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agenda.

Meeting	AUDIT AND GOVERNANCE COMMITTEE
Time/Day/Date	6.30 pm on Wednesday, 25 January 2023
Location	Council Chamber, Council Offices, Coalville
Officer to contact	Democratic Services (01530 454512)

AGENDA

Item	Pages
1. APOLOGIES FOR ABSENCE	
2. DECLARATION OF INTERESTS	
Under the Code of Conduct members are reminded that in declaring interests you should make clear the nature of that interest and whether it is a disclosable pecuniary interest, registerable interest or other interest.	
3. MINUTES	
To confirm and sign the minutes of the meeting held on 26 October 2022.	3 - 6
4. COMMITTEE WORK PLAN	
To note the Committee's work plan	7 - 8
5. REVIEW OF THE COUNCIL'S CONSTITUTION	
Report of the Head of Legal and Commercial Services	9 - 386
6. ANNUAL GOVERNANCE STATEMENT 2020/21	
Report of the Interim Head of Finance	387 - 406
7. CORPORATE RISK UPDATE	
Report of the Strategic Director	407 - 416
8. INTERNAL AUDIT PROGRESS REPORT	
Report of the Audit Manager	417 - 424

9. TREASURY MANAGEMENT ACTIVITY REPORT - QUARTER 3

Report of the Finance Team Manager **425 - 444**

10. STANDARDS AND ETHICS REPORT - QUARTER 3

Report of the Head of Legal and Commercial Services **445 - 456**

Circulation:

Councillor S Gillard (Chairman)
Councillor N Smith (Deputy Chairman)
Councillor E G C Allman
Councillor C C Benfield
Councillor J Clarke
Councillor M D Hay
Councillor R L Morris
Councillor V Richichi
Councillor S Sheahan
Councillor M B Wyatt

MINUTES of a meeting of the AUDIT AND GOVERNANCE COMMITTEE held in the Council Chamber, Council Offices, Coalville on WEDNESDAY, 26 OCTOBER 2022

Present: Councillor S Gillard (Chairman)

Councillors N Smith, E G C Allman, C C Benfield, J Clarke, M D Hay, S Sheahan and M B Wyatt

In Attendance: Councillors

Officers: Mrs R Wallace, Mr A Barton, Mr G Hammons, Ms K Beavis, Mrs A Crouch and Miss E Warhurst

External Audit:

58. APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillors R Morris and V Richichi.

59. DECLARATION OF INTERESTS

There were no declarations of interest.

60. MINUTES

Consideration was given to the minutes of the meeting held on 27 July 2022.

It was moved by Councillor S Gillard, seconded by Councillor S Sheahan and

RESOLVED THAT:

The minutes of the meeting held on 27 July 2022 be confirmed as a correct record.

61. COMMITTEE WORK PLAN

Consideration was given to the committee work plan.

By affirmation of the meeting it was

RESOLVED THAT:

The committee work plan be noted.

62. STATEMENT OF ACCOUNTS UPDATE REPORT

The Finance Team Manager presented the report to Members, providing an update on the progress of the Authority's 2020/21 and 2021/22 Statement of Accounts.

It was moved by Councillor S Gillard, seconded by Councillor E Allman and

RESOLVED THAT:

The report be noted.

63. FUTURE EXTERNAL AUDIT ARRANGEMENTS - UPDATE

The Interim Head of Finance presented the report to Members, providing an update on the appointment of the Authority's external auditor for the five-year period commencing financial year 2023/24.

Members were concerned with the high increase in external audit fees proposed, especially considering the level of service provided from external audit in recent years. The Interim Head of Finance explained that the procurement process for the appointment was conducted by the Public Sector Audit Appointments (PSAA) and this was to ensure the authority received the best price option. During a discussion on the possibility of moving away from the national collective auditor arrangements, Members were reminded that the decision was made by Council to 'opt in' to these arrangements for five financial years starting 1 April 2024, therefore it was not possible to move away from the current arrangements.

Councillor N Smith entered the meeting during discussions at 6.40pm.

Further discussion was had on the reliability of the external audit suppliers and levels of performance, it was noted that the PSAA monitor performance with national specifications. Members were also informed that there was a challenge process in relation to the audit fee if required.

It was moved by Councillor S Gillard, seconded by Councillor N Smith and

RESOLVED THAT:

The progress update be noted.

64. INTERNAL AUDIT PROGRESS REPORT

The Audit Team Manager presented the report to Members detailing the progress made against the Internal Audit Plan for 2022/23.

It was moved by Councillor S Gillard, seconded by Councillor E Allman and

RESOLVED THAT:

The report be noted.

65. CORPORATE RISK UPDATE

The Strategic Director presented the report to Members.

In response to a question in relation to the risk associated with Leicestershire County Council's indication of possible financial pressure on budgets, the Strategic Director advised that no further information had been received following the official statement made by Leicestershire County Council. However, meetings had been scheduled for further discussions so an update would be provided at the next committee meeting where relevant.

It was moved by Councillor E Allman, seconded by Councillor J Clarke and

RESOLVED THAT:

The report be noted.

66. TREASURY MANAGEMENT ACTIVITY REPORT - QUARTER 2

The Finance Team Manager presented the report to Members.

A Member asked if the current projections for interest rates would affect the Authority's borrowing. The Finance Team Manager explained that the current borrowing was not on a fixed rate term so was not affected, however as the forthcoming budget setting was in progress, more information would be available at the next committee meeting.

It was moved by Councillor N Smith, seconded by Councillor E Allman and

RESOLVED THAT:

The report be approved.

67. STANDARDS AND ETHICS REPORT - QUARTER 2

The Head of Legal and Commercial Services presented the report to Members.

A Member expressed concerns on the current process for dealing with Freedom of Information requests, as they were aware of instances where replies had not been received following a request being made. The Head of Legal and Commercial Services explained that she was not aware of any issues but asked for further information from the Member so that it could be investigated.

It was moved by Councillor S Gillard, seconded by Councillor S Sheahan and

RESOLVED THAT:

The report be noted.

Councillor N Smith entered the meeting at 6.40pm.

The meeting commenced at 6.30 pm

The Chairman closed the meeting at 7.06 pm

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AUDIT AND GOVERNANCE COMMITTEE – WORK PROGRAMME (as at 17/01/23)

Issue	Report Author	Meeting at which will be reported
25 January 2023		
Annual Governance Statement 2020/21	Glenn Hammons, Interim Head of Finance and Section 151 Officer	25 January 2023
Corporate Risk Update	Andy Barton, Strategic Director of Housing and Customer Services	25 January 2023
Treasury Management Activity Report - Quarter 3	Anna Crouch, Finance Team Manager & Deputy S151 Officer	25 January 2023
Internal Audit Progress Report	Kerry Beavis, Audit Manager	25 January 2023
Review of the Council's Constitution	Kate Hiller, Legal Team Manager and Deputy Monitoring Officer	25 January 2023
Standards and Ethics Report - Quarter 3	Elizabeth Warhurst, Head of Legal and Commercial Services	25 January 2023
15 March 2023		
2020/21 Audit Completion Report	Glenn Hammons, Interim Head of Finance and Section 151 Officer	15 March 2023
Annual Statement of Accounts 2020/21	Glenn Hammons, Interim Head of Finance and Section 151 Officer	15 March 2023
Annual Auditors Report 2020/21	Glenn Hammons, Interim Head of Finance and Section 151 Officer	15 March 2023
Assessment of Going Concern 2021/22	Glenn Hammons, Interim Head of Finance and Section 151 Officer	15 March 2023
External Audit Strategy Memorandum	Glenn Hammons, Interim Head of Finance and Section 151 Officer	15 March 2023

Issue	Details	Report Author	Meeting at which will be reported
26 April 2023			
Annual Statement of Accounts 2021/22	Glenn Hammons, Interim Head of Finance and Section 151 Officer	26 April 2023	
Governance Statement 2021/22	Glenn Hammons, Interim Head of Finance and Section 151 Officer	26 April 2023	
Annual Completion Report 2021/22	Glenn Hammons, Interim Head of Finance and Section 151 Officer	26 April 2023	
Annual Auditors Report 2021/22	Glenn Hammons, Interim Head of Finance and Section 151 Officer	26 April 2023	
External Audit Strategy Memorandum 2022/23	Glenn Hammons, Interim Head of Finance and Section 151 Officer	26 April 2023	
Accounting Policies and Materiality 2022/23	Anna Crouch, Finance Team Manager & Deputy S151 Officer	26 April 2023	
Treasury Management Stewardship Report 2022/23	Anna Crouch, Finance Team Manager & Deputy S151 Officer	26 April 2023	
Internal Audit Progress Report	Kerry Beavis, Audit Manager	26 April 2023	
Standards and Ethics Report - Quarter 4	Elizabeth Warhurst, Head of Legal and Commercial Services	26 April 2023	
Corporate Risk Update	Andy Barton, Strategic Director of Housing and Customer Services	26 April 2023	
Draft Member Conduct Annual Report	Elizabeth Warhurst, Head of Legal and Commercial Services	26 April 2023	

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 25
JANUARY 2023

Title of Report	REVIEW OF THE COUNCIL'S CONSTITUTION	
Presented by	Elizabeth Warhurst – Head of Legal and Commercial Services and Monitoring Officer	
Background Papers	<u>Current Constitution</u>	Public Report: Yes
Purpose of Report	To ask the Committee to consider the work of the Constitution Member Working Group on developing a new Constitution for the Council and to recommend its adoption to Council.	
Recommendations	THAT AUDIT AND GOVERNANCE COMMITTEE: <ol style="list-style-type: none"> 1. NOTES THE WORK OF THE WORKING GROUP IN RESPECT OF THE PROPOSED NEW CONSTITUTION 2. CONSIDERS THE PROPOSED NEW CONSTITUTION 3. RECOMMENDS THE NEW CONSTITUTION (AS SET OUT IN APPENDIX A) TO COUNCIL AT ITS MEETING ON 23 FEBRUARY 2023 FOR ADOPTION WITH EFFECT FROM 9 MAY 2023 	

1.0 BACKGROUND

- 1.1 The Local Government Act 2000 requires each local authority to prepare, keep up to date and publicise the document known as the Constitution.
- 1.2 The Constitution should be logical, integrated and accessible to members, officers, the public and anyone else interested in the way a local authority makes its decisions. There is also a statutory requirement on the Council's Monitoring Officer to keep the Constitution up to date, and accordingly the update of the Constitution is an on-going process.
- 1.3 Full Council regularly considers items relating to updates to the Constitution. The updates are generally required due to legislative and organisational changes or to clarify and improve processes within the Council to reflect best practice.

2.0 METHOD OF REVIEW

- 2.1 In previous years the review has involved consulting officers on areas of the Constitution that need updating/amending, updating any areas that have been raised with the Legal Team previously for clarity, reflecting any relevant changes in law and incorporating any feedback raised by members.
- 2.2 This year it was identified that a broader review of the whole Constitution may be needed. Whilst our current Constitution has worked well, it was felt that it could be made clearer and more accessible. Best practice was also identified based on the constitutions of other councils and was taken into account in the approach to remodelling ours.
- 2.3 For the 2021/22 annual review and following interest expressed by members, a cross party member working group was established to feed into the work on the Constitution review. The Constitution Member Working Group comprised of Councillors Ashman, Hay, Morris, Richichi, Saffell, Simmons and Wyatt, and met on the following dates:
- 10 December 2021
31 January 2022
4 March 2022
27 May 2022
22 July 2022
10 October 2022
8 December 2022
- 2.4 At the first meeting of the Constitution Member Working Group, members agreed that, rather than follow the usual process for reviewing the Constitution, a full review was needed. Members felt that it was an opportune time to consider the document as a whole to improve accessibility and ease of use. Members were shown some example constitutions from other district councils and chose one that they preferred for the new Constitution to be based on.
- 2.5 The Constitution Member Working Group also agreed the detailed methodology for the review. Once a suitable example constitution had been identified, the Legal Team broke it down into sections and compared it against the equivalent sections in the current Constitution. The team sought to preserve the wording and layout of the example constitution and only make changes to it to reflect how we work as a Council (e.g. committee titles and where decisions are made, etc.)
- 2.6 Proposed changes were presented to the Constitution Member Working Group accompanied with a separate change tracker document and any feedback from members within the group was taken into account in updating the relevant sections. The Constitution Member Working Group has been invaluable in providing member insight and constructive challenge to the review process and are thanked for their time and work on this project.

3.0 KEY CHANGES TO THE CONSTITUTION

- 3.1 The substance of the Constitution has not changed significantly, as the main changes have primarily been how it looks and is presented. The new Constitution is provided at Appendix A.
- 3.2 The review table at Appendix B sets out the full extent of the changes made and how the current Constitution has been captured in the new version.

- 3.3 The area that has changed the most is the Scheme of Delegation. The intention of the changes is to give clarity to officers on the powers they have delegated to them. The intention of the changes is to provide clarity to officers on the powers which have been delegated to them not to change the balance of delegations which Council have agreed.
- 3.4 Our current Constitution provides both general and specific delegations to specific officers. The proposed new Scheme of Delegation delegates all powers in relation to specific services to the Head of Service and then the Head of Service delegates their powers onwards through a local scheme of delegation. The local schemes of delegation do not form part of the Constitution document itself but will be made available on the Council's website.
- 3.5 Aside from the local scheme of delegation, officers may need specific authorisations (e.g. rights of entry). These will be delegated through specific authorisation forms, similar to those used currently for all delegations.
- 3.6 Apart from any specific delegations, officers are free to take whichever actions or decisions enable them to do their job as set out in their job description without the need for any further forms. Whilst this is the position under our current Constitution, it is not as clear as it could be because of the way it is presented.
- 3.7 Since the Constitution Member Working Group saw the last version of the Constitution in December 2022, a further change has been made to reflect some new requirements from CIPFA. CIPFA reissued its "Position Statement: Audit Committees in Local Authorities and Police 2022" along with some supplementary guidance on the statement at the end of last year. The statement represents CIPFA's view on the audit committee practice and principles and it is expected that all local government bodies should make their best efforts to adopt the principles, aiming for effective audit committee arrangements.
- 3.8 The guidance from CIPFA indicates that two independent persons should be co-opted onto the Audit and Governance Committee and that members of the Committee should not overlap with those exercising Scrutiny or Cabinet functions. The new Constitution has been amended to allow for the appointment of the independent persons and the Internal Audit Manager will bring a paper to the Committee to update further on the recent guidance.
- 3.9 As part of the review, all cross-references and legislative references in our current Constitution were checked to make sure they remain up-to-date before repeating in the new version. An anomaly was identified in respect of the Licensing Committee as it is a legal requirement that it has no more than 15 members (as opposed to the 17 it currently has). The new constitution has addressed this.
- 3.10 Although the draft Constitution is complete, the final version will be updated to include hyperlinks, so that it is easier to navigate to relevant sections within the document and to any other webpages or documents that sit outside of the document and are referred to within it. This work will be undertaken prior to publication.
- 3.11 As the new Constitution has changes that affect committee membership (as explained above), it is proposed that it is adopted from the new civic year, on 9 May 2023 when new councillors take their seats following the elections on 4 May 2023. This will enable the arrangements and appointments at the annual meeting to comply with the new constitution.

4.0 CONSULTATION

- 4.1 As some sections of the consultation affect employees, the Head of Human Resources and Organisational Development consulted with CLT on the Officers' Code of Conduct and Employment Procedure Rules at its meeting on 26 October 2022.
- 4.2 In addition, consultation was carried out on the Officers' Code of Conduct with team managers and the trade unions.
- 4.3 UNISON confirmed that they had no comments to make and no responses were received from the other trade unions. Responses received from team managers were considered and taken account of when finalising the Officers' Code of Conduct.

Policies and other considerations, as appropriate	
Council Priorities:	An up to date and modern constitution helps the council to make robust and effective decisions and deliver corporate priorities
Policy Considerations:	N/A
Safeguarding:	N/A
Equalities/Diversity:	N/A
Customer Impact:	The constitution is made available to customers on the Council's website and the intention of replacing it is to make it more accessible and easier to understand.
Economic and Social Impact:	N/A
Environment and Climate Change:	N/A
Consultation/Community Engagement:	The MO consulted and engaged with the Chief Executive, Directors, S151 Officer, other officers, the Leader and Deputy Leader and the Constitution Member Working Group. The Head of HR and OD consulted with CLT, team managers and trade unions on the aspects that affect employees (as detailed in section 4 of the report).
Risks:	An up to date constitution which is reviewed regularly ensures that robust effective decisions can be made by members and officers
Officer Contact	Elizabeth Warhurst Head of Legal and Commercial Services elizabeth.warhurst@nwleicestershire.gov.uk

Constitution of North West Leicestershire District Council

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Part 1

Summary and Explanation

The Purpose of the Council's Constitution

North West Leicestershire District Council (usually referred to in this **Constitution** as “the Council”) has agreed a Constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that these decisions are efficient, transparent and accountable to local people.

There are powers to scrutinise decision-makers and hold them to account and ensure that no one will review or scrutinise a decision in which he/she was directly involved.

The **Constitution** explains how members of the public can get involved and what rights they have and assists businesses and others to understand how the Council works and the rules and procedures that need to be followed.

Some of these processes are required by the law, while others are a matter for the Council to choose. Generally speaking the Council will exercise its powers and duties in accordance with the **Constitution**, unless the law requires the Council to do something else or the relevant provisions are waived.

Hyperlinks to other documents/sites are included where this will be helpful. All hyperlinks are coloured [blue like this](#) and are underlined. **Bold Text** refers to items explained in the Glossary and described or located elsewhere in this **Constitution**.

What's in the Constitution?

The **Constitution** has six parts:

1. **Part 1** is this Summary and Explanation
2. **Part 2** contains the Responsibility for Functions and sets out which parts of the Council are responsible for carrying out the various activities of the Council.
3. **Part 3** contains the various Procedure Rules which govern how the Council conducts its business, including how it makes decisions and how meetings are conducted.
4. **Part 4** includes Codes and Protocols that govern how **Councillors** (also known as “members of the Council”) and Officers must behave in performing their duties.
5. **Part 5** is the **Councillors' Allowance Scheme**, which sets the level of financial allowances which Councillors receive for performing their duties.
6. **Part 6** is a Glossary which explains some of the terminology used in this **Constitution**. Terms in the Glossary and parts of the Constitution are shown in **bold**.

There are a number of other codes, protocols and policy documents which govern

how the Council operates which do not form part of the **Constitution**. Where this Constitution refers to these documents, they will be made available on the Council's website via a hyperlink.

Councillors and the Council

The Council is made up of 38 **Councillors**. Councillors are elected by and are democratically accountable to residents of their Ward. The overriding duty of Councillors is to the whole community, but they have a special duty to their constituents, including those who did not vote for them. Only registered voters of the **District**, or people living, working or owning property here for at least 12 months, are eligible to stand to be elected as a Councillor.

The regular election of Councillors is usually held on the first Thursday in May every four years, for all Councillors at once. The term of office of Councillors starts on the fourth day after being elected and will finish on the fourth day after the next regular election (except for the Chair and Deputy Chair, the Leader and Deputy Leader, whose term of office continues until the following **Annual Meeting** even if they are not re-elected). Find out when the [next election](#) will take place.

A full list of Councillors' names, contact information, term of office and their membership of political groups is available [here](#) on the Council's website along with details of the **Committees** and bodies on which they serve.

Councillors roles and functions include:

- Collectively deciding the Council's **Budget and Policy Framework** and carrying out a number of other strategic functions;
- Initiating and scrutinising policy;
- Representing their communities and bringing their views into the Council's decision-making process, i.e. becoming the advocate of and for their communities;
- Contributing to the good governance of the area, demonstrating community leadership and encouraging community participation;
- Dealing with individual casework and acting as an advocate for constituents in resolving particular concerns or grievances;
- Balancing different interests identified within the Ward and representing the Ward and the Council as a whole;
- Maintaining the confidentiality of confidential and exempt information and assisting to ensure transparency of information that is publicly available (otherwise there may be a breach of the **Councillors' Code of Conduct in Part 4**);
- Taking personal responsibility for decision-making, having consulted and/or engaged with relevant persons and acting fairly and reasonably;
- Being available to represent the Council on other bodies;
- Participating in training and promoting digitisation and electronic

communications where possible; and

- Promoting and maintaining the highest standards of conduct and ethics.

Further information on the roles and responsibilities of Councillors can be found [here](#) on the Council's website.

Councillors have agreed to follow the **Councillors' Code of Conduct** in **Part 4** to ensure high standards in the way they undertake their duties. The **Audit and Governance Committee** and **Monitoring Officer** advise Councillors on the Code of Conduct; promote high standards of behaviour; and monitor standards of conduct. The Council maintains a [register of interests](#) declared by Councillors which is open to inspection by members of the public and available on the Council's website. Councillors are entitled to receive allowances in accordance with the **Councillors' Allowances Scheme** in **Part 5**.

How the Council makes decisions

All **Councillors** meet together a number of times a year as members of the **Full Council**. You can find details of the calendar of [Full Council meetings](#) on the Council's website.

There are three different types of **Full Council** meeting:

- The **Annual Meeting** of the **Full Council**, which will usually be held in May;
- Ordinary meetings; and
- Extraordinary meetings, which will be called as and when required in accordance with the **Council and Committee Procedure Rules** in **Part 3**.

The **Annual Meeting** of the **Full Council** elects the **Chair of the Council** annually and the **Leader** (for a four year term) and agrees the representation on **Council Committees** with the seats on each Committee allocated in accordance with the Council's **Political Balance** rules.

The **Full Council** is responsible for setting the **Budget and Policy Framework**. The Budget and Policy Framework sets out the Council's key policies and agreed budget for each year. All decisions must be taken in accordance with these agreed documents. Only Full Council can change the Budget and Policy Framework. Full Council sets the Council's budget each year.

The **Full Council** also appoints a number of **Committees** to deal with regulatory functions such as Planning and Licensing. See details of the [Council's Committees](#).

Full Council may also appoint area **Committees** as it sees fit, if it is satisfied that to do so will ensure improved service delivery in the context of best value and more efficient, transparent and accountable decision making. The Council will consult with relevant parish and town councils and the chairmen of relevant parish meetings when considering whether and how to establish area Committees.

Meetings of the **Full Council** and other decision-making bodies are open to the public, except where personal or confidential matters are being discussed

(see **Access to Information Procedure Rules** in **Part 3**).

The Diagram of Decision-Making Bodies at **Part 2** shows the overall structure of the Council's decision making arrangements.

The Council has adopted an “**executive**” form of governance. This means that the **Full Council** appoints a Leader of the Council. The Leader then appoints a minimum of 2 and no more than 9 other Councillors who, together with the Leader, form the **Cabinet** and are responsible for certain decisions such as policy matters (including recommending the **Budget and Policy Framework**), housing, land and property and economic regeneration.

More detail on decision making can be found in the Introduction to Decision Making at **Part 2 Section A**.

Decision Making and the Cabinet

The **Executive** is the part of the **Council** which is responsible for most day-to-day decisions and for implementing the Council's **Budget and Policy Framework**. The “**Executive**” is the collective term for the Leader, individual **Cabinet Members**, the **Cabinet** or a **Committee** of the Cabinet. Executive decisions will ordinarily be taken by the **Cabinet** where these are not delegated to Officers under the **Officer Scheme of Delegation**. More information is provided in **Part 2**.

The **Leader** appoints the **Cabinet**, comprising at least 2 and up to 9 additional **Councillors**, who do not have to be appointed in **Political Balance**. The Council elects the Leader of the Council every four years usually starting and ending at the **Annual Meeting** of the **Full Council**. This is subject to a Leader resigning or being disqualified from office as a Councillor, or a vote of **Full Council** to remove the current Leader, which may happen before the end of the four year term.

Executive decisions will be taken in accordance with the **Cabinet (Executive) Procedure Rules** in **Part 3**. Decisions are subject to **Call-in** (see below under Scrutiny heading) which means that they cannot be acted upon until the period for Call-in has passed or the Call-in has been dealt with under the **Scrutiny Procedure Rules** in **Part 3**.

The Cabinet has to make decisions that are in accordance with the Council's overall policies and budget. If it wishes to make a decision that is outside the **Budget and Policy Framework**, this must be referred to **Full Council** to decide (unless urgent).

Where **Cabinet** intends to discuss any matter in private, a notice will usually be published 28 days before the meeting and a further notice will be published when the **Agenda** for the meeting becomes available.

When “**Key Decisions**” are to be discussed or made then special notice procedures must be followed – usually 28 clear days’ public notice is given (although there are special rules where this is not possible). These are set out in the **Access to Information Procedure Rules** in **Part 3**. **Key Decisions** may only be taken by the **Leader**, the **Cabinet**, a **Committee** of Cabinet or a **Cabinet Member**.

Some decisions, as a matter of law, are not **Executive Decisions**. These decisions

include Planning, Licensing and Personnel matters. The Council has standing regulatory and other **Committees** to deal with these matters, set out in **Part 2**.

Scrutiny

The **Scrutiny Committees** support and challenge the work of the **Cabinet** and the Council as a whole. They may be supported by **Sub-Committees** or Task and Finish Groups. **Cabinet Members** cannot sit on the Scrutiny Committees or any of their Sub-Committees.

The Scrutiny function is divided between the Community Scrutiny Committee and the Corporate Scrutiny Committee. These **Committees** may hold inquiries into matters of local concern in which the public may take part, and may invite external bodies to provide evidence or appear before it. This sometimes leads to reports and recommendations which advise the **Cabinet**, the Council as a whole, and, in some case, outside agencies, on policies, budgets, and service delivery. Individual **Councillors** may ask for items related to Council functions to be placed on the **Agenda** of the relevant **Scrutiny Committee**.

The **Scrutiny Committees** also monitor the decisions of the **Cabinet** and of **Key Decisions** that have been taken but not yet implemented. Non-Cabinet Councillors can 'Call-in' these decisions to enable the relevant Scrutiny Committee to consider whether the decision is appropriate. The relevant Scrutiny Committee may recommend that the decision is reconsidered by **Cabinet**.

The Corporate Scrutiny Committee monitors the Council's budget and **Treasury Management** functions throughout the year. The Corporate Scrutiny Committee will exercise the Council's budget scrutiny function and will hold the **Cabinet** and others to account in scrutinising the preparation and development of the Council's Budget.

The Community Scrutiny Committee and the Corporate Scrutiny Committee may also be consulted by the **Cabinet** or the Council on forthcoming decisions and the development of policy.

Residents, Members of the Public and the Council

Members of the public, service users and residents have a number of rights in their dealings with the Council. Some of these are legal rights, whilst others depend on the Council's own processes. Citizens' Advice can advise on individuals' legal rights.

Where members of the public use specific Council services, for example as a Council tenant, they have additional rights. These are not covered in the **Constitution**, except in relation to complaints.

Members of the public have the right to:

- vote at local elections if they are registered on the electoral roll;
- stand for election as a Councillor if they have lived, worked or owned property in the Council's area for at least 12 months;
- present [petitions](#) in accordance with the Council's rules;
- contact their local **Councillors** about any matters of concern to them relating to functions of the Council;
- access [Councillor details](#);
- attend advertised surgeries held by Councillors;
- be consulted as individuals on certain changes to service delivery, where invited, although the Council is not always obliged to consult on service changes. The Council may have a duty to consult under specific legislation; or to consult representatives of the public and service users in connection with the Council's overall approach to the way services are delivered under the Council's **Best Value** duty.

Members of the public can access information and decision-making in the following ways:

- Attend meetings of the **Council**, **Cabinet** or Committees except for that part of a meeting where **confidential or exempt information** is likely to be disclosed, and the meeting is therefore held in private;
- Find out from the notices of forthcoming **Key Decisions** what Key Decisions will be taken by the Cabinet and when;
- See reports and background papers, and any records of decisions made by the Council and the Cabinet (except where those reports and papers contain confidential or exempt information); and
- Inspect the Council's accounts and make their views known to the External Auditor.

Members of the Public may participate in meetings, under the direction of the Chair of the Committee and in accordance with the Procedure Rules set out in **Part 3**, in the following ways:

- Addressing meetings of **Full Council** to ask questions, where prior notice is given;
- Addressing meetings of **Cabinet** to make representations and ask questions, where prior notice is given;
- Making representations to the **Planning Committee** in accordance with the Committee's rules on public speaking in the **Planning Code of Conduct** in **Part 4**;
- Making representations to the **Licensing Committee** as applicants or objectors in respect of individual applications; and speaking at Licensing Committee meetings on certain items in accordance with the Committee's rules on public speaking;

- Contributing to research or reviews undertaken by the **Scrutiny Committees**;
- Where invited, participating in other public meetings; and
- Reporting on the proceedings at open meetings of the **Council, Cabinet** and Committees by filming, photographing, audio-recording, using social media such as tweeting and blogging, or by any other means, providing written commentaries and outside of a meeting oral commentaries.

Anyone may make a complaint to:

- The Council (under the Council's [Complaints Policy](#));
- The Local Government and Social Care Ombudsman after having first used the Council's own [complaints procedure](#) and having given the Council a chance to respond to the complaint. The Ombudsman will normally allow the Council 8 to 12 weeks for a response, but the Ombudsman may get involved earlier if there are extenuating circumstances; or
- The **Monitoring Officer** about an alleged breach of the **Councillors' Code of Conduct** (in **Part 4**) by a **Councillor**.

The Council welcomes participation by the public, service users and residents. However, individuals must not be violent, abusive or threatening to **Councillors** or **Officers** and must not wilfully harm them or things owned by the Council, Councillors or Officers. Further information about public participation, can be found within this **Constitution**. Details of the Council's meetings, Councillors and services can be found on the Council's [website](#).

The Role of the Chair of the Council

The **Chair of the Council** is a civic and ceremonial role that is non-political. The Chair serves for a one-year term of office. The **Chair** and the **Deputy Chair** will be elected by the **Council** annually. The Chair and in his/her absence, the Deputy Chair will have the following roles and functions:

A Ceremonial Role, which will include:

- to communicate with the private and voluntary sector organisations across the **District**;
- to act as official host to visitors to the District;
- to represent the District at ceremonial events;
- to attend civic events and local community activities;
- to carry out all duties in a manner that reflects the position and traditions of the office;
- to promote public involvement in the Council's activities;
- to act as the representative of the District on other occasions as determined by the Council; and

- to attend such civic and ceremonial functions as the Council and the Chair determines appropriate.

The Chair will preside over **Full Council** meetings:

- to uphold and promote the purposes of the **Constitution**, and subject to the advice and guidance of the **Chief Executive, Section 151 Officer** or **Monitoring Officer** during Council meetings to interpret the Constitution where necessary;
- to preside over meetings of the **Full Council** so that business can be carried out efficiently and with regard to the rights of **Councillors** and the interests of the community;
- to ensure that the **Full Council** meeting is a forum for the debate of matters of concern to the local community and the place at which **Councillors** who are not on the **Cabinet** and do not hold Committee Chairs are able to hold the Cabinet and Committee Chairs to account;
- to be the conscience of the Council;
- keep order at **Full Council** meetings and ensure that Councillor behaviour is of the highest standard and does not bring the Council into disrepute;
- exercise a second or casting vote in the event of a tied vote;
- to authorise extraordinary meetings of the **Full Council** under the Council's Procedure Rules at **Part 3** of this **Constitution**; and
- to act in a politically neutral and impartial manner when performing all roles as **Chair of the Council**.

Council Officers

The Council and its **Councillors** are supported by the Council's employees, and other appointees who are referred to as "**Officers**". Officers provide advice, implement decisions and manage the day to day delivery of the Council's services.

The most senior Officer is the **Chief Executive**. Other senior managers lead parts of the Council's services. Some Officers have specific duties to ensure that the Council operates within the law and use resources wisely. These are the Council's **Statutory Officers**: a **Head of Paid Service** responsible for the Council's Officers (in North West Leicestershire this is the Chief Executive); a **Section 151 Officer**, responsible for the proper administration of the Council's financial affairs (in North West Leicestershire this is the Head of Finance); and a **Monitoring Officer**, responsible for reporting upon illegality and maladministration (in North West Leicestershire this is the Head of Legal and Commercial Services). The Council's Management Structure is set out in **Part 2**.

Officers must comply with a **Code of Conduct** which is set out in **Part 4** of this **Constitution**. The recruitment, selection and dismissal of Officers will comply with the **Officer Employment Procedure Rules** in **Part 3**. Officers are paid in

accordance with the Council's [Pay Policy](#).

The **Protocol on Councillor / Officer Relations** governs the relationship between **Officers** and Councillors (in **Part 4** of this **Constitution**).

Further details of the powers and responsibilities of Officers are set out in **Part 2**.

Duty to Monitor and Review the Constitution

Full Council adopts the **Constitution**.

The Leader may amend and/or update the **Executive** arrangements at any time and shall report such changes to Full Council at the earliest opportunity.

The **Monitoring Officer** will monitor and review the operation of the **Constitution** on a regular basis, in order to ensure that it is up-to-date and that the aims and principles of the Constitution are given full effect. The Monitoring Officer is empowered to make changes to ensure that:

- legislative references are updated;
- it reflects the Council's structures and decision-making requirements;
- consequential amendments are made as a result of Council, Executive and Committee decisions; and
- it is clear and unambiguous and maintains efficiency of operations.

A review of the **Constitution** by the Monitoring Officer will take place annually. Any changes to the Constitution will only be approved by the **Full Council** after consideration by the **Audit and Governance Committee**.

Suspension of the Constitution

Any part of the **Constitution** may be waived or suspended by **Full Council** (or the **Cabinet** in relation to **Executive Functions**) to the extent permitted within the Procedure Rules in **Part 3** and the law.

Publication

Copies of the **Constitution** are available to view on the [Council's website](#) (which is the definitive version) or from Democratic Services at the [Council Offices](#).

The **Monitoring Officer** will ensure this **Constitution** is available for inspection at the Council offices. Printed copies can be purchased by the local press and the public on payment of a reasonable fee.

Part 2

Responsibility for Functions

Section A – The Council’s Management Structure
The Council’s Committee Structure
Introduction to Decision Making

Section B - Responsibility for Local Choice Functions

Section C - Full Council

Section D - Non-Executive Committees

Section D1 - Licensing Committee

Section D2 - Appointments Committee

Section D3 - Investigatory Committee

Section D4 - Planning Committee

Section D5 - Local Plan Committee

Section D6 - Scrutiny Committee

Section D7 - Audit and Governance Committee

Section D8 - Employee Joint Consultative Committee

Section D9 - Independent Remuneration Panel

Section E - The Cabinet (Executive Functions)

Section F - Joint Arrangements

Section G - Officer Scheme of Delegation

Section G1 - Introduction to the Officer Scheme of Delegation

Section G2 - General Delegations to Designated Officers

Section G3 - Delegations to Head of Paid Service and Statutory Officers

Section G4 - Proper Officer and Specified Officer Functions

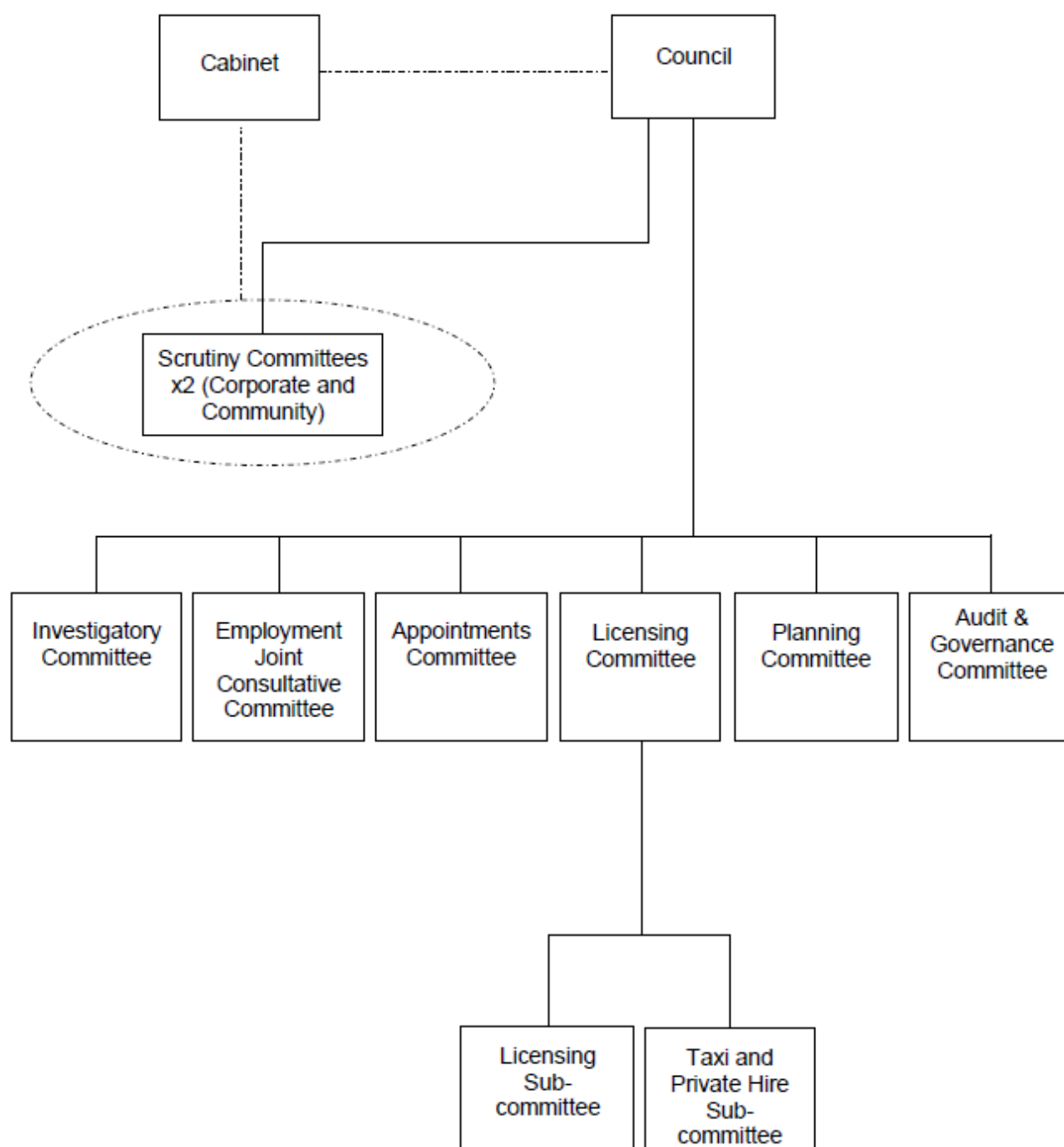
SECTION A – THE COUNCIL’S MANAGEMENT STRUCTURE



Organisation Who's Who

October 2022

SECTION A – THE COUNCIL’S COMMITTEE STRUCTURE



SECTION A - INTRODUCTION TO DECISION MAKING

- 1 The Council makes many decisions relating to matters within its area. This Part of the **Constitution** sets out how these decisions are made so that members of the public are clear about what decisions are made and which part of the Council or individual has responsibility for particular types of decisions.
- 2 The Council's functions may be lawfully exercised by:
 - 2.1.1 The **Full Council**;
 - 2.1.2 The **Cabinet**;
 - 2.1.3 **Committees** and **Sub-Committees** of the **Full Council** or the Cabinet;
 - 2.1.4 **Joint Committees**; and
 - 2.1.5 Officers.
- 3 All of the Council's functions are either "executive" or "non-executive". **Executive Functions** are the responsibility of the Cabinet or one of its Committees, sub- Committees, **Joint Committees**, or an Officer. **Non-Executive Functions** are the responsibility of the **Full Council** or one of its Committees, **Sub-Committees**, Joint Committees, or an Officer. "Functions" include all of the Council's powers and duties under legislation, that is, all of the activities the Council undertakes.
- 4 The Cabinet is the part of the Council which is responsible for most day-to-day decisions, including **Key Decisions**. The Cabinet is made up of the **Leader** and a number of **Cabinet Members** selected by the Leader and which make up the **Cabinet**. The Cabinet might also establish Committees and **Sub-Committees**. All **Key Decisions** will be published in advance in the Executive Decision Notice in so far as they can be anticipated.
- 5 The **Cabinet** will ordinarily carry out all of the Council's **Executive Functions** that are not the responsibility of any other part of the Council, whether by law or under this **Constitution**, unless the **Leader** decides to discharge them personally or allocate them to an individual **Cabinet Member** or a Committee of the Cabinet.
- 6 Under Section 9D of the Local Government Act 2000 ("the 2000 Act") any function of the local authority which is not specified in regulations made by the Secretary of State is to be an "**Executive Function**", and therefore the responsibility of the Cabinet. **Non-Executive Functions** (or Council functions) are specified in Regulations issued under the 2000 Act and include functions such as those relating to Officers, planning and

licensing. Non-Executive Functions may be delegated to Committees, **Sub-Committees** or **Officers** under Section 101 of the Local Government Act 1972 ("the 1972 Act"). The effect of this legislation is that unless specified as a non-executive function, a function is presumed to be an executive function.

7 The Council will issue and keep up to date a record of what part of the Council or individual has responsibility for particular types of decision or decisions relating to particular areas or functions. This record is set out in this **Part 2** of this **Constitution** along with schemes of further delegation maintained by the Council's **Designated Officers**.

8 Where a function is delegated under this **Constitution**, that does not prevent the person or body that has delegated the function from removing the delegation or exercising the function concurrently, for example in the absence of the person delegated to make a decision.

9 **Principles of decision-making**

9.1 The following principles will apply to all decision-makers. Decision-makers will:

9.1.1 take into account all relevant considerations and ignore those which are irrelevant;

9.1.2 take decisions which are proportionate to the desired outcome;

9.1.3 undertake appropriate consultation where required and based on professional and technical advice from Officers, in particular the **Monitoring Officer** and **S151 Officer**;

9.1.4 undertake a realistic evaluation of alternatives and options, giving reasons for their decision;

9.1.5 consider relevant professional advice;

9.1.6 have regard to statutory duties, such as **Best Value** and to environmental consideration and impacts;

9.1.7 respect human rights and equality of opportunity; and

9.1.8 approach decision-making on a transparent and open basis.

10 **Record of decision-making**

10.1 The Council supports transparency of decision-making in the public interest. When decisions are taken, the report, decision record and/or minutes must be produced which will include the following information:

- 10.1.1 who took the decision (the person or body);
- 10.1.2 the details of the decision including the date it was made;
- 10.1.3 the reasons for the decision;
- 10.1.4 a summary of any alternative options considered and rejected by the Officer, **Councillor** or decision-making body when the decision was made;
- 10.1.5 details of any interest relating to the matter declared by any member of the decision-making body or by a Councillor who is consulted by the Officer or **Councillor** who made the decision; and
- 10.1.6 in respect of any declared interest, a note of any dispensation granted by the **Monitoring Officer** or **Audit and Governance Committee**.

11 **Types of decision and the decision-takers**

- 11.1 When the **Full Council** makes decisions, it will comply with the **Council and Committee Procedure Rules** in **Part 3**.
- 11.2 When the Cabinet makes decisions, these will comply with the **Cabinet (Executive) Procedure Rules** in **Part 3**.
- 11.3 When the **Scrutiny Committees** make decisions, these will comply with the **Scrutiny Procedure Rules** in **Part 3**.
- 11.4 When Committees and **Sub-Committees** make decisions, these will comply with the **Council and Committee Procedure Rules** in **Part 3**.
- 11.5 On occasions, the Council, the Cabinet, a **Councillor** or an Officer will act as a tribunal or in a quasi-judicial manner when they determine the civil rights or obligations of an individual. When this happens, they will follow a proper procedure which accords with the requirements of natural justice and the right to a fair trial contained in Article 6 of the European Convention on Human Rights.
- 11.6 Any area of responsibility that is not specifically listed under the matters reserved for Councillors in Sections B-F of this **Part 2** is deemed to be delegated to Officers – **Designated Officers**.
- 11.7 **Part 2** Section B sets out the “local choice” functions, which are those that the Council can allocate to either the **Full Council** or the Cabinet for decision and sets out which body has been allocated them.
- 11.8 **Part 2** Section C sets out the **Non-Executive Functions** which are reserved to the **Full Council**.

- 11.9 **Part 2** Section D sets out the **Non-Executive Functions** which are reserved to the Committees established by the **Full Council**.
- 11.10 **Part 2** Section E sets out the **Executive Functions** that are the responsibility of the **Leader**, individual **Cabinet Members**, the **Cabinet** and any Committees or Sub-Committees it establishes
- 11.11 **Part 2** Section F sets out the functions which are reserved to **Joint Committees** established by the Council.
- 11.12 **Part 2** Section G sets out the principles of the **Officer Scheme of Delegation** for all functions and powers not otherwise reserved to Councillors.

General Limitations

12 Council Functions

The General limitations on the exercise of delegated powers by Committees, **Sub-Committees** or Officers acting under delegations from **Full Council** under s101 of the Local Government Act 1972 as amended, apply as follows:

1. Delegated powers must be exercised in conformity with this **Constitution** and with any other directions of the Council; and
2. For the period between the local elections and the **Annual Meeting** of the **Full Council** provided they are still elected **Councillors**, any consultations required under the arrangements in this **Constitution** with chairs, or in their absence Deputy Chairs, should be with those persons who were chairs and Deputy Chairs of Committees or **Sub-Committees** at the time of the election.

13 Executive Functions

Executive Functions that are delegated must be exercised in accordance with the **Council's Budget and Policy Framework** subject to any discretions permitted by, and within any limitations imposed by, the **Cabinet (Executive) Procedure Rules** in **Part 3**.

14 Term of Office

Councillors appointed to Non-Executive Committees, including the Chair and **Deputy Chair of the Council**, shall hold office until:

1. the **Annual Meeting** of the Council following their appointment; or
2. they resign from Office; or
3. they are no longer Councillors or are disqualified from being a councillor;
or
4. a six months absence from attendance at Council Committees has

occurred without reasonable excuse approved in advance; or

5. they are removed from Office by resolution of the Council (note the Chair cannot be removed by resolution).

15 **Advisory Bodies and Working Parties**

- 15.1 **Full Council**, the **Cabinet** and the **Scrutiny Committees** may from time to time establish working parties or advisory bodies which include in their membership **Councillors**, Officers and/or representatives from partner organisations or the local community.
- 15.2 To the extent permissible by law, these are not constituted as boards or Committees and are not authorised to make decisions on behalf of the Council.

SECTION B – RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS

1 Allocation of Local Choice Functions

- 1.1 Schedule 2 of the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 (the “2000 Regulations”) makes provision for certain functions, known as “local choice functions” to be either **Executive Functions** or **Non-Executive Functions**. The Council has determined that the responsibilities shall be allocated as follows:

1. Function	2. Decision Making Body	3. Delegation of Function
Functions under local Acts (other than a function specified in Regulation 2 or Schedule 1 of the Regulations)	Cabinet	Heads of Service
The determination of an appeal against any decision made by or on behalf of the authority	Cabinet	Chief Executive Strategic Directors
Any function relating to contaminated land	Cabinet	Strategic Directors
The discharge of any function relating to the control of pollution or the management of air quality	Cabinet	Strategic Directors
The service of an abatement notice for a statutory nuisance	Cabinet	Strategic Directors
The passing of a resolution that Schedule 2 to the Noise and Statutory Nuisance Act 1993 should apply	Cabinet	

Inspections for statutory nuisance	Cabinet	Strategic Directors
Investigation of any complaint as to the existence of a statutory nuisance	Cabinet	Strategic Directors
Obtaining information under Section 330 Town and Country Planning Act 1990 as to interests in land	Cabinet	Strategic Directors
Obtaining of particulars of persons interested in land under Section 16 Local Government (Miscellaneous Provisions) Act 1976	Cabinet	Heads of Service
The appointment of any individual— (a) to any office other than an office in which he is employed by the authority; (b) to any body other than— (i) the authority; (ii) a Joint Committee of two or more authorities; or (c) to any Committee or Sub-Committee of such a body, and the revocation of any such appointment	Council	Chief Executive
The making of agreements with other local authorities and external agencies for the placing of staff and joint working arrangements	Council	Chief Executive

All those functions for which the Council is responsible relating to Community Governance Reviews as set out in Part 4 of Chapter 3 of the Local Government and Public Involvement in Health Act 2007	Council	Chief Executive
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SECTION C - FULL COUNCIL

ONLY THE FULL COUNCIL SHALL HAVE RESPONSIBILITY:

1. to approve, adopt and agree changes to the **Constitution** (subject to paragraph 3.12 of Section G3 of Part 2);
2. to approve, adopt and agree changes to the **Budget and Policy Framework**;
3. to approve, adopt and agree changes to the Council's [Pay Policy Statement](#);
4. to approve, adopt and agree changes to the **Councillors' Allowance Scheme** in **Part 5**, following a report from the Independent Remuneration Panel;
5. to approve, adopt and agree changes to any applications to the Secretary of State for a **Housing Land Transfer**;
6. for the appointment of an Electoral Registration Officer;
7. for the appointment of a Returning or Acting Returning Officer for Parliamentary, local and Police and Crime Commissioner elections and referenda;
8. for Parishes including:
 - 8.1. dealing with any issues relating to the establishment and any community governance review of parish councils and their consequent electoral arrangements;
 - 8.2. dissolving small parish councils under section 10 of the Local Government Act 1972;
 - 8.3. making orders for grouping parishes, dissolving groups and separating parishes from groups under section 11 of the Local Government Act 1972;
 - 8.4. dividing electoral divisions into polling districts at local government elections under;
 - 8.5. making temporary appointments to parish councils;
 - 8.6. changing the name of a parish.
9. for the name and status of areas and individuals including:
 - 9.1. changing the name of the **District**;
 - 9.2. conferring the title of Honorary Alderman or admission to be and Honorary Freeman.

10. for agreeing the basis on which appointments to outside bodies should be made and appointing to outside bodies except where appointment to those bodies is an **Executive Function** or has been otherwise delegated;
11. to agree the appointment of **Councillors** to **Committees** in **Political Balance**;
12. in the absence of any express statutory prohibition, every Board or Committee appointed by the Council may appoint **Sub-Committees** for purposes and duration to be specified by the Board or Committee. They may also make specific delegations to Officers;
13. to elect the Chair and appoint the **Deputy Chair of the Council**;
14. to elect the Leader of the Council for a one year term and to remove the Leader of the Council;
15. to determine annually the revenue and capital budgets (the Medium Term Financial Strategy) and levying Council Tax and the capital programme along with the **Treasury Management** Strategy, Investment Strategy and any Prudential Indicators;
16. to take decisions which would represent a departure from the strategies and budgets previously agreed in the **Budget and Policy Framework** including determining supplementary estimates which are outside the authority spend available to the **Cabinet**;
17. agreeing and/or amending the terms of reference for Non-Executive Committees and working groups (save those constituted by the **Scrutiny Committee**) and deciding on their composition;
18. to make, amend, revoke, re-enact or adopt by-laws and promoting or opposing the making of local legislation or personal Bills;
19. confirming the appointment or dismissal of the **Head of Paid Service**;
20. to designate the appropriate Officer posts as the **Monitoring Officer** and the **S151 Officer**;
21. to appoint **Independent Person(s)** under the Localism Act 2011 in relation to the **Councillors' Code of Conduct** in **Part 4** and Statutory Officer discipline;
22. to appoint Chairs of **Committees** (though Committees may appoint to fill a casual vacancy);
23. to determine any matter which is properly referred to it for determination by a **Committee** or **Sub-Committee** in relation to **Non-Executive Functions**;
24. to determine whether functions which are classified as "Local Choice" functions should be reserved to the Council or exercised by Cabinet;

25. to designate streets for street trading under the Local Government (Miscellaneous Provisions) Act 1982;
26. to discharge all licensing functions and such other matters which must be reserved to the **Full Council** as specified in the Licensing Act 2003 (the “Act”), or any Regulations published in relation to the Act or any other legislation or any statute or regulations amending, consolidating or replacing them including approving, reviewing and revising any Statement of Licensing Policy in relation to the Licensing Act 2003;
27. to discharge all functions which must be reserved to **Full Council** as specified in the Gambling Act 2005, or any other ancillary regulations or legislative provisions amending, consolidating or replacing the same, including:
 - 27.1. approving and revising any Statement of Gambling Policy;
 - 27.2. resolving not to issue any casino premises licences in the next three years;
28. subject to the urgency procedure contained in the **Access to Information Procedure Rules** in **Part 3**, making decisions about any matter in the discharge of an Executive Function which is covered by the policy framework or the budget where the decision maker is minded to make it in a manner which would be contrary to the policy framework or contrary to/or not wholly in accordance with the budget;
29. determining senior management structure of the organisation;
30. agreeing procedure rules, standing orders and financial regulations;
31. proposals relating to district boundaries, electoral wards and the number of district councillors;
32. agreeing an annual schedule of meetings for **Full Council** and **Committees**;
33. adopting and amending the **Council’s Councillors’ Code of Conduct** in **Part 4** and other codes and protocols comprising the ethical framework;
34. accepting the delegation of **Non-Executive Functions** from another local authority;
35. power to promote or oppose local or personal Bills
36. agree payments in relation to termination of employment of statutory Officers and any severance package exceeding £100,000; and
37. all other matters which, by law, must be reserved to Council.

Non-Executive Functions may still be exercised by the **Council** even where delegated to a **Committee**, **Sub-Committee**, body or **Officer** elsewhere in this **Constitution**, subject to specific exceptions (for example **Licensing Sub-Committee**).

2 FULL COUNCIL MEETINGS

There are three different types of **Full Council** meeting:

- 2.1 The **Annual Meeting** of the Council, which will usually be held in May;
- 2.2 ordinary meetings;
- 2.3 extraordinary meetings, which will be called as and when required in accordance with the **Council and Committee Procedure Rules** in **Part 3**.

All **Full Council** meetings will be conducted in accordance with the **Council and Committee Procedure Rules** in **Part 3**.

3 THE BUDGET AND POLICY FRAMEWORK

Budget Framework

The Budget Framework includes the allocation of financial resources to different services and projects, the setting of virement limits (that is the transfer of funds between budget heads) and carry forward limits for budgets, proposed contingency funds and other provisions and reserves, council tax setting and other local taxation matters and decisions relating to the Council's **Treasury Management** activities including investments, borrowing limits and the control of capital expenditure. The Budget Framework is set out in the following:

1. Budget and Medium Term Financial Strategy;
2. Treasury Management Framework (including relevant policies and strategies); and
3. Capital and Investment Strategies.

Policy Framework

By law, the Council must have a Policy Framework. This is a list of plans and strategies which are relevant to the Council's functions and are required by law to be decided by the **Full Council**, usually on the recommendation of the **Cabinet**, supplemented by other plans and strategies that the Council wishes to add.

The Policy Framework comprises:

1. The [Council's Delivery Plan](#);

2. The [Sustainable Community Strategy](#);
3. The [Local Development Plan](#) and [Development Plan Documents](#);
4. The [Statement of Licensing Policy](#);
5. The [Statement of Gambling Policy](#);
6. The annual [Pay Policy Statement](#);
7. The plan and strategy which together comprise the Council's Housing Investment Programme; and
8. Any other plan or strategy (whether statutory or non-statutory) in respect of which the Council from time to time determines that the decision on its adoption or approvals should be taken by **Full Council** rather than the Cabinet.

Housing Land Transfer

Housing Land Transfer means the approval or adoption of applications (whether in draft form or not) to the Secretary of State for approval of a programme of disposal of 500 or more properties to a person under the Leasehold Reform, Housing and Urban Development Act 1993 or to dispose of land used for residential purposes where approval is required under sections 32 or 43 of the Housing Act 1985.

SECTION D – NON-EXECUTIVE COMMITTEES

To discharge **Non-Executive Functions** which are not reserved to **Full Council** alone, the Council has established the following ordinary **Committees**:

Section D1 - Licensing Committee

Section D2 - Appointments Committee

Section D3 - Investigatory Committee

Section D4 - Planning Committee

Section D5 - Local Plan Committee

Section D6 - Scrutiny Committees

Section D7 - Audit and Governance Committee

Section D8 - Employee Joint Consultative Committee

Section D9 - Independent Remuneration Panel

The terms of reference of these Committees and their delegated powers are set out in the following pages.

SECTION D1 - LICENSING COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Composition

- 1.1 The full **Licensing Committee** will comprise 15 Councillors in **Political Balance**.
- 1.2 The Chair will be appointed by **Full Council** annually.
- 1.3 Where **Sub-Committees** are established by the **Licensing Committee** on an ad hoc basis to deal with matters under the Licensing Act 2003 and the Gambling Act 2005 and 'general' licensing matters they will comprise 3 Councillors from the full Licensing Committee.

Quorum

- 1.4 The **Licensing Committee Quorum** will be 5 **Councillors**. The **Sub-Committee Quorum** will be 3 Councillors.

Substitutes

- 1.5 Each group may appoint substitutes under the **Councillors' Substitute Scheme Procedure Rules** in **Part 3**.

2 MATTERS RESERVED FOR THE LICENSING COMMITTEE

- 2.1 Functions under both the Licensing Act 2003 and the Gambling Act 2005:
 - 2.1.1 To consider all outstanding licensing matters;
 - 2.1.2 To recommend to Council to resolve not to issue a casino licence;
 - 2.1.3 To determine all licensing matters referred to it with the exception of:
 - (a) The Statements of Licensing Policy under both the Licensing Act 2003 and the Gambling Act 2005;
 - (b) the power to resolve not to issue a casino licencewhich shall be reserved to Council.
- 2.2 To decide on any other matter where it is necessary or desirable for Councillors to make that decision.
- 2.3 Where **Sub-Committees** are convened they will have the following functions under the Licensing Act 2003:
 - 2.3.1 To determine applications to vary designated premises supervisors

following police objections;

- 2.3.2 To determine applications for transfer of premises licences following police and/or Secretary of State objections;
 - 2.3.3 To consider police and/or Secretary of State objections made to interim authority notices;
 - 2.3.4 To determine applications for premises licences and club premises certificates where relevant representations have been made;
 - 2.3.5 To determine applications for provision statements where relevant representations have been made;
 - 2.3.6 To determine applications to vary premises licences and club premises certificates where relevant representations have been made;
 - 2.3.7 To determine valid applications for review of premises licences and club premises certificates;
 - 2.3.8 To decide whether to give counter notices following objections from police and/or environmental health to standard temporary event notices;
 - 2.3.9 To determine applications for grants of personal licences following police objections;
 - 2.3.10 To determine applications for renewals of personal licences following police objections;
 - 2.3.11 To decide on revocation of personal licences where convictions come to light after grant;
 - 2.3.12 To decide whether to object when the local authority is the consultee and not the relevant authority considering the application.
- 2.4 Where **Sub-Committees** are convened they will have the following functions under the Gambling Act 2005:
- 2.4.1 To determine applications for premises licences where relevant representations have been made and not withdrawn.
 - 2.4.2 To determine applications for provisional statements where relevant representations have been made and not withdrawn;
 - 2.4.3 To determine valid applications for review of premises licences;
 - 2.4.4 To determine applications for variations of premises licences where relevant representations have been made and not withdrawn;

- 2.4.5 To determine applications for transfers of premises licences following representations by the Gambling Commission or others;
 - 2.4.6 To determine applications for the re-instatement of premises licences where relevant representations have been made;
 - 2.4.7 To decide whether to give counter notices following objections to temporary use notices;
 - 2.4.8 To determine applications for the grant or renewal of club gaming permits and club machine permits where valid objections have been received and not withdrawn;
 - 2.4.9 To determine proposals to cancel club gaming permits and club machine permits where the holder requests a hearing;
 - 2.4.10 To determine applications for the grant of temporary use notices where objections have been made.
- 2.5 Where a **Hackney Carriage and Private Hire Sub-Committee** is convened it will have the following function:
- 2.5.1 To consider all outstanding hackney carriage and private hire licensing issues which are referred to it.

SECTION D2 - APPOINTMENTS COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Composition

- 1.1 The **Appointments Committee** will comprise 4 Councillors in **Political Balance**, one of whom must be a **Cabinet Member**, plus the relevant portfolio holder.
- 1.2 Members and the **Chair** will be appointed by **Full Council** annually.

Quorum

- 1.3 The **Appointments Committee Quorum** will be 3 **Councillors**.

2 MATTERS RESERVED FOR THE APPOINTMENTS COMMITTEE

- 2.1 With regard to appointments of the Councils' **Statutory Officers, Chief Officers** and **Deputy Chief Officers**:
 - 2.1.1 To interview shortlisted candidates for **Head of Paid Service, Strategic Director** and **Head of Service** posts;
 - 2.1.2 To make recommendations to **Full Council** on the appointment of the **Chief Executive/Head of Paid Service**;
 - 2.1.3 To make decisions about all permanent appointments to **Strategic Director** and **Head of Service** posts.
 - 2.1.4 Undertake an annual appraisal of the performance of the **Chief Executive/Head of Paid Service**.
 - 2.1.5 To hear appeals from the **Investigatory Committee**.

SECTION D3 - INVESTIGATORY COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Composition

- 1.1 The **Investigatory Committee** will comprise 5 Councillors in **Political Balance**.
- 1.2 Members and the **Chair** will be appointed by **Full Council** annually.
- 1.3 When advising the Council in relation to the proposed dismissal of the **Head of Paid Service, Strategic Directors** and Heads of Service (including Statutory Officers) the Committee will co-opt two (voting) **Independent Persons** in accordance with the Local Authorities (Standing Orders) (England) Regulations 2001 (as amended).

Quorum

- 1.4 The **Investigatory Committee Quorum** will be 3 **Councillors**.

2 MATTERS RESERVED FOR THE INVESTIGATORY COMMITTEE

- 2.1 To appoint an independent investigator and independent advisors, if required.
- 2.2 To determine whether or not any of the following should be suspended pending investigation into allegations of misconduct or incapability:
 - **Head of Paid Service**
 - **S151 Officer**
 - **Monitoring Officer**
 - **Strategic Director**
 - **Head of Service**
- 2.3 To make a recommendation to Council to dismiss a Statutory Officer.
- 2.4 When making a recommendation to Council to dismiss a Statutory Officer, to meet and consider the matter with an **Independent Person** and prepare a report for Council.
- 2.5 To approve any proposed severance payment to the Head of Paid Service that is no more than £100,000.

SECTION D4 - PLANNING COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Committee scope

- 1.1 The majority of planning applications are dealt with by Officers under delegated powers from the **Planning Committee**, as they are relatively straightforward. Consequently, the determination of all non-executive decisions under the Planning Acts is delegated to the Strategic Directors, apart from those matters reserved to the Planning Committee under this Section D4.
- 1.2 Where development control functions are discharged by the **Planning Committee**, the meeting will consider applications and related planning matters which are being determined or considered by the Council as the Local Planning Authority.
- 1.3 Without prejudice to the generality of paragraph 1.1 above, the Planning Committee has delegated responsibility for determining the following to the Strategic Directors:
- Agricultural Prior Approval
 - East Midlands Airport Informal Notification
 - Certificate of Alternative Appropriate Development
 - Certificate of Lawful Development – Existing
 - Certificate of Lawful Development – Proposed
 - County Council Consultation
 - Demolition Prior Approval
 - Discharge of Conditions
 - Habitat Regulations Assessment
 - Hedgerow Removal Notice
 - Neighbouring Authority Consultation
 - Non-Material Amendment
 - Overhead Lines Notification
 - Pre-Application Advice
 - Pre-Application Advice - Major
 - Applications querying whether Planning Permission is required
 - Prior Approval for Householder development
 - Works to trees in a conservation area

Composition

- 1.4 The **Planning Committee** will comprise 11 Councillors in **Political Balance**.
- 1.5 The Chair will be appointed by **Full Council** annually.

Quorum

- 1.6 The **Planning Committee Quorum** will be 3 **Councillors**.

Substitutes

- 1.7 Each group may appoint substitutes in accordance with the **Councillors' Substitute Scheme Procedure Rules** in **Part 3**.

2 MATTERS RESERVED FOR THE PLANNING COMMITTEE

- 2.1 The determination of an application that is contrary to the provisions of an approved or draft development plan policy and is recommended for permission, which in the opinion of the relevant Strategic Director the application is likely to:
 - (a) be potentially controversial; or
 - (b) be of significant public interest; or
 - (c) have a significant adverse impact on the environment; or
 - (d) raise matters which should be referred to the Planning Committee.
- 2.2 The determination of an application that is submitted by or on behalf of the Council for its own development, except for the approval of development which is unlikely to have any major impacts and to which no material planning objections (in the opinion of the relevant Strategic Director) have been received.
- 2.3 The determination of an application where a legal agreement (S106 or similar) is required, except in the case of minor non-contentious agreements or minor amendments to existing legal agreements.
- 2.4 Excluding those types of applications detailed at paragraph 1.3 above, the determination of an application where:
 - (a) a ward member of the ward to which the application relates or the ward member of an adjoining ward (if that adjoining ward is materially impacted by the application) has notified the relevant Strategic Director (in writing or by email within 4 weeks of being notified of the application) that the application should be determined by the Planning Committee; and
 - (b) in the opinion of the Chair having consulted the Strategic Director of Place (or his nominated officer):

- (i) the notification is supported by one or more material planning grounds; and
- (ii) the item relates to a matter of local concern,

Provided that where the relevant ward member or neighbouring ward member has a disclosable pecuniary interest in the application in question, this “call-in” shall automatically be triggered for consideration by the Chair under (b) above.

Where the Chair decides that an application does not satisfy (b)(i) or (ii) above, written reasons shall be given to the requesting member.

2.5 The determination of an application that is recommended for approval by officers and is submitted by:

- (a) a serving member or officer of the Council; or
- (b) the close relative of a serving member or officer of the Council

except for the approval of an application which in the opinion of the relevant Strategic Director (or a nominated officer) is unlikely to have any major impacts and to which no objections have been received.

2.6 The determination of any application or matter that the relevant Strategic Director refers to the Planning Committee, including (but not limited to) any consultation on an executive function, provided that where the matter referred to the Committee relates to an executive function, the Committee’s view shall be subject to being agreed with the relevant portfolio holder or agreed by Cabinet.

2.7 The making of orders to revoke or modify planning permissions, to impose conditions to remove buildings or repair listed buildings.

2.8 To consider objections or other representations in relation to making tree preservation orders.

2.9 Serving Building Preservation Notices or Listed Building Repair Notices, except where it is necessary to serve a notice in an emergency.

2.10 To determine matters referred to it following the receipt of objections or other representations in relation to:

- (a) Public Footpath Orders under the Town and Country Act 1990;
- (b) Footpath Diversion Orders under the Highways Act 1980.

SECTION D5 - LOCAL PLAN COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Committee Scope

- 1.1 The **Local Plan Committee** will meet at least once every two months but may meet more frequently where necessary.
- 1.2 Other **Councillors** may (at the discretion of the Chair) be invited to speak at meetings of the **Local Plan Committee** on any particular matter. Requests to be so invited must be submitted by Councillors to the Democratic and Support Services **Team Manager** no later than 12pm on the last clear working day before the meeting. Councillors so invited shall not be entitled to vote.
- 1.3 If appropriate to a particular matter being discussed by the **Local Plan Committee**, the Chair may permit relevant experts to speak at a meeting.
- 1.4 Rule 11 of the **Council and Committee Procedure Rules** in **Part 3** which allows members of the public to ask questions shall apply to the **Local Plan Committee** provided that references to "Council" or **Cabinet Members** shall be deemed to refer to the Local Plan Committee or its **Councillors**.
- 1.5 Neither the **Chair** nor **Deputy Chair** of the **Local Plan Committee** shall be the same person who is the Chair or Deputy Chair of the **Planning Committee**.

Composition

- 1.6 The **Local Plan Committee** will comprise 11 Councillors in **Political Balance**.
- 1.7 The Chair will be appointed by **Full Council** annually.

Quorum

- 1.8 The **Local Plan Committee Quorum** will be 7 **Councillors**.

Substitutes

- 1.9 Each group may appoint substitutes in accordance with the **Councillors' Substitute Scheme Procedure Rules** in **Part 3**.

2 MATTERS RESERVED FOR THE LOCAL PLAN COMMITTEE

- 2.1 In relation to Development Plan Documents (DPDs) (the Council's Local Plan is a DPD):
 - 2.1.1 To receive reports and drafts from **Cabinet** on:
 - (a) proposed DPDs; and

- (b) the functioning of and proposed revisions to existing DPDs;
- 2.1.2 To consider and comment on documents that relate to DPDs including (but not restricted to) policy options and draft policies having regard to evidence prepared to support each DPD;
- 2.1.3 To provide updates to other Councillors who do not sit on the **Local Plan Committee** and to champion the Committee's work on the Local Plan;
- 2.1.4 To keep DPDs under review and monitor progress on the preparation of revisions and updates to DPDs (including the Local Plan);
- 2.1.5 Instructing **Cabinet** to reconsider drafts of DPDs and revisions of them;
- 2.1.6 Deciding to publish DPDs and revisions of them for public consultation;
- 2.1.7 Deciding to submit DPDs and revisions of them for examination by a Planning Inspector;
- (Adoption of DPDs and revisions of them following examination remains a function of **Full Council**).
- 2.2 In relation to Supplementary Planning Documents (SPDs):
 - 2.2.1 To receive reports from the Cabinet on:
 - (a) proposed SPDs; and
 - (b) the functioning of and proposed revisions to existing SPDs;
 - 2.2.2 To consider and comment on documents that relate to SPDs including (but not restricted to) draft SPDs;
 - 2.2.3 To keep SPDs under review and monitor progress on the preparation of revisions and updates to SPDs;
 - 2.2.4 Instructing the executive (i.e. Portfolio Holder/Officers) to reconsider drafts of SPDs and revisions of them;
 - 2.2.5 Deciding to publish SPDs and revisions of them for public consultation;
 - 2.2.6 Deciding to adopt SPDs and revisions of them following public consultation.
- 2.3 In relation to HS2:
 - 2.3.1 To keep the Council's HS2 strategy under review and monitor developments on the ground against the parameters set out in the Council's Strategy;

2.3.2 To decide to adopt an amended HS2 Strategy from time to time.

2.4 In relation to other Council functions:

2.4.1 To determine any matters referred to it by **Full Council**.

2.5 Advisory functions (non-decision-making):

2.5.1 Duty to Co-operate:

- (a) To consider and comment on responses to plans being prepared by other local planning authorities or by multiple local authorities working in partnership (such as the Strategic Growth Plan) as part of the “Duty to Cooperate” contained in s33A of the Planning and Compulsory Purchase Act 2004;
- (b) To recommend to Council that a particular inter-authority plan or strategy is adopted in compliance with the “Duty to Cooperate”.

SECTION D6 - SCRUTINY COMMITTEES

1 COMMITTEE FORM AND STRUCTURE

Committee Scope

- 1.1 North West Leicestershire District Council adopts the Cabinet system to operate its decision making and there are two **Scrutiny Committees** comprising non-Cabinet Members – the Corporate Scrutiny Committee and the Community Scrutiny Committee.
- 1.2 Where there are references to the “relevant Scrutiny Committee” in this Constitution and there is any doubt as to which Scrutiny Committee it is, the decision of the Monitoring Officer shall be final.
- 1.3 Scrutiny is central to the Council's decision-making process and has two main roles:
 - 1.3.1 The development and review of policies for a wide range of subjects and services; and
 - 1.3.2 The critical examination of the Council's performance and effectiveness of its decisions.
- 1.4 The **Scrutiny Committees** look into areas of local concern and recommend improvements the Council can make to ensure quality of life is improved for all. The main tasks of the **Committees** are:
 - 1.4.1 Performance Monitoring - The Council has to meet corporate priorities set out in the Council Delivery Plan and report against those indicators. **Scrutiny Committees** can examine any aspect of the Council's performance, including services that it delivers through partnerships with other organisations;
 - 1.4.2 Holding the Cabinet to Account - Decisions made by the Cabinet but not yet put into practice can be reviewed by the **Scrutiny Committees** and challenged;
 - 1.4.3 Policy review and development - **Scrutiny Committees** can propose new policies or review existing policies and recommend changes to Cabinet; and
 - 1.4.4 External Scrutiny - Any issue directly affecting the residents of North West Leicestershire can be scrutinised by the **Scrutiny Committees**, including services provided by another organisation.
- 1.5 The **Scrutiny Committees** are not able to take decisions but make recommendations to either **Cabinet** or **Full Council**.

- 1.6 Below is a non-exhaustive list of the respective areas of responsibility for each **Scrutiny Committee**. Each Committee may receive reports and comment on matters of policy or items of business of a reasonably similar nature to those listed:

Corporate Scrutiny Committee	Community Scrutiny Committee
Asset Management	Business/Economy
Estates and property	Planning and Building Control
Audit	Tourism
Communications	Partnerships
Customer Services	Community Safety
Finance	Leisure
Human Resources	Health and Wellbeing
ICT	Stronger Safer Communities
Legal Services	Environmental Health
Revenue and Benefits	Licensing
Shared Services	Environmental Protection
	Statutory Crime and Disorder Committee
	Strategic Housing - Housing Strategy
	Housing Management
	Economic Development
	Regeneration
	Waste Services

Composition

- 1.7 The **Scrutiny Committees** will each comprise 10 Councillors in **Political Balance**.
- 1.8 Members of the **Scrutiny Committees** must not be **Cabinet Members** or members of the **Audit and Governance Committee**.
- 1.9 The Chair and Deputy Chair will be appointed by **Full Council** annually.
- 1.10 The **Scrutiny Committees** shall be entitled to recommend to Council the appointment of a number of people as non-voting co-optees.

Quorum

- 1.11 The **Quorum** for each **Scrutiny Committee** will be 3 **Councillors**.

2 MATTERS RESERVED TO THE SCRUTINY COMMITTEES

The two **Scrutiny Committees** shall have equal status and equal functions as set out below. The Scrutiny Committees:

- 2.1 will discharge the Council's functions under section 9F of the Local Government Act 2000;
- 2.2 will be responsible for the Council's scrutiny function including the preparation, implementation, monitoring and review of an annual **Work Plan** for scrutiny in accordance with the objectives of the Council Delivery Plan and arrangements for the scrutiny of other public bodies particularly where required to do so by law;
- 2.3 may establish such **task and finish groups**, appointing the Chair in accordance with the Council's criteria and with such membership as it sees fit, to undertake scrutiny on a task and finish basis;
- 2.4 will, as part of the overall role, ensure the **Chief Executive** and Senior Leadership Team discharge their responsibilities effectively and efficiently in relation to the scrutiny function;
- 2.5 will scrutinise decisions of or actions taken by the **Cabinet**, and offer advice or make recommendations on the matter under scrutiny once the Committee has considered the issues;
- 2.6 may scrutinise matters coming before **Cabinet** for decision and respond appropriately to the Cabinet on the matter once the Committee has considered the issues fully;
- 2.7 will review or scrutinise decisions or actions taken in respect of any functions which are not the responsibility of the **Cabinet** and make reports or recommendations to the **Full Council**, or appropriate body of the Council;
- 2.8 may refer to the Council or appropriate Committee/**Sub-Committee** any matter which, following scrutiny, the Committee determines should be brought to the attention of the **Full Council** or the Committee or **Sub-Committee** and may, if requested, offer any views or advice to the **Cabinet** in relation to any matter referred to the Committee for consideration;
- 2.9 may undertake reviews with a cross-service approach wherever possible and make reports and recommendations to the **Full Council** (or other appropriate Council body) or the **Cabinet** to assist in the review of policies and strategies;
- 2.10 may offer advice and make recommendations to the appropriate body of the Council on the review of policy, services and aspects of services where there is an identifiable need, by itself or through setting up a **Task and Finish Group**;

- 2.11 in performing its role, the Committee may consult and involve the local community and other local public, private and voluntary bodies or organisations;
- 2.12 may review the Council's response to its obligations in respect of the overall performance management regime and, where appropriate, to advise the **Cabinet** or appropriate body of the Council of its findings;
- 2.13 may recommend that a decision made but not yet implemented, and taken in respect of a function which is the responsibility of the **Cabinet**, be reconsidered by the Cabinet;
- 2.14 may scrutinise decisions after implementation to examine their effect and outcomes;
- 2.15 may make reports or recommendations to the appropriate body of the Council in respect of any matters which affect the Council's area or its inhabitants;
- 2.16 may review and make recommendations in relation to matters which are not the direct responsibility of the Council but which affect the social, economic or environmental well-being of an area or the Council's area as a whole or under any statutory requirement or Council contract, procedure or practice;
- 2.17 may invite expert witnesses, Councillors, Officers and partners to answer questions;
- 2.18 will consider and advise the **Cabinet** in respect of "Call-in" notices under the Council's relevant procedures;
- 2.19 will create **Task and Finish Groups** and set their Terms of Reference, to fulfil the scrutiny requirements of the Council and the annual **Work Plan**;
- 2.20 will approve an annual **Work Plan**, to be kept under review and updated as required;
- 2.21 will produce an annual report to **Full Council** for the scrutiny process;
- 2.22 will report to **Full Council** as required on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose;
- 2.23 will discharge the Council's scrutiny functions in relation to the reduction of crime and disorder pursuant to the Crime and Disorder Act 1998 and:
 - 2.23.1 shall have power to scrutinise decisions or actions taken in connection with the discharge of its crime and disorder functions by any responsible authority and make recommendations or reports to the Council in relation to the discharge of those functions;

- 2.23.2 may co-opt additional members to serve on the Committee;
 - 2.23.3 may require the attendance before it of any Officer or employee of any responsible authority or co-operating body;
 - 2.23.4 may make a report or recommendation to a responsible authority or co-operating body; and
 - 2.23.5 shall exercise its functions in accordance with any appropriate regulations.
- 2.24 Notwithstanding the above, the **Scrutiny Committees** shall not review any decisions of development control or other quasi-judicial matters.

SECTION D7 - AUDIT AND GOVERNANCE COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Committee scope

- 1.1 The **Audit and Governance Committee** has specific responsibility for governance issues, including audit functions.
- 1.2 The Committee's scope is to:
 - 1.2.1 provide independent assurance to those charged with governance of the adequacy of the risk management framework and the internal control environment;
 - 1.2.2 provide independent review of the **Council's** governance, risk management and control frameworks and oversee the financial reporting and annual governance process;
 - 1.2.3 oversee internal audit and external audit arrangements, helping to ensure efficient and effective assurance mechanisms are in place.
- 1.3 The success of the **Audit and Governance Committee** in exercising its audit functions depends upon its ability to remain apolitical. It must adopt a non-political approach to its meetings and discussions at all times. Remaining apolitical also places a duty on **Councillors** not to make inappropriate use of information provided to the Committee for other purposes.

Composition

- 1.4 The **Audit and Governance Committee** will comprise 10 Councillors in **Political Balance**.
- 1.5 Members of the **Committee** should not be members of **Cabinet** or **Scrutiny**.
- 1.6 The Chair will be appointed by **Full Council** annually.
- 1.7 Two **Independent Persons** may be co-opted as required to the Audit and Governance Committee to advise on finance matters or to a **Sub-Committee** of the Audit and Governance Committee in relation to standards matters but will not be entitled to vote at meetings.
- 1.8 At least one parish councillor may be present when matters relating to parish councils or their Councillors are being considered. Parish councillors are co-opted to the Audit and Governance Committee as required and will not be entitled to vote at meetings.

Quorum

- 1.9 The **Audit and Governance Committee Quorum** will be 3 **Councillors**.

2 MATTERS RESERVED FOR THE AUDIT AND GOVERNANCE COMMITTEE

Governance, Risk and Controls

- 2.1 The Committee has the right to access all the information it considers necessary to undertake the work of the Committee and may receive reports and refer matters to internal and external auditors.
- 2.2 To review the Council's corporate governance arrangements against the good governance framework, including the ethical framework and consider the local code of governance.
- 2.3 To review and approve the **Annual Governance Statement** and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit's opinion on the overall adequacy and effectiveness of the **Council's** framework of governance, risk management and control.
- 2.4 To consider the **Council's** arrangements to secure value for money and to review and scrutinise assurances and assessments on the effectiveness of these arrangements.
- 2.5 To consider the **Council's** framework of assurance and ensure that it adequately addresses the risks and priorities of the Council.
- 2.6 To monitor the effective development and operation of risk management in the **Council**.
- 2.7 To monitor progress in addressing risk related issues reported to the **Committee** such as the [Corporate Risk Register](#).
- 2.8 To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- 2.9 To review the assessment of fraud risks and potential harm to the **Council** from fraud and corruption.
- 2.10 To monitor the [Anti-Fraud and Corruption Strategy](#), actions and resources.
- 2.11 To review the governance and assurance arrangements for significant partnerships or collaborations.
- 2.12 To review and monitor the **Council's** compliance with public sector financial and audit standards and guidance, in accordance with the **CIPFA** Codes and Accounts and Audit Regulations.

- 2.13 To review and monitor the Council's **Treasury Management** arrangements in accordance with the **CIPFA** Treasury Management Code of Practice.

3 **INTERNAL AUDIT**

- 3.1 To approve the internal audit charter.
- 3.2 To approve (but not direct) the risk-based internal audit plan, including internal audit's resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.
- 3.3 To approve significant interim changes to the risk-based internal audit plan and resource requirements.
- 3.4 To make appropriate enquiries of both management and the Head of Internal Audit (currently the Audit Manager) to determine if there are any inappropriate scope or resource limitations.
- 3.5 To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the Head of Internal Audit. To approve and periodically review safeguards to limit such impairments.
- 3.6 To consider reports from the Head of Internal Audit on internal audit's performance during the year.
- 3.7 To consider internal audit's annual report:
- 3.7.1 The statement of the level of conformance with the **Public Sector Internal Audit Standards** and the results of the Quality Assurance and Improvement Programme that supports the statement – these will indicate the reliability of the conclusions of internal audit;
 - 3.7.2 The opinion on the overall adequacy and effectiveness of the **Council's** framework of governance, risk management and control together with the summary of the work supporting the opinion – these will assist the Committee in reviewing the **Annual Governance Statement**.
- 3.8 To consider summaries of specific internal audit reports in accordance with agreed protocols.
- 3.9 To receive reports outlining the action taken where the Head of Internal Audit has concluded that management has accepted a level of risk that may be unacceptable to the Council or there are concerns about progress with the implementation of agreed actions.
- 3.10 To contribute to the Quality Assurance and Improvement Programme and in particular, to the external quality assessment of internal audit that takes place at least once every five years.

