

To: All Members of the EXECUTIVE

When calling please ask for:

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Calls may be recorded for training or monitoring

Date: 20 March 2015

Membership of the Executive

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

Dear Councillors

A meeting of the EXECUTIVE will be held as follows:

DATE: TUESDAY, 31 MARCH 2015

TIME: 6.45 PM

PLACE: COUNCIL CHAMBER, COUNCIL OFFICES, THE BURYS,
GODALMING

The Agenda for the Meeting is set out below.

Yours sincerely

ROBIN TAYLOR
Head of Policy and Governance

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This meeting will be webcast from the conclusion of Informal Question Time and can be viewed by visiting www.waverley.gov.uk



INVESTOR IN PEOPLE



NOTES FOR MEMBERS

Contact Officers are shown at the end of each report and members are welcome to raise questions, make observations etc. in advance of the meeting with the appropriate officer.

Prior to the commencement of the meeting, the Chairman to receive any informal questions from members of the public, for a maximum of 15 minutes.

AGENDA

1. **MINUTES**

To confirm the Minutes of the Meeting held on 3 March 2015 (to be laid on the table for half-an-hour before the meeting).

2. **APOLOGIES FOR ABSENCE**

To receive 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. **QUESTIONS FROM MEMBERS OF THE PUBLIC**

The Chairman to respond to the following questions received from members of the public for which notice has been given 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?"

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%?"

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."

[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].

5. EXECUTIVE FORWARD PROGRAMME - APRIL 2015 (Pages 9 - 14)

To adopt the Executive Forward Programme for the period April 2015 onwards.

6. STATION ROAD - BUDGET APPROVAL (Pages 15 - 18)

[Portfolio Holder: Councillor Stewart Stennett]
[Wards Affected: Godalming Central and Ockford]

The purpose of the report is to seek budget approval for abnormal costs at Station Road, Godalming.

Recommendation

That the Executive recommends to the Council that 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.

7. REVIEW OF CONTRACT PROCEDURE RULES AND FINANCIAL REGULATIONS (Pages 19 - 74)

[Portfolio Holder: Councillor Julia Potts]
[Wards Affected: All Waverley Wards]

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 any observations will be circulated separately. The Executive is now required to review the documents with proposed changes and recommend them to the Council for approval.

Recommendation

It is recommended that the Executive reviews and considers any observations from the Audit Committee and recommends to the Council that the revised Financial Regulations and Contract Procedure Rules be adopted.

8. AMENDMENTS TO SCHEME OF DELEGATION (Pages 75 - 80)

[Portfolio Holder: Councillor Brian Adams; Councillor Carole King]
[Wards Affected: All Waverley Wards]

The purpose of the report is to seek amendments to the Council's Scheme of Delegation to Officers in respect of a number of planning and housing related issues.

Recommendation

That the Executive recommends to the Council that 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.**

9. GODALMING CROWNPITS CONSERVATION AREA APPRAISAL (Pages 81 - 118)

[Portfolio Holder: Councillor Brian Adams]
[Wards Affected: Godalming Holloway]

The purpose of the report is to recommend that the Godalming Crownpits Conservation Area Appraisal (CAA) be adopted by the Council as a material consideration and used in the determination of any application for planning

permission and listed building consent within the Conservation Area (CA).

Recommendation

It is recommended to the Council that the Conservation Area Appraisal for Godalming Crownpits be adopted as a material planning consideration.

10. DOMESTIC ABUSE POLICY (Pages 119 - 124)

[Portfolio Holder: Councillor Robert Knowles]

[Wards Affected: All Waverley Wards]

The purpose of the report is to ask the Executive to recommend the Domestic Abuse Policy to Council for adoption.

Recommendation

It is recommended that the Domestic Abuse Policy be recommended to Council for adoption.

11. TREASURY MANAGEMENT FRAMEWORK 2015/16

At the Executive meeting on 3 February 2015, the Treasury Management Framework for 2015/16 was endorsed but 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 it is therefore proposed that the Executive now recommends the Framework (previously circulated and agreed) to the Council for endorsement.

Recommendation

It is recommended to the Council that the Treasury Management Framework for 2015/16 be approved.

12. OCKFORD RIDGE - PROCUREMENT ROUTE AND PRE-DEVELOPMENT BUDGET (Pages 125 - 130)

[Portfolio Holder: Councillor Stewart Stennett]

[Wards Affected: Godalming Central and Ockford]

The purpose of the report is to recommend the use of the Homes and Communities Delivery Partners Panel 2 (DPP2) Framework for the Ockford Ridge project phases A – D; and seek approval for a budget allocation for pre-development costs for the 16 new affordable homes at Site D and two show homes on Site C.

Recommendation

It is recommended that approval be given to:

- 1. proceed with the Homes and Communities Agency (HCA) Delivery Partner Panel 2 framework for the procurement of the Ockford Ridge Project; and**

2. **allocate £166,000 of the Ockford Ridge capital budget for pre-development costs for the two show homes on Site C and 16 new affordable homes on Site D.**

13. IT DEVELOPMENT TEAM STAFFING - SHAREPOINT (Pages 131 - 138)

[Portfolio Holder: Councillor Tom Martin, Councillor Julia Potts]

[Wards Affected: All Waverley Wards]

The purpose of the report is for the Executive to consider a request for a realignment of staff resources in the IT Development Team to enable the required level of delivery of the Microsoft Sharepoint product which is being developed and implemented as Waverley's principal corporate information management system and collaboration tool.

Recommendation

It is recommended to the Council that

1. **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**
2. **the post of part-time sustainability officer be deleted from the establishment.**

14. EXECUTIVE DIRECTOR'S ACTIONS

To note any 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.

15. EXCLUSION OF PRESS AND PUBLIC

To consider the following recommendation on the motion of the Chairman:-

Recommendation

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(s) 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 these items, there would be disclosure to them of exempt information (as defined by Section 100I of the Act) of the description specified at the meeting in the revised Part 1 of Schedule 12A to the Local Government Act 1972.

16. PROPERTY MATTER (Pages 139 - 144)

To consider the (Exempt) report attached.

17. ANY OTHER ISSUES TO BE CONSIDERED IN EXEMPT SESSION

To consider matters (if any) relating to aspects of any reports on this agenda which, it is felt, may need to be considered in Exempt session.

