

SURREY HEATH BOROUGH COUNCIL

Surrey Heath House
Knoll Road
Camberley
Surrey
GU15 3HD

Tuesday, 19 October 2021

To: The Members of the Surrey Heath Borough Council

Dear Councillor,

You are hereby summoned to attend a meeting of Surrey Heath Borough Council to be held in the Council Chamber, Surrey Heath House on Wednesday, 27 October 2021 at 7.00 pm. The business which it is proposed to transact at the meeting is set out below.

Please note that this meeting will be recorded.

Yours sincerely

Damian Roberts

Chief Executive

1. Apologies for Absence

To report apologies for absence.

2. Minutes

To approve as a correct record, the open minutes of the meeting of the Council held on 28 July 2021.

3. Report of the Returning Officer (Pages 5 - 6)

To receive the report of the Returning Officer in relation to the by-election for the Frimley Green ward.

4. Mayor's Announcements

5. Leader's Announcements

6. Declarations of Interest

Members are invited to declare any Disclosable Pecuniary Interests and non-pecuniary interests they may have with respect to matters which are to be considered at this meeting.

7. Questions from Members of the Public

To answer questions, if any, received under Council Procedure Rule 10 (Paragraph 3 of the Public Speaking Procedure Rules).

8. Questions from Councillors

To deal with questions, if any, received under Council Procedure Rule 11.

9. Executive, Committees and Other Bodies

To receive the open minutes of the following bodies (minutes reproduced in the Minute Book), to answer questions (if any) in accordance with Council Procedure Rule 11.5 and to consider the recommendations as set out below:

- (a) Executive – 20 July, 17 August, 9 September and 19 October 2021

43/E Doman Road Bulking Shed

RECOMMENDED to Council that

- (i) the Bulking Shed at Doman Road be removed from the Capital Programme at this time; and**
- (ii) a supplementary estimate of £20,000 be agreed to cover the cost of the feasibility study for the rebuilding of the bulking shed in the Council's Depot at Doman Road, including producing drawings, preparing specifications, inviting tenders, and applying for planning permission.**

Note: the recommendations the Executive will be asked to make at its meeting on 19 October 2021 relating to the Five Year Strategy 2022-2027 are dealt with in the report at Item 12 – Five Year Strategy 2022-2027.

- (b) Planning Applications Committee – 12 August and 23 September 2021
- (c) Audit and Standards Committee – 4 August 2021
- (d) Joint Staff Consultative Group – 22 July and 23 September 2021
- (e) Employment Committee – 27 July and 7 October 2021
- (f) Licensing Committee – 29 July and 20 October 2021

- (g) External Partnerships Select Committee – 7 September 2021
- (h) Performance and Finance Scrutiny Committee – 8 September 2021

10. Motions

Councillor Cliff Betton to move that

“this Council RESOLVES that

- (i) it needs a quality management system which:
 - a. needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements; and
 - b. aims to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements; and
- (ii) the Chief Executive be asked to produce a report for consideration by the Full Council on 15 December 2021 in respect of the resources and timescales required for Surrey Heath Borough Council to become certified to the ISO 9001:2015 standard and to determine whether the standard should apply to departments that outface to residents and outside bodies, or to the Council as a whole.”

11. Review of Political Proportionality (Pages 7 - 10)

To consider the report of the Head of Legal & Democratic Services (attached).

12. Five Year Strategy 2022-2027 (Pages 11 - 80)

To consider the report of the Head of HR, Performance and Communications (attached).

13. Governance Working Group (Pages 81 - 138)

To consider the report of the Head of Legal & Democratic Services (attached).

14. Section 151 Officer (Pages 139 - 144)

To consider the report of the Chief Executive (attached).

15. Leader's Question Time

The Leader to answer questions from Members in relation to the Executive functions.

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**ELECTION OF COUNCILLOR FOR THE FRIMLEY GREEN WARD OF THE
BOROUGH OF SURREY HEATH**

14 October 2021

Report of the Returning Officer

I, Damian Roberts, the Returning Officer, hereby report the results of the by election of a councillor for the Frimley Green Ward of the Borough of Surrey Heath held on 14 October 2021 as follows:

FRIMLEY GREEN WARD

BLACK, Stuart	896	Elected
OLMO, Jacques	877	
RICHARDS, Christine Eleanor	76	

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Review of Political Proportionality

Purpose

To review the political proportionality for the remainder of the 2021/22 municipal year.

Background

1. The Council is asked to review the proportional political allocation of places on committees and to adopt a revised scheme of proportionality for the 2021/22 municipal year to reflect the change to the Council's membership following the Frimley Green by-election on 14 October 2021.

Political Proportionality

2. By law, seats on committees must be allocated in proportion to the political composition of the Council. Only with no councillor voting against such a decision, can an authority decide that it wishes to adopt an arrangement other than a proportional one.
3. Five groups have been formed: the Conservative Group, the Liberal Democrats Group, the Community Group, the Camberley Independents Group, and the Green Group. Following the Frimley Green by-election, the number of seats of each group on the Council and the resulting percentages are as follows:

<u>Conservative</u>	<u>Liberal Democrats</u>	<u>Community</u>	<u>Camberley Independents</u>	<u>Green</u>
18	8	5	2	2
51.43%	22.86%	14.29%	5.71%	5.71%

4. In determining the allocation of seats on committees, the proportion that each political group forms of the total membership of the Council is applied to the total number of elected councillor seats on each committee. Fractional entitlements of less than one half are rounded down and entitlements of one half or more are rounded up. So that this process of rounding does not result in disproportionate advantage to one political group, the aggregate membership of all the committees must also be in line with the proportions on the Council.

Options

5. The Council has no option but to achieve political proportionality. Where it is not possible to achieve absolute proportionality for each committee, the scheme agreed must achieve overall proportionality across all the committees of the Council.

6. Members can choose to amend the allocation of committee seats to groups that is proposed in Annex A. However, the scheme proposed is considered to achieve the best proportionality for each committee, along with achieving overall proportionality across all the committees of the Council.

Proposal

7. It is proposed that the Council adopts the revised scheme of proportionality as set out at Annex A to this report and agrees any consequential changes to the membership of committees, having regard to the nominations of the relevant group leaders.

Resources Implications

8. There are no resource implications arising from this report.

Recommendation

9. The Council is advised to RESOLVE that
- (i) the revised the scheme of proportionality as set out at Annex A to the report, be adopted for the remainder 2021/22; and
 - (ii) the revisions to the membership of the Committees, as advised by the Conservative and Liberal Democrat Group Leaders, be agreed.

Background Papers: None

Contact: Rachel Whillis – Democratic Services Manager
e-mail : rachel.whillis@surreyheath.gov.uk

Executive Head of Service Gavin Ramtohal - Head of Legal & Democratic Services

Annex A - Scheme of Proportionality

Committee	Conservative	Liberal Democrats	Community	Green	Camberley Independents	TOTAL
Planning Applications	8	3	2	1	1	15
Licensing	6	3	2	1	1	13
Performance & Finance	7	3	2	1	0	13
External Partnerships	7	3	2	0	1	13
Audit & Standards	3	2	1	0	1	7
Employment	5	2	1	1	0	9
Total seats	36	16	10	4	4	70
% of Committee seats	51.43%	22.86%	14.29%	5.71%	5.71%	100%
% of Council membership	51.43%	22.86%	14.29%	5.71%	5.71%	100%

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Five Year Strategy 2022 -2027

Summary

This report introduces Surrey Heath Borough Council's proposed new Five Year Strategy for 2022-27. It also includes a report that summaries all the comments, issues and feedback received from the consultation that was undertaken with the public, businesses and partners. It provides an overview of the work of the cross-party Five Year Strategy Task & Finish group in steering the development of a new Five Year Strategy and the role of the Performance & Finance Scrutiny committee.

Portfolio: Leader

Date Portfolio Holder signed off report: 8 October 2021

Wards Affected: All

Recommendation

Subject to the recommendation from the Executive on 19 October, the Council is advised to RESOLVE to adopt the new Five Year Strategy and any final amendments to the content of the strategy be delegated to the Chief Executive in consultation with the Leader.

1. Key Issues

Background

- 1.1 The Five Year Strategy is the document that sets the Council's overall direction and ambition and is used to inform the annual work programme of the Council in its Annual Plan. Progress against the Annual Plan is reported bi-annually to Performance & Finance Scrutiny Committee, the Executive and Council.
- 1.2 The environment in which the Council operates has seen vast changes in recent years including a world-wide pandemic, Brexit, a climate emergency, economic recession, technological change and many other significant factors. Hence there is a clear need to ensure the Council's direction, focus and capacity reflects the needs, opportunities and aspirations across the whole of the borough and its residents going forward.
- 1.3 What was also made quite clear by Surrey Heath Borough Councillors at the outset of this work was the need to ensure that we consulted well with our residents, businesses and partners when developing this strategy.
- 1.4 This report sets out how the Council consulted on the development of the strategy and how it has produced the Five Year Strategy which is now being presented to Council for adoption.