- 3.11 To provide free and unfettered access to the **Audit and Governance Committee** Chair for internal audit, including the opportunity for a private meeting with the Committee.

4 **EXTERNAL AUDIT**

- 4.1 To support the independence of external audit through consideration of the external auditor's annual assessment of its independence and review of any issues raised.
- 4.2 To consider the external auditor's annual audit letter, relevant reports and the report to those charged with governance.
- 4.3 To consider specific reports as agreed with the external auditor.
- 4.4 To comment on the scope and depth of external audit work and to ensure it gives value for money.
- 4.5 To advise and recommend on the effectiveness of relationships between external and internal audit and other inspection agencies or relevant bodies.

5 **FINANCIAL REPORTING**

- 5.1 To review and approve the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the **Full Council**.
- 5.2 To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.
- 5.3 To seek assurances that the **Council** has complied with the **Treasury Management** Strategy and Practices by demonstrating effective control of the associated risks and pursuing optimum performance consistent with those risks.

6 **ACCOUNTABILITY ARRANGEMENTS**

- 6.1 To report to those charged with governance on the Committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements and internal and external audit functions.
- 6.2 To report to **Full Council**, as required, on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose.
- 6.3 To publish an annual report on the work of the Committee.

7 RELATED FUNCTIONS

- 7.1 To approve and monitor Council policies relating to whistleblowing and anti-fraud and corruption.
- 7.2 Subject to the requirements set out below, to consider all findings of the Local Government and Social Care Ombudsman, including reports resulting in a finding of maladministration against the **Council**, and to make recommendations as to actions that may be necessary in connection with the Ombudsman's findings.

There are statutory obligations which will, in some circumstances, require reports to be taken to **Cabinet** or **Full Council**.

The Ombudsman operates protocols in relation to the timing of the publication of findings. The Council would have to give consideration to those protocols when determining how to manage the **Audit and Governance Committee's Agenda**.

- 7.3 To review any issue referred to it by the **Chief Executive, S151 Officer, Monitoring Officer** or any **Council** body.

8 STANDARDS FUNCTIONS

- 8.1 To assist the Council in fulfilling its duty under the Localism Act 2011 to promote and maintain high standards of conduct by **Councillors** and **co-opted Councillors** of district and parish councils.
- 8.2 To advise the Council on the adoption or revision of its **Councillors' Code of Conduct** in **Part 4**.
- 8.3 To monitor and advise the Council about the operation of its **Councillors' Code of Conduct** in **Part 4** in light of best practice and any changes in the law.
- 8.4 Advising, training or arranging to train councillors and co-opted members on matters relating to the **Councillors' Code of Conduct** in **Part 4**.
- 8.5 Dealing with any report from the **Monitoring Officer** on any matter concerning governance.
- 8.6 To establish **Sub-Committees** for the assessment or determination of matters concerning allegations in relation to Councillor conduct.
- 8.7 To grant dispensations to **Councillors** who require such dispensations for more than one meeting or on more than one occasion from requirements relating to interests set out in the **Councillors' Code of Conduct** in **Part 4** as appropriate.
- 8.8 To advise the Council on, and review as necessary, the arrangements for dealing with complaints or any local protocols regulating the conduct of

Councillors and to deal with allegations of breach of any such protocol.

- 8.9 To consider and make recommendations to **Full Council** on any other matter that may be referred to the **Audit and Governance Committee** relating to the conduct and training of Councillors.
- 8.10 To consider amendments to the **Constitution** and recommend proposals to **Full Council** for approval, except where specifically delegated to the **Monitoring Officer**.
- 8.11 To undertake an annual review of the **Corporate Governance Policies**.

Local Assessment of Complaints About Councillor Conduct

- 8.12 **Sub-Committees** of the **Audit and Governance Committee** are formed on an ad hoc basis to deal with local assessment of **Councillor** conduct complaints.
- 8.13 All **Audit and Governance Committee** members will form a pool from which members will be drawn based on their availability and the requirements of the particular **Sub-Committee** as and when required.
- 8.14 The **Sub-Committee** may co-opt at least one parish councillor when decisions are taken concerning a parish matter.
- 8.15 The **Sub-Committee** may co-opt at least one **Independent Person** as appropriate.
- 8.16 No member who considered a complaint at the initial **Assessment/ Determination Sub-Committee** may consider the same complaint at the **Review Sub-Committee**.
- 8.17 The **Quorum** of the **Sub-Committees** is 3 **Councillors**.
- 8.18 The **Chair** of each **Sub-Committee** will be a **Councillor**.
- 8.19 The **Sub-Committees** and their functions are set out below:

Assessment Sub-Committee

Assessment of complaints in accordance with the **Council's Councillors' Code of Conduct** in **Part 4** and to either:

- Accept the **Monitoring Officer's** recommendation of no failure to comply with the **Councillor's Code of Conduct**;
- Refer the matter for full investigation; or

- Refer the matter for other action.

Review Sub-Committee

Consideration of requests for a review in accordance with the **Council's Councillors' Code of Conduct** in **Part 4**.

Determinations Sub-Committee

To receive reports from the **Monitoring Officer** or his/her appointed investigating officer and to decide either:

- to determine finding of no failure to comply with the **Councillors' Code of Conduct** in **Part 4**;
- to determine finding of failure to comply with the **Councillors' Code of Conduct** in **Part 4** and impose relevant sanctions; or
- Refer the matter for other action;

in accordance with the **Council's Councillors' Code of Conduct** in **Part 4**.

SECTION D8 - EMPLOYEE JOINT CONSULTATIVE COMMITTEE

1 COMMITTEE FORM AND STRUCTURE

Scope

- 1.1 The **Employee Joint Consultative Committee** shall meet as and when required. The **Chair** or Deputy Chair may request the **Monitoring Officer** to call a meeting at any time. A meeting shall also be called within 7 days of the receipt of a requisition signed by not less than one third of the members of either side. The matters to be discussed at any meeting of the Committee shall be stated upon the notice summoning the meeting, provided that any other business may be considered if admitted by a majority vote of those present at such meeting.
- 1.2 No resolution shall be regarded as carried unless it has been approved by a majority of the members present on each side of the **Committee**.
- 1.3 The proceedings of any meeting of the **Committee** shall be reported to **Cabinet**.

Composition

- 1.4 The **Employee Joint Consultative Committee** will comprise 6 Councillors in **Political Balance** on behalf of the Council as employer and 6 representatives from the recognised trade unions on behalf of employees, in the following proportions:

General and Municipal Union (GMB)	2 representatives
Unite	1 representative
UNISON	3 representatives

- 1.5 If a representative on behalf of the employees ceases to be an Officer of the Council, he/she shall thereupon cease to be a member of the **Employee Joint Consultative Committee** and any vacancy shall be filled by the Council.
- 1.6 The Chair and a Deputy Chair will be appointed by the **Employee Joint Consultative Committee** annually, at its first meeting following the statutory **Annual Meeting** of the Council. If the Chair appointed is a Councillor on behalf of the Council, the Deputy Chair shall be appointed from the representative on behalf of the employees, and vice versa. The Chair of the meeting shall not have a second or casting vote.

Quorum

- 1.7 The **Employee Joint Consultative Committee Quorum** will be 3 **Councillors** and 3 representatives on behalf of the employees.

Substitutes

- 1.8 Each group may appoint substitute Councillors in accordance with the **Councillors' Substitute Scheme Procedure Rules in Part 3**.
- 1.9 Each representative on behalf of the employees may appoint a substitute and is responsible for making their own arrangements.

Advisors and Observers

- 1.10 The following Officers may attend meetings of the **Employee Joint Consultative Committee** in an advisory capacity:

The **Chief Executive**

The **Strategic Directors**

Head of Human Resources and Organisational Development

- 1.11 The Monitoring Officer will be responsible for convening meetings and shall be represented by a Democratic Services Officer for the sole purpose of recording the minutes of the meeting.
- 1.12 Trade Union Officials or organisers will be allowed to attend the meetings and may speak to the meeting. Trade Union Representatives (other than the designated members of the **Employee Joint Consultative Committee**) will be permitted to attend as observers, subject to the provision of two working days' notice to the Head of Human Resources and Organisational Development.

2 FUNCTIONS OF THE EMPLOYEE JOINT CONSULTATIVE COMMITTEE

- 2.1 To provide a means of resolution for those matters that the Employee Consultation Group has been unable to resolve, provided that the decision is not one that should be made elsewhere.
- 2.2 To consider any relevant matter referred to it by a Committee of the Council or by any of the recognised trades unions.
- 2.3 To discharge any other functions specifically assigned to the **Employee Joint Consultative Committee**.
- 2.4 The **Employee Joint Consultative Committee** may refer any question coming before it for the consideration and advice of the East Midlands Regional Joint Council for Local Government Services.

SECTION D9 - INDEPENDENT REMUNERATION PANEL

1 PANEL FORM AND STRUCTURE

Composition

1.1 The Independent Remuneration Panel will comprise 5 independent members. In order to maintain the independence of the Independent Remuneration Panel, members shall not be:

- a person who has within the period of 5 years before receiving the date of appointment been a **Councillor** or Officer of the Council;
- a person who is a relative or close friend of a **Councillor** or Officer of the Council; and/or
- a person who does not either live or work in the **District**.

1.2 The term of office for members of the Independent Remuneration Panel is four years.

1.3 The Chair will be appointed at the first meeting of the Independent Remuneration Panel each year. The Chair shall have a casting vote.

Quorum

1.4 The **Independent Remuneration Panel Quorum** will be 3 members of the panel.

2 MATTERS RESERVED FOR THE INDEPENDENT REMUNERATION PANEL

To make recommendations to Council:

2.1 as to the amount of basic allowance that should be payable to its **Councillors**;

2.2 about the responsibilities or duties which should lead to the payment of a special responsibility allowance and as to the amount of such an allowance;

2.3 about the duties for which a travelling and subsistence allowance can be paid and as to the amount of this allowance;

2.4 as to the amount of co-optees' allowance;

2.5 as to whether the Council's allowances scheme should include an allowance in respect of the expenses of arranging for the care of children and dependents and if it does make such a recommendation, the amount of this allowance and the means by which it is determined;

- 2.6 on whether any allowance should be backdated to the beginning of a financial year in the event of the scheme being amended;
- 2.7 as to whether annual adjustments of allowance levels may be made by reference to an index and, if so, for how long such a measure should run;
- 2.8 as to which members of the Council are to be entitled to pensions in accordance with a scheme made under section 7 of the Superannuation Act 1972;
- 2.9 on whether basic allowances and special responsibility allowances should be treated as amounts in respect of which such pensions are payable.

SECTION E - THE CABINET (EXECUTIVE FUNCTIONS)

1 Introduction

- 1.1 The **Cabinet** will carry out the Council's **Executive Functions**. Functions that are not stated in the Local Authorities (Functions and Responsibilities) Regulations 2000 or in other legislation to be **Non-Executive Functions** are, by default, Executive Functions.
- 1.2 Where the **Cabinet** is exercising these functions, it may delegate those functions to Officers but not to an individual **Cabinet Member**.
- 1.3 Where **Executive Functions** have been delegated, that does not prevent the **Cabinet** from reviewing decisions made in the discharge of those functions in accordance with the provisions of this **Part 2**.
- 1.4 All **Executive Functions** not expressly reserved to the **Cabinet**, are delegated to Officers, subject to the restrictions on Officer powers set out in the **Officer Scheme of Delegation** at **Part 2 Section G** of the **Constitution**.
- 1.5 The **Cabinet** is responsible for making proposals to **Full Council** about what its priorities should be and how it should use its resources. Once approved by the Full Council, these proposals become the Council's **Budget and Policy Framework**.
- 1.6 The **Cabinet** is responsible for making all of the necessary arrangements to ensure that the priorities identified by the Council are delivered within the **Budget and Policy Framework** set by the **Full Council**. If Cabinet wishes to make a decision which is not in line with the Budget and Policy Framework, this must be referred to the Full Council as a whole to decide, subject to any relevant provisions in the **Financial Procedure Rules** in **Part 3**.

2 Composition

- 2.1 The **Cabinet** comprises the **Leader** of the Council together with at least two, but no more than nine other **Councillors**, one of whom will be the Deputy Leader, all appointed by the Leader. **Cabinet Members**, including the Deputy Leader, are appointed at the **Annual Meeting** of the **Full Council** at which the Leader is appointed. The Chair and **Deputy Chair of the Council** cannot be appointed to the Cabinet. No substitution arrangements will apply to the Cabinet.
- 2.2 The **Leader** and **Cabinet Members** cannot sit on the **Scrutiny Committees** or the **Audit and Governance Committee**. They can sit on any other Committees of the Council and can chair them but Cabinet Members should not be in a majority.
- 2.3 The **Cabinet Quorum** will be 3 **Councillors**.

3 **The Leader**

- 3.1 The **Leader** will be a Councillor elected for a one year term to the position of Leader.
- 3.2 The Leader will hold office until he/she:
 - 3.2.1 resigns from the office;
 - 3.2.2 is disqualified or otherwise ceases to be a Councillor;
 - 3.2.3 is removed from office by resolution of the **Full Council** that requires the support of a simple majority of those Councillors present; or
 - 3.2.4 ends the term of office at the **Annual Meeting of Full Council** one year after the term begins, when the position of Leader is elected by simple majority for the next year.
- 3.3 If the **Full Council** passes a resolution to remove the Leader, the Full Council shall elect another Councillor as Leader at the meeting at which the Leader is removed from office, or at a subsequent meeting of the Full Council. If there is a vacancy in the office of Leader for any other reason, the Full Council shall elect another Councillor as Leader at the first Full Council meeting after the vacancy occurs. In the interim the Deputy Leader will assume the responsibilities of the Leader.
- 3.4 The law vests all executive responsibilities in the Leader of the Council who may choose to delegate them in any manner allowed by the law, namely:
 - 3.4.1 the **Cabinet**;
 - 3.4.2 an individual **Cabinet Member**;
 - 3.4.3 a Committee of the Cabinet;
 - 3.4.4 an Officer of the Council;
 - 3.4.5 another authority;
 - 3.4.6 a **Joint Committee**.
- 3.5 At each **Annual Meeting** the Leader will inform Council of how he/she intends executive powers to be exercised over the ensuing municipal year. The Leader may alter these at any time during their period of office. Such changes may be reported to Council by the Leader.

4 **The Deputy Leader**

- 4.1 The **Leader** shall appoint a Deputy Leader who shall be a **Cabinet Member**

and deputise for the Leader and carry out the functions delegated to the Leader in periods of their incapacity or absence.

- 4.2 The Deputy Leader shall hold office until such time as the term of office of the Leader who appointed him/her comes to an end, or until he/she:

4.2.1 resigns from the office;

4.2.2 is disqualified or otherwise ceases to be a Councillor; or

4.2.3 is removed from office by the Leader.

- 4.3 If for any reason the Leader is unable to act or the office of Leader is vacant, and the Deputy Leader is unable to act or the office of Deputy Leader is vacant, the **Cabinet** must act in the Leader's place, or arrange for a **Cabinet Member** to act in his/her place.

5 **Cabinet Members**

- 5.1 Each **Cabinet Member** will be appointed by the Leader to cover one of the specific [portfolio responsibilities](#) (other than those reserved to the Leader) determined by the Leader. The opposition party shall nominate Councillors as shadow portfolio holders for each of the Cabinet portfolios.

- 5.2 A **Cabinet Member** shall hold office until such time as the term of office of the Leader who appointed him/her comes to an end, or until he/she:

5.2.1 resigns from the office;

5.2.2 is disqualified or otherwise ceases to be a Councillor; or

5.2.3 is removed from office by the Leader.

- 5.3 Each **Cabinet Member** may, by notification in writing to the Leader and to the **Chief Executive**, appoint a maximum of 2 Councillors as Cabinet support members to support the Cabinet Member in the discharge of his/her functions. Such Cabinet support members shall hold office until he/she:

5.3.1 Resigns from office;

5.3.2 Is disqualified or otherwise ceases to be a Councillor; or

5.3.3 Is removed from office, either individually or collectively, by notification in writing by the relevant Cabinet Member to the other Cabinet support member, the Leader and the Chief Executive.

- 5.4 Such Cabinet support members shall provide advice and support to relevant **Cabinet Members** but cannot take any executive decision or action.

6 Individual Cabinet Member Decisions

- 6.1 Cabinet Members shall have the responsibilities as determined by the Leader from time to time.
- 6.2 Cabinet Members exercising **Executive Functions** may delegate those functions to Officers.
- 6.3 Details of [current Cabinet Members and their portfolios](#) are available on the Council's website.

7 Proceedings of the Cabinet

- 7.1 Proceedings of the Cabinet shall be conducted in accordance with the **Cabinet (Executive) Procedure Rules** in **Part 3**.

8 Joint Executive Arrangements

- 8.1 Where joint arrangements are established with one or more local authorities and/or their **executives** to exercise functions which are **Executive Functions**, any **Joint Committee** appointed in accordance with those arrangements may, subject to the terms of those arrangements, discharge those Executive Functions. See the Council's [Joint Arrangements](#).

9 General responsibilities of the Executive

- 9.1 The **Executive** is responsible for:
 - 9.1.1 ensuring the effective and efficient discharge of the functions delegated to them;
 - 9.1.2 ensuring that any Council services within their remit are appropriate for and responsive to the needs and views of the Council's residents, and are delivered effectively and efficiently;
 - 9.1.3 ensuring that good external relationships and effective local liaison are promoted in relation to Council services within their remit;
 - 9.1.4 monitoring the functions of the Council within their remit and contributing to any Council aims, objectives and policies;
 - 9.1.5 determining policies and objectives for any Council services, within their remit, reviewing the extent to which they are met, and agreeing any necessary action;
 - 9.1.6 determining the Council's views on matters specific to their areas of responsibility and related external matters;
 - 9.1.7 ensuring the effective and efficient management of any services and

resources within their remit and, where appropriate, the effective and efficient discharge of the responsibilities of any subordinate bodies or person;

9.1.8 ensuring the promotion of rights, welfare and interests among all groups in society is given equal and primary consideration in all aspects of the Council's work and services;

9.1.9 promoting and developing international exchanges and links with towns and cities in other countries.

10 **Matters reserved for the Executive**

10.1 The following functions shall be exercised only by the **Executive** and will be taken by the Cabinet, or a Committee or **Sub-Committee** appointed by it, unless the **Leader** chooses to exercise these functions personally or allocate them to an individual Cabinet Member or a Committee of the Cabinet.

10.2 Where the **Cabinet** is exercising an **executive function**, in whole or in part, as set out below, the Cabinet is empowered to take all necessary and appropriate decisions to fulfil the obligations placed upon it, subject to any restrictions or constraints imposed by the law or this **Constitution**.

10.3 The Cabinet is responsible for:

10.3.1 the taking of **Key Decisions**. These will be published in the **Executive Decision Notice** insofar as they can be anticipated;

10.3.2 setting fees, charges or concession policies in respect of **Executive Functions**;

10.3.3 the development of policy/strategy for the Council, the monitoring of the effectiveness of policy/strategy and the review of policy/strategy (leading to revision and further development);

10.3.4 on an annual basis, to draw up proposals for the Council's revenue budget, **Capital Programme**, **Treasury Management Policy** and council tax levels for consideration and determination by **Full Council**;

10.3.5 to prepare the draft **Budget and Policy Framework** documents and in so doing to consult with the Corporate Scrutiny Committee and to include in its submission to the **Full Council** a statement of views received and the **Cabinet** response to those views;

10.3.6 to approve or adopt non-development plan documents and to modify, revise, revoke or withdraw a **Development Plan Document** where such modification, revision, revocation or withdrawal: is required to give effect to a direction of the Secretary of State under the Planning and Compulsory Purchase Act 2004; is recommended by a person carrying out an independent examination under Section 20 of the 2004

- Act; or is authorised by a determination made by **Full Council** when approving or adopting the development plan document;
- 10.3.7 ensuring that proper arrangements exist for the effective and efficient management of the Council's executive affairs and the delivery of policy/strategy;
 - 10.3.8 to be responsible for promoting community leadership, social value and the economic, social and environmental well-being of the area;
 - 10.3.9 approving, monitoring and reviewing the provision of services to the Council which are delivered by internal and/or external suppliers;
 - 10.3.10 overseeing, approving and co-ordinating policies on national and external communications, public and media relations and public affairs generally;
 - 10.3.11 overseeing relationships with, participation in and contribution to external organisations and partnerships, the Local Government Association, or their successors or like bodies;
 - 10.3.12 ensuring Officers exercising delegated powers on behalf of the Cabinet discharge their responsibilities efficiently and effectively;
 - 10.3.13 monitoring and reviewing issues relating to the implementation of strategy and policy;
 - 10.3.14 supporting any relevant regional arrangements relating to regional policy, transportation, planning and environmental issues;
 - 10.3.15 to refer to the **Full Council** for determination all matters which are departures from the **Budget and Policy Framework** adopted by the Full Council, except matters of urgency which shall be dealt with in accordance with the procedures set out in **Part 3 Section E**;
 - 10.3.16 to undertake a continuing review of the Council's broad policy objectives and priorities over the whole range of its functions and to secure a continuous review and evaluation of the effectiveness of services and demonstrate that the Council is delivering those services in accordance with the principles of **Best Value**, calling upon the **Scrutiny Committees** to assist in that process as it considers appropriate;
 - 10.3.17 to report to the **Full Council**, where appropriate, on any matters which Council or the **Scrutiny Committees** have requested;
 - 10.3.18 to present a business progress report annually in writing to Council usually at the meeting preceding Annual **Full Council** (to be presented by the Leader on behalf of Cabinet);

- 10.3.19 to take any urgent action necessary in the event of a civil emergency and to determine general policy matters at such times;
 - 10.3.20 promoting the Council's policies relating to climate change from time to time in force;
 - 10.3.21 to exercise the Council's duty in Section 17 of the Crime and Disorder Act 1998 to reduce crime and disorder;
 - 10.3.22 to exercise the powers and duties of the Council under Sections 13 of the Public Order Act 1986;
 - 10.3.23 dealing with any petitions referred to Cabinet in accordance with the Council's adopted petition scheme;
 - 10.3.24 to make decisions on behalf of the Council as member or shareholder in any companies that the Council is, or may become, a member or shareholder.
- 10.4 **Cabinet** may discharge these functions itself, through a Cabinet Committee or **Sub-Committee** or by delegation to an Officer. In addition, the Cabinet may appoint such advisory panels, including any Councillor, as it considers appropriate to provide advice to it.

11 **Responsibilities of all Cabinet Members**

- 11.1 The following are the general responsibilities which apply to all **Cabinet Members**. These responsibilities include various functions which are delegated to each Cabinet Member to discharge.
- 11.2 There are occasions when matters affect more than one portfolio of responsibility. On such occasions, the **Cabinet Member** with the primary responsibility shall take the lead, in consultation with all Cabinet Members with an interest.
- 11.3 Each **Cabinet Member** is the spokesperson for the policy area or 'portfolio' they are responsible for. They also:
- 11.3.1 lead on developing Council policy and make recommendations to the **Cabinet**;
 - 11.3.2 provide guidance to the Cabinet on delivering services within their portfolio area;
 - 11.3.3 give guidance to the Cabinet on budget priorities;
 - 11.3.4 monitor performance and make sure policy is delivered;
 - 11.3.5 lead on improving Council services;

- 11.3.6 ensure that activities meet the Council's overall vision, core values and guiding principles;
- 11.3.7 represent the Council at a national and local level;
- 11.3.8 contribute to debate and decision-making;
- 11.3.9 work with all Councillors and Officers to make sure that the scrutiny process works correctly including appearing before relevant Scrutiny meetings and responding to **Scrutiny Committee** reports;
- 11.3.10 make decisions as delegated to them by the Leader within the responsibility of the Cabinet Member's portfolio;
- 11.3.11 ensure appropriate consultation and liaison with partners and the community on matters within the scope of their portfolio.

12 **Responsibilities of the Leader**

The Leader of the Council shall:

- 12.1 Chair the **Cabinet**;
- 12.2 Nominate a Deputy Leader;
- 12.3 Select the **Cabinet Members** and determine their **portfolios of responsibility**, determine the size of and preside over and provide leadership and direction to the **Cabinet**;
- 12.4 Have the power to vary the portfolios held by Cabinet Members and shall determine which Cabinet Members shall hold a lead role in respect of any cross cutting policy matter;
- 12.5 Appoint **Committees** and **Sub-Committees** of the **Cabinet** and determine their powers;
- 12.6 Represent and act as ambassador for the Council as Leader of the Council (recognising the role of the **Chair of the Council**);
- 12.7 Have overall responsibility for:
 - 12.7.1 policy development and design;
 - 12.7.2 Ministerial and Members of Parliament liaison;
- 12.8 Co-ordinate the decision-making process of the **Cabinet** and its **Committees** within the **Budget and Policy Framework** agreed by the Council;
- 12.9 Co-ordinate the **Cabinet's** preparation of draft proposals to amend or update the **Budget and Policy Framework**;

- 12.10 Co-ordinate the preparation of the **Annual Budget**;
- 12.11 Represent the Council's views on matters of corporate or strategic policy and any other matters which are within the Leader's terms of reference;
- 12.12 Submit to the **Cabinet** all policy and/or operational matters which have corporate implications or which cross the remits of the individual **Cabinet Members**;
- 12.13 Provide appropriate and timely **Cabinet** responses to **Scrutiny Committee** recommendations and to monitor the implementation of those responses.
- 12.14 Act in the place of any **Cabinet Member** having delegated authority under this scheme.

The [portfolio responsibilities](#) of the Leader can be found on the Council's website.

13 Scope of and Limitations to Individual Cabinet Member Decision-Making

- 13.1 Any decisions taken by individual **Cabinet Members**, including the **Leader**, will be notified, by email, to all Councillors as soon as possible after the decision has been taken. The record of all decisions shall be recorded and publicised in accordance with the **Access to Information Procedure Rules in Part 3**.
- 13.2 **Cabinet Members** are empowered to make delegated decisions as determined by the Leader.
- 13.3 **Cabinet Members** may take a **Key Decision** subject to the usual requirements in relation to Key Decisions (including advance publication) detailed in the **Access to Information Procedure Rules in Part 3**.
- 13.4 **Cabinet Members** may refer a decision to the **Cabinet**.
- 13.5 **Cabinet Members** may delegate a function or decision to an Officer. If a function is so delegated, the Cabinet Member shall complete a written record.
- 13.6 If the **Monitoring Officer, S151 Officer** or **Chief Executive** give advice that a decision would fall outside the powers of the Cabinet Member, the Cabinet Member shall refer the matter to the **Leader** or the **Cabinet**.
- 13.7 Where it is not clear in which **portfolio** an issue sits, the Leader will decide.
- 13.8 Decisions by individual **Cabinet Members** including the **Leader**, must be recorded on a Decision Notice in an agreed format. The signed copy of the Decision Notice will be held by the Democratic Services team. The decision will be published electronically.

14 Procedure for Taking Executive Decisions

- 14.1 All Executive decisions shall be taken in accordance with the principles of decision-making as described in **Section A** of this **Part 2**.
- 14.2 **Executive Functions** must be exercised in accordance with the Council's **Budget and Policy Framework** subject to any discretions permitted by, and within any limitations imposed by, the **Cabinet (Executive) Procedure Rules** in **Part 3**.
- 14.3 Decisions made by the **Leader**, **Cabinet**, an individual **Cabinet Member** or a Committee of the Cabinet, or **Key Decisions** made by an Officer with delegated authority from the **Executive**, or under Joint Arrangements, shall be subject to the "Call-in" procedure as set out in the **Scrutiny Procedure Rules** in **Part 3**.

SECTION F - JOINT ARRANGEMENTS

- 1.1. The **Full Council** may establish joint arrangements with other local authorities and/or their executives to exercise functions (which are **non-Executive Functions** in any of the participating authorities) or advise the Council. The **Cabinet** may establish joint arrangements for Executive Functions. Joint arrangements may include appointing **Joint Committees**.
- 1.2. Joint arrangements will normally take one of two forms: the appointment of a **Joint Committee** of two or more authorities, or the delegation of functions by one authority to another.
- 1.3. If the **Joint Committee** is to discharge **Non-Executive Functions**, it must be appointed by **Full Council** and appointments must reflect the **Political Balance** of the Council as a whole. If it is to discharge **Executive Functions**, it must be appointed by the **Cabinet**. The **Cabinet** can only appoint **Cabinet Members** to the Joint Committee (except where the Joint Committee involves five or more authorities or has to be set up under specific legislation). If it is to discharge a mix of non-executive and Executive Functions, it must be appointed by Full Council with the agreement of the **Leader**. In that case, if only one Councillor is appointed, he/she can be, but need not be, a Cabinet Member, but if more than one Councillor is appointed then those appointed must include at least one Cabinet Member, and the **Political Balance** rules do not apply.
- 1.4. **Full Council** or the **Cabinet** may delegate their powers and functions to another local authority or the **Executive** of another local authority.
- 1.5. The decision whether or not to accept the delegation of **Non-Executive Functions** from another local authority shall be reserved to a **Full Council** meeting.
- 1.6. The decision whether or not to accept the delegation of **Executive Functions** shall be taken by the Cabinet.
- 1.7. The Cabinet may contract-out **Executive Functions** to another body or organisation if this is allowed by an order under Section 70 of the Deregulation and Contracting Out Act 1994. Alternatively, the Cabinet may enter into arrangements where the contractor acts as the Council's agent under usual contracting principles, provided there is no delegation of the Council's decision-making.
- 1.8. The Council currently participates in the following joint arrangements:
 - 1.8.1. The Council has entered a joint arrangement with neighbouring district councils and the County Council for the enforcement of decriminalised parking.
 - 1.8.2. The Council has entered a joint arrangement with neighbouring

Councils for the administration of Revenues and Benefits.

- 1.8.3. The Council has entered a joint arrangement with the local authorities in Leicester, Leicestershire and Rutland for the establishment of a Police and Crime Panel.
- 1.8.4. The Council has entered a joint arrangement with neighbouring district councils under which Blaby District Council discharges the Council's functions in relation to Disabled Facilities Grants.
- 1.8.5. The Council has entered a joint arrangement with Charnwood Borough Council under which Charnwood Borough Council discharges the Council's functions in relation to Building Control.

SECTION G - OFFICER SCHEME OF DELEGATION

This part of the **Constitution** sets out the ways in which the Officers of the Council can make decisions and which decisions they have the power to make. It is called the **“The Officer Scheme of Delegation”**

It is separated into four parts:

Section G1 - Introduction to the Officer Scheme of Delegation

Section G2 - General Delegations to Designated Officers

Section G3 - Delegations to Head of Paid Service and Statutory Officers

Section G4 - Proper Officer and Specified Officer Functions

SECTION G1 - INTRODUCTION TO THE OFFICER SCHEME OF DELEGATION

- 1 “Officers” is the term used to refer to the people employed, retained or appointed by the Council to advise and support Councillors and implement their decisions. The term “Officers” in this **Constitution** includes all the people who operate in this capacity including contractors, consultants and agency staff.
- 2 The Council operates a “cascade” principle of delegation to ensure that decisions are taken at the most appropriate level closest to those who will be affected. This means that the majority of the Council's decisions and actions will fall into the category of operational day to day decisions taken by its Officers.
- 3 In order to ensure the smooth functioning of the Council and the efficient delivery of services, **Full Council** and the **Cabinet** have delegated to Officers the powers that they need to perform their roles.
- 4 Certain Officers have specific legal duties to ensure that the Council acts within the law, uses its resources wisely and exercises its powers properly. These Officers are known as “Statutory” or “Proper” Officers and some have specific legal titles in addition to their job titles.
- 5 The way the Council structures its services and its officer arrangements changes from time to time to reflect changes in service delivery and best practice. The current arrangements include a **Chief Executive** (as the most senior officer of the Council) supported by the other senior roles which are set out below and which together are referred to as the “**Senior Officers**”:
 - 5.1 **Strategic Directors;**
 - 5.2 Head of Finance and Customer Services (**S151 Officer**);
 - 5.3 Head of Legal and Commercial Services (**Monitoring Officer**); and
 - 5.4 Heads of Service.
- 6 The **Head of Paid Service**, the **S151 Officer** and the **Monitoring Officer** are also called “**Statutory Officers**” (because every Council is required by statute - the law - to have these posts).
- 7 It is possible (subject to any legal restrictions) for the roles of the **S151 Officer** and/or the **Monitoring Officer** to be combined with another of the **Senior Officer** posts (or with other Officer posts in the Council).
- 8 There are also a number of formal functions which the Council has to allocate to named Officers called “**Proper Officers**”.
- 9 **Section A** of this Part 2 shows the current management structure of the Council, showing more detail about the roles and responsibilities of the **Chief**

Officers and the Officers supporting them to deliver all the Council's services.

General Principles Relating to Officer Delegation

- 10 For the purposes of Officer delegated powers, both within this part and any other part of the **Constitution**, the term “**Designated Officers**” shall include the following Officers:
 - 10.1 The **Chief Executive**;
 - 10.2 The **Strategic Directors**;
 - 10.3 Head of Finance and Customer Services (**S151 Officer**);
 - 10.4 Head of Legal and Commercial Services (**Monitoring Officer**); and
 - 10.5 All **Heads of Service**.
- 11 This scheme gives the power for the **Designated Officers** to take decisions and institute any process or take any steps in relation to all the functions in their areas of responsibility except where:
 - 11.1 a matter is prohibited by law from being delegated to an **Officer**, or
 - 11.2 a matter has been specifically reserved to **Councillors** or excluded from delegation by this scheme, by a decision of the **Full Council**, the **Cabinet/Executive** or a **Committee** or **Sub-Committee**.
- 12 No Officer may take **Key Decisions** unless specifically provided for within the **Constitution** or specifically delegated by the **Leader**, the **Cabinet**, a Committee of Cabinet or a **Cabinet Member**.
- 13 The cascade principle under which this Scheme operates means that any Officer given powers under this scheme can further delegate those powers to other Officers either:
 - 13.1 through a Local Scheme of Delegation (which sets out all the standing delegations given to specific Officers in defined areas of the Council's service areas). There is a list of the [Local Schemes of Delegation](#); or
 - 13.2 through a Specific Delegation in relation to an individual decision which must be evidenced in writing using the agreed standard form, dated and signed by the Officer delegating the power and saved on the register of [Specific Delegations](#). A Specific Delegation does not need to be given where an Officer is given delegated powers to action a particular decision by Council, Cabinet or a Committee or Sub-Committee.

General limitations on exercise of powers

- 14 Any matters falling within the scope of the Scheme will be subject to any

limitation, imposed by statute, by the **Full Council** or **Cabinet** and/or any duly authorised Committee. In addition, in exercising these powers each **Designated Officer**:

- 14.1 Will comply with relevant Procedure Rules including the **Financial Procedure Rules** in **Part 3** and **Contract Procedure Rules** in **Part 3**. In the event of any inconsistency or conflict between the **Financial Procedure Rules** and/or **Contract Procedure Rules** and these delegations then the former shall prevail. In the event that the inconsistency or conflict cannot be resolved by the application of this rule then the matter shall be settled by the **Chief Executive** with advice, where necessary and appropriate, from the **S151 Officer** and/or the **Monitoring Officer**;
 - 14.2 Will not depart from any approved policies, scheme, or, any direction of the **Full Council** or **Cabinet** and/or appropriate Committee;
 - 14.3 Will have due regard to the Public Sector Equality Duty;
 - 14.4 Will consult the appropriate professional or technical Officer of the Council, in particular the **Monitoring Officer** and **S151 Officer**, in any case involving professional or technical consideration not within the capacity of the Officer concerned; and
 - 14.5 Will take account of any Council Strategy and the **Budget and Policy Framework** approved by Council in relation to the management functions for which he/she is authorised.
- 15 The exercise by Officers of the powers delegated under this **Constitution** involving the incurring of any expenditure is subject to there being sufficient approved provision within the budget to cover that expenditure.
 - 16 Any delegation under the Scheme will be without prejudice to the overriding right of the **Council** or **Cabinet** and any duly authorised **Committee** to withdraw or amend the powers or to decide any matter and, in particular, any **Designated Officer** may, in any case, instead of exercising their powers under the Scheme, refer any matter to the **Council**, the **Cabinet** or **Committee** for decision.
 - 17 The Scheme will also be subject to the right of the **Council** or **Cabinet** and/or any duly authorised Committee to rescind the Scheme or any part or parts of the Scheme.

SECTION G2 - GENERAL DELEGATIONS TO DESIGNATED OFFICERS

1 General

- 1.1 To exercise any functions, powers and duties of the Council to secure the effective management of their service areas including the authorisation of any procedures or contracts within the framework of **Financial Procedure Rules in Part 3** and **Contract Procedure Rules in Part 3**, and taking and implementing decisions to maintain the operational effectiveness of their service areas where these fall within a policy decision made by the Council or Cabinet.
- 1.2 To implement and develop initiatives within the strategic policy framework and other Council plans and policy documents.
- 1.3 To carry out, or authorise the carrying out, of the functions of the **Proper Officer** of the Council in any legislation relating to those areas of responsibility assigned to **Designated Officers**.
- 1.4 To exercise the general power of competence under the Localism Act 2011 where appropriate.

2 Incidental powers

- 2.1 In addition to any of their general and/or specific delegated functions and powers set out below, to enter into arrangements or do anything else which is calculated to facilitate, or is conducive or incidental to, the discharge of such delegated functions.

3 Service Performance

- 3.1 To make arrangements to secure value for money in respect of their service areas, to secure continuous improvement in the way functions are exercised having regard to a combination of economy, efficiency and effectiveness, and to maximise economic, environmental and social value.
- 3.2 To arrange consultation with tax payers, non-domestic rate-payers, service users and other local representatives about fulfilment of the best value duties and to involve representatives of local persons in the exercise of Council functions.
- 3.3 To meet business critical and key performance indicator targets.
- 3.4 To enter into any agreement with any other public body for the supply of goods and/or services subject to this being in accordance with the Council's **Budget and Policy Framework**, the **Financial Procedure Rules in Part 3** and the **Contract Procedure Rules in Part 3**.
- 3.5 To make arrangements for co-ordinating the activities of the Council and those of any charity established for purposes similar or complementary to services provided by the Council in the interests of persons who may benefit from

those services or from the charity and to disclose to any such charity any information obtained in connection with the services provided by the Council.

- 3.6 To approve any severance payment to any Officer up to £20,000 in consultation with the **S151 Officer** and **Monitoring Officer**, provided that any proposed severance payment to the **Head of Paid Service** will be dealt with either by the **Investigatory Committee** or **Full Council** (dependent on the value of the proposed severance payment).

4 **Legal**

- 4.1 To recommend to the **Head of Legal and Commercial Services**, where it is necessary to give effect to a decision of the Council, the need to institute, prosecute, defend, conduct, participate in, withdraw or settle any legal proceedings brought by or against the Council, to make any necessary applications and to take steps to enhance or protect the Council's legal position or interest.
- 4.2 To recommend to the **Head of Legal and Commercial Services**, the negotiation and settling of claims and disputes without recourse to court proceedings including the use of alternative dispute resolution.
- 4.3 Subject to the agreement of the **Head of Legal and Commercial Services**, to authorise Officers to appear on the Council's behalf in proceedings before any Court or Tribunal.
- 4.4 To prepare, issue and serve any statutory notice, demand, certificate, order, or requisition for information in respect of functions in their area, including the authentication of such documents save that the authentication of documents necessary for any legal procedure or proceedings is reserved to the **Head of Legal and Commercial Services**.
- 4.5 To authorise Officers to enter and/or inspect any land or premises in respect of which the Council has a statutory power or duty to enter or inspect including the obtaining and enforcement of a search warrant.
- 4.6 To authorise any Officer exercising a power to enter and/or seize items found on premises to exercise the powers of seizure, to give the required notice and to perform the duties to return certain items seized and to secure certain items seized.
- 4.7 To apply, or to authorise other Officers to apply, to a Court for a warrant to enter any land or premises, in exercise of his/her responsibilities.
- 4.8 To certify that any document forms part of the records of the Council for the purpose of admitting that document as evidence in civil proceedings.
- 4.9 To authorise the recovery of sundry debts of any sum to which the Council is entitled.

- 4.10 To take the action necessary to comply with any court order made against the Council.
- 4.11 To appoint Officers as authorised Officers for any statutory purpose.
- 4.12 To accept, hold and administer any property on trust (in consultation with the **Head of Legal and Commercial Services** and **S151 Officer**).
- 4.13 To supply photocopies of documents to the general public subject to making such charges as may be agreed in an approved scheme in accordance with the provisions of the Copyright, Designs and Patents Act 1988.

5 **Administrative Matters**

- 5.1 Power to deal with requests for access to Council premises by the media.
- 5.2 Power to waive charges, where justified in exceptional circumstances and where this is legally permissible.

6 **Finance**

- 6.1 Officers are referred to the **Financial Procedure Rules** in **Part 3** of the **Constitution**.

7 **Contracts**

- 7.1 Officers are referred to the **Contract Procedure Rules** in **Part 3** of the **Constitution**.

8 **Property Matters**

- 8.1 Any decision concerning the management or use of land held for the operational requirements of the Officers of a service area, subject to the following provisions.
- 8.2 Powers to take any action or sign any document under the Land Registration Rules, including the release of mortgages or charges; and powers to give any undertaking are reserved to the **Head of Legal and Commercial Services**.
- 8.3 Subject to the agreement of the **S151 Officer**, the power to acquire any land or property with a capital value up to or equalling £100,000 except by use of compulsory powers is reserved to the **Chief Executive** and the **Strategic Directors** in consultation with the relevant Portfolio Holder. The power to acquire any land or property with a capital value over £100,000 is reserved to Cabinet.
- 8.4 Subject to the agreement of the **S151 Officer**, the power to dispose of any land or property with a capital value up to or equal to £30,000 is reserved to the **Chief Executive** and the **Strategic Directors** in consultation with the relevant Portfolio Holder. Disposal of any land or property with a capital value over

£30,000 is reserved to Cabinet.

- 8.5 Subject to the agreement of the **S151 Officer**, the power to take a lease or licence of any land or property for any period where the rent is up to £100,000 per annum is reserved to the **Chief Executive** and the **Strategic Directors** in consultation with the relevant Portfolio Holder. Taking a lease or licence of any land or property for any period where the rent is over £100,000 per annum is reserved to Cabinet.

9 **Emergencies (e.g. flooding, power failure etc.)**

- 9.1 Where an emergency or disaster involving destruction of or danger to life or property occurs or is imminent or there is reasonable ground for apprehending such an emergency or disaster, all **Designated Officers** may:

9.1.1 incur such expenditure as is considered necessary in taking action (either by the Council itself or jointly with any other person or body and either in their area or elsewhere in or outside the United Kingdom) which is calculated to avert, alleviate or eradicate in the **District** or among its inhabitants the effects or potential effects of the event; and

9.1.2 make grants or loans to other persons or bodies in respect of any such action taken by those persons or bodies, subject to ratification where necessary, as soon as possible, and subject to agreement of a **Strategic Director** or the **Chief Executive**.

- 9.2 The preparation of Civil Emergency Plans for the Council, in consultation with all necessary outside bodies and organisations.

10 **Responding to consultations and proposals**

- 10.1 To respond to consultations and to make comments and representations on matters notified to the Council by third parties including (but not limited to) Government Departments, statutory undertakers and local authorities, in consultation with the relevant Strategic Director and **Portfolio Holder**.

11 **Submission of grant funding bids**

- 11.1 To submit bids for grant funding and/or other financial assistance to Government departments and other organisations and bodies for projects and initiatives consistent with Council policies, following consultation with the relevant Strategic Director and **Portfolio Holder**, and to enter into any such agreements and arrangements as necessary to secure such funding, in accordance with the **Contract Procedure Rules** in **Part 3** and the **Financial Procedure Rules** in **Part 3**.

12 **Complaints**

- 12.1 To take action regarding complaints received.

12.2 To settle any Ombudsman / Complaint Cases:

12.2.1 cases of alleged maladministration where there has not been a finding of maladministration by the Ombudsman; and

12.2.2 complaints that have been brought against the Council under any of its internal complaints procedures in conjunction with the **Head of Legal and Commercial Services**.

12.3 To approve compensation payments to remedy complaints in accordance with the Council's Complaints Procedure and **Financial Procedure Rules** in **Part 3**.

13 **Attestation of the Common Seal of the Council**

13.1 A decision of the Council, Cabinet, a Committee or any Officer with delegated authority, will be sufficient authority for sealing any document necessary to give effect to the decision.

13.2 The Common Seal will be affixed to those documents which in the opinion of the **Head of Legal and Commercial Services** should be sealed or where required by the **Contract Procedure Rules** in **Part 3**.

13.3 The affixing of the Seal on documents shall be attested by the **Head of Legal and Commercial Services** or any Officer authorised by him/her.

SECTION G3 - DELEGATIONS TO THE HEAD OF PAID SERVICE AND STATUTORY OFFICERS

The Council is required to designate a number of Officers to discharge statutory functions. The legal provisions and the Officer designated by the Council to discharge each function are listed in the table below. Further detail about the responsibilities of the **Head of Paid Service** and each **statutory Officer** then follows.

A table of designated **Proper Officers** is set out below:

Legislative Provision	Statutory Power the Council Must Delegate to an Officer	Officer Designated as the Statutory Officer
S4 Local Government and Housing Act 1989	Designate one of their Officers as the Head of Paid Service	Chief Executive
S151 Local Government Act 1972	Appoint an Officer responsible for the administration of the authority's financial affairs	Head of Finance
S5 Local Government and Housing Act 1989	Designate one of their Officers as the Monitoring Officer	Head of Legal and Commercial Services
S36 Freedom of Information Act 2000	Qualified person in relation to s36 of the Act	Head of Legal and Commercial Services

1 **Functions delegated to the Head of Paid Service (Chief Executive)**

- 1.1 To act as the Council's statutory Head of Paid Service pursuant to section 4 of the Local Government and Housing Act 1989 and carry out the responsibilities assigned to the Head of Paid Service under the **Constitution** generally.
- 1.2 Where he/she considers it appropriate to do so, to prepare a report to the Council setting out their proposals as to:
 - 1.2.1 the manner in which the discharge by the Council of their different functions is co-ordinated;
 - 1.2.2 the number and grades of staff required by the Council for the discharge of their functions;
 - 1.2.3 the organisation of the Council's staff;
 - 1.2.4 the appointment and proper management of the Council's staff.

- 1.3 To be responsible for and take action in relation to corporate strategy, policy initiatives and integrated planning and service delivery.
- 1.4 The corporate management of the Council and, specifically:
 - 1.4.1 Advice to the Council on the **Policy Framework**;
 - 1.4.2 Preparation of, and consultation on, the draft of the **Executive Decision Notice** on a monthly basis;
 - 1.4.3 The responsibility for the discharge of the Council's functions in implementation of statutory and non-statutory plans including the modernisation, collation, indexation and publication of policies and practices of the Council within the evolving Policy Framework as the **Full Council** and the **Executive** shall determine.
- 1.5 As required to exercise any function delegated to any other Officer of the Council, with the exception of those functions delegated exclusively to the Council's **S151 Officer** or the **Monitoring Officer**. Further, in the event of any dispute or doubt as to the delegated powers of any other **Designated Officer**, the **Chief Executive** shall have the authority to determine which **Designated Officer** is to exercise that power.
- 1.6 To provide the 'certificate of opinion' for an employee making an application to the **Audit and Governance Committee** for exemption of his/her post from political restriction under section 3 of the Local Government and Housing Act 1989 (opinion as to whether the duties of the post involve regularly giving advice to **Councillors** or speaking to journalists/broadcasters).
- 1.7 The power to determine that an emergency has occurred, namely, an event or situation which threatens serious damage to human welfare or to the environment in the **District** or war or terrorism which threatens serious damage to the security of the United Kingdom.
- 1.8 The power to incur expenditure and take any necessary action within local authority statutory functions, including jointly with other authorities, in the event of an emergency or where urgent action is needed to enable the Council to fulfil its functions.
- 1.9 To nominate other **Senior Officers** of the **Council**, whether orally or in writing, to take administrative decisions in the event of an emergency.
- 1.10 In the event that the **Chief Executive** is absent or unable to act for any reason, the **Strategic Directors** may exercise these powers. In the event that the Strategic Directors are absent or unable to act for any reason, the powers in paragraphs 1.8, 1.9 and 1.10 above may be exercised by any other **Chief Officer** who is available to act.
- 1.11 To take urgent **Key Decisions** in place of the **Executive** in accordance with the **Cabinet (Executive) Procedure Rules** in **Part 3**.

- 1.12 In the event that all **Cabinet Members** are removed from office, to exercise all **Executive Functions** in consultation with the **Chair of the Council** until a new Cabinet has been appointed.
- 1.13 To discharge the functions of Electoral Registration Officer, and to act as Returning Officer, Local, Acting or Deputy Returning Officer in local elections, parliamentary elections, police and crime commissioners' elections and referenda.
- 1.14 The review of electoral arrangements and **District** boundaries.
- 1.15 To carry out all activities in connection with the Council's Human Resources function including:
 - 1.15.1 To determine all staffing matters in accordance with the **Officer Employment Procedure Rules** in **Part 3**. This includes determining matters relating to structure (additions, reductions and other changes to the establishment) as he/she considers appropriate following consultation with the Leader and Deputy Leader.
 - 1.15.2 The appointment, dismissal or discipline of staff, except in relation to those posts listed in paragraph 1.2 of the said Rules.
 - 1.15.3 Where the decision of the Head of Paid Service taken under (a) above requires consideration of the financial/budgetary implications and a decision in that respect only, then the matter will be referred to the Cabinet, provided that the remit of the Cabinet shall be limited to decisions on financial matters only.
 - 1.15.4 To approve any severance payment to any Officer between £20,000 and £100,000 with the agreement of the **Leader** and in consultation with the **S151 Officer** and **Monitoring Officer**, provided that any proposed severance payment to the Head of Paid Service will be dealt with either by the **Investigatory Committee** or **Full Council** (dependent on the value of the proposed severance payment).
 - 1.15.5 The Head of Paid Service may delegate the discharge of this function to another Officer.
- 1.16 To co-ordinate, direct and monitor the Council's initiatives to achieve Best Value in the delivery of its functions.
- 1.17 To be responsible for performance review issues.
- 1.18 To suspend the Strategic Directors where their continued presence at work may prejudice an investigation or where there is a prima facie case of gross misconduct (Cabinet to be notified as soon as possible after the action is taken in accordance with the Employment Procedure Rules contained in the **Constitution**).

- 1.19 To make interim appointments to fill vacancies, and to make interim designations as **S151 Officer** and **Monitoring Officer** where a vacancy arises in such position, the term of each such appointment or designation not to extend beyond 18 months without the confirmation of the **Appointments Committee**.
- 1.20 To make agreements with other local authorities and external agencies in compliance with the **Contract Procedure Rules** in **Part 3** for the placing of staff and joint working arrangements (including committing expenditure within authorised budgets).
- 1.21 To authorise the use of juveniles and vulnerable adults as covert human intelligence sources under the Regulation of Investigatory Powers Act 2000.

2 **Functions delegated to the S151 Officer (Head of Finance)**

- 2.1 To act as the Council's statutory chief finance Officer pursuant to section 114A Local Government Finance Act 1988 and carry out the responsibilities assigned to the S151 Officer under the Council's **Financial Procedure Rules** in **Part 3** and under the **Constitution** generally, including carrying out all **Treasury Management** functions and activities in accordance with the approved **Treasury Management Strategy**.
- 2.2 To make arrangements for the proper administration of the Council's financial affairs in accordance with section 151 of the Local Government Act 1972.
- 2.3 To contribute to the corporate management of the Council, in particular through the provision of professional financial advice.
- 2.4 Maintaining strong financial management underpinned by effective financial controls by:
 - 2.4.1 Advising on effective systems of internal management and financial control;
 - 2.4.2 Ensuring that financial management arrangements are sound and effective;
 - 2.4.3 Ensuring a prudential financial framework is in place;
 - 2.4.4 Ensuring that any partnership arrangements (or other innovative structures for service delivery) are underpinned by clear and well documented internal financial controls;
 - 2.4.5 Securing effective arrangements for prudential borrowing, **Treasury Management**, pensions and trust funds;
 - 2.4.6 Ensuring there is an effective internal audit function and assisting management in providing effective arrangements for financial scrutiny;

- 2.4.7 Advising on anti-fraud and anti-corruption strategies and measures;
 - 2.4.8 Securing effective systems of financial administration; and
 - 2.4.9 Ensuring that statutory and other accounts and associated claims and returns in respect of grants are prepared.
- 2.5 To approve the detailed format of the financial plan and the budget prior to approval by the **Full Council**.
 - 2.6 To approve the annual calculation of the Council's council tax requirement in accordance with section 31A Local Government Finance Act 1992 prior to approval by the **Full Council**.
 - 2.7 To report annually to Council on the robustness of the budget and adequacy of reserves as required by section 25 Local Government Act 2003.
 - 2.8 To provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and **Budget and Policy Framework** issues to Council Officers and **Councillors**.
 - 2.9 To report to Councillors, in consultation with the **Monitoring Officer**, if there is or there is likely to be unlawful expenditure or an unbalanced budget as required by sections 111-116 Local Government Finance Act 1988.
 - 2.10 To establish and maintain the general fund and collection fund of the Council in accordance with the provisions of the Local Government Act 1988.
 - 2.11 To manage the capital programme flexibly and to make adjustments to the phasing of approved projects within the limits of available capital resources.
 - 2.12 To approve the draft Council's Accounts and Accounting Policies each year in accordance with the Accounts and Audit (England) Regulations 2015.
 - 2.13 To approve the terms of release of staff aged 55 or over and made redundant or retired early with a claim on the pension scheme, in accordance with agreed procedures, save in relation to **Chief Officers** which is reserved to the Independent Remuneration Panel.
 - 2.14 To write off uncollectible debts relating to the management of tenanted properties, up to the level equivalent to four months' rent. All debts written off this way would be reported to **Cabinet** for information through the quarterly reporting procedures.
 - 2.15 To provide financial information to the media, members of the public and the community.

- 3 **Functions delegated to the Monitoring Officer (Head of Legal and Commercial Services)**
- 3.1 To act as the Council's statutory **Monitoring Officer** pursuant to section 5 and 5A Local Government and Housing Act 1989 and carry out the responsibilities assigned to the Monitoring Officer under the **Constitution** generally.
- 3.2 To ensure that the Council, its Officers and its elected **Councillors** maintain the highest standards of conduct.
- 3.3 To contribute to the corporate management of the Council, in particular through the provision of professional legal advice.
- 3.4 To establish and maintain the **Councillors' Code of Conduct** in **Part 4** to address the conduct that is expected of **Councillors** and co-opted members of the Council when they are acting in that capacity.
- 3.5 To establish and maintain a register of interests of Councillors and co-opted members of the Council in accordance with the provisions of the Localism Act 2011.
- 3.6 To contribute to the promotion and maintenance of high standards of conduct through provision of support to the **Audit and Governance Committee**.
- 3.7 To receive and act on reports made by the **Audit and Governance Committee**.
- 3.8 To consider complaints against **Councillors** including conducting investigations into matters as appropriate and the making of reports or recommendations in respect of them to **Sub- Committees** of the Audit and Governance Committee.
- 3.9 To provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and **Budget and Policy Framework** issues to Council Officers and **Councillors**.
- 3.10 To report to **Councillors** on any actual or potential breaches of the law or maladministration as required by section 5 Local Government Housing Act 1989.
- 3.11 To advise whether decisions of the **Cabinet** are in accordance with the **Budget and Policy Framework**.
- 3.12 To be responsible for the maintenance and operation of the **Constitution**. The **Monitoring Officer** has authority to make minor amendments and corrections to the Constitution to ensure that:
- 3.12.1 legislative references are updated;
- 3.12.2 it reflects the Council's structures and decision-making requirements;

3.12.3 consequential amendments are made as a result of Council, Executive (Leader, Cabinet, Cabinet Member) and Committee decisions; and

3.12.4 it is clear and unambiguous and maintains efficiency of operations.

- 3.13 To advise and assist the Democratic and Support Services **Team Manager** with the proper performance of the **Access to Information Procedure Rules in Part 3**.
- 3.14 To fulfil the requirements of the 'qualified person' in relation to section 36 of the Freedom of Information Act 2000.
- 3.15 To designate "Proper Officers" for the purpose of particular statutory functions and to make any changes needed to the table at 1.5 in Section G4 of this Part of the **Constitution**.
- 3.16 After consultation with the Chair of the **Audit and Governance Committee**, to make compensation payments of up to £500 to victims of maladministration.
- 3.17 To instruct Counsel and to retain the services of costs specialists, parliamentary agents or outside solicitors and to obtain expert advice on any matter affecting or likely to affect the interests of the Council.
- 3.18 Authority to sign any document necessary in legal proceedings on behalf of the Council and authority to sign informations and complaints, and lay them on behalf of the Council for the purpose of Magistrates Court proceedings unless Statute provides otherwise.
- 3.19 May grant dispensations to **Councillors** who require such dispensations for one meeting or on one occasion from requirements relating to interests set out in the **Councillors' Code of Conduct in Part 4** as appropriate.

For the purpose of carrying out these functions, the **Monitoring Officer** shall be provided with the following resources:

- 3.20 The right of access to all documents and information held by or on behalf of the Council, including documents and information held by any Officer or **Councillor** of the Council. For the purpose of clarification, this right does not extend to documents and information held by or on behalf of any political group represented on the Council;
- 3.21 The right of access to any meetings of Officers or **Councillors** (or both) of the Council, whether or not such meetings include any other persons. For the purpose of clarification, this right does not extend to any meetings held by or on behalf of any political party represented on the Council;
- 3.22 The right to require any Officer or **Councillor** of the Council, or any contractor of the Council, to provide an explanation of any matter under investigation;

- 3.23 A right to report to the **Full Council**, the **Audit and Governance Committee**, and to the **Cabinet**, including a right to present a written report and to attend and advise verbally;
- 3.24 The right to require the assistance of any Officer of the Council in carrying out an investigation and to delegate to that Officer any of the powers of the post of Monitoring Officer;
- 3.25 A power to mediate a local resolution to any complaint of breach of the **Councillors' Code of Conduct** in **Part 4**, in accordance with the **Council's** relevant procedures;
- 3.26 The right of access to the **Head of Paid Service/Chief Executive, Strategic Directors** and the **S151 Officer**; and
- 3.27 The right, after consultation with the **Head of Paid Service/Chief Executive** and/or the **S151 Officer** where appropriate to notify the Police, the Council's auditors and other regulatory agencies of his/her concerns in respect of any matter and to provide them with information and documents in order to assist them with their statutory functions.

SECTION G4 - PROPER OFFICER AND SPECIFIED OFFICER FUNCTIONS

- 1.1 Many legislative provisions require the appointment of a "**Proper Officer**" or "Specified Officer" to undertake formal responsibilities on behalf of the Council.
- 1.2 Statutory provisions and regulations are from time to time amended, replaced or re-enacted. When a statutory provision or regulation is amended, replaced or re-enacted, the appointments in the table below shall be effective in relation to the corresponding new provision.
- 1.3 Substitutes are identified to act where the Proper Officer is absent or otherwise unable to act.
- 1.4 The **Chief Executive/Head of Paid Service** shall be the **Proper Officer** of the Council for the purposes of the Local Government Act 1972, the Local Government Act 2000 and for all other statutory purposes unless:
 - 1.4.1 such designation is given by the Council to any other Officer or
 - 1.4.2 the Chief Executive/Head of Paid Service, exercising the powers given to him/her by this **Constitution**, appoints another Officer of the Council to be the **Proper Officer** for a specific service area or function.

SPECIFIED OFFICERS

Statutory Requirement	Allocated to	Substitute
Local Government and Housing Act 1989 Section 4 Head of Paid Service	Chief Executive	Strategic Directors
Representation of the People Act 1983 Section 8 Electoral Registration Officer	Chief Executive	As appointed by the Electoral Registration Officer
Representation of the People Act 1983 Section 28 Acting Returning Officer (Parliamentary)	Chief Executive	As appointed by the Acting Returning Officer
Representation of the People Act 1983 Section 35 Returning Officer (Local Elections)	Chief Executive	As appointed by the Returning Officer

Local Government and Housing Act 1989 Section 5 Monitoring Officer	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Local Government Act 1972 Section 151 Chief Finance Officer	S151 Officer	Deputy S151 Officer

1.5 A table of designated **Proper Officers** is set out below:

Section of the Local Government Act 1972 and Proper Officer's Functions	Proper Officer	Alternative Proper Officer
Section 13 To act as a Parish Trustee	Chief Executive	Strategic Directors
Section 83 (1) to (4) Witness and receipt of Declarations of Acceptance of Office	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section 84 Receipt of Declaration of Resignation of Office	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section 86 Declare any vacancy in office	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section 88 (2) Convening of meeting of Council to fill casual vacancy in the office of Chair	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section 89 (1) (b) Receipt of notice of casual vacancy from two local government electors	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)

Section 99 Signature of summons to council meetings	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section 100B Exclusion of reports, etc. from inspection	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 100C Written Summary where minutes would disclose exempt information	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 100D Compilation of list of background papers	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 100F Exclusion from production to Councillors of documents disclosing exempt information	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 115 (2) Receipt of money due from Officers	S151 Officer	Deputy S151 Officer
Section 146 (1) (a) and (b) Declarations and service with regard to securities	S151 Officer	Deputy S151 Officer
Section 191 Functions with respect to Ordnance Survey	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 210 (6) and (7) Charity functions of holders of offices with existing authorities transferred to holders of equivalent offices with new authorities or, if there is no such office, to Proper Officer	Chief Executive	Strategic Directors

Section 223 Authorise Officers to appear in legal proceedings	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 225 (1) Receipt and retention of documents deposited with the Authority	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 228 (3) Making accounts open to inspection by any Councillor of the Authority	S151 Officer	Deputy S151 Officer
Section 229 (5) Certification of Photographic copies of Documents	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 234 Authentication of Documents	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 234 Officer authorised to sign forms of notice to give effect to planning applications	Head of Planning and Regeneration	Planning and Development Team Manager
Section 236 (9) and (10) To send copies of byelaws to Parish Council	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 238 Certification of byelaws	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer

Section 248 Officer who will keep the Roll of Freeman	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Schedule 12, Para 4 (2) (b) Signature of summonses to Council Meetings	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Schedule 12, Para 4 (3) Receipt of notice regarding address to which summonses to meetings are to be sent	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Schedule 14, Para 25 (7) Certifying resolutions applying or dis-applying provisions of Public Health Acts 1875-1961	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Local Government Act 1974	Proper Officer	Alternative Proper Officer
Section 30(5) To give notice that copies of an Ombudsman's report are available	Chief Executive	Head of Legal and Commercial Services (Monitoring Officer)
Section of the Local Government (Access to Information) Act 1985 amending the Local Government Act 1972 and Proper Officer's Functions	Proper Officer	Alternative Proper Officer
Section 100B (2) Exclusion of whole or part of reports from public inspection	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 100B (5) Withholding of reports containing exempt information	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer

Section 100B (7) (c) Supply of papers to press	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 100C (2) Summaries of Minutes	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 100D Inspection of background papers	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section 100F Councillors' right to papers	Head of Legal and Commercial Services (Monitoring Officer)	Strategic Directors
Section of the Local Government Finance Act 1988 and Proper Officer's Functions	Proper Officer	Alternative Proper Officer
Section 114 Duty to report etc	S151 Officer	Deputy S151 Officer
Section of the Local Government and Housing Act 1989 and Proper Officer's Functions	Proper Officer	Alternative Proper Officer
Part 1 (s.2.4, 3, 4, 5, 15) and regulations made thereunder	Chief Executive	Strategic Directors
Section 2 and Section 3 Preparation and deposit of politically restricted posts and issue of certificate in respect of politically restricted posts	Chief Executive	Strategic Directors
Section of the Party Wall etc Act 1996 and Proper Officer's Functions	Proper Officer	Alternative Proper Officer
Section 10(8) Appointing Officer	Chief Executive	Strategic Directors

Section of the Public Health Act 1936 and the Public Health Act 1961	Proper Officer	Alternative Proper Officer
Sections 84 and 85 of the Public Health Act 1936 Proper Officer functions	Strategic Directors	Head of Community Services
Section of the Food Safety Act 1990	Proper Officer	Alternative Proper Officer
Section 5 Authorised Officer to act in matters arising under the Act	Strategic Directors	Head of Community Services
Section 27 Nomination of a Public Analyst	Strategic Directors	Head of Community Services
Section 49 Signature on documents authorised or required under the Act	Strategic Directors	Head of Community Services
Local Government Act 2000 and Regulations made thereunder and Proper Officer functions	Proper Officer	Alternative Proper Officer
Proper Officer functions	Chief Executive	Strategic Directors
Section of the Freedom of Information Act 2000 and Proper Officer Functions	Proper Officer	Alternative Proper Officer
Section 36 the “qualified person”	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer

Section of the Regulation of Investigatory Powers Act 2000 and Proper Officer Functions	Proper Officer	Alternative Proper Officer
Part II Authorised Officers who may authorise, review or cancel the carrying out of directed surveillance or the use of covert human intelligence sources	Chief Executive Strategic Directors	Heads of Service
Part II Senior Responsible Officer	Chief Executive	Strategic Directors
Miscellaneous: Statutory Provision and Proper Officer Functions	Proper Officer	Alternative Proper Officer
Section 41 Local Government (Miscellaneous Provisions) Act 1976 Certifying true copies of minutes	Head of Legal and Commercial Services (Monitoring Officer)	Legal Team Manager and Deputy Monitoring Officer
Section 321 (3) Highways Act 1980 Certifying copies of approved plans	Chief Executive	Strategic Directors
Section 61 Building Act 1984 Receive notification of and having free access to repairs of drains	Strategic Directors	as delegated by the Strategic Directors
Section 149 Environmental Protection Act 1990 Discharging functions relating to stray dogs	Head of Community Services	Environmental Health Team Manager
Section 2 Planning (Listed Buildings and Conservation Areas) Act 1990 Lists of protected buildings	Strategic Directors	Head of Planning and Regeneration
Proceeds of Crime Act 2002 Part 7 Nominated Officer to receive disclosures of suspected Money Laundering	S151 Officer	Deputy S151 Officer

Part 3

Rules of Procedure

Section A – Council and Committee Procedure Rules

Section A1 – Interpretation and Chair's Ruling

Section A2 - Procedure Rules

Section B - Cabinet (Executive) Procedure Rules

Section C - Access to Information Procedure Rules

Section D - Scrutiny Procedure Rules

Section E - Budget and Policy Framework Procedure Rules

Section F - Financial Procedure Rules

Section G - Contract Procedure Rules

Section H - Officer Employment Procedure Rules

Section I - Councillors' Substitute Scheme Procedure Rules

SECTION A1 - INTERPRETATION AND CHAIR'S RULING

SECTION A2 - PROCEDURE RULES

Rule

1. Annual Meeting of the Full Council
2. Ordinary Meetings of the Full Council
3. Extraordinary Meetings of the Full Council
4. Chair of the Council and Deputy-Chair of the Council
5. Time and Place of Meetings
6. Notice and Summons to Meetings
7. Chairs and Deputy-Chairs of Meetings
8. Quorum
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15. Previous Decisions and Motions
16. Rules of Debate
17. Voting
18. Minutes
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20. Record of Attendance
21. Exclusion of Public
22. Councillor Conduct
23. Disturbance by Public

- 24. Committees and Sub-Committees
- 25. Suspension of Council and Committee Procedure Rules
- 26. Petitions

SECTION A1 - INTERPRETATION AND CHAIR'S RULING

1. The procedure rules in section A2 apply to meetings of the **Full Council** and to meetings of **Committees** and **Sub-Committees** except that:
 - 1.1 Rules 1, 2, 3, 5, 10, 11, 12, 13.1.2, 13.1.6, 13.1.18, 16.5 and 16.7 do not apply to meetings of **Committees** and **Sub-Committees**;
 - 1.2 Rule 9 (Duration of Meetings) does not apply to meetings of any board, group, **Committee**, or panel at which the appointment of staff is being considered or a meeting of a quasi-judicial nature; and
 - 1.3 Rule 16.1 shall not apply to meetings of the **Planning Committee** meaning that a debate can proceed without a motion being moved and seconded.
2. The procedure rules in section A2 do not apply to meetings of the **Cabinet** – for which see the **Cabinet (Executive) Procedure Rules** in **Part 3** Section B.
3. References in these Council and Committee Procedure Rules to the **Chair of the Council**, **Leader** of the Council or Chair, include the appointed deputy or any other Councillor acting in their absence.
4. References in these Council and Committee Procedure Rules to the **Chair of the Council** shall include the Chair of any meeting where appropriate.
5. These Council and Committee Procedure Rules should be read in conjunction with other parts of the **Constitution**.
6. The ruling of the **Chair of the Council** on the application and interpretation of these Council and Committee Procedure Rules is final.

SECTION A2 - PROCEDURE RULES

1. **Annual Meeting of the Full Council**

Timing and Business

- 1.1 The **Annual Meeting** of the **Full Council** shall be held at the Council Offices.
- 1.2 In a year when there is an ordinary election of **Councillors**, the **Annual Meeting** will take place within 21 days of the retirement of the outgoing Councillors.
- 1.3 In any other year, the **Annual Meeting** will take place in March, April or May.
- 1.4 The **Annual Meeting** will:
 - 1.4.1 elect a person to preside if the **Chair of Council** is not present;

- 1.4.2 elect the **Chair of the Council**;
- 1.4.3 appoint the **Deputy Chair of the Council**;
- 1.4.4 approve the minutes of the last meeting of **Full Council** as a correct record;
- 1.4.5 receive any announcements from the **Chair of the Council** and/or **Chief Executive**;
- 1.4.6 elect the **Leader** of the Council for a period of one year;
- 1.4.7 receive any declarations of interest (the **Councillor** must comply with the **Councillor's Code of Conduct** in relation to whether they are able to remain in the room and/or vote);
- 1.4.8 receive the report of the **Leader** setting out the size and membership of his/her **Cabinet** and how he/she intends executive powers to be exercised over the ensuing municipal year;
- 1.4.9 allocate seats on **Committees** and **Sub-Committees** in accordance with the principles of **Political Balance** where required;
- 1.4.10 receive nominations and appoint **Councillors** to serve on all relevant **Committees** as the Council considers appropriate to deal with matters which are neither reserved to the Council nor are **Executive Functions** as set out in this **Constitution**;
- 1.4.11 appoint at least one **Scrutiny Committee**, an **Audit and Governance Committee** and such other **Committees** as the **Council** considers appropriate to deal with matters which are neither reserved to the Council nor are **Executive Functions** (as set out in **Part 3** of this **Constitution**);
- 1.4.12 decide the size and terms of reference for those **Committees**;
- 1.4.13 receive nominations and appoint **Councillors** to serve as representatives to outside bodies for **Non-Executive Functions**;
- 1.4.14 receive nominations of **Councillors** to serve on each board or **Committee** and outside body and appoint to those boards, Committees and outside bodies except where appointment to those bodies has been delegated by the Council or is exercisable only by the **Cabinet** (provided always that this is without prejudice to the right of the Council at any time to establish or dissolve any board or Committee or to review its size and terms of reference);
- 1.4.15 agree the Scheme of Delegation set out in **Part 3** of this **Constitution**;
- 1.4.16 approve a programme of ordinary meetings of the Council for the year;

1.4.17 conduct items 2.4.1 to 2.4.12 of the business of an ordinary meeting of Council; and

1.4.18 consider any business set out in the notice convening the meeting.

2. **Ordinary Meetings of the Full Council**

2.1 Ordinary meetings of the Council will take place in accordance with a programme decided by **Full Council**.

2.2 The **Chief Executive** is responsible for convening all **Committee** meetings in accordance with the programme set under Rule 2.1.

2.3 A meeting of the **Full Council** will take place each year in order to calculate the budget requirement and set the council tax. This is known as the **Budget Council meeting**.

2.4 Ordinary meetings will:

2.4.1 select a person to preside if the **Chair of the Council** and Deputy Chair are not present;

2.4.2 approve the minutes of the last meeting of **Full Council** as a correct record;

2.4.3 receive any declarations of interest (the **Councillor** must comply with the **Councillor's Code of Conduct** in relation to whether they are able to remain in the room and/or vote);

2.4.4 receive any announcements from the Chair, the **Leader**, **Cabinet Members** or the **Chief Executive**;

2.4.5 receive any petitions in accordance with the Council's petition scheme or deputations;

2.4.6 receive any questions from, and provide answers to, the public;

2.4.7 receive any questions from Councillors;

2.4.8 deal with any business from the last Council meeting;

2.4.9 receive reports from the **Cabinet** and the **Council's** boards or **Committees** and receive questions and answers on any of those reports as required by law or specifically referred by those bodies;

2.4.10 receive reports about, and receive questions and answers on, the business of joint arrangements and external organisations;

2.4.11 consider motions; and

2.4.12 consider any business specified in the summons to the meeting.

- 2.5 In making any announcements from the **Leader** and **Cabinet Members** under paragraph 2.4.4 above, the Leader and not more than 2 Cabinet Members may indicate to the Chair and then address the Council for not more than 5 minutes each on a topic of current importance to the Council, its area or the inhabitants of its area.

3. **Extraordinary Meetings of the Full Council**

Calling extraordinary meetings

- 3.1 Those listed below may request the **Chief Executive** to call meetings of the **Full Council** in addition to ordinary meetings:

3.1.1 the **Full Council** by resolution;

3.1.2 the **Chair of the Council**;

3.1.3 the **Monitoring Officer**; and/or

3.1.4 any five **Councillors** if they have signed a requisition presented to the **Chair of the Council** and he/she has refused to call a meeting or has failed to call a meeting within seven days of the presentation of the requisition.

- 3.2 When requested, the **Chief Executive** shall call a meeting of the Council unless he/she is of the opinion that the business to be discussed at the proposed meeting can conveniently wait until the next ordinary meeting of the Council.

- 3.3 The only item which may be considered at an extraordinary meeting is the matter for which the meeting has been called. No questions or notices on motion in addition to this item will be permitted.

- 3.4 The requisition to which rule 3.1.4 above applies shall set out the nature of the item to be considered at the proposed meeting and why this is urgent.

4. **Chair of the Council and Deputy Chair of the Council**

- 4.1 The **Chair of the Council** and the **Deputy Chair of the Council** will be appointed by the **Annual Meeting of Full Council**.

- 4.2 If the office of **Chair of the Council** becomes vacant during a civic year it will be filled at the next **Full Council** meeting, or, if a vacancy arises within 14 days before that meeting, it will be filled at the next but one meeting.

- 4.3 If the office of **Deputy Chair of the Council** becomes vacant during a civic year it will be filled at the next **Full Council** meeting, or, if a vacancy arises within 14 days before that meeting, it will be filled at the next but one meeting.

- 4.4 The **Chair of the Council** will chair meetings of the **Full Council**. In the Chair of the Council's absence the **Deputy Chair of the Council** will chair the meeting. In the absence of both the Chair of the Council and the Deputy Chair of the Council, the Full Council will appoint another Councillor to chair the meeting.

5. Time and Place of Meetings

- 5.1 The time and place of meetings will be determined by the **Chief Executive** and notified in the summons.
- 5.2 All Council meetings will begin at 6:30pm, unless the Council or the Chair decides otherwise. The Council will normally meet at the Council Offices.

6. Notice and Summons to Meetings

- 6.1 The **Chief Executive** or other authorised Officer will give notice to the public of the time and place of any meeting in accordance with the **Access to Information Procedure Rules** in **Part 3**. At least five clear working days before a meeting, the **Agenda** will be sent via email to all Councillors with the date, time and place of each meeting and with links to access the reports via the Council's website. Clear days excludes the day of the meeting, the day on which the meeting is called, weekends and bank holidays.
- 6.2 No report shall appear as an item on the summons for a meeting unless the opportunity has been afforded to the **Monitoring Officer** and the **S151 Officer** to consider the legal and financial implications of the report and the impact, if any, on the **Budget and Policy Framework**.
- 6.3 In the event of an urgent matter requiring consideration, the report will be included on the summons or be considered as an urgent item, in accordance with the **Access to Information Procedure Rules** in **Part 3**, and with the agreement of the **Monitoring Officer** and the **S151 Officer**.

7. Chair and Deputy Chair of Meetings

- 7.1 The person presiding at the meeting may exercise any power or duty of the Chair in relation to the conduct of a meeting. Where these rules apply to meetings of boards or **Committees**, reference to the Chair also include the Chairs of boards or Committees.
- 7.2 The **Annual Meeting of Full Council** will appoint Chairs and (where required) Deputy Chairs of all Committees.
- 7.3 The **Full Council** may at any time remove a Chair or Deputy Chair of a Committee.
- 7.4 Where there is a Committee vacancy for Chair, the Deputy Chair will act as Chair until the **Full Council** fills the vacancy.

- 7.5 Where **Full Council** has appointed the Chair and Deputy Chair and there are vacancies for both Chair and Deputy Chair, the Committee or **Sub-Committee** will appoint one of its members to be temporary Chair until the vacancy is filled by the Full Council.
- 7.6 Written notice of the resignation of a Chair or Deputy Chair will be effective on receipt by the **Chief Executive**.
- 7.7 If the Chair and Deputy Chair are disqualified from acting, are absent, or decline to act as chair, the meeting will appoint another member to chair the meeting. If that **Councillor** has to leave, another Councillor should be appointed.
8. **Quorum**
- 8.1 Subject to any specific statutory requirement, the **Quorum** of a meeting will be one quarter of the whole number of members or three voting members, whichever is the greater.
- 8.2 There must be a **Quorum** within 15 minutes of the scheduled start time of a meeting, otherwise the meeting will stand adjourned.
- 8.3 If, during the course of a meeting, the number of **Councillors** present falls below the **Quorum**, the meeting cannot continue. The meeting will be adjourned and any outstanding business will be considered at a time and date fixed by the Chair. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting or extraordinary meeting convened for that purpose.
9. **Duration of Meetings**
- 9.1 All meetings of the Council will end after it has sat for three hours, except that an extension may be agreed by resolution to extend the meeting for no more than half an hour.
10. **Questions by the Public**
- General**
- 10.1 A member of the public may ask a question including one of the Leader or a **Cabinet Member** at any meeting of the Council.
- Order of questions**
- 10.2 Questions will be asked in the order in which notice of them was received, except that the Chair may group together similar questions. A maximum of thirty minutes will be allowed for the questions and answers. The Chair will decide the time allocated to each question.

Notice of questions

- 10.3 A question may only be asked if notice has been given by delivering it in writing or by electronic mail to the **Monitoring Officer** no later than 12 noon three clear days before the date of the meeting. Each question must give the name and address of the questioner and must name the Cabinet Member to whom it is to be put.

Number of questions

- 10.4 At any one meeting no person may submit more than one question and no more than one question may be asked on behalf of one organisation.

Scope of questions

- 10.5 The **Monitoring Officer** may reject a question if it:
- 10.5.1 is not about a matter for which the Council has a responsibility or which affects the **District**;
 - 10.5.2 is vexatious, derogatory, defamatory, frivolous or offensive;
 - 10.5.3 concerns a Council employment or staffing matter or sensitive personal information about a Councillor;
 - 10.5.4 is unrelated to functions of the Committee;
 - 10.5.5 would require the disclosure of confidential or exempt information;
 - 10.5.6 is substantially the same as a question which has been put at a meeting of the Council in the past 6 months;
 - 10.5.7 relates to a planning application.
- 10.6 If a question is rejected, the person who submitted it will be notified in writing before the meeting and given the reasons for the rejection.

Record of questions

- 10.7 The **Monitoring Officer** will immediately send a copy of the question to the Cabinet Member to whom it is to be put if applicable. The Democratic Services Team will maintain a table of questions received and this can be made available on request. The details of all accepted questions are available within the minutes of the meeting, which are available and searchable on the Council's [website](#). Rejected questions will include reasons for rejection.
- 10.8 Copies of all questions will be circulated to all **Councillors** and will be made available to the public attending the meeting.

Asking the question at the meeting

- 10.9 The Chair will invite the questioner to put the question to the **Cabinet Member** named in the notice. If a questioner who has submitted a written question is unable to be present, the question will not be dealt with.

Supplemental question

- 10.10 A questioner who has put a question in person may also put one brief supplementary question without notice to the **Cabinet Member** who has replied to his/her original question. A supplementary question must arise directly out of the original request or reply. The **Chair** may reject a supplementary question on any of the grounds in Rule 10.5 above or if the question takes the form of a speech.

Response

- 10.11 An answer may take the form of:
- 10.11.1 a direct oral answer;
 - 10.11.2 where the desired information is contained in a publication of the Councillor or other published work, a reference to that publication; or
 - 10.11.3 where the reply cannot conveniently be given orally, a written answer circulated later to the questioner.
- 10.12 Any question which cannot be dealt with during public question time, either because of lack of time or because of the non-attendance of the **Cabinet Member** to whom it was put, will be dealt with by a written answer.

Reference of question to a Committee

- 10.13 Unless the Chair decides otherwise, no discussion will take place on any question but any **Councillor** may move that the matter raised by a question be referred to **Cabinet** or the appropriate board or Committee. Once seconded, such a motion will be voted on without discussion.
- 10.14 Ordinarily the Chair will invite the **Leader** or the **Cabinet Member** with responsibility for the issue concerned to respond to the question. In some circumstances, the Chair may invite a **Councillor** to respond to the question, if appropriate.