**For further information or assistance, please telephone
Emma McQuillan, Democratic Services Manager, on 01483 523351 or
by email at emma.mcquillan@waverley.gov.uk**

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Waverley Borough Council Key Decisions and Forward Programme

This Forward Programme sets out the decisions which the Executive expects to take over forthcoming months and identifies those which are key decisions.

A key decision is a decision to be taken by the Executive which (1) is likely to result in the local authority incurring expenditure or making savings of above £20,000 and/or (2) is significant in terms of its effects on communities living or working in an area comprising two or more wards.

Please direct any enquiries about the Forward Programme to the Democratic Services Manager, Emma McQuillan, at the Council Offices on 01483 523351 or email committees@waverley.gov.uk.

Executive Forward Programme for the period 1 April 2015 onwards

TOPIC	DECISION	DECISION TAKER	KEY	ANTICIPATED EARLIEST (OR NEXT) DATE FOR DECISION	CONTACT OFFICER	O AND S
POLICY AND GOVERNANCE, STRATEGIC HR – CLLR ROBERT KNOWLES (LEADER)						
FINANCE AND PROPERTY, WAVERLEY TRAINING SERVICES – CLLR JULIA POTTS (DEPUTY LEADER)						
1. Budget Management	Potential for seeking approval for budget variations	Executive (and possibly Council)	√	Every Executive meeting	Peter Vickers	CORP/COMM
2. Age Concern Farncombe	To agree new lease arrangements	Executive		July 2015	Kelvin Mills	CORPORATE
3. Performance Management	To receive an exception report for over and under performance in the appropriate Quarter	Executive		July 2015	Louise Norie	CORP/COMM

TOPIC	DECISION	DECISION TAKER	KEY	ANTICIPATED EARLIEST (OR NEXT) DATE FOR DECISION	CONTACT OFFICER	O AND S
4. Property Asset Management Strategy	To agree a strategy for adoption	Executive		June 2015	Roger Standing	CORPORATE
PLANNING – CLLR BRIAN ADAMS						
1. Elstead & Weyburn Neighbourhood Plan Designation	To agree the area application	Executive		June 2015	Matthew Ellis	COMMUNITY
2. Witley Conservation Area Appraisal	For adoption of the CAA	Executive and Council		June 2015	Jennifer Samuelson	COMMUNITY
3. Cranleigh Conservation Area Appraisal	To agree consultation on the draft CAA	Executive		June 2015	Sarah Wells	COMMUNITY
4. Ockford Road Conservation Area Appraisal	For adoption of the CAA	Executive and Council		July 2015	Jennifer Samuelson	COMMUNITY
5. Shopfronts Supplementary Planning Document	To agree consultation on the draft SPD	Executive		July 2015	Jennifer Samuelson	COMMUNITY
6. Alfold Conservation Area Appraisal	To agree consultation on the draft CAA	Executive		September	Jennifer Samuelson	COMMUNITY
7. Cranleigh Conservation Area Appraisal	For adoption of the CAA	Executive and Council		November	Sarah Wells	COMMUNITY

TOPIC	DECISION	DECISION TAKER	KEY	ANTICIPATED EARLIEST (OR NEXT) DATE FOR DECISION	CONTACT OFFICER	O AND S
8. Shopfronts SPD	For adoption of the SPD	Executive and Council		November 2015	Jennifer Samuelson	COMMUNITY
HOUSING OPERATIONS, COMMUNITY SAFETY, OLDER PEOPLE, HEALTH AND WELLBEING – CLLR CAROLE KING						
1. Ageing Well Strategy for Waverley	To develop and agree a Strategy	Executive and Council	√	July 2015	Kelvin Mills	COMMUNITY
2. Health and Wellbeing Plan	To develop and implement a plan for Waverley	Executive and Council	√	June 2015	Kelvin Mills	COMMUNITY
3. Capital Works and Professional Consultants Fees [E3]	Potential for seeking approval for procurement of services and appointment of contractors	Executive (and possibly Council)		September 2015	Hugh Wagstaff	CORPORATE
HOUSING STRATEGY AND DELIVERY – CLLR STEWART STENNETT						
1. Housing Delivery Board [E3]	Potential to approve and adopt policies and make decisions to assist in the delivery of affordable homes in the Borough	Executive (and possibly Council)	√	Potentially every Executive meeting	Jane Abraham	CORPORATE
2. Review of Housing Support Services to Vulnerable People across the Borough	To review options	Executive		June 2015	Jane Abraham	CORPORATE

TOPIC	DECISION	DECISION TAKER	KEY	ANTICIPATED EARLIEST (OR NEXT) DATE FOR DECISION	CONTACT OFFICER	O AND S
3. Better Care Fund	To identify how to make best use of this fund for Waverley (picks up DFG future funding)	Executive		June 2015	Jane Abraham	CORPORATE
IT AND CUSTOMER SERVICES, CLIMATE CHANGE – CLLR TOM MARTIN						
1. Carbon Management Plan	To adopt a new plan	Executive and Council	√	June 2015	Roger Standing	CORPORATE
ENVIRONMENT – CLLR DONAL O'NEILL						
1. Review of Corporate Health and Safety Policies	To review and update current health and safety policies across the Council	Executive and Council		July 2015	Rob Anderton	CORPORATE
2. Scrap Metal Dealers Policy	To consider a draft policy	Executive		July 2015	Rob Anderton	COMMUNITY
MEMBER SUPPORT AND COMMUNICATIONS, GRANTS - CLLR STEFAN REYNOLDS						
MAJOR PROJECTS AND BRIGHTWELLS, ECONOMIC DEVELOPMENT – CLLR ADAM TAYLOR-SMITH						

TOPIC	DECISION	DECISION TAKER	KEY	ANTICIPATED EARLIEST (OR NEXT) DATE FOR DECISION	CONTACT OFFICER	O AND S
1. Brightwells Redevelopment, Farnham [E3]	To agree funding arrangements	Executive and Council	√	April 2015	Kelvin Mills	CORP/COMM
LEISURE AND CULTURE – CLLR SIMON THORNTON						

Background Information

The agenda for each Executive meeting will be published at least 5 working days before the meeting and will be available for inspection at the Council Offices and on the Council's Website (www.waverley.gov.uk). This programme gives at least 28 days notice of items before they are considered at a meeting of the Executive and consultation will be undertaken with relevant interested parties and stakeholders where necessary.