Preparation

- 1.5 The Performance and Finance Scrutiny Committee received updates about the preparation of a new Five Year Strategy at its meetings on 17 March 2021 and 7 July 2021.
- 1.6 At the Executive on 25 May 2021, a cross-party Task & Finish group was appointed to input into and steer the development and production of the new strategy and the analysis of feedback received during the public and partner consultation exercise.
- 1.7 Two all-Member workshops to identify key issues for the strategy took place in June, and these workshops informed topics to be included in the public, business and partner consultation. Two partner workshops also took place, and positive feedback was received from partners that they appreciated and valued the collaborative approach that the Council was taking as a community leader to bring stakeholders together and engage partners at an early stage.
- 1.8 In considering all of the feedback at its meeting on 23 June, the Task & Finish Group proposed that the three overarching priorities for the Strategy should be **Environment, Health & Quality of Life and Economy**. These were reported to the Performance & Finance Scrutiny Committee on the 7 July 2021. **Effective and Responsive Council** was added at a subsequent meeting of the Task & Finish group and all the issues and objectives for the Strategy would then flow from these key areas.
- 1.9 The attached final draft of the Strategy (at Annex B) is being considered by the Executive at its meeting on 19 October 2021 with a proposal to recommend the Strategy to Council for adoption. Any comments or changes to the attached Strategy will be tabled at Full Council.

2 Five Year Strategy Task & Finish Group

- 2.1 A cross-party Five Year Strategy Task & Finish Group was established by the Executive at its meeting in May 2021 to steer the development of the new strategy and the analysis of feedback received during the consultation. It was agreed that the Task & Finish Group would be politically proportionate with 3 Conservative and 4 non-Conservative members, including the Leader and 1 other Executive member. Following the Executive, nominations were invited from Group Leaders.
- 2.2 The Task & Finish Group comprised Cllr Alan McClafferty (Chairman), Cllr Sashi Mylvaganam (Vice-Chairman), Cllr Dan Adams, Cllr Graham Alleway, Cllr Peter Barnett, Cllr Cliff Betton and Cllr Robin Perry.

- 2.3 The Task & Finish Group has met six times on 23 June, 19 July, 2 August, 16 August, 25 August and 29 September: The Task & Finish Group has:
- Ensured representation and input from different political groups and areas across the whole borough,
 - Identified ways of improving the response to the consultation, and endorsed the Council trying a variety of new approaches as part of the consultation, to be built on for the future,
 - Ensured the views and needs of residents and businesses are reflected in the strategy, taking into account the all feedback from the consultation,
 - Called for the targets set within the strategy to be comprehensive, ambitious and focus on delivery,
 - Determined that the strategy should not only focus on those services that are the responsibility of Surrey Heath Borough Council to deliver, but also the issues that are important for the borough where the Council will lobby and influence partners on behalf of its residents.

3 Consultation Approach

- 3.1 Following early engagement with partners in June, the wider public, partner and business consultation was launched in July and closed on 27 August 2021. The consultation exercise was very positive, with growing interest and engagement through its duration.
- 3.2 The public consultation survey was available both online and in paper form. In addition, a shorter survey focusing on the three key questions (*'What do you love about Surrey Heath', 'What needs improving in Surrey Heath' and 'Looking ahead over the next five years what would you like Surrey Heath to be known for?'*) was also made available to boost responses. An accessible version of the survey was also available.
- 3.3 Other methods of feedback were:
- Partner online survey
 - Business online survey
 - Social media comments from residents on SHBC posts about the consultation
 - Attending public events in different locations to promote the survey and have conversations with residents
 - Online public focus groups
- 3.4 The aim of the survey was to gather both quantitative and qualitative data in variety of methods, to find out what issues matter most to those who live and work in the borough, and their aspirations for the future of Surrey Heath. The decision was taken to follow this broader approach

to consultation rather than publishing a draft survey and asking for feedback.

- 3.5 A significant promotion campaign of the consultation took place across many different channels using the **‘We’re all ears’** strapline emphasising that the Council is listening to residents and will act on the responses. Further details can be found in the Five Year Strategy Consultation Report – Annex A.
- 3.6 Details have been gathered during the exercise of residents who would be happy to take part in future consultations. This consultation and promotion has been the most significant that the Council has undertaken for a number of years, and officers are assessing what has worked well and what can be improved and built on for future consultations and engagements.
- 3.7 Strengthening the Council’s ability to engage with residents, and also improving the perception of Surrey Heath Borough Council as a ‘listening organisation’ are important areas of work. Feeding back to those who have taken part the impact of their feedback and ensuring that the Council uses and acts upon the feedback received are critical elements of this.
- 3.8 The feedback received as part of the consultation will be shared widely with Surrey Heath Borough Council services and partners and used as proactively as possible. For example, officers prepared a response to the Surrey County Council’s consultation on a Local Transport Plan (reported to the Executive on 19 October) and the feedback received as part of this consultation formed an important part of this response.

4 Consultation Responses

- 4.1 Following early engagement with partners in June, the wider public, partner and business consultation was launched in July and closed on 27 August 2021. The consultation exercise has been very positive, with growing interest and engagement through its duration.
- 4.2 The campaign reached thousands of people, with over 700 completed surveys received, in addition to significant feedback gathered via other means including social media and through more detailed conversations at public focus groups and local events.

Key headlines

4.3 Below is a summary of some of the quantitative data gathered from the survey.

Top-ranked important issues

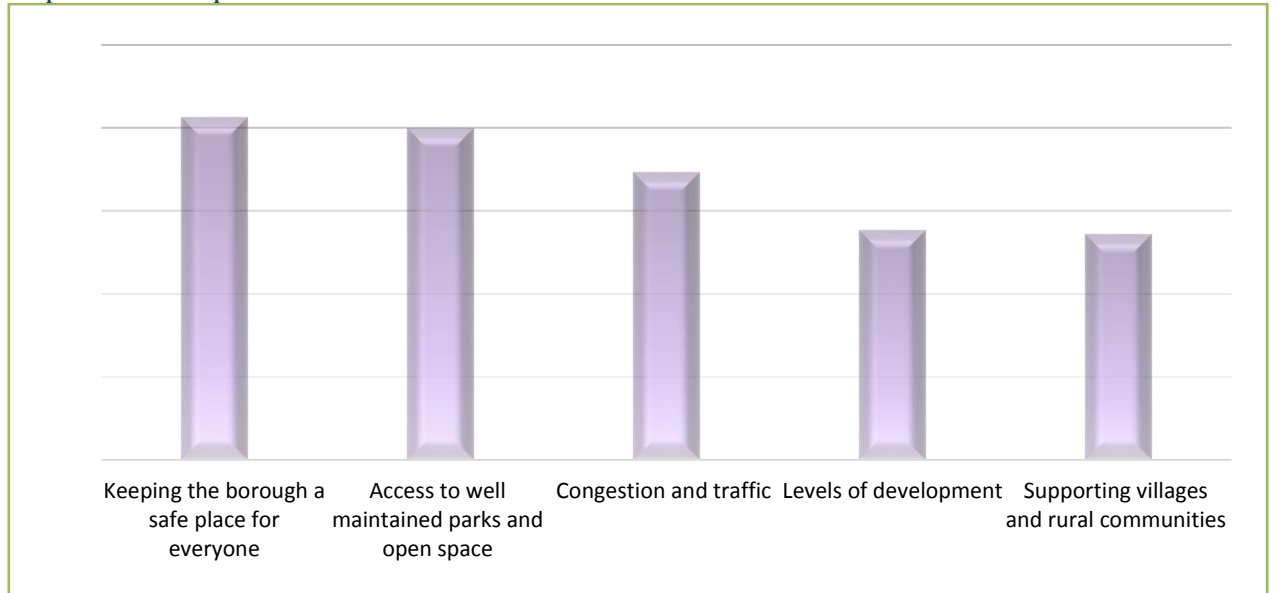


Figure 2 - Top 5 issues by % of respondents rating them as 'very important' – source: long public survey responses