11. Questions by Councillors

On Announcements or Reports of the Leader, the Cabinet, or the Chair of a Board or Committee

- 11.1 A **Councillor** may ask the Leader or a **Cabinet Member**, or the Chair of a board or Committee questions without notice about any matter contained in any

address or report under paragraph 2.4.4 and 2.4.9 when it is being considered. Questions from Councillors and responses under this provision shall be limited to 5 minutes in total in relation to 2.4.4 and 2.4.9 respectively.

Questions on notice at Full Council

- 11.2 Subject to Rule 11.3, a **Councillor** may ask the **Leader**, a **Cabinet Member**, or the **Chair of Full Council** or a Committee, a question on any matter in relation to which the Council has powers or duties, or which affects the interests of the **District** or its residents.
- 11.3 A Councillor may only ask a question under Rule 11.2 if either:
- 11.3.1 they have submitted their question in writing or by electronic mail to the **Monitoring Officer** no later than 12 noon three clear days before the date of the meeting; or
 - 11.3.2 where the question relates to urgent matters, they have the consent of the **Councillor** to whom the question is to be put and the content of the question is given to the **Monitoring Officer** by midday on the day of the meeting.

Response

- 11.4 An answer may take the form of:
- 11.4.1 a direct oral answer;
 - 11.4.2 where the desired information is contained in a publication of the **Councillor** other published work, a reference to that publication; or
 - 11.4.3 where the reply cannot conveniently be given orally, a written answer circulated later to the questioner.

Supplementary question

- 11.5 A **Councillor** asking a question under Rule 11.2 may ask one supplementary question without notice of the Councillor to whom the first question was asked. The supplemental question must arise directly out of the original question or the reply.

Number of questions

- 11.6 Questions are limited to one per **Councillor** per meeting, plus one supplementary question.

Time for Questions

- 11.7 There will be a time limit of thirty minutes on **Councillors'** questions and answers with no extension of time. Questions not dealt with in this time will be

dealt with by written responses. The **Chair** will decide the time allocated to each question.

Format of Questions

- 11.8 **Councillors** must confine their contributions to questions and answers and not make statements or attempt to debate. The **Chair** will decide whether a Councillor is contravening the rule and stop the Councillor concerned. The Chair's ruling will be final.

12. Motions on Notice

Notice

- 12.1 Except for motions which can be moved without notice under Rule 13 below and motions to remove the **Leader**, written notice of every motion, signed by at least one **Councillor**, must be delivered to the **Monitoring Officer** not later than midday seven clear days before the date of the meeting. All accepted motions are available within the minutes of the meeting and are available and searchable on the Council's [website](#).

Motion set out in Agenda

- 12.2 Motions for which notice has been given will be listed on the **Agenda** in the order in which notice was received, unless the **Councillor** giving notice states, in writing, that he/she proposes to move it to a later meeting or withdraw it.

Scope

- 12.3 Motions must be about matters for which the Council has a responsibility or which affect the area.

Exclusion of notices of motion out of order

- 12.4 The Chair, on the advice of the **Chief Executive**, may refuse a motion which may be out of order in accordance with the reasons set out in Rules 10.5.1-10.5.7 or he/she may make such corrections therein as will bring it into due form with the approval of the mover(s).
- 12.5 In accordance with Rule 14 below, if a motion seeks to vary or reverse a decision made by Council within the previous twelve months it will not be included in the summons.

Motions to remove the Leader

- 12.6 The **Leader** may be removed from office during his/her one year term of office by resolution of Council. Such a motion is required to be delivered to the **Chief Executive** 7 clear days before the meeting. The motion must be in writing, signed by 20% of the total number of councillors and propose a nomination for a new Leader.

- 12.7 In the event that the **Leader** is removed by a resolution of Council under the above paragraph, the new Leader may be appointed at the same or next available meeting of the Council.

Motions not moved

- 12.8 If a motion set out in the summons is not moved by the **Councillor(s)** who gave notice, it shall be treated as withdrawn and shall not be moved without fresh notice.

Motions to be referred to Committee

- 12.9 Motions falling within the remit of a **Committee** shall, after being moved and seconded, be automatically referred to the relevant Committee, however, the **Chair** has the power to allow them to be dealt with at the Council meeting save in relation to **Executive Functions**.

13. Motions and Amendments Without Notice

- 13.1 The following motions and amendments may be moved without notice:

- 13.1.1 to appoint a **Chair** of the meeting at which the motion is moved;
- 13.1.2 in relation to the accuracy of the minutes;
- 13.1.3 to change the order of business in the **Agenda**;
- 13.1.4 to refer something to an appropriate body or individual;
- 13.1.5 to appoint a Committee or Councillor arising from an item on the summons for the meeting;
- 13.1.6 to require a named vote to be taken in accordance with Rule 16.4 or 16.5;
- 13.1.7 to approve or refuse recommendations of **Committees** or Officers and any resolutions following from such approval or refusal;
- 13.1.8 to grant leave to withdraw a motion;
- 13.1.9 to amend a motion;
- 13.1.10 to proceed to the next business;
- 13.1.11 that the question be now put (other than by a **Councillor** who was the last speaker);
- 13.1.12 to **Adjourn** a debate;

- 13.1.13 to **Adjourn** a meeting;
- 13.1.14 to extend the meeting in accordance with Rule 8;
- 13.1.15 to suspend a particular Rule in accordance with Rule 23.1 below;
- 13.1.16 to exclude the public and press in accordance with the **Access to Information Procedure Rules in Part 3**;
- 13.1.17 to not hear further from a **Councillor** named in accordance with Rule 20.4 or to exclude them from the meeting under Rule 20.5; and
- 13.1.18 to give the consent of the Council where its consent is required by this **Constitution**.

14. **Previous Decisions and Motions**

Motion to rescind a previous decision

- 14.1 A motion or amendment to rescind a decision arising from a motion moved and adopted at a Council meeting within the past six months cannot be moved unless the Notice of Motion is signed by at least one third of the members.

Motion similar to one previously rejected

- 14.2 A motion or amendment in similar terms to one that has been rejected at a meeting of the **Full Council** in the past six months cannot be moved unless the notice of motion or amendment is signed by at least one third of Councillors. Once the motion or amendment is dealt with, no one can propose a similar motion or amendment for six months.

15. **Rules of Debate**

No speeches until motion seconded

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

Motion in writing

- 15.2 Unless notice of the motion has already been given or the motion is set out as a recommendation, the motion or an amendment, as soon as it is seconded will be written down and agreed by the proposer and read out prior to any discussion.

Seconders' speech

- 15.3 When seconding a motion or amendment, a **Councillor** may reserve their speech until later in the debate.

Content and length of speeches

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

When a Councillor may speak again

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

- 15.5.1 to speak once on an amendment moved by another Councillor;
- 15.5.2 to move a further amendment if the motion has been amended since he/she last spoke;
- 15.5.3 if his/her first speech was on an amendment moved by another Councillor, to speak on the main issue (whether or not the amendment on which he/she spoke was carried);
- 15.5.4 in exercise of a right of reply;
- 15.5.5 on a point of order; and
- 15.5.6 by way of personal explanation.

Amendments to motions

- 15.6 An amendment to a motion must be relevant to the motion and may:

- 15.6.1 refer the motion to an appropriate body or individual for consideration or reconsideration;
- 15.6.2 leave out words;
- 15.6.3 leave out words and insert or add others; or
- 15.6.4 insert or add words;

as long as the effect of 15.6.2 to 15.6.4 is not to negate the motion.

- 15.7 Only one amendment may be moved and discussed at any one time. No further amendment may be moved until the amendment under discussion has been disposed of. The amendment must be put to the vote.
- 15.8 If an amendment is not carried, other amendments to the original motion may be moved.
- 15.9 If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further

amendments are moved.

- 15.10 After an amendment has been carried, the Chair will read out the amended motion before accepting any further amendments, or if there are none, put it to the vote.

Alteration of motion

- 15.11 A **Councillor** may alter a motion of which he/she has given notice with the consent of the meeting. The meeting's consent will be signified without discussion.
- 15.12 A Councillor may alter a motion which he/she has moved without notice with the consent of both the meeting and the seconder. The meeting's consent will be signified without discussion.
- 15.13 Only alterations which could be made as an amendment may be made.

Withdrawal of motion

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

Right of reply

- 15.15 The mover of a motion has a right to reply at the end of the debate on the motion, immediately before it is put to the vote.
- 15.16 If an amendment is moved, the mover of the original motion has the **Right of Reply** at the close of the debate on the amendment, but may not otherwise speak on it.
- 15.17 The mover of the amendment has the penultimate right of reply to the debate on his/her amendment but has no right of reply to the mover of the original motion.

Motions which may be moved during debate

- 15.18 When a motion is under debate, no other motion may be moved except the following procedural motions:
- 15.18.1 to withdraw a motion;
 - 15.18.2 to amend a motion;
 - 15.18.3 to proceed to the next business;
 - 15.18.4 that the question be now put;

15.18.5 to **Adjourn** a debate;

15.18.6 to **Adjourn** a meeting;

15.18.7 that the meeting continue for a further half hour;

15.18.8 to exclude the public and press in accordance with the **Access to Information Procedure Rules** in **Part 3**; and

15.18.9 to not hear further a **Councillor** named under Rule 21.4 or to exclude them from the meeting under Rule 21.5.

Closure motions

15.19 A **Councillor** may move, without comment, the following motions at the end of a speech of another Councillor:

15.19.1 to proceed to the next business;

15.19.2 that the question be now put;

15.19.3 to **Adjourn** a debate; or

15.19.4 to **Adjourn** a meeting.

15.20 If a motion to proceed to next business is seconded and the **Chair** thinks the item has been sufficiently discussed, he/she will give the mover of the original motion a right of reply and then put the procedural motion to the vote.

15.21 If a motion that the question be now put is seconded and the **Chair** thinks the item has been sufficiently discussed, he/she will put the procedural motion to the vote. If it is passed he/she will give the mover of the original motion a right of reply before putting his/her motion to the vote.

15.22 If a motion to **Adjourn** the debate or to Adjourn the meeting is seconded and the Chair thinks the item has not been sufficiently discussed and cannot reasonably be discussed on that occasion, he/she will put the procedural motion to the vote without giving the mover of the original motion the right of reply.

Point of order

15.23 A **Councillor** may raise a point of order at any time. The **Chair** will hear it immediately. A point of order may only relate to an alleged breach of these Council and Committee Procedure Rules or the law. The Councillor must indicate the rule or law and the way in which he/she considers it has been broken. The ruling of the Chair on the matter will be final.

Personal explanation

- 15.24 A **Councillor** may make a personal explanation at any time. A personal explanation may only relate to some material part of an earlier speech by the Councillor which may appear to have been misunderstood in the present debate. The ruling of the **Chair** on the admissibility of a personal explanation will be final.

16. Voting

Majority

- 16.1 Unless this **Constitution** (or the law) provides otherwise, any matter will be decided by a simple majority of those Councillors voting and present in the room at the time the question was put.

Chair's casting vote

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

Show of hands

- 16.3 Unless a recorded vote is demanded under Rules 16.4 and 16.5 below, the **Chair** will take the vote by show of hands, or if there is no dissent, by the **Affirmation of the Meeting**.

Recorded vote

- 16.4 If one **Councillor** present at the meeting demands it, the names for and against the motion or amendment or abstaining from voting will be taken down in writing and entered into the minutes.

- 16.5 Recorded votes must be taken at a **Budget Council Meeting** of the **Full Council** where it:

16.5.1 makes a calculation (whether originally or by way of substitute) in accordance with any of sections 31A, 31B, 34 to 36A, 42A, 42B, 45 to 49, 52ZF, 52ZJ of the Local Government Finance Act 1992; or

16.5.2 issues a precept under Chapter 4 of Part 1 of that Act.

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

Voting on appointments

- 16.7 If there are more than two people nominated for any position to be filled and

there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

17. Minutes

Signing the minutes

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

No requirement to sign minutes of previous meeting at extraordinary meeting

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

Form of minutes

- 17.3 Minutes will contain all motions and amendments in the exact form and order the **Chair** put them.

18. Deputations

- 18.1 Deputations may be received at any meeting of the Council following three clear days' written notice to the **Monitoring Officer**. They must be about matters for which the Council has a responsibility or which affect the area. The notice must be signed by at least five persons and set out the subject which the deputation wishes to raise and how it relates to the Council's functions or affects the area. The **Chair** may, on the advice of the **Chief Executive**, refuse a deputation which is illegal, scurrilous, improper, out of order or relates to a specific planning application or relates to a matter on which there has been a previous similar deputation within the preceding six months.
- 18.2 A person wishing to make a deputation must give written notice to the **Monitoring Officer** no later than midday three clear days before the day of the meeting.
- 18.3 A maximum of two deputations only will be permitted at any meeting and they will be selected in the order notice is received. Only one deputation will be permitted if the **Monitoring Officer** receives notice of a petition in accordance with Rule 25.
- 18.4 A deputation may consist of up to five people, of whom no more than two may

Speak, except to answer **Councillors'** questions.

- 18.5 The deputation may address the meeting for no more than five minutes and Councillors may then question the deputation for a further five minutes.
- 18.6 The relevant portfolio holder or board or Committee **Chair** may, if he/she chooses, then address the meeting for up to five minutes.
- 18.7 There shall be no vote taken on any deputation. A **Councillor** may propose that the subject matter be placed on the **Agenda** of the next ordinary meeting of the relevant board or Committee, such a motion to be moved and seconded formally and put without discussion. If no such motion is moved or carried, the petition will be referred to a **Strategic Director, Head of Service or Team Manager** who will respond to the petition in writing within 28 days.

19. **Record of Attendance**

- 19.1 The Democratic Services Team will note all **Councillors** that are present during the whole or part of a meeting to assist with the record of attendance.

20. **Exclusion of Public**

- 20.1 Members of the public and press may only be excluded either in accordance with the **Access to Information Procedure Rules** in **Part 3** of this **Constitution** or Rule 23 (Disturbance by Public).

21. **Councillor Conduct**

General Conduct

- 21.1 **Councillors** are required to comply with the **Councillors' Code of Conduct** in **Part 4** at all times. Any Councillor with an interest in the matter under consideration shall comply with the provisions of the Code. Where necessary and appropriate the Chair will remind Councillors of their responsibilities under the Code during the course of the meeting.

Standing to speak

- 21.2 When a **Councillor** speaks at **Full Council** he/she must stand and address the meeting through the **Chair** except where the Councillor or Councillors may be physically unable to do so. If more than one Councillor stands, the Chair will ask one to speak and the others must sit. Other Councillors must remain seated whilst a Councillor is speaking unless they wish to make a point of order or a point of personal explanation.

Chair standing

- 21.3 When the **Chair** stands during a debate, any **Councillor** speaking at the time must stop and sit down. The meeting must be silent.

Councillor not to be heard further

- 21.4 If a **Councillor** persistently disregards the ruling of the Chair by behaving improperly or offensively or deliberately obstructs business, any Councillor may move that the Councillor be not heard further. If seconded, the motion will be voted on without discussion.

Councillor to leave the meeting

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

General disturbance

- 21.6 If there is a general disturbance making orderly business impossible, the **Chair** may **Adjourn** the meeting for as long as he/she thinks necessary.

22. Disturbance by Public

Removal of member of the public

- 22.1 If a member of the public interrupts proceedings, the **Chair** will warn the person concerned. If he/she continues to interrupt, the Chair will order the removal of that person from the meeting room.

Clearance of part of meeting room

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

23. Committees and Sub-Committees

Appointment of Committees

- 23.1 The Council may establish such **Committees** as it considers necessary to carry out the work of the Council and may refer to those Committees such matters as are considered appropriate.

- 23.2 The Council shall establish the following **Committees** of the Council:

23.2.1 **Appointments Committee;**

23.2.2 **Investigatory Committee;**

23.2.3 **Planning Committee;**

23.2.4 **Local Plan Committee;**

23.2.5 **Two Scrutiny Committees;**

23.2.6 **Audit and Governance Committee;** and

23.2.7 **Licensing Committee.**

23.3 **Committees** may establish standing **Sub-Committees**, to carry out the work of the Committee and may refer to those Sub-Committees such matters as are considered appropriate. Committees may also establish ad hoc Sub-Committees to consider any specific matter referred to them.

23.4 Except in relation to those decisions which by statute must only be taken by the **Full Council**, the Council may delegate powers to **Committees** or **Sub-Committees**. Where a matter has been delegated to a Committee, the Committee may further delegate the matter to a **Sub-Committee** unless the Full Council otherwise directs.

23.5 Where a matter is delegated the decisions of the **Committee** or **Sub-Committee** do not require approval by the **Full Council** (or Committee) unless the delegation has been previously withdrawn in relation to the particular item.

Election of Chairs and Deputy-Chairs of Committees

23.6 The Appointment of Chairs and Deputy Chairs of **Committees** will be in accordance with Rule 7 and the provisions set out in **Section D** in respect of each Committee.

Membership of Committees, Sub-Committees and Joint Committees

23.7 In relation to **Committees**, the **Annual Meeting** of the **Full Council** will:

23.7.1 subject to the remainder of this Rule 23, determine the number of **Councillors** to serve on them;

23.7.2 allocate seats on them to the political groups in accordance with the principles of **Political Balance** where required; and

23.8.3 appoint named Councillors and substitutes to them giving effect to the wishes (where expressed) of each political group.

23.8 Appointments to all **Sub-Committees** will be made by their parent **Committees** in accordance with:

23.8.1 the principles of **Political Balance** as necessary (as to the allocation of numbers of seats); and

23.8.2 the wishes of the political groups (as to individual appointments).

23.9 The principles of **Political Balance** are defined in this **Constitution**.

- 23.10 Where a political group wishes to change one of its appointed **Councillors** on a **Committee** or Sub-Committee, the **Full Council** or parent Committee shall give effect to that group's wishes.
- 23.11 Where there is a change in the **Political Balance** of the Council, the allocation of seats on **Committees** and **Sub-Committees** will be reviewed and changes made as soon as practicable:
- 23.11.1 to reflect the new **Political Balance**; and
- 23.11.2 the wishes of the political groups.

Business to be Conducted

- 23.12 Meetings will be held on the occasions set out in the calendar of meetings agreed by the Council and at such other times as they are required to deal with matters arising.
- 23.13 At each meeting the following business will be conducted:
- 23.13.1 consideration of the minutes of the last meeting;
- 23.13.2 declarations of interest, if any; and
- 23.13.3 matters set out in the **Agenda** for the meeting.

Right to Place Items on the Committee Agenda

- 23.14 The Chair of a Committee may put on the **Agenda** of the relevant Committee any matter which he/she wishes, provided that it is relevant to the business of that Committee.
- 23.15 Any member of a Committee may request that an item is placed on the **Agenda** for a meeting. The item will be placed on the Agenda for a meeting provided the **Chair** of the Committee, in consultation with the **Chief Executive**, agrees to the item's inclusion. In the event that the Chair does not agree to the item being placed upon the Agenda any three members of the relevant Committee may require that an item be placed upon the Agenda. Any such requirement must be made either at the meeting or to the Chief Executive in writing and signed by the three members.
- 23.16 Any **Chief Officer** may place an item on the **Agenda** that he/she considers the Committee needs to consider or take a decision on.
- 23.17 The **Chief Executive**, **Monitoring Officer** and/or **S151 Officer** may require that a meeting is convened in pursuance of their statutory duties.

24. **Suspension of the Council and Committee Procedure Rules**

- 24.1 Rules 9 to 15, 18 and 25 may be suspended by motion on notice or without notice, if at least one half of the whole number of **Councillors** are present. Suspension shall only be for the duration of the meeting.

25. **Petitions**

- 25.1 Petitions may be brought by people who live, work or study in the **District**, on any matter on which the Council has power to act, in accordance with the Council's rules on [petitions](#).
- 25.2 The Council has formally adopted a petition scheme.
- 25.3 The scheme sets out the process, the signature threshold for receipt of ordinary petitions, a petition to hold an Officer to account and a petition for debate. It also sets out how the petition will be dealt with at the **Scrutiny Committees** or Council.
- 25.4 A copy of the petition scheme is available from the **Monitoring Officer**. It is also available on the Council's [website](#).

SECTION B – CABINET (EXECUTIVE) PROCEDURE RULES

Rule

1. Procedures General
2. Form and Content of the Meeting
3. Speaking Rights
4. Questions by Councillors
5. Questions by the Public
6. Minutes
7. Record of Attendance
8. Councillors Conduct
9. Disturbance by Public
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11. Effect of Disclosable Pecuniary Interests on Participation

SECTION B – CABINET (EXECUTIVE) PROCEDURE RULES

1. Procedures General

1.1 Who May Make Executive Decisions

The **Leader** may discharge any **Executive Functions** of the Council or he/she may provide for any Executive Functions to be discharged by:

- 1.1.1 the **Cabinet** as a whole;
- 1.1.2 a **Committee** of the Cabinet;
- 1.1.3 an individual **Cabinet Member**;
- 1.1.4 an **Officer** of the Council;
- 1.1.5 an area committee;
- 1.1.6 joint arrangements; or
- 1.1.7 another local authority.

1.2 The arrangements for the discharge of **Executive Functions** determined by the **Leader** are set out in the executive arrangements of the **Constitution** (see **Part 2** of this Constitution).

1.3 Delegation by the Leader

- 1.3.1 At the **Annual Meeting** of the **Full Council**, the **Leader** will present the names of the **Councillors** appointed to the **Cabinet** by the Leader (including the **Cabinet Member** who is appointed as the Deputy Leader) and their portfolios.
- 1.3.2 Either at the **Annual Meeting** of the **Full Council** or as soon as practicable thereafter, the Leader will present to the **Monitoring Officer** a written record of:
 - (a) the detailed remits of the **portfolios** of the **Cabinet Members**;
 - (b) any delegations made by the **Leader** in respect of the discharge of the Council's **Executive Functions**. The document presented by the Leader to the **Monitoring Officer** will contain the following information about the discharge of the Council's Executive Functions in relation to the coming year:
 - (i) the extent of authority of the **Cabinet** as a whole;
 - (ii) the extent of any authority delegated to individual **Cabinet Members**, including details of any limitation on

their authority;

- (iii) the terms of reference and **Constitution** of such **Committees** of the **Cabinet** as the **Leader** appoints and the names of **Cabinet Members** appointed to them;
- (iv) the nature and extent of any delegation of **Executive Functions** to area **Committees**, or any other authority or any joint arrangements and the names of those **Cabinet Members** appointed to any **Joint Committee** for the coming year; and
- (v) the nature and extent of any delegation of **Executive Functions** to Council Officers with details of any limitation on that delegation, and the title of the Officer to whom the delegation is made.

1.4 Sub-delegation of Cabinet Functions

- 1.4.1 Where the **Leader** delegates an **Executive Function** to the **Cabinet** then unless the Leader directs otherwise, the Cabinet may delegate further to a Committee of the Cabinet or to a Council Officer;
- 1.4.2 Where the **Leader** delegates an **Executive Function** to a Committee of the **Cabinet** or an individual **Cabinet Member** then unless the Leader directs otherwise, a Committee of the Cabinet or an individual Cabinet Member may delegate further to a Council Officer;
- 1.4.3 Even where **Executive Functions** have been delegated under 1.4.1 or 1.4.2 above, that fact does not prevent the discharge of delegated functions by the person or body who made the delegation; and
- 1.4.4 Where the **Leader** seeks to withdraw a delegation from a Committee of the **Cabinet**, notice will be deemed to be served on that Committee of the Cabinet when the Leader has served it on its **Chair**.

1.5 The Officer Scheme of Delegation and Executive Functions

The **Leader** may amend the **Officer Scheme of Delegation** set out in **Part 2** of this **Constitution** insofar as it relates to **Executive Functions** at any time during the year in accordance with the procedure set out below:

- 1.5.1 Where the Leader wishes to delegate the discharge of an **Executive Function** that has not been previously delegated, the Leader must give written notice of the new delegation to both the person or body to whom the Executive Function is to be delegated and the **Monitoring Officer**.
- 1.5.2 Where the Leader wishes to transfer the discharge of an **Executive Function** that has been previously delegated, the Leader must give

written notice to the person or body from whom the exercise of the function is to be transferred, the person or body to whom the exercise of the Executive Function is to be transferred and the Monitoring Officer.

- 1.5.3 Any transfer of delegation of an **Executive Function** under 1.5.1 or 1.5.2 above will take effect on receipt of the Leader's written notice by each of the parties listed above. The Monitoring Officer will ensure that a record of the transfer of the Executive Function is kept.
- 1.5.4 Where the Leader wishes to withdraw the delegation of an **Executive Function** that has been delegated and to discharge the Executive Function personally, the Leader must give written notice to the person or body from whom the exercise of the Executive Function is to be withdrawn and to the Monitoring Officer.
- 1.5.5 The withdrawal of the delegation of an **Executive Function** under 1.5.4 above will take effect on receipt of the Leader's written notice by both of the parties listed above. The Monitoring Officer will ensure that a record of the withdrawal of the Executive Function is kept.
- 1.6 The **Monitoring Officer** will ensure that the **Constitution** is updated accordingly where the delegation is to be extended beyond six months.
- 1.7 **Key Decisions and Urgency**
 - 1.7.1 **Key decisions** may only be taken by the **Leader**, the **Cabinet**, a Committee of the Cabinet, an individual **Cabinet Member** or the **Chief Executive** as described below.
 - 1.7.2 **Key Decisions** will ordinarily be taken by the **Cabinet** unless the **Leader** decides to discharge them personally or allocate them to an individual Cabinet Member or a Committee of the Cabinet. The Leader may do this at any time.
 - 1.7.3 The **Leader** may take any **Key Decision** in place of, or between meetings of, the **Cabinet**, including decisions that have become urgent, in accordance with the **Access to Information Procedure Rules** in **Part 3** of this **Constitution**.
 - 1.7.4 When a **Key Decision**, which would otherwise have been taken by the **Cabinet**, has become genuinely urgent and unavoidable, and:
 - (i) it is not practicable to call a meeting of the Cabinet, and/or
 - (ii) the **Leader** is not available or not able to act for any reason,then the **Deputy Leader** shall be authorised to take the decision or to allocate the decision to the **Cabinet Member** having the relevant portfolio responsibilities, or to a Committee of the Cabinet.

- 1.7.5 If the **Deputy Leader** is not available, or not able to act for any reason, in the circumstances stated in 1.7.4, then the **Chief Executive** shall be authorised to take the decision.
- 1.7.6 The decision taker will comply with the “General Exception” and/or “Special Urgency” procedures as set out in the **Access to Information Procedure Rules** in **Part 3** of this **Constitution**, as appropriate, before taking the decision. The decision taker will also:
- (i) consult with the relevant **Cabinet Member(s)**, so far as practicable, before taking the decision;
 - (ii) inform the **Leader** as soon as possible after the decision is taken; and
 - (iii) report the decision to the next **Cabinet** meeting.
- 1.7.7 In the event that no Cabinet Members remain in office then all functions of the **Leader** and **Cabinet** shall be exercised by the **Chief Executive** acting so far as is practicable in consultation with the **Chair of the Council**, or **Deputy Chair** if the Chair of the Council is unable to act, until such time as a new **Leader** is elected by the **Full Council**.

1.8 **Place and Time of Cabinet Meetings**

The **Cabinet** will meet in accordance with the agreed published [Calendar of Meetings](#). Arrangements for an additional extraordinary meeting required in light of circumstances will be agreed by the **Leader** with the Democratic Services Team. The Cabinet shall meet at the Council’s offices or another location to be agreed by the Leader.

1.9 **Public or Private Meetings of the Executive**

The **Executive** (the **Leader**, the **Cabinet**, individual **Cabinet Members** or a Committee of the Cabinet) will meet in public, subject to the consideration of exempt or confidential information as provided for in the **Access to Information Procedure Rules** in **Part 3**.

1.10 **Decisions Taken by the Executive**

The **Executive** will take decisions in accordance with the **Access to Information Procedure Rules** in **Part 3**.

1.11 **Declaration of Interests**

Where the **Leader** or a **Cabinet Member** has an interest in the matter under consideration, this shall be dealt with in accordance with the **Councillors’ Code of Conduct** in **Part 4**.

2. Form and Content of the Meeting

2.1 Chair of Meeting

- 2.1.1 If the **Leader** is present, he/she will chair the meeting. In his/her absence, the Deputy Leader will chair the meeting. In the absence of both, another **Cabinet Member** appointed to do so by those Cabinet Members present will chair the meeting.

2.2 Attendance Rights

- 2.2.1 All **Cabinet Members** shall be entitled to attend meetings of the **Cabinet** unless the Cabinet determine otherwise. Attendance by other **Councillors** or the public shall be in accordance with the **Access to Information Procedure Rules** in **Part 3**, by invitation, or as set out in Rule 2.3 below.
- 2.2.2 The **Chief Executive**, the **S151 Officer** and the **Monitoring Officer**, and their nominees, are entitled to attend any meeting of the Cabinet where a decision is to be made.

2.3 Business to be Conducted

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

- 2.3.1 consideration of the minutes of the last meeting;
- 2.3.2 declarations of interest, if any;
- 2.3.3 matters referred to the **Cabinet** (whether by a **Scrutiny Committee** or by the **Full Council**) for reconsideration by the Cabinet in accordance with the provisions contained in the **Scrutiny Procedure Rules** in **Part 3** or the **Budget and Policy Framework Procedure Rules** in **Part 3**;
- 2.3.4 consideration of any reports from the **Scrutiny Committees**;
- 2.3.5 matters set out in the **Agenda** for the meeting, and which shall indicate which are key decisions and which are not, in accordance with the **Access to Information Procedure Rules** in **Part 3**; and
- 2.3.6 dealing with any petitions referred to Cabinet in accordance with the Council's adopted petition scheme.

2.4 Right to Place Items on the Cabinet Agenda

- 2.4.1 The **Leader** will decide upon the **Agenda** for the meetings of the **Cabinet**. He/she may put on the Agenda of any Cabinet meeting any matter which he/she wishes, whether or not authority has been

delegated to the Cabinet, a Committee of it or any **Cabinet Member** or **Officer** in respect of that matter. The **Chief Executive** will comply with the Leader's requests in this respect.

2.4.2 A **Councillor** may ask the **Chief Executive** to put an item on the **Agenda** of **Cabinet** for consideration. The item will be considered at the next available meeting of the Cabinet. The notice of the meeting will give the name of the Councillor who asked for the item to be considered.

2.4.3 The **Monitoring Officer** and/or the **S151 Officer** may include an item for consideration on the **Agenda** of a **Cabinet** meeting and may require the **Chief Executive** to call such a meeting in pursuance of their statutory duties. In other circumstances, where any two of the Chief Executive, S151 Officer and Monitoring Officer are of the opinion that a meeting of the Cabinet needs to be called to consider a matter that requires a decision, they may jointly call a meeting and include an item on the Agenda of that Cabinet meeting or a Cabinet meeting that has already been called. If there is no meeting of the Cabinet soon enough to deal with the issue in question, then the person(s) entitled to include an item on the Agenda may also require that a meeting be convened at which the matter will be considered.

2.5 Consultation

All reports to the **Cabinet** from any **Cabinet Member** or an Officer on proposals relating to the **Budget and Policy Framework** must contain details of the nature and extent of consultation with stakeholders (if any) and the **Scrutiny Committees**, and the outcome of that consultation. Reports about other matters will set out the details and outcome of consultation as appropriate. The level of consultation required will be appropriate to the nature of the matter under consideration.

3. Speaking Rights

3.1 The Chair and spokesperson(s) of the **Scrutiny Committees** shall be entitled, at any formal public meeting of the **Cabinet**, to speak on any matter on the **Agenda** for that meeting.

3.2 Other **Councillors** not previously described above may also speak at such meetings with the permission of the **Leader** or person presiding in his/her absence.

4. Questions by the Public

4.1 At every formal public meeting of the **Cabinet** there shall be a period of time for questions to be put to **Cabinet Members** by the public. The following rules shall apply:

4.1.1 questions will be asked in the order in which notice of them was

received, except that the Leader may group together similar questions and will determine how Cabinet question time should be allocated where there are a number of members of the public wishing to ask questions;

- 4.1.2 questions will be brief, clear and focussed;
- 4.1.3 no person may submit more than one question and no more than one such question may be asked on behalf of one organisation;
- 4.1.4 questions may only be asked if notice has been given by delivering it in writing or by electronic mail to the **Monitoring Officer** no later than 12 noon three clear working days (that is, not counting the day of the meeting or the day of delivery) before the date of the meeting;
- 4.1.5 each question must give the name and address of the questioner;
- 4.1.6 the **Monitoring Officer** may reject a question if it:
 - (i) is not about a matter relating to the powers, duties or responsibilities of the **Cabinet**;
 - (ii) is vexatious, derogatory, defamatory, frivolous or offensive;
 - (iii) relates to a Council employment or staffing matter or sensitive personal information about a **Councillor**;
 - (iv) would require the disclosure of confidential or exempt information; or
 - (v) is substantially the same as a question which has been previously put to the **Cabinet** in the last 6 months.
- 4.1.7 Copies of all questions will be circulated to all **Cabinet Members** and will be made available to the public attending the meeting.

4.2 **Asking the Question at the Meeting**

The **Leader** will invite the questioner to put the question to the **Cabinet Member** named in the notice. If a questioner who has submitted a written question is unable to be present, the question will not be dealt with.

4.3 **Asking a Supplemental Question**

A questioner who has put a question in person may also put one supplementary question to the **Cabinet Member** who has replied to his/her original question. A supplementary question must arise directly out of the original question or the reply. The **Leader** may reject a supplementary question on any of the grounds set out in 4.1.6 above.

4.4 **Response**

An answer may take the form of:

- 4.4.1 a direct oral answer;
- 4.4.2 where the desired information is contained in a publication of the **Councillor** other published work, a reference to that publication; or
- 4.4.3 where the reply cannot conveniently be given orally, a written answer circulated later to the questioner.

5. **Minutes**

- 5.1 The Leader will sign the minutes of the proceedings at the next suitable meeting. The Leader will move that the minutes of the previous meeting be signed as a correct record. The only part of the minutes that can be discussed is their accuracy.
- 5.2 Where in relation to any meeting, the next meeting for the purpose of signing the minutes is a meeting called under paragraph 3 of schedule 12 to the Local Government Act 1972 (an Extraordinary Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of paragraph 41(1) and (2) of schedule 12 relating to signing of minutes.

6. **Deputations**

- 6.1 Deputations may be received at any meeting of the Cabinet following three clear days' written notice to the **Monitoring Officer**. They must be about matters for which the Council has a responsibility or which affect the area. The notice must be signed by at least five persons and set out the subject which the deputation wishes to raise and how it relates to the Council's functions or affects the area. The **Chair** may, on the advice of the **Chief Executive**, refuse a deputation which is illegal, scurrilous, improper, out of order or relates to a specific planning application or relates to a matter on which there has been a previous similar deputation within the preceding six months.
- 6.2 A person wishing to make a deputation must give written notice to the **Monitoring Officer** no later than midday three clear days before the day of the meeting.
- 6.3 A maximum of two deputations only will be permitted at any meeting and they will be selected in the order notice is received. Only one deputation will be permitted if the **Monitoring Officer** receives notice of a petition in accordance with Rule 11.
- 6.4 A deputation may consist of up to five people, of whom no more than two may speak, except to answer **Councillors'** questions.

- 6.5 The deputation may address the meeting for no more than five minutes and Councillors may then question the deputation for a further five minutes.
- 6.6 The relevant portfolio holder or board or Committee **Chair** may, if he/she chooses, then address the meeting for up to five minutes.
- 6.7 There shall be no vote taken on any deputation. A **Councillor** may propose that the subject matter be placed on the **Agenda** of the next ordinary meeting of the relevant board or Committee, such a motion to be moved and seconded formally and put without discussion. If no such motion is moved or carried, the petition will be referred to a **Strategic Director, Head of Service or Team Manager** who will respond to the petition in writing within 28 days.

7. **Record of Attendance**

- 7.1 All **Cabinet Members** present during the whole or part of a meeting must sign their names on the attendance sheets before the conclusion of every meeting to assist with the record of attendance.

8. **Councillor Conduct**

8.1 **General Conduct**

Councillors are required to comply with the **Councillors' Code of Conduct** in **Part 4** at all times. Where necessary and appropriate the **Leader** will remind Councillors of their responsibilities under the Code during the course of the meeting.

8.2 **Chair standing**

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

8.3 **Councillor not to be heard further**

If a **Councillor** persistently disregards the ruling of the **Leader** by behaving improperly or offensively or deliberately obstructs business, the **Leader** may move that the Councillor be not heard further. If seconded, the motion will be voted on without discussion.

8.4 **Councillor to leave the meeting**

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

8.5 **General disturbance**

If there is a general disturbance making orderly business impossible, the

Leader may **Adjourn** the meeting for as long as he/she thinks necessary.

9. **Disturbance by Public**

9.1 **Removal of member of the public**

If a member of the public interrupts proceedings, the **Leader** will warn the person concerned. If he/she continues to interrupt, the Leader will order the removal of that person from the meeting room.

9.2 **Clearance of part of meeting room**

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

10. **Suspension and Amendment of the Executive Procedure Rules**

Rules 4, 6 and 11 may be suspended by motion on notice or without notice, if at least one half of the whole number of **Councillors** are present. Suspension shall only be for the duration of the meeting.

11. **Petitions**

11.1 Petitions may be brought by people who live, work or study in the District, on any matter on which the Council has power to act, in accordance with the Council's rules on [petitions](#).

11.2 The Council has formally adopted a petition scheme.

11.3 The scheme sets out the process, the signature threshold for receipt of ordinary petitions, a petition to hold an Officer to account and a petition for debate. It also sets out how the petition will be dealt with at the Scrutiny Committees or Council.

11.4 A copy of the petition scheme is available from the Monitoring Officer. It is also available on the Council's [website](#).

SECTION C – ACCESS TO INFORMATION PROCEDURE RULES

Rule

1. Scope
2. Additional Rights to Information
3. Rights to Attend Meetings
4. Notices of Meeting
5. Public Access to Agenda and Reports Before the Meeting
6. Supply of Copies
7. Public Access to Minutes After the Meeting
8. Public Access to Background Papers
9. Exclusion of Access by the Press and Public to Meetings
10. Exclusion of Access by the Public to Reports
11. Application of these Procedure Rules to the Executive
12. The Executive Decision Notice
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14. General Exception
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16. Private Meetings
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18. Decisions by Individual Cabinet Members
19. Records of Decisions
20. Scrutiny Committees' Access to Documents
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SECTION C – ACCESS TO INFORMATION PROCEDURE RULES

1. Scope

- 1.1 These rules apply to all meetings of the **Full Council** and its Non-Executive Committees and **Sub-Committees** and the **Cabinet** (together called meetings) and (where specified) executive decisions made by **Cabinet Members** and key decisions made by Officers. These rules also cover **Councillors'** rights of **Access to Information**.

2. Additional Rights to Information

These Rules do not affect any more specific rights to information contained elsewhere in this **Constitution** or in law.

3. Rights to Attend Meetings

Members of the public may attend any of the meetings subject only to the exceptions contained in these Rules.

4. Notices of Meeting

- 4.1 The Council will give at least five clear working days' notice of any meeting, except that where a meeting is convened at shorter notice, notice shall be given at the time the meeting is convened. Notice shall be given by posting details of the meeting at the Council Offices ("the Designated Office").
- 4.2 **Councillors** entitled to attend a meeting, will receive a summons giving five clear working days' notice to attend and specifying the business proposed to be transacted at the meeting. Except in the case of business required by law to be transacted at the **Annual Meeting** of the **Full Council**, or other business brought before the meeting as a matter of urgency in accordance with the **Constitution**, no business shall be transacted at a meeting other than that specified in the summons.
- 4.3 Where a meeting will include the taking of a confidential executive decision or a key decision, the Council will give at least 28 clear days' notice of the intention to take the decision together with details of the meeting at which such a decision will be made.

5. Public Access to Agenda and Reports Before the Meeting

- 5.1 The Council will make copies of the **Agenda** and reports open to the public available for inspection online and at the Designated Office and on its [website](#) at least five clear working days before the meeting, except that where a meeting is convened at shorter notice, the copies of the Agenda and reports shall be open to inspection from the time the meeting

is convened. If an item is added to the Agenda later, the revised Agenda will be open to inspection and published on the Council's website from the time the item was added to the Agenda. Where reports are prepared after the summons has been sent out, the Democratic Services Team shall make each such report available to the public as soon as the report is completed and sent to **Councillors**.

- 5.2 An item may be added to an **Agenda** after it has been published provided that the **Chair** of the meeting is of the opinion that the item should be considered at the meeting as a matter of urgency and the urgency reasons are recorded in the minutes.
- 5.3 Details of late items and associated reports will be made available to **Councillors** and the public as soon as this is made available for inspection and published on the Council's [website](#).
- 5.4 This Rule 5 does not require the publication of exempt or confidential information.

6. **Supply of Copies**

- 6.1 The Council will in the first instance direct an interested person to the Council's [website](#) and offices where such information is available, but where copies are required the Council will supply copies of:
 - 6.1.1 any **Agenda** and reports which are open to public inspection;
 - 6.1.2 any further statements or particulars necessary to indicate the nature of the items in the **Agenda**; and
 - 6.1.3 if the **Monitoring Officer** thinks fit, copies of any other documents supplied to **Councillors** in connection with an item.
 - 6.2 Copies of the digital **Agendas** of **Cabinet** meetings will be circulated to all **Councillors**.
 - 6.3 The Council will make available for the use of members of the public present at meetings, a reasonable number of copies of the **Agenda** and of those reports which are open to the public.
- ## 7. **Public Access to Minutes After the Meeting**
- 7.1 The Council will make available copies of the following for six years after a meeting or an individual **Cabinet Member** decision:
 - 7.1.1 the minutes of the meeting excluding any part of the minutes of proceedings when the meeting was not open to the public or which disclose exempt or confidential information (as defined in Rule 9);

- 7.1.2 a summary of any proceedings not open to the public where the minutes open to inspection would not provide a reasonably fair and coherent record;
- 7.1.3 the **Agenda** for the meeting; and
- 7.1.4 reports relating to items when the meeting was open to the public.

8. **Public Access to Background Papers and Summary of Rights**

8.1 **List of background papers**

8.1.1 The report author will set out in every report a list of those documents (called background papers) relating to the subject matter of the report which in his/her opinion:

- (a) disclose any facts or matters on which the report or an important part of the report is based; and
- (b) which have been relied on to a material extent in preparing the report;

but does not include published works or those which disclose exempt or confidential information (as defined in Rule 9) and in respect of **Cabinet** reports, the advice of a political advisor.

8.2 **Public inspection of background papers**

8.2.1 The Council will make available for public inspection for six years after the date of the meeting or an individual **Cabinet Member** decision one copy of each of the documents on the list of background papers.

8.3 **Summary of Public's Rights**

8.3.1 A written summary of the public's rights to attend meetings and to inspect and copy documents will be available to the public at the Council offices.

9. **Exclusion of Access by the Press and Public to Meetings**

9.1 **Confidential information - requirement to exclude the press and public**

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

9.2 Exempt information - discretion to exclude press and public

The press and public may be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that exempt information would be disclosed, provided:

- 9.2.1 the meeting resolves so to exclude the press and public, and that resolution identifies the proceedings or part of the proceedings to which it applies;
- 9.2.2 that resolution states, by reference to the descriptions in Schedule 12A to the Local Government Act 1972 (Rule 9.4 below), the description of the exempt information giving rise to the exclusion of the public; and
- 9.2.3 in all the circumstances of the case, that the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

Where the meeting will determine any person's civil rights or obligations, or adversely affect their possessions, Article 6 of the Human Rights Act 1998 establishes a presumption that the meeting will be held in public unless a private hearing is necessary for one of the reasons specified in Article 6.

9.3 Meaning of confidential information

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

9.4 Meaning of exempt information

Exempt information means information falling within the following 7 descriptions (subject to any qualifications) (as defined by Schedule 12A of the Local Government Act 1972 (as amended)):

	Description	Interpretation	Qualification
1.	Information relating to any individual.		Information within paragraph 1 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

2.	Information which is likely to reveal the identity of an individual.		Information within paragraph 2 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
3.	Information relating to the financial or business affairs of any particular person (including the authority holding that information).	<p>The authority is a reference to the principal council or, as the case may be, the board, Committee or Sub-Committee in relation to whose proceedings or documents the question whether information is exempt or not falls to be determined</p> <p>Financial or business affairs includes contemplated, as well as past or current activities</p> <p>Registered in relation to information required to be registered under the Building Societies Act 1986, means recorded in the public file of any building society (within the meaning of the Act)</p>	<p>Information within paragraph 3 is not exempt information if it is required to be registered under-</p> <ul style="list-style-type: none"> (a) the Companies Act 2006; (b) the Friendly Societies Act 1974; (c) the Friendly Societies Act 1992; (d) the Co-operative and Community Benefit Societies Act 2014; (e) the Building Societies Act 1986; or (f) the Charities Act 2011. <p>Subject to the above, information within paragraph 3 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.</p>
4.	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and	<p><u>The authority</u> is reference to the principal council or, as the case may be, the board, Committee or sub-Committee in relation to whose proceedings or documents the question whether information is exempt or not falls to be determined</p> <p><u>Employee</u> means a person employed under a contract of service</p> <p><u>Labour relations matter</u></p>	Information within paragraph 4 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

	employees of, or office holders under, the authority	<p>means:</p> <p>(a) any of the matters specified in paragraphs (a) to (g) of Section 218 of the Trade Union and Labour Relations (Consolidation) Act 1992 (matters which may be the subject of a trade dispute, within the meaning of the Act); or</p> <p>any dispute about a matter falling within paragraph (a) above (applies to trade disputes relating to office holders as well as employees)</p> <p><u>Office holder</u> in relation to the authority, means the holder of any paid office appointments to which are or may be made or confirmed by the authority or by any joint board on which the authority is represented or by any person who holds any such office or is an employee of the authority</p>	
5.	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.		Information within paragraph 5 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
6.	Information which reveals that the authority proposes – a) to give under any	<u>The authority</u> is a reference to the principal council or, as the case may be, the board, Committee or sub-Committee in relation to whose proceedings or documents the question	Information within paragraph 6 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the

	enactment a notice under or by virtue of which requirements are imposed on a person; or to make an order or direction under any enactment.	whether information is exempt or not falls to be determined	information.
7.	Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.		Information within paragraph 7 is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

Information is not exempt information if it relates to proposed development for which the local planning authority may grant itself planning permission pursuant to regulation 3 of the Town and Country Planning General Regulations 1992.

10. **Exclusion of Access by the Public to Reports**

If the **Monitoring Officer** thinks fit, the Council may exclude access by the public to reports which in his/her opinion relate to items during which, in accordance with Rule 9, the meeting is likely not to be open to the public. Such reports will be marked "Not for Publication" together with the category of information likely to be disclosed.

11. **Application of these Procedure Rules to the Executive**

- 11.1 All decisions of the **Executive** (that is, of the **Leader**, the **Cabinet**, individual **Cabinet Members** or a Committee of the Cabinet) will be public and the press and public shall only be excluded as provided by Rule 9 where confidential or exempt information would otherwise be disclosed.

Key Decisions

- 11.2 Where a **Key Decision** is to be made by the **Executive** (that is, the **Leader**, the **Cabinet**, individual **Cabinet Members** or a Committee of the Cabinet) or the **Chief Executive** under urgency as set out in the **Cabinet (Executive) Procedure Rules** in **Part 3**, Rules 12 – 23 shall apply.

12. The Executive Decision Notice

12.1 Period of the Executive Decision Notice (“The Notice”)

12.1.1 The Notice will be prepared by the Leader to cover decisions that are to be taken no sooner than 28 clear days following publication of the Notice.

12.1.2 The Notice must be published at least 28 clear days before the proposed executive decision is taken. If an item is not on notice, the decision cannot be taken unless Rules 16 or 17 apply. Any outstanding matters from the previous Notice will be included in the latest Notice.

12.1.3 The most recent Notice shall be taken to have superseded any earlier Notice, or as the case may be, each earlier Notice.

12.2 Contents of Executive Decision Notice

12.2.1 The **Executive Decision Notice** will contain matters which the Leader has reason to believe will be subject of an executive or **Key Decision** to be taken by the **Cabinet**, or one of its groups, or Officers, or under joint arrangements, in the course of the discharge of an **Executive Function** during the period covered by the Notice. It will also contain notice of decisions to be taken confidentially. It will describe the following particulars in so far as the information is available or might reasonably be obtained:

- (a) the matter in respect of which a decision is to be made;
- (b) where the decision-taker is an individual, his/her name and title, if any and where the decision taker is a body, its name and details of membership;
- (c) the date on which, or the period within which, the decision is to be made;
- (d) the procedure for requesting documents connected to the decision;
- (e) that other documents can be submitted;
- (f) the steps any person might take who wishes to make representations to the **Cabinet** or decision-taker about the matter in respect of which the decision is to be made, and the date by which those steps must be taken;
- (g) a list of the documents submitted to the decision-taker for consideration in relation to the matter about which the decision

is to be made; and

- (h) the address where documents are available.

12.2.2 Additional Requirements for Key Decisions

- (a) The **Executive Decision Notice** must specify if a decision to be taken is a **Key Decision**
- (b) Where a decision-maker intends to make a Key Decision, that decision must not be made until a notice of the Key Decision has been published on the Executive Decision Notice which contains:
 - i. that a Key Decision is to be made;
 - ii. the matter in respect of which the decision is to be made;
 - iii. where the decision-maker is an individual, the name of the individual;
 - iv. where the decision-maker is a body, its name and a list of its members;
 - v. a list of the documents submitted for consideration;
 - vi. the address from which copies or extracts of documents are available;
 - vii. that other documents may be submitted for consideration; and
 - viii. the procedure for requesting documents.
- (c) The Notice specifying what Key Decisions are to be taken must be published at least 28 clear days before the decision is to be taken. The public may be excluded from the meeting at which a key decision is to be taken if information is likely to be disclosed which is confidential or exempt under Schedule 12A.

12.2.3 Additional Requirements for Private Meetings

- (a) The **Executive Decision Notice** must specify if a meeting or any part of the meeting at which an executive decision is to be taken will be in private.
- (b) The steps any person might take who wishes to make representations to the decision-making body or decision-taker about whether the matter should be held in public and the date

by which those steps must be taken.

- (c) At least five clear days before a private meeting, the decision-making body must:
 - i. confirm the decision to hold the meeting in private or not;
 - ii. make available at the Council Offices a further notice of its intention to hold the meeting in private or public if appropriate; and
 - iii. publish that notice on the Council's [website](#).
- (d) The notice must include:
 - i. a statement of reasons for the meeting to be held in private;
 - ii. details of any representations received by the decision-making body about why the meeting should be open to the public; and
 - iii. a statement of its response to any such representations.
- (e) Where the date by which a meeting must be held makes compliance with section (d) impracticable, the meeting may only be held in private where the decision-making body has obtained agreement from:
 - i. the chair of one of the **Scrutiny Committees**;
 - ii. if the Chair of one of the **Scrutiny Committees** are unable to act, the **Chair of the Council**; or
 - iii. where there is no **Chair** of either of the **Scrutiny Committees** or of the Council, the **Deputy Chair of the Council**, that the meeting is urgent and cannot reasonably be deferred.
- (f) As soon as reasonably practicable after the decision-making body has obtained agreement to hold a private meeting, it must:
 - i. make available at the Council Offices a notice setting out the reasons why the meeting is urgent and cannot reasonably be deferred; and
 - ii. publish that notice on the Council's [website](#).

- (g) Cabinet Members will be entitled to receive 5 clear working days' notice of a meeting to which they are summoned, unless the meeting is convened at shorter notice as a matter of urgency.

13. **Publicity**

13.1 The **Monitoring Officer** will make available a copy of the Executive Decision Notice ("the Notice") and publish the Notice on the Council's [website](#). The Notice will state:

- (a) that **Key Decisions** are to be taken on behalf of the Council;
- (b) the particulars of the matters on which decisions are to be taken;
- (c) the Notice will contain details of the key decisions to be made by or on behalf of the Executive, no sooner than 28 clear days after publication;
- (d) that each Notice will be available for inspection at reasonable hours free of charge at the Council Offices;
- (e) that each Notice will contain a list of the documents submitted to the decision takers for consideration in relation to the Key Decisions on the Notice;
- (f) the address from which, subject to any prohibition or restriction on their disclosure, copies of, or extracts from, any document listed in the Notice is available;
- (g) that other documents may be submitted to decision-takers; and
- (h) the procedure for requesting details of documents (if any) as they become available.

13.2 Exempt information need not be included in the Executive Decision Notice and confidential information cannot be included.

14. **General Exception**

14.1 If a matter which is likely to be a **Key Decision** has not been included in the Executive Decision Notice, then subject to Rule 15 (Special Urgency), the decision may still be taken if:

14.1.1 the decision must be taken by such a date that it is impracticable to defer the decision;

14.1.2 the **Monitoring Officer** has informed the Chair of a relevant **Scrutiny Committee**, or if there is no such person, each

member of that Committee in writing, by notice, of the matter to which the decision is to be made;

14.1.3 The Monitoring Officer has made copies of that notice available to the public at the offices of the Council and on the [website](#) for inspection; and

14.1.4 at least 5 clear working days have elapsed since the Monitoring Officer complied with 14.1.2 and 14.1.3.

14.2 Subject to Rule 9, where such a decision is taken collectively, it must be taken in public unless it involves consideration of exempt or confidential information.

14.3 As soon as reasonably practicable, the Monitoring Officer must:

(a) make available at the Council Offices a notice setting out the reasons why it was impracticable to defer the decision until it has been included on the next **Executive Decision Notice**; and

(b) publish that notice on the Council's [website](#).

15. **Special Urgency**

15.1 If by virtue of the date by which a decision must be taken Rule 14 (General Exception) cannot be followed, then the decision can only be taken if the decision-taker (if an individual) or the **Chair** of the body making the decision, obtains the agreement of the Chair of a relevant **Scrutiny Committee** that the taking of the decision is urgent and cannot be reasonably deferred.

15.2 If there is no Chair of a relevant **Scrutiny Committee**, or if the Chair of the relevant Scrutiny Committee is unable to act, then the agreement of the **Chair of the Council**, or in his/her absence the Deputy Chair will suffice.

15.3 As soon as reasonably practicable after agreement has been given, the Monitoring Officer shall make available a notice setting out the reasons for urgency and why the decision cannot be reasonably deferred and publish that notice on the Council's [website](#).

15.4 The Leader will submit a quarterly report to the Council on the executive decisions taken under this Rule in the preceding three months. The report will include the number of decisions taken and a summary of the matter about which each decision was made.

16. Private Meetings

16.1 Subject to Rule 16.2, a **private meeting** may not take place unless:

16.1.1 At least 28 clear working days before the scheduled meeting a notice (the **Executive Decision Notice**) has been made available for inspection by the public at the designated office and on the [website](#) of the intention to hold the **Cabinet** or Cabinet Committee meeting in private; and

16.1.2 At least 5 clear working days before the scheduled meeting, a further notice has been made available for inspection by the public at the Designated Office and on the website which shall include any representations made as to why any item specified in the notice given under Rule 16.1.1 above should be open to the public together with the Council's response.

16.2 Where the date by which a meeting must be held makes compliance with Rule 16.1 impracticable, the meeting may only be held where the decision-making body has obtained agreement from the Chair of a relevant **Scrutiny Committee** that the meeting is urgent and cannot reasonably be deferred. If there is no Chair of a relevant Scrutiny Committee, or if the Chair of each relevant Scrutiny Committee is unable to act, then the agreement of the **Chair of the Council**, or in his/her absence the Deputy Chair will suffice.

16.3 As soon as reasonably practicable after the decision-making body has obtained agreement under Rule 16.2 to hold a private meeting, the Monitoring Officer shall publish a notice setting out why the meeting is urgent and cannot reasonably be deferred and shall make that notice available to the public at the designated office and on the [website](#).

16.4 All **Cabinet Members** are entitled to attend a private meeting of any group of the Cabinet and be allowed to speak with the consent of the **Chair** of that group.

16.5 Notice of private meetings of the **Cabinet** and its groups will be served on all **Non-Executive Members**, at the same time as notice is served on **Cabinet Members**.

16.6 Where a matter under consideration at a private meeting of the **Cabinet**, or a group of it, is within the remit of a monitoring body any Councillor may attend that private meeting and speak with the consent of the person presiding.

16.7 A private meeting of the **Cabinet** may not take any decisions unless the **Head of Paid Service**, the **S151 Officer** or the **Monitoring Officer**, or their nominees, are present or have waived their entitlement to attend. A private Cabinet meeting may only take a decision if there is an Officer present with responsibility for recording and publicising the decisions.

17. **Reports to Council**

When a Scrutiny Committee can require a report

- 17.1 If the **Scrutiny Committee** thinks that a key decision has been taken which was not included in the **Executive Decision Notice** and has not been the subject of:
- (a) the general exception procedure under Rule 14; or
 - (b) the special urgency procedure under Rule 15;

the **Scrutiny Committee** can require a report.

- 17.2 The power to require a report rests with the **Scrutiny Committee** but is also delegated to the **Chief Executive** who shall require such a report on behalf of the Scrutiny Committee when so requested by the **Chair** of the Scrutiny Committee or any 5 **Councillors**. Alternatively, the requirement may be raised by resolution passed at a meeting of the Scrutiny Committee.

The Cabinet's report to Full Council

- 17.3 The **Cabinet** will prepare a report for submission to the next available meeting of the **Full Council**. However, if the next meeting of the Full Council is within 7 days of receipt of the resolution of a **Scrutiny Committee**, then the report may be submitted to the meeting after that. The report to Full Council will set out particulars of the decision, the individual or body making the decision, and if the Leader is of the opinion that it was not a key decision, the reasons for that opinion.

Quarterly reports on special urgency decisions

- 17.4 The Leader will submit quarterly reports to the **Full Council** on the **executive decisions** taken in the circumstances set out in Rule 15 (Special Urgency) in the preceding three months. The report will include the number of decisions so taken and a summary of the matters in respect of which those decisions were taken.

18. **Decisions by Individual Cabinet Members**

- 18.1 The **Cabinet** currently takes all decisions collectively but if decisions are delegated to individual **Cabinet Members** the following rules will apply.
- 18.2 All decisions taken individually by **Cabinet Members** must be based on written reports setting out key legal, financial, service and corporate implications and may not be taken unless the **Chief Executive** (or an Officer nominated by him/her) is present.
- 18.3 When an Officer prepares a report which is to be given to a **Cabinet Member** for decision, he/she must first give a copy of that report to the

Chief Executive (or an Officer nominated by him/her).

- 18.4 The **Chief Executive** will publish the report to the monitoring bodies, the **S151 Officer** and the **Monitoring Officer**. The report will be made publicly available as soon as reasonably practicable.
- 18.5 Individual decisions may only be made by **Cabinet Members** in the presence of the **Chief Executive**, **S151 Officer** or **Monitoring Officer** or their nominee (unless they waive that requirement) and the Officer (or an Officer nominated by him/her) whose responsibility it is to record the decision.
- 18.6 As soon as is reasonably practicable after an individual **Cabinet Member** or Officer has made an executive decision he/she shall produce, or cause to be produced, a written statement including:
- (a) a record of the decision including the date it was made;
 - (b) a record of the reasons for the decision;
 - (c) details of any alternative options considered and rejected at the time by the **Councillor**;
 - (d) when he/she made the decision;
 - (e) a record of any interest declared by any **Cabinet Member** who was consulted by the Councillor about the decision; and
 - (f) a note of any relevant dispensation granted by the **Chief Executive**.
- 18.7 A copy of the written statement setting out the decision must be sent to the **Monitoring Officer**. All decisions of the **Cabinet** must be published and will be subject to Call-in as set out in **Part 4** (Section 4.5).
19. **Record of Decisions**
- 19.1 After an executive decision is taken by the **Cabinet**, an individual **Cabinet Member** or a Committee of the Cabinet, the **Monitoring Officer** or, where no Officer was present, the person presiding at the meeting, will produce a record of every decision taken at that meeting as soon as reasonably practicable and make it available for inspection by the public. The record will include:
- 19.1.1 the date of the decision;
 - 19.1.2 a statement of the reasons for each decision and any alternative options considered and rejected at that meeting;
 - 19.1.3 details of any interest relating to the matter decided which is declared by any member of the decision-making body which made the decision; and
 - 19.1.4 in respect of any declared interest, a note of dispensation granted.

19.2 This Rule 19 applies to all **Executive** decisions, which may or may not be **Key Decisions**.

19.3 The minutes of the meeting will be regarded as the record of these decisions.

19.4 Decisions taken at a meeting may only be taken on the basis of a written report, setting out key legal, financial, service and corporate implications and may not be taken unless the **Chief Executive** or his/her nominee is present.

20. **Scrutiny Committees' Access to Documents**

20.1 Subject to Rule 20.2, members of the **Scrutiny Committees** (including any Sub-Committee) will be entitled, on request as soon as reasonably practicable and in any case no later than ten clear working days after a request has been received, to copies of any document which is in the possession or control of the **Executive** and which contains material relating to:

20.1.1 any business transacted at a meeting of the **Cabinet** or its **Committees** or:

20.1.2 any decision taken by an individual **Cabinet Member**.

Limit on rights

20.2 A member of a **Scrutiny Committee** (or Sub-Committee) will not be entitled to:

- (a) any document that is in draft form;
- (b) any document containing advice provided by a political advisor; or
- (c) any part of a document that contains exempt or confidential information, unless that information is relevant to an action or decision they are reviewing or intend to review.

20.3 Where the **Executive** determine that any member of a **Scrutiny Committee** is not entitled to copy documents in accordance with paragraph 20.1 it must provide a written statement setting out its reasons.

21. **Additional Rights of Access for Councillors**

21.1 Members of a Committee or decision-making body of the Council or of the **Cabinet** are automatically provided with, and entitled to receive, copies of confidential or exempt reports of that body.

22. **Material Relating to Executive Decisions**

22.1 All **Councillors** will be entitled to inspect any document (except those available only in draft form) in the possession or under the control of the **Cabinet** or one of its groups which relates to any executive decision at least 5 clear days before a public meeting at which the decision is to be taken. If it contains exempt information falling within paragraphs 1 to 6 of the categories of exempt information the Councillors will be required to sign a register kept for the purpose of such requests.

22.2 All **Councillors** will be entitled to inspect any document in the possession or under the control of the **Cabinet** or one of its groups which relates to any executive decision taken in private when the meeting concludes or immediately after the decision is taken.

23. **Nature of Rights**

23.1 These rights of a Councillor are additional to any other rights of **Access to Information** a Councillor may have.

24. **Rights of Councillors – “Need to Know”**

24.1 **Councillors** will be entitled to access documents and to attend the confidential part of meetings of **Committees** and **Sub-Committees** and public meetings of the **Cabinet** (even though they are not a member of those bodies) where they can demonstrate a “need to know” in order to perform their duties as Councillors.

24.2 Subject to Rule 25.3 below, the circumstances where a “need to know” may be treated as arising will include:

24.2.1 Where the matter relates to a **Sub-Committee** of a Committee of which the Councillor is a member;

24.2.2 Where the matter relates to a Committee of the Cabinet where the Councillor is a Cabinet Member;

24.2.3 Where the matter is within the remit of the **Audit and Governance Committee** or **Scrutiny Committee** of which the Councillor is a member;

24.2.4 Where the **Full Council** is required to approve the decisions or recommendations of **Committees**, **Sub-Committees** or the **Cabinet**;

24.2.5 Where the matter has been delegated to a Committee or Sub-Committee, but significantly affects the reputation of the whole Council;

24.2.6 Where the matter relates specifically to a Councillor’s own ward; and

- 24.2.7 In relation to exempt material within a report on a decision that has been called in for consideration by **Scrutiny Committee** and a Councillor has signed a Call-in notice and that Councillor has indicated that they wish to address the Scrutiny Committee as part of the Call-in process.
- 24.3 There will not be a “need to know” if a **Councillor** is acting in bad faith or in pursuance of a personal interest or merely out of curiosity.
- 24.4 A **Councillor** wishing to see confidential or exempt Council, Committee, Sub-Committee or Cabinet documents or to attend the confidential part of a meeting should make a written application to the **Monitoring Officer**, setting out the reasons and information in support of their claim to have a “need to know”, and why the document and/or attendance at the meeting is necessary in order to enable the Councillor properly to perform his/her duties.
- 24.5 The determination as to whether or not a “need to know” has been demonstrated will be based on Officer advice and may include legal advice.
- 24.6 Once a determination has been made, this will be communicated to the **Councillor** who has made the claim.
25. **Reporting of Meetings by the Press and Public**
- 25.1 Any member of the press or public attending a public meeting of the Council may record the proceedings and report them to others. ‘Reporting’ means filming, photographing, making an audio recording or some other such method of recording proceedings and then reporting or providing a commentary on those proceedings, orally or in writing. A person attending the meeting may use any appropriate communication method, including the Internet, to publish or share the recorded material. This would include the use of social media.
- 25.2 Any person wishing to record a public meeting is not required to give the Council prior notice although they are encouraged to do so in order that reasonable facilities can be provided.
- 25.3 No one is entitled to record or report the proceedings of a meeting if the meeting has moved into private session to consider confidential or exempt business. In such circumstances, the public and press are required to leave the meeting and to deactivate and/or remove any recording or communications equipment.
- 25.4 Any person recording or reporting a meeting may not use flash photography or intrusive lighting, or move around the room, or ask any of the participants at the meeting to repeat something they have said. They may not cause excessive noise when installing or moving equipment. They may not give an oral commentary during the meeting.

All of these activities would serve to disrupt proceedings and anyone acting in a disruptive manner may be excluded from the meeting.

25.5 Any person recording or reporting a meeting may not film any member of the public who remains in the public gallery.

25.6 Anyone wishing to record or report on meetings shall be reminded at the start of the meeting that the law of defamation will apply, as well as the law relating to public order offences. They shall also be reminded that freedom of speech should be exercised with personal and social responsibility, showing respect and tolerance towards the views of others. The Chair or person presiding at the meeting shall give this advice with the support of Officers.

SECTION D – SCRUTINY PROCEDURE RULES

Rule

1. Establishment and Membership
2. Terms of Reference
3. Meetings of the Scrutiny Committees
4. Work Plan
5. Agenda for Scrutiny Committees
6. Policy Review and Budget Development
7. Reports and Recommendations of the Scrutiny Committees
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11. Councillors and Officers Giving Account
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17. Procedure at the Scrutiny Committees' Meetings
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SECTION D – SCRUTINY PROCEDURE RULES

1. Establishment and Membership

The **Council** will establish the **Scrutiny Committees** set out in **Part 2** of this **Constitution** and will appoint to them as it considers appropriate, subject to political proportionality. Where there is any doubt as to which Scrutiny Committee is the “relevant Scrutiny Committee” (as referred to in this Constitution), the decision of the **Monitoring Officer** shall be final.

2. Terms of Reference

The general and specific role of the **Scrutiny Committees** will be as set out in **Part 2** of this **Constitution**.

3. Meetings of the Scrutiny Committees

3.1 Each **Scrutiny Committee** will meet five times per year.

3.2 The Corporate Scrutiny Committee will meet an additional sixth time during the Council's budget setting process to consider budget proposals.

3.3 In addition, meetings of either **Scrutiny Committee** may be convened from time to time:

3.3.1 to consider matters called in;

3.3.2 on the instruction of the **Chief Executive** in consultation with the Chair of the relevant **Scrutiny Committee** where consideration of an urgent matter is required;

but only if timescales do not permit the called in or urgent matter to be considered at the next scheduled meeting of the relevant **Scrutiny Committee**.

4. Work Plan

4.1 The **Scrutiny Committees** will be responsible for setting their own work plan and in doing so they shall take into account the wishes of members on the **Committee** who are not members of the largest political group on the **Full Council**.

4.2 The **Scrutiny Committees** shall also respond, as soon as their work plans permit, to requests from the **Full Council** and the **Cabinet** to review particular areas of Council activity. Where they do, the Scrutiny Committees shall report their findings and any recommendations back to the Cabinet and/or Full Council. The Full Council and/or the Cabinet shall consider the report of the relevant Scrutiny Committee at the next available meeting.

5. **Agenda for the Scrutiny Committees**

- 5.1 Any member of the **Scrutiny Committees** shall be entitled to request, in writing, that an item be included on the **Agenda**, provided that the item is within the remit of the Committee in question. The Committee will decide how the item should be considered and whether or not it can be included in its work programme.
- 5.2 Similarly, the **Leader** of the **Council** or a **Cabinet Member** with specific portfolio responsibilities may give notice in writing requiring an item to appear on an **Agenda** of a **Scrutiny Committee**, relating to its area of responsibilities. The Committee will decide how the item should be considered and whether or not it can be included in its work programme.
- 5.3 Subject to the **Council and Committee Procedure Rules** in **Part 3**, any other five **Councillors** may give notice in writing to the **Chief Executive**, requesting an item to appear on an **Agenda** of a **Scrutiny Committee**. The item shall be included after consulting the Chair of the Committee.
- 5.4 On receipt of a notice under Rule 5.1, 5.2 or 5.3, the matter will be included on the **Agenda** for, and discussed at, a meeting of the Committee. Notices under Rule 5.2 must be served no later than 28 days before the meeting at which the matter is to be discussed.
- 5.5 In considering whether or not to exercise any of its powers in relation to the matter referred under Rule 5.3 the Committee may have regard to any representations made by the **Councillors** as to why it would be appropriate to exercise any of its powers. If the Committee decides not to exercise any of those powers in relation to the matter, it must notify the Councillors of the decision and the reasons for it.
- 5.6 Where a **Scrutiny Committee** exercises its power to make a report or recommendation to the **Full Council** or the **Cabinet** on any matter referred to it by **Councillors** under Rule 5.3 the Committee must provide the Councillors with a copy of the report or recommendation (subject to Rule 9).

6. **Policy Review and Budget Development**

- 6.1 The Corporate Scrutiny Committee has a key role in budget development and the Community Scrutiny Committee has a key role in policy development. The **Budget and Policy Framework Procedure Rules** in **Part 3** contains details of the process by which the Scrutiny Committees may perform that role.
- 6.2 In relation to the development of the Council's approach to other matters not forming part of its **Budget and Policy Framework**, the **Scrutiny Committees** may make proposals to the **Cabinet** for developments in so far as they relate to matters within their terms of reference.
- 6.3 **Scrutiny Committees** may hold enquiries in relation to policy review and may appoint advisors and specialists to assist them in this process. They may visit sites, conduct public surveys, hold public meetings, commission research and undertake such other things they consider reasonable and necessary to inform their

deliberations. They may call witnesses on any matter under consideration and may pay to any specialists and witnesses a reasonable fee and expenses for doing so within budgetary provision.

7. **Reports and Recommendations of the Scrutiny Committees**

7.1 This Rule 7 applies where either **Scrutiny Committee** makes a report or recommendation to the **Full Council** or the **Cabinet**, except in relation to a crime and disorder matter. The Committee will prepare a formal report and submit it to the Proper Officer for consideration by the Cabinet (if the proposals are consistent with the existing budgetary and policy framework), or to the Council as appropriate (e.g. if the recommendation would require a departure from or a change to the agreed **Budget and Policy Framework**).

7.2 The **Scrutiny Committees** may publish the report or recommendations. Any confidential information must be excluded and any relevant exempt information may be excluded in line with the provisions of the **Access to Information Procedure Rules** in **Part 3**.

7.3 If the **Scrutiny Committees** cannot agree on one single final report to the **Council** or the **Cabinet** as appropriate, then up to one minority report may be prepared and submitted for consideration by the Council or Cabinet with the majority report.

7.4 The **Scrutiny Committees** must by notice in writing require the **Full Council** or **Cabinet**:

7.4.1 to consider the report or recommendation;

7.4.2 to respond to the Committee indicating what (if any) action the **Full Council** or Cabinet proposes to take;

7.4.3 if the Committee has published the report or recommendation to publish the response;

7.4.4 if the Committee provided a copy of the report or recommendation to a Councillor under Rule 5.6, to provide the Councillor with the response; and

7.4.5 to do all of the above within two months of receiving the report or recommendations or (if later) the notice.

7.5 It is the duty of the **Full Council** or **Cabinet** to which a notice is given under Rule 7.4 to comply with the requirements specified in the notice.

7.6 The **Council** or the **Cabinet** shall consider the report of the **Scrutiny Committee** after being submitted to the Proper Officer.

7.7 The **Chair** or other appropriate member of the relevant **Scrutiny Committee** shall attend the meeting of the **Cabinet** or **Council** to present the Committee's report.

8. **Making sure that Scrutiny Reports are considered by the Cabinet**

- 8.1 The **Agenda** for **Cabinet** meetings shall include an item for matters referred to it by the **Scrutiny Committees**. Reports referred to the Cabinet shall be included at this point in the Agenda unless either they have been considered in the context of the Cabinet's deliberations on a substantive item on the Agenda or the Cabinet gives reasons why they cannot be included and states when they will be considered.

9. **Rights of Scrutiny Committee Members to Documents**

- 9.1 In addition to their rights as **Councillors**, members of the **Scrutiny Committees** have the additional right to documents, and to notice of meetings as set out in the **Access to Information Procedure Rules** in **Part 3** of this **Constitution**.
- 9.2 Nothing in this Rule 9 prevents more detailed liaison between the **Cabinet** and the **Scrutiny Committees** as appropriate depending on the particular matter under consideration.

10. **Rights of Cabinet Members**

- 10.1 Subject to the provisions of the **Access to Information Procedure Rules** in **Part 3** and without prejudice to the rights of **Cabinet Members**, Cabinet Members may attend meetings of the **Scrutiny Committees** including parts of the meeting where exempt items are being discussed and shall be entitled to receive the **Agenda** for the meeting (including exempt matters) and to speak, give evidence and answer questions at the invitation of the Committee.

11. **Councillors and Officers Giving Account**

- 11.1 The **Scrutiny Committee** may scrutinise and review decisions made or actions taken in connection with the discharge of any **executive function**. As well as reviewing documentation, in fulfilling the scrutiny role, it may require any **Cabinet Member**, the **Chief Executive** and/or any **Chief Officer** to attend before it to explain in relation to matters within their remit:

11.1.1 any particular decision or series of decisions;

11.1.2 the extent to which the actions taken implement **Council** policy; and/or

11.1.3 their performance;

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

- 11.2 Where any **Councillor** or **Officer** is required to attend the **Scrutiny Committees** under this provision, the **Chair** of the relevant Scrutiny Committee will inform the Proper Officer. The Proper Officer shall inform the Councillor or Officer in writing giving at least 7 working days' notice of the meeting at which he/she is required to attend. The notice will state the nature of the item on which he/she is required to attend to give account and whether any papers are required to be produced. Where the account to be given will require the production of a report, then the Councillor or

Officer concerned will be given sufficient notice to allow for preparation of that documentation.

- 11.3 Where, in exceptional circumstances, the Councillor or Officer is unable to attend on the required date, then the **Scrutiny Committee** shall in consultation with the Councillor or Officer arrange an alternative date for attendance.
- 11.4 The **Scrutiny Committees** may require a Strategic Director, **Head of Service** or **Team Manager** to interview any member of staff and to record such interview and provide a copy of the interview record to the Committee. A member of the relevant Scrutiny Committee shall be present at any interview but only in an observer capacity.
- 11.5 Under the **Council's** petition scheme the **Chief Executive** and **Strategic Directors** may be called to account at the **Scrutiny Committees** by a public petition received in accordance with the Council's adopted petition scheme.

12. **Attendance by Others**

The **Scrutiny Committee** may invite people other than those people referred to in Rule 11 above to address it, discuss issues of local concern and/or answer questions. It may, for example, wish to hear from residents, stakeholders and **Councillors** and Officers in other parts of the public sector and may invite such people to attend.

13. **Call-in**

Call-in should only be used in exceptional circumstances. These are where members of the **Scrutiny Committees** have evidence which suggests that the **Cabinet** did not take the decision in accordance with the principles set out in **Part 2**, Section A (Introduction to Decision Making) of this **Constitution**.

- (a) When a decision is made by the **Cabinet** or a group of the Cabinet or a key decision is made by an Officer with delegated authority, the decision shall be published, including where possible by electronic means, and shall be available at the main offices of the **Council** normally within 7 days of being made. The **Chair** of each **Scrutiny Committee** will be sent copies of the records of all such decisions within the same timescale, by the person responsible for publishing the decision.
- (b) That notice will bear the date on which it is published and will specify that the decision will come into force, and may then be implemented, on the expiry of 5 working days after the publication of the decision, unless any two Councillors (or more) object to it and require in writing that the decision be called in.
- (c) As soon as reasonably practicable, the **Monitoring Officer** shall Call-in a decision for scrutiny by a **Scrutiny Committee** if so requested and shall then notify the decision taker of the Call-in. A meeting of the relevant Scrutiny Committee shall be convened to consider the Call-in or it could be considered at the next appropriate scheduled meeting of either Scrutiny Committee, if timescales permit. The Monitoring Officer, in consultation with the **Chief Executive** and **S151 Officer**, may reject a request for Call-in if, in their

opinion, it is repetitious, vexatious or fails to set out any grounds which might reasonably cause **Cabinet** to change their decision.

- (d) If, having considered the decision, the relevant **Scrutiny Committee** is still concerned about it, then it may refer it back to the decision-making person or body for reconsideration, setting out in writing the nature of its concerns or refer the matter to the **Council**. If referred to the decision maker they shall then reconsider, amending the decision or not, before adopting a final decision.
- (e) If the matter was referred to the **Council** and the Council does not object to a decision which has been made, then no further action is necessary and the decision will be effective in accordance with the provision below. However, if the Council does object, it has no locus to make decisions in respect of an executive decision unless it is contrary to the policy framework, or contrary to or not wholly consistent with the budget. Unless that is the case, the Council will refer any decision to which it objects back to the decision-making person or body, together with the Council's views on the decision. That decision-making body or person shall choose whether to amend the decision or not before reaching a final decision and implementing it. Where the decision was taken by the **Cabinet** the matter will be referred to the next scheduled meeting. Where the decision was made by an individual, the individual will reconsider the decision within 10 working days of the Council request.
- (f) If the Council does not meet, or if it does but does not refer the decision back to the decision-making body or person, the decision will become effective on the date of the Council meeting or expiry of the period in which the Council meeting should have been held, whichever is the earlier.

14. **Exceptions**

14.1 In order to ensure that Call-in is not abused, nor causes unreasonable delay, certain limitations are to be placed on its use. These are:

- 14.1.1 that the **Scrutiny Committees** may, in total, only Call-in 4 decisions per year; and
- 14.1.2 once a **Councillor** has signed a request for Call-in under paragraph 13 (Call-in) above, he/she may not do so again until a period of 3 months has expired.

15. **Call-in and Urgency**

15.1 The **Call-in** procedure set out above shall not apply where the decision being taken by the **Cabinet** is urgent. A decision will be urgent if any delay likely to be caused by the Call-in process would seriously prejudice the Council's or the public's interests. The record of the decision, and notice by which it is made public shall state whether in the opinion of the decision-making person or body, the decision is an urgent one, and therefore not subject to Call-in. The **Chair of the Council** must agree both that the decision proposed is reasonable in all the circumstances and to it being treated

as a matter of urgency. In the absence of the **Chair**, the **Deputy Chairs** consent shall be required. In the absence of both, the **Chief Executive** or his/her nominee's consent shall be required. Decisions taken as a matter of urgency must be recorded in the minutes and be reported to the next available meeting of the Council, together with the reasons for urgency.

- 15.2 The operation of the provisions relating to **Call-in** and urgency shall be monitored annually, and a report submitted to **Council** with proposals for review if necessary.

16. **The Party Whip**

- 16.1 When considering any matter in respect of which a member of a **Scrutiny Committee** is subject to a party whip, the member must declare the existence of the whip, and the nature of it before the commencement of the Committee's deliberations on the matter. The declaration, and the detail of the whipping arrangements, shall be recorded in the minutes of the meeting.

17. **Procedure at the Scrutiny Committees' Meetings**

- 17.1 The **Scrutiny Committees'** meetings shall consider the following business:

- 17.1.1 minutes of the last meeting;
- 17.1.2 declarations of interest (including party **whip** declarations);
- 17.1.3 consideration of any matter referred to the Committee for a decision in relation to **Call-in** of a decision;
- 17.1.4 responses of the **Cabinet** to reports of the relevant Scrutiny Committee;
- 17.1.5 the business otherwise set out on the **Agenda** for the meeting; and
- 17.1.6 dealing with any petitions to hold an Officer to account received under the Council's adopted petition scheme.

- 17.2 Where a **Scrutiny Committee** conducts investigations (e.g. with a view to policy development), the Committee may also ask people to attend to give evidence at Committee meetings which are to be conducted in accordance with the following principles:

- 17.2.1 that the investigation be conducted fairly and all members of the Committee be given the opportunity to ask questions of attendees, and to contribute and speak;
- 17.2.2 that those assisting the Committee by giving evidence be treated with respect and courtesy; and
- 17.2.3 that the investigation be conducted so as to maximise the efficiency of the investigation or analysis.

- 17.3 Following any investigation or review, the **Committee** shall prepare a report, for submission to the **Cabinet** and/or **Full Council** as appropriate and shall make its report and findings public.

18. **Crime and Disorder Matters**

- 18.1 The Community Scrutiny Committee will exercise the functions of a Crime and Disorder Panel. Any **Councillor** who is not a member of Community Scrutiny Committee may refer a local Crime and Disorder matter to that Committee, which shall sit as a Crime and Disorder Committee.