Exempt Information - whilst the majority of the Executive's business at the meetings listed in this Plan will be open to the public and press, there will inevitably be some business to be considered which contains confidential, commercially sensitive or personal information which will be discussed in exempt session, i.e. with the press and public excluded. These matters are most commonly human resource decisions relating to individuals such as requests for early or flexible retirements and property matters relating to individual transactions. These may relate to key and non-key decisions. If they are not key decisions, 28 days notice of the likely intention to consider the item in exempt needs to be given.

This is formal notice under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 that part of any of the Executive meetings listed below may be held in private because the agenda and reports or annexes for that meeting contain exempt information under Part 1 of Schedule 12A to the Local Government Act 1972 (as amended), and that the public interest in withholding the information outweighs the public interest in disclosing it. Where this applies, the letter [E] will appear after the name of the topic, along with an indication of which exempt paragraph(s) applies, most commonly:

[E1 – Information relating to any individual; E2 – Information which is likely to reveal the identity of an individual; E3 – Information relating to the financial or business affairs of any particular person (including the authority holding that information); E5 Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings; E7 – Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime].

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WAVERLEY BOROUGH COUNCIL

EXECUTIVE: 31 MARCH 2015

Title:

STATION ROAD: BUDGET APPROVAL FOR ABNORMAL COSTS

**[Portfolio Holder: Cllr Stewart Stennett]
[Ward Affected: Godalming Central and Ockford]**

Summary and purpose:

The purpose of this report is to seek budget approval for abnormal costs at Station Road, Godalming.

How this report relates to the Council's Corporate Priorities:

This report relates to the Council's Corporate Priority of providing more affordable housing in the Borough for local people in housing need.

Financial Implications:

The Council has earmarked reserves for the provision of new affordable homes and associated costs. This report requests a further budget allocation to meet the costs of delays to the scheme due to additional archaeology works required.

Legal Implications:

There are no direct legal implications associated with this report.

Background

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.
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.
3. 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.

4. 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.
5. 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.
6. 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 re-commence as soon as possible once excavation in the key access areas has been completed.
7. 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.



Recommendation

That the Executive recommends to the Council that 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 this report.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

CONTACT OFFICER:

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WAVERLEY BOROUGH COUNCIL

EXECUTIVE - 31 MARCH 2015

Title:

REVIEW OF CONTRACT PROCEDURE RULES AND FINANCIAL REGULATIONS

[Portfolio Holder: Cllr Julia Potts]

[Wards Affected: All]

Summary and purpose:

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 any observations will be circulated separately. The Executive is now required to review the documents with proposed changes and recommend them to the Council for approval.

How this report relates to the Council's Corporate Priorities:

The CPRs and Financial Regulations directly underpin the financial governance arrangements for the Council and affect the way services delivers on corporate priorities.

Financial Implications:

There are no direct financial implications.

Legal Implications:

These are covered in the documents.

Introduction

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.
2. The objective of the review is 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.

Financial Regulations

3. The Financial Regulations have been reviewed and proposed changes are shown as tracked changes at Annexe 1.

4. 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.

Contract Procedure Rules

5. The Contract Procedure Rules have been reviewed and proposed amendments are shown as tracked changes at Annexe 2.
6. Public Contract Regulations 2015 were published on 6 February 2015 and come into effect on 26 February 2015. These are being reviewed and any proposed amendments will be tabled along side this report for consideration and inclusion.
7. 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.

The thresholds are:

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.

- 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.

Conclusion

8. Financial Regulations and Contract Procedure Rules have been reviewed to ensure that they are fit for purpose.

Recommendation

It is recommended that the Executive reviews and considers any observations from the Audit Committee and recommends to the Council that the revised Financial Regulations and Contract Procedure Rules be adopted.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

CONTACT OFFICER:

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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.

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

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.

WAVERLEY BOROUGH COUNCIL

EXECUTIVE – 31 MARCH 2015

Title:

AMENDMENTS TO SCHEME OF DELEGATION

[Portfolio Holder: Cllr Brian Adams]

[Wards Affected: All]

Summary and purpose:

The purpose of this report is to seek amendments to the Council's Scheme of Delegation to Officers in respect of a number of planning and housing related issues.

How this report relates to the Council's Corporate Priorities:

This report relates in particular to the Corporate Priority of 'Environment', in that neighbourhood plans will help to protect and enhance rural and urban communities. These plans will also help us to 'Understand our residents' needs'.

Financial Implications:

There are no financial implications associated with this report.

Legal Implications:

Permanent delegation to Officers will ensure that the Council's decision-making is robust and that decisions can be taken by Officers at appropriate levels in order to give efficacy to the Council's policies and procedures.

Introduction

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

1. 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.

2. 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.
3. 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).
4. 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

5. 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.
6. 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

7. 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.”

8. 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.
9. 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.”
10. 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

11. 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.
12. 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.
13. 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 1 demonstrates the volumes and amounts of expenditure involved and the requested levels of delegation.
14. 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.
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.

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.

Recommendation

That the Executive recommends to the Council that 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.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

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**Authority to spend – high value individual property items in Housing
Potential delegations needed in Scheme of Delegation**

Spending area	Approximate number of instances in a year	Issues/Risks	Delegation requested	Officer level for delegation
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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WAVERLEY BOROUGH COUNCIL

EXECUTIVE – 31/03/2015

Title:

GODALMING CROWNPITS CONSERVATION AREA APPRAISAL

**[Portfolio Holder: Cllr Brian Adams]
[Wards Affected: Godalming Holloway]**

Summary and purpose:

The purpose of this report is to recommend that the Godalming Crownpits Conservation Area Appraisal (CAA) be adopted by the Council as a material consideration and used in the determination of any application for planning permission and listed building consent within the Conservation Area (CA).

How this report relates to the Council's Corporate Priorities:

The Godalming Crownpits CAA supports the environmental priorities of the Council by encouraging protection and enhancement of Waverley's unique mix of rural and urban communities. The production of CAAs is set out in the Planning Service Plan 2014/15.