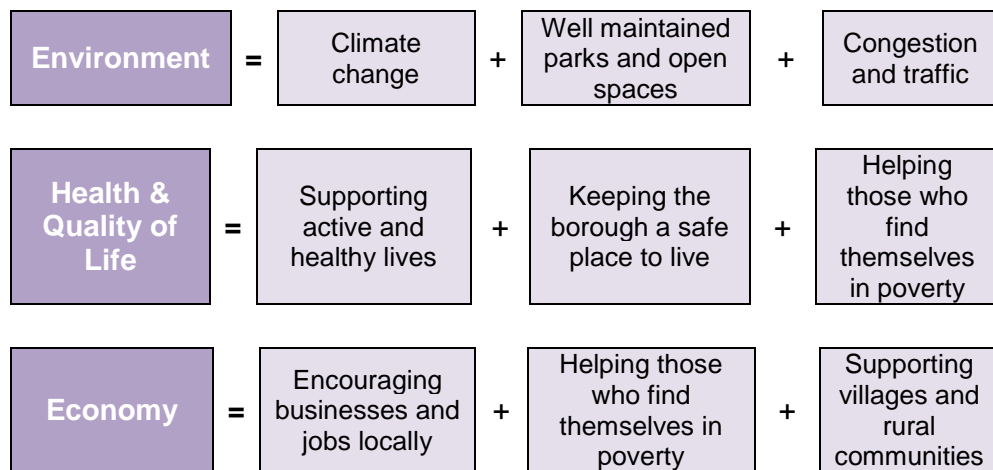


Figure 3 – top ranked issues by importance under different themes (Environment, Health & Quality of Life, Economy) – source long public survey responses

4.4 The survey included several 'free text' questions, and many respondents have taken the time to provide full responses to these which have been categorised under a 'coding framework' (a method recommended by The Consultation Institute) to allow recurring themes and points to be easily identified and reported to ensure all issues raised have been considered and included in the strategy.

- 4.5 The headlines from the survey are set out below and a report is attached setting out in more detail the feedback. All these areas have been included within the strategy:
- When asked '*What do you love about Surrey Heath?*' – over half of the respondents mentioned some aspect of green space or open spaces or access to countryside or the rural feel of the area.
 - Many people mentioned their communities and people in Surrey Heath as something they loved about the borough.
 - '*Keeping the borough a safe place to live*' was the issue with the highest proportion of respondents saying it was '*very important*'.
 - Surrey Heath's location and transport links were written about both positively and negatively.
 - 37% of respondents mentioned roads (including pot holes) / traffic or congestion in their response to "*What needs improving in Surrey Heath*".
 - Cycle routes were mentioned by a number of residents as an area to improve and increase across the borough.
 - Many people made reference to different local amenities and services as something they loved about Surrey Heath, often specifically referring to how easy these were to access.
 - A large number of people wrote specifically about the key role of Camberley town centre and that village/smaller centres needed improving.
 - A number of respondents raised issues around parking – this included how others parked inconsiderately, blocking pavements and roads.
 - 'Levels of development' was the 4th biggest issue raised by respondents saying it was 'very important'.
 - A number of residents mentioned the affordability of housing and cost of living in the area as a challenge and the need for more affordable and affordable rented housing in the borough.

- 4.6 Some of the issues raised by residents are not something that the Borough Council can deliver on its own, but these issues are still included in the strategy as areas that the Council will lobby and influence partners on behalf of its residents.

- 4.7 Below is a breakdown of respondents to the residents survey by location:

Location	Count
Ash	5
Ash Vale	14
Bagshot	40
Bisley	22
Camberley	91
Camberley Old Dean	10
Camberley Parkside	8
Camberley St Michael's	8
Camberley St Paul's	14
Camberley Town	9
Camberley Waterhearts	8
Camberley	2
Yorktown	80
Chobham	8
Deepcut	35
Frimley	23
Frimley Green	32
Heathside	64
Lightwater	26
Mythett	76
West End	57
Windsorham	22
No Answer / Out of Borough	

5 The Five Year Strategy 2022 - 2027

- 5.1 The Five Year Strategy themes, aims and objectives is attached at Annex B.
- 5.2 The strategy has been guided and developed by the Five Year Strategy Task & Finish Group and reflects feedback from the all Member and partner workshops in June, agreed priorities of the Council such as poverty and climate change, together with the feedback from the public, partner and business consultation. Efforts have been made to link targets with existing policies and work with key partners, and also distinguish between those which the Council can deliver or facilitate, and those aspirations where the Council, as community leader, will lobby and seek to influence outcomes on behalf of residents.
- 5.3 An evidence base showcasing key facts about Surrey Heath, its unique story, strengths and challenges has been gathered, shared as part of the introduction to the consultation and is a key driver of the final strategy.
- 5.4 The Performance and Finance Scrutiny Committee received the draft strategy on 8th September where valuable feedback was received and this was fed into the final strategy through the task and finish group.
- 5.5 The attached final draft of the Strategy (at Annex B) is being considered by the Executive at its meeting on 19 October 2021 with a proposal to recommend the Strategy to Council for adoption. Any comments or changes to the attached Strategy will be tabled at Full Council.
- 5.6 The final published Five Year strategy document will also include a section on the financial position of the council, the foreword, data about the Borough, how the strategy will be monitored & progressed and contact details.

6 Resource Implications

- 6.1 Mostly officer time, with some additional costs for paid social media adverts and printing from existing budgets. The Medium Term Financial Strategy will be prepared alongside the Five Year Strategy and reflect the priorities in it.
- 6.2 In the preparation of the new Five Year Strategy, the Council will need to have regard to the funding available, and ensure that the aspirations set out reflect this.

7 Proposals

- 7.1 It is proposed that Council should adopt the Five Year Strategy 2022 - 2027 as set out in Annex B, subject to any amendments from the Executive on 19 October which will be reported and tabled at the meeting,

8 Supporting Information

- 8.1 None

9 Corporate Objectives And Key Priorities

- 9.1 The Five Year Strategy will set out the Council's corporate objectives and key priorities for the next 5 years.

10 Policy Framework

- 10.1 The Five Year Strategy will set the overarching policy for the Council

11 Legal Issues

- 11.1 None

12 Governance

- 12.1 The required governance considerations have been taken into account.

13 Risk Management

- 13.1 The strategy itself has no risk attached to it but all individual projects will be appropriately risk assessed and will be reported through the councils performance monitoring process at Performance & Finance Scrutiny committee, the Executive and Council.

14 Equalities Impact

- 14.1 An equalities impact assessment has been completed on the consultation undertaken to engage the borough's residents, partners and businesses.
- 14.2 All individual projects/actions included in the Five Year Strategy will complete an equalities impact assessment as part of the reporting process.

15 Human Rights

- 15.1 Nothing specifically identified but this will be considered when the actions / project within the strategy are undertaken.

16 Environmental Impact

- 16.1 The Five year strategy very clearly sets out the Council's ambition regards climate change and associated work of the Climate Change Action Plan.

17 Consultation

- 17.1 A full consultation process was undertaken to inform the Council of the content of the Five Year Strategy – A report is attached setting out the full detail at Annex A Five Year Strategy Consultation Report.

18 PR And Marketing

- 18.1 The promotion and marketing of the Five Year Strategy consultation is set out in the attached report see Annex A Five Year Strategy Consultation Report.
- 18.2 The completed Five Year Strategy will be promoted through all the sources used for the consultation and the strategy itself will detail how you can monitor the progress of the strategy.

19 Officer Comments

- 19.1 This has been very much a team effort with input from teams all across the Council. A lot has been learnt from the public consultation which has already been shared with services across the Council. We will continue to look at how to further improve our engagement but feel that from the guidance of the Councillor Task & Finish Group a Five Year Strategy has been developed where resident, partner & business issues are at the heart of it.

Annexes	Annex A – Five Year Strategy Consultation Report Annex B – Five Year Strategy 2022 -2027
Background Papers	
Author/Contact Details	Sarah Bainbridge – Organisational Development Manager sarah.bainbridge@surreyheath.gov.uk Kate Noviss – Communications & Engagement Manager kate.noviss@surreyheath.gov.uk
Head of Service	Louise Livingston - Head of HR, Communications & Performance Louise.livingston@surreyheath.gov.uk

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Surrey Heath Borough Council

Five Year Strategy

Consultation 2021



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Introduction and background

Surrey Heath Borough Council needed a new Five Year Strategy to set the direction and priorities of the Council and the borough. The former strategy had been agreed in 2016. Since then the borough, its communities and the Council itself have experienced significant changes – not least the impact of the Covid-19 pandemic. This includes an increasing emphasis on climate change, supporting poverty and a focus on villages and rural communities alongside the ambitious Camberley town centre regeneration programme.

What was also made quite clear by Surrey Heath Borough Councillors at the outset of this work was the need to ensure that the Council consulted well with residents, businesses and partners when developing the strategy. A comprehensive consultation exercise was planned with local residents, business and organisations to understand and listen to what is important in making Surrey Heath an even better place to live and work.