- 18.2 A local Crime and Disorder matter means a matter which concerns:

18.2.1 Crime and Disorder including anti-social behaviour or behaviour which adversely affects the local environment; or

18.2.2 the misuse of drugs, alcohol or other substances which affect all or part of the ward for which the Councillor is elected or any person who lives or works in that ward.

- 18.3 A **Councillor** who wishes to refer a matter to the Crime and Disorder Committee may request that that matter is included on the **Agenda** for and is discussed at a meeting of the Community Scrutiny Committee. The Committee will consider whether or not to make a report or a recommendation to the **Council** on the matter. If the Committee decides not to make a report or make a recommendation it will notify the Councillor of this decision and the reasons for it. If the Committee makes a report or recommendation to Council it will provide a copy of that report or recommendation to the Councillor who referred the matter in question to the Committee and provide a copy of the report or the recommendation to the responsible authorities and the corporation persons and bodies as it considers appropriate.

- 18.4 The **Council** upon receipt of the report or recommendation must consider it and respond to the Community Scrutiny Committee indicating what action, if any, it proposes to take and have regard to the report or recommendation in exercising its functions.

SECTION E – BUDGET AND POLICY FRAMEWORK PROCEDURE RULES

Rules

1. The Framework for Executive Decisions
2. Process for Developing the Framework
3. Decisions Outside the Budget or Policy Framework
4. Urgent Decisions Outside the Budget or Policy Framework
5. Virement
6. In-Year Changes to Budget and Policy Framework
7. Call-in of Decisions Outside the Budget or Policy Framework
8. Suspension

SECTION E – BUDGET AND POLICY FRAMEWORK PROCEDURE RULES

1. The Framework for Executive Decisions

- 1.1 The Council will be responsible for the adoption of its **Budget and Policy Framework** as set out in **Part 2**. Once a budget or a policy framework document has been agreed, it is the responsibility of the Cabinet and Officers to implement it.

2. Process for Developing the Framework

- 2.1 The process by which the **Budget and Policy Framework** shall be developed is:
- 2.1.1 Two months before a plan/strategy/budget needs to be adopted, the Cabinet will publish initial proposals for inclusion in the **Budget and Policy Framework**.
 - 2.1.2 Details of the Cabinet's consultation process shall be included in the Executive Decision Notice, published at the Council's main offices and made available on the Council's web site.
 - 2.1.3 Any representations made to the Cabinet shall be taken into account in formulating the initial proposals and shall be reflected in any report dealing with them. If the matter is one where a **Scrutiny Committee** has carried out a review of policy, then the outcome of that review will be reported to the Cabinet and considered in the preparation of initial proposals.
 - 2.1.4 The Cabinet's initial proposals shall be referred to the relevant **Scrutiny Committee** for advice and consideration.
 - 2.1.5 The proposals will be referred by sending a copy to the **Monitoring Officer** who will forward them to the **Chair** of the relevant **Scrutiny Committee**. If there is no such **Chair**, a copy must be sent to every member of that Committee.
 - 2.1.6 The relevant **Scrutiny Committee** shall canvass the views of local stakeholders if it considers it appropriate in accordance with the matter under consideration, having particular regard not to duplicate any consultation carried out by the Cabinet.
 - 2.1.7 The relevant **Scrutiny Committee** shall report to the **Cabinet** on the outcome of its deliberations. The relevant Scrutiny Committee shall have four weeks to respond to the initial proposals of the Cabinet unless the Cabinet considers that there are special factors that make this timescale inappropriate. If it does, it will inform the relevant Scrutiny Committee of the time for response when the proposals are referred to it.
 - 2.1.8 Having considered the report of the relevant **Scrutiny Committee**, the **Cabinet**, if it considers it appropriate, may amend its proposals before submitting them to the Council meeting for consideration. It will also report to Council on how it has taken into account any recommendations from the

relevant Scrutiny Committee.

2.1.9 **Council** will consider the proposals of the **Cabinet** and may adopt them, amend them, refer them back to the Cabinet for further consideration or substitute its own proposals in their place. However, if, having considered a draft plan or strategy, it has any objections to it, Council must take the action set out in 2.1.10 below.

2.1.10 Before **Council**:

- (a) amends the draft plan or strategy;
- (b) approves, for the purpose of its submission to the Secretary of State or any Minister of the Crown for his approval, any plan or strategy (whether or not in the form of a draft) of which any part is required to be so submitted; or
- (c) adopts (with or without modification) the plan or strategy

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

2.1.11 Where **Council** gives instructions in accordance with 2.1.10, it must specify a period of at least five working days beginning on the day after the date on which the **Leader** receives the instructions on behalf of the **Cabinet** within which the Leader may:

- (a) submit a revision of the draft plan or strategy as amended by the Cabinet (the “revised draft plan or strategy”) with the Cabinet’s reasons for any amendments made to the draft plan or strategy to Council for Council’s consideration; or
- (b) inform Council of any disagreement that the Cabinet has with any of Council’s objections and the Cabinet’s reasons for any such disagreement.

2.1.12 When the period specified by **Council**, referred to in Rule 2.1.11, has expired Council must, when:

- (a) amending the draft plan or strategy or, if there is one, the revised plan or strategy;
- (b) approving for the purpose of its submission to the Secretary of State or any Minister of the Crown for his approval, any plan or strategy (whether or not in the form of a draft or a revised draft) of which any part is required to be so submitted; or
- (c) adopting (with or without modification) the plan or strategy;

take into account any amendments made to the draft plan or strategy that

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

2.1.13 Subject to rule 2.1.17, where, before 8 February in any financial year, the **Cabinet** submits to **Council** for its consideration in relation to the following financial year:

- (a) estimates of the amounts to be aggregated in making a calculation (whether originally or by way of substitute) in accordance with any of Sections 34 to 36A or 46 to 49B of the Local Government Finance Act 1992 (calculation of budget requirement, etc.) and Part 5 of Chapter 1 of the Localism Act 2011;
- (b) estimates of other amounts to be used for the purposes of such a calculation;
- (c) estimates of such a calculation; or
- (d) amounts required to be stated as a precept under Chapter IV of Part I of the Local Government Finance Act 1992 (precepts);

and following consideration of those estimates or amounts Council has any objections to them, it must take the action set out in Rule 2.1.14.

2.1.14 Before **Council** makes a calculation (whether originally or by way of a substitute) in accordance with any of the sections referred to in Rule 2.1.13 above or issues a precept under Chapter IV of Part I of the Local Government Finance Act 1992, it must inform the **Leader** of any objections which it has to the Cabinet's estimates or amounts and must give him/her instructions requiring the Cabinet to reconsider, in the light of those objections, those estimates and amounts in accordance with Council's requirements.

2.1.15 Where **Council** gives instructions in accordance with Rule 2.1.14 above, it must specify a period of at least five working days beginning on the day after the date on which the **Leader** receives the instructions on behalf of the **Cabinet** within which the Leader may:

- (a) submit a revision of the estimates or amounts as amended by the Cabinet ("revised estimates or amounts") which have been reconsidered in accordance with the Council's requirements, with the Cabinet's reasons for any amendments made to the estimates or amounts to Council for its consideration; or
- (b) inform the Council of any disagreement that the Cabinet has with any of Council's objections and the Cabinet's reasons for any such disagreement.

2.1.16 When the period specified by **Council** referred to in paragraph 2.1.15 has expired, Council must, when making calculations (whether originally or by way of a substitute) in accordance with any of the Sections referred to in Rule 2.1.14 above or issuing a precept under Chapter IV of Part I of the Local Government Finance Act 1992, take into account:

- (a) any amendments to the estimates or amounts that are included in any revised estimates or amounts;
- (b) the **Cabinet's** reasons for those amendments;
- (c) any disagreement that the Cabinet has with any of the Council's objections; and
- (d) the Cabinet's reasons for that disagreement which the Leader submitted to the Council, or informed the Council of, within the period specified.

2.1.17 Rules to 2.1.13 to 2.1.16 shall not apply in relation to:

- (a) calculations or substitute calculations which the Council is required to make in accordance with Sections 52I, 52J, 52T or 52U of the Local Government Finance Act 1992 (limitation of council tax and precept); and
- (b) amounts stated in the precept issued to give effect to calculations or substitute calculations made in accordance with Section 52J or 52U of that Act.

3. **Decisions Outside the Budget or Policy Framework**

3.1 Subject to the provisions of Rule 5 (virement) the **Cabinet**, **Cabinet Members**, groups of the Cabinet and any **Officers** or joint arrangements may only take decisions which are in line with the **Budget and Policy Framework**. If any of these bodies or persons wishes to make a decision which is contrary to the policy framework, or contrary to or not wholly in accordance with the budget approved by **Full Council**, then that decision may only be taken by Council, subject to Rule 4 below.

3.2 If the **Cabinet**, a **Cabinet Member**, groups of the Cabinet, any **Officers**, or joint arrangements want to make such a decision, they shall take advice from the Monitoring Officer and/or the S151 Officer as to whether the decision they want to make would be contrary to the policy framework, or contrary to or not wholly in accordance with the budget. If the advice of either of those Officers is that the decision would not be in line with the existing budget and/or policy framework, then the decision must be referred by that body or person to Council for decision, unless the decision is a matter of urgency, in which case the provisions in Rule 4 (urgent decisions outside the budget or policy framework) shall apply.

4. **Urgent Decisions Outside the Budget or Policy Framework**

- 4.1 The **Cabinet**, a **Cabinet Member**, a group of the Cabinet, or **Officers** (in particular the **Chief Executive** and/or the **Strategic Directors**, or joint arrangements) may take a decision which is contrary to the **Council's** policy framework or contrary to or not wholly in accordance with the budget approved by **Full Council** if the decision is a matter of urgency. However, the decision may only be taken:

4.1.1 If it is not practicable to convene a quorate meeting of the **Full Council**; and

4.1.2 If the **Chair** of the relevant **Scrutiny Committee** agrees in writing that the decision is a matter of urgency.

- 4.2 The reasons why it is not practicable to convene a quorate meeting of **Full Council** and the **Chair** of the relevant **Scrutiny Committee's** consent to the decision being taken as a matter of urgency must be noted on the record of the decision. In the absence of the **Chair** of the relevant Scrutiny Committee, the consent of the **Chair** of the Council, and in the absence of both, the **Deputy Chair of the Council**, will be sufficient.

- 4.3 Following the decision, the decision taker will provide a full report to the next available **Council** meeting explaining the decision, the reasons for it and why the decision was treated as a matter of urgency.

5. **Virement**

- 5.1 Steps taken by the **Cabinet**, a **Cabinet Member**, a group of the Cabinet, or **Officers**, or joint arrangements to implement Council policy shall not exceed the budgets allocated to each relevant budget head. However, such bodies or individuals shall be entitled to vire across budget heads within such limits as shall be laid down in the **Financial Procedure Rules** in **Part 3**. Beyond those limits, approval to any virement across budget heads shall require the approval of the **Full Council**.

- 5.2 A virement is defined as where one or more budget(s) are reduced to fund an increase in another budget(s). There is no net change in the total budget agreed by Council arising from a virement.

6. **In-Year Changes to Budget and Policy Framework**

- 6.1 The responsibility for agreeing the **Budget and Policy Framework** lies with the **Council**, and decisions by the **Cabinet**, a **Cabinet Member**, a group of the Cabinet, **Officers**, or joint arrangements must be in line with it. No changes to any budget, policy and/or strategy which make up the Budget and Policy Framework may be made by those bodies or individuals except those changes:

6.1.1 Which will result in the closure or discontinuance of a service or part of service to meet a budgetary constraint;

6.1.2 Necessary to ensure compliance with the law, ministerial direction or government guidance;

6.1.3 In relation to the policy framework in respect of a policy which would normally be agreed annually by the Council following consultation but where the existing policy document is silent on the matter under consideration;

6.1.4 When changes are made in accordance with the Supplementary Estimate thresholds set out in the **Financial Procedure Rules** in **Part 3**.

7. **Call-in of Decisions Outside the Budget or Policy Framework**

7.1 Where a **Scrutiny Committee** is of the opinion that an executive decision is, or if made would be, contrary to the policy framework, or contrary to or not wholly in accordance with the Council's budget, then it shall seek advice from the **Monitoring Officer** and/or **S151 Officer**.

7.2 In respect of functions which are the responsibility of the **Cabinet**, the report of the **Monitoring Officer** and/or **S151 Officer** shall be to the Cabinet with a copy to every Councillor. Regardless of whether the decision is delegated or not, the Cabinet must meet within 21 days of receiving the report to decide what action to take in respect of the Monitoring Officer's or S151 Officer's report and to prepare a report to Council in the event that the Monitoring Officer or the S151 Officer conclude that the decision was a departure, and to the relevant **Scrutiny Committee** if the Monitoring Officer or the S151 Officer conclude that the decision was not a departure.

7.3 If the decision has yet to be made, or has been made but not yet implemented, and the advice from the Monitoring Officer and/or the S151 Officer is that the decision is or would be contrary to the policy framework or contrary to or not wholly in accordance with the budget, the relevant **Scrutiny Committee** may refer the matter to Council. In such cases, no further action will be taken in respect of the decision or its implementation until the Council has met and considered the matter. **Council** shall meet as soon as practicable on the request from the relevant Scrutiny Committee (or within 28 days if a meeting of the Council is scheduled within that period). At the meeting Council will receive a report of the decision or proposals and the advice of the Monitoring Officer and/or the S151 Officer.

7.4 **Council** may either:

7.4.1 Endorse a decision or proposal of the decision taker as falling within the existing **Budget and Policy Framework**. In this case no further action is required, save that the decision of Council be minuted and circulated to all councillors in the normal way;

7.4.2 Amend the budget, financial rule or policy concerned to encompass the decision or proposal of the body or individual responsible for that function and agree to the decision with immediate effect. In this case, no further action is required save that the decision of Council be minuted and circulated to all councillors in the normal way; or

7.4.3 Where Council accepts that the decision or proposal is contrary to the policy framework or contrary to or not wholly in accordance with the budget, and does

not amend the existing framework to accommodate it, require the **Cabinet** to reconsider the matter in accordance with the advice of the **Monitoring Officer** and/or the **S151 Officer**.

- 7.5 If **Council** does not meet, the decision will become effective on the date of the Council meeting or expiry of the period in which the Council meeting should have been held, whichever is the earlier providing that the **Monitoring Officer** and/or the **S151 Officer** is/are satisfied that the decision is within the **Budget and Policy Framework** or falls within Rules 6.1.1-6.1.3.

8. **Suspension**

- 8.1 Any part of these rules may be suspended provided such suspension is not contrary to law.
- 8.2 Every contract made by the Council will comply with the Contracts Procedure Rules set out in **Part 4** of this **Constitution**.

SECTION F – FINANCIAL PROCEDURE RULES

Rules

1. Introduction
2. Financial Regulation A - Financial Management
3. Financial Regulation B - Financial Planning
4. Financial Regulation C - Risk Management and Control of Resources
5. Financial Regulation D - Systems and Procedures
6. Financial Regulation E - External Arrangements
7. Call-in of Decisions Outside the Budget or Policy Framework
8. Suspension

SECTION F – FINANCIAL PROCEDURE RULES

1. Introduction

1.1 What are the Financial Procedure Rules?

- 1.1.1 Section 151 of the Local Government Act 1972 states that “every authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their Officers has responsibility for the administration of those affairs”.
- 1.1.2 Financial Procedure Rules provide the framework for managing the Council’s financial affairs and are supported by more detailed Financial Management Standards which set out how the procedures will be implemented.
- 1.1.3 The procedures identify the financial responsibilities of **Full Council**, the **Cabinet** and **Officers**.
- 1.1.4 To avoid the need for regular amendment due to changes in post titles generic terms are included for Officers as follows:
 - a) The term, “**S151 Officer**,” refers to the Section 151 Officer who is currently the Council’s Head of Finance.
 - b) The term, “**Chief Officers**”, refers to the Council’s **Chief Executive** and **Strategic Directors**.
 - c) The term, “**Monitoring Officer**”, refers to the Head of Legal and Commercial Services.
 - d) The term, “Chief Internal Auditor”, refers to the Audit Manager.
 - e) The term “Budgetholder” refers to any Officer with designated responsibility for a revenue and/or capital cost centre in the annually agreed revenue budget and capital programme. The budgetholder is responsible for financial management and compliance with these rules. This might include **Chief Executive**, **Strategic Directors**, Heads of Service and **Team Managers**.

1.2 Why are they important?

- 1.2.1 To conduct its business effectively, the Council needs to ensure that sound financial management arrangements are in place and that they are strictly adhered to in practice. Part of this process is the establishment of Financial Procedure Rules which set out the financial responsibilities of the Council. These rules have been devised as a control to help the Council manage its financial matters properly in compliance with all necessary requirements.

- 1.1.2 Good, sound financial management is a key element of corporate governance which helps to ensure that the Council is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.
- 1.1.3 Good financial management secures value for money, controls spending, ensures due probity of transactions and allows decisions to be informed by accurate accounting information.
- 1.1.4 Good financial management requires secure and reliable records and systems to process transactions and information and substantiate the effective use of public money.
- 1.1.5 These Financial Procedure Rules should not be seen in isolation but rather as part of the overall regulatory framework of the Council as set out in this **Constitution**.

1.3 **Who do Financial Procedure Rules apply to?**

- 1.3.1 These Financial Procedure Rules apply to every **Councillor** and **Officer** of the Council and anyone acting on its behalf. Councillors and Officers have a general responsibility for taking reasonable action to provide for the security and use of the resources and assets under their control and for ensuring that the use of such resources and assets is legal, is consistent with Council policies and priorities, is properly authorised, provides value for money and achieves best value.
- 1.3.2 These Financial Procedure Rules shall apply in relation to any partnership for which the Council is the accountable body, unless the Council expressly agrees otherwise.
- 1.3.3 Failure to observe these Financial Procedure Rules may result in action under the Council's disciplinary procedures.

1.4 **Who is responsible for ensuring that they are applied?**

- 1.4.1 **Chief Officers** and Heads of Service are ultimately responsible to the Council for ensuring that these Financial Procedure Rules are applied and observed by his/her staff and contractors providing services on the Council's behalf and for reporting to the **S151 Officer** any known or suspected breaches of the procedures.
- 1.4.2 The **S151 Officer** is responsible for maintaining a continuous review of the Financial Procedure Rules and submitting any additions or changes necessary to the Council for approval. The S151 Officer is also responsible for reporting, where appropriate, breaches of the Financial Procedure Rules to the Council and/or to the **Cabinet Members**.

- 1.4.3 The **S151 Officer** is responsible for issuing advice and guidance to underpin the Financial Procedure Rules which **Councillors, Chief Officers** and others acting on behalf of the Council are required to follow.
- 1.4.4 Any person charged with the use or care of the **Council's** resources and assets should inform him/herself of the Council's requirements under these Financial Procedure Rules. If anyone is in any doubt as to their obligations, then they should seek advice.
- 1.4.5 Where any **Chief Officer** considers that complying with these Financial Procedure Rules in a particular situation might conflict with the achievement of value for money or the principles of Best Value or the best interests of the Council, he/she shall raise the issue with the **S151 Officer** who will, if he/she considers necessary and appropriate, seek formal approval from the Council for a specific waiver of the procedures, or an amendment to the procedures themselves.

2. **Financial Regulation A: Financial Management**

Introduction

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

The Full Council

- A.2 **Full Council** is responsible for adopting the **Constitution** and the **Councillors' Code of Conduct** in **Part 4** and for approving the policy framework and budget within which the Cabinet operates. It is also responsible for approving and monitoring compliance with the Council's overall framework of accountability and control. The framework is set out in its Constitution. Full Council is also responsible for monitoring compliance with the agreed policy and related Cabinet decisions.
- A.3 **Full Council** is responsible for approving procedures for recording and reporting decisions taken. This includes those key decisions delegated by and decisions taken by the Council and its Boards. These delegations and details of who has responsibility for which decisions are set out in the **Constitution**.

The Cabinet

- A.4 The Cabinet is responsible for proposing the policy framework and budget to the **Full Council** and for discharging **Executive Functions** in accordance with the policy framework and budget.

A.5 Cabinet decisions can be delegated to a **Sub-Committee** of the Cabinet, an individual **Cabinet Member** or an **Officer**.

A.6 Where A.5 occurs, the **Cabinet** is responsible for establishing protocols to ensure that individual **Cabinet Members** consult with relevant **Officers** before taking a decision within his, her or their delegated authority. In doing so, the individual Cabinet Member must take account of legal and financial liabilities and risk management issues that may arise from the decision.

Scrutiny Committees

A.7 The **Scrutiny Committees** are responsible for scrutinising executive decisions before or after they have been implemented and for holding the **Cabinet** to account. The Scrutiny Committees are also responsible for making recommendations on future policy options and for reviewing the general policy and service delivery of the Council.

Audit and Governance Committee

A.8 The **Audit and Governance Committee** is established by the **Full Council** and is responsible for promoting and maintaining high standards of conduct amongst **Councillors**. In particular, it is responsible for advising the **Council** on the adoption and revision of the **Councillors' Code of Conduct** in **Part 4**, and for monitoring the operation of the code. It may also make recommendations to the Full Council on the **Constitution**.

Other Regulatory Committees

A.9 Planning and licensing are not **Executive Functions** but are exercised through the multiparty **Planning** and **Licensing Committees** under powers delegated by the **Full Council**. The Planning and Licensing Committees report to the Full Council.

The Statutory Officers

Head of Paid Service (Chief Executive)

A.10 The Head of Paid Service is responsible for the corporate and overall strategic management of the Council as a whole. He/she must report to and provide information for the Cabinet, the **Full Council**, the **Scrutiny Committees** and other **Committees**. He/she is responsible for establishing a framework for management direction, style and standards and for monitoring the performance of the organisation. The Head of Paid Service is also responsible, together with the Monitoring Officer, for the system of record keeping in relation to all the Full Council's decisions (see below).

Monitoring Officer

- A.11 The Monitoring Officer is responsible for promoting and maintaining high standards of financial conduct and therefore provides support to the **Audit and Governance Committee**. The Monitoring Officer is also responsible for reporting any actual or potential breaches of the law or maladministration to the **Full Council** and/or to the Cabinet, and for ensuring that procedures for recording and reporting key decisions are operating effectively.
- A.12 The **Monitoring Officer** must ensure that executive decisions and the reasons for them are made public. He/she must also ensure that **Councillors** are aware of decisions made by the Cabinet and of those made by **Officers** who have delegated executive responsibility.
- A.13 The **Monitoring Officer** is responsible for advising all councillors and Officers about who has authority to take a particular decision.
- A.14 The **Monitoring Officer** is responsible for advising the Cabinet or **Full Council** about whether a decision is likely to be considered contrary or not wholly in accordance with the policy framework.
- A.15 The **Monitoring Officer**, together with the **Chief Executive**, is responsible for advising the **Cabinet** or **Full Council** about whether a decision is likely to be considered contrary or not wholly in accordance with the budget. Actions that may be 'contrary to the budget' include:
- initiating a new policy
 - committing expenditure in future years to above the budget
 - level incurring transfers contrary to virement rules and limits
 - causing the total expenditure financed from council tax, grants and corporately held reserves to increase, or to increase by more than a specified amount.
- A.16 The **Monitoring Officer** is responsible for maintaining an up-to-date **Constitution**.

S151 Officer (See A Statement on the Role of the Finance Director in Local Government (CIPFA))

- A.17 The **S151 Officer** has statutory duties in relation to the financial administration and stewardship of the Council. 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 2003 and 2015.

A.18 The **S151 Officer** is responsible for:

the proper administration of the Council's financial affairs;

setting and monitoring compliance with financial management standards;

advising on the corporate financial position and on the key financial controls necessary to secure sound financial management;

providing financial information;

preparing the revenue budget and capital programme;

Treasury Management and prudential indicators.

A.19 The **S151 Officer** shall:

- i. report to the **Cabinet** with respect to the level of financial resources estimated to be available in each financial year;
- ii. report to the Cabinet quarterly with an annual outturn on the Council's financial position and performance;
- iii. report to the Cabinet in respect of the Medium Term Financial Strategy.

A.20 Section 114 of the Local Government Finance Act 1988 requires the **S151 Officer** to report to **Full Council**, Cabinet and the External Auditor if the Council or one of its Officers:

has made, or is about to make, a decision which involves incurring unlawful expenditure;

has taken, or is about to take, an unlawful action which has resulted or would result in a loss or deficiency to the Council;

is about to make an unlawful entry in the Council's

accounts. Section 114 of the 1988 Act also requires:

the S151 Officer to nominate a properly qualified member of staff to deputise should he/she be unable to perform the duties under Section 114 personally;

the Council to provide the S151 Officer with sufficient staff, accommodation and other resources - including legal advice where this is necessary - to carry out the duties under Section 114.

Other Officers

Budget holders

- A.21 The Budget holders are responsible for ensuring that Heads of Service and the relevant **Strategic Director** are advised of the financial implications of all proposals and that the financial implications have been agreed by the S151 Officer. The Strategic Director shall then in turn advise **Cabinet**.
- A.22 It is the responsibility of the Budget holder to consult with the **S151 Officer** and seek approval on any matter liable to affect the Council's finances materially, before any commitments are incurred.
- A.23 Budget holders are responsible for the control and accountability of resources consumed and generated by their service areas.

Other Financial Accountabilities

Virement

- A.24 **Full Council** is responsible for agreeing procedures for virement of expenditure between budget headings. The definition of a virement is set out in Section 5 of the Policy & Budget Framework as follows:

*Steps taken by the Cabinet, a Cabinet Member, a group of the Cabinet, or Officers, or joint arrangements to implement Council policy shall not exceed the budgets allocated to each relevant budget head. However, such bodies or individuals shall be entitled to vire across budget heads within such limits as shall be laid down in the Financial Procedure Rules. Beyond those limits, approval to any virement across budget heads shall require the approval of the **Full Council**.*

A virement is defined as where one or more budget(s) are reduced to fund an increase in another budget(s). There is no net change in the total budget agreed by Council arising from a virement.

- A.25 The table below sets out the approval level required based on the value of the virement.

Value	Approval Level Required		
	Within a Budget Head	Between Budget Heads in same Directorate	Between Directorates
Between £0 - £4,999	Heads of Service	Heads of Service	Heads of Service
Between £5,000 and £24,999	Heads of Service and Strategic	Strategic Directors and Portfolio	Strategic Directors and Portfolio Holder(s)

	Directors	Holder(s)	
Between £25,000 and £99,999	Strategic Directors and Portfolio Holder(s)	Strategic Directors and Portfolio Holder(s)	Strategic Directors and Portfolio Holder(s)
Between £100,000 and £249,999	Cabinet	Cabinet	Cabinet
£250,000 and over	Full Council	Full Council	Full Council
Notes: 1. In all circumstances virements require approval by the S151 Officer. 2. All relevant parties listed above must be in agreement. 3. Virements should not be artificially disaggregated. 4. Virement rules apply to capital and revenue.			

Supplementary Estimates

A.26 A supplementary estimate is an addition to the Council's agreed budget. Supplementary estimates can be one-offs, or recurring. In either case, supplementary estimates should only be considered after all other options, such as virements, or savings, have been considered. Supplementary estimates include budgets fully funded by external grant or contribution.

A.27 The table below sets out the approval level required based on the value of the supplementary estimates.

Value	Approval Level Required	
	Fully Externally Funded	Requires Council Funding
Between £0 and £99,999	Head of Service [then reported to Cabinet at next meeting]	Cabinet
Between £100,000 and £249,999	Cabinet	Cabinet
£250,000 and over	Full Council	Full Council
Notes: 1. In all circumstances Supplementary Estimates require approval by the S151 Officer. 2. Council funding includes (but is not limited to) revenue budget, reserves, Section 106, capital receipts and borrowing. S151 Officer decision will undertaken an assessment. 3. Supplementary Estimates should not be artificially disaggregated. 4. Supplementary Estimates rules apply to capital and revenue.		

A.28 Where in exceptional or unexpected circumstances a Directorate is faced with a material increase in its net expenditure, which cannot reasonably be contained within its resource allocation figure for the year, the **Chief Executive** or **Strategic Directors** must (wherever possible, prior to

incurring the expenditure) submit a request to **Cabinet** or **Council** for a supplementary estimate to cover the additional expenditure. The Cabinet or Council will also decide how the expenditure will be funded, e.g. from grant, revenue, reserve, loan or otherwise.

Monitoring of Expenditure

- A.29 The **Chief Executive, Strategic Directors** and Heads of Service shall monitor revenue expenditure and the Asset Management Group shall monitor Capital expenditure on a regular basis. Significant matters will be reported to the Cabinet as necessary.

Treatment of Year-end Balances

- A.30 **Full Council** is responsible for agreeing procedures for carrying forward under and overspendings on budget headings.

Accounting Policies

- A.31 The **S151 Officer** is responsible for selecting accounting policies and ensuring that they are applied consistently.

Accounting Records and Returns

- A.32 The **S151 Officer** is responsible for determining the accounting procedures and records for the Council.

The Annual Statement of Accounts

- A.33 The **S151 Officer** is responsible for ensuring that the annual statement of accounts is prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom: A Statement of Recommended Practice (CIPFA/LASAAC). Approving the annual statement of accounts is a **Council** function that has been delegated to the **Audit and Governance Committee**.

3. Financial Regulation B: Financial Planning

Introduction

- B.1 **Full Council** is responsible for agreeing the Council's **Budget and Policy Framework**, which will be proposed by the Cabinet. In terms of financial planning, the key elements are:

the corporate

plan; the

budget;

the capital programme; and

the medium term financial strategy.

Policy Framework

B.2 **Full Council** is responsible for approving the **Budget and Policy Framework** (which is detailed in **Section C** of **Part 2**).

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

B.4 **Full Council** is responsible for setting the level at which the Cabinet may reallocate budget funds from one service to another. The Cabinet is responsible for taking in-year decisions on resources and priorities in order to deliver the budget policy framework within the financial limits set by the Council.

Preparation of the Council's Delivery Plan

B.5 The **Head of Paid Service** is responsible for proposing the Delivery Plan to the Cabinet for consideration before its submission to the **Full Council** for approval.

Budgeting

B.6 The **S151 Officer** shall report annually to the **Cabinet** on the details of capital and revenue estimates for all the council's functions. He/she shall prepare and update annually a five-year rolling revenue budget forecast. Each year the Cabinet shall consider and recommend, based on corporate priorities, the strategic allocation of resources to services and submit a report to Council.

B.7 The format and timescale of the estimates shall be determined by the S151 Officer. It is the responsibility of the **Strategic Directors**, Heads of Service and **Team Managers** to ensure that budget estimates reflecting agreed service plans are submitted to the **S151 Officer** and that these are prepared and submitted as directed by the S151 Officer.

Budget Monitoring and Control

B.8 The **Chief Executive**, **S151 Officer**, **Strategic Directors**, Heads of Service and Team Managers shall:

- a) only incur revenue expenditure where there is an approved budget provision in that financial year;

- b) only incur capital expenditure where that project is in the Council's capital programme as applied to that financial year;

The S151 Officer is responsible for providing appropriate financial information to enable budgets to be monitored effectively. He/she must monitor and control expenditure against budget allocations and report to the Cabinet on the overall position on a regular basis.

It is the responsibility of Team Managers to control income and expenditure within their area and to monitor performance, taking account of financial information provided by the S151 Officer. They should report on variances within their own areas. They should also take any action necessary to avoid exceeding their budget allocation and alert the S151 Officer to any problems.

Budgetary Control - Capital

B.9 In addition to B8 above, the following Financial Regulations shall apply:

- a) whenever a new capital project is considered desirable, the **Chief Executive** or **Strategic Directors** shall (after submitting the project (with a Project Benefit Analysis) to the Asset Management Group and Corporate Leadership Team) submit the project to the Cabinet which shall, after considering advice from the **S151 Officer** (to include the implications of the Prudential Code if applicable and any current and future revenue implications) and other appropriate Officers, make recommendations to the Council as to its acceptance or otherwise, indicating where appropriate its inclusion on the Long Term Capital Projects List and the level of priority for its implementation;
- b) subject to (c) below, approval by **Council** of the Capital Programme shall be a prerequisite for the commencement of a project and to enter into a contract;
- c) notwithstanding approval in the Capital Programme, if the proposed or actual expenditure (excluding supervision costs) exceed the approved estimate, the **Team Manager** shall, before proceeding, refer the proposal, with the comments of the S151 Officer, to the Cabinet;
- d) any re-phasing of capital expenditure between years shall be subject to approval by the S151 Officer;
- e) the S151 Officer is empowered to authorise spending in an emergency on any unforeseen health and safety work relating to a project.

Emergencies or Disasters

- B.10 In the event of an emergency or disaster, these Financial Regulations shall be suspended and the **Chief Executive, Strategic Directors** and/or the **S151 Officer** be given delegated powers to take any action deemed necessary in respect of the financial matters of the Council, subject to such action being reported to the Cabinet.

Maintenance of Reserves

- B.11 It is the responsibility of the **S151 Officer** to advise the **Cabinet** and/or **Full Council** on prudent levels of reserves for the Council.

4. Financial Regulation C: Risk Management and Control of Resources

Introduction

- C.1 It is essential that robust, integrated systems are developed and maintained for identifying and evaluating all significant operational risks to the Council. This should include the proactive participation of all those associated with planning and delivering services.

Risk Management

- C.2 The **Cabinet** is responsible for approving the Council's risk management policy statement and strategy and for reviewing the effectiveness of risk management. The Cabinet is responsible for ensuring that proper insurance exists where appropriate.
- C.3 The **S151 Officer** is responsible for preparing the Council's risk management policy statement, for promoting it throughout the Council and for advising the Cabinet on proper insurance cover where appropriate.

Internal Control

- C.4 Internal control refers to the systems of control devised by management to help ensure the Council's objectives are achieved in a manner that promotes economical, efficient and effective use of resources and that the Council's assets and interests are safeguarded.
- C.5 The **S151 Officer** is responsible for advising on effective systems of internal control. These arrangements need to ensure compliance with all applicable statutes and regulations, and other relevant statements of best practice. They should ensure that public funds are properly safeguarded and used economically, efficiently, and in accordance with the statutory and other authorities that govern their use.
- C.6 It is the responsibility of the **Chief Executive, Strategic Directors, Heads of Service and Team Managers** to establish sound arrangements for planning, appraising, authorising and controlling their operations in order

to achieve continuous improvement, economy, efficiency and effectiveness and for achieving their financial performance targets.

- C.7 The duties of providing information regarding any sums of money due to or from the Council and of calculating, checking and recording such amounts, shall be separated as completely as possible from the duty of collecting or disbursing them.

Audit requirements

- C.8 The Audit Manager and the **S151 Officer** have a responsibility for ensuring that the Council has an adequate and effective internal audit service in operation in accordance with Section 151 of the Local Government Act 1972 and the Accounts and Audit Regulations 2015.
- C.9. The work of the Internal Audit Section will be performed with due professional care and in accordance with the Accounts and Audit Regulations 2015 and the **Public Sector Internal Audit Standards** (PSIAS) and any subsequent guidance which updates or replaces these.
- C.10 Internal Audit is an assurance function which primarily provides an independent and objective opinion to the Council on its governance arrangements and internal controls.
- C.11 The Audit Manager will fulfil the role and responsibilities of the “Chief Audit Executive” as set-out in the PSIAS. In order to perform their duties, the Audit Manager or their nominated representatives have authority to:
- a) enter at all reasonable times, any Council premises or land;
 - b) have access to all records, documents, correspondence and computer systems relating to the Council and its activities;
 - c) require and receive such explanations as necessary concerning any matter under examination;
 - d) require any employee of the Council to produce records, cash, stores or any other Council property under their control, necessary to carry out their duties.

Where necessary such rights of access may be called upon and should be granted to Internal Auditors on demand and not subject to prior notice or approval. All employees are required to assist Internal Audit in fulfilling its roles and responsibilities.

- C.12 Managers, and not Internal Audit, have ultimate responsibility for ensuring that internal controls throughout the Council are adequate and effective. This responsibility includes the duty to continuously review internal controls and ensure that they remain suitable in design and effective in operation. The existence of Internal Audit does not diminish the

responsibility of management to establish and maintain systems of internal control to ensure that activities are conducted in a secure, efficient and effective manner.

Stores and Inventories

- C.13 Each Team Manager shall be responsible for the custody and physical control of the stocks and stores in his/her service area and the records kept by the storekeepers shall be prescribed by the **S151 Officer**. Wherever possible, stocks and stores should be marked as the property of the Council.
- C.14 Each Team Manager, in conjunction with the **S151 Officer**, shall make arrangements for continual stock-taking covering all items at least once per year. Stock-taking procedures shall be conducted by Officers independent of the day to day activities within the system. Any surpluses or deficiencies revealed shall be reported to the S151 Officer who shall, in conjunction with the appropriate Team Manager, agree any action required/recommend to the Cabinet any action considered necessary.
- C.15 Stocks shall be maintained within the minimum and maximum levels determined by the appropriate Team Manager, and the maximum level shall not be exceeded, except in special circumstances with the approval of the S151 Officer.
- C.16 Each Team Manager shall prepare and maintain an inventory in a form approved by the **S151 Officer**. The inventory shall include movable plant and machinery, rolling stock, furniture, fittings and equipment. The only exception is office stationery equipment (for example; calculators, hole punches, staplers, waste bins).

In addition to the divisional inventory, equipment purchased by the Information Technology Section, including that purchased on behalf of other Services, shall be recorded on the Information Technology inventory.

- C.17 All inventories shall be checked annually by Team Managers. Individual surpluses or deficiencies over £50 shall be dealt with in the manner prescribed for stores in paragraph C.14 (above). Where individual inventory items with an estimated value below £50 become surplus to requirements, the Council has a procedure for dealing with such items, which shall be adhered to.
- C.18 The Council's property shall not be removed otherwise than in accordance with the ordinary course of the Council's business or used otherwise than for the Council's purposes except in accordance with specific directions issued by the relevant Team Manager.
- C.19 All items appearing on the Inventory shall be indelibly marked as property of the Council.

Security

- C.20 Each Team Manager shall be responsible for maintaining proper security at all times for all buildings, stocks, stores, furniture, equipment, cash, etc. under his/her control. He/she shall consult the **S151 Officer** in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.
- C.21 The maximum limit for cash holdings shall be agreed with the S151 Officer and shall not be exceeded without his/her express permission.
- C.22 Keys to safes and similar receptacles are to be carried on the person of those responsible at all times. The loss of such keys must be reported to the S151 Officer immediately the loss is discovered.
- C.23 The **S151 Officer** shall be responsible for maintaining proper security and privacy as respects information held on computer for its use, in accordance with the Data Protection Acts 1984 and 1998, the Computer Misuse Act 1990 and the Freedom of Information Act 2000.

Banking Arrangements

- C.24 All arrangements with the Council's Bankers shall be made by or under arrangements approved by the **S151 Officer**, who shall be authorised to operate such banking accounts as he/she may consider necessary. Such arrangements shall be reported to the Cabinet from time-to-time.
- C.25 Transfers from accounts (but not between accounts) shall not be made unless authorised by one of the Financial Signatories to the Council.
- C.26 The **S151 Officer** shall be responsible for the ordering and custody of cheques to meet payments by him/her on behalf of the Council. Cheques shall be prepared, verified and accounted for under the direction of the S151 Officer and signed by him/her or one of the Financial Signatories to the Council provided that, for the purpose of this regulation only, 'signature' shall include the printed/facsimile signature of the S151 Officer.

Petty Cash and Float Accounts

- C.27 The **S151 Officer** shall issue guidance as to the operation and management of these accounts.
- C.28 **Team Managers** shall ensure that:
- (a) disbursements (other than renewal of imprest) shall be limited to expenses which are unavoidable and urgent. No single item exceeding £50 in amount (unless specifically authorised by the S151 Officer) shall be paid out of the petty cash account. All payments shall be

supported by a receipted voucher to the extent that the S151 Officer may require and in particular to enable the recovery of Value Added Tax.

- (b) each account is accurately maintained on an imprest system;
- (c) such accounts are not used for depositing income nor for employees personal expenditure;
- (d) an Officer responsible for an account shall make adequate arrangements for the security of cash and accounting records;
- (e) On leaving the employment of the Council or otherwise ceasing to hold an imprest advance, an Officer shall account to the S151 Officer for the amounts advanced to him/her and payments made.

Treasury Management

- C.29 The Council has adopted CIPFA's Code of Practice for Treasury Management in the Public Services.
- C.30 The **Full Council** is responsible for approving the **Treasury Management** Policy Statement setting out the matters detailed in paragraph 15 of CIPFA's Code of Practice for Treasury Management in the Public Services. The policy statement is proposed to the Full Council by the Cabinet. The **S151 Officer** has delegated responsibility for implementing and monitoring the statement.
- C.31 All money in the hands of the Council shall be aggregated for the purpose of **Treasury Management** and shall be under the control of the **S151 Officer**.
- C.32 The S151 Officer is responsible for reporting to the Cabinet a proposed **Treasury Management** Strategy for the coming financial year at or before the start of each financial year.
- C.33 All Cabinet decisions on borrowing, investment or financing shall be delegated to the **S151 Officer**, who is required to act in accordance with CIPFA's Code of Practice for Treasury Management in the Public Services.
- C.34 The **S151 Officer** is responsible for reporting annually to the Cabinet on the activities of the **Treasury Management** operation and on the exercise of his/her delegated Treasury Management powers.

Staffing

- C.35 The **Full Council** is responsible for determining how Officer support for

Cabinet and non-executive roles within the Council will be organised.

- C.36 The **Chief Executive, Strategic Directors**, Heads of Service and Team Managers are responsible for providing overall management to staff. The Human Resources Team Manager is responsible for ensuring that there is proper use of the evaluation or other agreed systems for determining the remuneration of a job.
- C.37 The **Chief Executive, Strategic Directors**, Heads of Service and Team Managers are responsible for controlling total staff numbers by:
- (a) advising the **Cabinet** on the budget necessary in any given year to cover estimated staffing levels;
 - (b) adjusting the staffing to a level that can be funded within approved budget provision;
 - (c) varying the provision as necessary within that constraint in order to meet changing operational needs; and
 - (d) the proper use of appointment procedures.

Insurances

- C.38 The **S151 Officer** shall effect all insurance cover and register all claims in consultation with other Officers where necessary.
- C.39 Team Managers shall give prompt notification to the **S151 Officer** in writing of all new risks, properties, vehicles or other assets which require to be insured and of any alterations affecting existing insurances.
- C.40 Team Managers shall immediately notify the **S151 Officer** in writing of any loss, liability or damage or any event likely to lead to a claim and inform the police where necessary unless otherwise decided by the **Chief Executive**.
- C.41 All appropriate employees of the Council shall be included in a suitable fidelity guarantee insurance.
- C.42 The S151 Officer shall annually, or at such other period as he/she may consider necessary, review all insurances in consultation with other Team Managers as appropriate.
- C.43 Team Managers shall consult the **S151 Officer** respecting the terms of any indemnity which the Council is requested to give.
- C.44 Team Managers shall ensure that their employees are aware of any limitation of cover, e.g. motor insurance covering official duty only.
- C.45 Where a claim arises which is less than or equal to the value of the excess

on any policy, the Team Manager shall submit a written request to the S151 Officer to make a specific financial offer. The request must be supported by reasons in favour of settlement and can only be signed by the **Chief Executive, S151 Officer** or Team Manager.

Contracts

- C.46 The **S151 Officer** shall advise upon the financial aspects of all contracts before acceptance and shall keep a contracts register showing particulars of all contracts entered into by the Council for the execution of work and of payment made under such contracts. The S151 Officer shall retain copies of all contract documents and keep an appropriate register.
- C.47 The appointed Supervising Officer in control of the works shall give written orders in respect of all variations from the specification of the works included in the contracts and copies of these orders shall be forwarded to the S151 Officer with the estimated variations in cost noted thereon. Any such extra variation, where the estimated additional cost of which exceeds 5%, shall be reported to the appropriate Board as soon as practicable with details of the reason for the additional cost and the proposed method of funding the extra cost.
- C.48 Payments to contractors on account of contracts shall be made only on a certificate issued by the Supervising Officer in control of the works which shall show the total amount of the contract, the value of work executed to date, retention money, amount paid to date and amount certified as due. Details, variations and fluctuations included in the value of work to date shall accompany the certificate.
- C.49 On completion of a contract and before the issue of the certificate for final payment thereunder, the appointed Supervising Officer shall produce to the Audit Manager a detailed statement of the work under the contract, with all vouchers and documents relating to prime cost and provisional sums and any other particulars required showing full measurements, additions, deductions and omissions. The Final Certificate shall not be issued nor shall the contractor be informed that the final account is agreed and the balance under the contract paid until:
- (a) the Audit Manager has examined the accounts, vouchers and documents, and approved the final account.
 - (b)
 - (c) If any question of propriety of payment arises, the Cabinet shall have directed payment.
- C.50 Claims from contractors in respect of matters not clearly within the terms of an existing contract shall be referred to the **Chief Executive/Monitoring Officer** for consideration of the Council's legal liability and where necessary, to the **S151 Officer** for financial consideration before a settlement is reached.

- C.51 Where completion of a contract is delayed beyond the completion date or any properly authorised extension thereof, it shall be the duty of the Supervising Officer to take appropriate action in respect of any claim for liquidated damages.
- C.52 In any case where the total cost of any work carried out under a contract exceeds by more than 10%, or £10,000, whichever is the lesser amount, the approved contract sum, a report of such cost shall, after agreement of the final account, be submitted to the appropriate Board by the appropriate **Head of Service** detailing any additional cost and proposed method of funding not previously reported under Regulation C.47.
- C.53 Subject to the expenditure on such matters being included in approved estimates, all orders or contracts for the supply of goods or materials or for the execution of work shall comply with the **Contract Procedure Rules** in **Part 3**.
- C.54 When, in exceptional circumstances authority is sought to waive **Financial Procedure Rules**, the report to the appropriate Board must give adequate reasons and specify precisely the procedures to be waived.

Salaries

- C.55 The payment of all salaries, wages and other emoluments to all employees of the Council shall be made by the **S151 Officer** and under arrangements approved and controlled by him/her.
- C.56 The **S151 Officer** shall be responsible for all records relating to National Insurance, Income Tax, Superannuation and Statutory Sick Pay. The Human Resources **Team Manager** shall be responsible for the issue of statements under the Contracts of Employment Acts.
- C.57 Each **Head of Service** shall be responsible for the completion of timesheets by employees, other than Officers, under his/her control and for their evaluation and certification. Timesheets shall be forwarded to the S151 Officer in accordance with his/her directions, who shall be responsible for the preparation of salaries or wages. The Head of Service concerned, under the directions of the S151 Officer shall be responsible for the provision of transport and staff for the payment of salaries or wages.
- C.58 Each **Head of Service** shall notify the **S151 Officer**, as soon as possible, and in a form prescribed by him/her, of all matters affecting payment of salaries and wages and in particular:
- (a) appointments, resignations, dismissals, suspensions, secondment and transfers.
 - (b) Absences from duty for sickness or other reason, apart from approved leave with pay.

- (c) Changes in remuneration, other than normal increments, pay awards and agreements of general application.
- (d) Information necessary to maintain records of service for superannuation, income tax, national insurance, etc.

C.59 Each **Head of Service**, in conjunction with the Human Resources Team Manager, shall make arrangements to annually confirm the authenticity of those employees appearing on the payroll for his/her Service. Such arrangements shall include the verification of individual rates of pay.

Leasing

C.60 All items proposed to be leased shall be approved by the Council prior to arrangements being made.

C.61 All leasing agreements will be arranged and agreed by the **S151 Officer**. An agreement can only be signed on behalf of the Council, by the **Chief Executive** or the S151 Officer, providing that the revenue estimate is not exceeded.

C.62 The **Head of Service** responsible for the goods to be leased shall provide the S151 Officer with such information as is required by him/her in order to obtain the best and most appropriate type of lease possible.

5. Financial Regulation D: Systems and Procedures

Introduction

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

General

D.2 The **S151 Officer** is responsible for the operation of the Council's accounting systems, the form of accounts and the supporting financial records. Any changes proposed by the **Chief Executive, Strategic Directors**, Heads of Service and Team Managers to the existing financial systems or the establishment of new systems must be approved by the S151 Officer. However, the Chief Executive, Strategic Directors, Heads of Service and Team Managers are responsible for the proper operation of financial processes in their own Services.

D.3 The **Chief Executive, Strategic Directors**, Heads of Service and Team Managers should ensure that their staff receive relevant financial training that has been approved by the **S151 Officer**.

D.4. The **Chief Executive, Strategic Directors**, Heads of Service and Team

Managers must ensure that, where appropriate, computer and other systems are registered in accordance with data protection legislation. Team Managers must ensure that staff are aware of their responsibilities under freedom of information legislation.

Authorised Signatories

- D.5 It is the responsibility of the **Chief Executive, Strategic Directors** and Heads of Service to ensure that a proper Officer Scheme of Delegation has been established within their area and is operating effectively. The Officer Scheme of Delegation should identify staff authorised to act on their behalf in respect of payments, income collection and placing orders, together with the financial limits of their authority. The financial limits will be determined by the Council's Corporate Leadership Team. Team Managers shall ensure that specimen signatures and initials of such authorised staff are sent to the **S151 Officer** and such records shall be amended by the Team Manager on the occasion of any change therein.

Control of Expenditure

- D.6 Orders for goods and services shall not be issued unless the expenditure is included in an approved estimate or other specified financial provision.
- D.7 All orders shall be in writing, signed by the appropriate Team Manager or such other Officer as nominated by him/her and notified to the **S151 Officer**.
- D.8 Official orders shall be issued for all work, goods or services to be supplied to the Council except for supplies of public utility service; and for periodical payments such as rent or rates/local tax, for petty cash purchases or such other exceptions as the **S151 Officer** may approve.
- D.9 Each order shall conform to the directions of the Council with respect to central purchasing, use of contracts and the standardisation of supplies and materials and be in a form approved by the **S151 Officer** in accordance with Regulation D.2 above.
- D.10 Monied invoices and/or delivery notes should, where appropriate, accompany the delivery of goods and the receiving Officer must certify thereon, at the time of delivery, receipt of the goods. Where ordered and delivered by weight or volume the receiving Officer shall make such periodical tests as are necessary to ensure that the quantities charged have actually been delivered.
- D.11 All invoices, accounts and claims relating to amounts due from the Council shall be checked in the Service concerned and such checking being indicated by the initials of the examining Officer and certified by the appropriate Team Managers or such other Officer as nominated by him/her. The number of the official order and the head of expenditure to which it relates must be indicated thereon. Expenditure/income should be

coded in accordance with instructions issued by the **S151 Officer**, with VAT appropriately identified in order that the S151 Officer may recover output tax (VAT). A VAT invoice/receipt must be obtained in all appropriate cases.

D.12 The Team Managers concerned shall be responsible for the accuracy of accounts submitted for payment which shall be signed by the Team Managers or authorised Officer in accordance with regulation D.5. The passing of an account for payment by or on behalf of the Team Managers shall mean:

- (a) that the materials have been supplied, the work performed or the services rendered and that they are satisfactory as to quality and correct as to quantity;
- (b) that the price is in accordance with quotations, contract agreement or current market rate whichever is applicable;
- (c) that the account is allocated to the correct expenditure heading;
- (d) that all trade and cash discounts and other proper allowances have been deducted;
- (e) that the account has not been previously paid and that the copy of the official order has been marked off to prevent duplicate payment;
- (f) that the account is arithmetically correct unless a variation has been agreed by the **S151 Officer**;
- (g) that the expenditure is within the Council's legal powers.

NOTE: The passing of an account for payment by a Team Manager or authorised Officer confirms that he/she is satisfied that all necessary steps in the certification procedure have been satisfactorily carried out.

Accordingly, it is for the Team Manager or authorised Officer to recognise the initials of Officers carrying out this preliminary certification procedure as those of Officers who are in a position to satisfactorily perform the work responsibly. It is essential that a minimum of two Officers at least should be involved in the preliminary certifications in order that the Officer certifying that the goods have been supplied or the work done is different from the Officer certifying the remaining items. It is also desirable that the making out of official orders and the entering of goods received records are undertaken by different Officers and that this should be divorced from the certification of invoices although it is appreciated that this is not always possible in smaller Services. A Team Manager who delegates the certification of accounts should satisfy him/herself that the procedure is operating satisfactorily by signing all accounts personally from time-to-time).

- D.13 Before authorising payments to a sub-contractor, as defined by the Inland Revenue, for construction work carried out, the certifying Officer of the Service concerned shall satisfy him/herself that the sub-contractor to whom payment is due is the holder of a valid Sub-Contractors Tax Certificate issued by the Inland Revenue, otherwise tax at the appropriate rate must be deducted as required by any statutory provisions in being at that time.
- D.14 Invoices made out by an Officer of the ordering Service and statements unaccompanied by the relative invoices and delivery notes, copy invoices or reminders shall not be accepted as a basis for payment.
- D.15 In all cases of purchase of property, the S151 Officer shall be the authorising Officer. When requesting payment he/she shall provide full particulars of the property, the name of the vendor/purchaser, the amount of purchase money, expenses and Minute authorisation. Full particulars of the property purchased shall be entered in the official Register of Properties kept by the S151 Officer.
- D.16 Duly certified accounts shall be passed without delay to the S151 Officer who shall examine them to the extent that he/she considers necessary, for which purpose he/she shall be entitled to make such enquiries and to receive such information and explanation as he/she may require.
- D.17 The S151 Officer shall be authorised to pay all accounts duly certified in accordance with these regulations. The normal method of payment shall be by cheque, BACS or other instrument drawn on the Council's banking account.
- D.18 Each Head of Service/Team Manager shall, as soon as possible after 31 March and no later than detailed in the final accounts timetable each year, notify the S151 Officer of outstanding expenditure relating to the previous financial year.

Control of Income

- D.19 All arrangements for the collection of monies due to the Council shall be subject to approval by the **S151 Officer** in conjunction with the appropriate Team Manager and the S151 Officer shall set up debits for all items of income due. No such items over £10,000 shall be written off as irrecoverable unless approved by the Cabinet. Any request to forego income shall be subject to written approval of the S151 Officer.
- D.20 The Team Managers shall promptly furnish the **S151 Officer** with such particulars in such form as he/she may require in connection with work done, goods supplied or service rendered and all other amounts due to the Council as may be required by him/her to record correctly all sums due to the Council and to ensure the prompt rendering of accounts for the recovery of income due.

- D.21 The S151 Officer shall be notified promptly of all money due to the Council and of contracts, leases and other agreements and arrangements entered into which involve the receipt of money by the Council and the S151 Officer shall have the right to inspect any documents or other evidence in this connection as he/she may decide.
- D.22 All receipt forms, books, tickets and other such items shall be ordered and supplied to Team Managers by the **S151 Officer**, who shall satisfy him/herself as to the arrangements for their control.
- D.23 Each employee who receives monies on behalf of the Council or in the normal course of their duty shall give such acknowledgment and enter up punctually such records as may be approved by the **S151 Officer**. Such income shall be paid to the S151 Officer or direct to the Council's account, either daily or when there is a sum of £100 in hand. Any variation from this procedure shall be subject to the written approval of the S151 Officer. On no account should such monies be paid into the personal account of an employee. No deduction may be made from such money save to the extent that the S151 Officer may specifically authorise. Each Officer who so banks money shall enter on the paying-in slip a reference to the related debt or otherwise indicate the origin of the cheque on the reverse of each cheque, the Officer shall enter the name of his/her Service, office or establishment.
- D.24 Personal cheques shall not be cashed out of money held on behalf of the Council.
- D.25 Every transfer of official money from one member of staff to another will be evidenced in the records of the Services concerned by the signature of the receiving Officer.
- D.26 Post-dated cheques will not normally be accepted. The only formal exception to this rule will be acceptance of a cheque, by the Assistant Senior Exchequer Services Officer, which shall not be dated more than 7 working days in advance*. This will only be allowed where the debtor has no previous history of dishonoured cheques. The Assistant Senior Exchequer Services Officer will only accept one cheque per debtor on each occasion. Such cheques will be recorded and retained by the Assistant Senior Exchequer Services Officer.

In exceptional circumstances, any other requests to accept a post-dated cheque must have the approval of the S151 Officer.

*(This is to allow provision where a debtor is expecting funds to be credited to a bank account during the period it is likely to take to return a cheque and receive replacement.)

- D.27 The **Chief Executive, Strategic Directors**, Heads of Service or Team Managers may in conjunction with the S151 Officer write-off as

irrecoverable sundry and other debts not exceeding £10,000. The Chief Executive or Heads of Service may write-off as irrecoverable sundry and other debts not exceeding £25 where these are deemed uneconomical to pursue and cannot be added to a future account. No debts over £10,000 shall be written off as irrecoverable without the approval of Cabinet.

NOTE: Outstanding debts will still be pursued after write-off should information be received which indicates that there is a possibility that the debt can be recovered.

- D.28 The **Chief Executive, Strategic Directors** or Heads of Service may, in conjunction with the **S151 Officer**, write-off as non-refundable credits on accounts not exceeding £10,000. The Chief Executive or Heads of Service may write-off as non-refundable credits on accounts not exceeding £25 where these are deemed uneconomical to pursue and cannot be deducted from a future account. No such items over £10,000 shall be written off as non-refundable without the approval of the Cabinet.

6. **Financial Regulation E: External Arrangements**

Introduction

- E.1 The Council 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, Joint Ventures and Companies in which the Council is a Guarantor or has a Share Holding Interest

- E.2 The Cabinet is responsible for approving delegations, including frameworks for partnerships. The Cabinet is the focus for forming partnerships with other local public, private, voluntary and community sector organisations to address local needs.
- E.3 The **Cabinet** can delegate functions - including those relating to partnerships - to Officers. These are set out in the **Officer Scheme of Delegation** that forms part of the **Constitution**. Where functions are delegated, the Cabinet remains accountable for them to the **Full Council**.
- E.4 The **Monitoring Officer** is responsible for promoting and maintaining the same high standards of conduct with regard to financial administration in partnerships that apply throughout the Council.
- E.5 The **S151 Officer** must ensure that the accounting arrangements to be adopted relating to partnerships, joint ventures and companies are satisfactory. He/she must also consider the overall corporate governance arrangements and legal issues when arranging contracts with external bodies. He/she must ensure that the risks have been fully appraised before agreements are entered into with external bodies.

- E.6 Team Managers are responsible for ensuring that appropriate approvals are obtained before any negotiations are concluded in relation to work with external bodies. Where it is proposed that the Council be involved in an arrangement of this nature the appropriate Officer will first consult with the S151 Officer and the **Monitoring Officer** on the proposals.
- E.7 The S151 Officer is responsible for ensuring that all funding notified by external bodies is received and properly recorded in the Council's accounts.
- E.8 Further to Regulation E.7 unless secure arrangements are put in place to the contrary, any such arrangements will comply with the Council's Financial Regulations and this shall be stated in any such contracts.

SECTION G – CONTRACT PROCEDURE RULES

Rule

1. Introduction
2. Value for Money
3. Special Circumstances (Waiver and Exemption)
4. Framework Agreements
5. Selecting a Procurement Route
6. Conducting a Procurement Exercise
7. Contracts to which the Public Procurement Regulations Apply (Band D – FTS)
8. Types of Tender for Band C Contracts
9. Specifications
10. Submission of Tenders and Evaluation Criteria
11. Opening and Acceptance of Tenders
12. Tender Evaluation and Award of Contracts Contract
13. Conditions
14. Contract and Performance Management

SECTION G – CONTRACT PROCEDURE RULES

1. Introduction

Purpose of these Contract Procedure Rules

- 1.1. These Contract Procedure Rules are made pursuant to s135 of the Local Government Act 1972. They have been prepared in accordance with the Public Contracts Regulations 2015, the Council's policies and to facilitate small and medium enterprises in the local area the opportunity to enter the Council's supply chain.
- 1.2. These Contract Procedure Rules set out how the Council will invite tenders, obtain quotations and award contracts for supplies, services or works. Their role is to ensure that contracts are appropriate for their purpose, provide the right balance between price and quality and are procured in an open way that demonstrates probity and compliance with the Council's policies and the law. It is important that they are viewed as an aid to good management and compliance and not as a hindrance.

Contracts outside the scope of these Contract Procedure Rules

- 1.3. Where the Council is disposing of goods, Officers shall seek advice from the S151 Officer and have regard to the provisions of the **Financial Procedure Rules** in **Part 3**.
- 1.4. These rules do not apply to:
 - 1.4.1. contracts with local authorities for the joint delivery of services or discharge of functions, save the obligation to secure value for money for the Council;
 - 1.4.2. transactions for the sale, purchase or lease of land or property;
 - 1.4.3. contracts which benefit from any exemption to the Public Contracts Regulations 2015 contained in Regulation 10 and/or 12 of those regulations.

Probity and Compliance

- 1.5. Responsibility for compliance with these Contract Procedure Rules remains at all time with **Officers**. It shall be the responsibility of the **Strategic Director** to ensure that staff within his/her directorate comply with these Contract Procedure Rules.
- 1.6. No contract shall be entered into unless adequate budgetary provision has been made for the award of that contract.
- 1.7. Any Officer, whether a direct employee of the Council or engaged through an

external organisation or supplier who is engaged to work on behalf of the Council shall, if they become aware of any relationship (current or past), whether pecuniary or not, with any supplier or potential supplier, make a Declaration of Interest to the relevant **Head of Service** at the earliest opportunity. Where the relevant Officer is the Head of Service, a **Strategic Director** or the **Chief Executive**, the declaration shall be made to another Strategic Director or the Chief Executive.

- 1.8. An Officer with an interest in a contract shall take no part in advising on the Council's dealing with that contract without the authorisation of the **Head of Service, Strategic Director** or **Chief Executive** (as the case may be). Unless such authorisation is obtained, if the Officer is present at a meeting when the contract is discussed, he/she shall forthwith declare that interest and withdraw from the meeting while it is under discussion.
- 1.9. The **Chief Executive** shall record in a book, to be kept for the purposes of recording any notice given by an Officer of the Council, under 1.7 above and/or Section 117 of the Local Government Act 1972 and the book shall be open during office hours to the inspection of any **Councillor**.

2. Value for Money

Value of the Contract Opportunity and Aggregation

- 2.1. The Council is under a duty to ensure that funds are spent in a way that achieves "value for money" for the Council. Officers involved in procuring supplies, services or works should be mindful of this duty.
- 2.2. When an **Officer** has identified the need to procure supplies, services or works, the relevant **Head of Service** or their nominated Officer shall assess the value of the proposed arrangement. The value is the total amount that the Council expects to pay for the contract over a rolling period, either in a single sum or periodically over time. Unless the exact duration of a contract is known, Officers should use a 4 year period as the nominal duration of a contract when considering aggregating spend.
- 2.3. Purchases should be aggregated to make the best use of the Council's purchasing power. Where a recurring pattern of purchases can be identified for similar supplies, services or works across the Council, consideration shall be given to whether one contract would represent better value in terms of price, service, invoicing or other administrative costs. It is the **Head of Services'** responsibility to have due regard to the aggregation of contract values.
- 2.4. The principles of aggregation in procurement law are designed to ensure that authorities do not deliberately split contracts which have similar characteristics into separate contracts so that they fall below the relevant thresholds (unlawful disaggregation).

- 2.5. Notwithstanding this, procuring Officers shall consider the sub-division of procuring supplies, services or works into lots, facilitating access for small and medium enterprises. Where the decision is taken not to sub-divide a procurement into lots, the reasons shall be recorded.

The Procurement Hierarchy

- 2.6. When an **Officer** has identified a need to procure new supplies, services or works, they shall first consider these options in turn (the Procurement Hierarchy):

2.6.1. any current arrangements in existence in-house;

2.6.2. any existing contracts entered into by the Council; and

2.6.3. any provision available through other third party contracts or framework agreements, including those provided by public sector buying consortia, where they can be shown to offer value for money for the Council.

- 2.7. Where the Officer determines that no provision is available from the sources in the Procurement Hierarchy or that in the circumstances they do not represent value for money, they shall have regard to these Contract Procedure Rules in determining which procurement option is the appropriate one to follow.

- 2.8. The S151 Officer is responsible for maintaining a schedule of the Council's planned procurements. Heads of Service shall be responsible for ensuring that all contracts proposed to be entered into by the Council in the coming financial year are notified to the Procurement Team for inclusion in the procurement plan.

3. Special Circumstances (Exemption and Waiver)

Exemption

- 3.1. Notwithstanding the provisions of these Contract Procedure Rules and subject only to the requirements of law:

3.1.1. an exemption from any of the other provisions of these Contract Procedure Rules may be granted by the **Council** acting through the **Chief Executive** (or where appropriate, a **Strategic Director**), in consultation with the **S151 Officer** and the **Monitoring Officer**, upon it being shown to their satisfaction that there are special circumstances justifying such exemption. Such **special circumstances** shall fall under at least one of the following two categories:

3.1.1.1. only one supplier is available for technical or artistic reasons and no reasonable alternative or substitute exists and the

absence of competition is not the result of an artificial narrowing of the parameters of the procurement;

3.1.1.2. extreme urgency exists for unforeseen reasons which are not attributable to the Council and the various time limits cannot be met. Inadequate forward planning would not constitute special circumstances and an exemption shall not be permitted in such circumstances,

3.1.2. any request under 3.1.1 above shall be made in writing on the approved form which shall be certified by the Officers specified in 3.1.1 above; and

3.1.3. the Cabinet shall be informed of the exercise of any authority pursuant to this Standing Order by the **Strategic Directors** or **Chief Executive** and any such report will include confirmation that the Officers specified in 3.1.1 have been consulted and such exemption granted

Waiver

3.2. If, in exceptional circumstances, authority is sought from **Cabinet** to waive these Contract Procedure Rules, the report to Cabinet must give adequate reasons and specify precisely the procedures to be waived and must first be approved by the Monitoring Officer.

3.3. Where specific legislation requires the Council to let a contract differently from as set out in these Contract Procedure Rules, these Contract Procedure Rules shall be deemed waived without recourse to Cabinet, Council or the Statutory Officers.

4. Framework Agreements

4.1. Where it is determined to use a framework agreement to meet the identified need of the Council, the Officer shall seek the advice of the Procurement Team and Legal Services in relation to the use of such framework and the contractual arrangements.

4.2. When calling-off supplies, services or works under a framework agreement, the selection procedure, including award criteria, from within the framework agreement shall be used. Officers must comply with all rules and regulations set out within a framework agreement in relation to direct call-off of contracts (direct award) and re-opening of competition between providers appointed on to that framework (mini-competition).

5. Selecting a Procurement Route

Initial Considerations

5.1. In relation to any contract for the supply of supplies, services or works to the Council the functions described in Section 17(4) of the Local Government

Finance Act 1988 shall be exercised without any reference to any of those matters set out in Section 17(5) of that Act. (Section 17(4) describes the functions to which this legislation applies and Section 17.5 details what is regarded as non commercial issues that must be ignored when entering into a contract for the supply of supplies, services or works). This shall at all times be subject to the provisions of 5.2 below.

- 5.2. In relation to any contract for the supply of services not through an existing framework or existing arrangement, the Officer shall have regard to the considerations set out in the Public Services (Social Value) Act 2012. Specifically, the Officer must consider how the services might (in addition to the service requirement) improve the economic, social and environmental well-being of the **District** and how the procurement itself might be conducted to secure that improvement.
- 5.3. All procurement documents (including business questionnaires, specifications and contracts) shall be completed prior to advertising the contract opportunity.

Procedures for Determining Which Procurement Option to Follow

- 5.4. Where an Officer has reasonably determined not to use any available options in the Procurement Hierarchy, the following provisions shall apply.
- 5.5. When the Officer has assessed the value of the proposed arrangement (see above), the appropriate procurement route shall be determined in accordance with the Threshold Table (below).
- 5.6. Notwithstanding the provisions in the Threshold Table, lower value procurements can be conducted using a more sophisticated process as long as it remains objectively reasonable and proportionate to do so and secures open, transparent and fair competition.

Threshold Table

Contract Value		Process	Award Procedure based on	Advertise Contract Opportunity	Documentation
From	To				
Minor Purchases					
£0	£999	No prescribed process	Officer's discretion	N/A	Purchase Order
Band A					
£999	£24,999	Quotation	Seeking a minimum of three written quotations	N/A	Purchase Order Budget holder to record details when authorising order

Band B					
£25K	£49,999	Quotation	Seeking a minimum of three written quotations using Invitation to Quote documentation	Contracts Finder for contracts £25k plus only	Purchase Order Budget holder to record details when authorising order
Band C					
£50K	FTS	Formal Tender	Full Tender Process	NWL Web site Contracts Finder	ITT documentation using NWL E- tendering portal
NOTE: the FTS threshold is a figure set out by the Government and the World Trade Organisation's (WTO) Government Procurement Agreement (GPA). These vary from time to time. Please seek advice from the Procurement Team.					
Band D					
FTS	Above	Formal Tender	Full Tender Process	Find a Tender Service (FTS) NWL Web site Contracts Finder	ITT documentation using NWL E- tendering portal

Authority to award contracts

- 5.7. Officers may only enter into a contract if they have sufficient authority to do so. Legal advice in respect of authority to award contracts can only be given to the extent that such authority is set out in the **Constitution**. Officers are responsible for knowing the extent of any delegated authority they may have and ensuring they do not exceed that.
- 5.8. The **Constitution** contains a scheme of delegation, which sets out what decisions can be made by which body, individual or group of individuals. For the purposes of awarding contracts, the following authorisation table provides an initial indication of where those decisions sit. However, Officers should take advice from Legal Services as to the appropriate source of authority to award where they are unsure.
- 5.9. Contracts under which the Council will not incur any costs (such as Information Sharing Agreements or grant documents where the Council is receiving the grant) and contracts for the provision of goods or services in return for a revenue payment may be authorised by any **Team Manager**, **Head of Service**, **Strategic Director** or the **Chief Executive**.

Authorisation Table and Signatories

- 5.10. It is for individual **Officers** to ascertain the limits of their authority to award contracts and orders. An Officer may award a contract provided that the value of that contract does not exceed their level of financial authorisation (see paragraph D.5 of the **Financial Procedure Rules in Part 3**). The below table provides a guide for Officers in salary bands A-I, who should check with their line managers and/or the finance department as to what they are and are not authorised to commit the Council to.
- 5.11. The authority to award a contract (i.e. decide that the contract should be given to a particular supplier) is separate from authority to sign the contract. Contracts under which the Council will be liable for sums up to £50,000 may be signed by any Officer (or awarded by issuing a purchase order) provided that the contract value does not exceed their financial authorisation. All contracts above £50,000 must be signed by the Head of Legal and Commercial Services or their appointed nominee.

Authorisation Table

	Approval
Contracts that are: 1. More than £250,000 in total; 2. more than £100,000 in any one contract year; OR 3. more than 5 years long	Cabinet (Financial Key Decision)
Contracts that are: (a) less than £250,000 in total; (b) Less than £100,000 in any one contract year; AND (c) less than 5 years long	Chief Executive or Strategic Director
Up to £99,999	Chief Executive or Strategic Director
Up to £49,999	Heads of Service
Up to £24,999	Team Managers
Up to £9,999	Officers in salary bands G, H and I, at the request of their Strategic Director or Head of Service
Up to £4,999	Officers in salary bands D, E and F, at the request of their Strategic Director or Head of Service

Up to £2,000	Officers in salary bands A, B & C, at the request of their Strategic Director or Head of Service
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6. Conducting a Procurement Exercise

Band A Contracts

- 6.1. For any single contract, not related to or part of any larger procurement, whose value is between £1,000 and £24,999, three written quotations shall be obtained.
- 6.2. Where Officers are seeking written quotations:
 - 6.2.1. Heads of Service shall ensure that the selection process used is fair and equitable and in accordance with these Contract Procedure Rules;
 - 6.2.2. Officers must select the quotation which offers value for money for the Council. In Band A contracts, value for money will normally be shown by choosing the most economically advantageous quotation and in assessing this Officers should be mindful of price, quality and the added economic, social and environmental benefits that could be obtained by procuring supplies, services or works in a particular way;
 - 6.2.3. The **Head of Service** shall be responsible for keeping a record for audit purposes of:
 - 6.2.3.1. all those contractors that were requested to provide a quotation;
 - 6.2.3.2. the reasons why those particular contractors were selected to provide a quotation; and
 - 6.2.3.3. the reason for selecting the winning quote;
 - 6.2.4. notwithstanding where the supplies, services or works sought are a repetition of a previous procurement, subject to the rules above in relation to aggregation, new quotations should be obtained each time, to ensure the prices paid represent value for money for the Council.
- 6.3. Subject always to the Council's duty to obtain value for money, where the relevant **Head of Service** is satisfied that there are sufficient reasons for three quotes not being obtained in respect of a Band A contract, that Head of Service may authorise the award of a Band A contract even though fewer

than three quotes have been obtained.

Band B Contracts

- 6.4. For any single contract, not related to or part of any larger procurement, whose value is between £25,000 and £49,999, three written quotations sought using a formal Invitation to Quote and provided using a Response to Invitation to Quote, shall be obtained. Template Invitation and Responses shall be provided by the Procurement Team.
- 6.5. Where Officers are seeking formal Responses to Invitation Quotes:
 - 6.5.1. the opportunity shall be advertised on the Source Leicestershire website, Contracts Finder and the Council's website, by the Procurement Team;
 - 6.5.2. Heads of Service shall ensure that the selection process used is fair and equitable and in accordance with these Contract Procedure Rules;
 - 6.5.3. Officers must select the quote which offers value for money for the Council. In Band B contracts, value for money will normally be shown by choosing the most economically advantageous quotation and in assessing this Officers should be mindful of price, quality and the added economic, social and environmental benefits that could be obtained by procuring supplies, services or works in a particular way;
 - 6.5.4. The **Head of Service** shall be responsible for keeping a record for audit purposes of:
 - 6.5.4.1. all those contractors that were requested to provide a quotation;
 - 6.5.4.2. the reasons why those particular contractors were selected to provide a quotation; and
 - 6.5.4.3. the reason for selecting the winning quote.
 - 6.5.5. Notwithstanding where the supplies, services or works sought are a repetition of a previous procurement, subject to the rules above in relation to aggregation, new tenders should be obtained each time, to ensure the prices paid represent value for money for the Council.
- 6.6. Subject always to the Council's duty to obtain value for money, where the relevant **Head of Service** is satisfied that there are sufficient reasons for three formal Responses to Invitation to Quotes having not been obtained in

respect of a Band B contract, that **Head of Service** may authorise the award of a Band B contract even though fewer than three formal Responses to Invitation to Quotes have been obtained.

- 6.7. All Band B contract awards shall be published on Contracts Finder.

Band C Contracts

- 6.8. For any single contract, not related to or part of any larger procurement, whose value is between £50,000 or more, but less than the relevant FTS threshold, the Officer shall conduct a formal tender using a template to be provided by the Procurement Team and accompanied by terms and conditions prepared with advice from Legal Services.

- 6.9. Where Officers conduct a formal tender:

6.9.1. the opportunity shall be advertised on the Source Leicestershire website, Contracts Finder and the Council's website, by the Procurement Team;

6.9.2. Heads of Service shall ensure that the selection process used is fair and equitable and in accordance with these Contract Procedure Rules;

6.9.3. Officers must select the quote which offers value for money for the Council. In Band C contracts, value for money will normally be shown by choosing the most economically advantageous quotation and in assessing this Officers should be mindful of price, quality and the added economic, social and environmental benefits that could be obtained by procuring supplies, services or works in a particular way;

6.9.4. Notwithstanding where the supplies, services or works sought are a repetition of a previous procurement, subject to the rules above in relation to aggregation, new tenders should be obtained each time, to ensure the prices paid represent value for money for the Council.

- 6.10. The FTS threshold is an amount set out by the Government and the World Trade Organisation's (WTO) Government Procurement Agreement (GPA) and can vary year to year. The cabinet office confirms the amounts in Sterling. Please seek advice from the Procurement Team as to the current FTS thresholds.

7. Contracts to which the Public Procurement Regulations Apply (Band D – FTS)

- 7.1. For any contract whose value is more than the threshold amounts set out the Public Contracts Regulations 2015 (as amended from time to time), tenders

shall be sought in accordance with those regulations.

- 7.2. The procuring Officer must note that the Public Contracts Regulations 2015 contain minimum timescales for a procurement exercise and therefore it is imperative that advice is sought from both the Procurement Team and Legal Services well in advance of the commencement of the procurement exercise.
- 7.3. The provisions of these Contract Procedure Rules shall continue to apply to such a contract only to the extent that they do not conflict with the provisions of the Public Contracts Regulations 2015.

8. Types of Tender for Band C Contracts

Open Tendering

- 8.1. This is a procedure by which a contract is let following publication of an advertisement inviting all those expressing an interest in the contract to submit a bid at the same time. This is a one stage procedure.
- 8.2. The advertisement shall:
 - 8.2.1. specify details of the supplies, services or works the Council is procuring;
 - 8.2.2. specify the contract duration and proposed commencement date;
 - 8.2.3. specify any other requirements for participating in the procurement;
 - 8.2.4. specify a contract reference number;
 - 8.2.5. specify a reasonable (in the circumstances of the contract opportunity) date and time, being not less than 21 days from the date of the advertisement, by which such expressions of interest are to be received by the Council;
 - 8.2.6. specify the criteria against which submissions are to be evaluated; and
 - 8.2.7. specify the appropriate electronic tender box code and details of how to access documentation.

Restricted Tendering

- 8.3. This is a two stage procedure by which a contract is let following publication of an advertisement seeking expressions of interest from tenderers to participate. Following evaluation of the pre-qualifying submissions, no fewer than three qualified bidders shall be invited to tender for the contract. This route to the market is particularly suitable where a large response is anticipated. In relation to works, this procedure may only be used for where

the value of the works exceeds the threshold in the Public Contracts Regulations 2015 for services. This procedure may not be used for procuring services or supplies save to the extent that such services fall within the scope of Schedule 3 (Social and Other Specific Services) of the Public Contracts Regulations 2015.

8.4. The advertisement shall:

8.4.1. specify details of the supplies, services or works the Council is procuring;

8.4.2. specify the contract duration and proposed commencement date;

8.4.3. specify any other requirements for participating in the procurement;

8.4.4. specify a contact reference number;

8.4.5. specify a time limit, being not less than 21 days from the date of the advertisement within which such expressions of interest are to be received by the Council;

8.4.6. specify a time limit, being not less than 21 days from the date of inviting shortlisted bidders to submit their tender, within which such tenders are to be received by the Council;

8.4.7. specify the criteria against which submissions are to be evaluated; and

8.4.8. specify the appropriate electronic tender box code and details of how to access documentation.

8.5. After the expiry of the period specified in the advertisement and following proper evaluation of the returned Standard Selection Questionnaire (SSQ), in accordance with the criteria specified, invitations to tender for the contract shall be sent to:

8.5.1. not less than three of the persons or bodies who returned a satisfactorily completed SSQ and has been shortlisted, selected by the Council; or

8.5.2. where fewer than three persons or bodies have applied or have satisfactorily completed the SSQ, those persons or bodies which the Council consider suitable.

9. Specifications

9.1. Full tenders shall be accompanied by an appropriate specification, clearly

setting out the Council's requirements for the goods, works or services to be supplied.

- 9.2. Specifications should incorporate measurable and, so far as is possible, objective quality and performance criteria to enable the contract to be monitored and managed.
- 9.3. Where appropriate, Officers shall take all necessary professional advice to ensure the specification sufficiently expresses the Council's requirements and ensure the output of the contract represents value for money. Any third party engaged to support the preparation of the specification shall not be invited to bid for the substantive contract.

10. Submission of Tenders and Evaluation Criteria

Submission of Tenders for Band C Contracts

- 10.1. Where in pursuance of these Contract Procedure Rules invitation to tender is made, every invitation shall state the process for registering and submitting tenders and the signed Form of Tender using the NWL E-tendering portal.
- 10.2. No tender received after the time and date specified in the invitation shall be considered, unless the relevant **Head of Service** thinks it is reasonable to do so in the circumstances.
- 10.3. Every invitation to tender shall state:
 - 10.3.1. that the Council is not bound to accept any tender, including the lowest;
 - 10.3.2. the tender evaluation criteria, with full explanation;
 - 10.3.3. a statement that the Council is obliged to comply with the Freedom of Information regime;
 - 10.3.4. closing date and time for receipt of tenders and the web address to which tenders should be sent; and
 - 10.3.5. a requirement that the tenderers accept full responsibility for ensuring compliance with the terms of these Contract Procedure Rules and that any failure to do so may render that tender liable to disqualification.

Evaluation Criteria

- 10.4. Evaluation criteria must be designed to secure an outcome providing value for money for the Council on the basis of the Most Economically Advantageous Tender, expressed as the price/quality balance in percentage terms. Appropriate sub-criteria should also be included referring to relevant

considerations and guidance should be given to tenderers on how their responses will be scored. Further advice can be provided by the Procurement Team.

10.5. Evaluation criteria must not include:

10.5.1. non-commercial considerations, save as expressly set out in these Contract Procedure Rules;

10.5.2. matters which discriminate against suppliers from the European Economic Area; and

10.5.3. a general provision allowing for the highest mark to be awarded for tenders which exceed the specification.

10.6. Within every invitation to tender there shall be reference made to the requirements on public bodies with regard to the Freedom of Information Act 2000. Such a reference shall include notice to the tenderer that:

10.6.1. the Council has a duty of 'openness' under the act;

10.6.2. it is the Council and not the tenderer who makes the decision on the release of information within a tender;

10.6.3. any claim by the tenderer that information within a tender is exempt under the act will be considered by the Council. However, a simple assertion that any disclosure would prejudice commercial interests is not sufficient. The assertion must be supported by reasoned argument and where practical, by empirical evidence. Any decision to treat all or some information within a tender as exempt may be reviewed if any further requests are received over time;

10.6.4. the Council will consult with them before making any disclosure; and

10.6.5. the Council has a system for dealing with any appeals under the act.