Financial Implications:

There are no resource implications. The use of the document as a material planning consideration will be managed within existing resources. Some of the environmental enhancement projects could be funded through Section 106, Planning Infrastructure Contributions (PIC) or the Community Infrastructure Levy (CIL).

Legal Implications:

The Godalming Crownpits CAA will be used as a material consideration when considering planning and listed building applications in the area.

Introduction

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).
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.

The Conservation Area Appraisal

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.
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.
5. 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.
6. The CAA is attached at Annexe 1.

The Consultation Process

7. A walkabout was conducted with Local Councillors and representatives from the Parish Council.
8. 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.
9. 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
10. 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.
11. The responses have been summarised in the Consultation Statement which is attached at Annexe 2.

Conclusion

12. The Godalming Crownpits CAA document identifies the specific qualities of the CA and thereby helps to manage change within the area. It has been subject to a robust consultation process to ensure residents and interested stakeholders had the opportunity to comment on and shape the final document.
13. It is proposed that the appraisal be adopted as a material consideration to be used in the determination of any application for planning permission and listed building consent within the conservation area.

Recommendation

It is recommended to the Council that the CAA for Godalming Crownpits be adopted as a material planning consideration.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

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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”¹. 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.”

¹ 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)². 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.

² <http://www.english-heritage.org.uk/publications/understanding-place-conservation-area>

1.6 Summary of Godalming Crownpits Conservation Area

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”³.

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.

³ <http://www.english-heritage.org.uk/publications/understanding-place-conservation-area/>

3. Assessing the Special Interest

3.1 Location and Setting

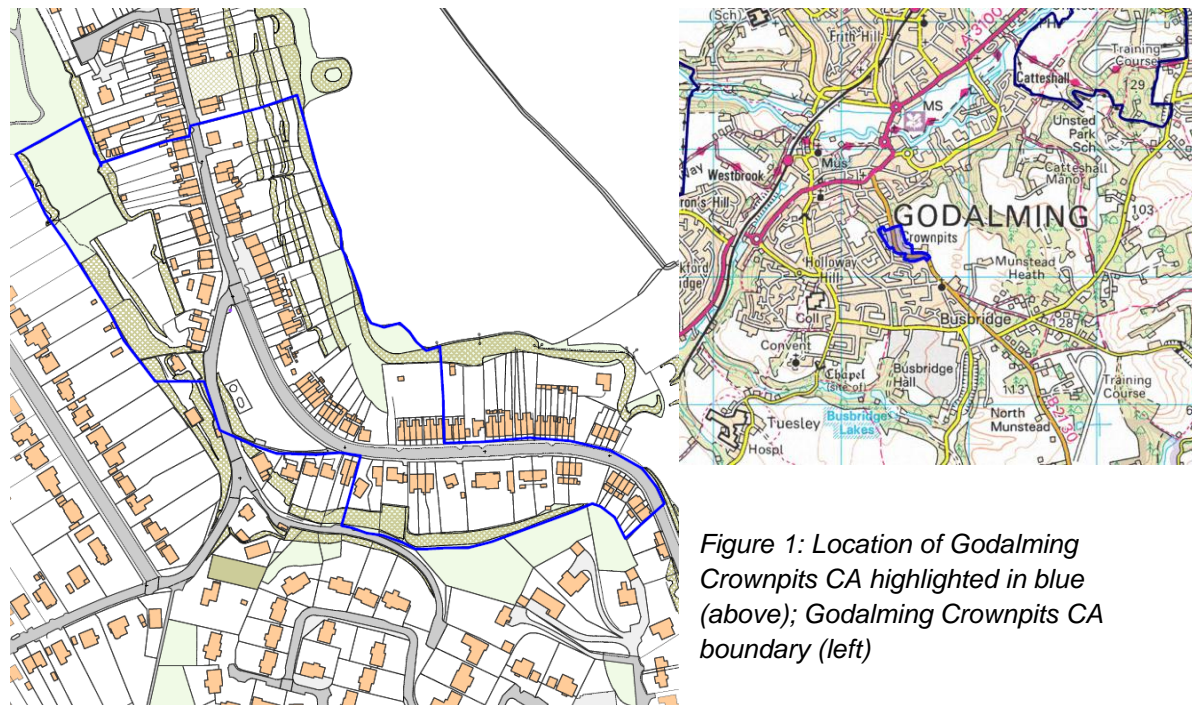


Figure 1: Location of Godalming Crownpits CA highlighted in blue (above); Godalming Crownpits CA boundary (left)

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 19th 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 19th 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-employed⁴. 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.

⁴ 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 1614⁵, 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 19th 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 19th 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 20th 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”⁶. 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

⁵ University of Surrey (1985) ‘Local History of Godalming’

⁶ University of Surrey (1985) ‘Local History of Godalming’

children of Busbridge Parish⁷. 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 17th and 20th century; the majority of development occurred in the 19th 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 17th 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 19th 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 19th 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 19th century. These properties are larger and more dominant on the streetscene than the 17th century cottages. The elevations



Figure 9: 86-88 Brighton Road; example of properties influenced by the Domestic Revival.

⁷ 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 19th 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-19th century dwellings).
- Stone walls with rounded cappings (brick towards the south of the CA).