Methodology

Preparatory work

It was agreed that it was important that a new Strategy should be grounded in data, so an evidence base showcasing key facts about Surrey Heath, its unique story, strengths and challenges was gathered and was a key driver of the emerging strategy.

In May 2021, the Council set up a 'Task & Finish Group' of seven Councillors from different political parties and representing different wards across the borough. The role of the group was to review the arrangements for the public consultation, analyse feedback received during the consultation and steer the development of the new strategy. The group met, with Council officers, on 23 June 2021, 19 July 2021, 2 August 2021, 16 August 2021, 25 August 2021 and 29 September 2021.

This evidence base was also used at two workshops with Councillors and two workshops with key partners that took place in June 2021 to discuss important issues and needs in Surrey Heath. These workshops informed topics to be included in the public, business and partner consultation. Positive feedback was received from partners that they appreciated and valued the collaborative approach that the Council was taking as a community leader to bring stakeholders together and engage partners at an early state.



At an early stage, and throughout the process, the Council has followed best practice guidance and training from [The Consultation Institute](#) in designing, analysing and reporting the consultation.



Consultation approach

Following early engagement with partners in June, the wider public, partner and business consultation was launched in July and closed on 27 August 2021. The consultation exercise was very positive, with growing interest and engagement through its duration.

The aim of the survey was to find out what issues matter most to those who live and work in the borough, and their aspirations for the future of Surrey Heath. Both quantitative and qualitative data was gathered in variety of methods. The decision was taken to follow this broader approach to consultation rather than publishing a draft strategy and asking for feedback, so that views expressed could shape the emerging strategy as it was being prepared. Also, the Council was happy to receive feedback by a variety of forms, including social media comments, to make it easier for people to give their views.

The Council wanted to hear residents' views about the issues and services that were important to them in the borough including things that needed improving. This includes service areas and activities that are not within a borough Council's direct control, for example roads and highways, rail and bus services, health provision and national housing targets. The Council is therefore committed to work collaboratively with partners and other agencies to represent the concerns and aspirations of local residents and in playing a full part in helping achieve better outcomes for the borough and its residents. The Five Year Strategy therefore includes specific targets for the Council where it will represent the interests of local residents, including lobbying and advocating on their behalf, on the issues that matter most to them.

The public consultation survey is attached at Annexe A, which was available both online and in paper form. In addition, a shorter survey focusing on the three key questions (*'What do you love about Surrey Heath', 'What needs improving in Surrey Heath' and 'Looking ahead over the next five years what would you like Surrey Heath to be known for?'*) was also made available to boost responses. An accessible version of the survey was also available.

Other methods of feedback were:

- Partner online survey
- Business online survey
- Social media comments from residents on SHBC posts about the consultation



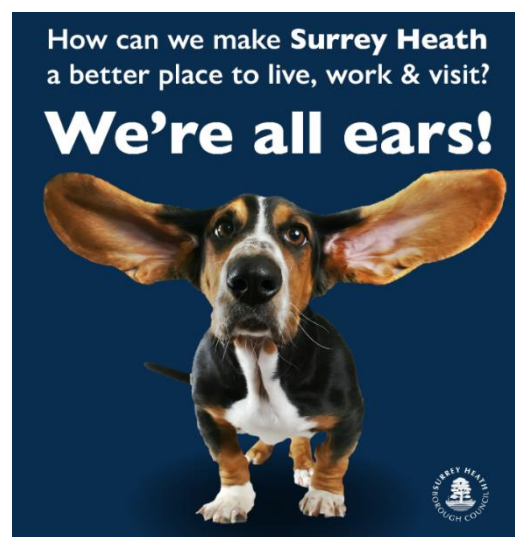
- Attending public events to promote the survey and have conversations with residents
- Online public focus groups

A significant promotion campaign of the consultation took place across many different channels using the 'We're all ears' strapline emphasising that the Council is listening to residents and will act on the responses. This consultation and promotion has been the most significant and wide reaching in recent years.



Promotion of the public consultation included:

- Significant promotion of the consultation on social media channels (Facebook, Twitter, NextDoor, LinkedIn) – the *initial* 'boosted' Facebook post targeted at local people aged 18+ reached more than 16,000 people.
- Targeted posts on Instagram aimed at local 18-30 year olds to try to reach the younger demographic.
- Promotion of the survey via the Surrey Heath Youth Council
- Article about the consultation signposting to both online and paper versions delivered to all households in the July edition of Heathscene
- Hard copies available in the Contact Centre.
- Contact Centre staff encouraged those calling to complete the survey and completed the short survey over the phone with residents when capacity allowed.
- Email signature templates promoting the survey for staff and councillors
- Hard copies distributed via the Meals at Home service
- Promoted via posters on the Borough Boards, and smaller posters distributed with scannable QR codes
- All Councillors provided with posters and surveys
- Stands at 'Celebrate Camberley' the Camberley Car Show, Windlesham Fete and a Business Improvement District Business Breakfast.
- Asking partners to promote to clients / users
- Contacting residents associations and neighbourhood watch schemes to share the survey
- Trial promoting the survey via Whatsapp messages being circulated organically by Councillors and local staff who volunteered to take part



- Promoted via homepage of the SHBC website with link to details about the consultation and surveys
- Specific promotion of the business version of the survey on LinkedIn, Facebook, Twitter, biz e-newsletter, via business associations, on SHBC website and on the 'Business in Surrey Heath' website.

Results and analysis

The campaign reached thousands of people, and over 700 completed surveys were received. In addition feedback was gathered via other means including social media and through more detailed conversations at public focus groups and local events.

Through out the consultation there was a positive level of engagement from residents and a high number of people took the time to share their views. The number of responses compares positively with similar exercises and gives a high level of confidence in the results of the survey.

The majority of data collected through the consultation was quantitative – written answers to questions such as *'What do you love about Surrey Heath?'*, *'What needs improving in Surrey Heath?'* Respondents took the time to give detailed and full answers to these questions, and so the Council invested significant resource in making sure every answer was reviewed and categorised under a 'coding framework' (a method recommended by The Consultation Institute) to allow recurring themes and points to be easily identified and reported.

Who responded?

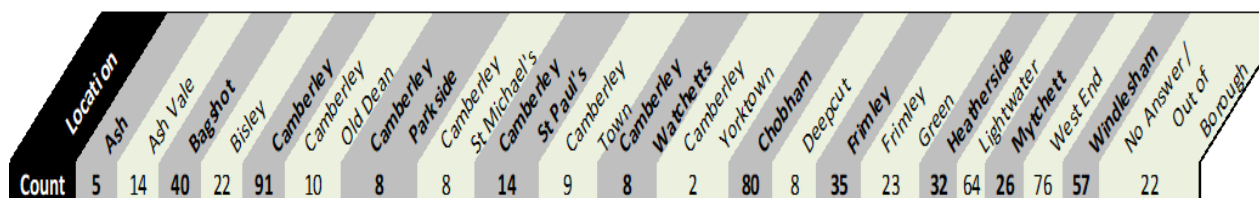


Figure 1- location of respondents to resident survey





People gave feedback from all areas of the borough – the survey was open to anyone who wanted to respond. The table above shows the number responding from different locations across the borough to the resident surveys. Partners and businesses from across the borough also responded.

70% of residents who filled in the public surveys were happy to share demographic information about themselves, and this is in Annexe B.



Consultation Findings

Top-ranked important issues

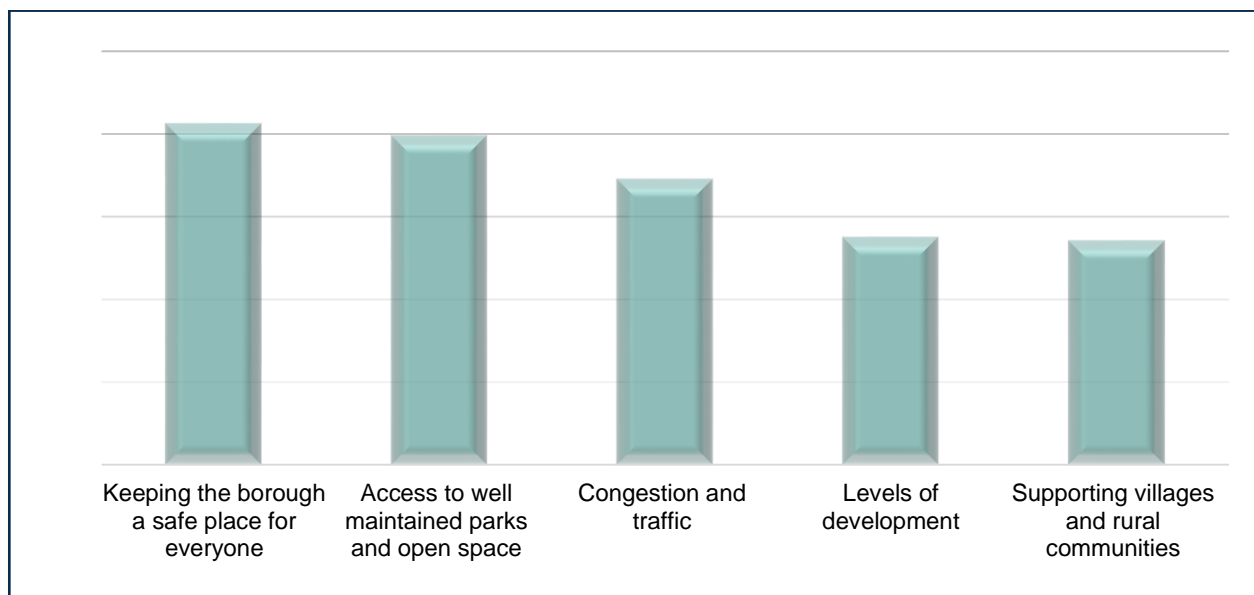


Figure 2 - Top 5 issues by % of respondents rating them as 'very important' – source: long public survey responses