Submission of Tenders for Band D (FTS) Contracts

10.7. Tendering processes shall comply with the Public Contracts Regulations 2015. In the event of a conflict between these Contract Procedure Rules and the Public Contracts Regulations 2015, the latter shall take precedence.

11. Opening and Acceptance of Tenders

11.1. This Rule shall apply to Band C and Band D (FTS) contracts

11.2. Tenders received under these Contract Procedure Rules shall be opened at one time and only following the date on which the receipt of tenders closed.

11.3. Tenderers shall be notified of the acceptance or rejection of their tenders.

11.4. Detailed feedback shall be provided to all unsuccessful bidders.

12. Tender Evaluation and Award of Contracts

- 12.1. All tenders shall be properly evaluated by a **Strategic Director** or their nominated Officer in accordance with the published award criteria and in accordance with any specific requirements of any relevant legislation. The Procurement Team shall be notified of any evaluations being conducted by procuring Officers and a member of the Procurement Team may participate in the evaluation process if they consider it appropriate.
- 12.2. A tenderer's error in the computation of the pricing of their tender will be corrected and the tenderer asked to stand by the corrected tender or to withdraw the tender.
- 12.3. Post tender negotiations shall only be by exception and in accordance with the Public Contracts Regulations 2015. Authority to enter into post tender negotiations may only be granted by the **Chief Executive** or a **Strategic Director**. Officers who are authorised to carry out post-tender negotiations shall ensure that there are recorded minutes of all negotiation meetings and that both parties agree actions in writing.
- 12.4. Where award is based on lowest or highest price, a tender other than the lowest tender if payment is to be made by the Council or the highest tender if payment is to be received by the Council shall not be accepted except where there are justifiable reasons for doing so, for instance:
- 12.4.1. the procurement of a named product required to be compatible with an existing product, i.e. computer software;
- 12.4.2. an alternative pre-tender evaluation criteria has been determined;
- in such circumstances the Statutory Officers shall be consulted and written confirmation of their agreement retained for audit purposes.
- 12.5. If a **Strategic Director** considers the lowest priced tender, highest priced tender or most economically advantageous tender (as appropriate) to be abnormal given the nature of the contract, the tenderer shall be asked to clarify in writing the reasons for its tender and the Strategic Director shall take that explanation into account in deciding whether the tender will be accepted.
- 12.6. All contract awards shall be notified promptly to the Procurement Team in order that the details can be recorded in the Contracts Register and inform the Procurement Plan.

13. Contract Conditions

- 13.1. Every procurement which exceeds £50,000 in value shall be a formal contract in writing and signed by the **Head of Legal and Commercial**

Services or his/her nominee. The procuring Officer should seek the advice of Legal Services at the earliest opportunity in this regard.

13.2. Such contract shall, unless the Head of Legal and Commercial Services deems it disproportionate:

13.2.1. specify the supplies, services or works to be supplied or executed; the price to be paid together with a statement as to the amount of any discount(s) or other deduction(s); the period(s) within which the contract is to be performed and such other conditions and terms as may be agreed between the parties or specified in these Contract Procedure Rules;

13.2.2. where a contract exceeds £200,000 and the S151 Officer deems appropriate, contain a requirement that a contractor give sufficient security for the due performance of the contract provided that this shall not apply where the goods and materials are supplied and payment is not made until completion of works;

13.2.3. include provisions for the termination and recovery of any sums paid where there has been evidence of bribery or corruption or any breach of the Bribery Act 2010 or section 117(2) Local Government Act 1972;

13.2.4. include provisions entitling the Council to terminate part or all of the contract or to obtain substituted provision of the supplies, services or works to be supplied under the contract in the event of a breach of contract by or the insolvency of the contractor;

13.2.5. include prohibitions on the contractor from sub-contracting, assigning or otherwise transferring the contract without the prior written consent of the Council and providing that the contractor shall remain liable to the Council for any part of the contract that may be sub-contracted;

13.2.6. include provisions securing the contractor's compliance with relevant legislative requirements, including as a minimum in relation to:

- (a) Health and Safety;
- (b) Human Rights;
- (c) Freedom of Information;
- (d) Data Protection;
- (e) Confidentiality;
- (f) Bribery and corruption;
- (g) Modern Slavery; and
- (h) Equalities and discrimination.

13.2.7. provide for indemnities in favour of the Council for any breach of the above and for the acts and omissions of the contractor in carrying out the contract;

- 13.2.8. provide for compliance with those of the Council's policies relevant to the provision of the supplies, services or works;
- 13.2.9. provide for the protection of the Council's intellectual property rights, where appropriate;
- 13.2.10. provide for, where the supplies, services or works require it, appropriate restrictions or conditions precedent in relation to the protection of vulnerable persons, including requiring Disclosure and Barring Service checks;
- 13.2.11. provide for the Council's right to monitor and audit the supplies, services or works under the contract and for the contractor's provision of assistance in such monitoring and in securing improvements in economy, efficiency and effectiveness, as specified in Section 3 of the Local Government Act 1999, where appropriate. Such assistance may include setting performance indicators, benchmarking implementing performance plans and/or periodically reviewing the services;
- 13.2.12. be governed by the laws of England and subject to the exclusive jurisdiction of the Courts of England;
- 13.2.13. comply with the laws of England.
- 13.3. Where an appropriate British Standard Specification or British Standard Code of Practice issued by the British Standards Institution is current at the date of the tender, every contract shall require that all goods and materials used or supplied, and all the workmanship shall be at least of the standard required by the appropriate British Standard Specification or Code of Practice.
- 13.4. Every contract which exceeds £250,000 shall be in writing and under the Common Seal of the Council and executed as a Deed.
- 13.5. Where a contract exceeds £50,000 in amount or value, provide for the payment of liquidated damages by the contractor where he fails to complete the contract within the time specified, where the appropriate **Head of Service** considers appropriate.
- 13.6. The provisions of these Contract Procedure Rules do not prevent the use of a formal contract for a procurement less than £50,000 where on receipt of advice from Legal Services the relevant **Head of Service** considers it appropriate.
- 13.7. It shall be a condition of any agreement between the Council and any person (not being an Officer of the Council) who is required to supervise a contract between the Council and a third party on the Council's behalf that, in relation to such contract, he/she shall comply

with the requirements of these Contract Procedure Rules as if he/she were an Officer of the Council.

- 13.8. In all areas of tendering, negotiating, letting or renewing, performing, reviewing, amending, discharging or terminating any contract to which the Council is either a party or of which it is a beneficiary, regard shall be had to the requirements of economy, efficiency and effectiveness specified in Section 3 of the Local Government Act 1999.
- 13.9. Ensure compliance with Risk Management Guidelines on insurance levels and require such insurances as the relevant **Head of Services** determines appropriate in consultation with the **S151 Officer**.
- 13.10. Where a main contractor indicates in their tender submission the use of sub- contractors, the Officer will ensure that:
 - 13.10.1. the main contractor verifies they have vetted the sub-contractor to ensure that they meet the standards in all areas that the main contractor has undertaken to meet in their submission;
 - 13.10.2. the supplies, services or works they have been sub-contracted by the main contractor to provide, remains the responsibility of the main contractor.
- 13.11. Where a framework agreement is used to meet the Council's need for supplies, services or works, this Standing Order shall only apply to the extent that the framework's call-off terms do not include these provisions and the framework agreement provides for a variation to such terms.

14. Contract and Performance Management

- 14.1. Contract management arrangements shall be set out in any invitation to tender and incorporated into any subsequent contract.
- 14.2. An identified contract manager shall be appointed for each Band C and D contract.
- 14.3. The Head of Legal and Commercial Services may agree the variation or novation of any contract originally awarded under delegated authority. The variation or novation of a contract originally awarded by the Cabinet shall only be agreed by the Cabinet, save to the extent that such variation is of a minor nature or accounted for in the contract.
- 14.4. No contract entered into by the Council may be extended by duration or value unless:
 - 14.4.1. where the contract is a Band D (FTS) contract, such extension was

- provided for in the original FTS notice and contract documentation;
- 14.4.2. where the contract is a Band C contract or of lesser value, such extension would not mean that, had it been included in the original contract, the overall value would have exceeded the FTS threshold; and
 - 14.4.3. alternative options have been considered and the relevant **Head of Service** is satisfied that this option represents value for money and is in the best interests of the Council in light of the contractor's performance.
- 14.5. All extensions to Band C and Band D (FTS) contracts shall be promptly notified to the Procurement Team.
- 14.6. A contract is a live document. Contract managers and Officers shall have regard to the provisions of the contract in observing and monitoring performance of the contract, handling disputes and terminating a contract. Where Officers are unclear of the provisions or operation of a contract they should promptly seek advice from Legal Services.

SECTION H – OFFICER EMPLOYMENT PROCEDURE RULES

Rule

1. Recruitment and Appointment
2. Recruitment of Head of Paid Service and Chief Officers
3. Appointment of Head of Paid Service
4. Dismissal of Head of Paid Service, the Monitoring Officer and the S151 Officer
5. Appointment and Dismissal of Chief Officers
6. Other Officers
7. Consultation with Cabinet Members
8. Procedure for Dismissal of Head of Paid Service, the Monitoring Officer and the S151 Officer
9. Disciplinary Action – Head of Paid Service and Chief Officers
10. No Directions to be given to Persons Making Appointments of Taking Disciplinary Action

SECTION H – OFFICER EMPLOYMENT PROCEDURE RULES

1. Recruitment and Appointment

- 1.1 Subject to Rule 1.2 below, the function of appointment and dismissal of, and taking disciplinary action against, a member of staff of the Council must be discharged, on behalf of the Council by the **Head of Paid Service** or by an Officer nominated by him/her.
- 1.2 Rule 1.1 shall not apply to the appointment or dismissal of
- (a) The **Head of Paid Service**;
 - (b) A statutory **Chief Officer**;
 - (c) A non-statutory Chief Officer;
 - (d) A deputy Chief Officer;
 - (e) A political assistant.
- 1.3 Permanent appointment shall be upon a contract which, unless terminated earlier by either party, would continue for a period of more than 18 months. Interim appointment shall be upon terms which will terminate before the expiry of a period of no more than 18 months, unless extended with the approval of the **Appointments Committee**(for chief and deputy **Chief Officers**) or the Chief Executive (for all other Officers).
- 1.4 Appointment shall include designation as **Head of Paid Service, S151 Officer** and **Monitoring Officer**.

Declarations

- 1.5 Any candidate for any designation or appointment with the Council who knows that he/she is related to a **Councillor** or employee of the Council shall, when making an application, disclose, in writing, that relationship to the Head of Human Resources and Organisation Development. A person who deliberately fails to disclose such a relationship shall be disqualified from designation or appointment and, if designated or appointed, shall be liable to dismissal.
- 1.6 Every **Councillor** and employee of the Council shall disclose to the Head of Human Resources and Organisation Development any relationship known to him/her to exist between him/herself and any person he/she knows is a candidate for a designation or appointment by the Council.
- 1.7 Persons shall be deemed to be related to a candidate or Officer if they are a spouse, civil partner, partner (i.e. member of a couple living together) parent, parent-in-law, grandparent, child, step-parent stepchild, adopted child, grandchild, child of partner, brother, sister, uncle, aunt, nephew or niece or the spouse or partner of any of the preceding persons. This list is indicative, and a judgement will be made

based on the closeness of the relationship.

Seeking support for appointment

- 1.3 Any candidate for designation or appointment who directly or indirectly seeks the support of a **Councillor** or Officer of the Council in any designation or appointment shall be disqualified and, if designated or appointed, shall be liable to dismissal. A Councillor shall not solicit for any person in respect of any designation or appointment with the Council and shall not give a reference (oral or written) for a candidate for employment by the Council.
- 1.4 No candidate so related to a Councillor or **Senior Officer** will be appointed without the authority of the relevant **Chief Officer** or an Officer nominated by him/her.
- 1.5 No Councillor will seek or canvass support for any person for any appointment with the Council.

2. Recruitment of Head of Paid Service and Chief Officers

- 2.1 Where the Council proposes to appoint a **Chief Officer** (other than on an acting basis) the **Head of Paid Service** will:
 - 2.1.1 draw up a statement specifying the duties of the post concerned and a specification of the qualifications or qualities to be sought in the person to be appointed;
 - 2.1.2 make arrangements for the post to be advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and
 - 2.1.3 make arrangements for a copy of the statement mentioned in 2.2.1 to be sent to any person on request.

Where the Council proposes to appoint the **Head of Paid Service**, the Head of Human Resources and Organisational Development will carry out the above tasks.

- 2.2 The **Appointments Committee** will interview all shortlisted qualified applicants for the post.
- 2.3 Where following the interviews the **Head of Paid Service** or Head of Human Resources and Organisational Development (as applicable) is of the view that there is no suitable candidate, it will re-advertise the post.
- 2.4 Where the Council proposes to appoint a **Chief Officer** (other than on an acting basis) the **Head of Paid Service** will make arrangements in connection with the appointment.

- 2.5 Where the Council proposes to appoint the **Head of Paid Service** (other than on an acting basis) the Head of Human Resources and Organisational Development will make arrangements in connection with the appointment.

3. **Appointment of Head of Paid Service**

- 3.1 Where the Council proposes to appoint to the **Head of Paid Service**, the **Appointments Committee** will oversee the arrangements for filling the vacancy.

- 3.2 The **Full Council** will approve the appointment of the **Head of Paid Service** following the recommendation of the **Appointments Committee**, and the Full Council must approve the appointment before an offer of appointment is made.

- 3.3 The **Full Council** may only make or approve the appointment of the **Head of Paid Service** where no well-founded objection has been made by any Cabinet Member.

- 3.4 Where the **Full Council** does not approve the recommendation of the Committee, it shall indicate how it wishes to proceed.

4. **Dismissal of Chief Executive, the Monitoring Officer and the S151 Officer**

- 4.1 Dismissal of the Designated **Statutory Officers** of the Council (the **Head of Paid Service**, the **Monitoring Officer** and the **S151 Officer** (the 'DSOs') will be dealt with in accordance with the [Council's agreed policy](#). The requirements of the Local Authorities (Standing Orders) (England) Regulations 2001 (as amended) and the Model Disciplinary Procedure and Guidance as set out in the JNC Conditions of Service Handbook have been followed in this regard.

- 4.2 The dismissal of a DSO must be approved by the **Full Council**, following the recommendation of such dismissal by the Investigations Committee.

- 4.3 The **Full Council** must approve the dismissal before notice of dismissal is given.

5. **Appointment and Dismissal of Chief Officers**

- 5.1 The appointment of a **Chief Officer** will be determined by the **Appointments Committee**.

- 5.2 Subject to Rule 4.2, the dismissal of a **Chief Officer** is the responsibility of the Investigations Committee.

6. **Other Officers**

- 6.1 The function of appointment and dismissal of, and taking disciplinary action against any Officer other than the **Head of Paid Service** or a **Chief Officer** is the responsibility of the **Head of Paid Service** or his/her nominee, and, (save in respect of deputy Chief Officers as defined in Section 2(8) of the Local Government and Housing Act 1989), may not be discharged by **Councillors**. This is a requirement of the Local Authorities (Standing Orders) (England) Regulations 2001.
- 6.2 Any disciplinary action will be taken in accordance with the Council's Disciplinary Policy and Procedure, as amended by local agreement as adopted from time to time.
- 6.3 Nothing in Rule 6.1 shall prevent a person from serving as a member of any Committee or **Sub-Committee** established by the Council to consider an appeal by an Officer against any decision relating to the dismissal of, or taking disciplinary action against that Officer.

7. **Consultation with Cabinet Members**

- 7.1 No offer of an appointment or notice of dismissal in relation to the **Head of Paid Service**, a **Chief Officer** (as defined in Section 2(8) of the Local Government and Housing Act 1989) shall be given by the appointor or dismissor until:
- 7.1.1 the appointor or dismissor has notified the Head of Human Resources and Organisational Development of the name of the person to be appointed or dismissed and any other particulars relevant to the appointment or dismissal;
- 7.1.2 the Head of Human Resources and Organisational Development has notified each **Cabinet Member** of:
- (a) the name of the person to be appointed or dismissed;
 - (b) any other particulars relevant to the appointment or dismissal which the appointor or dismissor has notified to the Head of Human Resources and Organisational Development; and
 - (c) the period within which any objection to the making of the offer is to be made by the **Leader** on behalf of the **Cabinet** to the Head of Human Resources and Organisational Development; and
- 7.1.3 either:
- (a) the **Leader** has, within the period specified in the notice

under Rule 7.1.2 (c)) above notified the Head of Human Resources and Organisational Development that neither s/he nor anyother **Cabinet Member** has any objection to the appointment or dismissal;

- (b) the Head of Human Resources and Organisational Development has notified the appointor or dismissor that no objection was received within that period from the **Leader**; or
- (c) the appointor or dismissor is satisfied that any objection received from the **Leader** within that period is not material or is not well- founded.

8. **Procedure for Dismissal of Head of Paid Service, the Monitoring Officer and the S151 Officer**

- 8.1 A Designated **Statutory Officer** of the Council (the **Head of Paid Service**, the **Monitoring Officer** and the **S151 Officer**) (a 'DSO') may not be dismissed by the Council unless the procedures set out in this Rule8 are complied with.
 - 8.2 The Council will consult with **Independent Persons** throughout the process.
 - 8.3 Before the taking of a vote at the relevant meeting on whether or not to approve such a dismissal, the **Full Council** must take into account, in particular:
 - 8.3.1 any advice, views or recommendations of the **Independent Persons**;
 - 8.3.2 the conclusions of any investigation into the proposed dismissal; and
 - 8.3.3 any representations from the relevant Officer.
 - 8.4 Any remuneration allowances or fees paid by the Council to an **Independent Person** must not exceed the level of remuneration, allowance or fees payable to that Independent Person in respect of that person's role as an Independent Person under the Localism Act 2011.
- ## 9. **Disciplinary Action - Head of Paid Service and Chief Officers**
- 9.1 Subject to Rule 8 above, the Investigations Committee has delegated authority to take disciplinary action against the **Head of Paid Service** and **Chief Officers**, and to dismiss Chief Officers on disciplinary grounds
 - 9.1.1 Any proposal to dismiss the **Head of Paid Service**, the

Monitoring Officer or the **S151 Officer** must be approved by **Full Council**.

- 9.1.2 In accordance with the Model Disciplinary Procedure in the JNC Handbook for **Head of Paid Service, Investigations Committee** meetings shall be convened by the **Monitoring Officer** (in consultation with the Chair of the Investigations Committee) and the Head of Legal and Commercial Services shall, in consultation with the Chair of the Investigations Committee, filter out and deal with allegations that are clearly unfounded, trivial or can best be dealt with under some other procedure. Where allegations involve the Monitoring Officer, this role shall be fulfilled by the Head of Paid Service.

10. **No Directions to be Given to Persons Making Appointments or Taking Disciplinary Action**

- 10.1 Save as specifically provided for elsewhere in these Procedure Rules, neither the **Full Council** nor the **Cabinet** or its **Committees** meeting, or an individual **Councillor**, nor any other person shall directly or indirectly:

- 10.1.1 give directions to any person taking any step in relation to an appointment to a post in the paid service of the Council as to the identity of the person to be appointed;
- 10.1.2 give directions about the taking of any disciplinary action in relation to a person in the paid service of the Council; or
- 10.1.3 otherwise interfere with the making of such an appointment or the taking of disciplinary action.

SECTION I - COUNCILLORS' SUBSTITUTE SCHEME PROCEDURE RULES

Rule

1. Introduction
2. Application
3. Nomination and Appointment
4. Attendance
5. Voting

SECTION I - COUNCILLORS' SUBSTITUTE SCHEME PROCEDURE RULES

1. Introduction

- 1.1. The Council recognises that the purpose of the Local Government (Committees and Political Groups) Regulations is to ensure that, in the decision-making process, the **Political Balance** of and representation on **Committees** and **Sub-Committees** of the Council is maintained. This Scheme for the use of substitutes has been adopted to ensure this principle is maintained.

2. Application

- 2.1. The scheme will apply to all **Committees**, **Sub-Committees** and working groups of the Council except:
- 2.1.1. the Cabinet and any **Sub-Committee** established by the Cabinet;
 - 2.1.2. the **Audit and Governance Committee** and any **Sub-Committee** established by the Audit and Governance Committee;
 - 2.1.3. **Licensing Sub-Committees** and **Hackney Carriage and Private Hire Sub-Committees**

3. Nomination and Appointment

- 3.1. The **Council**, when establishing appointments to **Committees** and working groups of the Council, will also appoint substitutes for **Councillors** to those bodies on the nomination of the political group leaders. Substitutes to other working groups will be appointed by the establishing body, as appropriate. The substitutes themselves must also be Councillors.
- 3.2. The number of substitutes appointed will relate to the number of seats that each political group or grouping has on the body concerned as follows:
- 3.2.1. more than 5 seats - 6 substitutes
 - 3.2.2. 2 to 5 seats - 4 substitutes
 - 3.2.3. 1 seat - 2 substitute.
- 3.3. On appointment, it shall be the responsibility of a substitute Councillor to keep up to date with the business of the body to which he/she has been appointed to ensure effective decision making.
- 3.4. Cabinet Members may not substitute for **Scrutiny Committee** Members.

4. Attendance

- 4.1. It is the responsibility of the **Councillor** who cannot attend the relevant meeting or take part in the relevant part of the **Planning Committee** ("the Appointor") to arrange for an appointed substitute to attend when he/she is unable to do so, and inform their party Group Leader, Chair and officers of the substitute Councillor and date of the meeting.
- 4.2. Only the appointed substitute **Councillor** of a body may serve as a member of that body.
- 4.3. A **Councillor** who is acting as a substitute for a usual Councillor who is the **Chair** or **Deputy Chair** of the Committee will not, by virtue of that substitution, be entitled to act in that capacity.
- 4.4. A substitute may only serve as a **Councillor** at any meeting at which the appointor has nominated them, and (with the exception of the **Planning Committee**) where the appointor intends to be absent for the entire meeting. A substitute may not be appointed for specific items and no substitutions may be made during the course of the meeting, except at Planning Committee.
- 4.5. In the case of Boards, **Committees** and **Sub-Committees**, written notice of the substitution must be received by the Democratic and Support Services Team Manager no later than 5pm before the last clear working day before the meeting. (For example, if a meeting is held on a Thursday, notice must be given by 5pm on Tuesday, thus allowing one clear day between.) In the case of other bodies, e.g. working groups, similar notice is helpful but not obligatory. A form is available from Democratic Services for this purpose.
- 4.6. In the event of illness or other circumstances beyond the Councillor's control, he/she may appoint a substitute at short notice at the discretion of the Chair of the relevant Committee. It is the responsibility of the appointing Councillor to seek the Chair's approval in such an instance.
- 4.7. Notice of the substitution must include the name of the appointer, the substitute, details of the meeting and, where the substitution is only occurring for specific items at **Planning Committee**, details of those items.
- 4.8. Where there is sufficient time, a copy of the **Agenda** and papers for the meeting concerned, and details of any pre-briefs and site visit arrangements, will be sent to the substitute Councillor upon receipt of the notice, otherwise they will be passed over on the day of the meeting. Councillors are reminded that where they are able to pass on their own papers to the substitute, it is preferable to do so in the case of short notice.

- 4.9. At the commencement of a meeting, the relevant item at **Planning Committee** or, if appropriate, on his/her arrival if the meeting has started, the appointed substitute will advise the **Chair** and those present that he/she is attending as a substitute **Councillor**.
- 4.10. If the appointor attends a meeting after arranging for a substitute **Councillor** to attend, the substitute Councillor will continue as the voting Councillor of the Committee. If a substitute, however, has not arrived by the commencement of the meeting and the original appointed Councillor is present, then the appointed Councillor will continue as the voting Councillor of the Committee unless otherwise prohibited from taking part in a meeting or an item at **Planning Committee**. Both parties must not vote at the same meeting.
- 4.11. Where a substitute **Councillor** has attended a meeting which is adjourned to a subsequent date, the appointor may attend the reconvened meeting as the voting Councillor, provided that
- 4.11.1. the meeting is not part way through the consideration of an item or issue; and
 - 4.11.2. The appointor is not otherwise prohibited from taking part in the meeting or an item at **Planning Committee**.
- 4.12. Any **Councillor** attending as the appointed substitute will be entitled to travelling and subsistence allowance in accordance with the scheme approved by the Council.
- 4.13. When a **Councillor** attends a meeting as a substitute for a usual Councillor, the minutes and any report of that meeting will include the name of the substitute, in alphabetical order, amongst those attending the meeting, followed by "(substitute for)" indicating the name of the usual Councillor.

5. Voting

- 5.1. The substitute **Councillor** will be entitled to speak and vote in his/her own capacity and is not constrained by the views of the Councillor for whom he/she is substituting.
- 5.2. No substitute **Councillor** for the **Licensing Committee**, **Planning Committee** or the Appeals Committee may vote unless he/she has been present for the entire consideration of the item under discussion at that meeting.
- 5.3. The substitute Councillor of the **Licensing Committee** and **Planning Committee** must comply with the Local Licensing and Planning codes of conduct and the substitute Councillors of these Committees must have had the necessary training before first acting as a substitute.

Part 4

Codes and Protocols

Section A - Councillors' Code of Conduct

Section B - Officers' Code of Conduct

Section C - Protocol on Councillor / Officer Relations

Section D - Procedure on the Resolution of Dispute/Conflict Between Officers and Councillors

Section E - Roles and Responsibilities for Councillors

Section F - Monitoring Officer Protocol

Section G - Planning Code of Conduct

Section H - Licensing Code of Conduct

SECTION A – COUNCILLORS’ CODE OF CONDUCT

BACKGROUND TO THIS CODE OF CONDUCT

This section sets out general interpretation and background to the Code of Conduct, including definitions used within the code, the purpose of the code, the principles the code is based on and when the code applies. It does not form part of the Code of Conduct itself and consequently does not contain any obligations for you to follow, as these are contained in the ‘Code of Conduct’ section below.

All councils are required to have a local **Councillors’ Code of Conduct**.

Definitions

For the purposes of this Code of Conduct, a “Councillor” means a person elected to represent their Ward on the Council or a co-opted member of the Council.

A “co-opted member” is defined in the Localism Act 2011 Section 27(4) as “a person who is not a member of the authority but who

- a) is a member of any Committee or **Sub-Committee** of the authority, or;
- b) is a member of, and represents the authority on, any **Joint Committee** or joint Sub-Committee of the authority;

and who is entitled to vote on any question that falls to be decided at any meeting of that Committee or Sub-Committee”.

Purpose of the Code of Conduct

The purpose of this Code of Conduct is to assist you, as a Councillor, in modelling the behaviour that is expected of you, to provide a personal check and balance, and to set out the type of conduct that could lead to action being taken against you. It is also to protect you, the public, fellow Councillors, Officers and the reputation of the council and local government. It sets out general principles of conduct expected of all Councillors and your specific obligations in relation to standards of conduct. The fundamental aim of the Code is to create and maintain public confidence in the role of Councillors and local government.

General principles of Councillor conduct

Everyone in public office at all levels; i.e. all who serve the public or deliver public services, including ministers, civil servants, Councillors and Officers; should uphold the [Seven Principles of Public Life](#), also known as the Nolan Principles, which are set out in Appendix A.

Building on these principles, the following general principles have been developed specifically for the role of Councillor and these principles underpin the obligations in the Code of Conduct that follows.

In accordance with the public trust placed in you, you should:

- act with integrity and honesty
- act lawfully
- treat all persons fairly and with respect; and
- lead by example and act in a way that secures public confidence in the role of Councillor.

In undertaking your role you should:

- impartially exercise your responsibilities in the interests of the local community
- do not improperly seek to confer an advantage, or disadvantage, on any person
- avoid conflicts of interest
- exercise reasonable care and diligence;
- ensure that public resources are used prudently in accordance with your Council's requirements and in the public interest; and
- uphold high standards of conduct, show leadership at all times and not misuse your position when acting as a Councillor.

Application of the Code of Conduct

This Code of Conduct applies to you as a Councillor. It applies as soon as you sign your declaration of acceptance of the office of Councillor or attend your first meeting as a co-opted member and continues to apply to you until you cease to be a Councillor.

This Code of Conduct applies to you when you:

- act in your capacity as a Councillor; and
- conduct the business of the Council (which, in this Code, includes the business of the office to which you are elected or appointed).

Where you act as a representative of the Council:

- on another relevant authority, you must, when acting for that other authority, comply with that other authority's code of conduct; or
- on any other body, you must, when acting for that other body, comply with this Code of Conduct, except insofar as it conflicts with any other lawful obligations to which that other body may be subject.

The Code applies to all forms of communication and interaction, including:

- at face-to-face meetings
- at online or telephone meetings
- in written communication
- in verbal communication

- in non-verbal communication
- in electronic and social media communication, posts, statements and comments.

Your Monitoring Officer has statutory responsibility for the implementation of the Code of Conduct. It is your responsibility to comply with the provisions of this Code and to ensure all its obligations are met. You are encouraged to seek advice from the Monitoring Officer on any matters that may relate to the Code of Conduct which you are unsure of.

THE CODE OF CONDUCT

Standards of Councillor conduct

This section sets out your obligations, which are the minimum standards of conduct required of you as a Councillor. Should your conduct be perceived to fall short of these standards or the Nolan Principles, a complaint may be made against you, which may result in action being taken.

Guidance is included to help explain the reasons for the obligations and how they should be followed.

General Conduct

1. Respect

As a Councillor:

1.1 I will treat others Councillor with respect.

1.2 I will treat council Officers, employees and representatives of partner organisations and those volunteering for the council with respect and respect the role they play.

Respect means politeness and courtesy in behaviour, speech, and in the written word. Debate and having different views are all part of a healthy democracy. As a Councillor, you can express, challenge, criticise and disagree with views, ideas, opinions and policies in a robust but civil manner. You should not, however, subject individuals, groups of people or organisations to personal attack.

In your contact with the public, you should treat them politely and courteously. Rude and offensive behaviour lowers the public's expectations and confidence in Councillors.

In return, you have a right to expect respectful behaviour from the public. If members of the public are being abusive, intimidatory or threatening you are entitled to stop any conversation or interaction in person or online and notify them to the Council, the relevant social media provider or the police. This also applies to fellow Councillors, where action could then be taken under the **Councillors' Code of Conduct**, and Officers where concerns should be raised in line with the Council's **Protocol on Councillor / Officer Relations**.

2. Bullying, harassment and discrimination

As a Councillor:

2.1 I will not bully any person.

2.2 I will not harass any person.

2.3 I will promote equalities and do not discriminate unlawfully against any person.

The Advisory, Conciliation and Arbitration Service (ACAS) characterises bullying as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient. Bullying might be a regular pattern of behaviour or a one-off incident, happen face-to-face, on social media, in emails or phone calls, happen in the workplace or at work social events and may not always be obvious or noticed by others.

The Protection from Harassment Act 1997 defines harassment as conduct that causes alarm or distress or puts people in fear of violence and must involve such conduct on at least two occasions. It can include repeated attempts to impose unwanted communications and contact upon a person in a manner that could be expected to cause distress or fear in any reasonable person.

Unlawful discrimination is where someone is treated unfairly because of a protected characteristic. Protected characteristics are specific aspects of a person's identity defined by the Equality Act 2010. They are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

The Equality Act 2010 places specific duties on local authorities. Councillors have a central role to play in ensuring that equality issues are integral to the Council's performance and strategic aims, and that there is a strong vision and public commitment to equality across public services.

3. Impartiality of Officers of the Council

As a Councillor:

3.1 I will not compromise, or attempt to compromise, the impartiality of anyone who works for, or on behalf of, the council.

Officers work for the council as a whole and must be politically neutral (unless they are political assistants). They should not be coerced or persuaded to act in a way that would undermine their neutrality. You can question Officers in order to understand, for example, their reasons for proposing to act in a particular way, or the content of a report that they have written. However, you must not try and force them to act differently, change their advice, or alter the content of that report, if doing so would prejudice their professional integrity.

4. Confidentiality and Access to Information

As a Councillor:

4.1 I will not disclose information:

- a. given to me in confidence by anyone**
- b. acquired by me which I believe, or ought reasonably to be aware, is of a confidential nature, unless**
 - i. I have received the consent of a person authorised to give it;**
 - ii. I am required by law to do so;**

- iii. the disclosure is made to a third party for the purpose of obtaining professional legal advice provided that the third party agrees not to disclose the information to any other person; or
- iv. the disclosure is:
 - 1. reasonable and in the public interest; and
 - 2. made in good faith and in compliance with the reasonable requirements of the Council; and
 - 3. I have consulted the Monitoring Officer prior to its release.

4.2 I will not improperly use knowledge gained solely as a result of my role as a Councillor for the advancement of myself, my friends, my family members, my employer or my business interests.

4.3 I will not prevent anyone from getting information that they are entitled to by law.

Local authorities must work openly and transparently, and their proceedings and printed materials are open to the public, except in certain legally defined circumstances. You should work on this basis, but there will be times when it is required by law that discussions, documents and other information relating to or held by the council must be treated in a confidential manner. Examples include personal data relating to individuals or information relating to ongoing negotiations.

5. Disrepute

As a Councillor:

5.1 I will not bring my role or Council into disrepute or conduct myself in a manner which could reasonably be regarded as bringing my role or Council into disrepute.

As a Councillor, you are trusted to make decisions on behalf of your community and your actions and behaviour are subject to greater scrutiny than that of ordinary members of the public. You should be aware that your actions might have an adverse impact on you, other Councillors and/or the Council and may lower the public's confidence in you or the Council's ability to discharge your/its functions. For example, behaviour that is considered dishonest and/or deceitful can bring the Council into disrepute.

You are able to hold the Council and fellow Councillors to account and are able to constructively challenge and express concern about decisions and processes undertaken by the Council whilst continuing to adhere to other aspects of this Code of Conduct.

6. Use of position

As a Councillor:

6.1 I will not use, or attempt to use, my position improperly to the advantage or disadvantage of myself or anyone else.

6.2 I will not place myself under a financial or other obligation to outside individuals or organisations that might seek to influence me in the performance of my official duties.

Your position as a Councillor provides you with certain opportunities, responsibilities and privileges, and you make choices all the time that will impact others. However, you should not take advantage of these opportunities to further your own or others' private interests or to disadvantage anyone unfairly.

As a Councillor you need to be able to act impartially in the exercise of your responsibilities and ensure that you make decisions in the interests of the local community. You should therefore avoid any financial or other obligations to outside individuals or organisations whose influence may prevent you from acting impartially..

7. Use of Council resources and facilities

As a Councillor:

7.1 I will not misuse council resources.

7.2 I will, when using the resources of the Council or authorising their use by others:

- a. act in accordance with the Council's requirements; and**
- b. ensure that such resources are not used for political purposes unless that use could reasonably be regarded as likely to facilitate, or be conducive to, the discharge of the functions of the Council or of the office to which I have been elected or appointed.**

You may be provided with resources and facilities by the Council to assist you in carrying out your duties as a Councillor.

Examples include:

- office support
- stationery
- equipment such as phones, ipads, dongles computers etc.
- transport
- access and use of council buildings and rooms.

These are given to you to help you carry out your role as a Councillor more effectively and are not to be used for business or personal gain. They should be used in accordance with the purpose for which they have been provided and the council's own policies regarding their use.

8. Making Decisions

As a Councillor:

8.1 When reaching decisions on any matter I will have regard to any relevant advice provided to me by Officers and professional third parties.

8.2 I will give reasons for all decisions in accordance with any statutory requirements and any reasonable additional requirements imposed.

8.3 I will make all choices, such as making public appointments, awarding contracts or recommending individuals for rewards or benefits, on individual and independent merit

8.4 I will be as open as possible about my decisions and actions and the decisions and actions of the authority and will be prepared to give reasons for those decisions and actions, notwithstanding my other obligations under this Code.

To assist Councillors in acting lawfully, Officers may give advice from time to time. It is important that as a Councillor you have due regard to any such advice given and consider it fully, even if (for good reason) you may choose not to follow that advice.

In making any decisions, giving reasons helps instil public confidence in the role of the Councillor and can be a legal requirement in certain situations. You should ensure that you always give reasons in accordance with any specific requirements and having regard to the benefits of transparency generally.

As a Councillor you must act impartially and not improperly seek to confer an advantage, or disadvantage, on any person. It is therefore important that when you are making decisions that involve choosing one party over another, that you do so based on independent merit. You should be open and transparent about the decisions that you have made and the actions of the authority.

9. Complying with the Code of Conduct

As a Councillor:

9.1 I will undertake Code of Conduct training provided by my Council.

9.2 I will cooperate with any Code of Conduct investigation and/or determination.

9.3 I will not intimidate or attempt to intimidate any person who is likely to be involved with the administration of any investigation or proceedings.

9.4 I will comply with any sanction imposed on me following a finding that I have breached the Code of Conduct.

It is extremely important for you as a Councillor to demonstrate high standards, for you to have your actions open to scrutiny and for you not to undermine public trust in the Council or its governance. If you do not understand or are concerned about the council's processes in handling a complaint you should raise this with the Monitoring Officer.

Protecting Your reputation and the Reputation of the Council

10. Interests

As a Councillor:

10.1 I will register and disclose my interests in accordance with the provisions set out in Appendix B

Section 29 of the Localism Act 2011 requires the Monitoring Officer to establish and maintain a register of interests of Councillors.

You need to register your interests so that the public, Council employees and fellow Councillors know which of your interests might give rise to a conflict of interest. The register is a public document that can be consulted when (or before) an issue arises. The register also protects you by allowing you to demonstrate openness and a willingness to be held accountable. You are personally responsible for deciding whether or not you should disclose an interest in a meeting, but it can be helpful for you to know early on if others think that a potential conflict might arise. It is also important that the public know about any interest that might have to be disclosed by you or other Councillors when making or taking part in decisions, so that decision making is seen by the public as open and honest. This helps to ensure that public confidence in the integrity of local governance is maintained.

You should note that failure to register or disclose a disclosable pecuniary interest as defined in Appendix B, is a criminal offence under the Localism Act 2011.

The provisions of this paragraph 10.1 shall be applied in such a manner as to recognise that this Code of Conduct should not obstruct a Councillor's service on more than one local authority. For the avoidance of doubt, participation in discussion and decision-making at one local authority will not by itself normally prevent you from taking part in discussion and decision-making on the same matter at another local authority. This is on the basis that a reasonable member of the public will see no objection in principle to such service or regard it as prejudicing a Councillor's judgement of the public interest and will only regard a matter as giving rise to an interest which might lead to bias in exceptional circumstances.

Appendix B sets out the detailed provisions on registering and disclosing interests. If in doubt, you should always seek advice from the Monitoring Officer, or from the clerk in the case of town and parish councils.

11. Gifts and Hospitality

As a Councillor:

11.1 I will not accept gifts or hospitality, irrespective of estimated value, which could give rise to real or substantive personal gain or a reasonable suspicion of influence on my part to show favour from persons seeking to acquire, develop or do business with the Council or from persons who may apply to the Council for any permission, licence or other significant advantage.

11.2 I will register with the Monitoring Officer any gift or hospitality with an estimated value of at least £50 within 28 days of its receipt.

11.3 I will register with the Monitoring Officer any significant gift or hospitality with an estimated value of at least £50 that I have been offered but have refused to accept.

In order to protect your position and the reputation of the Council, you should exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you because you are a Councillor. The presumption should always be not to accept significant gifts or hospitality. However, there may be times when such a refusal may be difficult if it is seen as rudeness in which case you could accept it but must ensure it is publicly registered. However, you do not need to register gifts and hospitality which are not related to your role as a Councillor, such as Christmas gifts from your friends and family. It is also important to note that it is appropriate to accept normal expenses and hospitality associated with your duties as a Councillor. If you are unsure, do contact the Monitoring Officer or Clerk for guidance.

12. Dispensations

As a Councillor:

12.1 I may request a dispensation from the Monitoring Officer for one meeting only.

12.2 I must make the request in writing detailing what my interest is, why the dispensation is required and for what meeting.

12.3 I must make my request 5 days prior to the meeting at which the Dispensation is required.

12.4 If I wish to make a further request for dispensation, this must be made to the Audit and Governance Committee.

12.5 I will only be granted a Dispensation where there are reasonable grounds for doing so and where such grounds are in the public interest.

Appendix B sets out the situations where a Councillor's personal interest in a matter may prevent them from participating in the decision-making process. In certain circumstances, however, there may be reasonable grounds to allow a Councillor to participate in decision-making on that matter where it would be in the public interest to do so. Where you consider that there may be good grounds for you to continue to participate you should request a dispensation from the Monitoring Officer.

Appendices

Appendix A – The Seven Principles of Public Life The principles are:

Selflessness

Holders of public office should act solely in terms of the public interest.

Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must disclose and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be truthful.

Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

Appendix B – Interests

1. Definitions

“Disclosable Pecuniary Interest” means any interest described as such in the [Relevant Authorities \(Disclosable Pecuniary Interests\) Regulations 2012](#) and includes an interest of yourself, or of your Partner (if you are aware of your Partner's interest) that falls within the descriptions set out in the following table. A Disclosable Pecuniary Interest is a Registerable Interest.

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the Council) made to the Councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as Councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract made between the Councillor or his/her spouse or civil partner or the person with whom the Councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land and Property	Any beneficial interest in land which is within the area of the council. 'Land' excludes an easement, servitude, interest or right in or over land which does not give the Councillor or his/her spouse or civil partner or the person with whom the Councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.
Licenses	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer

Corporate tenancies	Any tenancy where (to the Councillor's knowledge) – (a) the landlord is the council; and (b) the tenant is a body that the Councillor, or his/her spouse or civil partner or the person with whom the Councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.
Securities	Any beneficial interest in securities* of a body where— (a) that body (to the Councillor's knowledge) has a place of business or land in the area of the Council; and (b) either— (i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the Councillor, or his/her spouse or civil partner or the person with whom the Councillor is living as if they were spouses/civil partners has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

- * 'director' includes a member of the Committee of management of an industrial and provident society.
- * 'securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

"Partner" means a spouse or civil partner, or a person with whom you are living as husband or wife, or a person with whom you are living as if you are civil partners.

"Other Registerable Interest" is a personal interest in any business of your authority which relates to or is likely to affect:

- a) any unpaid directorships;
- b) any body of which you are a member or are in a position of general control or management and to which you are nominated or appointed by your authority; or
- c) any body
 - (i) exercising functions of a public nature
 - (ii) any body directed to charitable purposes or

- (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union)

“Registrable Interests” are interests that you are required to register in accordance with this Code of Conduct and include both Disclosable Pecuniary Interests and Other Registerable Interests.

“Non-Registrable Interests” are interests that you are not required to register but need to be disclosed in accordance with section 3.3.

A **“Dispensation”** is agreement that you may continue to participate in the decision-making process notwithstanding your interest as detailed at section 12 of the Code of the Conduct and this Appendix B.

A **“Sensitive Interest”** is as an interest which, if disclosed, could lead to the Councillor, or a person connected with the Councillor, being subject to violence or intimidation. In any case where this Code of Conduct requires to you to disclose an interest (subject to the agreement of the Monitoring Officer in accordance with paragraph 2.2 of this Appendix regarding registration of interests), you do not have to disclose the nature of the interest, if it is a Sensitive Interest. In such circumstances you just have to disclose that you have an interest.

A matter **“directly relates”** to one of your interests where the matter is directly about that interest. For example the matter being discussed is an application about a particular property in which you or somebody associated with you has a financial interest.

A matter **“affects”** your interest where the matter is not directly about that interest but would still have clear implications for the interest. For example, the matter concerns a neighbouring property.

2. Registering Interests

- 2.1. Within 28 days of becoming a Councillor or your re-election or reappointment to office you must register with the Monitoring Officer any Disclosable Pecuniary Interests and any Other Registerable Interests.
- 2.2. Where you have a Sensitive Interest you must notify the Monitoring Officer with the reasons why you believe it is a Sensitive Interest. If the Monitoring Officer agrees they will withhold the interest from the public register.
- 2.3. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest, or of any change to a registered interest, notify the Monitoring Officer.

3. Declaration at and Participation in Meetings

If you are present at a meeting and you have either a Registerable or Non-Registerable Interest in any matter to be considered or being considered, and the interest is not a Sensitive Interest, you must disclose that interest to the meeting (whether or not it is registered).

To determine whether your interest affects your ability to participate in a meeting, you must first determine what type of interest you have and, if necessary, go on to apply the tests as set out below.

3.1. Disclosable Pecuniary Interests

3.1.1. Where a matter arises at a meeting which **directly relates** to one of your Disclosable Pecuniary Interests:

- a. you must disclose the interest;
- b. not participate in any discussion or vote on the matter; and
- c. must not remain in the room unless you have been granted a Dispensation.

3.2. Other Registerable Interests

3.2.1. Where a matter arises at a meeting which **directly relates** to the financial interest or wellbeing of one of your Other Registerable Interests:

- a. you must disclose the interest;
- b. may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter; and
- c. must not remain in the room unless you have been granted a Dispensation.

3.2.2. The provisions of paragraph 3.1.1 and 3.2.1 shall be applied in such a manner as to recognise that this Code should not obstruct a Councillor's service on more than one local authority. For the avoidance of doubt, participation in discussion and decision making at one local authority will not by itself normally prevent you from taking part in discussion and decision making on the same matter at another local authority. This is on the basis that a reasonable member of the public will see no objection in principle to such service or regard it as prejudicing a Councillor's judgement of the public interest and will only regard a matter as giving rise to a Personal Interest which might lead to bias in exceptional circumstances

3.3. Non-Registerable Interests

3.3.1. Where a matter arises at a meeting which **directly relates** to a financial interest or the well-being of yourself or of a friend, relative or close associate (and is not a Registerable Interest):

- a. you must disclose the interest;
- b. may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter; and
- c. must not remain in the room unless you have been granted a Dispensation.

3.3.2. Where a matter arises at a meeting which does not directly relate to but **affects**

- a. a financial interest or the well-being of yourself or of a friend, relative or close associate; or
- b. a financial interest or wellbeing of a body included in those you need to disclose under Other Registerable Interests

you must disclose the interest. In order to determine whether you can remain in the meeting after disclosing your interest the following test in paragraphs 3.3.3 and 3.3.4 should be applied.

3.3.3. Where a matter under paragraph 3.3.2 **affects** the financial interest or wellbeing or body:

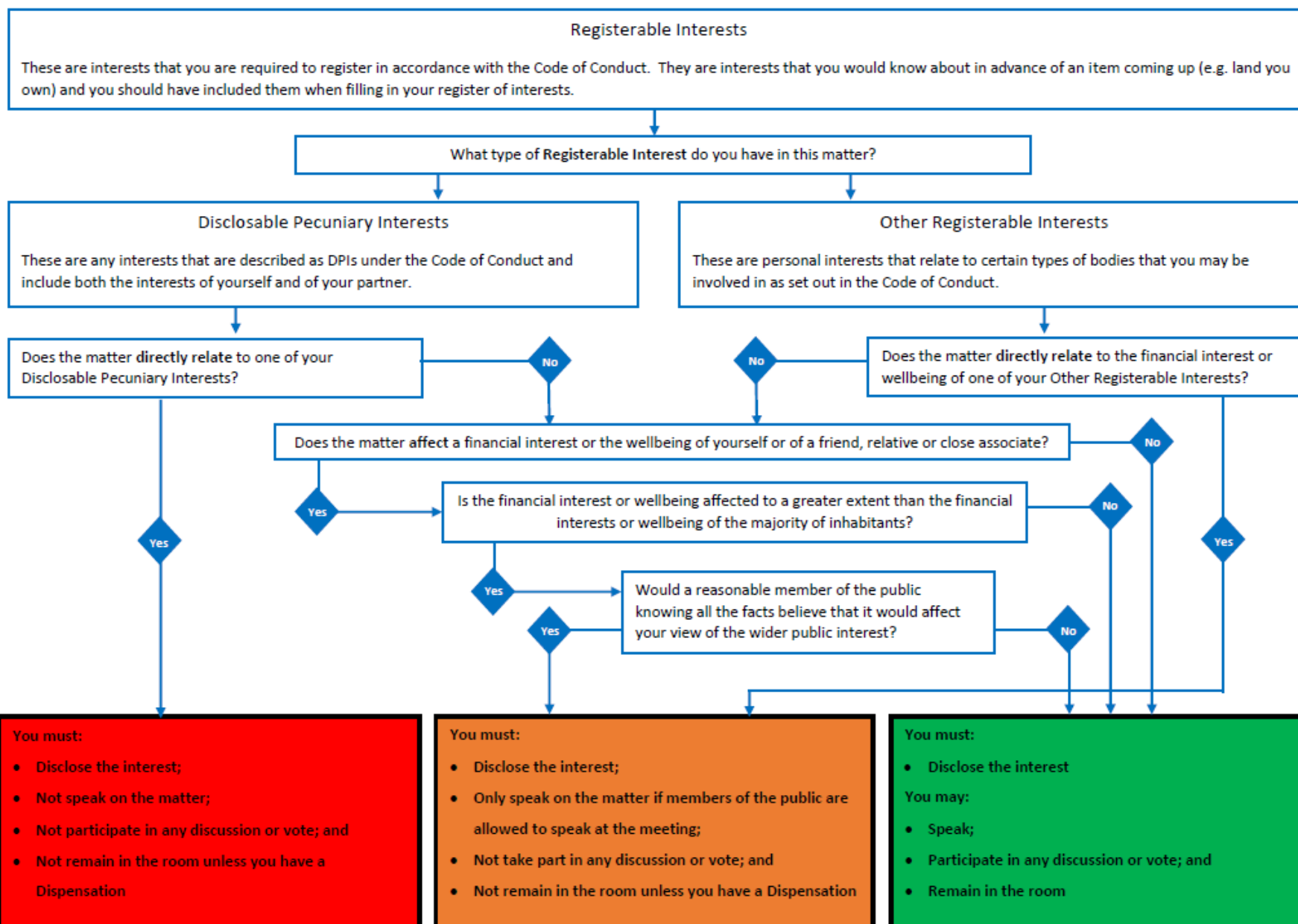
- a. to a greater extent than it affects the financial interests or wellbeing of the majority of inhabitants of the ward affected by the decision; and
- b. a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest;

you may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a Dispensation.

3.3.4. Where a matter under paragraph 3.3.2 does not **affect** the financial interest or wellbeing or body:

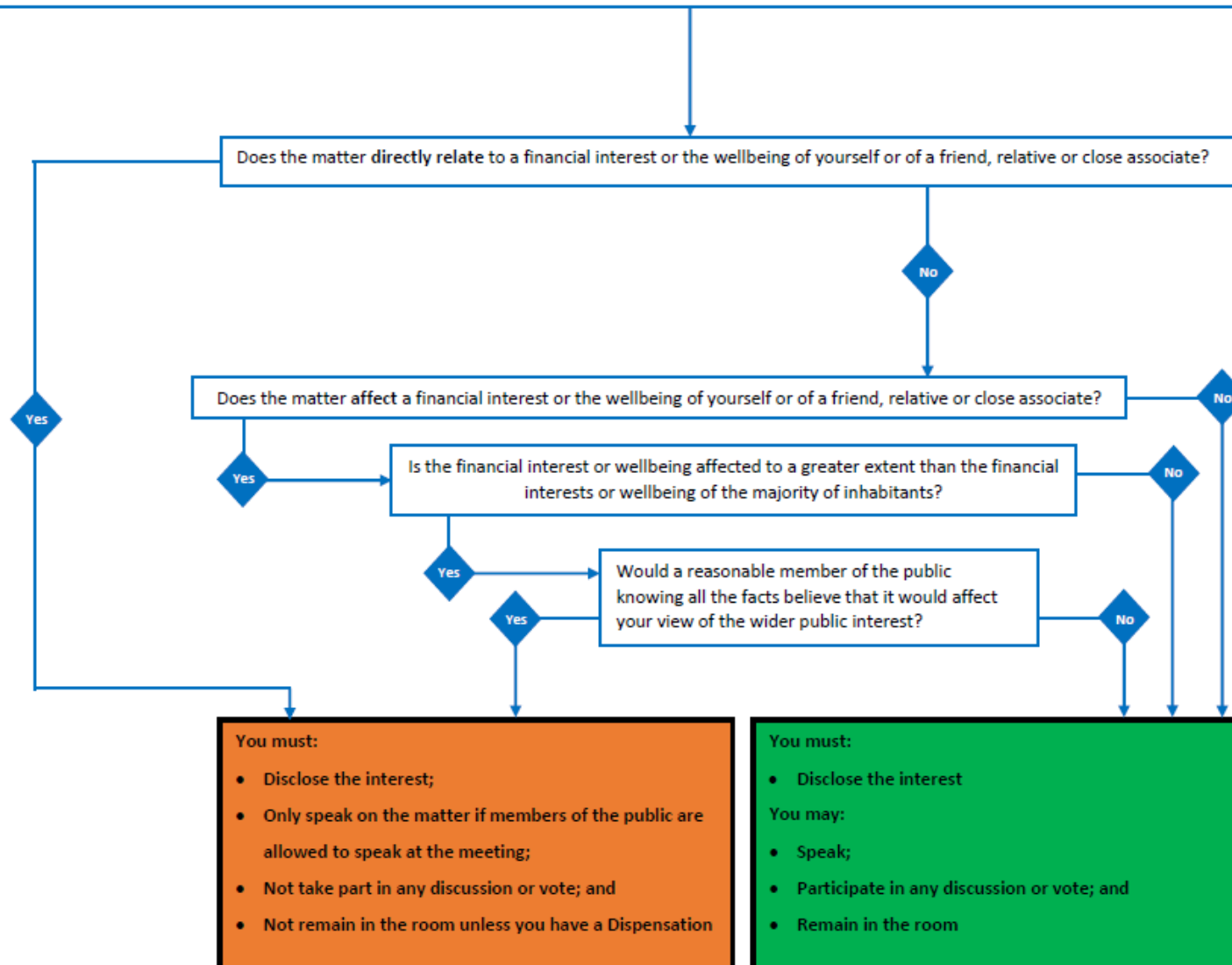
- a. to a greater extent than it affects the financial interests or wellbeing of the majority of inhabitants of the ward affected by the decision; and/or
- b. a reasonable member of the public knowing all the facts would not believe that it would affect your view of the wider public interest;

you may remain in the room, speak if you wish to and take part in any discussion or vote on the matter, provided you have disclosed your interest under paragraph 3.3.2.



Non-Registerable Interests

These are interests that you are not required to register but may become relevant when a particular item arises. These are usually interests that relate to other people you are connected with (e.g. friends, relatives or close associates) but can include your own interests where you would not have been expected to register them.



Appendix C – the Committee on Standards in Public Life

The LGA has undertaken this review whilst the Government continues to consider the recommendations made by the Committee on Standards in Public Life in their report on [Local Government Ethical Standards](#). If the Government chooses to implement any of the recommendations, this could require a change to this Code.

The recommendations cover:

- Recommendations for changes to the Localism Act 2011 to clarify in law when the Code of Conduct applies
- The introduction of sanctions
- An appeals process through the Local Government Ombudsman
- Changes to the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012
- Updates to the Local Government Transparency Code
- Changes to the role and responsibilities of the **Independent Person**
- That the criminal offences in the Localism Act 2011 relating to Disclosable Pecuniary Interests should be abolished

The Local Government Ethical Standards report also includes Best Practice recommendations. These are:

Best practice 1: Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition.

Best practice 2: Councils should include provisions in their code of conduct requiring Councillors to comply with any formal standards investigation and prohibiting trivial or malicious allegations by Councillors.

Best practice 3: Principal authorities should review their code of conduct each year and regularly seek, where possible, the views of the public, community organisations and neighbouring authorities.

Best practice 4: An authority's code should be readily accessible to both Councillors and the public, in a prominent position on a council's website and available in council premises.

Best practice 5: Local authorities should update their gifts and hospitality register at least once per quarter, and publish it in an accessible format, such as CSV.

Best practice 6: Councils should publish a clear and straightforward public interest test against which allegations are filtered.

Best practice 7: Local authorities should have access to at least two **Independent Persons**.

Best practice 8: An **Independent Person** should be consulted as to whether to undertake a formal investigation on an allegation, and should be given the option to

review and comment on allegations which the responsible Officer is minded to dismiss as being without merit, vexatious, or trivial.

Best practice 9: Where a local authority makes a decision on an allegation of misconduct following a formal investigation, a decision notice should be published as soon as possible on its website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the **Independent Person**, the reasoning of the decision-maker, and any sanction applied.

Best practice 10: A local authority should have straightforward and accessible guidance on its website on how to make a complaint under the code of conduct, the process for handling complaints, and estimated timescales for investigations and outcomes.

Best practice 11: Formal standards complaints about the conduct of a parish member towards a clerk should be made by the chair or by the parish council, rather than the clerk in all but exceptional circumstances.

Best practice 12: Monitoring Officers' roles should include providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority. They should be provided with adequate training, corporate support and resources to undertake this work.

Best practice 13: A local authority should have procedures in place to address any conflicts of interest when undertaking a standards investigation. Possible steps should include asking the Monitoring Officer from a different authority to undertake the investigation.

Best practice 14: Councils should report on separate bodies they have set up or which they own as part of their **Annual Governance Statement** and give a full picture of their relationship with those bodies. Separate bodies created by local authorities should abide by the Nolan principle of openness and publish their board **Agendas** and minutes and annual reports in an accessible place.

Best practice 15: **Senior Officers** should meet regularly with political **Group Leaders** or group whips to discuss standards issues.

The LGA has committed to reviewing its Model Code on an annual basis to ensure it is still fit for purpose.

SECTION B – OFFICERS’ CODE OF CONDUCT

Section 1 - General Provisions

Section 2 - Principles

Section 3 - Standards

Section 4 - Adherence to Council Constitution, Policies, Procedures, Operating Guidelines and Service Standards

Section 5 - Public and Social Media

Section 6 - Relationships

Section 7 - Personal, Business, Financial or Other Interests

Section 8 - Bribery, Fraud and Corruption

Section 9 - Protecting the Councils Business Interests

Section 10 - Whistleblowing

Section 11 - Disclosure of Information

SECTION B – OFFICERS’ CODE OF CONDUCT

1. GENERAL PROVISIONS

Purpose

- 1.1. This Code of Conduct defines the responsibilities, standards and behaviour required of you as a North West Leicestershire District Council employee. It reflects the fact that members of the public expect you, as a public servant, to demonstrate the highest levels of integrity and professionalism at all times. This is necessary to enable the Council to deliver services of high quality which are value for money and reflect the Council’s organisational values.
- 1.2. It is your responsibility to read this Code and to make sure your conduct meets its provisions at all times.
- 1.3. Breaches of this Code will be investigated and may result in disciplinary action being taken which could lead to dismissal. You must engage in any investigations about actual or potential breaches of this Code.

Scope

- 1.4. This Code of Conduct applies to all Council employees, apprentices and casual workers. Volunteers, agency workers and others who work, whether paid or unpaid, for and on behalf of the Council are expected to comply with this Code.
- 1.5. You are required to comply with this Code when carrying out your duties as an employee or representative of the Council.
- 1.6. This Code of Conduct is not an exhaustive account of all the expectations upon you and should be read in conjunction with the Council's Disciplinary Policies and Procedures.

2. PRINCIPLES

- 2.1. The Code of Conduct reflects the key principles of public life recommended by the Committee on Standards in Public Life (the Nolan Committee). You must act in accordance with these principles, as set out below, and observe the following rules of behaviour:-

Principle 1 - Selflessness

You should act solely in terms of the public interest.

Principle 2 - Integrity

You must avoid placing yourself under any obligation to people or organisations that might try inappropriately to influence you in their work. You

should not act or take decisions in order to gain financial or other material benefits for yourself, your family, or your friends. You must declare and resolve any interests and relationships.

Principle 3 - Objectivity

You must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Principle 4 - Accountability

You are accountable to the public for your decisions and actions and must submit yourself to the scrutiny necessary to ensure this.

Principle 5 - Openness

You should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Principle 6 - Honesty

You should be truthful.

Principle 7 - Leadership

You should exhibit these principles in your own behaviour. You should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

3. STANDARDS

3.1. You are required to:-

3.1.1. Always act in the interests of the Council;

3.1.2. Behave at work in line with this Code of Conduct and the Council's Values;

3.1.3. Attend work in accordance with your contractual requirements, carry out all of the requirements of your job and any reasonable instructions given by your manager or supervisor effectively and to the standard that is needed;

3.1.4. Conduct yourself, in your official or private capacity, in a way which could not reasonably be regarded as bringing the Council into disrepute or engage in any conduct that is harmful to the Council or its interests;

3.1.5. Be aware that actions in your off-duty hours can impact on your employment with the Council as it may result in disciplinary action being taken against you. Examples include, but are not limited to, involvement in racist incidents, criminal actions and acts of violence; and

3.1.6. Whilst at work and/or on official Council business, dress appropriately for the role you are undertaking and be recognisable as a representative of the council.

4. ADHERENCE TO COUNCIL CONSTITUTION, POLICIES, PROCEDURES, OPERATING GUIDELINES AND SERVICE STANDARDS

4.1. You have an individual responsibility to work within the **Constitution**, service requirements, policies, procedures, operational guidelines and standards, legislation and other professional standards which may apply to your role from time to time and to be aware of and keep up to date with those requirements and standards. Adherence to these ensures that:

- The Council meets its statutory requirements;
- Service standards are maintained; and
- Proper monitoring and auditing processes can be applied.

4.2. If you do not follow these (whether intentionally or inadvertently) it will be regarded as a disciplinary matter. Whilst managers will assist you, you have a personal responsibility to make sure that you are familiar with your responsibilities under the **Constitution** and other policies, procedures and guidelines, in particular:

- HR Policies;
- Equalities Policies;
- **Financial Procedure Rules;**
- **Contract Procedure Rules;**
- ICT and Cyber Security Policy; and
- Departmental operational policies, procedures and codes.

4.3. When using facilities and equipment, provided as part of your work, belonging to the Council you must:

- Take care of Council property or equipment, keeping it secure and reporting any breakages or breaches in security;
- Use equipment and facilities for authorised purposes only.

4.4. If your job involves use of computers, you must make sure that you only use properly licensed computer software in accordance with the Council's IT policy.

4.5. You must act in accordance with the Council's Smoke Free policy.

- 4.6. You have a responsibility to present yourself fit for work and be capable of carrying out your duties fully in a competent and safe manner. In addition you have a duty to take care of your own health and safety and that of others who may be affected by your actions and to co-operate with the Council and co-workers to help everyone meet their legal requirements. If you have a specific query or concerns about health and safety in your workplace you should in the first instance talk to your line manager.

5. PUBLIC AND SOCIAL MEDIA

- 5.1. Unless you are acting as a spokesperson for the Council as part of your duties, or you are authorised to act as a spokesperson about a particular situation, or are acting as spokesperson for one of the Council's recognised trade unions in pursuit of legitimate industrial relations activities, you must not:

- Speak, write or give interviews about the business of the Council to the media; or
- Make a public statement which concerns the business of the Council.

To do so may result in reputational damage to the Council.

- 5.2. You should be aware of the risks you could potentially face when sharing information about your working and personal life through Social Media and the potential for disciplinary action being taken against you.

6. RELATIONSHIPS

- 6.1. The Council expects that you:

- 6.1.1. Treat all co-workers (whether paid or unpaid) equally, fairly and with dignity and respect regardless of their circumstances or personal characteristics;
- 6.1.2 Are supportive, co-operative and maintain good working relationships;
- 6.1.3 Assist the Council achieve its aim of making the work environment free of harassment and/or bullying, discrimination or other unacceptable behaviours;
- 6.1.4 Always remember your responsibilities to the community the Council serves and make sure you are polite, efficient and provide impartial service delivery to all groups and individuals within that community, regardless of their circumstances or personal characteristics and as defined by the policies of the Council; and
- 6.1.5 Develop effective co-operative and professional working relationships with organisations (including in a voluntary capacity with the local community), agencies, contractors, suppliers, and service partners, without offering or inferring any advantage to any external suppliers or contractors.

- 6.2. Mutual confidence and trust between employees and Councillors is essential to the effective operation of the Council. Any close personal relationships which develop between you and a Councillor should be declared in the same way as a relationship with another employee.

More information is contained within the **Protocol on Councillor / Officer Relations**.

7. PERSONAL, BUSINESS, FINANCIAL OR OTHER INTERESTS

- 7.1. For the most part, your off-duty hours are your personal concern; however you should not subordinate your employment relationship with the Council to your private interest or put yourself in a position where there is a conflict of interests.
- 7.2. You must be clear about your contractual obligations to the Council and must not involve yourself in outside employment which might conflict with the Council's interests. If you are graded at spinal point 28 or above, you must have the Council's specific consent before you take up any additional employment and the Head of Human Resources and Organisational Development must be notified.
- 7.3. The Council and the public must be confident that decisions of whatever nature you make are made for good and proper reasons and are not influenced by your interests or the interests of your family, relatives or friends.
- 7.4. You are required to declare and register any potential or actual personal, financial, business, other employment or interest which may impact on your work, conflict with the impartial performance of your duties, put you under suspicion of improper behaviour or that would cause damage to the Council's reputation or services.
- 7.5. Applicants for any Council post are asked to declare any relationship with a Councillor or employee of the Council. In order to avoid any possible accusation of bias, you should not be involved in an appointment where you are related to an applicant, or have a close personal relationship outside work with them.
- 7.6. In the same way, you must not be involved in decisions about discipline, promotion or pay for any employee you have a close personal relationship with.
- 7.7. You are responsible for declaring, in writing to your line manager, any personal relationships that develop with another Council employee, which may conflict with the impartial performance of your duties.

8. BRIBERY, FRAUD AND CORRUPTION

8.1. Bribery

8.1.1. Bribery is defined as “an inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage”.

8.1.2. Under the Bribery Act 2010, both individuals and organisations are liable for conviction in court, imprisonment and/or fines if found guilty of an offence.

8.1.3. It is useful for all employees to remember that it is unacceptable to:

- Give, promise to give, or offer a payment, gift or hospitality with the expectation or hope that a business advantage will be received, or to reward a business advantage already given;
- Give, promise to give, or offer a payment, gift or hospitality to a government official, agent or representative to ‘facilitate’ a routine procedure;
- Accept payment from a third party that you know or suspect is offered with the expectation that it will obtain a business advantage for them;
- Accept a gift or hospitality from a third party if you know or suspect that it is offered or provided with an expectation that a business advantage will be provided by us in return;
- Take any action against or threaten a person who has refused to commit a bribery offence or who raises any concerns.

8.1.4. The responsibility to control the risk of bribery occurring should reside at all levels. If you have a concern regarding a suspected instance of bribery please speak up.

8.2. Fraud and Corruption

8.2.1 Fraud is defined as “deliberate deception intended to provide a direct or indirect personal gain”.

8.2.2 Corruption is defined as the “deliberate use of one’s position for direct or indirect illegitimate personal gain”.

8.2.3 The Council’s general belief and expectation is that all those associated with it will act with honesty and integrity. In particular, Officers will lead by example and be accountable for their actions.

8.2.4 As an employee of the Council you are expected to:

- Take the risk of fraud seriously;
- Secure all passwords, information, documents, money and equipment in your control which can be stolen or used to perpetrate fraud;

- Make yourself aware of corporate and departmental documented procedures, regulations or other instructions and ensure, where possible, that they are adhered to;
- Strive to achieve value for money in your use of the Council's financial resources;
- Only incur costs to the Council in accordance with your authorised limits;
- Declare any conflicts of interest that arise;
- Only accept gifts and hospitality in accordance with the Council's policy; and
- Bring any concern you have on the adequacy of control measures to the attention of your line manager.

8.2.5 Concerns raised will be treated in accordance with the Council's Whistleblowing policy.

9. PROTECTING THE COUNCIL'S BUSINESS INTERESTS

9.1. The Council retains the intellectual property rights for work created in the course of your normal duties e.g. research, reports, designs, drawings, software developments or similar work. No property of the Council should be removed from Council premises or passed on by you or another person acting on your behalf to a third party, without the express consent of the Council.

9.2. Similarly, you are not permitted to use any work which you or others have created, whilst in the employment of Council, for personal or financial gain without the express consent of the Council.

10. WHISTLEBLOWING

10.1. The Council is committed to achieving high standards of integrity and accountability and expects the same commitment from those working for the Council. Experience shows that employees are often the first to realise that there may be something seriously wrong within the Council or often have worries or suspicions and could, by reporting their concerns at an early stage, help put things right and stop potential wrongdoing.

10.2. The Council's Whistleblowing Policy provides a framework for you to raise concerns which you believe are in the public interest and may relate to illegal, improper or unethical conduct. You are encouraged to bring to the attention of management, knowledge of any such activity. You should be able to do so without fear of victimisation.

11. DISCLOSURE OF INFORMATION

11.1. You have a contractual responsibility to maintain confidentiality and to comply with the Council's guidance on Data Protection and Information Security and Acceptable Use Policy.

11.2. Confidential information includes, but is not limited to, any information

regarding: staff, service users, financial information, information regarding business plans or other commercially sensitive information and any information or matter which relates to the affairs and/or services of the Council that should not be in the public domain.

11.3. You must:

- 11.3.1. Not disclose information (oral, written or electronic) given to you in confidence by anyone, or information acquired which you believe is of a confidential nature, without the consent of a person authorised to give it, or unless you are needed to do so by law, or until it becomes public in the course of the Council's business;
 - 11.3.2. Not prevent another person from gaining **Access to Information** to which that person is entitled by law;
 - 11.3.3. Not use any information received during your employment for personal gain or benefit, or pass it on to others who might use it in a way other than might reasonably be expected in the normal course of their duties;
 - 11.3.4. Where applicable, be aware of the guidance on when you make confidential information available to Councillors. Part 21.1 of the **Access to Information Procedure Rules** in **Part 3**.
 - 11.3.5. Respect political confidences as provided for in the **Protocol on Councillor / Officer Relations**.
- 11.4. If you are unsure if an individual has the right to receive the information they have asked for, you must seek advice from your line manager.

12. POLITICAL NEUTRALITY

- 12.1. Employees serve the whole Council as a single, statutory corporate body and not simply the political administration in power. It follows, therefore, that you must provide support to all Councillors, regardless of the political party they represent. This is particularly important in relation to their local or representational role.

This is explained in more detail in the **Protocol on Councillor / Officer Relations**.

- 12.2. Some employees hold posts that have been designated as **Politically Restricted**. If you hold this type of post you are prevented from taking an active political role either in or outside work. You must not stand as a candidate, or hold, elected office (other than to a parish council), canvass at elections, speak, or write publicly demonstrating support for a political party.

13. GIFTS AND HOSPITALITY

- 13.1. If you are offered any gifts or hospitality, you must not accept these without the

prior authorisation of your manager. There is a presumption that gifts and hospitality will not be accepted. Any which are authorised/declined must be recorded on the Gifts and Hospitality Register online form.

- 13.2. Insignificant items of a token value only, such as pens or diaries, are excluded from these provisions. Significant items comprise gifts or hospitality with more than a token value. If in doubt, consult your manager.
- 13.3. You must only accept offers of hospitality if there is a genuine need for you to be present to give or receive information or to represent the Council. You must not accept offers to attend purely social or sporting functions, unless these are part of the life of our local community or where the Council should be seen to be represented. All acceptances must have the prior authorisation of your manager and recorded in the Employee Gifts and Hospitality Register.
- 13.4. If you have to decline an offer of hospitality, you must do so courteously but firmly, informing those making the offer of the procedures and standards operated by the council.
- 13.5. You must not accept significant gifts or hospitality from contractors or outside suppliers. If in doubt, consult your manager.
- 13.6. If you are authorised to receive hospitality, you must nevertheless still be particularly sensitive about its timings in relation to any decisions which the Council may be taking which involve those providing the hospitality.
- 13.7. Hospitality provided for attendance at relevant conferences and courses is acceptable providing:
 - 13.7.1. It is clear that the hospitality is corporate rather than personal;
 - 13.7.2. The Council's consent has been obtained in advance (where possible) through your manager; and
 - 13.7.3. The Council is satisfied that any purchasing decisions you may be involved in are not being compromised.
- 13.8. If you are involved in visits to inspect equipment, etc., you must ensure that the Council meets the cost of such visits to avoid any question of the integrity of subsequent purchasing decisions being jeopardised.
- 13.9. Any queries on the interpretation of the code and the procedure to be followed should be directed to the Monitoring Officer.

14. SPONSORSHIP

- 14.1. You must apply the basic conventions concerning acceptance of gifts or hospitality, any involvement you may have with an outside organisation which wishes to sponsor, or is seeking to sponsor, a local government activity, whether by invitation, tender, negotiation or voluntarily. You must take particular care when dealing with contractors or potential contractors.

- 14.2. Where the Council wishes to sponsor an event or service, you must make full disclosure to your manager if either yourself, partner, spouse or close relative stands to benefit from such sponsorship. In the same way, you must make sure that you give impartial advice and that you have no conflict of interest where the Council gives support to community groups through sponsorship, grant aid, financial or other means.

SECTION C – PROTOCOL ON COUNCILLOR / OFFICER RELATIONS

1 - Introduction

2 - Role of Councillors

3 - Role of Officers

4 - Respect and Courtesy

5 - Provision of Advice and Information

6 - Confidentiality

7 - Provision of Support Services to Councillors

8 - The Council's Role as Employer

9 - Political Activity

10 - Conclusion

11 - Unresolved Issues and Amendments to Protocol

1. INTRODUCTION

- 1.1 The purpose of this Protocol is to guide **Councillors** and **Officers** of North West Leicestershire District Council (“the Council”) in their relations with one another.
- 1.2 Given the variety and complexity of such relations, the Protocol does not seek to be prescriptive and it may not cover all situations. However, it does seek to provide guidance on some of the issues that most commonly arise. The approach to these issues will serve as a guide to dealing with other issues.
- 1.3 The Protocol is a written statement of current practice and convention. In some respects, however, it seeks to promote greater clarity and certainty.
- 1.4 It also seeks to reflect the principles underlying the respective rules of conduct that apply to **Councillors** and **Officers**. Its purpose, therefore, is to enhance and maintain the integrity (real and perceived) of the Council by demanding very high standards of personal conduct.
- 1.5 **Councillors** and **Officers** are servants of the public and they depend on each other in carrying out the work of the Council. Councillors are responsible to the electorate and serve only so long as their term of office lasts, while Officers are responsible to the Council. Their job is to give advice to the Council, as well as to individual Councillors, and to carry out the Council’s work under the direction and control of the Council and its various bodies.
- 1.6 Mutual respect between **Councillors** and **Officers** is essential to good local government. However, close personal familiarity between individual Councillors and Officers can damage this relationship and prove embarrassing to other Councillors and Officers.
- 1.7 The relationship has to function without compromising the ultimate responsibilities of **Officers** to the Council as a whole, and with due regard to such technical, financial, professional and legal advice that Officers legitimately provide to **Councillors**. The Protocol seeks to set a framework that assists the working relationships between Councillors and Officers.
- 1.8 The Protocol also sets out what should happen on the rare occasions when things go wrong. All **Councillors** and **Officers** should abide by this protocol. Political **Group Leaders** in respect of Councillors, and the **Chief Executive** and **Monitoring Officer** in respect of **Officers**, are responsible for ensuring the protocol is upheld.
- 1.9 This Protocol should be read and understood alongside relevant legislation and the respective Codes of Conduct. This would include the **Councillors’ Code of Conduct**, the **Officers’ Code of Conduct**, any social media policy etc. If any questions arise from this protocol, advice should be sought from the **Chief Executive** or **Monitoring Officer**.

1.10 The Council operates a zero tolerance policy to bullying and harassment.

2. ROLE OF COUNCILLORS

2.1 **Councillors** undertake many different roles in that they:

- 2.1.1 provide political leadership, expressing political values and supporting the policies of the political party to which they belong (if any);
- 2.1.2 represent their ward and are advocates for the residents who live in the area;
- 2.1.3 represent the Council externally, including being involved in active partnerships with other organisations, as community leaders;
- 2.1.4 contribute to the decisions taken in **Full Council** and in various bodies on which they serve, as well as **Committees**, outside bodies and organisations to which they are nominated by the Council;
- 2.1.5 determine and review policy and strategy;
- 2.1.6 monitor and review the performance of the Council in policy implementation and service quality;
- 2.1.7 are involved in quasi-judicial work through their membership of regulatory **Committees**.

2.2 **Councillors** are not authorised to initiate, certify or negotiate financial transactions or commercial arrangements. Neither are **Councillors** authorised to give assurances or promises to people or businesses save to the extent that they are informing such people or businesses of formally agreed Council decisions.

2.3 It is not the responsibility of **Councillors** to involve themselves in the day-to-day management of the Council, its **Officers** or its services. They should not seek to give instructions outside their areas of responsibility or terms of reference of their respective Committee.

2.4 **Councillors** are elected to make decisions in the interests of the **District** and to represent their constituents. Under the Council's executive arrangements, Councillors perform roles on the Cabinet, the **Scrutiny Committees** and on other **Committees** and **Sub-Committees** in addition to being Councillors. Each **Cabinet Member** is a portfolio holder, responsible for particular areas of activity. Some Councillors represent the Council on outside bodies.

Cabinet Members and all Chairs and Deputy Chairs

2.5 **Cabinet Members** and all Chairs and Deputy Chairs have additional

responsibilities, entailing different relationships and more regular contact with Officers. They still must respect the impartiality of Officers, and must not ask them to undertake work of a party political nature or that could prejudice their impartiality.

3. ROLE OF OFFICERS

- 3.1 **Officers** are employed by and serve the whole Council. They advise the Council, its **Committees** and **Sub-Committees** and the Cabinet. They implement decisions of the Council, the Cabinet and decision making groups. Officers also make decisions under powers delegated to them.
- 3.2 **Officers** have the following main roles:
 - 3.2.1 managing and providing the services for which the Council has given them responsibility and being accountable for the efficiency and effectiveness of those services;
 - 3.2.2 providing advice to the Council and its various bodies and to individual **Councillors** in respect of the services provided;
 - 3.2.3 initiating policy proposals; and
 - 3.2.4 implementing agreed policy, whilst ensuring that the Council always acts in a lawful manner.
- 3.3 Some **Officers** are authorised to initiate, certify or negotiate financial transactions or commercial arrangements, subject in certain cases to the need to obtain formal Councillor approval.
- 3.4 Certain **Officers** have responsibilities in law over and above their obligations to the Council and Councillors. These are known as **Statutory Officers** and include the **Head of Paid Service, Monitoring Officer** and **S151 Officer**. **Councillors** must respect these responsibilities and not obstruct or victimise Officers in the discharge of them.
- 3.5 **Officers** are responsible to their line manager and, ultimately their **Team Manager/Head of Service**. Heads of Service and the **Strategic Directors** are accountable to the **Chief Executive**. The Chief Executive is accountable to the **Council**.
- 3.6 The **Strategic Directors, Heads of Service** and **Team Managers** have responsibility for delivering their respective services in accordance with the Council's Policies and the provisions of the **Constitution**.

4. RESPECT AND COURTESY

- 4.1 For the effective conduct of Council business there must be mutual respect, trust and courtesy in all meetings and contacts, both formal and informal,

between **Councillors** and **Officers**. This plays a very important part in the Council's reputation and how it is seen in public. It is very important that both **Councillors** and **Officers** remember their respective obligations to enhance the Council's reputation and to do what they can to avoid criticism of other **Councillors** or other **Officers**, in public places.

4.2 A **Councillor** who is unhappy about the actions taken by, or conduct of, an **Officer** should:

- 4.2.1 avoid personal attacks on, or abuse of, the **Officer** at all times;
- 4.2.2 ensure that any criticism is well founded and constructive;
- 4.2.3 never make a criticism in public, and
- 4.2.4 take up the concern with the **Strategic Director** to whom the **Officer** ultimately reports or with the **Chief Executive** where it involves a **Strategic Director**.

4.3 **Undue Pressure**

- 4.3.1 It is important in any dealings between **Councillors** and **Officers** that neither should seek to take unfair advantage of their position.
- 4.3.2 In their dealings with **Officers** (especially junior **Officers**) **Councillors** need to be aware that it is easy for them to be overawed and feel at a disadvantage. Such feelings can be intensified where **Councillors** hold senior positions on the Council.
- 4.3.3 A **Councillor** should not apply undue pressure on an **Officer** either to do anything that he/she is not empowered to do or to undertake work outside normal duties or outside normal hours. Neither should a **Councillor** lobby an **Officer**. Particular care needs to be taken in connection with the use of Council property and services.
- 4.3.4 Similarly, an **Officer** must neither seek to use undue influence on an individual **Councillor** to make a decision in his/her favour or in favour of the service within which he/she works, nor raise personal matters to do with their job, nor make claims or allegations about other **Officers**. **Councillors** who receive any such approach from an **Officer** should advise the **Chief Executive** and/or a **Strategic Director** immediately.
- 4.3.5 The Council has formal procedures for consultation, grievance and discipline, and **Officers** have the right to report possible wrongdoing under the Council's procedures
- 4.3.6 Heads of Service are responsible for organising their staff's workloads and priorities. **Councillors** should not ask individual members of staff below **Team Manager** level to carry out work or research of a particular nature, which might involve staff spending time on matters that may not

necessarily form part of the priorities of that particular service. In addition, Councillors must not request individual members of staff to attend meetings or visit particular sites. All such requests must be made to the relevant Team Manager who will decide whether or not the work should be carried out.

- 4.3.7 Whilst **Senior Officers** endeavour to see **Councillors** without prior appointment this can cause difficulties. Generally speaking, Councillors should make appointments to speak to Officers. It can be disruptive to walk in unannounced, and this should be avoided wherever possible. Councillors should not turn up unannounced with members of the public and must not use their position to secure priority treatment for someone.

