("the reserved matters") shall be submitted to the Local Planning Authority for approval within three years from the date of this permission:
  1. layout;
  2. scale;
  3. landscaping and
  4. appearance.

The reserved matters shall be carried out as approved. Approval of all reserved matters shall be obtained from the Local Planning Authority in writing before any development is commenced.

2. The development to which this permission relates must be begun not later than the expiration of two years from the final approval of reserved matters or, in the case of approval on different dates, the final approval of the last such matter to be approved.
3. The plan numbers to which this permission relates are: CSa/1887/111, CSa/1887/112 Rev D, CSa/1887/113 Rev C, CSa/1887/114, CSa/1887/115, CSa/1887/112 Rev D, 8309/01 Rev A (1,2 & 3 of 3), 70001673/SK/010 Rev A, 70001673-SK-011 Rev A. The development shall be carried out in accordance with the approved plans. No material variation from these plans shall take place unless otherwise first agreed in writing with the Local Planning Authority.
4. Prior to the commencement of works, a Construction Environmental Management Plan, to control the environmental effects of the construction work, shall first be submitted to and agreed in writing by the Local Planning Authority. The scheme shall include:
  - (i) control of noise;
  - (ii) control of dust, smell and other effluvia;
  - (iii) control of surface water run off;
  - (iv) proposed method of piling for foundations;
  - (v) hours during the construction and demolition phase, when delivery vehicles or vehicles taking away materials are allowed to enter or leave the site;
  - (vi) hours of working.The development shall be carried out in strict accordance with the approved details unless otherwise agreed in writing by the Local Planning Authority.
5. No burning of materials shall take place on site during the construction of the development
6. Prior to the commencement of development, full details of a scheme for the provision of Electric Vehicle Charging Points (EVP's) within the development shall be submitted to and approved by the Local Planning Authority. The development shall be carried out in accordance with the approved details prior to the occupation of the development and shall be maintained for as long as the development remains in existence.
7. Construction deliveries to and from the site shall not take place outside the hours of 09:30-17:00 on Monday to Friday, 09:00-13:00 Saturday, and no deliveries on Sunday and Bank Holidays. Construction works shall not take place outside the hours of 08:00 – 18:00 on Monday to Friday, 08:00 – 13:00 Saturday, and no works/activities on Sundays and Bank/Public holidays.
8. Development shall not commence until a drainage strategy detailing any on and/or off site drainage works, has been submitted to and approved by, the local planning authority in consultation with the sewerage undertaker. No discharge of foul or surface water from the site shall be accepted into the public system until the drainage works referred to in the strategy have been completed.

9. No development shall take place until the applicant has secured the implementation of a programme of archaeological work in accordance with a Written Scheme of Investigation which has been submitted by the applicant and approved by the Planning Authority
10. Development shall not begin until a surface water drainage scheme for the site, based on the agreed Flood Risk Assessment Crondall Lane, Farnham, revised 16 July 2014, reference number 70001673, prepared by WSP has been submitted to and approved in writing by the local planning authority. The scheme shall subsequently be implemented in accordance with the approved details before the development is completed. Where the development is to be carried out in a phased approach a master drainage scheme shall be produced. This shall detail a drainage strategy for each phase that is independent of another so that should one phase not be implemented there will be no detrimental effect upon the scheme as a whole. The scheme shall include:
  - Detention and attenuation basins/swales/permeable surfaces and geo-cellular storage as outlined in the FRA;
  - Soakage and drainage testing results;
  - Retention of the Greenfield run-off rates to 4 l/s/ha;
  - A maintenance plan spanning the lifetime of the development
11. Prior to the commencement of the development, further bat surveys shall be carried out, to include a detailed assessment of trees which are proposed to be removed and, if required full details of mitigation and compensation works, shall be submitted and approved by the Local Planning Authority.
12. Prior to the commencement of the development full details of the hedgerow removal shall be provided to the Local Planning Authority to include detail on the impact on Dormice and any protection measures required to protect them. The proposal shall be carried out in accordance with the approved details.
13. Prior to the commencement of the development a method statement for the protection of reptiles shall be submitted to and approved by the local planning authority. This shall include details of how reptiles would be protected from the development process and how habitat on site will be maintained in an optimum condition to support these species, particularly on the retained western side habitat. The development shall be carried out in accordance with the approved details.
14. Prior to the commencement of the development, full details of a Landscape and Ecological Management Plan for the site, which will detail how new landscaping features will be provided, what species will be used and how the public spaces of the site will be maintained in an optimum condition for their biodiversity value shall be submitted and approved prior to the commencement of the development. This should include a monitoring program to assess the population levels of species on site (particularly bats and reptiles) and to identify and undertake any remedial action which may be required to prevent adverse effect to populations and habitat. The measures in the Landscape and Ecological Management Plan shall then be carried out as approved.