3.4 Listed Buildings and Heritage Features

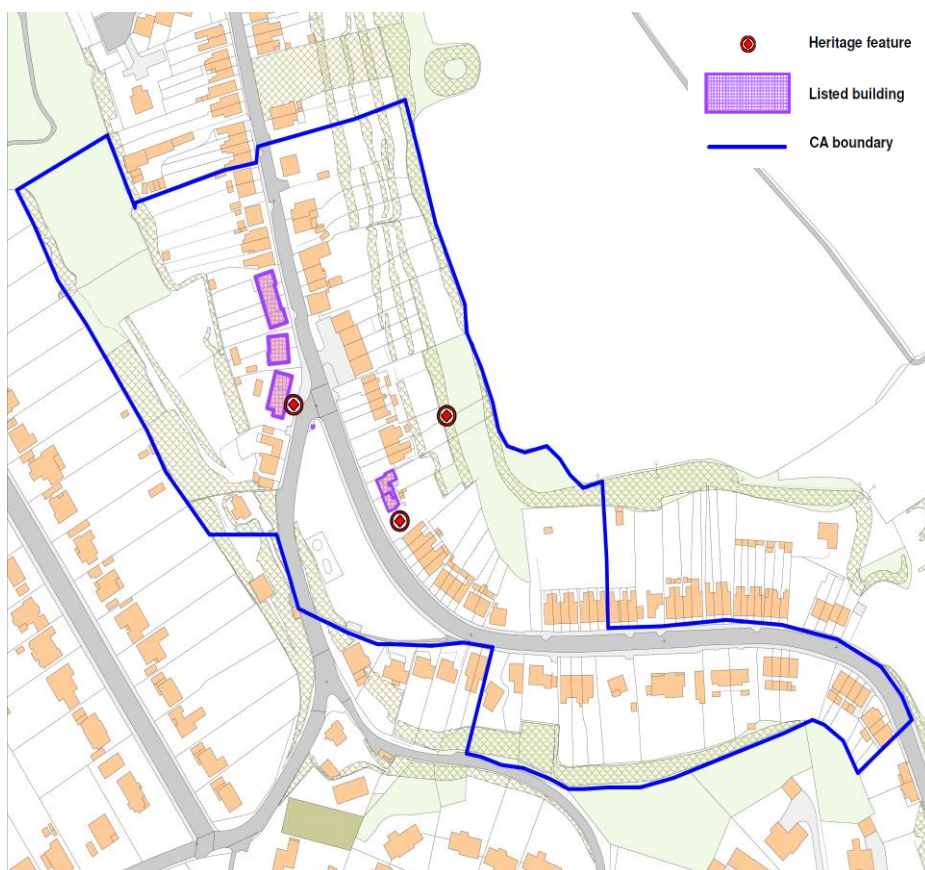


Figure 10: Plan of Godalming Crownpits CA showing location of listed buildings and heritage features

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 Waverley⁸. 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

⁸ 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”⁹.

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 19th 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

⁹ <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



Figure 14: Play park and recreation ground at centre of Godalming Crownpits CA

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.

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.

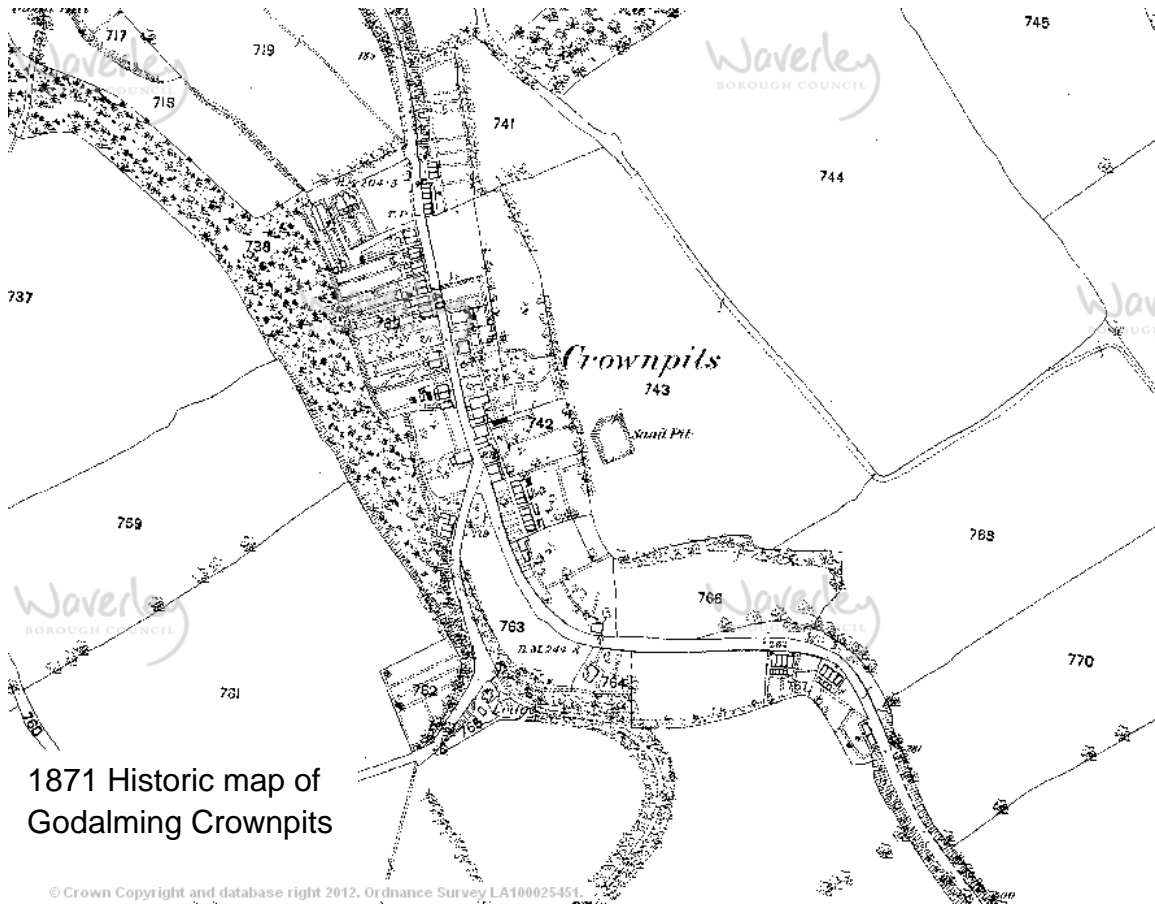
Strategic Housing Land Availability Assessment (SHLAA):

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.