4.4 **Familiarity**

- 4.4.1 Close personal familiarity between individual **Councillors** and **Officers** can damage the principle of mutual respect. It could also, intentionally or accidentally, lead to the passing of confidential information or information which should not properly be passed between them, such as personal details.
- 4.4.2 Such familiarity could also cause embarrassment to other **Councillors** and/or other Officers and even give rise to suspicions of favouritism.
- 4.4.3 For these reasons close personal familiarity must be avoided.
- 4.4.4 Nevertheless, it is recognised that there may be occasions where it is unavoidable, particularly where family relationships or common interests (e.g. a club) arise.
- 4.4.5 A **Councillor** must declare to the **Chief Executive** and his/her respective **Group Leader** any relationship with an Officer that might be seen as influencing his/her work as a Councillor. This includes a family or close personal relationship. Similarly, the Officer concerned should notify his/her **Team Manager** and a **Strategic Director** or Chief Executive as appropriate.
- 4.4.6 The **Constitution** contains rules of procedure for the appointment of staff. **Councillors** cannot appoint staff below **Team Manager** level. Where **Councillors** are involved in making appointments, they must not take any part in the appointment of anyone to whom they are:
- Married;
 - A partner;
 - Otherwise related;
 - A close friend;
 - A business associate.
- 4.4.7 Councillors may be involved in interviewing internal candidates who

will be well known to them. On such occasions, Councillors must not allow that knowledge to influence their judgement one way or the other.

4.5 Declaration of Interest

- 4.5.1 All Councillors are required to abide by the Code of Conduct, which sets out standards governing their conduct. The Monitoring Officer will provide advice and information to Councillors on declarations of interest. It is the Councillor's responsibility to decide whether any interest should be declared. Councillors are normally expected to seek advice prior to a meeting. Raising such issues for the first time at a Council or public meeting can place **Officers** in a difficult position, and does not reflect well on the Council. Officers must, when requested to do so, respect **Councillor's** confidentiality when providing advice on declarations of interest but may otherwise draw to a Councillor's attention the need to declare a known interest.

4.6 The Officer relationship with the Leader and other Cabinet Members

- 4.6.1 The working relationship between the **Chief Executive, Strategic Directors**, Heads of Service and the **Leader/Cabinet Members** will be particularly close. Cabinet Members will have broad-ranging portfolio responsibilities. **Officers** may provide briefing notes, advice and information to the Cabinet/Cabinet Members in respect of reports or questions at formal Meetings. This relationship, however, must not:

Compromise **Officers'** duties to all **Councillors** of the Council;

Be so close as to give the appearance of partiality on the part of the Officer;

Undermine the confidentiality of any discussions with these **Senior Officers** and other **Councillors**;

Compromise **Officers'** professional responsibility to advise **Councillors** that a particular course of action should/should not be pursued;

Abrogate Officer responsibility for action taken under delegated powers.

4.7 Breach of Protocol Procedure for Councillors

- 4.7.1 If a **Councillor** considers that he/she has not been treated with proper respect or courtesy he/she may raise the issue with the **Officer's** linemanager. If direct discussion with the manager does not resolve the complaint it should be referred to the **Strategic Director** responsible for the Officer concerned. Breach of the Protocol may give rise to disciplinary proceedings against an Officer if the circumstances warrant it.

- 4.7.2 Where the Officer concerned is a **Strategic Director** the matter

should be raised with the **Chief Executive**. Where the Officer concerned is the Chief Executive the matter should be raised with the **Monitoring Officer**. If a Councillor is unsure how to proceed, or would wish to discuss the conduct of another Councillor toward Officers, they should discuss this with their **Group Leader**.

Procedure for Officers

4.7.3 If an Officer considers that a **Councillor** has contravened the protocol he/she should consult his/her line manager who will if necessary involve a **Strategic Director**. If conciliation via a senior manager is not possible, Officers can have recourse to the **Chief Executive**, as appropriate to the circumstances. **Officers** also have recourse to the Council's Whistleblowing Procedure.

4.7.4 In certain circumstances breach of the Protocol may also constitute a breach of the **Councillors' Code of Conduct**.

5. PROVISION OF ADVICE AND INFORMATION

- 5.1 **Officer** advice and support will be provided to:
Council Meetings;
Meetings of the **Cabinet** and any Committee or **Sub-Committee** established by the Council or Cabinet;
Cabinet Members (portfolio holders);
Meetings of the **Scrutiny Committees, Audit and Governance Committee** and other **Committees/Sub-Committees**;
Task Groups/Working Parties, etc.;
Groups;
Councillors of the Council on Council business.
- 5.2 **Officers** will also provide advice and assistance to individual Councillors in respect of Council Business, including issues raised by constituents, where appropriate.
- 5.3 **Councillors** should not discuss matters relating to staffing, establishment or the organisational structure of the Council or its operational services, with Officers other than **Team Managers**, Heads of Service, the **Strategic Directors** or the **Chief Executive**. **Officers** must not discuss with or advise Councillors on such matters without the prior agreement of their Team Manager, a **Strategic Director** or the Chief Executive.
- 5.4 **Councillors** should be provided with adequate information about services or functions upon which they may be called upon to make or scrutinise decisions, or which affect their constituents. In the normal course of events, this information will be made routinely available by **Officers** in the form of reports, departmental plans, updates etc. **Councillors** are encouraged to make use of existing sources of information wherever possible.

- 5.5 It is important to note that these rights only apply where **Councillors** are clearly carrying out their role as elected representatives. Where any **Councillor** has a disclosable pecuniary interest or a personal and prejudicial interest in a matter the Councillor will only be entitled to the same access as would be the case for a private individual, i.e. to inspect the reports, minutes and background papers relating to the public part of the Cabinet, Committee or **Sub-Committee Agenda**. In these circumstances, the **Councillor** must make it clear that s/he is acting in his/her private capacity and not as a Councillor. More information can be found in the **Access to Information Procedure Rules** in **Part 3** of the **Constitution**.
- 5.6 The exercise of the common law right depends upon a **Councillor's** ability to demonstrate a "need to know". In this respect a Councillor has no right to "a roving commission" to examine any documents of the Council. Mere curiosity is not sufficient. Requests made for information should be made in the first instance to the **Strategic Director** responsible who may give suitable directions as to how the request shall be dealt with.
- 5.7 The information sought by a **Councillor** should only be provided if this can be done without causing undue strain on the Council's resources. For their part, Councillor should seek to act reasonably in the number and content of the requests they make.
- 5.8 It is important for **Officers** to keep **Councillors** informed both about the major issues concerning the Council and, more specifically, about issues and events affecting the area that they represent. Local Councillors should be informed about proposals that affect their ward and should also be invited to attend Council initiated events within their ward.
- 5.9 If a **Councillor** asks for specific information about Council business and it appears possible or likely that at a subsequent meeting an issue could be raised or question asked on the basis of the information provided, then the appropriate **Cabinet Member** or Committee Chair concerned should be advised about the information provided.
- 5.10 **Officers** have to advise **Councillors** from time to time that a certain course of action cannot be carried out. **Councillors** sometimes assume that this is a case of Officers deliberately obstructing the wishes of politicians. In fact this is hardly ever the case. **Officers** are employed to give unbiased professional advice even if it is not what Councillors want to hear. They do this as much for the protection of both **Councillors** and the Council as for any other reason. However, the mark of an effective Officer is that if they do have to give negative advice, this will be accompanied by suggestions as to how **Councillors** might achieve some or all of their objectives in other ways. Such Officers are invaluable to any Council.
- 5.11 **Officers** must not be requested to advise upon matters of party business or private matters.
- 5.12 **Councillors** may be entitled under the Freedom of Information Act 2000

(“FOI”) to receive information which falls outside their common law rights based on the “need to know”. **Strategic Directors** will seek to enable the supply documents to **Councillors** without the need for a formal FOI request if it is apparent from the **Councillor’s** enquiry that any individual would be entitled to receive such documentation. The Council’s **Head of Legal and Commercial Services** will be able to advise on whether any request would fall within FOI.

Cabinet Members, Chairs and Deputy Chairs

- 5.13 **Cabinet Members**, Chairs and Deputy Chairs have additional responsibilities, entailing different relationships and more regular contact with Officers
- 5.14 In order for them to discharge their responsibilities as **Cabinet Members, portfolio holders** will be briefed by **Strategic Directors** on service issues, proposals and policy development. Strategic Directors may from time to time nominate other Officers to attend these meetings. Strategic Directors may also brief Committee Chairs on matters relevant to the terms of reference of the Committee. These informal meetings may be on a one off or regular basis, in accordance with the requirements of the **Councillor** concerned.

Briefings to political groups

- 5.15 Political Group meetings fall outside the Council’s decision making process. Conclusions reached at such meetings are not formal Council decisions and so should not be relied upon as such. The Code of Conduct for **Councillors** applies to Councillors attending Political Group meetings with respect to Council related matters.
- 5.16 The **Leader** or any **Group Leader** may request the **Chief Executive** or a **Strategic Director** to prepare a briefing or written report on any matter relating to the Council for consideration by the group. Such requests must be reasonable and should not seek confidential or personal information. In considering such a request, Officers should be mindful of the need to support Councillors by providing factual information. However if an Officer deems the nature of the request to be unreasonable the request will be referred to the Chief Executive for determination, were necessary in consultation with the Leader(s) of the political group(s).
- 5.17 **Officer** reports to political groups will be limited to a statement of material facts and identification of options and the merits and demerits of such options for the Council. Reports will not deal with any political implications of the matter or any option and Officers will not make any recommendation to a political group.
- 5.18 Any briefing offered to or requested by a party group will be offered to any other party groups. Where possible such briefings should be to all or a combination of party groups.

Officer attendance at political group meetings

- 5.19 The **Leader** or any **Group Leader** may request the **Chief Executive** or a **Strategic Director** to attend a meeting of the group to advise on any matter relating to the **Council**. Where such an invitation is accepted, the same opportunity will be afforded to all other political groups.
- 5.20 Attendance at a meeting of a political group should be on the basis of equality of access, and Councillors and Officers should avoid Officers being exposed to political discussions when delivering a briefing. **Officers** may decline to attend or provide a representative where they are of the opinion that the particular issue is of such a political nature that it would be inappropriate to attend.
- 5.21 Any briefing offered to or requested by a party group will be offered to any other party groups. Where possible such briefings should be to all or a combination of party groups. No **Officer** of the Council shall attend any political group meeting which includes non- **Councillors**.
- 5.22 **Officers'** advice to political groups will be limited to a statement of material facts and identification of options and the merits and demerits of such options for the Council. Advice will not deal with any political implications of the matter or any option and Officers will not make any recommendation to a political group.
- 5.23 **Officers** will request the confidentiality of any matter which they are privy to in the course of attending a political group meeting.

6 CONFIDENTIALITY

- 6.1 In accordance with the **Councillors' Code of Conduct** and the provisions of this **Constitution**, a Councillor must not disclose information given to him/her as Councillor in breach of any confidence.
- 6.2 Confidential information is information:
- 6.2.1 furnished to the Council by a Government Department on terms which forbid the disclosure of the information to the public, or
 - 6.2.2 which may not be disclosed by or under any enactment or by a court order.
- 6.3 Exempt information is information to which the public may be excluded subject to certain qualifications. The categories of exempt information are set out in Schedule 12A to the Local Government Act 1972 and are reproduced in the **Access to Information Procedure Rules** in **Part 3**.
- 6.2 Confidential Part II Committee papers are to be treated as confidential information unless the **Cabinet**, Committee or **Sub-Committee** has resolved not

to exclude press and public. **Councillors** are reminded that the author of the report makes the initial decision as to whether or not the papers are to be treated as confidential or exempt. The decision as to whether they remain confidential is for the **Cabinet**, Committee or Sub-Committee. Other information may be confidential because to disclose it would be against the Council's or the public interest. Information may also be confidential because of the circumstances in which it was obtained.

- 6.3 Information and correspondence about an individual's private or business affairs will normally be confidential.
- 6.4 **Officers** should make it clear to **Councillors** if they are giving them confidential information. If a **Councillor** is not sure whether information is confidential, he/she should ask the relevant **Officer**, but treat the information as confidential in the meantime.
- 6.5 Any Council information provided to a **Councillor** must only be used by the **Councillor** in connection with the proper performance of the **Councillor's** duties.
- 6.6 Confidential or exempt information provided to **Councillors** may be discussed in the private session of Committee meetings or in private meetings of appropriate Councillors and Officers. However, it should not be discussed with, or released to, any other persons. Any information that is provided should be clearly marked as confidential before it is released to Councillors.
- 6.7 Information disclosed privately or private discussions held during exempt Committee sessions, informal briefings or group meetings should not be disclosed by Councillors or Officers to any person not already privy to that information.
- 6.8 If a Councillor requires any advice regarding confidential information he/she should consult the **Head of Legal and Commercial Services**.

7. PROVISION OF SUPPORT SERVICES TO COUNCILLORS

- 7.1 The only basis on which the Council can lawfully provide support services (e.g. stationery, word processing, printing, photocopying, transport, etc.) to **Councillors** is to assist them in discharging their role as Councillors. Such support services must therefore only be used on Council business. They should never be used in connection with party political or campaigning activity or for private purposes.
- 7.2 Official letters on behalf of the Council should in the vast majority of cases be sent in the name of the appropriate **Officer**, rather than over the name of a **Councillor**. There are very limited circumstances where a letter sent in the name of a Councillor is perfectly appropriate, for example, representations to a government minister in which case it is acceptable for letters to appear in the name of the **Chair of the Council**, **Leader** the **Deputy Leader** or other **Cabinet Member**. Letters which, for example, create obligations or give instructions on

behalf of the Council should never be sent out in the name of a Councillor.

- 7.3 Communication with the media can be an important part of a **Councillor's** workload. In general, **Councillors** provide comment and views while Officers provide factual information. If a Councillor is unsure about the circumstances of a particular issue he should contact the **Strategic Director** responsible. **Officers** can only assist in relation to a communications issue if it relates to a legitimate Council activity. The Council cannot assist in terms of communications issues in relation to ward activity of a **Councillor** or a party political matter.

CORRESPONDENCE

- 7.4 Unless a **Councillor** or **Officer** requests confidentiality, it may be assumed that correspondence (including e-mail) between a Councillor and an Officer is not confidential and may be shown to others. Where confidentiality is not requested, Councillors and Officers will exercise discretion in determining whether it is appropriate to disclose correspondence to others. The originator of the correspondence must accept that it may be disclosed to others unless confidentiality has been requested. However, both Officers and Councillors have a personal responsibility to maintain confidentiality in any matter which appears to be of a personal or confidential nature, whether or not this has been specifically stated. If, in an Officer's view, correspondence on a non-confidential matter between an individual Councillor and an Officer is of interest to other Councillors, to keep them fully informed, the original Councillor should be informed when copies are provided to other Councillors.
- 7.5 Where issues are raised by, or with, individual Councillors relating to a matter of general interest in a Council ward, copies of correspondence may be sent to all Councillors for the particular area and the appropriate Cabinet Member/Committee/Board **Chair** at the discretion of the relevant **Team Manager**. An exception will be made where the Councillor specifically requests that correspondence is not copied to other Councillors, or there is a political, or other reason, why this is not appropriate.
- 7.6 **Councillors** should ensure that any letters they send out in their own name, for example as individual ward members to members of the public, do not purport to be or give the impression that they are 'official' letters setting out the Council's position. Nor should Councillors say anything which appears to commit the Council to a course of action or a position without authority to do so.

8. THE COUNCIL'S ROLE AS EMPLOYER

- 8.1 In their dealings with Officers, **Councillors** should recognise and have regard to the Council's role as employer. **Councillors** should be aware that **Officers** could rely on inappropriate behaviour of a Councillor in an employment case against the Council.

f) POLITICAL ACTIVITY

- 9.1 **Officers** are employed by the Council as a whole. They serve the Council and are responsible to the **Chief Executive** and the **Strategic Directors** and not to individual **Councillors** whatever office they might hold. It is important that the political neutrality of Officers is preserved.
- 9.2 The importance of political neutrality is particularly the case with regard to **Officers** who occupy posts that are designated as “**Politically Restricted**” under the terms of the Local Government and Housing Act 1989.

g) **CONCLUSION**

- g.1. Following good practice and securing sensible and practical working relationships between **Councillors** and **Officers** will enhance the delivery of high value quality services to the people of North West Leicestershire. Mutual understanding, openness and respect are the greatest safeguard of the integrity of the Council and its **Councillors**.

h) **UNRESOLVED ISSUES AND AMENDMENTS TO THE PROTOCOL**

- h.1. If there are any issues of concern, which are not dealt with by this protocol, then the relevant Councillor or Officer may discuss the matter with the **Chief Executive, Strategic Directors**, Head of Legal and Commercial Services or the Head of Human Resources and Organisational Development, as appropriate, with a view to advice being provided.
- h.2. This protocol will be reviewed periodically by the **Audit and Governance Committee**, who will make recommendations to the **Council** on proposed amendments.

SECTION D – PROCEDURE ON THE RESOLUTION OF DISPUTE/CONFLICT BETWEEN OFFICERS AND COUNCILLORS

1 - Introduction

2 - The Procedure

SECTION D – PROCEDURE ON THE RESOLUTION OF DISPUTE/CONFLICT BETWEEN OFFICERS AND COUNCILLORS

1. Introduction

- 1.1. This procedure has been developed as a quick and largely informal way of resolving disputes or conflict between Officers and Councillors. This procedure does not preclude the existing rights of the parties to initiate the Council's grievance or disciplinary procedures. It aims to foster mutual respect and courtesy and to develop good working relationships between Officers and Councillors. It will be conducted in private and will examine under performance or mistakes in a developmental way without attributing blame.

2. The Procedure

- 2.1. Both Councillors and Officers shall have regard to the existing codes of conduct as setting clear ground rules on behaviour.
- 2.2. This procedure should be seen as additional to rather than as a substitute for the Council's existing grievance or disciplinary procedures. Any party may wish to be accompanied during part or the whole of the process.
- 2.3. In addition it does not preclude the involvement of external agencies in appropriate circumstances.
- 2.4. It will be expected that before the procedure is implemented that the parties to the dispute/conflict will have met to identify in writing specifically what the difference is and to discuss the matter in a meaningful way with a view to resolving the difference (where this is reasonably practical).
- 2.5. In the event that a difference cannot be resolved the Chief Executive shall be informed as soon as possible.
- 2.6. The Chief Executive shall notify the Leader and the appropriate **Head of Service** or **Team Manager** without delay.
- 2.7. The **Head of Service** or **Team Manager** shall convene a meeting ideally within 2 days between the two parties to the dispute and him/herself.
- 2.8. Where the dispute is between a **Head of Service** and a Councillor the meeting shall take place between the two parties together with a Strategic Director or the Chief Executive and the Leader.
- 2.9. Where there is a conflict between the Chief Executive and a Councillor, the Leader shall be involved.

- 2.10. Any meetings shall encourage a full and frank exchange of views in a professional manner in an endeavour to resolve the conflict.
- 2.11. In the unlikely event of the matter not being resolved as above it will be referred to the Chief Executive and the Leader to try and break the deadlock. Should the matter remain unresolved it shall be open to the parties to initiate the Council's formal grievance or disciplinary procedures as appropriate.

SECTION E - ROLES AND RESPONSIBILITIES FOR COUNCILLORS

Part A - All Councillors

Part B - The Executive Councillor

Part C - The Non-Executive Councillor

Part D - The Chair of the Council

Part E - The Deputy Chair of the Council

Part F - The Leader of the Council

Part G - Deputy Leader of the Council

Part H - Chair of the Cabinet

Part J - Chairmen of the Scrutiny Committees

Part K - Deputy Chairmen of the Scrutiny Committees

Part L - Chairmen of Committees

Part M - Deputy Chairmen of Committee

SECTION E - ROLES AND RESPONSIBILITIES FOR COUNCILLORS

Part A - All Councillors

Standards of Behaviour

1. To adhere to the Nolan principles of Standards in Public Life and the Council's Code of Conduct for Councillors.
2. To respond to communications from or on behalf of your constituents within a reasonable time. To complete and return any questionnaires you may receive from the Council.
3. To uphold the Council's reputation by promoting its policies, values and achievements and to refrain from making comment to the media or other audiences which would be damaging to the image of the Council as a whole.
4. To uphold the office of Councillor and to do nothing which would bring such into disrepute.
5. To treat members of staff with respect and to develop sound, professional relationships with them.
6. To respect the political impartiality of members of staff.
7. To uphold the right of other Councillors who do not necessarily share your views, the right to express their own views and to have the courtesy to listen to those views.
8. To comply with the Council's Standing Orders and to do nothing as an individual which would commit the Council to a particular course of action or leave the Council open to a charge of maladministration.
9. To observe confidentiality.

Commitment to the Council

10. To demonstrate commitment to and work towards achieving the Council's corporate objectives.
11. To demonstrate commitment to the local government modernisation **Agenda** and the principles of Best Value.

Training – Developing

12. Subject to personal circumstances, to set aside time to undergo appropriate training and development.

Seeking Support and Advice

13. To take advice from Officers on any matter of Council business.
14. To seek support from Officers where necessary to develop your representational role.
15. To seek appropriate advice concerning your dealings with the press and public in your representational role.

Communications

16. To develop effective channels of communication with Officers and other Councillors.

Representational Role

17. To bring forward constituents' views and concerns and grievances and to have in place appropriate methods to be available to local constituents and organisations e.g. via holding surgeries, canvassing (other than at election time), making oneself available.

To have contact with constituents and community groups and to represent the people to the Council rather than defending the Council's actions.

To actively reviews steps taken to listen to all the different communities within the ward and to bring forward improvements to ensure that you reach socially excluded groups and minorities.

To actively review steps taken to listen to all the different communities within the ward and to bring forward improvements to ensure that you reach the parts previously missed.

To help and assist local communities and groups in accessing services provided by the Council.

Meetings

18. Upon appointment as a representative of the Council on a community or other body, to regularly attend meetings of that body and to report back to the Council the deliberations of that outside body and to distribute relevant written information.

To regularly attend any internal meetings as required and to participate effectively representing the views of the people at those meetings.

Scrutiny Function

19. To accept that the scrutiny process means that the Council recognises that you have to allow colleagues to publicly question each other.

To co-operate and take part in the scrutiny process of the Council when required.

Part B - The Executive Councillor

To actively build partnerships with outside bodies.

To actively represent the Council at a strategic level where appropriate.

In dealing with resource allocation priorities and the preparation of policy plans, to do such in an impartial and proper manner.

Part C - The Non-Executive Councillor

To carry out the scrutiny function in a proper manner having regard to approved protocols and to seek and take advice from Officers as appropriate.

In formulating proposed changes and in submitting proposals to the Cabinet to do so in a constructive way.

To actively channel grievances, needs and aspirations of your constituents and community bodies into the scrutiny process.

To adhere to the protocols and processes agreed by the Council for operation of the scrutiny function.

Part D - The Chair of the Council

To provide the civic leadership for the Council.

To preside at all meetings of the Council.

To represent the Council in the community at major civic and ceremonial functions.

Part E - The Deputy Chair of the Council

To assist the **Chair** in providing the civic leadership for the Council.

To deputise for the **Chair** in fulfilling the duties set out above in the key tasks for the **Chair**.

Part F - The Leader of the Council

To provide the political leadership for the Council and to take the lead in ensuring that the Council's policies and strategies are progressed.

To ensure that the work of the executive and non-executive Councillor is co-ordinated and progressed effectively.

To take the lead for overseeing the implementation of the changes to the political management and Officer structures.

To represent the Council in discussions and negotiations with county, regional and national organisations and others as appropriate in pursuing the interest of the Council and its communities.

To act as the Council's principal political spokesman.

To have regular meetings and communication with the Chief Executive and the Management Team and to work with the Chief Executive to fulfil the Council's objectives.

Where appropriate to act in the case of disputes between Councillors and Officers.

Part G - Deputy Leader of the Council

To assist the Leader in providing the political leadership for the Council.

To deputise for the Leader in fulfilling the responsibilities set out above.

Part H - Chair of the Cabinet

To respond to questions at Council meetings during the public question and answer session when required.

To chair meetings of the Cabinet.

To attend **Agenda** briefing meetings.

To lead Board consideration of the budget for approval by the Council.

To report as required on the work of the Board in implementing the Council's policy programme.

Part J - Chairmen of the Scrutiny Committees

To respond to questions at Council meetings during the public question and answer session when required.

To chair meetings of the relevant **Scrutiny Committee**.

To attend **Agenda** briefing meetings.

To lead consideration of the Council's scrutiny function in so far as the relevant **Scrutiny Committee** is concerned.

To report, as required, on the work of the relevant **Scrutiny Committee** in

implementing the Council's scrutiny function.

Part K - Deputy Chairmen of the Scrutiny Committees

To deputise for the relevant **Chair** and to assist him/her in carrying out the specified responsibilities.

Part L - Chairmen of Committees

To chair meetings of the Committee.

To attend **Agenda** briefing meetings as required.

Part M - Deputy Chairmen of Committee

To deputise for the **Chair** and to assist him/her in carrying out the specified responsibilities.

SECTION F - MONITORING OFFICER PROTOCOL

1 - General Introduction to Statutory Responsibilities and Functions

2 - Working Arrangements

3 - Monitoring Officer's Rights

4 - Proper Officer

5 - Conflicts of Interest

6 - Insurance and Indemnity Arrangements

7 - Breach of This Protocol

8 - Post of Monitoring Officer

Schedule - Summary of Monitoring Officer Functions

SECTION F - MONITORING OFFICER PROTOCOL

1. General Introduction to Statutory Responsibilities and Functions

1.1. The Monitoring Officer is a statutory appointment pursuant to Section 5 of the Local Government and Housing Act 1989 (LGHA 1989) and is accountable to the Council. That Act, the Local Government Act 2000 and the Local Government and Public Involvement in Health Act 2007 place personal obligations on the appointee in respect of the Council, which are summarised as a schedule annexed to this document.

1.2. This protocol provides some general information on how those statutory requirements will be discharged at this Council.

1.3. The duties of the Monitoring Officer under Section 5 of the LGHA 1989 are to report to the Council on any proposal, decision or omission by the Council (or a Committee or Sub-Committee, or a **Joint Committee** on which the Council is represented) or an Officer, which has given rise to, or is likely or would give rise to:

1.3.1. a contravention of law or any code of practice made or approved by or under any enactment; or

1.3.2. such maladministration or injustice as is mentioned in Part III of the Local Government Act 1974, i.e. in connection with action taken by or on behalf of the Council, in exercise of the Council's administrative functions.

It is the Monitoring Officer's duty to consult with both the Head of Paid Service and the S151 Officer during the preparation of a report and as soon as practicable after its preparation to arrange for a copy of it to be sent to each Councillor. The Monitoring Officer is bound to perform all of his/her duties personally, save that during absence or illness, a deputy nominated by him/her may undertake them.

1.4. Where there are town and parish councils within unitary and district authorities, other obligations are placed upon the Monitoring Officer. This protocol does not focus on these aspects.

1.5. In general terms, the Monitoring Officer's ability to discharge his/her duties and responsibilities will depend, to a large extent, on Councillors and Officers:

1.5.1. complying with the law (including any relevant Codes of Conduct);

1.5.2. complying with any general guidance issued, from time to time, by the **Audit and Governance Committee** and the **Monitoring Officer**; making lawful and proportionate decisions; and generally, not taking action that would bring the Council, their Officers or professions into disrepute.

2. Working Arrangements

- 2.1. Having excellent working relations with Councillors and Officers will assist in the discharge of the statutory responsibilities of the Monitoring Officer and maintaining high standards of conduct, governance and legal compliance. Equally, a speedy flow of relevant information and access to debate (particularly at the early stages of any decision making by the Council) will assist in fulfilling those responsibilities. Councillors and Officers must, therefore, work with the Monitoring Officer (and his/her staff) to discharge the Council's statutory and discretionary responsibilities.
- 2.2. Having effective working liaison and relationships with the **Audit and Governance Committee** (and its members), the External Auditor and the Local Government Ombudsman will also assist in the discharge of those statutory responsibilities. This will include having the authority to complain to the same, refer any breaches to the same or give and receive any relevant information, whether confidential or otherwise, through appropriate protocols, if necessary.

3. Monitoring Officer's Rights

- 3.1. The following arrangements and understandings between the Monitoring Officer, Councillors and Officers are designed to ensure the effective discharge of the Council's business and functions. The Monitoring Officer will have the right to:
- 3.1.1. be advised by Councillors and Officers of any issue(s) that may become of concern to the Council, including, in particular issues around legal powers to do something or not, ethical standards, probity, policy, procedural or other constitutional issues that are likely to (or do) arise;
 - 3.1.2. access to any meetings of Officers or Councillors (or both) of the Council, whether or not such meetings include any other persons (for the purpose of clarification, this right does not extend to any meetings held by or on behalf of any political party represented on the Council);
 - 3.1.3. receive advance notice (including receiving **Agendas**, minutes, reports and related papers) of all relevant meetings of the Council at which a decision of the Council may be made formulated or briefed upon (including a failure to take a decision where one should have been taken) at or before the Council, Cabinet, Cabinet Member, Committee meetings and/or Corporate Leadership Team (or equivalent arrangements);
 - 3.1.4. require when carrying out any investigation(s):

- 3.1.4.1. such advice and assistance from the Council that he/she considers is reasonably needed to assist him/her,
- 3.1.4.2. unqualified access to any Officer or Councillor who the Monitoring Officer wishes to make inquiries of or who he/she believes can assist in the discharge of his/her functions, and
- 3.1.4.3. any information and documents held by the Council;
- 3.1.5. disclose information and documents to the appropriate and relevant authority (even where such disclosure would otherwise be in breach of the Monitoring Officer's duty of confidentiality to the Council);
- 3.1.6. ensure or facilitate that the other statutory Officers (Head of Paid Service and S151 Officer) are kept up-to-date with relevant information regarding any legal, ethical standards, probity, procedural or other constitutional issues that are likely to (or do) arise;
- 3.1.7. meet with the Head of Paid Service and the S151 Officer to consider and recommend action in connection with corporate governance issues and other matters of concern regarding any legal, ethical standards, probity, procedural or other constitutional issues that are likely to (or do) arise;
- 3.1.8. report on ethical governance issues and on the **Constitution** following consultation, where appropriate, with the Head of Paid Service and S151 Officer;
- 3.1.9. report to the Council as necessary on the staff accommodation and resources he/she requires to discharge his/her statutory functions and to be provided with the same;
- 3.1.10. obtain legal advice on any matter which he/she believes may be a reportable incident, at the Council's expense;
- 3.1.11. defer the making of a formal report under Section 5 of the Local Government and Housing Act 1989 where another investigative body is involved, subject to any necessary consultation with all or any of Head of Paid Service, S151 Officer, the **Chair of the Council**, Leader, Deputy Leader and the **Audit and Governance Committee**;
- 3.1.12. notify (after consultation with the Head of Paid Service and the S151 Officer) the police, the Council's auditors and other regulatory agencies of his/her concerns in respect of any matter and to provide them with information and documents in order to assist them with their statutory functions;

- 3.1.13. seek to resolve potential reportable incidents by avoiding or rectifying the illegality, failure of process or breach of code, or by identifying alternative and legitimate methods to proceed whilst retaining the right to make a statutory report where, after consultation with the Head of Paid Service and the S151 Officer, he/she is of the opinion that such is necessary in order to respond properly to such an incident;
- 3.1.14. prepare any training programme for Councillors or Officers on ethical standards and Code of Conduct issues.
- 3.1.15. To make reports to and receive reports from the **Audit and Governance Committee**, subject (where appropriate) to consultation with the Head of Paid Service and the S151 Officer.

4. Proper Officer

- 4.1. Councils may place “Proper Officer” and other obligations on the Monitoring Officer, through the **Constitution** and elsewhere, but these are delegated functions of the Council rather than personal duties under statute. Whilst the exercise of these functions equally require good working arrangements, they differ slightly from authority to authority. For the sake of commonality and clarity of the protocol, they are not directly addressed here.
- 4.2. The Proper Officer list is contained at Part 3, Section 8 of the **Constitution**.

5. Conflicts of Interest

- 5.1. Where the Monitoring Officer is aware he/she has a potential conflict of interest he/she shall refer the matter to the Deputy Monitoring Officer or another appropriate party (and report to the Head of Paid Service and/or the Council as appropriate).

6. Insurance and Indemnity Arrangements

- 6.1. The S151 Officer will ensure adequate insurance and indemnity arrangements are in place to protect and safeguard the interests of the Council and the proper discharge of the Monitoring Officer role.

7. Breach of this Protocol

- 7.1. Complaints against any breach of this protocol by a Councillor may be:
 - 7.1.1. dealt with informally by the Monitoring Officer or

7.1.2. referred to the **Audit and Governance Committee** as appropriate by the Monitoring Officer (or if the Monitoring Officer so requests, referred to the Head of Paid Service) or

7.1.3. referred to the relevant Leader and/or whip of the political group.

7.2. Complaints against any breach of this protocol by an Officer may be referred to the Head of Paid Service for assessment.

8. Post of Monitoring Officer

8.1. For the purposes of this protocol, the term “Monitoring Officer” includes:

8.1.1. any person nominated by the Monitoring Officer as a Deputy Monitoring Officer for the purposes of Section 5(7) of the Local Government and Housing Act 1989; and

8.1.2. any person nominated under the provisions of Section 82A(2) or (3) of that Local Government Act 2000 to perform any function.

Schedule - Summary of Monitoring Officer Functions

	Description	Source
1	Report on contraventions or likely contraventions of any enactment or rule of law.	Section 5 Local Government and Housing Act 1989.
2	Report of any maladministration or injustice where Ombudsman has carried out an investigation.	Section 5 Local Government and Housing Act 1989.
3	Appointment of Deputy.	Section 5 Local Government and Housing Act 1989.
4	Report on resources.	Section 5 Local Government and Housing Act 1989.
5	Investigate allegations of misconduct of Councillors under the Council's Councillors' Code of Conduct in compliance with the Council's adopted arrangements.	Localism Act 2011 Section 28 and associated regulations and guidance.
6	Establish and maintain registers of Councillors' interests and gifts and hospitality.	Section 29 of the Localism Act 2011 and Councillors' Code of Conduct .
7	Advice to Councillors on interpretation of the Councillors' Code of Conduct .	Councillors' Code of Conduct .
8	Key role in promoting and maintaining high standards of conduct through support to the Audit and Governance Committee .	New Council Constitutions Guidance paragraph 8.20.

9	Advising on appropriateness of compensation for maladministration.	Section 92 Local Government Act 2000.
10	Advice on vires issues, maladministration, financial impropriety, probity and policy framework and budget issues to all Councillors.	New Council Constitutions Guidance paragraph 8.21.
11	Refer relevant matters to the Audit and Governance Committee (or its Sub-Committees) for initial assessment, review and hearing.	Council's adopted arrangements under Section 28 of Localism Act 2011.
12	Advise on any indemnities and insurance issues for Councillors/Officers.	Regulations under Local Government Act 2000.
13	Advise on the introduction of Local Assessment arrangements.	Local Government and Public Involvement in Health Act 2007 (including amendments to the Local Government Act 2000).
14	Act as the qualified person.	S36 Freedom of Information Act 2000 and Information Commissioner's Office Awareness Guidance No. 25.

The Officer holding the designation Monitoring Officer also holds certain Proper Officer appointments as detailed in the **Constitution**.

SECTION G - PLANNING CODE OF CONDUCT

Rule

1. Introduction
2. The Role and Conduct of Councillors and Officers
3. Interests of Councillors
4. Dual-Hatted Councillors and Councillors on Other Bodies
5. Councillors Who Are Not Members of the Committee
6. Development Proposed by the Council or a Council Owned Company
7. Development Proposals Submitted by or Involving Councillors and Officials in their Private Capacity
8. Statutory Duties
9. Lobbying Of and By Councillors
10. Pre and Post Application Discussions and Negotiations
11. Officer Reports to Committee Planning Considerations
12. The Decision Making Process Site Visits By the Committee
13. Representations on Planning Applications
15. Review of Decisions
16. Training

SECTION G - PLANNING CODE OF CONDUCT

This Code of Practice supplements the **Council's Councillors' Code of Conduct** and where appropriate Councillors should refer to the Councillors' Code of Conduct. The Council's Monitoring Officer's advice may be sought on the interpretation of the Councillors' Code of Conduct or this Code.

1. INTRODUCTION

- 1.1 Planning affects land and property interests, including the financial value of land and the quality of their settings. It is not an exact science. It is often highly contentious because decisions affect the daily lives of everyone and the private interests of members of the public, landowners and developers. Opposing views are often strongly held by those involved. A key role of the planning process is balancing the needs and interests of individuals and the community.
- 1.2 The planning system can only function effectively if there is trust among those involved. There must be trust between Councillors and Officers and between the public and the Council. The Third report of the Committee on Standards in Public Life (the Nolan Committee) (1997) recommended that each local authority's practices and procedures were set out in a local code of planning conduct to avoid allegations of malpractice in the operation of the planning system.
- 1.3 The general principles that underlie the Council's **Councillors' Code of Conduct** and apply to this Code of Practice are:
 - 1.3.1 Councillors should serve only the public interest and should never improperly confer an advantage or disadvantage on any person.
 - 1.3.2 Councillors should not place themselves in situations where their honesty or integrity may be questioned.
 - 1.3.3 Councillors should make decisions on merit.
 - 1.3.4 Councillors should be as open as possible about their actions and those of their authority, and should be prepared to give reasons for those actions.
 - 1.3.5 Councillors may take account of the views of others but should reach their own conclusions on the issues before them and act in accordance with those conclusions.
 - 1.3.6 Councillors should respect the impartiality and integrity of Officers.

- 1.4 The Council is committed to open, fair and transparent decision-making. Planning decisions should be made impartially, with sound judgement and for justifiable reasons.
- 1.5 This Code of Practice sets out practices and procedures that Councillors and Officers of the Council shall follow when involved in planning matters. Planning matters include the consideration of planning applications, the preparation of development plans and other planning policy and the enforcement of planning control.
- 1.6 Failure to follow this Code without good reason, could be taken into account in investigations into possible maladministration against the Council, or have implications for the position of individual Councillors and Officers. Breaches of this Code may also amount to breaches of the Council's **Councillors' Code of Conduct**. If in doubt about what course of action to take, a Councillor or Officer should seek the advice of the Council's Monitoring Officer.
- 1.7 This Code of Practice sets out principles to guide Councillors and Officers in determining planning applications and making other decisions within the terms of reference of **Planning Committee**. Although of particular relevance to members of Planning Committee it applies to all **Councillors** who may become involved in planning and development matters.
- 1.8 Members of **Planning Committee** are required to be impartial at all times and should refrain from wearing any item that indicates a political affiliation, stance, lobby or similar influence (such as clothing in party colours party, party emblems etc) in the course of site visits conducted by the Planning Committee. Similarly, Councillors shall not make political statements whilst on any business concerned with the functions of Planning Committee.

2. THE ROLE AND CONDUCT OF COUNCILLORS AND OFFICERS

- 2.1 Councillors and Officers have different, but complementary roles. Both serve the public but Councillors are responsible to the electorate, while Officers are responsible to the Council as a whole.
- 2.2 The role of a member of the **Planning Committee** is to make planning decisions openly, impartially, with sound judgement and for justifiable reasons.
- 2.3 Whilst Councillors have a special duty to their ward constituents, including those who did not vote for them, their overriding duty is to the whole community. This is particularly pertinent to Councillors involved in making a planning decision. A key role of the planning system is the consideration of development proposals in the wider public interest.
- 2.4 Councillors' decisions shall not discriminate in favour of any individuals or groups and they alone have the responsibility to decide what view to take. Councillors must, therefore, consider all of the material issues in the light of

Development Plan policies, Government advice and their own individual judgement and make a decision in the interests of the area as a whole.

- 2.5 Whilst Councillors should take account of all views expressed, they shall not favour any person, company, group or locality, nor put themselves in a position where they appear to do so.
- 2.6 Officers who are Chartered Town Planners are guided by the Royal Town Planning Institute's (RTPI) Code of Professional Conduct. Breaches of that code may be subject to disciplinary action by the Institute.
- 2.7 Officers in their role of advising Councillors shall provide:
 - 2.7.1 Impartial and professional advice;
 - 2.7.2 Consistency of interpretation of planning policy; and
 - 2.7.3 Complete written reports covering all necessary information for a decision to be made.
- 2.8 The Council endorses the statement in the RTPI code that, 'RTPI members shall not make or subscribe to any statements or reports which are contrary to their own professional opinions', and extends it to apply to all Officers in the authority advising on planning matters.
- 2.9 That the Council may not always follow the advice of their professional planning Officers is perfectly proper. The professional Officer too, may have a change of opinion, but this must be on the basis of professional judgement, and not because an authority, it's Councillors or other Officers, have prevailed upon the Officer to put forward his/her professional view as something other than it really is. If the **Planning Committee** is minded to refuse or grant an application contrary to Officer recommendation, it should consider whether to defer the application to the next available Committee, before making the final decision. This will allow Councillors to obtain further legal advice on the proposed reasons for acting contrary to the recommendation based on material planning considerations. If such a decision is made it must be clearly minuted, expressed clearly and be based upon sound planning reasons supported by evidence.
- 2.10 The Council shall have a designated head of the planning service, who is qualified for election to membership of the RTPI and who has direct access to Councillors as their professional adviser on planning matters. Officers shall follow the guidance on their standards of conduct as set out in the Code of Conduct for Employees in the **Constitution** and any National Code of Conduct for Local Government Officers issued by the Secretary of State under Section 82 of the Local Government Act 2000.
- 2.11 Councillors shall follow the advice in the **Councillors' Code of Conduct** about accepting gifts and hospitality. Councillors should treat with extreme caution

any offer which is made to them personally; the normal presumption should be that such offers must be courteously declined. Similarly, Officers shall politely decline offers of hospitality from people with an interest in a planning proposal. If receipt of hospitality is unavoidable, Officers shall ensure it is of a minimal level and declare it in the hospitality book as soon as possible.

3. **INTERESTS OF COUNCILLORS**

3.1 Where Councillors have interests which may be thought likely to influence their decision, the fact should be declared at the meeting.

3.2 Where the interest is such that Councillors of the public may feel that the Councillor will not be able to approach matters with an open mind and consider the application on its planning merits, Councillors should consider withdrawing from the Committee for that item.

3.3 These principles apply equally to Councillors who are not members of **Planning Committee**. Councillors who have such interests should consider whether it is appropriate for them to participate in the planning process, and in any event, should declare such interest at any meeting which they may attend or in any letter which they may write.

3.4 In all cases Councillors shall not sit on **Planning Committee** to determine applications that relate to land:

3.4.1 that is in their ward; or

3.4.2 that is in the ward neighbouring their ward where the application materially impacts their ward,

and Councillors in such cases shall be replaced on **Planning Committee** by a substitute for the duration of that application.

3.5 Councillors should seek guidance from Officers.

3.6 Members of **Planning Committee** and Officers who attend Planning Committee regularly must complete the Annual Return required for this purpose.

3.7 The **Councillors' Code of Conduct** provides guidance as to personal and prejudicial interests which may affect a Councillor's ability to take part in the decision-making process. However, Councillors may have other interests which may influence their decision which will not amount to personal or prejudicial interests for the purposes of the Code. In order to maintain the integrity of the planning system, Councillors should be careful to ensure that such interests do not unduly influence their decisions. Examples of such interests are:-

3.7.1 from ward concerns;

3.7.2 from membership of other **Committees** of the **Council**;

- 3.7.3 from membership of other public or community bodies;
 - 3.7.4 from membership of voluntary associations and trusts (including where appointed by the Council);
 - 3.7.5 from a connection with a particular policy initiative of the Council;
 - 3.7.6 from membership of clubs, societies and groups; and
 - 3.7.7 from hobbies and other leisure interests.
- 3.8 Such interests may mean that a Councillor is involved with a planning application before the matter comes before the **Planning Committee**. Such involvement need not on its own debar a Councillor from participating in making the planning decision when the matter is considered by Planning Committee provided that the Councillor has not already decided how they will vote on the matter before the Committee. Councillors should, however, always consider carefully whether in any particular case they could reasonably be seen to approach the planning merits of the application with an open mind. If the Councillor considers that this is not possible, the Councillor should withdraw from consideration of that item.
- 3.9 As a minimum, the integrity of the planning system requires openness on the part of Councillors; it must operate fairly and be seen to operate fairly.
4. **DUAL-HATTED COUNCILLORS AND COUNCILLORS ON OTHER BODIES**
- 4.1 **Planning Committee** members who are members of parish or town councils may find they are expected to express a view at a parish or town council meeting, or vote on whether or not the parish or town council should object or comment on a proposal from that parish or town council's point of view.
- 4.2 They may then have to consider the same matter as a District Council Councillor if it is determined by the Planning Committee.
- 4.3 Councillors are also appointed to outside public bodies or internal boards or groups, who may then act as consultees or interested parties and are of course permitted to join interest groups which reflect areas of interest such as a local civic society, CPRE, etc.
- 4.4 Where Councillors have dual parish/town and District Council membership, or are members of other consultee bodies or interested parties, they may find themselves having to vote differently on a matter when they consider it at District level, having heard the technical and legal background from Officers.
- 4.5 This is not inconsistency, but the consequence of having to fulfil totally separate and different roles.
- 4.6 Where Councillors have dual parish/town council/District Council membership

or sit on consultee bodies and issues come up for discussion at different levels, Councillors can take part at the lower/consultee level provided that they have not already made up their mind on the matter and are not biased, and they:

- (a) make it clear at the lower level that their views are expressed on the limited information before them;
- (b) they will reserve their judgement and independence to make up their own mind on the separate proposal, based on their overriding duty to the whole community and not just to the people in that area ward or parish, as and when it comes before the District and when they have heard all of the relevant information; and
- (c) they will not in any way commit themselves as to how they or others may vote when the proposal comes before the **Planning Committee** at District level.

4.7 Membership of a parish or town council, consultee body or pressure group (and participation in its debates and votes) will not constitute a Disclosable Interest in a matter within its area or upon which it may or may not have commented on when it is considered at District level unless:

- 15. The business being considered substantially affects the wellbeing or financial standing or purpose of the relevant body.
- 16. The Councillor or the body has taken a leading role in supporting or opposing the matter, within the area or elsewhere.

4.8 In (a) or (b) above a Councillor is likely to have a Disclosable Pecuniary Interest where the business relates to the financial position of the body or a planning application or matter made by or relating to it.

4.9 However, Councillor must give the above careful consideration, and remain bound by the other parts of the **Councillors' Code of Conduct** and this Code in relation to the matter.

4.10 Councillors who are a trustee or company director of a body whose matter is under consideration and where appointed by the Council should always disclose this as a Disclosable Pecuniary Interest where any financial benefit may accrue.

Note: The above advice represents a pragmatic approach to the participation of dual-hatted Councillors in planning matters. As Councillors are aware, the risk under the Code of Conduct and declaration of interests rests with the individual Councillor. For that reason, Councillors are further advised to consider the facts of each case before making a decision on their level of participation. This is particularly important in controversial/high profile matters and/or where the Councillor may play a prominent role in the determination at District level. If a Councillor is in doubt they are reminded to seek advice from

the Monitoring Officer at an early stage.

5. **COUNCILLORS WHO ARE NOT MEMBERS OF THE COMMITTEE**

- 5.1 **Councillors** who are not on the **Planning Committee** may make written representations to the **Strategic Director** about a planning application in the same way that any other interested person may do so and may address the Planning Committee provided that they do not have a Disclosable Pecuniary Interest in the application being considered and that their involvement would not amount to a breach of any other obligations of the Code i.e., seeking to unduly influence the outcome of a planning application. For the avoidance of doubt where that interest is a Disclosable Pecuniary Interest, they are not permitted to participate in the planning process in their official capacity as a Councillor.
- 5.2 When a **Councillor** who is not a member of the **Planning Committee** speaks at a meeting they shall disclose at the earliest opportunity any Disclosable Interest, the fact that they have been in contact with the applicant, agent, advisor or an interested party if this is the case, and make it clear whether they are speaking on behalf of such persons or any other particular interest. A councillor who has a Disclosable Non-Pecuniary Interest in a matter may attend a meeting of the Planning Committee at which that application is considered in order to speak, make representations, answer questions or give evidence in accordance with the Code of Conduct.
- 5.3 Any councillor who is not on the **Planning Committee** but who is at one of its meetings should sit separately from the Committee, so as to demonstrate clearly that they are not taking part in the discussion, consideration or vote.
- 5.4 They should not communicate in any way with members of the **Planning Committee** or pass papers or documents to them before or during the meeting.

6. **DEVELOPMENT PROPOSED BY THE COUNCIL OR A COUNCIL OWNED COMPANY**

- 6.1 Planning legislation allows the Council to submit and determine proposals for development that it proposes to carry out itself. Council-owned companies can also submit proposals that are decided by the Council.
- 6.2 Proposals submitted by the Council or a Council-owned company shall be considered in the same way as those by private developers.
- 6.3 Members of the **Planning Committee** who sit on the board of a Council-owned company which has submitted a planning proposal shall declare a personal and prejudicial interest and take no part in the discussion and determination of that proposal, except where they are the local member when they may speak on matters of local concern but shall not vote.

- 6.4 Officers who are involved in the preparation of development proposals shall not advise on, or take any part in the consideration of, planning applications in respect of such proposals.

7. **DEVELOPMENT PROPOSALS SUBMITTED BY OR INVOLVING COUNCILLORS AND OFFICIALS IN THEIR PRIVATE CAPACITY**

- 7.1 Planning proposals submitted to their own authority by councillors and officials in their private capacity or in which they are involved can give rise to suspicions of impropriety. Such proposals can take a variety of forms including planning applications and development plan proposals. It is, of course, perfectly legitimate for such proposals to be submitted. However, it is vital that they are handled in a way, which gives no grounds for accusations of favouritism, bias, or maladministration.

- 7.2 Officers whether or not they are members of the Royal Town Planning Institute (RTPI), should also have regard to and be guided by the RTPI's Code of Professional Conduct.

- 7.3 Should a Councillor or Officer submit their own proposal to the Authority in their private capacity they serve they must take no part in its processing. While they may properly seek pre-application advice from Officers in exactly the same way as any other application, they must avoid all contact, whether direct or indirect, with members of the **Planning Committee** concerning the application. They can still represent their views to the Council, and seek to influence the decision in ways that are not improper. This could include:

- (b) making written representations in the Councillor's or Officer's private capacity;
- (c) using a professional representative on their behalf;
- (d) arranging for another Councillor to present the views of a Councillor's constituent subject to that Councillor's Code of Conduct obligations.

- 7.4 For the sake of transparency in decision making, all planning applications that are recommended for approval by Officers and are submitted by:

- i) a Councillor or Officer of the Council, or
- j) The close relative of a Councillor or Officer of the Council

shall be determined by the **Planning Committee** except for the approval of an application which in the opinion of the **Strategic Director** (or his nominated Officer) is unlikely to have any major impacts and to which no objections have been received.

The Strategic Director of Place will notify the **Monitoring Officer** as soon as such an application is received.

- 7.5 Members of the **Planning Committee** must consider whether the nature of any relationship with the Councillor (and/or Officer) submitting the planning application requires that they make a declaration of interest and if necessary also withdraw from taking part in the determination of the application where the interest is a Disclosable Pecuniary Interest or is likely to breach some other obligation under the Code of Conduct.
- 7.6 No planning Officer of the Council shall engage, other than on behalf of the Council, in any work on any town planning or related matter for which the Council is the local planning authority.
- 7.7 Members of **Planning Committee** should not act as agents or submit planning applications for other parties or voluntary bodies. To do so would give rise to the suspicion that the Councillor was not impartial or may influence other Councillor in the decision making process.
- 7.8 Any Councillor who is a planning or similar agent will not be appointed to the **Planning Committee**.
- 7.9 Non **Planning Committee** members who act as agents (or advisors) for people pursuing a planning matter within the Authority must play no part in the decision making process for that proposal and must not seek to otherwise improperly influence the decision making process.
- 7.10 There may be occasions where the Council is the applicant for planning permission. Any councillor who was a party to the decision to apply for planning permission or who has previously expressed a view on the application shall not participate in the determination of the application by the **Planning Committee**

8. **STATUTORY DUTIES**

The Council is also subject to a number of statutory duties which it must comply with when carrying out its statutory functions. These will apply to the planning function except when such matters are clearly immaterial because they are not capable of relating to the use of development land. Examples of these duties include:

8.1 **Equality Act 2010**

Section 149 provides that:

8.1.1 A council must, in the exercise of its functions, have due regard to the need to:-

- (a) eliminate discrimination, harassment, victimisation and any other conduct which is prohibited by or under the Equality Act 2010;

- (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- (c) foster good relations between persons who share a protected characteristic and persons who do not share it.

8.1.2 The above powers relate to the following protected characteristics:-

- (a) Ages;
- (b) Disability;
- (c) Gender reassignment;
- (d) Marriage and civil partnership;
- (e) Pregnancy and maternity;
- (f) Race (including colour, nationality and ethnic or national origins);
- (g) Religion or belief;
- (h) Sex; or
- (i) Sexual orientation.

8.2 **Human Rights**

Section 6(1) of the Human Rights Act 1998 provides that:

“It is unlawful for a public authority to act [or fail to act] in a way which is incompatible with a Convention right.”

8.3 **Best Value**

Section 3(1) of the Local Government Act 1999 provides that:

“A best value authority must make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.”

8.4 **Crime and Order**

Section 17(1) of the Crime and Disorder Act 1998 provides that:

“Without prejudice to any other obligation imposed on it, it shall be the duty of a [local authority] to exercise its various functions with due regard to the likely effect of the exercise of those functions on, and the need to do all that it

reasonably can to prevent, crime and disorder in its area.”

9. LOBBYING OF AND BY COUNCILLORS

- 9.1 Lobbying is a normal and proper part of the political process. The applicant, supporters or those who may be affected by a proposal will often seek to influence the decision by an approach to their local member or members of a **Planning Committee**. However, reacting to lobbying can lead to the impartiality of a Councillor being called into question and require that Councillor to declare an interest.
- 9.2 The information provided by lobbyists is likely to represent an incomplete picture of the relevant considerations in respect of a planning matter. The views of consultees, neighbours and the assessment of the case by the planning Officer all need to be considered before a Councillor is in a position to make a balanced judgement on the merits of the case. Councillors should provide Officers with copies of any lobbying material they may have received, whether in favour or against a proposal.
- 9.3 The time for individual Members of the **Planning Committee** to make a decision on a proposal is at the Committee meeting when all available information is to hand and has been duly considered.
- 9.4 A **Planning Committee** member shall be free to listen to a point of view about a planning proposal and to provide procedural advice (in particular referring the person to Officers). Planning Committee members should take care about expressing an opinion indicating they have made up their mind before the decision-making meeting. To do so, without all the relevant information and views, would be unfair and prejudicial. A decision is at risk of being challenged if Councillors do not retain open minds and are not genuinely susceptible to persuasion at the decision-making meeting. Councillors who are lobbied should:
- 9.4.1 make clear that they reserve their final decision on a proposal until the Committee meeting;
 - 9.4.2 only give procedural advice;
 - 9.4.3 consider referring those lobbying to the relevant Officer who can provide further advice; and
 - 9.4.4 not seek to meet an applicant or potential applicant alone.
- 9.5 Members of the **Planning Committee** shall not, in general, organise support or opposition for a proposal, or lobby other Councillors (other than when addressing the Planning Committee). Councillors shall not put pressure on Officers for a particular recommendation.
- 9.6 The local Councillor who is not a member of the **Planning Committee** will be allowed to attend and speak at the decision-making meeting (either

presenting their own views if they are an affected party or representing the views of their ward members) but not vote. The member of an adjacent ward substantially affected by the proposal shall, at the discretion of the Chair of the Planning Committee, be allowed to attend and speak but not vote. A local member who has a personal or prejudicial interest in an application, within the meaning of the **Councillors' Code of Conduct** should seek prior advice from the **Monitoring Officer** about his/her position.

- 9.7 If a member of the **Planning Committee** identifies him/herself with group or individual campaigning for or against an application, he/she shall declare a personal and prejudicial interest and not vote or decide on the matter. However, subject to the rules of Committee that Councillor shall be given the opportunity to address the Committee and must leave the meeting as soon as they have spoken and not return until a decision has been made by Committee.
- 9.8 Members of a **Planning Committee** must be free to vote as they consider appropriate on planning matters. A Councillor cannot be instructed how to exercise their vote on a planning matter.
- 9.9 Councillors should inform the Monitoring Officer where they feel they have been exposed to undue or excessive lobbying or approaches (including inappropriate offers of gifts or hospitality), who will in turn advise the appropriate Officers.

10. **PRE- AND POST- APPLICATION DISCUSSION AND NEGOTIATIONS**

- 10.1 Discussions between an applicant and a planning authority, prior to the submission of an application can be of considerable benefit to both parties and is encouraged. Continued discussions and negotiations between these parties, after the submission of proposals, is a common and important facet of the planning process. However, they should take place within clear guidelines, as follows.
- 10.2 It should always be made clear at the outset that the discussions will not bind the Council to making a particular decision and that any views expressed are those of the Officer only, and are provisional.
- 10.3 Advice should be consistent and based upon the Development Plan and material considerations. There should be no significant difference of interpretation of planning policies by individual planning Officers.
- 10.4 A written note should be made of all potentially contentious meetings. Two or more Officers should attend potentially contentious meetings. A note should also be taken of potentially contentious telephone discussions.
- 10.5 Councillors need to preserve their role as impartial decision makers and should not take part in pre- or post- submission discussions and negotiations with applicants regarding development proposals. Should there be occasions

when Councillors are involved, it should be part of a structured arrangement with Officers, including a senior planning Officer. Councillors must avoid indicating the likely decision on an application or otherwise committing the authority during contact with applicants.

- 10.6 Councillors may receive information from applicants and give information to applicants and members of the public but, to safeguard their impartiality, they should maintain a clear distinction between receiving information and negotiating. Any information received by Councillors should be provided to the Officers dealing with the application. Councillors who are approached for planning, procedural or technical advice should refer the applicant to the relevant Officer.

11. OFFICER REPORTS TO COMMITTEE

- 11.1 The Head of Planning and Regeneration will submit written reports to the appropriate **Planning Committee** on planning applications to be determined by the Council. The reports will give the background to the application including any relevant planning history of the site, a description of the proposals and their likely effects, and the relevant Development Plan and Government policy considerations, together with any other material considerations. Where a planning application requires an environmental impact assessment the Head of Planning and Regeneration shall include in his/her report a summary of the environmental statement, comments by bodies consulted and representations from members of the public together with his/her own comments. The reports will include a summary of representations made about the application. The Head of Planning and Regeneration in his/her report will give a reasoned assessment of the proposals and a justified recommendation.
- 11.2 Oral reports (except to present and update a report) should be extremely rare and fully minuted when they do occur.
- 11.3 The Head of Planning and Regeneration will have available for inspection by Councillors the full planning application, environmental statement (where required) and representations from bodies consulted and members of the public.

12. PLANNING CONSIDERATIONS

- 12.1 Planning decisions should be made on planning considerations and should not be based on immaterial considerations.
- 12.2 Members of **Planning Committee** and any substitutes shall attend training sessions which may be organised from time to time. Councillors who have not attended all such training sessions shall not be allowed to sit on Planning Committee and a substitute who has attended the required training shall take their place. All other Councillors are encouraged to attend training sessions.

- 12.3 Planning legislation, as expanded by Government Guidance and decided cases, defines which matters are material considerations for the determination of planning decisions. There is much case law on what are material planning considerations. The consideration must relate to the use and development of land.
- 12.4 Briefly, material planning considerations may include:-
- 12.4.1 Government Guidance (contained in such documents as Circulars, National Planning Policy Framework , National Planning Policy Guidance , Mineral Policy Guidance Notes, Planning Policy Statements and Ministerial announcements);
 - 12.4.2 Supplementary Planning Documents adopted by any related Committee;
 - 12.4.3 non-statutory planning policies adopted by the Council;
 - 12.4.4 the statutory duty to pay special attention to the desirability of preserving or enhancing the character or appearance of conservation areas;
 - 12.4.5 the statutory duty to pay special attention to the desirability of preserving a listed building or its setting or any features of special architectural or historic interest which it possesses;
 - 12.4.6 representations made by statutory consultees and other persons making representations in response to the publicity given to applications, to the extent that they relate to planning matters;
 - 12.4.7 planning obligations (given unilaterally or by way of agreement) under section 106 of the Town and Country Planning Act 1990;
 - 12.4.8 if deliberate unauthorised development has taken place.
- 12.5 It should, however, be noted that the risk of costs being awarded against the Council on appeal is not itself a material planning consideration.
- 12.6 It is the responsibility of Officers in preparing reports and recommendations to Councillors to identify the material planning considerations and warn Councillors about those matters which are immaterial planning considerations.
- 12.7 Personal considerations and purely financial considerations are not on their own material; they can only be material in exceptional situations and only in so far as they relate to the use and development of land – such as, the need to raise income to preserve a listed building which cannot otherwise be achieved.

- 12.8 The planning system does not exist to protect private interests of one person against the activities of another or the commercial interests of one business against the activities of another. The basic question is not whether owners and occupiers of neighbouring properties or trade competitors would experience financial or other loss from a particular development, but whether the proposal would unacceptably affect amenities and the existing use of land and buildings which ought to be protected in the public interest.
- 12.9 Local opposition or support for a proposal is not in itself a ground for refusing or granting planning permission, unless that opposition or support is founded upon valid planning reasons which can be substantiated.
- 12.10 It will be inevitable that all the considerations will not point whether to grant or refuse. Having identified all the material planning considerations and put to one side all the immaterial considerations, Councillors must come to a carefully balanced decision which can be substantiated, if challenged on appeal.

13. THE DECISION MAKING PROCESS

- 13.1 Councillors shall recognise that the law requires that where the Development Plan is relevant, decisions should be taken in accordance with it, unless material considerations indicate otherwise.
- 13.2 Where an environmental impact assessment is required, the **Planning Committee** shall take the information provided in the report into consideration when determining the application.
- 13.3 If the report's recommendation is contrary to the provisions of the Development Plan, the material considerations which justify this must be clearly stated.
- 13.4 Where the **Planning Committee** decide to adopt the recommendation of the Head of Planning and Regeneration, the reasons contained in his/her report will be minuted, together with any additional reasons determined by the Committee.
- 13.5 Where the **Planning Committee** is minded to approve or to refuse a planning application, contrary to the recommendation of the Head of Planning and Regeneration, (having first considered whether to defer the application), agreement shall be reached at the meeting on the planning reasons for that decision. They shall be fully minuted by the Head of Legal and Commercial Services.
- 13.6 The reasons for Committee's decision to defer any proposal should also be recorded.

14. SITE VISITS BY THE COMMITTEE

- 14.1 A site visit may be held if the Head of Planning and Regeneration in consultation with the Chair of the relevant Committee considers it will assist Councillors in reaching their decision. This would be, for example, where the impact of the proposed development is difficult to visualise from plans and supporting material. Councillors should try to attend site visits organised by the Council where possible.
- 14.2 Site visits will be organised in accordance with the following procedures:
- 14.2.1 The Head of Legal and Commercial Services will invite the local member to site visits. Where a proposal would have significant direct impact upon an adjacent electoral division, at the discretion of the Chair of the relevant **Planning Committee** the local member for the adjacent division will also be invited.
 - 14.2.2 The role of the applicant during a site visit shall only be to secure access to the site in accordance with health and safety provisions. The applicant shall not participate in any discussions on site but may be asked to provide factual information.
 - 14.2.3 Objectors will not normally be invited to attend a site visit or participate in any discussions on site.
 - 14.2.4 On assembling at the site, at the time specified, the Chair will explain the purpose and procedures of the site visit so that all are aware that it is a fact finding exercise only and that no decision will be taken until the Committee meeting. The Head of Planning and Regeneration or his/her representative, will explain the application as it relates to the site and relevant viewpoints. Following any questions to the Head of Planning and Regeneration, or clarification sought on matters which are relevant to the site inspection, the Chair will bring the site visit to a close.
 - 14.2.5 When a site visit is held prior to the meeting of the **Planning Committee** it is desirable that all Councillors attending the Planning Committee should also attend the site visit. Councillors voting on a planning application without having attended the visit to the particular site may give the impression that they have not taken the opportunity to be fully informed about the application. Information gained from the site visit should be reported back to Committee so that all Councillors have the same information.
- 14.3 Councillors should not enter a site which is subject to a proposal other than as part of an official site visit, even in response to an invitation, as this may give the impression of bias unless you feel it is essential for you to visit the site other than through attending the official site visit and you have first spoken to

the Head of Planning and Regeneration about your intention to do so and why (which will be recorded on file) and you can ensure you will comply with these good practice rules on site visits.

15. PLANNING APPLICATION DEBATES AND REPRESENTATIONS

15.1 At **Planning Committee**, each application shall be debated as follows:

- 15.1.1 At the meeting the Head of Planning and Regeneration (or his nominated Officer) will present his/her report first.
- 15.1.2 Subject to paragraph 15.3, the objectors will make their representations, subject to a time limit of 3 minutes (except at the discretion of the Chair)
- 15.1.3 Subject to paragraph 15.3, the applicant will then make his/her representations, subject to a time limit of 3 minutes (except at the discretion of the Chair)
- 15.1.4 Subject to paragraph 15.3, the ward member (and any neighbouring ward members whose wards are materially impacted by the application) may make their representations, subject to a time limit of 5 minutes. If the relevant ward member or neighbouring ward member has a Disclosable Pecuniary Interest that is affected by an application, they may not speak but may nominate an alternate Councillor to speak on behalf of their constituents.
- 15.1.5 Where the Chair exercises their discretion to extend the time limit for either the objectors or the applicant, then similar provision shall be made for the other parties (should they so wish) to ensure that all parties receive a fair hearing.
- 15.1.6 Members of the **Planning Committee** may seek points of factual clarification from applicants (or their agents), statutory consultees or people making representations to the Planning Committee on matters relating to the application or any representations that have been made. In such exceptional circumstances, questions should be raised through the Chair and in the event that the Chair feels a point of clarification is not appropriate then they will have the discretion not to allow the question to be put to the speaker.
- 15.1.7 Officers may comment on the representations and the merits of the application and any points of clarification as necessary during the debate.
- 15.1.8 The Committee will proceed to debate the application. The Rules of Debate set out in Rule 16 (Rules of Debate) of Section B of the **Council and Committee Procedure Rules** in **Part 3** of this **Constitution**

shall apply except that Rule 16.1 shall not apply meaning that the debate can proceed without a motion being moved and seconded.

- 15.1.9 Following the Committee's debate, Officers may comment on the content and themes emerging from the debate in order to assist in framing the debate in a planning context.
- 15.1.10 The Chair will then ask for a motion in respect of the application to be moved and seconded and, subject to any of the motions listed in paragraphs 16.18.1 to 16.18.9 of Rule 16 (Rules of Debate) of Section B of the **Council and Committee Procedure Rules** in **Part 3** of this **Constitution** being moved, the **Committee** shall make a decision by simple majority. All votes of the **Planning Committee** shall be recorded votes. The minute will include the reasons for the decision.
- 15.2 Wherever possible, objections or representations to planning applications should be made in writing. Written representations received will be made available for public inspection and objections summarised and reported to the **Planning Committee**. Members will be given the opportunity to inspect all letters received before the decision on the application is made.
- 15.3 There will be occasions when applicants, objectors and/or ward members whose ward is affected by the application, may wish to make representations in person to the **Planning Committee**. In such circumstances the following procedure will apply:
 - 15.3.1 The applicant will be informed that the application and all supporting documents will be taken into account. The objectors will be informed that their written representations will be taken into account. The ward members, applicant and the objectors will be informed that they have the right to attend the Committee and make representations in person. They will be asked to indicate whether they wish to do this and, if so, they will be invited to the meeting at which the decision is to be made. They must register to speak at the meeting by 12.00 noon on the last working day prior to the meeting and if they fail to do so they will not be allowed to speak unless the Chair exercises his discretion to permit them to do so. People wishing to speak at **Planning Committee** cannot hand out documentation to members of the Committee. Photographs may be handed out provided that a minimum of 15 copies have been delivered to the Council by 12.00 noon on the last working day prior to the meeting. Speakers can also use the Council's IT system to make electronic submissions to the Committee provided that the submission is delivered to the Council by 12.00 noon at the latest on the last working day prior to the meeting.
 - 15.3.2 Each group of speakers (objectors and supporters) will be allowed a maximum of three minutes to address the Committee. In the event that more than one person wishes to speak for or against a proposal the time will be divided. Groups of speakers will be encouraged to appoint a spokesperson.

16. REVIEW OF DECISIONS

- 16.1 The Audit Commission's Report, 'Building in Quality', recommended that Councillors should visit a sample of implemented planning permissions to assess the quality of decisions. This can improve the quality and consistency of decision-making and help with reviews of planning policy.
- 16.2 Visits to application sites previously considered by the Council shall be organised by the Head of Planning and Regeneration and shall be open to all Councillors to attend.

17. TRAINING

- 17.1 Councillors shall not participate in decision-making at meetings dealing with planning matters if they have not attended the mandatory planning training prescribed by the Council. Councillors so prevented from taking part shall be replaced by a substitute who has attended the mandatory training.
- 17.2 Councillors should endeavour to attend any other specialised training sessions provided since these will be designed to extend Councillors' knowledge of planning law, regulations, procedures, Codes of Practice and the Development Plans beyond the minimum referred to above and thus assist you in carrying out your role properly and effectively.

SECTION H – LICENSING CODE OF CONDUCT

Rule

1. Introduction
2. Relationship with the Councillors' Code of Conduct
3. Legal Background
4. Training of Councillors
5. Licensing Applications by Councillors, Officers and the Council
6. Lobbying
7. Discussions Before the Hearing
8. Declaration of Disclosable Non-Pecuniary and Pecuniary Interests
9. Pre-determination and Bias
10. Membership of a Parish/Town Council
11. Conduct at the Hearing
12. Councillors as Interested Parties under Licensing Act 2003

SECTION H – LICENSING CODE OF CONDUCT

1. Introduction

1.1. This Code of Conduct (the Licensing Code) gives advice to Councillors who:

- 1.1.1. Are members of the **Licensing Committee** and who sit on **Licensing Sub-Committee**.
- 1.1.2. Wish to address the Committee or a hearing panel on any licensing issue.
- 1.1.3. Are involved outside the Committee on licensing applications or other licensing matters - including informal occasions such as meetings with officers or public and consultative meetings.
- 1.1.4. Are involved in applications for licences under the Licensing Act 2003 and the Gambling Act 2005.

1.2. Most decisions taken by Councillors are administrative in nature. The work of the **Licensing Committee** and **Sub-Committees** are different in that its proceedings are quasi judicial and the rules of natural justice apply. This imposes a new and higher set of standards on those Councillors who are involved in the decision making process. Failure to abide by these standards may render the Council or individual Councillors open to challenge either through the courts or the **Audit and Governance Committee**.

1.3. This Code provides a set of guidelines for Councillors. It is part of the Council's ethical framework and should be read in conjunction with the **Councillors' Code of Conduct** and the **Protocol on Councillor / Officer Relations**.

1.4. A key aim of the Licensing Code is to ensure that there are no grounds for suggesting that a licensing decision has been biased, partial or is not well founded in any way. Councillors must make these decisions openly, impartially with sound judgement and for justifiable reasons.

1.5. The Human Rights Act 1998 has implications for the licensing system and has created enhanced requirements for procedural fairness, transparency and accountability in decision making.

1.6. The Licensing Code is intended to minimise the prospect of legal or other challenge to decisions. Non-compliance without good reason could be taken into account in investigations into possible maladministration or may have implications for the standing of Councillors and the Council as a whole.

2. Relationship with the Councillors' Code of Conduct

2.1. Councillors must comply with the **Councillors' Code of Conduct** and the rules in that Code must be applied before considering the Licensing Code.

2.2. The Licensing Code is not intended to form a part of the adopted **Councillors' Code of Conduct** but is a separate document, which is complimentary and supportive of

the **Councillors' Code of Conduct** and also the source of expanded guidance in the particular area of licensing.

3. Legal Background

3.1. Human Rights Act

3.1.1. The Human Rights Act 1998, which came into full effect on 2 October 2000, incorporated the key articles of the European Convention on Human Rights into domestic law. The Convention guarantees certain basic human rights. As far as possible legislation (including the licensing laws) must be interpreted in such a way as to conform with Convention rights. Decisions on licensing issues are actions of a public authority and so must be compatible with Convention rights.

3.1.2. Members of the **Sub-Committee** need to be aware of the rights contained in the Convention when making decisions and in particular:

3.1.2.1. Article 6: Right to a fair trial

In the determination of a person's civil rights and obligations ... everyone is entitled to a fair and public hearing within a reasonable time by an independent and impartial tribunal established by law.

3.1.2.2. Article 8: Right to respect for family and private life

Everyone has a right to respect for his/her private life, and his/her home and correspondence.

3.1.2.3. Article 1 of the First Protocol: Protection of property

Every natural or legal person is entitled to the peaceful enjoyment of his possessions. No one shall be deprived of his/her possessions except in the public interest and subject to the conditions provided for by law and by the general principles of international law.

3.1.2.4. Article 14: Prohibition of discrimination

The enjoyment of the rights and freedoms in the Convention shall be secured without discrimination on any ground such as sex, race, colour, language, religion, political or other opinion, national or social origin, association with a national minority, property, birth or other status.

3.1.3. Most Convention rights are not absolute and there are circumstances when an interference with a person's rights is permitted although any interference with the rights must be proportionate and go no further than is necessary.

3.2. Quasi-Judicial Hearings

3.2.1. A quasi-judicial hearing is one:

3.2.1.1. which affects a person's livelihood

3.2.1.2. which involves disciplinary action

3.2.1.3. which affects property.

- 3.2.2. These hearings are subject to the rules of natural justice. Properly applied, the rules of natural justice will ensure that the requirements of the Convention, that a hearing is both “fair” and presided over by an “independent and impartial tribunal”, are met.
- 3.2.3. There are two principles underlying the rules of natural justice. First, all parties must be given a chance to put their case under conditions which do not put one party at a substantial disadvantage to the other party. All parties should be given sufficient notice of the hearing, the applicant should have disclosure of the nature of the objections/representations as well as knowing who is objecting/making a representation and there should be a right to question witnesses.
- 3.2.4. Second, a person who has an interest in an application must be disqualified from considering it. The **Licensing Sub-Committee** must be impartial - not only must there be no actual bias but there must be no perception of bias.
- 3.2.5. The procedure rules which govern hearings of the **Licensing Sub-Committee** reflect the requirements of the Human Rights Act and the rules of natural justice. To avoid any allegations of bias or perceived bias, Councillors sitting on the Licensing Sub-Committee must strictly observe those procedure rules.

4. Training of Councillors

- 4.1. Because the technical and propriety issues associated with licensing are not straightforward, it is the Council’s policy to arrange training on the work of the **Licensing Sub-Committee** for all Councillors who sit on the Sub-Committee. Councillors must undertake the training before participating in a meeting of the Sub-Committee. Other Councillors are free to attend the training in order to gain an understanding of licensing issues.

5. Licensing Applications by Councillors, Officers and the Council

- 5.1. Proposals to the Council by serving and former Councillors and officers and their close friends and relatives can easily give rise to suspicions of impropriety. So can proposals for a Council’s own applications.
- 5.2. It is perfectly legitimate for such proposals to be submitted. However, it is vital to ensure that they are handled in such a way that gives no grounds for accusations of favouritism.
- 5.3. Recent decisions by the adjudication panel on standards issues make it very difficult for Councillors who have a professional qualification to act in presenting cases in that capacity for applicants or to act as professional witnesses in hearings.
- 5.4. Councillors and officers who submit their own proposal should notify the Monitoring Officer of the proposal and play no part in its processing or determination and avoid contact, whether direct or indirect with members of the **Sub-Committee** concerning the application.

6. Lobbying

- 6.1. Councillors may be approached or lobbied by an applicant, Councillor, agent or objector about a particular licensing application. Lobbying is a normal and perfectly proper part of the political process but it does not sit well with the quasi judicial nature of the **Licensing Sub-Committee** when a Councillor must enter the meeting with an open mind and make an impartial determination on the relative merits of all the evidence presented at the hearing. Being lobbied in advance of the meeting is incompatible with this high standard.
- 6.2. If a Councillor is approached, he/she should advise the lobbyist to address any comments or concerns to the Strategic Director of Place. In no circumstances should a Councillor give an indication of voting intentions or otherwise enter into an unconditional commitment to oppose or support the application. To do so without all relevant information and views would be unfair. A Councillor who feels that he/she has been exposed to undue or persistent lobbying should advise the Monitoring Officer.
- 6.3. Other Councillors should not lobby members of the **Licensing Sub-Committee**, directly or indirectly, about issues which are due to be determined by the Licensing Sub-Committee.
- 6.4. When attending a public meeting at which a licensing issue is raised, a member of the **Licensing Sub-Committee** should take great care to maintain an impartial role and not express a conclusive view on any pre-application proposals or submitted application.
- 6.5. Correspondence received by any Councillor (whether on the **Licensing Sub-Committee** or not), should be passed without delay to the Chief Executive so that all relevant views can be made available to those Councillors or officers responsible for determining the application. A reply by a Councillor should, as a rule, simply note the contents of the correspondence and advise that it has been passed to officers.

7. Discussions Before the Hearing

- 7.1. Pre-application discussions - discussion between a potential applicant and representatives of the Council may be of considerable benefit to both parties. Similarly, a meeting between the Council and potential objectors may also be beneficial. However, it would be easy for such discussions to become or be seen (especially by objectors/persons making representations) to become part of a lobbying process. In the circumstances, pre-application discussions should be avoided by members of the **Licensing Sub-Committee**.
- 7.2. Post-application discussions - a Councillor should not approach an applicant for a licence in an effort to securing changes to the application. Such an approach would inevitably give rise to allegations of partiality or bias.

7.3. Generally, any contact with applicants should be conducted with and through officers and should always be reported to the **Licensing Sub-Committee**. Requests to a Councillor for a meeting should be passed to the Chief Executive.

8. Declaration of Disclosable Non-Pecuniary and Pecuniary Interests

8.1. The **Councillors' Code of Conduct** and the Council's **Protocol on Councillor / Officer Relations** gives advice on the declaration of interests.

8.2. Where interests arise, the Councillor must declare these in accordance with this Code of Conduct.

8.3. It is important that all Councillors are familiar with the **Councillors' Code of Conduct**. Where in relation to any item any Councillor has a Disclosable Pecuniary Interest in an application (as defined in the Code), this must be declared at the earliest opportunity in the declaration of interests section of the **Agenda**, or at any time subsequently, or as soon as practicable when the interest becomes apparent. This is important as the **Quorum** of a **Licensing Sub-Committee** is its full complement of 3 Councillors and a late declaration of a Disclosable Pecuniary Interest may leave the meeting inquorate and unable to proceed.

8.4. Where a Councillor is in any doubt about whether they have an interest, they may always seek the advice of the Council's Monitoring Officer or legal advisor at the meeting, disclosing all material facts. Whenever possible, advice should be taken before meetings. Ultimately however, the duty to declare and the decision as to whether an interest should be disclosed rests with the Councillor concerned.

9. Pre-Determination and Bias

9.1. The right to a fair and unbiased hearing (particularly in the light of the Human Rights Act 1998) is a general legal requirement and applies to licensing decision making in addition to the **Councillors' Code of Conduct**.

9.2. Whilst the Localism Act 2011 provides for Councillors to take a more proactive stance in relation to local issues, Councillors must attend **Sub-Committee** meetings with an open mind and only determine applications on the basis of the evidence and representations made to them at the hearing. If a Councillor fails to determine an application on this basis it may amount to bias and to a breach of their obligations under the Code of Conduct.

9.3. The suggestion of any bias may put the Council at risk of a finding of maladministration and it could also lead to legal proceedings for bias or a failure to take into account all factors enabling the proposal to be considered on its merits.

9.4. There is a general acceptance that a Councillor may consider matters in several capacities as different factors may apply to different decisions. However, given the size of **Licensing Sub-Committee** and the proportionately greater influence an individual Councillor will have, Councillors should exercise caution in such situations, as it may preclude them from taking part in a licensing hearing.

10. Membership of a Parish/Town Council

- 10.1. Where a parish/town council makes representations on a licensing application they are an “interested party” under the Acts. A District Councillor who is also a Councillor of that parish/town council may have a Disclosable Interest and are advised to seek advice from the Council’s Monitoring Officer before sitting on the **Licensing Committee**.
- 10.2. Councillors are also advised that in the interests of transparency they should not become involved at a District level in applications made by a parish council on which they serve. If they wish to do so they must make clear that they are acting in the capacity of parish councillor and not District.

11. Conduct at the Hearing

- 11.1. The essence of the rules of natural justice are that Councillors not only act fairly but are also seen to act fairly. Councillors must follow the agreed procedure at all times and should only ask questions at the appropriate points in the procedure. At no time should a Councillor express a view which could be seen as pre-judging the outcome. During the course of the hearing Councillors should not discuss (or appear to discuss) aspects of the case with the applicant, an objector, their respective advisors or any member of the public nor should they accept letters or documents from anyone other than the clerk.
- 11.2. Again, to ensure compliance with the rules of natural justice, Councillors on the **Sub-Committee** must ensure that they hear the evidence and arguments for and against the application and must be present for the entire hearing.