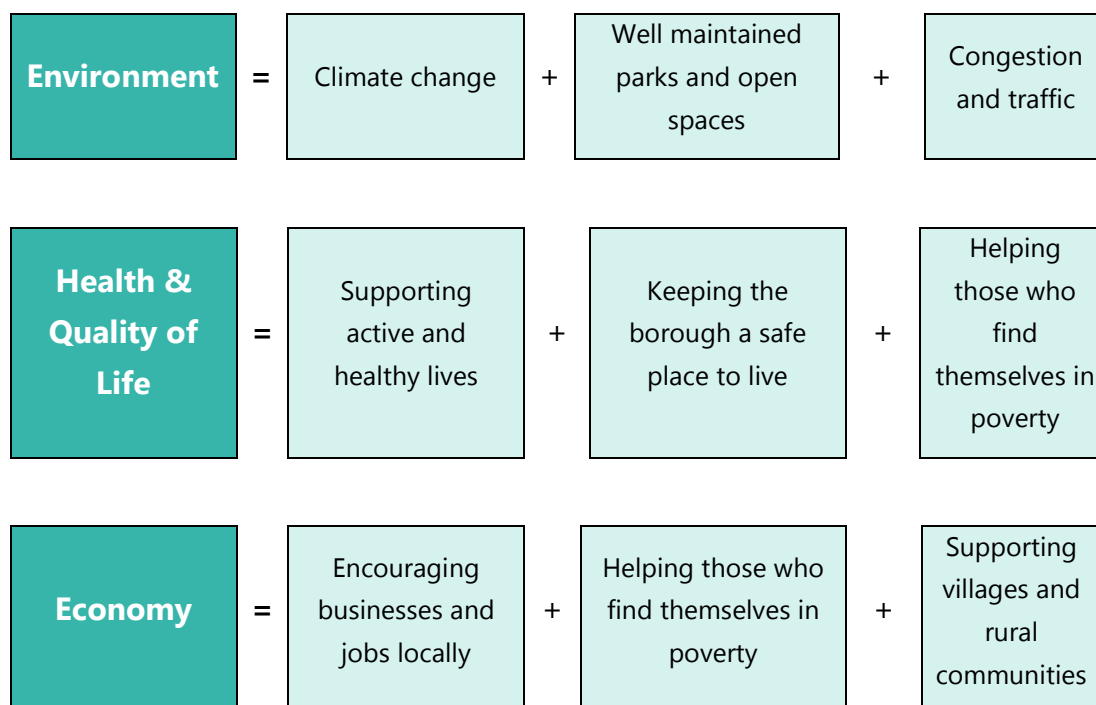


Figure 3 – top ranked issues by importance under different themes (Environment, Health & Quality of Life, Economy) – source long public survey responses

Green/open spaces /countryside

When asked 'What do you love about Surrey Heath?' – over half of the respondents to the public surveys mentioned some aspect of green space or open spaces or access to countryside or the rural feel of the area – more mentions than any other aspect of Surrey Heath.

98.5% of those who answered this question in the public survey said it was it was 'somewhat important' or 'very important' to have 'access to well maintained parks and open spaces'. This was the issue with the highest proportion agreeing it was important to some extent.



Figure 3

Source "What do you love about Surrey Heath?" - public survey responses

We live in a beautiful place. Our woodlands, heaths and waterways are amazing. Help to keep them healthy for all to enjoy.

A large number of people mentioned walking in green and open spaces, and the ease of accessing these. Lots of people talked about the rural/semi-rural or village settings, valuing wildlife, nature and habitats, trees and the 'leafy' feel of the

borough, the green belt and green areas in between

urban areas and the peace and quiet in the open spaces. Respondents mentioned different types of open/green spaces they loved including commons, open fields and meadows, woodlands and forests, parks, heathland and the canal. Some residents mentioned cycling or family walks in the countryside and the positive impact on mental health.

The fact that I can walk out of my door and you can walk to so many beautiful locations for exercise.

Survey Respondent: Mutchett



Green, beautiful countryside, some amazing landscapes which make you feel you could be 100s of miles from London rather than 20 miles. Chobham Common is a phenomenal asset. Some stunning old villages and buildings. Easy to commute to London via Woking Surrey Heath

'Access to well-maintained parks and open spaces' was ranked as the second most important issue overall under the Environment theme in the public survey behind 'congestion and traffic'.

When asked if there were any other issues not listed in the ranking questions that were important to them, a large number of respondents (approx 90) specifically mentioned the green belt; – preserving, maintaining and protecting it. 80% of those raising the green belt under this question were from Windlesham & Chobham or Bisley & West End.



Friendly people.

**Survey Respondent,
Chobham**

Community

Many people mentioned their communities and people in Surrey Heath as something they loved about the

borough. Respondents value friendly, nice people in their areas, and living close to friends and families. People wrote about a sense of community – and a strong community spirit.

Also the community feel it has about the area, especially during Lockdown there was so much good community spirit that happened.

Survey Respondent. Mvtchett

Safe nature of the borough

'Keeping the borough a safe place to live' was the issue with the highest proportion of respondents saying it was 'very important' (81%). It was also the highest ranked issue by respondents under 'Health & Quality of Life'.

Its surroundings, relative low rates of crime and antisocial behaviour, good schools.

Safety and the feeling of being safe was mentioned by some people as something they loved about Surrey Heath. A few people cited the low crime rate. Some people also raised policing and anti-social behaviour as an area for improvement, including police presence, enforcement, instances of anti-social behaviour and crime rates.

Location / Transport links

Surrey Heath's location and transport links were written about both positively and negatively. Many people commented

Public transport not sufficient or frequent enough making residents reliant on cars for commuting.

If you were able to get a more frequent train service direct from Frimley/ Camberley etc into London. That would be a massive benefit. It's a pain swapping trains at either Aldershot or Ascot. The times don't match

positively on the rural/green location, that was still close to major road networks to connect to work or the rest of the country, proximity to London, airports and other facilities/towns. Some commented that Surrey Heath had the best mix of urban and rural.

Public transport was mentioned by many respondents when asked 'What needs improving in Surrey Heath?'. People wrote about public transport both across and out of the borough.



A number of people mentioned the rail link into London – and that either a direct link, faster service or better connections would improve it. Bus routes across the borough and to other transport hubs (e.g. Woking/Farnborough) were raised and also the need for more cycle routes. A few people specifically mentioned bus links to schools or colleges and Frimley Park Hospital.



37% of respondents mentioned roads / traffic or congestion in their response to “What needs improving in Surrey Heath”, with many responses including reference to the roads themselves needing improvement, and many responses referring to problems with traffic and congestion. These topics were the ones mentioned with the highest frequency in responses as needing improving in Surrey Heath.



"What needs improving in Surrey Heath?" -public survey responses

Many respondents wrote about the poor condition and maintenance of the roads, with some mentioning potholes. Some raised concern over the safety of certain routes, and the

safety of those walking or cycling. A number of responses mentioned speeding traffic.

Cycle routes were mentioned by a number of residents as an area to improve and increase across the borough.

Survey Respondent,
Cambridge



Many

responses talked about the amount of traffic and congestion, with some referring to particular locations - quote in their local areas or on their commutes. Other issues raised were concerns over rural routes being used by traffic displaced from or avoiding major routes.

Pollution and air quality were also mentioned in a number of responses. Some people linked traffic levels and the state of repair of the roads to the amount of development in the area.