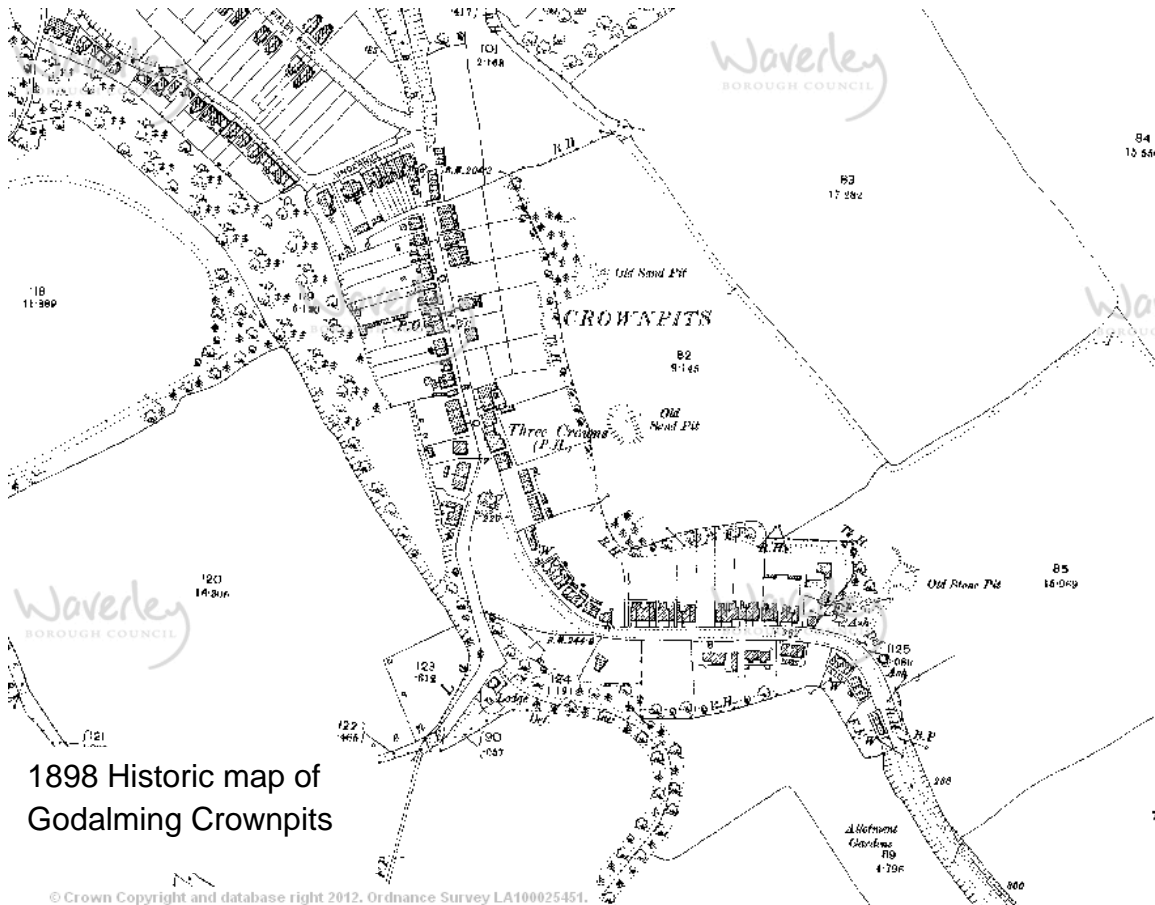
Vernacular:

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.