15. The development should be carried out in accordance with the recommendations to restore and enhance biodiversity outlined on pages 2-3 of the letter from Surrey Wildlife Trust dated 20/10/2014.
16. The development should be carried out in accordance with the conclusions outlined in section 7 of the Ecological Assessment dated June 2014 by Ecology Solutions Ltd.
17. The development hereby approved shall not be commenced unless and until a scheme for improving access to public footpath No. 181 from Crondall Lane is submitted to and approved in writing by the Local Planning Authority, in consultation with the Highway Authority.
18. Prior to the first occupation of the development the applicant shall undertake the Public Footpath access improvement works in accordance with the Highway Authority's technical requirements.
19. The development hereby approved shall not be first occupied until space has been laid out within the site in accordance with a scheme to be submitted to and approved in writing by the Local Planning Authority for vehicles to be parked and for vehicles to turn so that they may enter and leave the site in forward gear. Thereafter the parking/turning areas shall be retained and maintained for their designated purpose.
20. No development shall commence until a Construction Transport Management Plan, to include details of:
  - (a) on-site parking for vehicles of site personnel, operatives and visitors
  - (b) on-site loading and unloading of plant and materials
  - (c) storage of plant and materials
  - (d) programme of works (includes measures for traffic management)
  - (e) provision of boundary hoarding behind any visibility zones
  - (f) HGV deliveries and hours of operation
  - (g) vehicle routing
  - (h) measures to prevent the deposit of materials on the highway
  - (i) before and after construction condition surveys of the highway and a commitment to fund the repair of any damage caused
  - (j) measures to prevent deliveries at the beginning and end of the school day
  - (k) on-site turning for construction vehicleshas been submitted to and approved by the Local Planning Authority. Only the approved details shall be submitted during the construction of the development.
21. No operations involving the bulk movements of earthworks/materials to or from the development site shall commence unless and until facilities have been provided in accordance with a scheme to be submitted to and approved in writing by the Local Planning Authority to so far as is reasonably practical prevent the creation of dangerous conditions for road users on the public highway. The approved scheme shall thereafter be retained and used whenever the said operations are undertaken.

22. The development hereby approved shall not be first occupied unless and until the following facilities have been provided in accordance with a scheme to be submitted to and approved in writing by the Local Planning Authority, in consultation with the Highway Authority for:
  - (a) The secure parking of bicycles within the development site. Such facilities to be integral to each building/dwelling
  - (b) Providing safe routes for pedestrians/cyclists to travel within the development site
  - (c) Electric Vehicle Charging Points for every dwelling, in accordance with Surrey County Council's 'Vehicular and Cycle Parking Guidance' dated January 2012
23. Prior to the commencement of the development a Travel Plan shall be submitted for the written approval of the Local Planning Authority in accordance with the sustainable development aims and objectives of the National Planning Policy Framework, Surrey County Council's "Travel Plans Good Practice Guide", and in general accordance with WSP's Travel Plan document dated June 2014. The approved Travel Plan shall then be implemented prior to the first occupation of the development, and for each and every subsequent occupation of the development, thereafter maintain and develop the Travel Plan to the satisfaction of the Local Planning Authority.
24. Full details of the waste and recycling storage facilities shall be submitted to and approved in writing by the Local Planning Authority prior to the commencement of the development. The development shall be carried out in accordance with the approved details.
25. All plant, machinery and equipment installed or operated in connection with the carrying out of this permission shall be so enclosed and/or attenuated that noise coming from it does not at any time, increase the ambient equivalent continuous noise level as measured according to British Standard BS4142: 1997 at any adjoining or nearby noise sensitive premises.
26. No development shall take place, including any works of demolition, until a Construction Environmental Management Plan has been submitted to, and approved in writing by, the Local Planning Authority. The approved Plan shall be adhered to throughout the construction period. The Plan shall provide for:
  - i. An indicative programme for carrying out of the works
  - ii. The arrangements for public consultation and liaison during the construction works
  - iii. Measures to minimise the noise (including vibration) generated by the construction process to include hours of work, proposed method of piling for foundations, the careful selection of plant and machinery and use of noise mitigation barrier(s)
  - iv. Details of any floodlighting, including location, height, type and direction of light sources and intensity of illumination
  - v. the parking of vehicles of site operatives and visitors
  - vi. loading and unloading of plant and materials
  - vii. storage of plant and materials used in constructing the development
  - viii. the erection and maintenance of security hoarding including decorative displays and facilities for public viewing, where appropriate
  - ix. wheel washing facilities