Introduce a 20mph speed limit through village and surrounding roads that are used as a cut through by people from outside the village

Comment from resident



Local Services, facilities and amenities

Many people made reference to different local amenities and services as something they loved about Surrey Heath, often specifically referring to

Leafy, safe, clean, canal, walks, theatre, library, town centre, shops, cinema, train and bus services, golf courses, Places, restaurants and coffee shops, bank, post office, dentist, opticians, excellent

how easy these were to access. Town centre, and village and community shops, pubs and restaurants and

recreational/sporting amenities were the most frequently mentioned as things people valued, some mentioning the newly opened Leisure Centre. Local schools, the hospital and parks were also mentioned.

I like the combination of urban living and services in the main centre of Camberley & Frimley combined with the rural or semi-rural villages to the north west of the Borough - each with its own special character and the generally

A larger number of people spoke about local amenities and services as something that needed improving in Surrey Heath. Most frequently mentioned was access to health services – mostly access to GPs where people spoke of difficulties getting appointments. Schools – particularly availability of places was mentioned by some, together with facilities for young people and children. Some people mentioned local play areas that needed improving.

Shops / town and village centres

A large number of people wrote specifically about Camberley town centre and village/smaller centres needed improving. Issues that were raised as important were the look and feel of areas – particularly those that were described as ‘run down’, attracting better, quality retailers – with some mentioning independent businesses – and a better and more interesting selection of bars and restaurants. Participants at a focus group discussed ways the town and village centres could be made more engaging and appealing to a wide range of people.

Let's not be a carbon copy of everywhere else in the country. Independent businesses across the Borough are the ones we need to support or it's pretty dull otherwise – you might as well be anywhere!

Parking



A number of respondents raised issues around parking – this included how others parked unhelpfully blocking pavements and roads, and also a few mentioned parking around schools at pick up and drop off. Some mentioned parking provision in the borough – both public and residential, with a few suggesting there should be more free parking.



Development / Planning / Infrastructure

'Levels of development' was the 4th issue by the number of respondents saying it was 'very important', although it did not feature in the top three issues under Environment when ranked against other issues. Many people made reference to development in their responses to 'What needs improving in Surrey Heath?' by mentioning the local planning policies, that there was too much development – particularly on green spaces, and infrastructure was needed to support development.

Too many new homes, doctors surgery is inaccessible. Unless you live within 500m of schools it's not definite you will get a space. Roads often flooded as reduced undeveloped land for surface water.

Some people said that there should be no more development at all, and a larger number said that there should be no more development specifically on green spaces or the green belt. A number of respondents also mentioned protecting the villages from development or said that the villages could not cope with any more development. A number of people raised concerns about the lack of infrastructure to cope with more development – with

roads and doctors surgeries being specifically mentioned by some.

Housing

A number of residents mentioned the affordability of housing and cost of living in the area as a challenge. Particular scenarios raised including those renting, first time buyers, younger people and older people.

Discussions at the partner workshops in July emphasised the importance of a safe, warm, quality home on people's other life chances including health, employment and education.

Affordable housing for young people. There are a lot of retirement places but nowhere for young people to live to stay near their families. Affordable housing is not a 2 bed house worth half a million on help to buy.

Other Environmental issues

Other environmental issues raised in survey responses included:

- Protection of nature, habitats and wildlife
- Maintenance and protection of verges
- Climate change and sustainability



- Air Quality
- Flytipping and litter
- Waste collection
- Maintenance of footpaths and pavements where these are overgrown

The Council

A few suggested levels of Council Tax were too high. A number of respondents described what they wanted to see from Surrey Heath Borough Council, which included listening and responding to feedback, good communication, transparency, accountability, good use of funds and an ability to run things well and be efficient. Some questioned whether the Council would do anything as a result of the feedback received during the consultation.

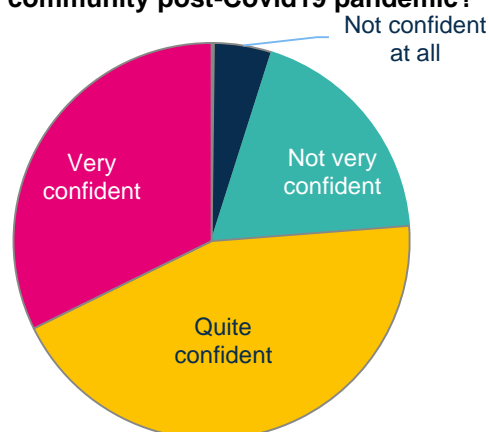
Question is, will they actually listen to these comments or are they just ticking a box?
Comment on Facebook

Impact of Covid - How confident people feel.

The survey also asked people how confident they felt about restarting their normal activities in their communities post Covid-19 pandemic. The majority of people said they felt either very or quite confident.

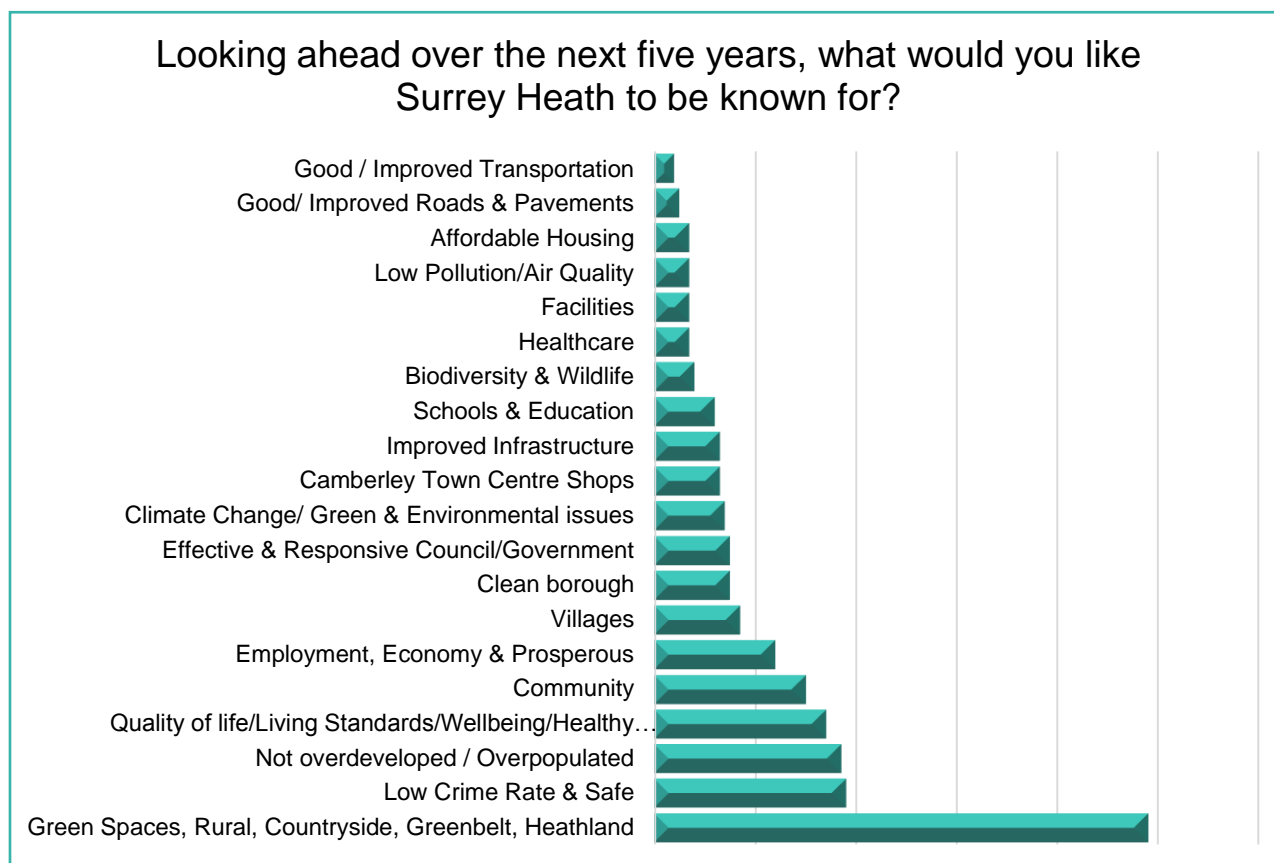
When asked what would help improve people's confidence, many people mentioned mask-wearing and clarity over guidelines.

How confident do you feel about restarting all your normal activities in your community post-Covid19 pandemic?



Aspirations for the future

The final main question in both the long and short public surveys asked respondents what they would like Surrey Heath to be known for.



Closing Remarks

This consultation represents one of the largest and most wide ranging ever undertaken in the borough of Surrey Heath. It has been successful in utilising a range of different engagement and consultation methods including both face to face and through various digital channels and as a result, has accessed a broad spectrum of valuable views and aspirations from people across the borough.