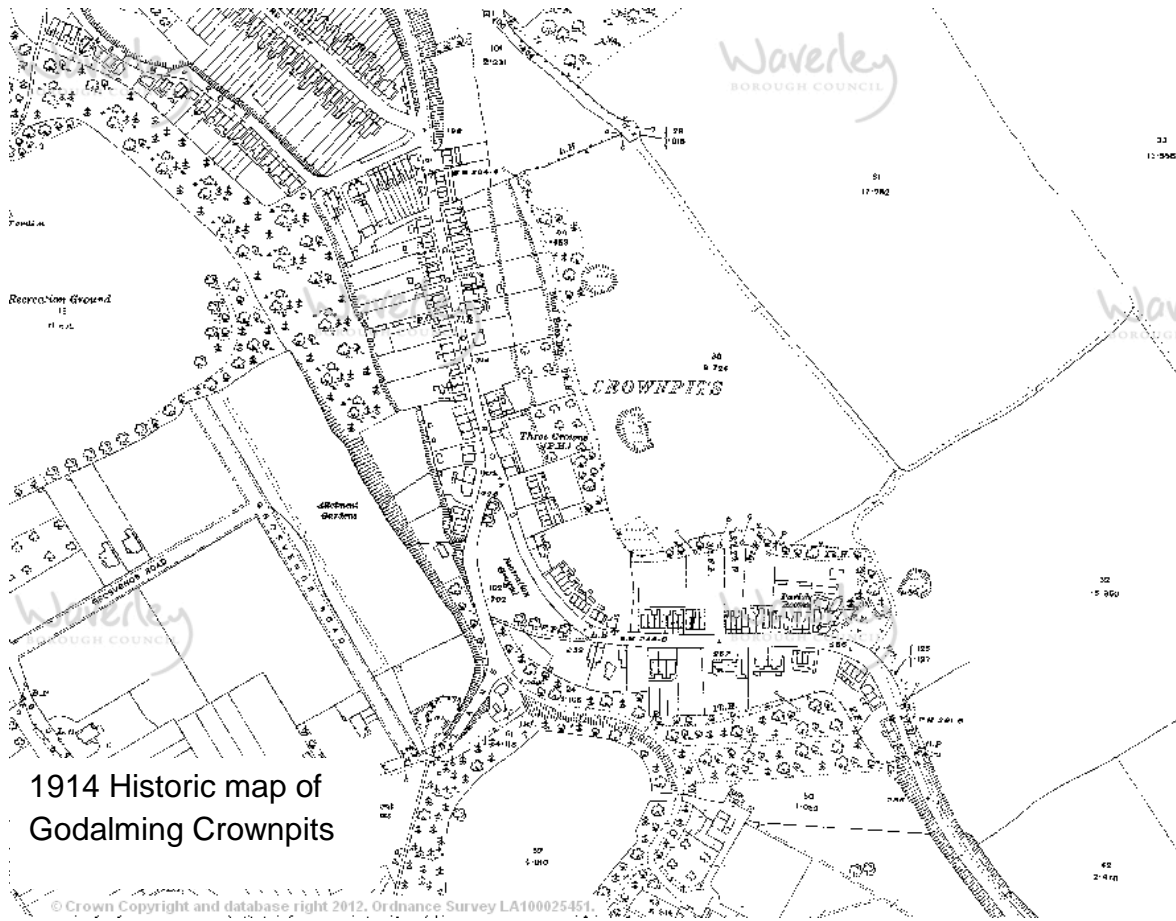
Appendix 3: Historical maps



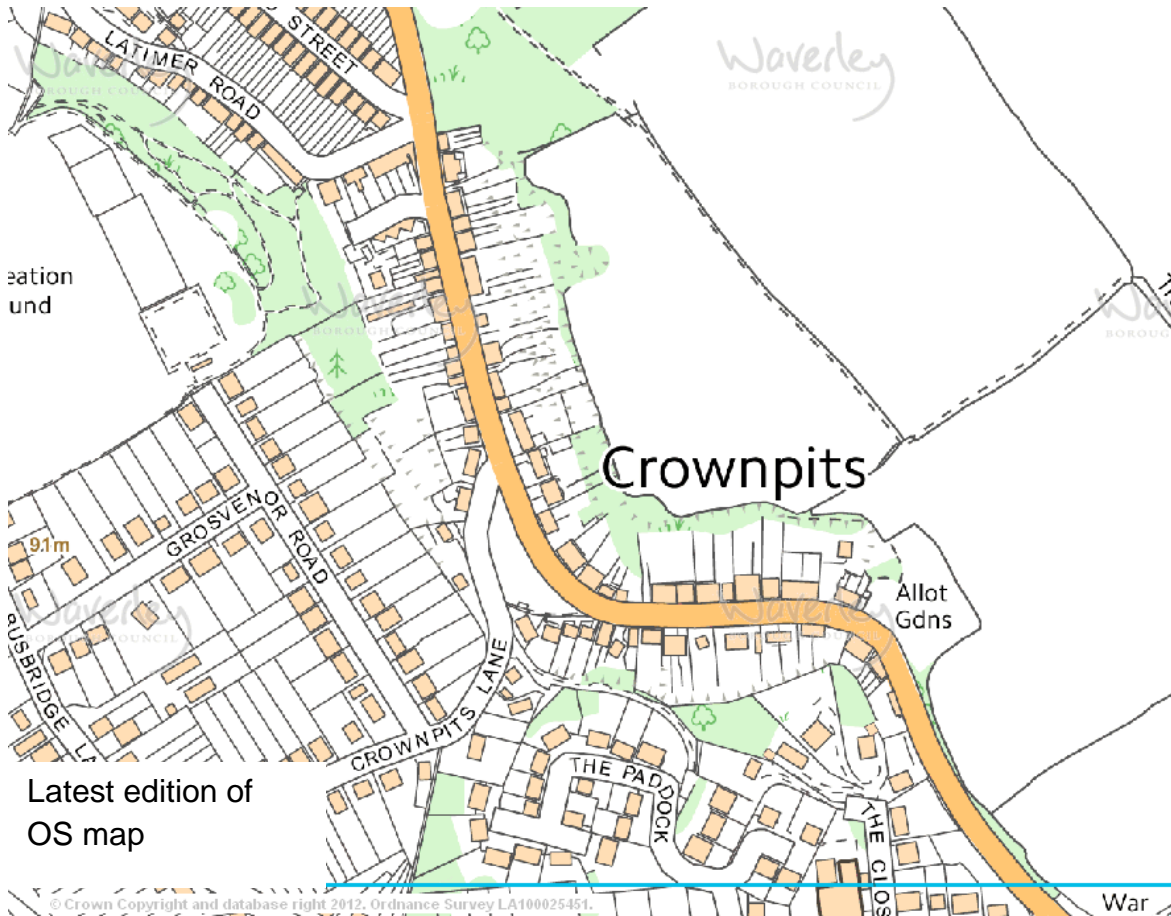
1871 Historic map of Godalming Crownpits



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

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>Response: The report has been updated accordingly.</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>Response: The report has been amended accordingly.</p>
Natural England	No comment

2) General comments on the CAA and Management Plan

Respondent comment	Waverley response
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

Respondent comment	Waverley response
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 19th 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.

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 or by post for the attention of Jennifer Samuelson.

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WAVERLEY BOROUGH COUNCIL

EXECUTIVE – 31/03/2015

Title:

DOMESTIC ABUSE POLICY

**[Portfolio Holder: Cllr Robert Knowles]
[Wards Affected: All]**

Summary and purpose:

The purpose of this report is to ask the Executive to recommend the Domestic Abuse Policy to Council for adoption.

How this report relates to the Council's Corporate Priorities:

Value for Money: The Domestic Abuse Policy supports Waverley's strategic aim to ensure that the Council is equipped to provide excellent services to local people and strong community leadership by creating a high performing staff team and operating first class policies and practices.

Financial Implications:

The Domestic Abuse Policy supports the strategic aim to ensure that all spending delivers value for money. This report does not have any direct financial implications. Whilst adherence to the policy may take some amount of existing staff time, this should be outweighed by the overall benefits as explained in the Policy.

Legal Implications:

The policy meets the requirements of all relevant legislation

1. Introduction

- 1.1. 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.
- 1.2. This policy 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. Waverley's Community Service Manager and Staffside have also been consulted in the preparation of this policy.
- 1.3. 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.

Recommendation

It is recommended that the Domestic Abuse Policy be recommended to Council for adoption.

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

CONTACT OFFICER:

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E-mail: wendy.gane.@waverley.gov.uk



Domestic Abuse Policy

Original Policy: February 2015	CMT Date: 16/02/2015	JCC Cons Date: 02/03/2015	Exec:
Full Council:	Next Review:	Uploaded:	

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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WAVERLEY BOROUGH COUNCIL

EXECUTIVE – 31 MARCH 2015

Title:

OCKFORD RIDGE – PROCUREMENT ROUTE THROUGH THE HCA'S DELIVERY PARTNER PANEL AND APPROVAL OF PRE-DEVELOPMENT BUDGET

**[Portfolio Holder: Cllr Stewart Stennett]
[Ward Affected: Godalming Central and Ockford]**

Note pursuant to Section 100B (5) of the Local Government Act 1972

An annexe to this report 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 the specific Paragraphs of Part 1 of Schedule 12A of the Local Government Act 1972, namely:-

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

Summary and purpose:

The purpose of this report is to recommend approval for the use of the Homes and Communities Agency Delivery Partner Panel 2 (DPP2) Framework for the Ockford Ridge project phases A – D; and seek approval for a budget allocation for pre-development costs for the 16 new affordable homes at Site D and two show homes on Site C.