- x. measures to control the emission of dust and dirt during construction
  - xi. a scheme for recycling/disposing of waste resulting from demolition and construction works
27. Prior to first occupation of any dwelling hereby permitted, the applicant shall first implement the following measures:
- SANG to be delivered and operational prior to first occupation of any of the dwellings.
  - Information on the SANG to be provided to residents of the new development in the form of a leaflet and signage and information boards to be provided at the entry points.
  - Payment of the appropriate contribution towards the Strategic Access Management and Monitoring (SAMM) Partnership.
28. Prior to first occupation of any dwelling hereby permitted, the works outlined under Section 8 of Addendum to Ecological Assessment dated November 2014 shall be implemented and thereafter permanently retained.
29. No development shall take place until details have been submitted to and approved in writing by the Local Planning Authority showing the existing and proposed ground levels of the site and proposed ground levels and finished floor levels of the development hereby permitted. The development shall be carried out in strict accordance with the approved details.

### Informatives

1. With regard to surface water drainage it is the responsibility of a developer to make proper provision for drainage to ground, water courses or a suitable sewer. In respect of surface water it is recommended that the applicant should ensure that storm flows are attenuated or regulated into the receiving public network through on or off site storage. When it is proposed to connect to a combined public sewer, the site drainage should be separate and combined at the final manhole nearest the boundary. Connections are not permitted for the removal of groundwater. Where the developer proposes to discharge to a public sewer, prior approval from Thames Water Developer Services will be required. They can be contacted on 0845 850 2777. Reason - to ensure that the surface water discharge from the site shall not be detrimental to the existing sewerage system.
2. Where a developer proposes to discharge groundwater into a public sewer, a groundwater discharge permit will be required. Groundwater discharges typically result from construction site dewatering, deep excavations, basement infiltration, borehole installation, testing and site remediation. Groundwater permit enquiries should be directed to Thames Water's Risk Management Team by telephoning 020 8507 4890 or by emailing [wwriskmanagement@thameswater.co.uk](mailto:wwriskmanagement@thameswater.co.uk). Application forms should be completed on line via [www.thameswater.co.uk/wastewaterquality](http://www.thameswater.co.uk/wastewaterquality). Any discharge made without a permit is deemed illegal and may result in prosecution under the provisions of the Water Industry Act 1991.