12. Councillors as Interested Parties Under the Licensing Act 2003

- 12.1. Since January 2010 Councillors are regarded as interested parties in their own right. They are entitled to make representations or call for reviews in respect of any premises in any Ward licensed within the Councils area.
- 12.2. They do not have to await instructions from residents or other organisations, but can act on their own initiative. The representation must be relevant. That is, it is made within the timescales allowed, relates to one or more of the Licensing Objectives and is not malicious or vexatious.
- 12.3. A Councillor can still represent another interested party/parties (provided that interested party is not a family member or close associate) who has made a representation. The Councillor will still be subject to the Code of Conduct when representing interested parties. The Councillor must demonstrate to the licensing authority that they have been requested to represent the interested party and only put forward the views of the interested party.

- 12.4. A member of the **Licensing Committee** can make representations, call for a review and address the Committee as an interested party, but would not be able to sit as a member of the **Sub-Committee** when the application is considered.
- 12.5. The representation made by the Councillor carries no less nor any more weight than the representations made by other interested parties.
- 12.6. The Act and Hearing regulations govern the procedure and specify the rights for applicants, responsible authorities and interested parties. The Councillor will be bound by these procedure rules.
- 12.7. Councillors addressing the **Sub-Committee** should disclose any interests they may have and their standing at the hearing.
- 12.8. The **Councillors' Code of Conduct** states that a Councillor with a Disclosable Pecuniary Interest cannot act as a representor where that interest relates to him/herself, a member of his/her family or a close associate. A Councillor may, however, act in a private capacity in such circumstances provided that it is made clear to the Committee that the Councillor is exercising his/her private rights.
- 12.9. A Councillor who is not on the Committee but who is at one of its meetings in his/her professional capacity should sit apart from the Committee or Sub-Committee to demonstrate that he/she is not taking part in the discussion or determination unless his/her presence in that capacity would be a breach of the obligations of the Code of Conduct, for example, influencing a decision by presence. If the Councillor is attending in his/her private capacity as a member of the public, this should be made clear to the Committee and his/her rights are the same as those afforded to any member of the public.
- 12.10. Councillors who are opposed in principle to any category of application or alcoholic liquor, form of entertainment or gambling, either in their own Ward or District wide should not seek nomination to the Committee.

Part 5

Councillors' Allowance Scheme

COUNCILLORS' ALLOWANCES SCHEME

Section 1 - NWLDC Councillors' Allowance Scheme

Citation

Interpretation

Basic Allowance

Special Responsibility Allowance

Renunciation

Part-Year Entitlements

Withdrawal of Allowances

Co-optees Allowance

Payments shall be made

Annual Review of the Level of Allowances

Section 2 - NWLDC Carers' Allowance Scheme

Section 3 - Guidance for Councillors and the Allowance Scheme

Section 4 - Examples of Forms

SECTION 1 - NWLDC COUNCILLORS' ALLOWANCES SCHEME

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

The North West Leicestershire District Council, in exercise of the powers conferred by the Local Authorities (Members' Allowances) (England) Regulations 2003 hereby makes the following scheme (a full copy can be made available on request):

1. **Citation**

This scheme may be cited as the North West Leicestershire District Council **Councillors' Allowances Scheme**.

2. **Interpretation**

In this scheme

"**Councillor**" means a member of the North West Leicestershire District Council who is a Councillor.

"**Year**" means the 12 months ending with 31 March.

3. **Basic Allowance**

Subject to paragraphs 6 and 7, for each **Year** a basic allowance (2022/2023 £5,415.32) shall be paid to each Councillor.

4. **Special Responsibility Allowances**

- a. For each **Year** a special responsibility allowance shall be paid to those Councillors who hold the special responsibilities in relation to the Council that are specified in Schedule 1 to this scheme.
- b. Subject to paragraphs 6 and 7, the amount of each such allowance shall be the amount specified against that special responsibility in that schedule.

5. **Renunciation**

A **Councillor** may by notice in writing given to the **Head of Legal and Commercial Services**, elect to forego any part of his/her entitlement to an allowance under this scheme.

6. **Part-Year Entitlements**

- a. The provisions of this paragraph shall have effect to regulate the entitlements of a **Councillor** to basic and special responsibility allowances where, in the course of a **Year**, this scheme is amended or that Councillor becomes, or ceases to be, a Councillor, or accepts or relinquishes a special responsibility in respect of which a special responsibility allowance is payable.
- b. If an amendment to this scheme changes the amount to which a **Councillor** is entitled, by way of a basic allowance or a special responsibility allowance, then in relation to each of the periods:

- i. Beginning with the Year and ending with the day before that on which the first amendment in that Year takes effect, or
- ii. Beginning with the day on which an amendment takes effect and ending with the day before that on which the next amendment takes effect, or (if none) with the Year,

the entitlement to such an allowance shall be to the payment of such part of the amount of the allowance under this scheme as it has effect during the relevant period as bears to the whole the same proportion as the number of the days in the period bears to the number of days in the Year.

- c. Where the term of office of a Councillor begins or ends otherwise than at the beginning or end of a Year, the entitlement of that Councillor to a basic allowance shall be to the payment to such part of the basic allowance as bears to the whole the same proportion as the number of days during which his/her term of office subsists bears to the number of days in that Year.
- d. Where this scheme is amended as mentioned in sub paragraph (b), and the term of office of a Councillor does not subsist throughout the period mentioned in sub paragraph (b)(i), the entitlement of any such Councillor to a basic allowance referable to each such period (ascertained in accordance with that sub paragraph) as bears to the whole the same proportion as the number of days during which his/her term of office as a Councillor subsists bears to the number of days in that period.
- e. Where a Councillor has during part of, but not throughout, a Year such special responsibilities as entitle him/her to a special responsibility allowance, that Councillor's entitlement shall be to payment of such part of that allowance as bears to the whole the same proportion as the number of days during which he/she has such special responsibilities bears to the number of days in that Year.
- f. Where this scheme is amended as mentioned in sub paragraph (b), and a Councillor has during part, but does not have throughout the whole, of any period mentioned in sub paragraph (b)(i) of that paragraph any such special responsibilities as entitle him/her to a special responsibility allowance, that Councillor's entitlement shall be to payment of such part of the allowance referable to each such period (ascertained in accordance with that sub paragraph) as bears to the whole the same proportion as the number of days

in that period during which he/she has such special responsibilities bears to the number of days in that period.

7. **Withdrawing of allowances**

Where a **Councillor** is suspended or partially suspended from his/her responsibilities in accordance with Part 3 of the Local Government Act 2000 or regulations made thereunder, the part of the basic, special responsibility or co-optees allowance payable to him/her in respect of responsibilities or duties which he/she is suspended or partially suspended may be withheld by the **Council**.

8. **Co-optees Allowance**

An annual co-optees allowance of £200 per annum is available to co-opted members serving on the **Audit and Governance Committee** and those individuals serving as members of the **Independent Remuneration Panel**.

9. **Payments shall be made**

- a. In respect of basic allowances and special responsibility allowance, subject to sub paragraph (b), in instalments of one twelfth of the amount specified in this scheme on the 25th day of each month.
- b. Where a payment of one twelfth of the amount specified in this scheme in respect of a basic allowance or a special responsibility allowance would result in the Councillor receiving more than the amount to which, by virtue of paragraph 7, he/she is entitled, the payment shall be restricted to such amount as will ensure that no more is paid than the amount to which he/she is entitled.

10. **Annual Review of the Level of Allowances**

All allowances will be increased annually on 1 April by the same percentage as the National Joint Council staff pay award (scp 28).

SCHEDULE 326 - SPECIAL RESPONSIBILITY ALLOWANCES

The following are specified as the special responsibilities in respect of which special responsibility allowances are payable, and the amounts of those allowances:

	Multiple	Amount payable 2022/23 (£)
Chair of the Council	1	5,415.32
Deputy Chair of the Council	1/8 (12.5%)	676.91
Leader of the Council	4	21,661.28
Deputy Leader of the Council	2.5	13,538.30
Portfolio Holder	1.5	8,122.98
Opposition Leader (*)	1	5,415.32
Chair (Scrutiny Committee) x2	0.5	2,707.66
Chair (Local Plan Committee)	0.5	2,707.66
Chair (Planning Committee)	1.5	8,122.98
Chair (Licensing)	0.5	2,707.66
Chair (Audit and Governance Committee)	0.5	2,707.66

- * An opposition group must consist of at least 5 Councillors to qualify for the Special Responsibility Allowance.

Normally only one special responsibility allowance will be paid per Councillor, being the highest of the allowances available to him/her. However, where the Council requires a Councillor to undertake additional duties that attract a Special Responsibility Allowance the Councillor will receive 100% of the higher allowance and 50% of the other allowance.

SCHEDULE 2 - APPROVED DUTIES

The following are specified as approved duties for the payment of travelling and subsistence allowances.

- (a) Any meeting (not being a meeting of a board, sub-group or working party of this Council or a planning site visit) the holding of which is authorised by the Council or any of its boards, provided that it is a meeting to which Councillors of at least two political groups on the Council have been invited.
- (b) A meeting of any other body to which the Council makes appointments or nominations, or of any group or sub group of such a body.
- (c) A meeting of any association of authorities of which the Council is a member.
- (d) Carrying out by a Councillor any duty in connection with the discharge of any function of the Council conferred by or under any enactment and empowering or requiring the Council to inspect or authorise the inspection of premises.
- (e) As an appointed representative of the Council at any visit to obtain any advice or information as a consequence of a report to, or decision of, any council, board, group, sub group, working party, etc.
- (f) Attendance at training courses funded by the Council.

Note: The bodies covered by paragraph (b) are those listed as "Outside Bodies" in the minutes of the **Annual Meeting** of the Council each Year, together with any meetings of outside bodies specified by the Council or a board from time to time. Any other meetings authorised by the Council involving Councillors of more than one political party automatically become "Approved duties" under (a).

SECTION 2 - NWLDC CARERS' ALLOWANCES SCHEME

Childcare

The scheme to provide for the reimbursement of expenditure incurred by Councillors in providing childcare arrangements to facilitate their attendance at approved duties of the Council in accordance with the following requirements:

- That payment is made to someone other than a close relation.
- That payments for the care of under 8s are restricted to payments to registered childminders and other statutory approved childcare providers.
- That payments be restricted to the care of children up to their 14th birthday who normally reside with the Councillor.
- That no payments be made in respect of the care of children of compulsory school age during school hours.

Care of Dependants

The reimbursement of expenditure on professional care for an elderly, sick or disabled dependent relative normally residing with the Councillor and requiring constant care subject to payments being restricted to agencies or persons qualified to provide the care other than close relations.

General Conditions

The following conditions will apply to both types of allowance:

- That payments are made on the basis of the reimbursement of actual expenditure incurred up to a maximum of an hourly rate of £8.34 (2022/23) per hour for each hour of absence from home and are subject to the production of satisfactory receipts by the Councillor. This hourly rate will be increased annually on 1 April by the same percentage as the National Joint Council staff pay award (SCP 28).
- That Councillors self-certify claims confirming that they have incurred expenditure in accordance with the scheme.
- That qualifying meetings be restricted to those regarded as approved duties in the Council's scheme.

SECTION 3 - GUIDANCE FOR COUNCILLORS ON THE ALLOWANCE SCHEME

COUNCILLORS' ALLOWANCES – FROM 1 APRIL 2022

Councillors' allowances are paid through the monthly payroll on the 25th day of each month (unless this falls at the weekend when payment will be made on the Friday before) by credit transfer to personal accounts in a bank or building society. A computer pay slip is provided containing details of all payments and deductions. Payments are subject to PAYE and National Insurance deductions (where applicable).

1. BASIC ALLOWANCE

This allowance is £5,322.19 per Councillor per Year. Payment is made automatically and, therefore, no claim is required.

This allowance is intended to recognise the time devoted by Councillors to their work, including such inevitable calls on their time as meetings with constituents etc. and also to cover incidental costs for which other provision is not made. The basic allowance also covers attendance at the following meetings:

Council, board meetings, groups, sub groups, strategy groups, steering groups, working parties, panels, review boards, outside bodies, etc. and site visits.

2. SPECIAL RESPONSIBILITY ALLOWANCE

The special responsibility allowances are paid to the following:

Chair of the Council	£5,415.32 per annum
Deputy Chair of the Council	£676.91 per annum
Leader of the Council	£21,661.28 per annum
Deputy Leader of the Council	£13,538.30 per annum
Cabinet Member/Portfolio Holder	£8,122.98 per annum
Opposition Leader	£5,415.32 per annum
Chair of the Corporate Scrutiny Committee	£2,707.66 per annum
Chair of the Community Scrutiny Committee	£2,707.66 per annum
Chair of the Local Plan Committee	£2,707.66 per annum

Chair of Planning Committee	£8,122.98 per annum
Chair of Licensing Committee.....	£2,707.66 per annum
Chair of Audit and Governance Committee.....	£2,707.66 per annum

Normally only one special responsibility allowance will be paid per Councillor, being the highest of the allowances available to him/her. However, where the Council requires a Councillor to undertake additional duties that attract a special responsibility allowance the Councillor will receive 100% of the higher allowance and 50% of the other allowance.

3. **RENUNCIATION**

Any Councillor not wishing to claim the basic allowance or special responsibility allowance **MUST NOTIFY THE HEAD OF LEGAL AND COMMERCIAL SERVICES IN WRITING.**

4. **TRAVELLING ALLOWANCES**

Mileage rates are determined and set annually by the National Employers' Organisation for Local Government Services.

(a) Public transport

The rate for travel by public transport is limited to the amount of the ordinary fare or any available cheap fare.

(b) Motor cycles

The rates for travel by a Councillor's own solo motor cycle are as follows:

- (i) Not exceeding 150 cc 9.2p per mile
- (ii) Exceeding 150 cc but not exceeding 500 cc 13.4p per mile
- (iii) Over 500 cc 18p per mile

(c) Motor vehicles

The rate for travel by a Councillor's own private motor vehicle, or one belonging to a member of his/her family or otherwise provided for his/her use, other than a solo motor cycle shall not exceed:

For the use of a motor vehicle of cylinder capacity:

- (i) Not exceeding 999 cc 46.9p per mile

- (ii) Exceeding 999 cc but not exceeding 1199 cc 52.2p per mile

The cylinder capacity is that entered in the vehicle registration book or document by the Secretary of State under the Vehicles (Excise) Act 1971.

These rates may be increased in respect of the carriage of each passenger, not exceeding 4, to whom a travelling allowance would otherwise be payable under any enactment by not more than 3.0p per mile for the first passenger and 2.0p per mile for the second and subsequent passengers.

The following is also specified as an approved duty for the purposes of payment of travelling expenses and subsistence allowances:

As an appointed representative of the Council at any visit to obtain any advice or information as a consequence of a report to, or decision of, any council, board, sub group or working party etc.

(d) Taxis

The rate of travel by taxi-cab or cab shall not exceed:

- (i) in cases of urgency or where no public transport is reasonably available, as determined on an individual Councillor's needs basis, the amount of the actual fare and any reasonable gratuity paid;
- (ii) in any other case, the amount of the fare for travel by appropriate public transport.

(e) Rail

Unless a Councillor is travelling with an officer, request forms for rail tickets should be completed and at least 5 working days' notice given in order for arrangements to be made for the tickets to be obtained from the travel agents. Completed forms should be forwarded to your Democratic Services Officer.

(f) Air

The rate for travel by air shall not exceed the rate applicable to travel by appropriate alternative means of transport together with an allowance equivalent to the amount of any saving in attendance allowance and subsistence allowance consequent on travel by air.

Provided that where the body resolves, either generally or specifically, that the saving in time is so substantial as to justify payment of the fare for travel by air, there may be paid an amount not exceeding:

- (i) The ordinary fare of any available cheap fare for travel by regular air service,
or

- (ii) Where no such service is available or in case of urgency, the fare actually paid by the Councillor.

The Council has resolved that in all cases where, in the opinion of the S151 Officer, the above criteria have been met, the appropriate air travel costs be paid.

(g) Tolls, ferries, parking fees

The actual amount of any expenditure incurred on tolls, ferries or parking fees may also be claimed.

Travelling expenses are limited to the actual journey from home or one's regular place of work which are necessarily incurred for the purpose of enabling you to perform an approved duty as a Councillor.

(h) Tax implications on travelling expenses

Councillors who use their own car in the performance of their duties are paid a mileage allowance to cover the costs incurred, based on an amount per mile for the mileage covered on Council business. An element of these payments may be taxable where the amount paid per mile exceeds the Inland Revenue permitted allowance. If any tax liability arises this is likely to be very minimal (further information can be obtained from the Senior Collections Officer on 01530 454820).

Travel between home and the Council Offices (or any other place) on Council business is not taxable provided that such payment does no more than reimburse the cost of such travel.

Taxi, rail or air fares, tolls, ferries and parking expenses **are taxable** unless accompanied by a receipt or invoice. **Councillors are requested to provide the appropriate receipts in order to reduce the possibility of any tax liability.**

IT IS NECESSARY TO SUBMIT CLAIM FORMS FOR TRAVELLING EXPENSES IN RESPECT OF ALL APPROVED MEETINGS ATTENDED (INCLUDING THOSE COVERED BY THE BASIC ALLOWANCE).

6. COUNCILLORS - "IN ATTENDANCE" AT MEETINGS

A Councillor who is "in attendance" at a meeting, i.e., is not a member of the board, group or sub group, etc. is not eligible to claim travelling expenses.

Counsel's opinion was sought by the Association of District Councils, (now the Local Government Association) when the Councillors' allowances system was first introduced in 1974, regarding Councillors who attended meetings but who were not members of a particular Committee.

Counsel's opinion was that:

"A Councillor attending the Committee meeting of which he/she is not a member is not attending as a member of the Committee and his/her attendance is not an approved duty within Section 177(2)(b) of the Local Government Act 1972.

The attendance of a non-member of a Committee would not, in his opinion, be within Section 177(2)(b) unless he were there at the Committee meeting by special invitation to assist the Committee. The mere attendance and chance assistance of the Committee would not be enough to enable the attendance to be an approved duty."

7. SUBSISTENCE ALLOWANCES

The amount of subsistence payable is on a meals basis, with clarification of eligibility based on the time of day the meal is taken and time away from home.

(a) Absence from the usual place of residence:

- (i) Breakfast allowance (more than 4 hours away from normal place of residence before 11.00am) £4.92
- (ii) Lunch allowance (more than 4 hours away from normal place of residence including the lunchtime period between 12 noon and 2.00pm) £6.77
- (iii) Tea allowance (more than 4 hours away from normal place of residence including the period 3.00pm to 6.00pm)..... £2.67
- (iv) Evening meal allowance (more than 4 hours away from the normal place of residence ending after 7.00pm) £8.38

Points to remember:

You must have more than 4 hours before 11.00am to claim the breakfast allowance.

You must have 4 hours which include 12.00 noon to 2.00pm to claim the lunch allowance.

You must have 4 hours which include 3.00pm to 6.00pm to claim the tea allowance.

You must have 4 hours ending after 7.00pm to claim the dinner allowance.

i.e., if you finish your duty, including travel home, at 1.50pm, you cannot claim the lunch allowance even if you started at 8.00am.

Examples:

Day & times	Amounts to be claimed	Total
Monday 06.45 - 13.00	Breakfast allowance <u>£4.92</u>	£4.92
Tuesday 06.50 - 17.00	Breakfast allowance £4.92 Lunch allowance <u>£6.77</u>	£11.69
Wednesday 10.30 - 18.15	Lunch allowance £6.77 Tea allowance <u>£2.67</u>	£9.44
Thursday 06.00 - 21.00	Breakfast allowance £4.92 Lunch allowance £6.77 Tea allowance £2.67 Dinner allowance <u>£8.38</u>	£22.74

(b) **Overnight subsistence from the usual place of residence.....£79.82**

For such an absence overnight in London, or for the purposes of attendance at an annual conference (including or not including an **Annual Meeting**) of the Local Government Association - £91.04.

(For the purposes of this paragraph, London means the City of London and the London boroughs of Camden, Greenwich, Hackney, Hammersmith and Fulham, Islington, Kensington and Chelsea, Lambeth, Lewisham, Southwark, Tower Hamlets, Wandsworth and Westminster.) When Councillors are required to spend a night away from home or work place on Council business the normal rate for subsistence will not be taxable provided the expenses claimed are accompanied by a receipt or invoice.

(c) **Meals provided free of charge**

The rates specified in paragraphs (a) and (b) above shall be reduced by an appropriate amount in respect of any meal provided free of charge by an authority or body in respect of the meal or the period to which the allowance relates.

(d) **Meals on trains**

Where main meals are taken on trains during a period for which there is an entitlement for a day subsistence allowance, the reasonable cost of the meals (including VAT) may be reimbursed in full, within the limits specified below. In such circumstances, reimbursement for the reasonable cost of a meal would replace the entitlement to the day subsistence allowance for the appropriate meal period.

The limitations on reimbursement are:

- (i) for breakfast, an absence of more than 4 hours before 11.00am;
- (ii) for lunch, an absence of more than 4 hours including the period between 12noon and 2.00pm;
- (iii) for dinner, an absence of more than 4 hours ending after 7.00pm.

(e) **Taxation of subsistence allowances**

Subsistence allowances paid in respect of expenses incurred as a consequence of travel on Council business away from the Council Offices, will not be taxable provided they merely reimburse costs incurred by the Councillor and claims for payment are accompanied by the relevant receipts. **If receipts are not submitted, income tax will have to be deducted from the expenses claimed.** Councillors are, therefore, requested to provide receipts to reduce the possibility of any tax liability.

Allowances claimed for meals taken at the Council Offices, e.g. where a Councillor comes to the Offices for a briefing meeting, at say, 4.00pm and stays at the offices for an evening meeting that ends at 9.00pm, **expenses claimed are subject to tax.**

8. **SCHOOL GOVERNORS**

The Council is not able to pay attendance allowances, travelling expenses or subsistence allowances to Councillors serving as school governors when attending meetings of school governing bodies, as education is not a function of this authority.

9. **TELEPHONE RENTALS**

The Council has agreed to pay £75 per annum towards the home telephone rental (e.g. rental of line and equipment) of any Councillor **except where the number is ex-directory**. Before payment can be made, you will need to supply an original invoice from your provider, to evidence that a telephone line is in use. Please send this to Democratic Services.

10. **BROADBAND CONNECTION**

The Council has agreed to pay £75 per annum towards the rental of a home broadband connection. Payment is made automatically, thus no claim is required. However, before payment can be made you will need to supply an original invoice from your provider, to evidence that a broadband connection is in use. Please send this to Democratic Services.

11. **NATIONAL INSURANCE CONTRIBUTIONS**

The Social Security Act 1973 provides that both the Councillor and the Council will become liable for Class 1 national insurance contributions in respect of allowances

provided the amounts involved reach the lower earnings limit in any earnings period.

Councillors who are retired for National Insurance purposes (state pension age) will not be liable to pay any contribution, and the DWP will, on application, issue a certificate of earner's non-liability. A person who has more than one job must obtain a separate certificate for each employer since each office or employment is considered separately for contribution purposes. **It is emphasised**, that unless such a certificate is obtained, should any liability for contributions arise, deductions will be made from the allowance at the full rate applicable, since any employer may be held liable for any deficiency in contributions. Contact your local tax office for further information.

12. **ANNUAL PUBLICATION OF AMOUNTS OF COUNCILLORS' ALLOWANCES PAID**

The Council is required by the Local Authorities (Members' Allowances) (Amendment) Regulations, 2003, "to make arrangements for the publication within the Authority's area, of the total sum paid by it in that (financial) year under the Members' Allowances Scheme, to each member in respect of the following, namely Basic, Special Responsibility and Attendance Allowances".

This requirement is made by publishing a list, of the total sums paid to each Councillor in the previous financial year, in the press around May/June each year.

13. **CLAIMING PROCEDURE**

To claim payment of any of the allowances you must use the standard claim form. Blank copies of the form can be obtained from Democratic Services and it is essential that these be completed **fully**.

Here are a few tips about completing the claim form:

- Make sure your writing is clear – if you have any doubts use block capitals!
- Try to avoid using abbreviations for meetings; complete the title of the meeting in full.
- Show the time and place of departure and return, and location of meetings.
- Obtain receipts (when applicable) and attach these to your claim forms.
- Submit claims on a monthly basis **by the 6th of the month**. This will ensure payment by the 25th day of the month.

COUNCILLORS ARE REQUESTED TO SUBMIT CLAIM FORMS REGULARLY EACH MONTH

If you have any further questions or concerns about completing the claim forms, or Councillors' allowances in general, please contact Democratic Services.

SECTION 4 - EXAMPLES OF FORMS

- 1. Attendance, travel and subsistence**
- 2. Carers' allowance**
- 3. Rail ticket requests**
- 4. Vehicle information**

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

APPLICATION FOR TRAVELLING AND SUBSISTENCE ALLOWANCES

Name of Councillor

Make and Model of Vehicle

Address

Car Registration Number

Cylinder Capacity (as per log book)

[illegible]

I DECLARE that:-

- (a) I have necessarily incurred expenditure on travelling and subsistence for the purpose of enabling me to perform approved duties.
- (b) I have actually paid the fares and made the other payments shown in column 6 above.
- (c) The amounts claimed are strictly in accordance with the approved rates.
- (d) Any items claimed for are strictly in accordance with the Councillors' Allowance Scheme.
- (e) Receipts are attached, where applicable.
- (f) If mileage allowance is being claimed please attach a VAT receipt dated prior to the incidence of the mileage claimed.

I DECLARE that the statements above are correct and I have not made, and will not make, any other claim in connection with the duties indicated above.

Signed Date

For office use only:

Checked by:

Signature:

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

APPLICATION FOR PAYMENT OF CARERS' ALLOWANCES

Name Of Councillor

Address.....

Date	Place & Time of Departure	Place & Time of Return	Meeting Attended	Name of Carer Paid	Childcare Expenses				Care of Dependants			
					No. Of Hours	Rate Per Hour	Amount Claimed		No. of Hours	Rate per Hour	Amount Claimed	
351												
AMOUNTS NOW CLAIMED												

I DECLARE that:-

- (a) I have necessarily incurred expenditure on Childcare or Care of a Dependant (see guidance overleaf) for the purpose of enabling me to perform approved duties.
- (b) I have actually paid the amounts shown above and attach receipts to this effect.
- (c) The amounts claimed are strictly in accordance with the approved rates.

I DECLARE that the statements above are correct and I have not made, and will not make, any other claim in connection with the duties indicated above.

Signed Date

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

COUNCILLORS' ALLOWANCES

REQUEST FOR RAIL TICKETS

FROM: COUNCILLOR

Date of Meeting	Times of Trains (If known)	Destination	Title and Times of Meeting

Date ticket required by _____

(It would be appreciated if 5 working days' notice could be given in order for arrangements to be made for the tickets to be obtained from the Travel Agents)

Signed **Date**

When completed, please return the form to your Democratic Services Officer in Member Services.

WOULD COUNCILLORS PLEASE NOTE:

IN ACCORDANCE WITH INLAND REVENUE TAX REGULATIONS, RECEIPTS ARE REQUIRED WHEN CLAIMING TRAVELLING EXPENSES, AND COUNCILLORS ARE REQUESTED TO RETURN THE RAIL TICKET WITH THEIR EXPENSES FORMS TO DEMOCRATIC SERVICES

If for any reason you are unable to attend the meeting, or the meeting is cancelled, would you please return the ticket, as soon as possible, in order for a refund to be obtained.

For Office Use Only	
Cost of Ticket £ p	Date Purchased/ Code

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

COUNCILLORS' ALLOWANCES

TRAVELLING EXPENSES
INFORMATION REQUIRED IN CONNECTION WITH COUNCILLORS' VEHICLES

COUNCILLOR

ADDRESS

.....

Make of Vehicle	
Model of Vehicle	
Cylinder Capacity (Exact c.c. as quoted on the log book)	
Registration Number	

I confirm that the above is a true record.

Signed Date

PLEASE RETURN THE FORM TO DEMOCRATIC
SERVICES

Part 6

Glossary of Terms

Access to Information	By law the public must be given reasonable notice of matters to be discussed at a Council, Committee or Sub-Committee meeting.
Access to Information Procedure Rules	Rules which determine how the public can be given Access to Information – see Part 3 .
Adjourn	When a meeting is briefly suspended.
Affirmation of the Meeting	When something is agreed by general consensus of the Councillors present.
Agenda	A document containing reports which sets out the business to be considered at a meeting. The Agenda is published at least five clear working days before the meeting.
Amendment	A change to a motion.
Annual Meeting	The yearly ceremonial meeting of the Council at which the Leader and Chair of the Council are elected.
Annual Governance Statement	<p>The Annual Governance Statement is a statutory document which explains the processes and procedures in place to enable the Council to carry out its functions effectively.</p> <p>The statement is produced following an annual review of the Council's governance arrangements and the effectiveness of its system of internal control. The statement includes an action plan to address any significant governance issues identified.</p>
Appointments Committee	Determines matters relating to the appointment of the Councils' Statutory Officers, Chief Officers and Deputy Chief Officers – see Part 2 .
Assessment Sub-Committee	A Sub-Committee of the Audit and Governance Committee that assesses complaints in relation to breaches of the Councillors' Code of Conduct .
Audit and Governance Committee	The Committee responsible for promoting and maintaining high standards of governance by the Council and its Councillors. It considers such matters as the Council's internal governance arrangements, the financial affairs of the Council and standards of conduct by Councillors including written allegations that a Councillor has failed to comply with their Code of Conduct.

Background Papers	Documents on which reports are primarily based. The law says that report authors must list any papers used in compiling a report for decision, and these papers must be available for four years to anyone wishing to inspect them.
Best Value	The 'Best Value Duty' is a legal duty on the Council, in accordance with section 3 of the Local Government Act 1999. This general duty of Best Value requires the Council to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness. When reviewing service provision the Council should consider overall value, including economic, environmental and social value.
Budget	All the financial resources allocated to different services. With regards to the Council's budget, that means the allocation of financial resources to different services and projects, proposed contingency funds, the council tax base, setting the council tax and decisions relating to the control of the Council's borrowing requirement, the control of its capital expenditure and setting virement limits, as a whole.
Budget and Policy Framework	The plans and strategies adopted by the Council within which the Executive must operate – see Section C of Part 2 .
Budget and Policy Framework Procedure Rules	The rules which govern the process by which the Budget and Policy Framework is developed and how decisions can be made outside the Budget and Policy Framework – see Part 3 .
Budget Council Meeting	The meeting of the Full Council that takes place each year in order to calculate the budget requirement and set the council tax.
Cabinet	The Leader and a minimum of 2 and a maximum of 9 other Councillors appointed by the Leader who are responsible for making Executive decisions.
Cabinet (Executive) Procedure Rules	The rules which govern how meetings of the Cabinet (and any Committees of the Cabinet) are run – see Part 3 .
Cabinet Member	A member of the Cabinet , with specific responsibilities (a 'portfolio') delegated by the Leader of the Council. Also

	known as ' portfolio holders ' and Executive members .
Call-in	A mechanism which allows Scrutiny to examine and challenge an Executive decision before it is implemented.
Carried	When a motion is carried, it is agreed.
Casting Vote	The Chair has a casting vote which decides the matter when votes are equally divided.
Chair	The person appointed to oversee meetings.
Chair of the Council	The person elected annually to oversee meetings of the Full Council . They perform a civic and ceremonial role that is non-political.
Chief Executive	The most senior Officer, with overall responsibility for the management and operation of the Council. Also known as the Head of Paid Service.
Chief Officer	The most senior Council staff who are responsible for managing each of the Council's departments, as defined in section 2 of the Local Government and Housing Act 1989. It means the Council's S151 Officer , Monitoring Officer as well as any Officers whom report directly to the Chief Executive (but does not include secretarial, clerical or support staff). The Council's Strategic Directors are Chief Officers.
CIPFA	The Chartered Institute of Public Finance and Accountancy.
Clear Days	Clear days does not include the day the papers are sent out or the date of the meeting. So for example, if a meeting is taking place on a Tuesday, the Agenda must be published on the Monday in the week before the meeting.
Closure Motion	When a Councillor moves that a vote is taken to decide a question under consideration immediately, without further debate.
Code of Conduct	A set of rules to guide behaviour.
Committee	A group of people appointed for a specific function by a larger group and typically consisting of members of that larger group. Committees may be established by the Council or Cabinet to deal with specific matters.
Confidential	Information either given to the Council by the

Information	Government on terms which forbid its public disclosure or which cannot be publicly disclosed by court order. See also 'Exempt Information' below.
Constitution	A document setting out how the Council operates, how decisions are made and all the procedures which have to be followed.
Co-Optee / Co-opted Member	A person who is not elected but is appointed to serve on a Committee or Sub-Committee in a participatory capacity.
Contract Procedure Rules	The Rules which set out how the Council procures goods, works and services and enters into contracts – see Section G of Part 3 .
Corporate Governance Policies	The Corporate Governance Policies are the following policies: Anti-Fraud and Corruption Policy Anti-Money Laundering Policy Confidential Reporting (Whistleblowing Policy) Risk Management Policy RIPA policy Information Management Policy Data Protection Policy ICT & Cyber Security Policy Local Code or Corporate Governance
Council	The 38 Councillors Elected for North West Leicestershire.
Councillor	A person elected to represent their Ward on the Council.
Councillors' Code of Conduct	There is a statutory requirement under the Localism Act 2011 to have a Code of Conduct. The Code of Conduct sets out the behaviour that is expected of Councillors, the seven principles of public life and provides for the disclosure of pecuniary and non pecuniary interests - see Part 4 .
Councillors' Substitute Scheme Procedure Rules	The rules which govern how a Councillor who would normally sit on a Committee or board, can be replaced by another Councillor, if the first Councillor is unavailable – see Part 3 .
Council and Committee Procedure Rules	The rules which must be followed for all meetings of Full Council and any Committees of the Council – see Part 3 .
Council Tax	A tax charged to households by local authorities, based on the estimated value of the property and the number of

	people living in it.
Debate	A discussion on an issue in which different views are put forward.
Declarations of Interest	Councillors have to abide by a Code of Conduct, part of which requires them to declare any interests they have which could influence any decisions they make.
Defer	When an issue is put off or postponed until a future time.
Delegated Powers	Formal authorisation for a Committee, portfolio holder or Officer to take an action which is the ultimate responsibility of the Council or Executive.
Deputations	A person or group appointed to represent issues on behalf of others at Council meetings.
Deputy Chair	The person appointed to preside in the absence of the Chair.
Deputy Leader	The Councillor elected to the position of Deputy Leader of the Council.
Designated Officer	For the purposes of Officer delegated powers within this Constitution , the term “ Designated Officer ” shall include the following Officers: <ul style="list-style-type: none"> • Chief Executive • Strategic Directors • S151 Officer • Heads of Service
Determination Sub-Committee	A Sub-Committee of the Audit and Governance Committee that determines complaints regarding breaches of the Councillors’ Code of Conduct .
Development Plan	Development plan and development plan documents include the local plan, neighbourhood plans, and other information contained in section 38 Planning and Compulsory Purchase Act 2004.
Dispensation	Where Councillors have an interest in a matter, the Audit and Governance Committee may, in some circumstances, grant a Councillor a dispensation to speak, and sometimes to vote, depending upon the nature of the interest.
District	The geographical area which the Council provides services for.

Employee Joint Consultative Committee	A committee with representatives from the Council and from trade unions that meets to resolve matters that the Employee Consultation Group has been unable to resolve – see Part 2.
Exclusion of the Public	The public are excluded from meetings when exempt or confidential information is being considered.
Executive	The Leader and the Cabinet; responsible for carrying out almost all of the local authority's functions.
Executive Decisions	Decisions which can be made by the Cabinet, a Cabinet Member or Committee of the Cabinet, or an Officer.
Executive Decision Notice	A public document of executive and key decisions to be taken by the Executive or Officers no earlier than 28 days after its publication.
Executive Function(s)	Functions which can be carried out by the Cabinet, a Cabinet Member or Committee of the Cabinet, or an Officer.
Exempt Information	Information falling into one of seven categories which usually cannot be publicly disclosed – see the Access to Information Procedure Rules in Part 3 .
Extraordinary Meeting	A meeting convened for a specific purpose.
Five Clear Working Days	The period during which copies of the Agenda and reports of a meeting must normally be available for inspection under the Access to Information Procedure Rules in Part 3 . The period of five clear working days not counting; <ul style="list-style-type: none"> • the day of the meeting • the day on which the meeting is called • days which fall at the weekends, public holidays or bank holidays.
Financial Procedure Rules	The Rules which set out how the Council's financial procedures operate to safeguard public money – see Section F of Part 3 .
Full Council	The meeting of all Councillors of the Council.
General Exception	A procedure which must be followed when items which are likely to be Executive/Key decisions have not been included in the Executive Decision Notice before the

	decision will be taken.
General Fund	Used to pay for items of everyday expenditure such as salaries.
Group Leader	Leader of a political group.
Head of Legal and Commercial Services	See Monitoring Officer below.
Head of Service	An Officer with responsibility for a specific service area who reports to a Strategic Director .
Independent Member	A Councillor who is not a member of a recognised political party. In the context of the Audit and Governance Committee , this also refers to the non-elected members.
Independent Person	A person that is independent from the Council and who is appointed for the purpose of the Localism Act 2011.
Independent Remuneration Panel	A committee that makes recommendations to Council about Councillor allowances – see Part 2 .
Investigatory Committee	A committee that considers investigations into the conduct of the Head of Paid Service, S.151 Officer, Monitoring Officer, Strategic Director and Heads of Service and makes recommendations on the dismissal of statutory officers.
Joint Arrangements	Services provided in partnership with other Councils or by or on behalf of those Councils.
Joint Committee	A Committee appointed jointly by the Council and one or more other Council's to jointly oversee carrying out functions.
Key Decision	An Executive decision which involves significant expenditure or savings, or which has a significant impact on local communities.
Leader	Usually the Councillor who heads the largest political group, and is elected by the Full Council to the position of Leader of the Council. The Leader chairs the Cabinet.
Licensing Code of Conduct	The code which provides guidance to gives advice to Councillors who: <ul style="list-style-type: none"> • Are members of the Licensing Committee and

	<p>who sit on Licensing Sub-Committees;</p> <ul style="list-style-type: none"> • Wish to address the Committee or Sub-Committee on any licensing issue; • Are involved outside the Committee on licensing applications or other licensing matters - including informal occasions such as meetings with Officers or public and consultative meetings; and/or • Are involved in applications for licences under the Licensing Act 2003 and the Gambling Act 2005 – see Part 4.
Licensing Committee	The Committee that carries out the Council's licensing responsibilities including under the Licensing Act 2003 Act and the Gambling Act 2005.
Licensing Sub-Committee	A sub-committee of the Licensing Committee that determines licensing matters as required under the Licensing Act 2003.
Local Authority	The Council.
Local Choice Functions	Activities which can be the responsibility of the Council or Cabinet.
Local Plan Committee	A committee that considers and works on Development Plan Documents (which includes the Local Plan) and Supplementary Planning Documents – see Part 2 .
Meeting	A meeting of the Council or of the Cabinet, a Committee or of a Sub-Committee.
Minister of the Crown	A government Cabinet minister.
Minutes	A public record of decisions taken at meetings of the Council, its Committees and Sub-Committees .
Monitoring Officer	The Council Officer charged with ensuring that everything that the Council does is fair and lawful. The Monitoring Officer is currently the Head of Legal and Commercial Services.
Monitoring Officer Protocol	The Monitoring Officer is a statutory position created by s.5 of the Local Government and Housing Act 1989. This Act as well as the Local Government Act 2000 and the Local Government and Public Involvement in Health Act 2007 create obligations on the Monitoring Officer and the Council . The protocol in Part 4 provides general

	information about how these obligations will be discharged by the Council.
Motions	A formal proposal made by a Councillor for the consideration of the meeting.
Move (a Motion)	A motion is moved when a formal proposal is made by a Councillor.
Negate (a Motion)	A motion is negated when it is made ineffective.
Non-Executive Function(s)	Functions which cannot be carried out by the Cabinet , a Cabinet Member or Committee of the Cabinet. These functions must be carried out by the Full Council or if delegated by Full Council by a Committee , Sub-Committee or an Officer .
Non-Executive Members	All Councillors that are not members of the Cabinet.
Notice of Meeting	The public notice stating the date, time and place of a meeting.
Officer	A person employed by the Council to carry out the work of the Council. Officers cannot be Councillors.
Officer Employment Procedure Rules	Rules which govern how Officers are employed by the Council – see Part 3 .
Officer Scheme of Delegation	The way in which the Officers of the Council can make decisions and which decisions they have the power to make, as set out at Section G of Part 2 of the Constitution .
Officers' Code of Conduct	A code which defines the responsibilities, standards and behaviour required of the Council's employees – see Part 4 .
Outside Body	An external organisation which has invited the Council to nominate representative(s) to serve on its management body.
Petition	A formal written request, signed by more than fifteen people, appealing to the Council.
Planning Code of Conduct	The code which sets out the practices and procedures which must be followed by Councillors and Officers when involved in planning matters - see Part 4 .

Planning Committee	The Committee of Councillors which makes planning decisions (not delegated to Officers) on behalf of the Council.
Point of Order	A question raised to clarify whether the procedural rules are being adhered to.
Political Balance	Political balance means: (i) That not all seats on the committee, sub-committee or relevant joint authority or joint committee ("the body") are allocated to the same political group; (ii) That the majority of seats on the body are allocated to a political group holding the majority of seats on the Council; (iii) That, subject to (i) and (ii) above, the total number of seats held by each political group on all committees of the Council taken as a whole is proportionate to that group's membership of the authority; and (iv) That, subject to (i) and (iii) above, the number of seats held by each political group on individual bodies is proportionate to that group's membership of the Council.
Political Group	Two or more Councillors who have joined together and asked to be recognised as a political group.
Politically Restricted Post	Employees in politically restricted posts are prevented from having any active political role either in or outside of work.
Portfolio Holder	Responsible for ensuring the effective management and delivery of Executive Functions . Each Portfolio Holder has specific areas of responsibility.
Precept	A proportion of Council Tax which is paid to other authorities such as the County Council and Police.
Private Meeting	A 'private meeting' means a meeting or part of a meeting of the Cabinet or a Cabinet Committee during which the public are excluded.
Procedure on the Resolution of Dispute/Conflict Between Officers and Councillors	The procedure for the informal resolution of disputes or conflict between Officers and Councillors – see Part 4 .
Procedure Rules	Rules governing how the Council operates and how decisions are taken.

Proper Officer	An Officer at Team Manager level or above who is given a set of responsibilities by statute.
Proposal	Another term for a motion.
Protocol on Councillor / Officer Relations	Guidance for Councillors and Officers in their relations with one another – see Part 4 .
Protocols	Codes of Practice, which set out how, for example, various elements of the Council, are expected to interact with each other.
Public Sector Internal Audit Standards	The UK Public Sector Internal Audit Standards (PSIAS) have been developed to apply across the whole of the public sector in all sectors of government. The PSIAS are based on standards issued by the Institute of Internal Auditors (IIA), with additional requirements and interpretations that make them directly applicable to the UK public sector. The PSIAS are developed jointly by the relevant internal audit standard setters (RIASS) for central government, local government, devolved government administration bodies and the National Health Service (NHS). The PSIAS set out requirements which apply generally to all UK public sector engagements, but do not include any sector requirements or guidance for specific parts of government.
Quasi Judicial	A process of decision-making which is similar to a court of law, in that each party with an interest in the matter under consideration has an opportunity to make their case, following which a decision on the facts and representations is made.
Quorum	The minimum number of people who have to be present before a meeting can take place.
Recorded Vote	A vote in which the names of those voting for and against are recorded.
Register of Interests	The record of all interests declared by Councillors.
Regulatory Committees	The Committees of the Council that are charged with regulatory functions, such as Planning and Licensing Committee .
Representation	A statement of reasons made when appealing or protesting.

Rescind (a Decision)	When a decision is revoked or withdrawn.
Resolution	A motion/decision agreed by a meeting is subsequently referred to as a resolution.
Review Sub-Committee	A Sub-Committee of the Audit and Governance Committee that hears requests for reviews of decisions of the Assessment Sub-Committee and the Determination Sub-Committee .
Right of Reply	The mover of a motion has a right to reply at the close of debate on a motion or amendment.
Roles and Responsibilities for Councillors	The roles and responsibilities of Councillors – see Part 4 .
Scrutiny Committee(s)	Provides support and advice to the Executive by contributing to the development and review of policy; also holds the Executive to account by questioning. Challenging and monitoring performance.
Scrutiny Procedure Rules	Rules which determine how meetings of the Scrutiny Committees are run – see Part 3 .
Second	When a motion is endorsed by another Councillor, it is 'seconded', and can then be voted upon.
Secretary of State	The head of a major government department.
S151 Officer	The Officer responsible for the administration of the financial affairs of the Council (under section 151 of the Local Government Act 1972).
Senior Leadership Team	The meeting of Chief Officers – the Chief Executive and the Strategic Directors .
Senior Officer	The Chief Executive or a Strategic Director .
Special Urgency	A procedure which must be followed when an Executive/ Key Decision needs to be taken urgently.
Stakeholder	A person or group that may be affected by a matter.
Standing Order	Means a the Rules of Procedure contained in Part 3 of this Constitution .
Statutory	Required by law.

Statutory Officers	These are Officers that the Council must have in place, some of which may be combined and some of which cannot, but they all have additional personal responsibilities. In this council they are the Chief Executive , the Monitoring Officer and the S151 Officer .
Strategic Directors	The Officers in charge of the Council Directorates.
Sub-Committee	A formal decision-making body with functions referred or delegated to it by a Committee.
Substantive Motion	The term used to refer to a motion which has been amended by agreement of the meeting.
Summons to Meeting	The term used to describe the Agenda for meetings of the Council.
Task and Finish Group	Informal, small, and time-limited groups comprised of Councillors and where appropriate, co-optees brought in from outside the Council because of their specific skills and experiences, to assist the Scrutiny Committee with its work.
Hackney Carriage and Private Hire Sub-Committee	A sub-committee of the Licensing Committee that determines matters referred to it relating to the licensing of Hackney Carriages and Private Hire drivers, vehicles and operators.
Team Manager	An Officer with responsibility for a specific service area who reports to a Head of Service .
Tendering	The making of an offer by a contractor to carry out work.
Terms of Reference	The description of what a Committee, Sub-Committee or panel may concern itself with.
Treasury Management	Treasury management functions are those functions carried out in accordance with the approved Treasury Management Strategy. The S151 Officer is responsible for the Treasury Management Strategy.
Valid Planning Grounds	Valid planning grounds on which a matter may be referred to the Planning Committee for determination include: (i) Overlooking/loss of privacy; (ii) Loss of light or overshadowing; (iii) Parking; (iv) Highway safety; (v) Traffic; Noise; (vi) Effect on listed building and conservation area;

	(vii) Layout and density of building; (viii) Design, appearance and materials; (ix) Government policy; (x) Disabled persons' access; (xi) Proposals in the Development Plan; (xii) Previous planning decisions (including appeal decisions); (xiii) Nature conservation.
Virement	Moving budget funds from one area of expenditure to another within a financial year.
Ward	The defined area within the District which a Councillor represents. The Councillor is elected to represent the interests of the constituents in their Ward.
Whip	A member of a political party who gives instructions to Councillors regarding meetings and attendance.

Constitution Review 2022 – Schedule of Changes

Amendments from Existing Constitution

Current Constitution Reference	Amended/Moved/Removed	Location in New Constitution
Part 1, Summary and Explanation	Content has been retained and has been updated to reflect example constitution formatting and wording	Part 1, Summary and Explanation
Part 2, Article 1 “The Constitution”	<p>Para. 1.0.1 – principle re powers of the Council reflected in section adopted from example constitution.</p> <p>Para. 1.02 states that this is the Council’s constitution, which is also reflected in shorter explanatory section.</p> <p>Para. 1.03 – purpose of the constitution has been reduced into an easy-to-read paragraph rather than lengthy list, in line with example constitution wording</p> <p>Para. 1.04 re choosing between different courses of action has been removed as potentially unclear and didn’t fit with example wording</p>	Part 1, Summary and Explanation
Part 2, Article 2 “Members of the Council”	<p>Para. 2.01 – composition and eligibility reflected in new constitution wording based on example</p> <p>Para. 2.02 – election and terms of councillors reflected in new constitution wording based on example</p> <p>Para. 2.03 – list of councillor functions updated to bring in line with example constitution wording</p> <p>Para. 2.04 – cessation of membership included in new constitution wording</p>	<p>Part 1, Summary and Explanation</p> <p>Part 2, Section A – Introduction to Decision Making</p>

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Part 2, Article 6 "Scrutiny"	<p>Para. 6.01 is no longer needed as covered in new scrutiny committee section (see below)</p> <p>Para. 6.02 is a cross-reference to where Scrutiny functions were but is no longer needed as everything is in the same section now.</p> <p>Para. 6.03 is a cross-reference to the Scrutiny Procedure Rules and this will be covered in that section.</p>	Part 2, Section D6 – Scrutiny Committees
Part 2, Article 7 "The Cabinet"	<p>Para. 7.01 re Cabinet functions has been amended slightly. This paragraph refers to functions being the Executive's by law but we have taken the example constitution wording which sets out the relevant regulations as it is a bit clearer.</p> <p>Para. 7.02 re form and composition has been retained and moved into example constitution format</p> <p>Para. 7.03 re the Leader has been retained and moved into example constitution format</p> <p>Para. 7.04 re Cabinet Members has been retained and moved into example constitution format</p> <p>Para. 7.05 re the Deputy Leader has been retained and moved into example constitution format (re-ordered to follow Leader section)</p> <p>Para. 7.06 re Cabinet Support Members was not in example constitution but we have retained it and set it out within the Cabinet Members section</p> <p>Para. 7.07 re following the Executive Procedure Rules has been retained and moved into example constitution format</p>	Part 2, Section E – The Cabinet (Executive Functions)

	Para. 7.08 is a cross-reference to where Cabinet functions were but is no longer needed as everything is in the same section now	
Part 2, Article 8 “Regulatory and Other Bodies”	This article just sign-posted to part 3 of the current constitution so is no longer needed	N/A
Part 2, Article 9 “The Audit and Governance Committee”	Para. 9.01 re appointing a chair is covered by new example constitution wording Para 9.02 re membership, independent persons and parish members has been retained Para 4.02 is a cross-reference to where Audit and Governance functions were but is no longer needed as everything is in the same section now.	Part 2, Section D7 – Audit and Governance Committee (subsection 1)
Part 2, Article 10 “Area Committees and Forums”	Retained the text and inserted into the summary and explanation section of the new constitution	Part 1, Summary and Explanation
Part 2, Article 11 “Joint Arrangements”	For the equivalent of para. 11.01 (types of joint arrangement) and 11.02 (who can establish joint arrangements) we have gone with the wording in the example constitution on this as it is clearer but the substance of what it is saying has not changed from our original constitution. Para. 11.03 (access to information) will be considered as part of the review of the access to information rules to see whether it is covered there or needs retaining. The equivalent of para 11.04 (delegation to other authorities) in the example constitution wasn’t clear so we have retained our original wording. At para. 11.05 (contracting out) the wording in the example constitution is the same as our original constitution so has been retained.	Part 2, Section F – Joint Arrangements
Part 2, Article 12 “Officers”	Para 12.01 re general matters on key officers is reflected in new constitution wording	Part 1, Summary and Explanation

	<p>Para. 12.02 re Head of Paid Services functions reflected in new constitution wording for Scheme of Delegation</p> <p>Para. 12.03 re Monitoring Officer functions reflected in new constitution wording for Scheme of Delegation</p> <p>Para. 12.04 re Head of Finance functions reflected in new constitution wording for Scheme of Delegation</p> <p>Para. 12.05 re resources for Monitoring Officer and Chief Finance Officer reflected in new constitution wording for Scheme of Delegation</p> <p>Para. 12.06 re officers' obligation to comply with employee code is covered in new constitution</p> <p>Para. 12.07 re recruitment and dismissal detailed in the employment procedure rules is covered in new constitution (summary and explanation)</p> <p>Para. 12.08 re reference to officers making decisions under Scheme of Delegation is covered in new constitution (introduction to decision making)</p>	<p>Part 2, Section G - Officer Scheme of Delegation</p> <p>Part 1, Summary and Explanation</p> <p>Part 2, Section A – Introduction to Decision Making</p>
Part 2, Article 13 “Decision Making”	<p>Para. 13.02 (principles of decision making) has been amended to reflect wording in example constitution – see para. 9 of Part 2, Section A – Introduction to Decision Making of new constitution. Apart from clearer wording, minor changes also include: taking account of relevant considerations only, specifically referring to the Monitoring Officer and Chief Finance Officer in relation to seeking professional advice and having regard to statutory duties (including best value).</p>	<p>Paras. 13.01, 13.02 and 13.04-13.08 included in Part 2, Section A – Introduction to Decision Making</p>

Part 2, Article 14 "Finance, Contracts and Legal Matters"	<p>Para 14.01 and para. 14.02 are just cross-references to the Finance Procedure Rules and Contract Procedure Rules which are no longer needed</p> <p>Paras. 14.03-14.05 re legal proceedings, authenticating documents and the common seal are all reflected in new constitution wording for Scheme of Delegation</p>	<p>N/A</p> <p>Part 2, Section G - Officer Scheme of Delegation</p>
Part 2, Article 15 "Review and Revision of Constitution"	Wording updated to reflect example constitution wording, including a more fuller explanation of changes made by fact or law that the Monitoring Officer can make	Part 1, Summary and Explanation
Part 2, Article 16 "Suspension, Interpretation and Publication of the Constitution"	<p>Para. 16.01 adopted more general suspension wording from the example constitution to say the can be suspended by law or as permitted by the rules within it</p> <p>Para. 16.02 re Chair's responsibility to interpret constitution is reflected in new constitution wording in summary and explanation section</p> <p>Para. 16.03 re publication reflected in new constitution wording in summary and explanation section</p>	Part 1, Summary and Explanation
Part 3, Section 1 "Introduction"	This section covers the description of Council Functions, Executive Functions and Local Choice Functions. We have gone with the wording in the example constitution on this as it is clearer but the substance of what it is saying has not changed from our original constitution.	Part 2, Section A – Introduction to Decision Making
Part 3, Section 2 "Council Functions"	Table contained functions which were not Council functions (e.g. functions of planning and licensing committee). These have been deleted so section only contains Council functions.	Para 1 and table included in Part 2, Section C – Full Council (subsection 1)

	Functions are now listed in the new format of the example constitution (rather than a table) and combined with other functions – see below	
Part 3, Section 3 - “Responsibility for local choice functions”	Para.1 has been amended to reflect wording in example constitution (clearer wording). Added “The determination of an appeal against any decision made by or on behalf of the authority” to list of Local Choice Functions as this is in the example constitution and comes from the Functions and Responsibilities Regs – suggested delegated to Chief Exec and Strategic Directors as they currently perform these functions	Para.1 and table are now in Part 2, Section B - Responsibility for Local Choice Functions
Part 3, Section 4 - “Responsibility for executive arrangements”	The section re executive arrangements has been retained but moved to the Leader section in line with example constitution layout Membership section incorporated into example constitution format Example constitution did not have quorum so have transferred that section across to it Have taken the example constitution wording for the functions and transferred in any that were not included from ours Removed list of portfolios as the example constitution links to the website with them listed which seemed a better way to do it Delegation wording has been retained and moved into example constitution format	Part 2, Section E – The Cabinet (Executive Functions)
Part 3, Section 5 “Bodies exercising Council functions” para 1 “Full Council”	New constitution does not include all the functions contained within this section. Functions in current constitution will be incorporated into new constitution (pending consultation with HR, Finance and Planning).	Para 1 included in Part 2, Section C – Full Council (subsection 1)

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	<p>Retained separate functions for the Licensing Committee and Licensing Subcommittee (example constitution had them all as functions of the Licensing Committee and delegated on an ad hoc basis but we felt separating them out was clearer)</p> <p>Retained separate function wording for the Taxi and Private Hire sub-committee</p>	
Part 3, Section 5 “Bodies exercising Council functions” para 6 “Investigatory Committee”	<p>Transferred into the example constitution format for all committees.</p> <p>Following discussion with Head of HR, have introduced more functions from the example constitution as current constitution is quite general.</p> <p>Additional changes made to the officers referred to following further input from Head of HR</p>	Part 2, Section D3 – Investigatory Committee
Part 3, Section 5 “Bodies exercising Council functions” para 7 “Employee Joint Consultative Committee”	<p>Transferred into the example constitution format for all committees.</p> <p>Retained existing wording as wasn’t in the example constitution.</p> <p>Following consultation with the Head of HR - Removed minimum meeting requirement of twice-yearly and left it say ‘as and when required’ given there has been no need for the committee to meet in recent years and it only needs to meet when the Employee Consultation Group has been unable to resolve a matter</p> <p>Updated references to unions (changed name to Unite and removed CATT) – will need to consult unions on new allocation of representatives i.e. GMB now have 2 instead of 1, following removal of CATT</p>	Part 2, Section D8 – Employee Joint Consultative Committee

Part 3, Section 5 “Bodies exercising Council functions” para 8 “Independent Remuneration Panel”	Transferred into the example constitution format for all committees. Retained existing wording as wasn’t in the example constitution but included some further detail from the Panel’s terms of reference e.g. how chair appointed.	Part 2, Section D9 – Independent Remuneration Panel
Part 3, Section 5 “Bodies exercising Council functions” para 9 “Appointments Committee”	Transferred into the example constitution format for all committees. Followed example constitution wording for functions as clearer, but no substantial changes. Additional change made to make it clear that the Chair is appointed annually by Full Council as this was already occurring in practice so now the Constitution reflects this Additional changes made to the matters reserved to the Committee following further input from Head of HR	Part 2, Section D2 – Appointments Committee
Part 3, Section 5 “Bodies exercising Council functions” para 10 “Local Plan Committee”	Transferred into the example constitution format for all committees. Retained existing wording as wasn’t in the example constitution.	Part 2, Section D5 – Local Plan Committee
Part 3, Section 6 “Advisory Bodies and Working Parties”	Text retained and inserted into decision-making section	Part 2, Section A – Introduction to Decision Making
Part 3, Section 7 - “Scheme of Delegation” para 1 “Scope of the Scheme” and 2 “Exercise of Delegated Powers”	New cascade of delegations has been adopted. Section G1 provides an introduction to the scheme of delegation including “General Principles” and “General Limitations”.	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - “Scheme of Delegation” para 3 “General Functions to be Discharged by the Chief Executive and Strategic Directors”	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers (“designated officers” is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - “Scheme of Delegation” para 4 “Chief Executive”	New cascade of delegations has been adopted.	Part 2, Section G - Officer Scheme of Delegation

	Section G3 sets out the delegations to the Chief Executive and Statutory Officers.	
Part 3, Section 7 - "Scheme of Delegation" para 5 "Strategic Director of Place"	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers ("designated officers" is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - "Scheme of Delegation" para 6 "Strategic Director of Housing and Customer Services"	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers ("designated officers" is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - "Scheme of Delegation" para 7 "Arising from His/Her respective functions the Chief Executive and Directors are authorised"	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers ("designated officers" is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - "Scheme of Delegation" para 8 "Head of Legal and Commercial Services"	New cascade of delegations has been adopted. Section G3 sets out the delegations to the Chief Executive and Statutory Officers.	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - "Scheme of Delegation" para 9 "Specific Delegation to officers in consultation with others"	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers ("designated officers" is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 - "Scheme of Delegation" para 10 "Designated Authorised Officers" - "Signatories to Financial Documents"	New cascade of delegations has been adopted. Section G2 sets out general delegations to designated officers ("designated officers" is defined as HOS and above).	Part 2, Section G - Officer Scheme of Delegation
Part 3, Section 7 "Scheme of Delegation" para 11 "Joint Arrangements"	The wording has been preserved but the list of joint arrangements has moved to sit with the powers to enter into joint arrangements – see para. 1.8 of Part 2, Section F – Joint Arrangements	Part 2, Section F – Joint Arrangements
Part 3, Section 8 - "Proper Officer Designations"	These have been maintained, though some further statutory functions have been added.	Part 2, Section G - Officer Scheme of Delegation

	Some are noted as TBC where they new and further consideration needs to be given to the appropriate officer. These now appear in Section G4 “Proper Officer and Specified Officer Functions”	
Part 4, Section 1 - “Council Procedure Rules”	Wording largely retained and moved into example constitution format. Example constitution added an “Interpretation and Chair’s Ruling” section, added section on “Chair of the Council and Deputy Chair of the Council” setting out what happens if these roles become vacant, added section on “Public/Councillor Participation at Meetings”, added section on “Committees and Sub-Committees”,	Part 3, Section A – Council and Committee Procedure Rules
Part 4, Section 2 – “Members’ Substitute Scheme Procedure Rules”	No changes – the example constitution did not have a separate substitute scheme. We took the view to retain it and therefore will keep it as originally drafted (and updated in the last constitution review). When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 3, Section I - Councillors’ Substitute Scheme Procedure Rules
Part 4, Section 3 - “Access to Information Procedure Rules”	Wording largely retained and moved into example constitution format In the table describing exempt information, the ‘interpretation’ column has been removed to match the example constitution format as it appeared a bit repetitive The example constitution sets out requirements for a forward plan, etc. but as the relevant regulations were replaced in 2012 and introduced Executive Decision Notices, we have retained our constitution wording on that	Part 3, Section C – Access to Information Procedure Rules

Part 4, Section 4 – “Budget and Policy Framework Procedure Rules”	Current version retained but amendments made by s151 Officer to make the definition of virement clear	Part 3, Section E - Budget and Policy Framework Procedure Rules
Part 4, Section 5 – “Executive Procedure Rules”	<p>Wording largely retained and moved into example constitution format.</p> <p>Example constitution added section on “Key Decisions and Urgency”, added a section on “Public or Private Meetings of the Executive”, “Attendance Rights”, “Speaking Rights”, “Questions by Councillors”, “Questions by Public”, “Minutes”, “Record of Attendance”, “Councillor Conduct”, “Disturbance by Public”, “Disclosure of Personal Interests” and “Effect of Disclosable Pecuniary Interests on Participation”, which have been included, as seemed sensible to do so.</p> <p>Quorum already included at Part 2, Section E – The Cabinet (Executive Functions) so removed from the rules to avoid duplication</p>	Part 3, Section B – Cabinet (Executive) Procedure Rules
Part 4, Section 6 – “Scrutiny Procedure Rules”	<p>Wording largely retained and moved into example constitution format.</p> <p>Example constitution added sections on “Work Plan”, “Agenda for the Scrutiny Committees”, “Rights of Cabinet Members” and “Crime and Disorder Matters”, which have been included to bring it up-to-date and cover more content.</p> <p>Have removed “The Scrutiny Committees will in any event have access to the Cabinet’s Executive Decision Notice and timetable for decisions” as these are publically available, so no need to state this.</p>	<p>Part 3, Section D – Scrutiny Procedure Rules</p> <p>Part 2, Section D6 – Scrutiny Committees</p>

	Removed the section on Who May Sit on the Scrutiny Committees and Co-Optees as these are covered in the Functions section as set out in Part 2, Section D6 – Scrutiny Committees Moved Co-Optees from Scrutiny Procedure Rules to functions as fits better under that section.	Part 2, Section D6 – Scrutiny Committees
Part 4, Section 7 – “Contract Procedure Rules”	Current version retained but minor amendments made to avoid confusion over who can authorise grants and in relation to being clearer on exemptions that Heads of Service can give from seeking quotes	Part 3, Section G - Contract Procedure Rules
Part 4, Section 8 – “Financial Procedure Rules (Financial Regulations)”	Current version retained but amendments made by s151 Officer – Virements - clear authorisation levels between officers/portfolio holders, cabinet/council dependant upon value and impact of virement Supplementary estimates - clear definition of a supplementary estimate and clear authorisation levels between officers/portfolio holders/cabinet/council dependant upon value and type of funding source (external or council). Internal audit section updated to reflect latest guidance The delegations to the s151 Officer within this have been included in the Scheme of Delegation in line with the example constitution (this will be cross-checked when the rules have been reviewed)	Part 3, Section F - Financial Procedure Rules Part 2, Section G - Officer Scheme of Delegation
Part 4, Section 9 – Officer Employment Procedure Rules	Content retained and moved into example constitution wording/format.	Part 3, Section H - Officer Employment Procedure Rules

Part 5, Section 1 – Member Code of Conduct	This has been updated recently as a separate document based on a Countywide agreed version so no changes have been made to this. When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 4, Section A - Councillors' Code of Conduct
Part 5, Section 2 – Protocol Member and Officer relations	Content retained and moved into example constitution wording/format. Rights of councillors to access documents and reporting of meetings by press and public have been moved to the Access to Information Procedure Rules as it seems more appropriate there (and is in line with how the example constitution laid it out).	Part 4, Section C – Protocol on Councillor/Officer Relations
Part 5, Section 3 – Employees' Code of Conduct	New version produced based on another example. Head of HR carried out consultation with staff and unions and took into account comments in finalising the new version	Part 4, Section B - Officers' Code of Conduct
Part 5, Section 4 – Planning Code of Conduct	Following review the view has been taken that our current planning code is preferable to the example constitution so no changes to this are being made. When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 4, Section G - Planning Code of Conduct
Part 5, Section 5 – Licensing Code of Conduct	The example constitution did not have a Licensing Code of Conduct and upon general review the view has been taken that no changes are required. When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 4, Section H - Licensing Code of Conduct

Part 5, Section 6 – Procedure and Resolution of Dispute/Conflict between Officers and Members	The example constitution did not have a procedure for resolving disputes/conflict between officers and members and upon general review the view has been taken that no changes are required. When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 4, Section D - Procedure and Resolution of Dispute/Conflict Between Officers and Councillors
Part 5, Section 7 – Roles and Responsibilities for Councillors	No changes	Part 4, Section E - Roles and responsibilities for Councillors
Part 5, Section 8 – Monitoring Officer Protocol	The example constitution did not have a monitoring officer protocol and upon general review the view has been taken that no changes are required. When pulling together the final document it will be formatted to look the same as the rest of the new constitution.	Part 4, Section F - Monitoring Officer Protocol
Part 6 – Members’ Allowance Scheme	As there is a set process for reviewing the allowance scheme it is not appropriate to review as part of this work but in any event our current wording is driven by legislative requirements so it is unlikely that amending the wording would be necessary	Part 5 - Councillors’ Allowance Scheme
Part 7 – Member Structure	This will be inserted from current constitution	To be inserted into Section A
Part 8 – Departmental Structure	This will be updated to reflect current structure in the final version	To be inserted into Section A
Part 9 – Glossary	Checked and updated and incorporated into doc	Part 6

Additions to New Constitution

Paragraph Reference	Effect of Addition
2.23, Part 2, Section D6 – Scrutiny Committees	<p>This introduces the following Scrutiny function:</p> <p>“will discharge the Council’s scrutiny functions in relation to the reduction of crime and disorder pursuant to the Crime and Disorder Act 1998:</p> <p>2.23.1 shall have power to scrutinise decisions or actions taken in connection with the discharge of its crime and disorder functions by any responsible authority and make recommendations or reports to the Council in relation to the discharge of those functions;</p> <p>2.23.2 may co-opt additional members to serve on the Committee;</p> <p>2.23.3 may require the attendance before it of any officer or employee of any responsible authority or co-operating body;</p> <p>2.23.4 may make a report or recommendation to a responsible authority or co- operating body; and</p> <p>2.23.5 shall exercise its functions in accordance with any appropriate regulations.”</p> <p>This is a legal requirement that is not currently expressly stated in our constitution</p>
2.1.4, Part 2, Section D2 – Appointments Committee	<p>This introduces a new Advisory Committee function:</p> <p>“To hear appeals against Chief Officers for dismissal or stage 2 of the grievance procedure whilst noting the role of the Investigatory Committee for the discipline of Statutory Officers.”</p> <p>Our constitution does not currently specify where these appeals would be heard.</p>

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY,
25 JANUARY 2023



Title of Report	ANNUAL GOVERNANCE STATEMENT 2020/21	
Presented by	Glenn Hammons Interim Head of Finance and Section 151 Officer	
Background Papers	None	Public Report: Yes
Purpose of Report	To present the Annual Governance Statement 2020/21 for consideration and approval.	
Recommendations	THAT THE AUDIT AND GOVERNANCE COMMITTEE APPROVE THE ANNUAL GOVERNANCE STATEMENT (APPENDIX A).	

1.0 BACKGROUND

- 1.1 An Annual Governance Statement is a required part of the annual review of corporate governance and good practice dictates that the document is published alongside the statement of accounts but is considered in its own right.
- 1.2 The Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE) issue joint guidance on corporate governance, which encourages local authorities on going beyond consideration of the internal control environment to look at wider arrangements for supporting sound corporate governance.
- 1.3 The CIPFA/SOLACE guidance outlines seven core principles for good governance, with a number of supporting principles are:
 - A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.
 - B. Ensuring openness and comprehensive stakeholder engagement.
 - C. Defining outcomes in terms of sustainable economic, social, and environmental benefits.
 - D. Determining the interventions necessary to optimise the achievement of the intended outcome.
 - E. Developing the entity's capacity, including the capability of its leadership and the individuals within it achievement of the intended outcomes.
 - F. Managing risks and performance through robust internal control and strong public financial management.

G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

- 1.4 The Council's duty in respect of the Annual Governance Statement is to undertake an annual review of its governance arrangements, which includes the effectiveness of its systems of internal control and produce a statement regarding its overall level of governance.

2.0 REVIEW OF EFFECTIVENESS

- 2.1 To undertake the annual review, an assessment of the Council's governance framework against the CIPFA/SOLACE guidance has been undertaken with the Corporate Leadership Team to arrive at an assessment score of either:

Good Good governance exists and there are no improvements required

Fair Satisfactory governance exists but improvements are required to meet governance

Poor Significant Issues with governance exists which need addressing.

3.0 THE ANNUAL GOVERNANCE STATEMENT

- 3.1 The 2020/21 Annual Governance Statement has been subject to audit and requires final approval from this Committee.
- 3.2 The Council's governance framework and how we have complied with the CIPFA/SOLACE framework is summarised in Section 3 of the statement and was in place throughout 2020/21.
- 3.3 Section 4 summarises the review of effectiveness of the Council's governance, including details of any significant issues of areas for improvement which have arisen from the review of effectiveness, and proposals for addressing them.
- 3.4 There was no significant issues identified for 2020/21. There are three improvements carried forward from 2019/20 and a further two improvements identified during 2020/21.
- 3.5 Progress against improvement areas will continue to be reported to the Audit and Governance Committee at future meetings. Additionally, the Annual Governance Statement of future years will report on the progress/completion of improvement areas of significant issues from the prior period.
- 3.6 Finally, section 5 of the statement details the overall opinion and conclusion. For 2020/21 this is that the Council is satisfied that appropriate governance arrangements are in place.
- 3.7 Mazars, the Council's External Auditors, have completed their review of the Annual Governance Statement and have not requested any changes.

- 3.8 Following the Audit and Committee approval and the conclusion of the external audit of the 2020/21 Statement of Accounts, the final Annual Governance Statement will be signed by the Chief Executive and the Leader and subsequently published on the Council's website.

Policies and other considerations, as appropriate	
Council Priorities:	<p>Effective organisational governance underpins the delivery of all council priorities:</p> <ul style="list-style-type: none"> - Supporting Coalville to be a more vibrant, family-friendly town - Support for businesses and helping people into local jobs - Developing a clean and green district - Local people live in high quality, affordable homes - Our communities are safe, healthy and connected
Policy Considerations:	None
Safeguarding:	None
Equalities/Diversity:	None
Customer Impact:	None
Economic and Social Impact:	None
Environment and Climate Change:	None
Consultation/Community Engagement:	None
Risks:	Failure to produce an accurate and comprehensive Annual Governance Statement could result in adverse comment from the External Auditor and failure to comply with current guidance.
Officer Contact	<p>Glenn Hammons Interim Head of Finance and Section 151 Officer glenn.hammons@nwleicestershire.gov.uk</p>

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Annual Governance Statement 2020/21

1. Background and Scope of Responsibility

North West Leicestershire District Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards and that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. The Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging the overall responsibility the Council is responsible for putting into place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.

The Council has approved and adopted a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework 'Delivering Good Governance in Local Government' 2016. A copy of the Code is available on our website at www.nwleics.gov.uk/ corporate policies or can be obtained from the Council Offices in Coalville upon request.

This Statement explains how the Council has complied with the code and meets the requirements of the Accounts and Audit Regulations 2015 in relation to the preparation and approval of an Annual Governance Statement. The Council's arrangements comply with each of the principles in the CIPFA/SOLACE Framework. The Code is currently under review and a revised version is due to be approved by the Audit and Governance Committee in September 2021.

2. The Purpose of the Governance Framework

The governance framework comprises the systems, processes, culture and values, by which the authority is controlled and directs its activities and through which it accounts to, engages with and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The Council's system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness.

The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place for the year ended 31 March 2021.

3. The Governance Framework Our vision, priorities and values

The Council's vision, priorities and values are set out in the Council Delivery Plan, which was adopted by Council on 21 May 2019 and reviewed by Corporate Scrutiny Panel at a meeting in June 2021.

The Council's vision is that 'North West Leicestershire will be a place where people and businesses feel they belong and are proud to call home'.

The Council's priorities reflect the overall vision and are detailed in a series of critical activities which are incorporated into annual departmental team business plans and the Medium Term Financial Strategy.

Our priorities are:

- Supporting Coalville to be a more vibrant, family friendly town.
- Our Communities are safe, healthy and connected.

Local People live in high quality, affordable homes.

- Support for businesses and helping people into local jobs.
- Developing a clean and green district.

We have developed our Best Employee Experience (BEE) programme to include five core values. These values will be integrated into our performance staff development and appraisal programmes.

The overarching value is “One Council, one team” supported by the following five values:

- Excellence – we will always work to be the best we can be
- Trust – We are honest fair and transparent and we value trust
- Respect – We respect each other and our customers in a diverse, professional and supportive environment
- Pride – We are proud of the role we play in making North West Leicestershire a happy healthy and vibrant place to live and work
- Growth – We will work together to grow and continually improve.

The key elements of our governance framework

We operate a cabinet style government with separation of executive and scrutiny functions. All Cabinet members have been allocated a specific portfolio and are responsible for driving forward the Council’s key strategic aims.

The Council has a Constitution which sets out how the Council operates, how decisions are made and the procedures which are followed to ensure that decisions are efficient, transparent, and accountable to local people.

We have various layers of management within the organisation and our management teams each play an important role in governance framework.

Our corporate leadership team (CLT), comprises of the Head of Paid Service, Directors and all Heads of Service. The group meet fortnightly and are programmed as a series of themed sessions to focus individually on either business as usual, strategic issues, projects and programmes and the health of the organisation.

We also have a series of Directorate Management Team (DMT) meetings (held with Directors and Heads of Service to consider strategic and operational matters relevant to specific directorates), Extended Leadership Team (ELT) meetings which include all Team

Managers across the Council and the Chief Executive who help to shape the strategic direction of the Council and feed in to CLT and Senior Management Team (SMT) meetings where Heads of Service meet with their respective Team Managers to consider specific service matters.

Role of the Council

The extent of the role of full Council in reviewing and monitoring effectiveness of internal control is set out in Article 4 of the Council’s constitution. Article 4 provides that the Council is responsible for setting the policy and budgetary framework. The ‘Call-in’ provisions found within the Constitution provide members of the Corporate and Community Scrutiny Committees with a mechanism to scrutinise decisions of Cabinet where they feel that they have been taken outside the principles of decision making set out in Part 2, Article 13 of the Constitution:

- a) Proportionality (i.e. the action must be proportionate to the desired outcome);
- b) due consultation and the taking of professional advice from officers;
- c) respect for human rights;
- d) a presumption in favour of openness;
- e) clarity of aims and desired outcomes;
- f) explaining what options were considered and giving the reasons for the decision.”

The Council’s Statutory Officers who consist of the Head of Paid Service (the Chief Executive), the Monitoring Officer (Head of Legal and

Commercial Services) and the Section 151 Officer (Head of Finance) fulfil the statutory duties associated with their roles, including ensuring that the Council's activities are in accordance with the law and legislative requirements, and that financial budgets are set appropriately and are monitored regularly. The Council's financial management arrangements conform to the governance requirements as set out in the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016).

The Constitution of the Council is subject to a continuous review process which sets out matters reserved to Council, Cabinet and Committees for decision, all other decisions are delegated to Officers. The Constitution was reviewed in 2018/19 and the new version, which was actively considered by Members, was approved by Council in February 2019.

The Council formally reviews its Financial Regulations on a regular basis. On-going updates are implemented as part of the regular reviews of the Constitution.

Role of Cabinet

The Cabinet has responsibility for all executive functions and for making recommendations to Council within the Budget and Policy Framework. Its remit is clearly set out in the Constitution and it plays a major role in reviewing key aspects of overall service delivery, including monitoring

its effectiveness and related governance issues.

Role of Audit and Governance Committee

The Audit and Governance Committee is responsible for ensuring that the Council's systems for internal control are sound by reviewing control mechanisms, and guidelines (both internal and external) and ensuring continued probity and good governance of the Council's operations. The Committee meets the external auditor to discuss findings in the Annual Audit Management Letter and reports. The Committee is also responsible for dealing with members conduct and standards issues.

Role of Scrutiny Groups

The Community and Corporate Scrutiny Committees carry out the Council's Scrutiny function. The Scrutiny committees can "call in" a decision which has been made by the Cabinet but not yet implemented, to enable them to consider whether the decision is appropriate.

The Constitution contains a section on the "Principles of Decision Making", and non-compliance with one or more of those principles is a ground for "call-in" by the Scrutiny Committees.

The Committees are also consulted on policy development ahead of reports being taken to Cabinet.

Risk Management

The overall objective of the Council's risk management strategy is the identification, analysis, management and financial control of those risks which can most impact on the Council's ability to pursue its approved delivery plan.

The Risk Management Policy was approved by Cabinet on 1 May 2018 and all reports to Council, Cabinet and Committees have a risk management section. A Corporate Risk Register has been developed and approved at both Corporate Leadership Team and by Elected Members. The Corporate Risk Register is accepted as a live document constantly under review for progress on managed risks and new risks that could impact on the Council. A risk review cycle has been developed that will allow closer links with the service planning process.

The Corporate Risk Group is represented by each of the Council's services. The CRG will identify new risks and review the corporate risk register. Review of corporate risks is part of the terms of reference of the Audit and Governance Committee. Risks are reported to Cabinet and Audit and Governance Committee on a quarterly basis.

Role of Internal Audit

The Council has a Public Sector Internal Audit Standards (PSIAS) compliant Internal Audit service that is responsible for monitoring the quality and effectiveness of systems of internal control. A risk model is

used to formulate an annual work plan, progress against which is reviewed each quarter by the Audit and Governance Committee. The reporting process for Internal Audit requires a report of each audit to be submitted to the relevant Director and Head of Service as well as the Section 151 Officer and Monitoring Officer. The reports include an independent opinion on the adequacy of the applicable internal controls, audit findings and recommendations for improvements with an agreed timescale for implementation. Progress against recommendations is followed up by Internal Audit and reported to Audit and Governance Committee on a quarterly basis throughout the year.

The Internal Audit Report 2020/21 is due to be considered by the Audit and Governance Committee at its meeting on 21 July 2021.

The Chief Audit Executive (Audit Manager) intends on issuing the opinion that the Council's framework of governance, risk management and control (control environment) is a Grade 2 overall. In line with our Internal Audit opinion grade definitions, this means that the control environment requires improvement in some areas.

The opinion is based on the following:

- All internal audit work undertaken during the year.

- Follow up audit work in respect of audit recommendations.
- The Audit Manager's knowledge of the Council's governance and risk management structure and processes.

All internal audit reports issued during 2020/21 were either a Grade 1 or a Grade 2.

A small number of high priority recommendations were made in respect of audit reviews undertaken, however as they relate to specific systems and/or service areas, the Audit Manager does not consider it necessary to include them in the Annual Governance Statement. The Section 151 Officer receives all Internal Audit reports issued therefore they are also able to make their own assessment when completing the Annual Governance Statement should they be of a different opinion.

The Role of External Audit

Mazars LLP has been appointed by the Public Sector Audit Appointments (PSAA) as the Council's external auditor for 2019/20. The auditor's statutory responsibilities and powers are set out in the Local Audit and Accountability Act 2014, the National Audit Office's Code of Audit Practice and the PSAA Statement of Responsibilities.

External audit provide an opinion on the Council's financial statements and conclude on the arrangements in place for securing economy, efficiency and effectiveness in the Council's use of resources (value for money conclusion).

The latest Annual Letter from the Council's appointed External Auditors for 2019/20 Mazars LLP issued unqualified opinions on the financial statements and Value for Money Arrangements of the Council.

These confirm that for 2019/20 the financial statements give a true and fair view of the financial position of the Authority and of its expenditure and income for the year then ended and that the Council had proper arrangements for securing economy, efficiency and effectiveness.

How we comply with the CIPFA/SOLACE framework

The following sections list the key elements of the systems and processes that comprise the council's governance framework with a commentary setting out how the arrangements comply with each of the principles that are laid out in the CIPFA/ SOLACE Framework - Delivering Good Governance in Local Government.

Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Arrangements have been put in place to ensure probity when dealing with different stakeholders and these are frequently updated. The Council

has a Members' Code of Conduct, Planning Code of Conduct, Licensing Code of Conduct and Citizens' Rights which are all set out in the Constitution. These are regularly reviewed to take account of the latest legislation and guidance, the last review of these codes being completed in July 2020 as part of the update of the Council's Constitution.

The Constitution contains a section on the "Principles of Decision Making", and non-compliance is a ground for "call-in" by the Policy Development Group.

During 2020/21 the Audit and Governance Committee had a pro-active work programme and each meeting of the Committee received a quarterly performance monitoring report including information on standards complaints and ethical indicators.