How this report relates to the Council's Corporate Priorities:

This report relates to the Council's corporate priority of providing more affordable housing in the Borough for local people in housing need.

Financial Implications:

Funding for these schemes has been earmarked in the Section 106 funding, capital receipts and the Council's New Affordable Homes Reserve.

There are no financial costs tendering through the OJEU route. The Delivery Partner Panel is available for use free of charge by all public sector bodies.

Legal Implications:

The Delivery Partner Panel 2 provides a sound and legally compliant route to procure contractors. There is no need for the Council to undertake additional pre-qualification activities such as checking track record, financial standings, insurances or health and safety records for any of these panels, as these have already been carried out as part of the EU-prescribed tender process for the framework panel.

Background

1. In June 2013, the Council embarked on an ambitious investment project to redevelop and refurbish homes at Ockford Ridge to enhance the estate for the benefit of current and future generations.
2. In August 2014, planning permission was granted for the redevelopment areas at Ockford Ridge, which included detailed consent for the development of 16 new affordable homes in Site D and outline consent for 83 additional affordable homes in Sites A, B and C. Planning permission for two show homes was granted by the Local Planning Authority on 11 March 2015 and these will be the first new build homes to be built at Ockford Ridge.
3. Since the planning permission was granted, Press & Starkey has been acting on behalf of the Council as Employers Agent, prior to formal appointment. CDMC (Construction Design and Management Co-Ordinator), structural and mechanical services engineers, have been selected to join the design team, subject to budget approval.
4. Ridge & Partners are undertaking surveys of tenanted properties not included in the new build phases to establish the works required, such as new damp proofing courses, new heating, new bathrooms and kitchens.
5. Consultation continues with local residents with newsletters and regular meetings with the Community Consultative group. Tenants have been invited to join the project group panel to interview the contractors shortlisted for the show homes.
6. Following the appointment of the build contractor for the show homes, the next stage will be to tender the construction works for the 99 new build homes and the refurbishment of 80 existing homes. The aim is to commence construction in September 2015 on Site D, followed by Sites A – C. The build programme is expected to take approximately four years to complete.

HCA Delivery Partner Panel 2

7. As the value of the works exceeds the threshold of £4.322m set out in accordance with the Public Contracts Regulations 2015, the work has to be tendered following a specific set of rules. Two of the routes available are through the a Council-run tender process or via an existing framework agreement, both of which would need to accord with EU and UK procurement regulations. A number of frameworks have been considered, including the Delivery Partner Panel 2 (DPP2) run by the HCA (Homes and Communities Agency). The framework approach offers Waverley greater flexibility.
8. The HCA presented the DPP2 framework to officers on 23 February 2015 where the process and timings were explained. The benefits of this approach were presented, which include that members of the panel have already been through the full EU- and UK-compliant process, have been fully pre-qualified for relevant experience on housing projects, Health and Safety and financial robustness and are monitored by the HCA.

Pre-development Budget

9. A pre-development budget of £86,825 was agreed by Executive on the 3 December 2013. This budget covered the architects' fees and other surveys required for the planning submission and for quantity surveyors fees to assess the overall costs of refurbishment works. This budget is fully spent.
10. A further budget allocation is required to enable the appointment of the Employers Agent, structural, mechanical and electrical engineers, CDMC and archaeological services, prior to the commencement of construction works. A contingency of 10% has been included to cover additional survey work as required.
11. Pre-development costs for other phases will be sought on a phase by phase basis to enable the increases in costs over the four year period to be taken into account and firm control to be kept of each phase. The table of estimates is shown in (Exempt) Annexe 1.

Construction costs

12. Press & Starkey have indicated that the budget for the complete new build programme is likely to be in the region of £17m.
13. It is estimated that a budget in the region of £500,000 is required for the development of the two show houses and a budget of £2,219,032 is required for Site D, to include the cost of demolition. A contingency of at least 3% is recommended.
14. The tenders for the development of the show homes are expected in March and approval for the selection of the build contractor and the budget allocation will be sought from Executive in June 2015.

Recommendation

It is recommended that approval be given to:

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

Background Papers

There are no background papers (as defined by Section 100D(5) of the Local Government Act 1972) relating to this report.

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WAVERLEY BOROUGH COUNCIL

EXECUTIVE – 31/03/2015

Title:

IT DEVELOPMENT TEAM STAFFING - SHAREPOINT

[Portfolio Holders: Cllrs Tom Martin & Julia Potts]

[Wards Affected: All]

Note Pursuant to Section 100B(5) of the Local Government Act 1972

Annexes to this report contain 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 Part 1 of Schedule 12A to the Local Government Act 1972, namely:

Information relating to an individual.

Summary and purpose:

The purpose of this report is for the Executive to consider a request for a realignment of staff resources in the IT Development Team to enable the required level of delivery of the Microsoft Sharepoint product which is being developed and implemented as Waverley's principal corporate information management system and collaboration tool.

How this report relates to the Council's Corporate Priorities:

This report supports the overall aim of the Council to provide good value for money and the delivery of a key corporate system which will critically provide effective information management.

Financial and legal Implications:

The details of the funding of the proposed restructure of the IT Development Team arising from the Sharepoint project are set out in the report. If the proposals are approved there will be no net increase in the Council's budget in a full year.

Background

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.

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.

Proposed solution and revised staffing structure for the IT Development Team

3. This report sets out 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.
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, set out in (Exempt) Annexe 1, be allocated towards the net cost of the staffing changes set out in this report.
5. The existing and proposed staffing structures of the IT Development Team are set out in (Exempt) Annexe 2.
6. The specific proposal is to utilise the skills and expertise of the existing post holder (B112) 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.
7. 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.
8. 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.

Financial and establishment analysis

9. The net result of the proposed changes as set out in the table in Annexe 2 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.

10. 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.
11. 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.

Recommendation

It is recommended to the Council that

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

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