3. With regard to water supply, this comes within the area covered by the South East Water Company. For your information the address to write to is - South East Water Company, 3 Church Road, Haywards Heath, West Sussex. RH16 3NY. Tel: 01444-448200.
4. Design standards for the layout and construction of access roads and junctions, including the provision of visibility zones, shall be in accordance with the requirements of the County Highway Authority. The alterations to the retaining wall to facilitate access to the site will require technical approval from the Highway Authority's Structures Team.
5. The Highway Authority has no objection in principle, subject to the above conditions but, if it is the applicants intention to offer any of the roadworks included in the application for adoption as maintainable highways, permission under the Town and Country Planning Act should not be construed as approval to the highways engineering details necessary for inclusion in an Agreement under Section 38 of the Highways Act 1980. Further details about the post-planning adoption of roads may be obtained from the Transportation development Planning Division of Surrey County Council.
6. Details of the highways requirements necessary for inclusion in any application seeking approval of reserved matters may be obtained from the Transportation development Planning Division of Surrey County Council.
7. All bridges, buildings or apparatus (with the exception of projecting signs) which project over or span the highway may be erected only with the formal approval of the Transportation Development Planning Division of Surrey County Council under Section 177 or 178 of the Highways Act 1980.
8. The permission hereby granted shall not be construed as authority to carry out any works on the highway or any works that may affect a drainage channel/culvert or water course. The applicant is advised that a permit and, potentially, a Section 278 agreement must be obtained from the highway Authority before any works are carried out on any footway, footpath, carriageway, verge or other land forming part of the highway. All works on the highway will require a permit and an application will need to be submitted to the County Council's Street Works Team up to 3 months in advance of the intended start date, depending on the scale of the works proposed and the classification of the road. please see <http://www.surreycc.gov.uk/roads-and-transport/road-permits-and-licences/the-traffic-management-permit-scheme>. The applicant is also advised that Consent may be required under Section 23 of the Land Drainage Act 1991. Please see [www.surreycc.gov.uk/people-and-community/emergent-planning-and-community-safety/flooding-advice](http://www.surreycc.gov.uk/people-and-community/emergent-planning-and-community-safety/flooding-advice).
9. The developer is reminded that it is an offence to allow materials to be carried from the site and deposited on or damage the highway from uncleaned wheels or badly loaded vehicles. The Highway Authority will seek, wherever possible, to recover any expenses incurred in cleaning or repairing highway surfaces and prosecutes persistent offenders. (Highways Act 1980 Sections 131, 148, 149).

10. When access is required to be 'completed' before any other operations, the Highway Authority may agree that surface course material and in some cases edge restraint may be deferred until construction of the development is complete, provided all reasonable care is taken to protect public safety.
11. The developer is advised that any works to Public Footpath No. 181 must be carried out in complete accordance with appropriate legislation.
12. The developer is advised that as part of the detailed design of the highway works required by the above condition(s), the County Highway Authority may require necessary accommodation works to street lights, road signs, road markings, highways drainage, surface covers, street trees, highway verges, highway surfaces, surface edge restraints and any other street furniture/equipment.
13. The developer would be expected to instruct an independent transportation data collection company to undertake the monitoring survey. This survey should conform to a TRICS Multi-Modal Survey format consistent with the UK standard for Measuring Travel Plan Impacts as approved by the Highway Authority. To ensure the survey represents typical travel patterns, the organisation taking ownership of the travel plan will need to agree to being surveyed only within a specified annual quarter but with no further notice of the precise survey dates. The developer would be expected to fund the survey validation and data entry costs.
14. Section 59 of the Highways Act permits the Highway Authority to charge developers for damage for damage caused by excessive weight and movements of vehicles to and from a site. The Highway Authority will pass on the cost of any excess repairs compared to normal maintenance costs to the applicant/organisation responsible for the damage.
15. The application is advised that the S278 highway works will require payment of a commuted sum for future maintenance of highway infrastructure. Please see the following link for further details on the county council's commuted sums policy: <http://www.surreycc.gov.uk/environment-housing-and-planning/planning/transport-development-planning/surrey-county-council-commuted-sums-protocol>
16. The applicant is advised that in providing each dwelling with integral cycle parking, the Highway Authority will expect dedicated integral facilities to be provided within each dwelling for easily accessible secure cycle storage/garaging.
17. The Council confirms that in assessing this planning application it has worked with the applicant in a positive and proactive way, in line with the requirements of paragraph 186-187 of the National Planning Policy Framework 2012.

**The meeting commenced at 7pm and concluded at 8.39 pm**

**Chairman**

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## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE LICENSING AND REGULATORY COMMITTEE - 19 MARCH 2015

#### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Simon Inchbald (Chairman)	Cllr Carole King
Cllr Patricia Ellis (Vice Chairman)	Cllr Chris Storey
Cllr Maurice Byham	Cllr Brett Vorley
Cllr Elizabeth Cable	Cllr Nick Williams
Cllr Tony Gordon-Smith	Cllr Andrew Wilson

28 MINUTES (Agenda item 1)

The Minutes of the Meeting held on 29 January 2015 were confirmed and signed.