The feedback has demonstrated strong recurring themes around some key priority issues for the borough which have been drawn out within this report. At the same time, there are also some areas where inevitably views were less aligned. For example the need for more affordable housing and investment in facilities and infrastructure across the borough, while at the same time recognising the concerns about overdevelopment



and ensuring that Surrey Heath continues to be a “green” borough. The importance of supporting increased employment and economic prosperity, while also actively pursuing ambitious climate change targets. These represent real world challenges where many of the issues that are important to local people are connected in some way and need to be balanced.

The Council has a key role in setting a future strategy for the borough that reflects the full spectrum of views expressed and that, within financial and legal constraints, optimises the delivery of all the outcomes that residents want to see achieved.



Appendix A – Copy of Public Survey



SURREY HEATH BOROUGH COUNCIL

Our plans for the future

We are working on our 'Five Year Strategy' which will shape what we do over the coming years, and we want to hear from you.

We're having conversations with local people, businesses and organisations to help to understand how we can make Surrey Heath an even better place to live and work.

We need your help to decide where we focus our energies and limited resources over the next five years. You can help by telling us what you love about your local area, what you would like to see improved and what issues and services matter the most to you.

We will use your feedback to make our plans for the future, and also share your views with other local public sector and community organisations so we can work better together to serve Surrey Heath, its residents and businesses. **Thank you for your contribution.**

Please complete this survey by Friday, 27 August 2021.



Please return to:

Five Year Strategy Consultation, Surrey Heath House
Knoll Road, Camberley GU15 3HD
fiveyearstrategy@surreyheath.gov.uk



1. Which of the following best describes you? (Please tick all that apply)

- ☐ I live in Surrey Heath
- ☐ I work in Surrey Heath
- ☐ I study in Surrey Heath
- ☐ I shop in Surrey Heath
- ☐ I visit Surrey Heath for other reasons (please specify below)

2. If you live in Surrey Heath, which area do you live in?

3. What do you love about Surrey Heath?

4. What needs improving in Surrey Heath?



5. How important are these issues to you personally?

	Very important	Somewhat important	Not very important	Not important at all	Don't know
Climate change					
Helping those who find themselves in poverty					
Supporting villages and rural communities					
Investing in a thriving Camberley town centre					
More affordable housing that meets the needs of local people					
Supporting residents into employment					
Encouraging businesses and jobs locally					
Supporting active and healthy lives					
Keeping the borough a safe place for everyone					
Access to parks and well-maintained open spaces					
Addressing loneliness and isolation					
Supporting families to give young people the best start in life					
Congestion and traffic					
Levels of development					
Support for older and vulnerable people					



Page 1 of 10

	Very important	Somewhat important	Not very important	Not important at all	Don't know
Improving access for all to online services and the risk of cyber crime					
Supporting community organisations and encouraging volunteers					
Ensuring everyone in our community can access all opportunities available					
Helping residents and communities with the impact of Covid-19					

6. Are there any other issues that are important to you that aren't listed?



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7. Please rank the following issues related to **Health & Quality of Life** in order of importance from 1 to 10 (1 being the most important and 10 being the least important)

Issue	Ranking
Helping those who find themselves in poverty	
Supporting active and healthy lives	
Keeping the borough a safe place for everyone	
Addressing loneliness and isolation	
More affordable housing that meets the needs of local people	
Supporting families to give young people the best start in life	
Support for older and vulnerable people	
Improving access to all online services and the risk of cybercrime	
Supporting the community organisations and encouraging volunteers	
Ensuring everyone in our community can access all opportunities available	



8. Please rank the following issues related to the **Economy** in order of importance from 1 to 6 (1 being the most important and 6 being the least important)

Issue	Ranking
Helping those who find themselves in poverty	
Supporting villages and rural communities	
Investing in a thriving Camberley town centre	
Supporting residents into employment	
Encouraging business and jobs locally	
Helping residents, communities and business with the impact of Covid-19	

9. Please rank the following issues related to the **Environment** in order of importance from 1 to 6 (1 being the most important and 6 being the least important)

Issue	Ranking
Climate change	
Well maintained parks and open spaces	
Congestion and traffic	
Levels of development	
Keeping streets clean	
Taking action to deal with anti-social behaviour such as litter, fly-tipping and graffiti	



Page 7 of 10

10. How confident do you feel about restarting all your normal activities in your community post Covid-19?

- ☐ Very confident
- ☐ Quite confident
- ☐ Not very confident
- ☐ Not confident at all

11. If anything, what would help you restart all your normal activities in your community?

12. Looking ahead over the next five years, what would you like Surrey Heath to be known for?

13. Do you want to make any other comments?



Equality & Diversity Information (Optional)

We ask these questions to ensure all of Surrey Heath's communities' views are taken into account. Your response to this part of the survey is optional and any responses will remain anonymous.

1. What is your gender?

☐ Male

☐ Female

☐ Gender neutral/non-binary/non-conforming

☐ Prefer not to say

☐ Other _____

2. How old are you?

☐ Under 16

☐ 16-24

☐ 25-44

☐ 45-64

☐ 65-84

☐ 85+

☐ Prefer not to say





3. Please add the first part of your postcode e.g. GU15 3

4. What is your ethnic group? Choose one option that best describes your ethnic group or background

- ☐ White – English/Welsh/Scottish/Northern Irish/British
- ☐ White – Irish
- ☐ White – Gypsy or Irish Traveller
- ☐ Any other White background
- ☐ Mixed/Multiple ethnic groups - White and Black Caribbean
- ☐ Mixed/Multiple ethnic groups - White and Black African
- ☐ Mixed/Multiple ethnic groups - White and Asian
- ☐ Any other Mixed/Multiple ethnic background
- ☐ Asian/Asian British - Indian
- ☐ Asian/Asian British - Pakistani
- ☐ Asian/Asian British - Bangladeshi
- ☐ Asian/Asian British - Chinese
- ☐ Any other Asian background
- ☐ Black/ African/Caribbean/Black British - African
- ☐ Black/ African/Caribbean/Black British - Caribbean
- ☐ Any other Black/African/Caribbean background
- ☐ Other ethnic group - Arab
- ☐ Any other ethnic group
- ☐ Prefer not to say





5. Do you believe you have a disability according to the Equality Act?

The Equality Act 2010 states that "a person has a disability for the purposes of the act if he/she has a physical or mental impairment which has a substantial and long-term adverse effect on his/her ability to carry out normal day-to-day activities.

- ☐ Yes
- ☐ No
- ☐ Prefer not to say

6. What is your religion?

- ☐ No religion
- ☐ Christian (including Church of England, Catholic, Protestant and all other Christian denominations)
- ☐ Buddhist
- ☐ Hindu
- ☐ Jewish
- ☐ Muslim
- ☐ Sikh
- ☐ Prefer not to say
- ☐ Other _____

7. Which of the following best describes your sexual orientation?

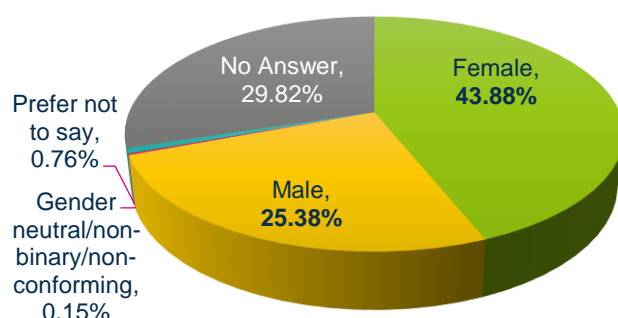
- ☐ Straight/Heterosexual
- ☐ Gay or Lesbian
- ☐ Bisexual
- ☐ Prefer not to say
- ☐ Other _____



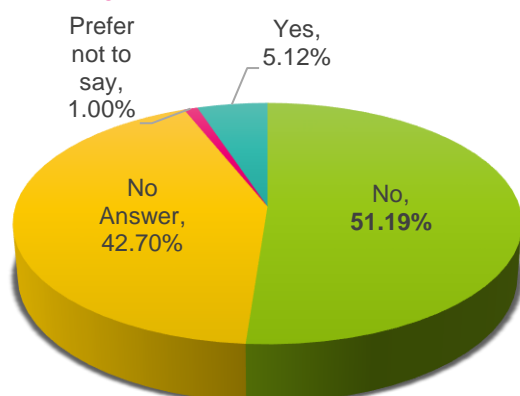
Annexe B – Demographic information

Optional demographic questions were included at the end of both the long and short public surveys. In total 70% of respondents agreed to provide this information, which is set out below.

What is your gender?



Do you believe you have a disability according to the Equality Act?