The Council has robust arrangements for monitoring compliance with the Member Code of Conduct (including gifts and hospitality). The Officer Register of Gifts and Hospitality received its six monthly checks by the Monitoring Officer whilst checking of the Member Register is also undertaken.

The Head of Paid Service, Section 151 Officer and Monitoring Officer meet regularly as a Statutory Officers Group. Their work includes monitoring compliance with standards of conduct across the Council, including both officers and members.

The council's Whistle Blowing Policy includes members, contractors, suppliers and service

providers and people working in partnership with the Council (e.g. volunteers). All reports received under the policy are investigated thoroughly.

Ensuring effective arrangements are in place for the discharge of the Monitoring Officer function

The "Monitoring Officer" function is carried out by the Head of Legal and Commercial Services who reports to the Chief Executive. The Legal Team Manager who has responsibility for legal matters and is also the "Deputy Monitoring Officer", reports to the Head of Legal and Commercial Services.

Ensuring effective arrangements are in place for the discharge of the Head of Paid Service function

The "Head of Paid Service" role is undertaken by the Council's Chief Executive. The Head of Human Resources and Organisational Development, responsible for all HR matters, reports to the Chief Executive.

Undertaking the core functions of an Audit Committee, as identified in CIPFA's Audit Committees – Practical Guidance for Local Authorities

The Council has an established Audit and Governance Committee whose remit and functions are based on the guidance set out in the CIPFA/SOLACE 'External Audit in Delivering Good Governance in Local Government: Framework', 2016, which

identifies best practice in relation to roles and responsibilities. The Committee meets quarterly and receives regular reports from both the Section 151 Officer and the Audit Manager. Arrangements are in place for the Audit Manager to report independently to the Audit Committee should he/she feel it appropriate to do so.

Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful

The Council ensures compliance with established policies, procedures, laws and regulations through various channels. Two of the council's statutory officers, the Section 151 Officer and the Monitoring Officer, have responsibility for ensuring that the Council does not act in an ultra vires manner, supported by the Head of Human Resources and Organisational Development, who facilitates the management and mitigation of risk, and the Audit Manager who provides assurance on matters of internal financial control.

There is an in-house, Lexcel accredited legal team. Lexcel is the Law Society's legal practice quality mark for excellence in legal practice management and excellence in client care. The Legal Team work closely with all teams across the Council providing risk based advice.

The Human Resources function uses our Best Employee Experience (BEE) programme to ensure that officers are equipped to discharge their duties in accordance with the requirements of the Council.

Whistle-blowing and for receiving and investigating complaints from the public

The Council has in place appropriate Whistleblowing policies and procedures which are regularly reviewed and updated where required. The Whistleblowing Policy is one of a suite of corporate governance policies which are being reviewed in 2020.

Staff are aware of the Whistle Blowing policy through the council's intranet and as an integral part of the induction process for new starters. There is also a well-established and responsive complaints procedure to deal with both informal and formal complaints from customers and residents.

In 2012 the Council adopted arrangements for dealing with complaints about the conduct of councillors which include an informal resolution stage facilitated by the Monitoring Officer.

The Audit and Governance Committee have oversight of the complaints process and receive quarterly reports from the Monitoring Officer.

Principle B. Ensuring openness and comprehensive stakeholder engagement

The Council has established corporate communications principles and communications strategy/plan which identifies key projects and campaigns. The communications strategy aligns with the Council Delivery Plan.

The Council uses various means to communicate key messages to members of the public, including press releases, website content, social media and where relevant direct communication. Internally, we communicate with staff via team meetings, the intranet, blogs and Chief Executive's road shows for staff.

The Council's communication principles are:

- We will communicate the right information with the right people at the right time in the right way to make sure our priorities, key decisions and actions are understood.
- We will be proactive and transparent – even when the story is a negative one
- Wherever possible, we will only talk publicly about things that are definite
- We will make sure the most affected people know the information first e.g. staff then members
- We will target particular audiences depending on what we're talking about
- We will use the right tools for the job e.g. digital vs face to face.

The council has a regular mechanism of meetings with representatives and officials

from the recognised Trade Unions in place.

The council's scrutiny arrangements are designed to ensure that key policies are scrutinised and involve all sections of the community and stakeholders as necessary.

Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits.

Incorporating good governance arrangements in respect of partnerships and other group working and reflecting these in the authority's overall governance arrangements

The Council participates in a range of joint working arrangements with other bodies. For those that deliver services to our customers there are service level agreements or contractual arrangements in place to ensure delivery and protect reputational risk. Should there be corporate risks based on partnership arrangements these will be detailed within the corporate risk register. The Council is particularly mindful of the financial and reputational risks that can arise through entering into joint working and collaborative arrangements, including the potential for a detrimental reputation impact on the Council should the partnership fail.

Enhancing the accountability for service delivery and effectiveness of other public service providers

The Council is a partner in the Leicestershire, Leicester and Rutland Resilience Partnership (LRRP). All Councils at Unitary, District and Borough levels are

members of the Partnership to bring together emergency management resources to prepare for and respond to civil emergencies within the Leicester, Leicestershire and Rutland area. The Head of Human Resources and Organisational Development is the council's representative on the LRIP Management Board.

The Council was actively engaged in the resilience partnership structure throughout 2020/21 responding to the COVID19 Pandemic.

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcome

The Council Delivery Plan and our Medium Term Financial Strategy detail how we have planned all our resources, both financial and staffing to deliver against our priorities.

The council's performance management arrangements include the business planning process which reflects all of the council's aims and objectives and aims to better align activities, improvements and resources. A set of clear and consistent Team Business Plans were developed for 2020/21.

All plans were and continue to be monitored throughout the year by management and portfolio holder cabinet members on a monthly basis and reported to scrutiny and cabinet publicly on a

quarterly basis to facilitate robust member challenge.

Profiled financial monitoring reports are produced, which also project the outturn, after each quarter end. These are reviewed by all budget holders and portfolio holder cabinet members on a quarterly basis and are reported to cabinet on a quarterly basis.

Principle E – Developing the entity's capacity including the capability of its leadership and the individuals within it

The council's "BEE Valued" programme includes rigorous recruitment and selection, performance management and staff development processes.

The Council fully supports the requirements to ensure that both members and senior officers have the necessary skills sets to fulfil their strategic role in the organisation. A comprehensive induction programme exists for both members and officers which has been developed to deal with all relevant core issues. The Council is committed to creating an environment where elected members' skills can develop and thrive with regular courses being delivered.

An annual development review is undertaken for all officers, which includes the identification of training and development needs, which are then considered and built into a service level and corporate training programme where

appropriate. We recognise the critical role that a motivated, skilled and capable workforce plays in every aspect of service delivery. Our People Plan that sets out the Council's ambitions for a sustainable, effective and efficient workforce was approved by Cabinet in December 2018. The Plan includes timetabled actions against five thematic areas including: being and employer of choice; developing and supporting staff; leadership; happy and healthy workforce; and communication and listening. Progress to implement the plan will continue through the forthcoming year.

In April 2019 the Council achieved Investors in People accreditation and feedback from the assessment has been used to develop the organisation further. Unfortunately, our annual IIP review due in March 2020 was delayed due to the COVID-19 response and focus. This will be reorganised as part of the recovery work at an appropriate time and further work will then begin to identify continuous improvement.

The Council adopted new corporate values in 2019 and these have been embedded into our recruitment and appraisal processes.

Principle F – Managing risks and performance through robust internal control and strong public management

The Community and Corporate Scrutiny Committees carry out the council's scrutiny function. The Council maintains an Executive Decision Notice of key decisions to maximise transparency and consultation. The writing of formal reports follows a prescribed procedure

which requires the completion of a number of procedural requirements for content, including Statutory Officer checks for legality, budgetary compliance, rationale and risk. Reasons for all decisions must be given and these are recorded in the minutes.

The Member and Officer Codes of Conduct and associated procedures act as a safeguard against conflicts of interest or bias.

The Audit and Governance Committee undertake the functions of an audit committee as identified by CIPFA guidance. It receives regular reports and presentations from the External Auditor and is independent of cabinet.

The Council has a customer feedback complaints system and this information is used to improve service delivery and customer satisfaction.

The Council's has a Risk Management Policy in place. The strategic risk register is reviewed and updated and scrutinised by the Audit and Governance Committee on a quarterly basis.

The risks identified have been linked to Council priorities/strategic aims and lead officers have been identified to manage each risk. Risk Management also forms a key element of the Council's Delivery Plan

and the Service Planning process and risk management is an integral part of the council's performance management arrangements.

As part of the council's Corporate Project Management Framework, all major projects have their own risk log. All reports going to members include the risk implications associated with the decision members are being asked to make.

The Council is committed to the effective use of IT and has an ICT strategy and IT Security Policy which were reviewed during 2020/21.

The Council's 2020/21 Treasury Management Strategy Statement was approved by Council in February 2020, and risks are fully evaluated as part of this strategy.

During 2019/20 an internal control failure to claim renewable heat incentive (RHI) grant funding was identified. The loss in income to the council has been estimated to be £667k over seven years.

An internal investigation was conducted in 2020/21 and a series of corrective measures have been put in place to prevent a similar issue from occurring and further work will build on the lessons learnt. The primary issue at fault was a failure of the council's first line controls at that time. In total, there were five broad improvement themes:

- Developing a remedial business plan for the Asset Management team to address structural gaps in officer cover, including the review of continuity plans;
- Undertaking of a review of the performance and KPI management of processes that achieve income streams;
- Ensuring that automation of financial monitoring is included in the specification for the new finance system and ensuring similar financial processes are an area of focus within existing financial monitoring;
- Placing responsibility for claiming grants of a similar nature with suppliers in contracts where possible;
- Undertake a future audit of grant income.

Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability.

Ensuring the Authority's Financial Management Arrangements Conform With the Governance Requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016)

Formal arrangements are in place for the Section 151 Officer with a permanent employee appointed to this role. Adherence to the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016) continues.

Ensuring the authority's assurance arrangements addresses the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2019)

The council's internal reporting arrangements are designed to ensure the independence of the internal audit function. Appropriate resources are made available to provide an independent, objective assurance and consulting activity designed to add value and improve the council's operations. It brings a systemic disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes. The Audit Manager reports directly to the council's Audit and Governance

Committee on all matters appertaining to audit outcomes.

The Audit Manager and the Section 151 Officer meet on a monthly basis to discuss and review governance and risk matters.

4. Effectiveness

Review of Effectiveness

The Council has responsibility for conducting at least annually, a review of its governance framework including the system of internal control.

The review is informed by the Internal Audit Annual Report, the work of the Audit and Governance Committee, the comments of external auditors and other review agencies and inspectorates, and the work of the Corporate Leadership Team who have responsibility for the development and maintenance of the internal control environment.

The review considers evidence identified to support where the Council meets the CIPFA/SOLACE guidance and sets this out in the Assurance Review and Evidence document. Governance areas are given an assessment scoring as follows:

- Good – Good governance exists and there are no improvements required
- Fair – Satisfactory governance exists but improvements are required to meet good governance
- Poor – Significant issues with governance exist which needs addressing.

Areas identified as fair or poor are reported within the annual governance statement and remedial actions are also outlined. The Audit

and Governance Committee review on a quarterly basis the progress of remedial actions.

Prior Year – 2019/20

The assurance review for 2019/20 identified no significant issues. Nine improvements were identified which are set out in the table below.

Three of the nine improvements remain outstanding and will now be captured and monitored as part of the improvements for 2020/21.

Full details of the review for the 2019/20 financial year can be found in the Assurance and Evidence document for 2019/20 which was published alongside the Annual Governance Statement.

Table 1 – Areas for improvement identified in 2019/20 and carried forward from previous years with current status

CIPFA/SOLACE Principle	Improvement	Owner	Target Completion	Status Update January 2021	Status Update June 2021
D: Determining the interventions necessary to optimise the achievement of the intended outcomes	Review service and financial planning timetable	Head of Finance	June 2021 <i>Revised Date September 2022</i>	Review will be undertaken at the end of the service and financial planning timetable for 2021/22. Improvement is therefore on track for implementation by target date.	Underway The service planning timetable is currently being reviewed ahead of the annual budget process. It will be implemented in September 2021.
E: Developing the entity's capacity, including the capability of its leadership and the individuals within it	Review the effectiveness of the current arrangements for managing assets	Head of Customer Services, Corporate Property and Assets	September 2021 <i>Revised Date September 2022</i>	The Property services team has undergone an external review to understand any areas of improvement and opportunity within the service (Q2 2020/21). Following the review a live project is now in place, with external support, to deliver an improvement programme over Q3-Q4 2020/21. This work will lead to a more robust approach to asset management.	Underway The critical elements of the improvement work have been actioned. Due to the loss of the team manager (and impending recruitment) plus the proposed accommodation changes, we have paused further significant development work until the changes have been completed. This will give the opportunity to consider the services and resources we need to run the service in its new guise following these major changes. This will be commenced as part of the accommodation work, which at present is programmed to complete in Summer 2022.

CIPFA/SOLACE Principle	Improvement	Owner	Target Completion	Status Update January 2021	Status Update June 2021
403 F: Managing risks and performance through robust internal control and strong public financial management	Develop organisational requirements for benchmarking of services <i>(carried forward from 2018/19)</i>	Head of HR and Organisational Development	March 2021 <i>Revised Date September 2021</i>	Improvement on track for implementation by target date.	Underway The work of the performance team has been affected by the COVID-19 pandemic, and the team were seconded to other roles during much of 2020, which has caused a delay in progressing this action. During 2021 the performance monitoring has restarted and reports have been presented to the Corporate scrutiny committee and Cabinet. The performance indicators used in those reports have been reviewed by the Corporate Leadership Team and as part of the consideration included the potential for comparisons with other organisations. A revised Council Delivery Plan has been considered by the Corporate Scrutiny Committee, and this will progress to Cabinet in July and Council in September 2021.
	Develop and implement anti-fraud awareness raising programme <i>(carried forward from 2017/18)</i>	Head of Finance	March 2021	Improvement on track for implementation by target date. Anti-fraud and corruption and anti-money laundering policies refreshed Q2 2020/21.	Complete Anti-fraud online training rolled out to all staff. At time of writing, 90% of all staff had undertaken the training and passed the assessment which was part of the training.
	Procure new finance system <i>(carried forward from 2017/18)</i>	Head of Finance	March 2021	Complete Contract for new finance system awarded.	Complete Project has commenced and new finance system will 'go live' in April 2022.

No significant governance issues have been identified in the annual assurance review for 2020/21. There are three improvements carried forward from 2019/20 and a further two improvements identified during 2020/21. There are therefore a total of five improvements for monitoring throughout the 2021/22 year.

The table below is an extract summary from the Assurance Review and includes details of the improvement areas identified. Based on learning around the timescales associated with implementing improvements, the table has been modified to show the likely timescale for implementation.

Table 2 – Areas for improvement identified in 2020/21 and areas for improvement carried over from previous years

CIPFA/SOLACE Principle	Improvement	Owner	Target Completion
D: Determining the interventions necessary to optimise the achievement of the intended outcomes Supporting Principle 2: Planning Interventions Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	Commence a more 'outcomes focussed' approach to the annual budget process which: <ul style="list-style-type: none"> • In the revenue budget show clearer linkages between budget decisions and the corporate plan • Challenges the whole budget in terms of activity, past spending and income performance • In the capital programme ensures that clear and costed business cases support all schemes • Develops a Reserves Strategy 	Head of Finance	February 2022
D: Determining the interventions necessary to optimise the achievement of the intended outcomes Supporting Principle 3: Optimising achievement of intended outcomes Ensuring the achievement of 'social value' through service planning and commissioning.	As part of the Medium-Term Financial Strategy, develop a revised Procurement Strategy which incorporates social value considerations into all future procurements	Head of Finance	February 2022

CIPFA/SOLACE Principle	Improvement	Owner	Target Completion
D: Determining the interventions necessary to optimise the achievement of the intended outcomes	Review Service and Financial Planning Timetable	Head of Finance	September 2021
E: Developing the entity's capacity, including the capability of its leadership and the individuals within it	Review the effectiveness of the current arrangements for managing assets (carried forward from 2019/20)	Strategic Director, Housing and Customer Services	September 2022
	Develop organisational requirements for benchmarking of services (carried forward from 2018/19)	Head of HR and Organisational Development	September 2021

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5. Overall opinion and conclusion

Conclusion

The Council is satisfied that appropriate governance arrangements are in place however it remains committed to maintaining and where possible improving these arrangements, in particular by addressing the issues identified in undertaking the annual review. The Council will continue to seek to enhance and strengthen governance arrangements within these areas for improvement and monitor progress made as part of our next annual review.

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 25
JANUARY 2023

Title of Report	CORPORATE RISK UPDATE	
Presented by	Andy Barton Strategic Director	
Background Papers	None	Public Report: Yes
Purpose of Report	To provide Committee members with an update in respect of the Council's corporate risk register.	
Recommendations	THAT THE AUDIT AND GOVERNANCE COMMITTEE NOTES AND COMMENTS ON THE LATEST CORPORATE RISK REGISTER FOR CONSIDERATION BY THE RISK SCRUTINY GROUP.	

1.0 BACKGROUND

- 1.1 As part of the agreed Risk Management approach this report presents the latest version of the Corporate Risk Register as reviewed at the last meetings of the Risk Scrutiny Group and CLT in December 2022. In line with the policy, members of this Committee and Cabinet are to receive periodic updates on the risks monitored through the Corporate Risk Register.
- 1.2 The updated Register can be found in Appendix 1 and a summary of changes are set out below.
- 1.3 Out of the 15 active risks, 0 are Red, 6 Amber and 9 are Green. Updated mitigations have been made to risks 3 & 6 which has had no impact of the residual risk scores. As part of the regular updating of the register the inherent risk score of items 1,2,3,5 and 8 have been reduced. This is so that they reflect the current scoring matrix. No changes to the residual risk scores have been made.
- 1.4 A new risk (15) has been added to the register. As part of the review above it was considered pertinent to add a risk regarding overall climate change and particularly regarding Zero Carbon. This is due to the impact that it may have on long term financial implications for the Council and the delivery of key services. This risk will be developed at each regular review cycle over the coming months.
- 1.5 Members of the Risk Scrutiny Group are also aware of the impacts that inflation and cost of living are having on both the council's resources, and also those of its residents which is possibly leading to increased demand for some services. The Scrutiny Group are keeping a 'watching brief' on this issue and may include it as a key risk on future versions of the register. The issue is addressed in the draft budget currently travelling through the Councils decision making processes and is reflected in the financial risks on the current risk register.

- 1.6 The Strategic Director acts as lead for corporate risk and is satisfied that the main risks posed to the organisation have been captured within the Risk Register and that control measures to mitigate these are appropriate.
- 1.7 The Audit & Governance Committee are asked to review and note this risk update and provide and feedback they wish to be considered by the Risk Scrutiny Group at its next meeting.

Policies and other considerations, as appropriate	
Council Priorities:	Effective risk management underpins the ability of the Council to deliver against all its priorities.
Policy Considerations:	None
Safeguarding:	None Directly
Equalities/Diversity:	None Directly
Customer Impact:	None
Economic and Social Impact:	None
Environment and Climate Change:	None
Consultation/Community Engagement:	None
Risks:	The Council management its risk with existing budgets, Effective risk management protects the Council from insurance and/or compensation claims, fraud and a range of other financial and nonfinancial risk.
Officer Contact	Andy Barton Strategic Director Andy.barton@nwleicestershire.gov.uk

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
409	1 SOCIAL/ POLITICAL/ LEGAL Death / serious harm to a vulnerable person receiving a council service and safeguarding compliance	A serious case review arising from death/serious harm to a vulnerable person. Reputational damage to council. Loss of confidence in ability of council to deliver services. Ensuring compliace with Safeguarding legislation and practise.	Lack of response to a safeguarding report. Service failure. Modern slavery. poor safeguarding assurnace	3	3	9	Environmental Health and Community Safety Team Manager	Head of Community Services	The organisation has the following structures in place; A recent audit with action plan of reasonable assurance An identified Corporate Lead An identified Team responsible for Safeguarding (Community Safety) with responsibility embedded into Team Leader role and an officer (Child & Adults at risk Officer) An agreed Safeguarding Policy refreshed as required An identified group of Designated Safeguarding Officers (DSO's) in most service areas A programme of regular DSO meetings which consider training, best practice and case issues An annual training programme to ensure new DSO's are well informed and trained A quarterly senior management review by the Head of Community Services of all cases to check progress/close cases Annnual report to CLT and Corporate Scrutiny as required by exception. Commitment to raise awareness of the scale and extent of modern slavery in the UK and ensure our contracts and supplies don't contribute to modern day slavery and exploitation.	3	1	3	Stable
	2 FINANCIAL/ COMMERCIAL/ REPUTATIONAL Mismanagement of council finances	Central Government intervention/special measures. Adverse publicity. Possible litigation. Withdrawal of services. Inability to deliver council objectives	Mis-interpreting of or not responding appropriately to a change in fiscal policy. Poor budget planning / management. Internal financial systems and regulations not being properly applied.	2	4	8	Head of Finance/s151	Strategic Director	Statutory compliance with CIFPA codes, accounting codes, and audit processes (external and internal) Regular management reviews monitor actual spend against budgets and forecast to the end of the year. Regular reporting and challenging at CLT, and reported to Cabinet quarterly Sound policies and procedures are in place. Financial planning processes have been documented and are reviewed regularly. Internal and External audit of systems and accounts. Procurement of new finance system with increased controls and monitoring underway	4	1	4	Stable
3	REPUTAITONAL/ COMMERCIAL Insufficient resources due to unplanned / unforeseen absences / vacancies / changes to financial picture	Council unable to perform its statutory duties and/or deliver objectives. Council's Partners unable to perform duties. Inflationary pressures. Use of external resources at significantly higher cost. Short / Medium Term Exposure.	Failure to horizon scan and interpret future needs in crucial roles. Changes to income or financial climate	3	3	9	Head of HR and OD & Head of Finance S151	Chief Executive	Membership of CIPFA and engagement of Arling Close gives access to specialist advice, analysis and expertise. Current and forecasted balance MTFs, although uncertainty regarding future gov funding streams and impacts of changes such as DevCo/Freeport etc	3	2	6	Stable

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
410			Inability to recruit to vacancies / retain staff globally or in specialist areas .						Advance planning to mitigate this risk; recent COVID experience demonstrates NWL able to react and adjust				
			unexpected or unplanned event (eg pandemic)						Recruitment and retention report considered by CLT and non pay benefits improved during the last year to attract and develop the right skills, and promoting existing staff talent through secondments and tailored development programmes. IIP. silver award achieved in 2022. New focus on Apprenticeships development to allow the Council to 'grow our own' and to tackle ageing workforce distribution.				
4	LEGAL / FINANCIAL Contracts are not properly procured and managed	Council liable to incur additional costs, contract overrun, litigation and potential health & safety issues as well as service disruptions.	Failure to monitor contractors appropriately.	3	3	9	Finance Team Manager. All Team Managers.	All Heads of Service	Oversight Board structure in place to oversee major project work & compliance group now in place to oversee these elements of contracted work.	2	3	6	Stable
			Legal and procurement teams not consulted when contractors are engaged. Loss of key staff or supplier.						Corporate procurement support and legal team to support where necessary on contract management.				
			Procurement procedures are not followed.						Recasting procurement functions activity - focus of training and education for staff in 2023				
			The council contributes to modern slavery via it's contracts and supplies.						Analysis of spend undertaken and procurement toolkit to be produced to cover majority of lower value procurements with high value and complex procurements to be supported by specialised function.				
5	LEGAL / TECHNOLOGICAL Loss or unlawful use of personal data constituting breach of data protection legislation	Monetary penalties from ICO, adverse publicity, private litigation and personal criminal liability of officers.	Systems not in place to protect sensitive data.	4	3	12	Legal Services Team Manager	Head of Legal & Support Services	Policies and procedures are in place and rolled out. Regularly reviewed and compliance is monitored.	2	2	4	Stable
			Staff are not properly trained in managing information, and do not follow internal procedures.						Corporate Governance training is undertaken annually and includes information governance as appropriate to reflect changes in legislation. E-learning module updated and rolled out as mandatory annual training for all staff.				
			Changes in working practises causing unintended risk/exposure						The Council has a dedicated SIRO and DPO.				
									Corporate Governance Groups are in place to scrutinise impacts/issues arising.				

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
									Internal audit was carried out in December 2019. The outcome of the audit was a Grade 1. One medium risk recommendation Information Governance Team to cooperate with the supervisory authority and monitor compliance with Data Protection laws.				
6	LEGAL / REPUTATIONAL / COMMERCIAL Failure to respond to an emergency in an appropriate manner	General public at risk of harm or unable to access relevant services (e.g. emergency accommodation or rest centre). Adverse publicity. “Business as usual” not possible without appropriate business continuity plan in place. Breakdown in relationship with other responders.	Lack of planning, training and exercising of Emergency plans Inadequate Corporate Business Continuity Management. Lack of procedural understanding	4	3	12	Head of Human Resources and Organisation Development	Chief Executive	Business continuity plans have been documented, policies and procedures are in place. LRF and Council resilience discussions to consider plans in light of possible impacts of power outages. Exercises local and national planned in early 2023 The LRF partnership arrangement with all Leicestershire and Rutland authorities provide resilience during civil emergency situations. Business Continuity exercises show the readiness of the Council to deal with emergencies. System of ICO / FLM duty rotas is in place & continued reassessment for ongoing incidents. COVID experience shows capabality and ability to perform.	4	1	4	Stable
7	LEGAL/ TECHNOLOGICAL/ COMMERCIAL Infiltration of ICT systems	“Business as usual” would not be possible. Cost of repelling cyber threat and enhancing security features.	Systems not in place or kept current to deflect any foreseeable cyber attack. Limited staff awareness of possible threats. Lapse in security awareness and basic processes from a technical and human perspective.	4	4	16	ICT Manager	Directors. Chief Executive.	Fully resilient environment in place with no single points of failure for core systems, other critical systems use cold standby equipment. Yearly IT security health check and PEN (penetration) testing carried out, by a CREST security accredited supplier, with remediation action plan in place to mitigate any risks found. Phishing campaigns ran twice a year to test staff security awareness and feed back results to CLT, with improvement plans in place for those who have not passed the test. Quarterly Cyber Security awareness training held for staff and new starters, to protect staff at work and in the office. New business services are run in remote fully resilient data centres and existing systems are being progressively migrated to these cloud computing centres. Diversity of environments used to avoid single poitn of failure risk Improved business recovery arrangements have been implemented to minimise recovery time. Accreditation to Cyber Essentials Plus and the Public Services Network. Latest Audit / assessments all confirm secure environment An annual external audit of IT assessed the organisation’s IT arrangements in a range of areas against best practice. (The outcome of the audit in 2020 was, GRADE 1, with one recommendation, which has already been addressed and provides assurance that the organisation’s IT arrangements are solid, sound and secure).	3	2	6	Stable

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
8	COMMERCIAL / POLITICAL / FINANCIAL Projects are poorly managed	Failure of proposed projects could result in failure to achieve overall objectives. Inefficient use / waste of resources.	Failure to implement project management techniques. Poor corporate oversight of projects. Inadequate controls on expenditure and poor budget monitoring.	3	3	12	Strategic Directors	Chief Executive	Greater use of professional project managers for key projects. Work ongoing to address project methodologies deployed across the council. Greater use of external / out of subject board members. Board structure covering all major projects in place	3	2	6	Stable
									Properly convened project teams with PID and project plan in place, including project risk registers. Progress on corporate projects scrutinised by CLT. Implementation of contract management framework for outsourced services. Scrutiny of quarterly monitoring reports on capital expenditure.				
									Utilising Internal Audit to conduct audits of individual projects or Project management more widely. Use of external resources to be used to support the major projects. Scrutiny of risk registers or project management framework of individual projects by Risk Scrutiny Group.				
9	LEGAL / POLITICAL / REPUTATIONAL Council makes ultra vires (beyond the council's powers and functions) decisions or those which it does not have the correct permissions to undertake	Potential litigation against the Council, resulting in increased costs / compensation. Reputational damage.	Staff / Members proceeding without established governance arrangements. Failure to consult with Legal / Monitoring Officer. Lack of understanding of the implications of dealing with a particular matter or conditions of service delivery.	4	3	12	Legal Services Team Manager & Service Managers	Head of Legal & Support Services	2022 audit has identified areas of weakness in controls and upon implementation of these the risk will be reduced and therefore these will continue to be monitored	4	1	4	Stable
412													
10	FINANCIAL / LEGAL / REPUTATIONAL Council is subject to serious fraud, corruption or theft	Financial, reputational and political damage to Council.	Lack of checks and balances within financial regulations.	4	3	12	Head of Finance. All Team Managers & Heads of Service.	Directors	Policies & procedures in place, governance processes are documented and in operation, ongoing assessments and reviews are performed. Completion of the Annual Governance statement.	3	2	6	Stable
			Poor budget / contract management. Poor monitoring of / adherence to financial systems Changes in working practises casuing unintended risk/exposure						A policy framework that includes Anti-Fraud and Corruption Policy, Confidential Reporting (Whistleblowing) Policy and Anti-Money Laundering Policy. Policy Refreshed late 2020 - refresh of training underway. The Internal Audit annual planning process takes into account high risk areas, which considers fraud risks. Fraud risks are considered as part of specific audits with testing designed to detect fraud where possible. The Council is also subject to External Audit. New Covid related Grants all subject to external audit and compliance checks. Internal control and governance arrangements such as segregation of duties, schemes of delegation, bank reconciliations of fund movements, and verification processes. Participation and strengthening of involvement in National Fraud Initiative (mandatory) Information on how to report fraud is on the website including relevant links.				

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
11	FINANCIAL / COMMERCIAL / ECONOMIC The Council is subject to a reduction in income long term	Services are unable to be delivered. Potential staff redundancies. Funding of external groups is withdrawn. Potential breach of statutory duties/ability to deliver objectives compromised	Gov plans reduction in business rates share to NWL. Changes to the local authority financial settlement. Economic downturn / recession. Commercial opportunities not progressed. Changing rent policies.	4	4	16	Head of Finance. All Heads of Service.	Directors. Chief Executive.	Medium Term Financial Strategy in place, and will be reviewed at key events. Change in budgeting focus from incremental to outcomes focussed expected to identify quick wins and plan for longer term self-sufficiency. Head of Finance monitoring of Local Government funding reviews. Funding advisor engaged. Economic Development Team promotes business offer. Participation in Business Rates Pooling. Accessing external funding where appropriate. Income collection procedures in Revs & Bens Service and Housing sound. Leicestershire Revenues and Benefits Partnership have two trained officers working solely on Council Tax Reduction Scheme Fraud and act as Single Point of Contact for DWP referrals.	2	3	6	Stable
12	POLITICAL / ORGANISATIONAL The Council is affected by Local Government Reorganisation	a) Change to Local Government structure in Leicestershire/East Midlands, including potential merger of district councils/county council or development of a Combined Authority for the East Midlands, or elected Major either of which could lead to: - Change in location for service delivery/staff - Reduction of control over local matters - Change in financial situation - Staff redundancies - Alternative political structure and governance arrangements - Changes in services to be provided and organisation culture - Deterioration in staff morale and negative effect on staff recruitment and retention - Ineffective engagement with staff, Members and residents in considering, and responding to, proposals. - Diversion of senior staff resources to respond to proposals.	Political direction to consolidate local government tiers to potentially seek greater efficiency and co-ordination	4	3	12	Chief Executive and Head of Legal and Support Services.	Chief Executive	Active engagement with political leaders and Chief Executives across the County and East Midlands so NWL's needs are taken into account in any proposals. Open and transparent communication of NWL position to all stakeholders. Senior management and politicians stay close to project and monitor progress. Internal and external communication plans in place, including for key decision points. Gov stance changed to no longer pursue wholesale LGR - County Deals not linked to LGR. Leicestershire Cat 2 County Deal	1	3	3	Stable
13	POLITICAL / ORGANISATIONAL The Council is affected by the UK's departure from the EU	The UK's departure from the EU, leads to impacts on supply of goods, staff, services generally. Specifically increase in checks on goods by Environmental Officers at East Midlands Airport meaning increase in resources / costs.	UK departure from EU/Brexit	4	4	16	Chief Executive and Head of Economic Regeneration & Team Manager for Environmental Health	Strategic Director & Chief Executive	Engage with National Local Authority steering groups for border control at strategic & operational levels. Implement communication strategy for local businesses so technical notices are shared, with appropriate signposting. Work with LLEP and Chamber of Commerce to provide business advice and support to address changes to legislation & certification. Watch brief localised assessment of potential impact around East Midlands Airport. Participate in Multi-agency Leicestershire Resilience Forum framework, with risk assessment and mitigation plan to be prepared. Applied for and gained additional support funding for Port activity	2	2	4	Stable

Corporate Risk Register													
Ref No.	Risk Description	Consequence	Cause	Inherent Risk			Responsibility of	Responsible to	Control Measures	Residual Risk			Movement of Risk
				Impact	Likelihood	Rating				Impact	Likelihood	Rating	
14	ORGANISATIONAL/FINANCIAL Council is subject to large scale and medium term reduction in staffing/supplies/increase in restrictions etc leading to risks and ongoing medium/long term impacts on either the financial or reputational standing of the Council	Financial, reputational and political damage to Council.	Pandemic, national/global infrastructure interruption, supply chain mass failure over medium / long time period	4	4	16	Chief Executive, Directors, Heads of Service	Chief Executive	Balanced budget achieved with additional government grant support. Continued active engagement and lobbying to ensure that all options for support are considered and actioned where possible. COVID 19 experience has led to myriad of changes to make service provision more robust . Further mitigations for other similar events in place - eg promotion of vaccinations, system readiness and deployment remotely, updating Business Continuity plans etc Engagement with LRF processes and training	2	2	4	Stable
15	SOCIAL/POLITICAL/REPUTATIONAL - Climate Change / Zero Carbon delivery	The failure of the Council to Council to achieve carbon neutrality for its operations by 2030 and carbon neutrality for the District by 2050. This may have long term impacts on both the financial picture of the council and the ability of key service provision in the long term.	Inability to deliver programme due to resource / financial / operational / procedural process. Inability to gain action by partners	3	3	9	Chief Executive, Directors, Heads of Service	Chief Executive	Achievement of the carbon reduction ambitions are mainly vested in our Climate and Environment Strategy and Zero Carbon Programme. The Action Plan contains planned and programmed actions and will be reviewed annually. It will quantify the estimated net financial costs and net carbon savings associated with the contents of the Plan. Attaining the targets in the Plan is one of the Corporate Plan Key Performance Indicators. Whilst the action plan has been agreed it does contain several actions where funding hasnot been committed. The Strategy and Plan have identified the main carbon	2	2	4	NEW

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE
WEDNESDAY, 25 JANUARY 2023

Title of Report	INTERNAL AUDIT PROGRESS REPORT	
Presented by	Kerry Beavis Audit Manager	
Background Papers	Public Sector Internal Audit Standards Internal Audit Plan 2022/23	Public Report: Yes
Purpose of Report	To inform the Committee of progress against the Internal Audit plan for 2022/23 and to highlight any incidences of significant control failings or weaknesses that have been identified.	
Recommendations	THE AUDIT AND GOVERNANCE COMMITTEE NOTE THE REPORT.	

1.0 BACKGROUND

- 1.1. The Public Sector Internal Audit Standards require the Authority's Audit Committee to approve the audit plan and monitor progress against it. The Standards state that the Committee should receive periodic reports on the work of internal audit.
- 1.2 The Audit and Governance Committee approved the 2022/23 Audit Plan on 20 April 2022. The Committee receives quarterly progress reports.

2.0 PROGRESS REPORT

- 2.1 The Internal Audit Progress Report for the period 1 October 2022 to 31 December 2022 (Q3) is attached at Appendix 1.

Policies and other considerations, as appropriate	
Council Priorities:	An effective internal audit service supports all council priorities.
Risks:	There are no specific risks associated with this report however if the Audit and Governance Committee did not receive periodic reports from Internal Audit, there would be a risk of not conforming with the Public Sector Internal Audit Standards.
Officer Contact	Kerry Beavis Audit Manager kerry.beavis@nwleicestershire.gov.uk



INTERNAL AUDIT SHARED SERVICE

North West Leicestershire District Council

Internal Audit Progress Report 2022/23 Q3

1. Introduction

1.1. Internal Audit is provided through a shared service arrangement led by North West Leicestershire District Council and delivered to Blaby District Council and Charnwood Borough Council. The assurances received through the Internal Audit programme are a key element of the assurance framework required to inform the Annual Governance Statement. The purpose of this report is to highlight progress against the 2022/23 Internal Audit Plan up to 15 December 2022.

2. Internal Audit Plan Update

2.1. The 2022/23 audit plan continues to progress well with one audit report is at completed and a further six audits in progress. The 2022/23 audit plan is included at Appendix A for information.

2.2. The audits due to take place in Q4 are:

- Anti-social behaviour
- Procurement – this is an addition to the plan, as requested by the S151 Officer
- Payroll (key controls)

3. Internal Audit Recommendations

3.1. Internal Audit monitor and follow up all critical, high and medium priority recommendations. There are currently two overdue audit recommendations, as detailed in Appendix B.

4. Internal Audit Performance Indicators

4.1. Progress against the agreed Internal Audit performance targets is documented in Appendix C. Work on the 2022/23 audit plan is progressing in line with work scheduling.

Appendix A

2022/23 AUDIT PLAN AS AT 31 DECEMBER 2022

Audit Area	Type	Planned Days	Actual Days	Status	Assurance Level	Recommendations				Comments
						C	H	M	L	
Housing Repairs	Audit	10	13	Postponed						Due to major staffing issues the audit will be postponed until the next financial year.
Housing Planned Maintenance	Audit	10	3	Postponed						A/A
Choice Based Lettings	Audit	8	1	In progress						
Rent Arrears	Audit	7		In progress						Included within the Rent Accounting audit.
Right to Buy	Audit	8	9.5	Completed	Reasonable	-	4	5	2	
Anti-social behaviour	Audit	8		Q3						
Key financial systems	Risk based	26		Q2/3/4						These will be deferred until early 23/24 due to the implementation of the new finance system.
Tax, including IR35	Audit	10	5	In progress						
Covid-19 Related Assurance	As required	10	5	As required						
LAD 1b Green Grant	Certification	-	5.5	Completed		-	-	-	-	Addition to plan
Tenant Association Accounts	Advisory and review		1	In progress						Addition to plan
COMF grant funding	Certification		1.5	Completed		-	-	-	-	Addition to plan
DFG	Certification			Completed		-	-	-	-	
Procurement	Audit	10		Q4						Addition to plan
Rent Accounting	Audit	4	1	In progress						
Payroll	Audit	4		Q4						

Audit Opinion Key

Opinion	Definition
Substantial	A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited
Reasonable	There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited
Limited	Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.
No Assurance	Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited

Audit Recommendations Key

Level	Definition
Critical	Recommendations which are of a very serious nature and could have a critical impact on the Council, for example to address a breach in law or regulation that could result in material fines/consequences.
High	Recommendations which are fundamental to the system and require urgent attention to avoid exposure to significant risks.
Medium	Recommendations which, although not fundamental to the system, provide scope for improvements to be made.
Low	Recommendations concerning issues which are considered to be of a minor nature, but which nevertheless need to be addressed or potential opportunities for management to improve the operational efficiency and/ or effectiveness of the system.

Appendix B

RECOMMENDATIONS TRACKER – OVERDUE RECOMMENDATIONS AS AT 31 DECEMBER 2022

Audit Year	Audit	Recommendation	Priority	Response/ Agreed Action	Responsible Officer	Due Date	1st Follow up comments	Extension Date	Second Follow up comments
423	Fire Safety and Management	2. The draft Housing Assets Fire Safety Policy should be reviewed, finalised and formally adopted as soon as possible.	High	A new Fire Safety policy has been written and has been sent out for final consultation with stakeholders. This will be reviewed by the Interim Head of Housing and then sent for final approval to the Strategic Director.	Housing Assets Team Manager	Jul-22	As agreed with Director	Nov-22	Although it has been confirmed that this policy has been signed off, copies of the policy and confirmation of circulation have yet to be received.
	Fire Safety and Management	3. The fixed wire testing requirements and arrangements should be clarified and details added to the relevant section of the Housing Assets Fire Safety policy if required.	Medium	A new Electrical Safety policy has been written and has been sent out for final consultation with stakeholders. This will be reviewed by the Interim Head of Housing and then sent for final approval to the Strategic Director.	Housing Assets Team Manager	Jul-22	As agreed with Director	Nov-22	Although it has been confirmed that this policy has been signed off, copies of the policy and confirmation of circulation have yet to be received.

2022/23 INTERNAL AUDIT PERFORMANCE

Performance Measure	Position as at 31.12.2022	Comments
Achievement of the Internal Audit Plan	33%	One final audit report issued, certification work has been completed and four audits in progress.
Quarterly Progress Reports to Management Team and Audit and Standards Committee	On track	
Follow up testing completed in month agreed in final report	On track	
Annual Opinion Report - July 2021 Audit and Standards Committee Meeting	Achieved	
100% Customer Satisfaction with the Internal Audit Service	100%	Based on one for 2022/23.
Compliance with Public Sector Internal Audit Standards	Conforms	External inspection carried out w/c 30 November 2020 which confirmed that the Internal Audit Team conform with the Public Sector Internal Audit Standards.

NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 25
JANUARY 2023

Title of Report	TREASURY MANAGEMENT ACTIVITY REPORT - QUARTER 3	
Presented by	Anna Crouch Finance Team Manager & Deputy S151 Officer	
Background Papers	<u>Prudential Indicators and Treasury Strategies 2022-23</u>	Public Report: Yes
Purpose of Report	To inform Members of the Council's Treasury Activity for the period April – December 2022.	
Recommendations	THAT MEMBERS APPROVE THIS REPORT AND COMMENT AS APPROPRIATE.	

1.0 BACKGROUND

- 1.1 Treasury Management activity is underpinned by the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code), which requires local authorities to produce Prudential Indicators and a Treasury Management Strategy Statement annually on the likely financing and investment activity. The Prudential Indicators and Treasury Strategies were approved by Council on the 24 February 2022.
- 1.2 As a minimum, the code requires that the council reports on the performance of the Treasury Management function at least twice yearly (mid-year and at year end. Appendix A is the second of four reports to be presented in 2022/23 designed to inform Members of the council's treasury activity and enable scrutiny of activity and performance.

2.0 TREASURY MANAGEMENT ADVISORS' COMMENTARY – ARLINGCLOSE LTD

- 2.1 This commentary below has been provided by our treasury management advisors:
- 2.2 NWLDC is currently taking a relatively low credit and liquidity risk approach to its investment strategy by investing mainly in deposits with UK central government, Money Market Funds (MMFs), UK local authorities, and a small number of UK banks, for short terms (up to 12 months). Most of these options avoid the direct bail-in risk associated with bank deposits (although indirect exposure is held via the MMFs, this is highly diversified).

- 2.3 Interest rates have been rising globally, including UK Bank Rate, and further increases in the policy rate are expected, albeit uncertainty is high given recent political, fiscal, economic and market volatility. The council's investment returns have therefore increased but the level of real return (i.e. adjusting for inflation) is negative given current high inflation. The latest client investment benchmarking exercise that NWLDC took part in (September 2022) showed the council's credit risk (as measured by credit ratings) and return were both slightly lower than the average for other local authorities on internally managed investments.
- 2.4 Other investment options that may fit with the council's current risk appetite could include longer- term loans to local authorities (the council has done this before), covered or supranational bonds and loans to Registered Providers (housing associations), which would also require a longer investment horizon (3 to 5 years).
- 2.5 Going beyond this would be an alternative approach – investing for the long-term (5 years +) in asset classes such as property, bonds and equities which fluctuate in value, and carry a different and typically higher set of risks but offer the potential for higher returns. The Council would need to identify a long-term investment horizon and/or these types of investments may need to be part of a documented strategy to manage liquidity, interest rate, exchange rate and/or inflation risks.

3.0 SUMMARY

- 3.1 In compliance with the requirements of the CIPFA code of practice, Appendix A provides Members with a summary report of the Treasury Management activity for the period April 2022 to December 2022. A prudent approach has been taken in relation to investment activity with priority being given to security and liquidity over yield.
- 3.2 For the reporting period, there has been no breaches of Treasury Management Strategy Statement that need bringing to the attention of the committee and the Treasury Management practices have been complied with.

Policies and other considerations, as appropriate	
Council Priorities:	<p>The Treasury Strategies and Prudential Indicators help the Council achieve all its properties:</p> <ul style="list-style-type: none"> - Supporting Coalville to be a more vibrant, family-friendly town - Support for businesses and helping people into local jobs - Developing a clean and green district - Local people live in high quality, affordable homes - Our communities are safe, healthy and connected
Policy Considerations:	Not applicable
Safeguarding:	Not applicable
Equalities/Diversity:	Not applicable
Customer Impact:	Not applicable
Economic and Social Impact:	Not applicable
Environment and Climate Change:	Not applicable
Consultation/Community Engagement:	Not applicable
Risks:	<p>Borrowing and investment both carry an element of risk. This risk is mitigated through the adoption of the Treasury and Investment Strategies, compliance with the CIPFA code of Treasury Management and the retention of Treasury Management advisors (Arlingclose) to proffer expert advice.</p>
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Treasury Management Activity Report Quarter 3 2022/23

1. Introduction

- 1.1 The Authority has adopted the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code) which requires the Authority to approve treasury management semi-annual and annual reports.
- 1.2 The Authority's treasury management strategy for 2022/23 was approved at the Council meeting on 24 February 2022. The Authority has invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk remains central to the Authority's treasury management strategy.
- 1.3 CIPFA published its revised Treasury Management Code of Practice [the TM Code] and Prudential Code for Capital Finance in December 2021. The key changes in the two codes are around permitted reasons to borrow, knowledge and skills, and the management of non-treasury investments. The principles within the two Codes took immediate effect although local authorities could defer introducing the revised reporting requirements within the revised Codes until the 2023/24 financial year if they wish. The Authority adopted the revised reporting requirements with effect from 2022/23.
- 1.4 Treasury risk management at the Authority is conducted within the framework of the TM Code. This Code now also includes extensive additional requirements for service and commercial investments, far beyond those in the 2017 version.

2. External Context as at 11/01/2023 (provided by Arlingclose)

- 2.1 **Economic background:** The conflict in Ukraine continued to keep global inflation elevated and the UK and global economic outlook remains weak. Political uncertainty in the UK improved in the later part of the period following a change in government to what financial markets perceived as being more fiscally prudent.
- 2.2 The economic backdrop during the April to December period continued to be characterised by high energy and commodity prices, high inflation and the associated impact on consumers' cost of living, as well as little likelihood that the Russia-Ukraine hostilities will end any time soon. China started to lift some of its zero-Covid policy restrictions at the end of the period causing a sharp increase in infections, but also leading to questions over potential under reporting of the number of cases by the Chinese government due to how it is counting the figures.
- 2.3 Central Bank rhetoric and action continued to remain robust. The Bank of England, Federal Reserve and the European Central Bank all increased interest rates over the period and committed to fighting inflation, even in the face of potential

recessions in those regions.

- 2.4 UK inflation remained high, but there were tentative signs it may have peaked. Annual headline CPI registered 10.7% in November, down modestly from 11.1% in October. RPI was 14% in November, down from 14.2% in October, but slightly above expectations for a larger fall to 13.9%.
- 2.5 The UK government under Rishi Sunak and Jeremy Hunt reversed some of the support to household energy bills announced under the previous Liz Truss leadership. The previous support package which would have seen average consumption cost £2,500 annually until 2024 was replaced by a less generous scheme which was only maintained at this level until March 2023, to be replaced by a higher cap of £3,000 per year for the typical household from April onwards.
- 2.6 The labour market remained tight but with some evidence of softening demand for new labour. The unemployment rate 3m/year for April-June was 3.8%, which declined to 3.6% in July-September and picked up again to 3.7% in October-December. The inactivity rate was 21.5% in the latest quarter, down by 0.1% compared to the previous period. Pay growth in October-December was 6.1% for both total pay (including bonuses) and for regular pay. Once adjusted for inflation, however, both measures fell by 2.7%.
- 2.7 Household disposable income remained under pressure, pushing consumer confidence down to a record low of -49 in September, but following months showed registered modest improvements to December's reading of -42. Quarterly GDP for the April-June quarter was revised upwards to 0.2% (from -0.1%), following revisions to household and government spending, but fell by -0.3% in the July-September quarter, a larger decline than the -0.2% predicted.
- 2.8 The Bank of England increased the official Bank Rate to 3.5% over the period. From 0.75% in March, the Monetary Policy Committee (MPC) pushed through rises at every subsequent meeting over the period, with outsized hikes of 50bps in August and September, 75bps in November and then another 50bps in December. November's rise was voted by a majority of 7-2, with one MPC member preferring a 0.5% rise and another a 0.25% rise. The December vote was 6-3, with two members preferring to keep Bank Rate on hold at 3% while one member wanted a larger increase of 0.75%. Once again, the Committee noted that domestic inflationary pressures are expected to remain strong and continuing rhetoric around combating inflation means further rate rises are predicted.
- 2.9 After hitting 9.1% in June, annual US inflation slowed for a further five consecutive months, with relatively strong falls in October to 7.7% and then in November to 7.1%. The Federal Reserve continued raising interest rates over the period with four consecutive increases of 0.75% in June, July, September, and November respectively, followed by 50bp in December taking policy rates to a range of 4.25% - 4.50%.
- 2.10 Eurozone CPI inflation hit a record-high of 10.6% y/y in October following rises in each month over the period. In November inflation fell to 10.1%, the first decline since June 2021. Energy prices remained the largest upward contribution to the price increase. The European Central Bank continued increasing interest rates over the period, pushing rates up by 0.50% in December following two consecutive

months of 0.75% rises, taking the deposit facility rate to 2% and the main refinancing rate to 2.5%.

- 2.11 Financial markets: Uncertainty remained a key driver of financial market sentiment and bond yields remained relatively volatile due to concerns over elevated inflation and higher interest rates. In September and October, volatility in financial markets was significantly exacerbated by the fiscal plans of the then UK government (under Liz Truss), leading to an acceleration in the rate of the rise in gilt yields and decline in the value of sterling. However, the subsequent change of government leadership to Rishi Sunak and Jeremy Hunt lead to gilts yields falling in November and December, albeit at higher levels compared to earlier in the period.
- 2.12 Over the period the 5-year UK benchmark gilt yield rose from 1.41% to peak at 4.70% in September before ending the calendar year at 3.62%. Over the same timeframe the 10-year gilt yield rose from 1.61% to peak at 4.51% before falling back to 3.67%, while the 20-year yield rose from 1.82% to 4.96% and then declined to 4.03%. The Sterling Overnight Rate (SONIA) averaged 1.75% over the period.
- 2.13 Credit review: During the last few months of the period, in October Fitch revised the outlook on the UK sovereign to negative from stable following the largely unfunded fiscal package announced at the time, and a few weeks prior revised the outlook on HSBC to stable from negative.
- 2.14 Over the same timeframe Moody's also revised the UK sovereign to negative from stable, following swiftly after with a similar move for a number of local authorities and UK banks including Barclays Bank, National Westminster Bank (and related entities) and Santander.
- 2.15 Having completed its full review of its credit advice on unsecured deposits at UK and non-UK banks earlier in the year (May), Arlingclose extended the maximum duration limit for five UK banks, four Canadian banks and four German banks to six months. The maximum duration for unsecured deposits with other UK and non-UK banks on Arlingclose's recommended list is 100 days. These recommendations were unchanged at the end of the period.
- 2.16 Although local authorities remain under financial pressure, Arlingclose continues to take a positive view of the sector, considering its credit strength to be high. Section 114 notices have been issued by only a handful of authorities with specific issues. While Arlingclose's advice for local authorities on its counterparty list remains unchanged, a degree caution is merited with certain authorities.
- 2.17 Arlingclose continued to monitor and assess credit default swap levels for signs of credit stress but made no changes to the counterparty list or recommended durations. Nevertheless, market volatility is expected to remain a feature, at least in the near term and, as ever, the institutions and durations on the Authority's counterparty list recommended by Arlingclose remains under constant review.

3. Local Context

- 3.1 On 31 March 2022, the Authority had borrowing of £94.48m arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while

usable reserves and working capital are the underlying resources available for investment. These factors are summarised in Table 1 below.

Table 1: Balance Sheet Summary

	31.3.22 Estimated £m
General Fund CFR	41.4
HRA CFR	53.1
Total CFR	94.5
External borrowing	-64.8
Internal borrowing	-29.7
Total Borrowing	94.5

- 3.2 The treasury management position on 31 December 2022 and the change over the preceding nine months is shown in Table 2 below.

Table 2: Treasury Management Summary

	31.3.22 Balance £m	Movement £m	31.12.22 Balance £m	31.12.22 Rate %
Long-term borrowing	62.6	0.0	62.6	3.6%
Short-term borrowing	2.2	-1.6	0.6	4.5%
Total borrowing	64.8	-1.6	63.2	3.58%
Long-term investments	0.0	0.0	0.0	0
Short-term investments	31.0	19.3	50.3	3.01%
Cash and cash equivalents	18.0	-6.4	11.6	3.02%
Total investments	49.0	12.9	61.9	3.01%
Net borrowing	15.8	-14.4	1.3	

Borrowing

- 4.1 CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Authority.
- 4.2 PWLB loans are no longer available to local authorities planning to buy investment assets primarily for yield, the Authority intends to avoid this activity in order to retain its access to PWLB loans.

- 4.3 The Authority currently holds £9.1m in commercial investments that were purchased prior to the change in the CIPFA Prudential Code. These commercial investments are primarily for local regeneration and growth with a secondary objective of financial return. Before undertaking further additional borrowing the Authority will review the options for exiting these investments.
- 4.4 As shown in table 1 the Authority has internally borrowed £29.7m. This internal borrowing foregoes a potential interest income rate of 3.01%. However, current one year external borrowing rates are 4.42%. Therefore, this demonstrates a net saving overall by internal borrowing. Internal borrowing is a treasury management practice whereby the authority delays the need to borrow externally by temporarily using cash it holds for other purposes (i.e., reserves, grants received in advance). An alternative option would be to borrow externally to fund this and use the reserves for investments.

5. Borrowing Strategy and Activity

- 5.1 As outlined in the treasury strategy, the Authority's chief objective when borrowing has been to strike an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Authority's long-term plans change being a secondary objective. The Authority's borrowing strategy continues to address the key issue of affordability without compromising the longer-term stability of the debt portfolio.
- 5.2 The cost of both long and short term borrowing has risen dramatically over the April – December period, with rates at the end of December around 2% - 3% higher than those at the beginning of April. Rate rises have been driven primarily by inflation and the need for central banks to control this by raising interest rates. Particularly dramatic rises were seen in September after Liz Truss' 'mini-budget' included unfunded tax cuts and additional borrowing to fund consumer energy price subsidies: over a twenty-four-hour period some PWLB rates increased to 6%. Rates have now fallen from September peaks but remain well above recent historical norms. The PWLB 10 year maturity certainty rate stood at 4.59% at the end of 2022.
- 5.3 As the Authority has not undertaken any new borrowing this financial year and all of the £64.8m of existing loans are fixed rate. Therefore, the effects of these rate rises have not been felt. However, should the Authority decide to borrow in the next year the cost of borrowing will increase.
- 5.4 At 31 December 2022 the Authority held £63.2m in loans, a decrease of £1.6m since 31 March 2022. Outstanding loans on 31 December 2022 are summarised in Table 3 below.

Table 3: Borrowing Position

	31.3.22 Balance £m	Net Movement £m	31.12.22 Balance £m	31.12.22 Weighted Average Rate %	31.12.2022 Weighted Average Maturity (years)
Public Works Loan Board	56.3	-0.6	55.7	3.4%	16.0
Banks (LOBO)	3.5	0.0	3.5	4.8%	32.1
Banks (fixed-term)	3.9	0.0	3.9	4.7%	31.1
Local authorities (long-term)	0.0	0.0	0.0	0.0%	0.0
Local authorities (short-term)	1.0	-1.0	0.0	0.0%	0.0
Total borrowing	64.8	-1.6	63.2	0.0	17.8

5.5 There remains a strong argument for diversifying funding sources, particularly if rates can be achieved on alternatives which are below gilt yields + 0.80%. The Authority will evaluate and pursue these lower cost solutions and opportunities with its advisor Arlingclose.

5.6 The Authority continues to hold £3.5m of LOBO (Lender's Option Borrower's Option) loans where the lender has the option to propose an increase in the interest rate as set dates, following which the Authority has the option to either accept the new rate or to repay the loan at no additional cost. No banks exercised their option during the quarter.

5.7 In addition to the external borrowing shown above, based on estimates of the unaudited 2021/22 accounts the Authority internally borrowed £29.7m.

6. Treasury Investment Activity

6.1 CIPFA revised TM Code defines treasury management investments as those which arise from the Authority's cash flows or treasury risk management activity that ultimately represents balances which need to be invested until the cash is required for use in the course of business.

6.2 The Authority holds significant invested funds, representing income received in advance of expenditure plus balances and reserves held. During the year, the Authority's investment balances have ranged between £44m and £64 million due to timing differences between income and expenditure. The investment position is shown in table 4 below.

Table 4: Treasury Investment Position

	31.3.22 Balance	Net Movement	31.12.22 Balance	31.12.22 Income Return	31.12.22 Weighted Average Maturity days
	£m	£m	£m	%	
Banks & building societies (unsecured)	3.0	-0.9	2.1	1.9%	90.5
Government (incl. local authorities)	29.0	19.3	48.3	3.1%	94.1
Money Market Funds	17.0	-5.5	11.5	3.0%	1.0
Total investments	49.0	12.9	61.9	3.0%	76.7

- 6.3 Both the CIPFA Code and government guidance require the Authority to invest its funds prudently, and to have regard to the security and liquidity of its treasury investments before seeking the optimum rate of return, or yield. The Authority's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
- 6.4 By end December, the rates on DMADF deposits ranged between 3.3% and 3.6%. The return on the Authority's sterling Low Volatility Net Asset Value (LVNAV) Money Market Funds ranged between [0.9% - 1.1% p.a.] in early April and between [2.8% and 3.0%] at the end of December.
- 6.5 Given the risk of short-term unsecured bank investments, the Authority has invested in alternative and/or higher yielding asset classes as shown in table 4 above.
- 6.6 The progression of risk and return metrics are shown in the extracts from Arlingclose's quarterly investment benchmarking in Table 5 below.

Table 5: Investment Benchmarking – Treasury investments managed in-house*

	Credit Score	Credit Rating	Bail-in Exposure	Weighted Average Maturity (days)	Rate of Return %
31.03.2022	4.00	AA-	41%	71	0.39%
30.09.2022	3.52	AA-	26%	65	1.67%
Similar LAs	4.34	AA-	57%	42	0.89%
All LAs	4.29	AA-	55%	17	1.47%

*based on position as at 30/09/2022 as data not available yet for 31/12/2022

- 6.7 The Authority had budgeted £9,000 in interest income from investments after deductions in 2022/23. Actual income received by 31 December 2022 was £662,000. We are now forecasting the risk adjusted interest received by 31 March 2023 to be £855,500 and after deductions income to be £743,500.
- 6.8 The £743,500 in interest will be split between the general fund and HRA in line with guidance which dictates the split be based upon notional investment balances of both funds at year end. The current estimate is that this will be 53% General Fund and 47% HRA.
- 6.9 Clearly this forecast is a large departure from the forecast at the start of the year going from £9,000 to £743,500. This change is as a result of two main factors. Firstly the rapidly changing wider economic scenario detailed in section 2 has led to an increase in interest rates which in turn has increased the return on the Authority's investment. Secondly, the Authority has a larger investment balance than forecasted due to delayed repayment of grants to central government, slippage in capital programmes and higher income than forecasted from income streams such as council tax and business rates. These factors have boosted the Authority's overall Treasury Balances and the return received on investments.

7. Non-Treasury Investments

- 7.1 The definition of investments in CIPFA's revised 2021 Treasury Management Code covers all the financial assets of the Authority as well as other non-financial assets which the Authority holds primarily for financial return. Investments that do not meet the definition of treasury management investments (i.e. management of surplus cash) are categorised as either for service purposes (made explicitly to further service objectives) and or for commercial purposes (made primarily for financial return).

- 7.2 Investment Guidance issued by the Department for Levelling Up Housing and Communities (DLUHC) and Welsh Government also includes within the definition of investments all such assets held partially or wholly for financial return.
- 7.3 The Authority held £9.1m of investments made for commercial purposes. This consisted entirely of directly owned property and land. A full list of the Authority's non-treasury investments is available in the Investment Strategy 2022-23 document. These investments generate a forecast £387,800 of investment income for the Authority after taking account of direct costs.
- 7.4 The main purpose of these investments is regeneration of the local area rather than investment income. All commercial investments are located within the district.

8. Treasury Performance

- 8.1 The Authority measures the financial performance of its treasury management activities both in terms of its impact on the revenue budget and its relationship to benchmark interest rates.
- 8.2 Since the beginning of the reporting period the Authority has paid £1.2m in interest. The forecasted amount to be spent on interest on loans for the financial year 22/23 in total is £2.3m. The overall interest rate on borrowing is 3.5%. For comparison purposes the current PWLB Maturity Loan rate for new 10 year borrowing is 4.7%.
- 8.3 During the reporting period the Authority has fully repaid a loan of £1m held with a Local Authority. Additionally the Authority has repaid £600,000 in principle on two annuity loans (loans in which a percentage of the principle is repaid annually). The remaining loans are maturity loans so no repayment will take place until the maturity date.
- 8.4 The Authority does not expect to undertake any new borrowing in the 2022/23 financial year and none has so far been undertaken.
- 8.5 As discussed in section 6.7 investment interest income during the reporting period was £662,000 before deductions. The Authority's Investment interest return percentage on 30 September 2022 was 1.49%. For comparison purposes the Daily Sterling Overnight Index Average (SONIA) which is used for benchmarking purposes was 3.43% and investment yield for similar local authorities was 0.89%. This is laid out in Appendix 2. Please note also that data is not yet available for 31 December 2022 so this data is from 30 September 2022 (the last available information on benchmarking)
- 8.6 As demonstrated in the benchmarking data our return percentage was very similar to other local authorities when looking at internal investment return. However, when looking at overall interest return our yields are above other local authorities. This is due to the fact that strategic investments have produced negative returns. NWLDC does not have any investments in strategic funds so therefore have a better return.

9. Compliance

- 9.1 The S151 Officer reports that all treasury management activities undertaken during the quarter complied fully with the CIPFA Code of Practice and the Authority's approved Treasury Management Strategy. Compliance with specific investment limits is demonstrated in table 6 below.
- 9.2 Compliance with the authorised limit and operational boundary for external debt is demonstrated in table 5 below.

Table 5: Debt Limits

	Q3 Maximum During Period	31.12.22 Actual	2022/23 Operational Boundary	2022/23 Authorised Limit	Complied?
Borrowing	£64.8m	£63.8m	£72.9m	£82.9m	Yes

- 9.3 Since the operational boundary is a management tool for in-year monitoring it is not significant if the operational boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure. However, there were no days in the reporting period in which the operational boundary was breached
- 9.4 Table 6 below sets out the agreed investment limits for the various counterparties as per the Treasury Management Strategy Statement 22/23 and compares these limits against actuals for the period.

Table 6: Investment Limits

	Q3 Maximum	31.12.2022 Actual	2022/23 Limit	Complied?
The UK Government	£55m	£47.5m	Unlimited	Yes
Local authorities & other government entities	£10m	£0.7m	Unlimited	Yes
Secured investments	£0m	£0	Unlimited	Yes
Banks (unsecured)	£3m	£2.1m	Unlimited	Yes
Building societies (unsecured)	£0m	£0	£5m	Yes
Registered providers (unsecured)	£0m	£0	£12.5m	Yes
Money market funds	£23m	£11.5m	£5m	Yes
Strategic pooled funds	£0m	£0	£25m	Yes
Real estate investment trusts	£0m	£0	£5m	Yes
Other investments	£0m	£0	£2.5m	Yes

10. Treasury Management Indicators

10.1 The Authority measures and manages its exposures to treasury management risks using the following indicators.

10.2 **Security:** The Authority has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit rating of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment. Unrated investments are assigned a score based on their perceived risk.

	31.12.22 Actual	2022/23 Target	Complied?
Portfolio average credit rating	AA-	A-	Yes

10.3 **Liquidity:** The Authority has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three-month period, without additional borrowing.

	31.12.22 Actual	2021/22 Target	Complied?
Total cash available within 3 months	£32.9m	£2.5m	Yes

10.4 **Interest Rate Exposures:** This indicator is set to control the Authority's exposure to interest rate risk. The upper limits on the one-year revenue impact of a 1% rise or fall in interests was:

Interest rate risk indicator	31.12.22 Actual	2022/23 Limit	Complied?
Upper limit on one-year revenue impact of a 1% <u>rise</u> in interest rates	-460,460	-200,000	No
Upper limit on one-year revenue impact of a 1% <u>fall</u> in interest rates	460,460	200,000	No

10.5 The impact of a change in interest rates is calculated on the assumption that maturing loans and investment will be replaced at current rates. Although the indicator has not been complied with this is not a compliance failure as it reflects the increase in investment balances over the year and the fact that all of the Authority's investments are due to mature this year. Longer investments would reduce the interest rate risk but would expose the Authority to higher liquidity risk.

- 10.6 **Maturity Structure of Borrowing:** This indicator is set to control the Authority's exposure to refinancing risk. [This indicator covers the risk of replacement loans being unavailable, not interest rate risk.] The upper and lower limits on the maturity structure of all borrowing were:

	31.12.22 Actual £m	31.12.22 Actual %	Upper Limit	Lower Limit	Complied?
Under 12 months	5.71	9%	30%	0%	Yes
12 months and within 24 months	2.74	4%	30%	0%	Yes
24 months and within 5 years	3.89	6%	30%	0%	Yes
5 years and within 10 years	3.03	5%	30%	0%	Yes
10 years and above	49.48	76%	90%	0%	Yes

- 10.7 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

- 10.8 **Principal Sums Invested for Periods Longer than a year:** The purpose of this indicator is to control the Authority's exposure to the risk of incurring losses by seeking early repayment of its investments. For the purposes of this indicator investments beyond year end are considered to be any existing investments longer than 1 year of which we have none. The limits on the long-term principal sum invested to final maturities beyond the period end were:

	2022/23	2023/24	2024/25
Actual principal invested beyond year end	£0	£0	£0
Limit on principal invested beyond year end	£10m	£10m	£10m
Complied?	Yes	Yes	Yes

Appendix 1

Arlingclose's Outlook for the remainder of 2022/23 and beyond

	Current	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24	Jun-24	Sep-24	Dec-24	Mar-25	Jun-25	Sep-25	Dec-25
Official Bank Rate													
Upside risk	0.00	0.50	0.75	1.00	1.00	1.00	1.25	1.50	1.75	1.50	1.25	1.25	1.25
Arlingclose Central Case	3.50	4.00	4.25	4.25	4.25	4.25	4.00	3.75	3.50	3.25	3.25	3.25	3.25
Downside risk	0.00	0.50	0.75	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.00

Arlingclose expects Bank Rate to rise further during the remainder of 2022/23 and to reach 4.25% by around the first quarter of the financial year 2023/24.

The Bank of England's (BoE) Monetary Policy Committee raised Bank Rate by 50bps to 3.5% in December 2022 as expected. There were signs that some Committee members believe that 3% is restrictive enough, however, a majority think further increases in Bank Rate might be required. Arlingclose expects Bank Rate to peak at 4.25%, with further 25bps rises February, March and May 2023.

The MPC will cut rates in the medium term to stimulate the UK economy but will be reluctant to do so until wage growth eases. Arlingclose expects rate cuts will start in the first half of 2024.

Arlingclose expects gilt yields to remain broadly steady over the medium term, although with continued volatility across shorter time periods.

Gilt yields face pressures from hawkish US/euro zone central bank policy on one hand to the weak global economic outlook on the other. BoE bond sales and high government borrowing will provide further underlying support for yields.

Background:

The influence of the mini-budget on interest rates and gilt yields continues to wane following the more fiscally prudent approach shown by the latest incumbents of Downing Street.

Volatility in global markets continues, however, as investors seek the extent to which central banks are willing to tighten monetary policy, as evidence of recessionary conditions builds. Investors have been more willing to price in the downturn in growth, easing financial conditions, to the displeasure of policymakers. This raises the risk that central banks will incur a policy error by tightening too much.

The UK economy is already experiencing recessionary conditions and recent GDP and PMI data suggests the economy entered a technical recession in Q3 2022. The resilience shown by the economy has been surprising, despite the downturn in business activity and household spending. Lower demand should bear down on business pricing power – recent data suggests the UK has passed peak inflation.

The lagged effect of the sharp tightening of monetary policy, and the lingering effects of the mini-budget on the housing market, widespread strike action, alongside high inflation, will continue to put pressure on household disposable income and wealth. The short- to medium-term outlook for the UK economy remains bleak.


Demand for labour appears to be ebbing, but not quickly enough in the official data for most MPC policymakers. The labour market remains the bright spot in the economy and persisting employment strength may support activity, although there is a feeling of

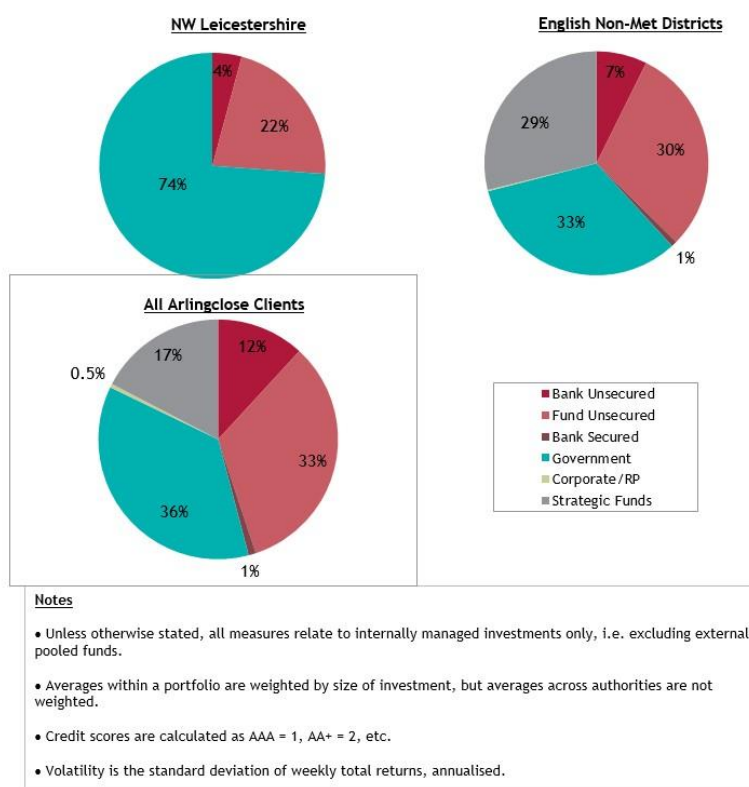
borrowed time. The MPC focus is on nominal wage growth, despite the huge real term pay cuts being experienced by the vast majority. Bank Rate will remain relatively high(er) until both inflation and wage growth declines.

Global bond yields remain volatile as investors price in recessions even as central bankers push back on expectations for rate cuts in 2023. The US labour market remains tight, and the Fed wants to see persistently higher policy rates, but the lagged effects of past hikes will depress activity more significantly to test the Fed's resolve.

While the BoE appears to be somewhat more dovish given the weak outlook for the UK economy, the European Central Banks seems to harbour (worryingly) few doubts about the short term direction of policy. Gilt yields will be broadly supported by both significant new bond supply and global rates expectations due to hawkish central bankers, offsetting the effects of declining inflation and growth.

Appendix 2*

 <p>Investment Benchmarking 30 September 2022</p>			
	<p>NW Leicestershire 44 English Non-Met Districts Average 120 LAs Average</p>		
Internal Investments	£50.1m	£38.3m	£82.0m
Cash Plus & Short Bond Funds	£0.0m	£0.0m	£0.0m
Strategic Pooled Funds	£0.0m	£14.3m	£14.7m
TOTAL INVESTMENTS	£50.1m	£52.5m	£96.7m
Security			
Average Credit Score	3.52	4.34	4.29
Average Credit Rating	AA-	AA-	AA-
Average Credit Score (time-weighted)	3.03	4.23	4.07
Average Credit Rating (time-weighted)	AA	AA-	AA-
Number of Counterparties / Funds	9	13	13
Proportion Exposed to Bail-in	26%	57%	55%
Liquidity			
Proportion Available within 7 days	22%	42%	45%
Proportion Available within 100 days	72%	62%	71%
Average Days to Maturity	65	42	17
Market Risks			
Average Days to Next Rate Reset	73	53	46
Strategic Fund Volatility	-	4.5%	6.2%
Yield			
Internal Investment Return	1.67%	1.70%	1.72%
Cash Plus Funds - Income Return	-	-	-
Strategic Funds - Income Return	-	3.84%	3.93%
Total Investments - Income Return	1.67%	2.22%	2.05%
Cash Plus Funds - Capital Gain/Loss	-	-	-
Strategic Funds - Capital Gain/Loss	-	-1.73%	-1.15%
Total Investments - Total Return	1.67%	0.89%	1.47%



*data from 30 September 2022 (last available benchmarking data)

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NORTH WEST LEICESTERSHIRE DISTRICT COUNCIL

AUDIT AND GOVERNANCE COMMITTEE – WEDNESDAY, 25
JANUARY 2023

Title of Report	STANDARDS AND ETHICS REPORT - QUARTER 3	
Presented by	Elizabeth Warhurst Head of Legal and Commercial Services and Monitoring Officer	
Background Papers	None	Public Report: Yes
Purpose of Report	To receive the figures for the local determination of complaints and the ethical indicators for Quarter 3 of 2022/23.	
Recommendations	THE REPORT BE RECEIVED AND NOTED.	

1.0 BACKGROUND

1.1 The Standards and Ethics Report provides information in two categories: Local Determination of Complaints and Ethical Indicators.

1.2 The Quarter 3 Report include updates on the progress of ongoing cases as requested by members at the Q4 21/22 meeting.

Policies and other considerations, as appropriate	
Council Priorities:	Our communities are safe, healthy and connected
Policy Considerations:	N/A
Safeguarding:	Safeguarding in relation to Modern Slavery
Equalities/Diversity:	N/A
Customer Impact:	Customers have the opportunity to report on measures that are included in this report
Economic and Social Impact:	N/A
Environment and Climate Change:	N/A
Consultation/Community Engagement:	Customers have the opportunity to report on measures that are included in this report
Risks:	By receiving this information members will be able to manage risks
Officer Contact	Elizabeth Warhurst Head of Legal and Commercial Services elizabeth.warhurst@nwleicestershire.gov.uk

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Standards and Ethics

Quarter 3 Report

2022-2023

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Introduction

This is the quarterly report to the Audit & Governance Committee detailing both the figures for the Ethical Indicators and the figures for the Local Determination of Complaints process for 2022/23.

For clarification purposes the months covered by the quarters are as follows:

Quarter 1 - 1 April to 30 June

Quarter 2 - 1 July to 30 September

Quarter 3 - 1 October to 31 December

Quarter 4 - 1 January to 31 March

The report is split into 2 parts for ease of reference; Part 1 refers to the local determination of complaints, part 2 is the table showing the ethical indicators figures.

The report will enable the Audit & Governance Committee to build up a picture over time of how many complaints are received and where these are coming from. The parts of the Code of Conduct which have been breached will also be recorded to enable training to be targeted effectively.

Local Determination of Complaints

The Monitoring Officer received 10 complaints in Quarter 3 of 2022/23 (1 October 2022 – 31 December 2022).

1 complaint received were unable to be progressed as it was determined that the Councillor was acting in a private capacity.

2.1 Assessment Sub-committee Decisions

There has been 0 Assessment Sub-committee meetings in this quarter.

The Monitoring Officer pursues an informal dispute resolution process prior to initiating formal proceedings via the Sub-committee route.

9 complaints have been resolved informally in Quarter 3.

2.2 Timeliness of Decision

The Standards for England Guidance stated that the Assessment Sub-committee should complete its initial assessment of an allegation “within an average of 20 working days” to reach a decision on what should happen with the complaint. The Council has taken this standard and adapted it under the new rules to aim to hold an Assessment Sub-committee within 20 working days of notifying the parties that informal resolution is not possible.

450 2.3 Review Requests

There have been 0 review requests in Quarter 3. Review requests can only be made following a decision of ‘No further Action’ by the Assessment Sub-committee where there is submission of new evidence or information by the complainant.

2.4 Subsequent Referrals

None to report – see above

2.5 Outcome of Investigations

None to report – see above

2.6 Parts of the Code Breached

This section is intended to show where there are patterns forming to enable the Audit and Governance Committee to determine where there needs to be further training for Councillors. Targeting training in this way makes it more sustainable and, hopefully, more effective.

So far this year, the following areas of the code were found to have been breached:

N/A

Complaints made to the Monitoring Officer under the Code of Conduct during Q3 2022/23

Qtr 3 22/23	Complaint from	About district/ parish councillor	Regarding	status
	Parish Cllr	District Cllr	Behaviour at a Council meeting	Resolved informally
	District Cllr	District Cllr	Register of interests [this comprises individual complaints about 7 District Cllrs]	Resolved informally
	Parish Cllr	Parish Cllr	Declarations of interest and access to information	Resolved informally
	Member of the public	District Cllr	Failure to comply with obligations	It was concluded this complaint was unable to be progressed as the subject member was not acting in their capacity as a Councillor at the time

Ethical Indicators

PERFORMANCE INDICATOR0	Q1			Q2			Q3			Q4		
	20/ 21	21/ 22	22/ 23	20/ 21	21/ 22	22/ 23	20/ 21	21/ 22	22/ 23	19/ 20	20/ 21	21/ 22
Instances of concerns raised re Modern Slavery	0	0	0	0	0	0	0	0	0	0	0	1
Instances of concerns raised re Modern Slavery referred to national agencies	0	0	0	0	0	0	0	0	0	0	0	0
Number of whistle blowing incidents reported	0	0	0	0	0	0	0	0	0	0	0	0
Number of Challenges to procurements	0	0	0	0	0	0	0	0	0	0	0	0
Public interest Reports	0	0	0	0	0	0	0	0	0	0	0	0
Objections to the Councils Accounts	0	0	0	0	0	0	0	0	0	0	0	0
Disciplinary action relating to breaches of the Member/Officer Protocol	0	0	0	0	0	0	0	0	0	0	0	0
Follow up action relating to breaches of the Member/Officer Protocol	0	0	0	0	0	0	0	0	0	0	0	0

Freedom of Information Requests

	Q1			Q2			Q3			Q4		
	20/21	21/22	22/23	20/21	21/22	22/23	20/21	21/22	22/23	19/20	20/21	21/22
Total Number (FOIs)	55	102	147	93	107	122	152	90	108	79	94	196
% answered on time	72.2%	82.9%	51%	84.1%	71.9%	79%	75%	95.1%	60%	95.8%	86%	78.17 %
Average per month	18	34	49	31	36	41	51	30	38	26	31	65
Average response time (days)	15	14	7	13	13	9	17	10	14	11	11	15
Business as usual (BAUs)	27	1	N/A	24	14	N/A	26	2	N/A	65	11	N/A
Withheld due to exemption/fees (FOI and BAU)*	10	19	0	16	12	0	31	15	7	8	10	13
Transfers (TFRs)	14	18	29	18	12	21	25	24	18	33	23	28
Subject access requests (SARs)	3	1	3	6	2	6	12	5	5	5	5	13
Internal Reviews	1	0	1	Tbc	2	3	0	1	3	2	0	2
Environmental Information Requests/ Land Charges Searches (personal)	213	6	4	1	491	4	2	336	7	334	11	1

- We have seen a small decrease in number of FOI's received in Q3. This will be due to the Christmas period
- There has been an impact to the answered on time figure for Q3. We feel this is due to a number of complex requests received which have required multiple service areas input. The majority of requests that were overdue were no more than 10 days. There was a total of 12 requests which were overdue by 30 plus days. This is a vast improvement on previous quarters
- The aim is to achieve 90% + response rate
- The exemption function is now active on the case management system and we are able to report on these figures
- We do not log requests as a BAU on the new system. All requests are logged on the case management system as an FOI request.

FOI Exemptions for Q3 22/23

Exemption	Description	FOI	BAU	Total
S21	Information Already Reasonably Accessible			
S22	Information Intended for Future Publication			
S27	International Relations			
S28	Relations within the UK			
S29	The Economy			
S30	Investigations			
S31	Law Enforcement			
S32	Court Records			
S36	Effective Conduct of Public Affairs			
S38	Endangering Health and Safety			
S39	Environmental Information			
S40	Personal Information of the Requester/Personal Information			
S41	Confidentiality			
S42	Legal Professional Privilege			
S43	Trade Secrets and Prejudice to Commercial Interests			
S44	Prohibitions on Disclosure			
Total	<i>Number need not match the number of cases. Multiple exemptions may apply to one case.</i>	0	0	0

Definitions

Business as usual Information requested can be sent quickly and easily within the normal course of business

Land Charges specific information about a particular property

Ombudsman Complaint a customer has followed Stage 1 and 2 complaints procedure but unhappy with the outcome they are entitled to take complaint to the Local government Ombudsman who will decide if the Council has a case to answer.

Subject Access Request a request by an individual to see information an organisation holds on them

Transfers requests received that fall out of our remit i.e. Adult social Care or Highways

Environmental Information Request a right for any person to request access to environmental information held by public authorities.

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