29 APOLOGIES FOR ABSENCE AND SUBSTITUTIONS (Agenda item 2)

No apologies were received.

30 DECLARATIONS OF INTEREST (Agenda item 3)

There were no interests declared under this heading.

#### **LICENSING ACT 2003 ITEMS**

There were no items for discussion under this heading.

#### **OTHER LICENSING ITEMS**

#### **PART I - RECOMMENDATIONS TO THE COUNCIL**

##### Background Papers

The background papers relating to the following items in Part I and II are as specified in the Agenda for the meeting of the Licensing and Regulatory Committee.

31 WAVERLEY BOROUGH COUNCIL - DESIGNATED STREETS REVIEW (Agenda item 6)

At their meeting on 29 January 2015 the Committee had discussed two main designation issues and had made a recommendation to the Council. The Council meeting of 17 February 2015 accepted the recommendation regarding designations in Cranleigh and asked that the Bridge Street, Godalming situation be reviewed in light of further information.

Godalming Town Council had subsequently submitted a street plan and clarified their request to designate Bridge Street as a Consent Street. The Town Council appreciated that it would not be possible to hold an event in Bridge Street that required a road closure due to the fact that vehicles from Kings Mews or Queens Street would be unable to turn into the High Street to exit the town. Therefore they intended to only hold events in Bridge Street that would not require the road to be closed.

Following consideration of the clarified submission the Committee

**RECOMMENDS that**

- 5. approval be given to the publication of a notice of intention to pass a resolution to designate Bridge Street, Godalming as a Consent Street.**

32 TAXI FEES (Agenda item 7)

The consultation period on Taxi Fees ended on Friday 6 March 2015. Officers updated the Committee and told Members that one comment had been received from a driver which stated that they opposed the fees. Having taken into account the only comment received, the Committee noted that the new fees for 2015/16 would come into effect from 1 April 2015.

**The meeting commenced at 10.00 am and concluded at 10.11 am**

**Chairman**

## WAVERLEY BOROUGH COUNCIL

### MINUTES OF THE AUDIT COMMITTEE - 23 MARCH 2015

### SUBMITTED TO THE COUNCIL MEETING – 14 APRIL 2015

(To be read in conjunction with the Agenda for the Meeting)

#### **Present**

Cllr Richard Gates (Chairman)  
Cllr Jenny Else

Cllr Tony Gordon-Smith  
Cllr Peter Isherwood

#### **Apologies**

Cllr Wyatt Ramsdale and Cllr Stephen Hill

#### **Also Present**

Iain Murray and Julian Gillett from Grant Thornton

39. MINUTES (Agenda item 1.)

The Minutes of the Meeting held on 19 November 2014 were confirmed and signed.

40. APOLOGIES FOR ABSENCE (Agenda item 2.)

Apologies for absence had been received from Cllrs Wyatt Ramsdale and Stephen Hill.

41. DISCLOSURE OF INTERESTS (Agenda item 3.)

There were no interests declared under this heading.

### **PART I - RECOMMENDATIONS TO THE COUNCIL**

There were no matters falling within this category.

### **PART II - MATTERS OF REPORT**

The background papers relating to the following items are as set out in the reports included in the original agenda papers.

42. GRANTS AND CLAIMS 2013/14 (Agenda item 5.)

Iain Murray from Grant Thornton introduced the report on the Certification of Grants and Claims 2013/14. Grant Thornton had certified two claims and returns, Housing Benefit Subsidy and Pooling of Housing Capital Receipts. The Committee was pleased to note that following additional work by the Council no further action was required in respect of issues identified under Housing Benefit Subsidy and there were no issues with respect to Pooling of Housing Capital Receipts.

The Committee heard issues had been identified with the CIVICA system which were outside the control of the Council. The Committee noted that CIVICA intended to issue a correction patch which would correct any errors in the 2014/15 subsidy claim.

RESOLVED that the Certification report for 2013/14 be noted

43. DRAFT EXTERNAL AUDIT PLAN 2014/2015 (Agenda item 6.)

Iain Murray introduced the Draft External Audit Plan 2014/15 which would be finalised following any comments from the Committee. The Plan identified the Local Plan, Brightwells Development, the LG Finance Settlement and Housing as key challenges and risks facing the Council. Grant Thornton would continue to provide advice and support where appropriate and review current progress of developments by way of regular meetings with senior management.

The Committee were pleased to note that there were no specific issues or weaknesses identified in respect of interim audit work and commended the Plan to the successor Committee.

RESOLVED that the Draft External Audit Plan for 2014/15 be noted.

44. AUDIT COMMITTEE UPDATE PAPER (Agenda item 7.)

Iain Murray introduced the Audit Committee Update Paper which provided the Committee with a report on progress in delivering Grant Thornton's responsibilities as the Council's external auditors. The paper also included a summary of emerging national issues and some challenging questions that the Committee might wish to consider. The Committee noted that a report published by the Independent Commission on Local Government Finance proposed the devolution of powers, funding and taxes over a 10 year period. However, it was noted that this might well change after the General Election and Members would be updated following the Council's Finance Seminar later in the year.

Members noted that the Council's finance team were up to date with provisions for business rate appeals and that the Council had not paid any pension fund contributions covering more than one year. The inclusion of overtime in the calculation of holiday pay had been looked at by the Strategic HR Team and was not considered material as payment of overtime was limited.

A housing issue was raised by a Committee member which would be considered outside the meeting, but details of the procedure to avoid this happening in the future could be investigated by Internal Audit.

RESOLVED that the Audit Committee Update Paper be noted.

45. PROGRESS ON THE IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS 2014/2015 (Agenda item 8.)

The Committee received the report outlining the progress that had been made on the implementation of internal audit recommendations. An updated Annexe 1 was



tabled that showed the progress that relevant Heads of Service had made on achieving audit recommendations.

The Committee noted that the status of agreed actions was mostly green, however, the action regarding National Non Domestic Rates was overdue/in progress due to a staff training issue whereby duties were being reallocated which led to staff retraining in different areas.

Following a question from the Committee regarding the green/0% status regarding the Rent Deposit Scheme, the Internal Audit Client Manager explained that a lot of work had been undertaken and a report produced but there were historical entries that still needed to be written off.

RESOLVED that following consideration of the Internal Audit Recommendations there were no actions identified that needed to be taken.

46. PROGRESS ON THE INTERNAL AUDIT PLAN 2014-15 (Agenda item 9.)

The Internal Audit Client Manager outlined progress against the Internal Audit Plan 2014/15 and tabled an updated Annexe 1 to the report. The Committee were pleased to note the good progress on work highlighted green.

The Committee was pleased to hear from the Head of Housing Operations that there had been no reported asbestos incidents for 9 months. However, there was still a risk and more work needed and an Asbestos Recommendation Action Plan had been drawn up by Ridge & Partners and was closely monitored by the Asbestos Management Group reporting to Corporate O&S. As monitoring was continuing and progress well under way it would be of greater value for an audit to be undertaken once the re-procurement of the asbestos surveying and removal contracts had been completed. The Committee agreed that it would be of greater value to defer the Housing Asbestos Review until this had been implemented.

RESOLVED that

1. the progress for the Internal Audit Plan 2014/15 as tabled at Annexe 1 be noted; and
2. the deferral of the Housing Asbestos Review be deferred until the 3<sup>rd</sup> quarter of the 2015/16 Audit Plan.

47. PROPOSED AUDIT PLAN FOR 2015-16 (Agenda item 10.)

The Committee received the proposed Audit Plan for 2015/16. The Internal Audit Client Manager informed the Committee that she had conducted a risk assessment of Waverley's control environment and activities. Time had been allocated to priority high risk areas including those that may hinder the achievement of Waverley's Corporate objectives. The plan proposed to remain at the same number of days as previous years at 230 days which will be allocated to the contractor Baker Tilly for 2015/16. The Committee noted that this was the same number of days as the previous year. .

RESOLVED that the draft Internal Audit Plan for 2015/16 as attached at Annexe 1 be adopted and had no comments to add.

48. REVIEW OF CONTRACT PROCEDURE RULES AND FINANCIAL REGULATIONS  
(Agenda item 11.)

The Committee received a report attaching revised Contract Procedure Rules and Financial Regulations that had been reviewed in line with the Council's commitment within the Annual Governance Statement. They were last updated in January 2012. The Committee noted the amendments made to the Financial Regulations and Contract Procedure Rules which reflected the current management reporting structure and support service delivery.

The Head of Finance confirmed that approval requirement for virements remained the same as in 2012 based on service consultation and appropriate scrutiny.

RESOLVED that the Financial Regulations and Contract Procedure Rules and tabled amendments be passed to the Executive with no comments or observations.

49. NATIONAL FRAUD INITIATIVE 2014/15 AND THE SURREY COUNTER FRAUD PARTNERSHIP (Agenda item 12.)

*[This item contains exempt information by virtue of which the public is likely to be excluded during the item to which the report relates, as specified in Paragraph 3 of the revised Part 1 of Schedule 12A to the Local Government Act 1972, namely;-*

*Information relating to the financial or business affairs of any particular person (including the authority holding that information).]*

The Committee received a report providing an update on the progress made by officers on the latest results of the Audit Commission's data-matching exercise known as the National Fraud Initiative (NFI). Its purpose is to identify potential instances of fraud and corruption that might otherwise go undetected. The Internal Audit Client Manager drew attention to the paragraphs showing what had been done and successes over a period of years. Also the Council had benefitted from a bid by seven Surrey Boroughs and Districts in partnership with Surrey County Council for funds from the Department of Communities and Local Government. The funding has supported the temporary appointment of an experienced Tenancy Fraud Investigator to focus on the growing risk area of Housing Tenancy Fraud.

The Committee were advised that the Government centralised the level of resources for NFI to the Cabinet Office, working with the Department of Works & Pensions.

The Committee was pleased to note the work being undertaken by the Council in conjunction with other Surrey Local Authorities and suggested that at the appropriate time a press release should be issued to publicise the work being done to prevent fraud and to act as a deterrent.

RESOLVED that the activity and progress to carry out checks and recognise the resources applied by the relevant services to investigate each of the data matches be noted.

50. RISK MANAGEMENT UPDATE (Agenda item 13.)

*[This item contains exempt information by virtue of which the public is likely to be excluded during the item to which the report relates, as specified in Paragraph 3 of the revised Part 1 of Schedule 12A to the Local Government Act 1972, namely;-*

*Information relating to the financial or business affairs of any particular person (including the authority holding that information).]*

The Committee received a report that presented to Members the latest corporate risk registers as refreshed by Heads of Service with assistance from Zurich Municipal, the Council's insurance and risk management advisors.

The Committee noted mitigation work was reducing risk levels and were pleased to note that in some areas the risk had improved from 'devastating'. Members considered it would be helpful for the register to have a yearly key which could identify every risk update.

Members were concerned over the risk associated with Staff Skill and Capacity Management. Officers explained that this was only in some areas of the Council where staff had migrated to the private sector as it came out of recession and was able to offer more incentives. The Council's HR team are reviewing this area.

RESOLVED that the revised corporate risks register is noted with the above comment.

51. EXCLUSION OF PRESS AND PUBLIC (Agenda item 14.)

At 8.43pm it was:

RESOLVED that, pursuant to Procedure Rule 20 and in accordance with Section 100A(4) of the Local Government Act 1972, the press and public be excluded from the meeting during consideration of the following items on the grounds that it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that if members of the public were present during the items, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified in paragraph 1 of the revised Part 1 of Schedule 12A to the Act in respect of the following item:

*[Information relating to the financial or business affairs of any particular person (including the authority holding that information).]*

52. INTERNAL AUDIT INVESTIGATION - UPDATE (Agenda item 15.)

The Committee received a verbal update from the Director of Finance and Resources on the latest position on an investigation.

**The meeting commenced at 7.00 pm and concluded at 8.51 pm**

**Chairman**

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