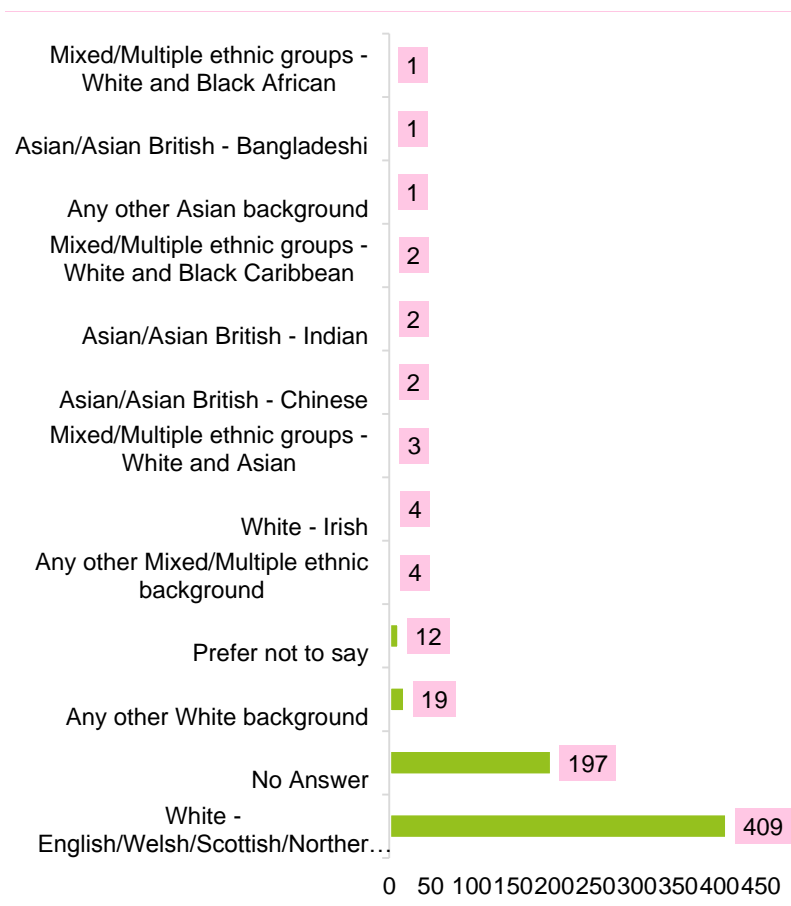


How old are you?

Under 16	2
6-24	11
25-44	107
45-64	206
65-84	121
85+	3
Prefer not to say	10
No Answer	194

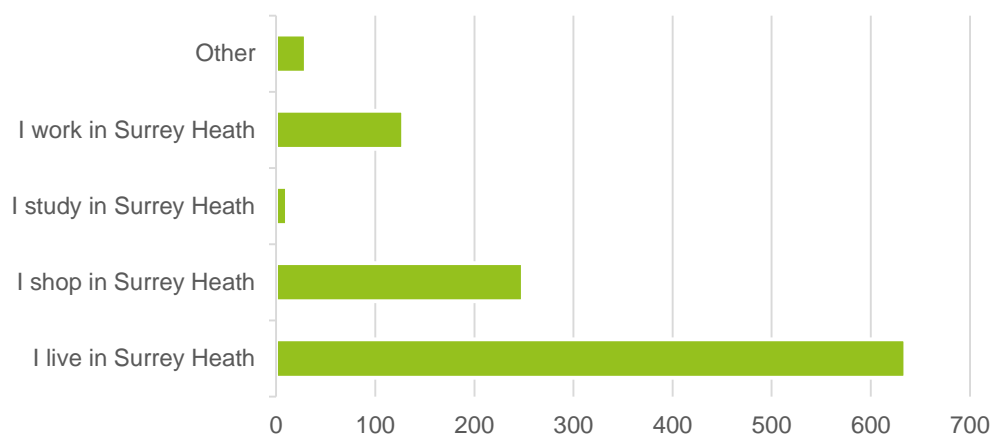


What is your Ethnicity?



Which of the following best describes you? (select all that apply)





Where did you hear about this survey?

ANSWER	COUNT	%
Borough boards	6	0.92%
Call to SHBC Contact Centre	8	1.23%
Camberley Eye	10	1.53%
Council website	15	2.30%
Friend/Neighbour/Family	10	1.53%
Heathscene magazine	25	3.83%
Messenger message	1	0.15%
Neighbourhood Watch	5	0.77%
No Answer	211	32.36%
SHBC Councillor	24	3.68%
Social Media - Next Door website	2	0.31%
Social Media	313	48.01%
Stand at a local event	6	0.92%
Whatsapp message	2	0.31%





Other	14	2.15%
Grand Total	652	100.00%



Appendix C – public committee reports

Links to Surrey Heath Borough Council Committee reports on Five Year Strategy:

- [Performance & Finance Scrutiny Committee, 17 March 2021](#)
- [Executive, 25 May 2021](#)
- [Performance & Finance Scrutiny Committee, 7 July 2021](#)
- [Performance & Finance Scrutiny Committee, 7 September 2021](#)



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The next Five Years – our priorities



Environment

To enhance and improve access to the borough's cherished **green spaces and natural environments** for the enjoyment of generations to come, balancing our commitments to housing delivery and economic growth. We are committed to tackling **Climate Change**, working with communities and partners.

Health & Quality of Life

To nurture the **strong sense of community across the whole borough**, fostering a sense of respect and consideration. We aim to ensure everyone can access a **safe, quality home** to meet their needs. We will take a positive approach to **supporting** all sectors of our community, including those who are most vulnerable. We will promote **active and healthy lives** for all and a rich programme of **cultural and community events**.

Economy

To invest in our **towns, villages and communities**, supporting our **existing businesses and attracting new ones**. We will promote the unique identity for our whole borough and its places and work with partners to improve to the borough's infrastructure including **transport** infrastructure.

Effective & Responsive Council

We have **listened** to the views of residents, business and partners to set these priorities. We will continue this positive engagement through the implementation process, and we will **advocate** on behalf of our community on issues outside our direct control. We will increase how we **work together** with other Local Authorities, partners, businesses and the voluntary sector – we recognise more can be achieved by working together. **Customer service** will be at the heart of everything we do. We will harness the opportunities of **technology** to deliver efficient and effective services. We will **spend public money wisely** and attract resources and investment into the borough as a whole.

Environment

Surrey Heath is fortunate to have large areas of high quality green space, countryside and internationally important habitats. The challenges facing our planet should not be underestimated and caring for it has never been so important. We are committed to showing leadership, working with partners, businesses and residents to undertake local action on the environment. In doing so we will work to protect and enhance our natural environment for future generations.

The Council declared a climate emergency in October 2019 and as a result of this it has developed a Climate Change Action Plan setting out expectations in this area.

The borough as a whole enjoys one of the highest recycling rates in the country, but there is still scope to achieve even more over the next five years.

Our Aims:

- Enhance and improve access to **green spaces** across the whole borough for the enjoyment of generations to come.
- Through our **strategic planning**, we will ensure that we balance our commitments to housing delivery and economic growth, alongside preserving and enhancing the natural environment as a place to enjoy and spend time.
- To work towards achieving the ambitious **net-zero carbon emission target** by 2030 as an organisation and contribute to making the entire borough net zero by 2050 (with the aspiration for net zero by 2030).
- To ensure that the Council as an organisation is resilient to the impacts of **climate change** and support the resilience of the whole borough to the impacts of climate change.
- Work with our communities and partners to reduce the amount of household waste produced by increasing **recycling** and ensuring improved knowledge of our recycling processes, and reducing the impact of environmental crime.
- Improve the **air quality** of the borough by working with partners to improve public transport and supporting and enabling greener and more active methods of travel.

How will we do this – our actions

Environment			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
Enhance and improve access to green spaces	<p>Enhance the Borough's parks and green spaces, protecting our unique biodiversity whilst also improving public access to green space for leisure, recreation and wellbeing. Every year, implement at least:</p> <ul style="list-style-type: none"> • One playground improvement or replacement programme • One biodiversity scheme (e.g. habitat improvement, wildlife corridors, planting pollinators) • One project improving accessibility to green space 	Local Plan Natural England, Special Protection Areas (SPAs), Suitable Alternative Natural Green Space (SANGS), Surrey Wildlife Trust,	<i>Years 1 – 5 Implement improvement plans</i>
Strategic Planning	<p>To adopt in 2023 an ambitious new Local Plan for the whole borough that will:</p> <ul style="list-style-type: none"> - Deliver significant reductions in carbon emissions - Enhance, protect and provide improved greenspaces and other open spaces - Include a 'Biodiversity Strategy' - a plan of action to ensure that plants, animals and ecosystems are conserved, protected and enhanced and that progress is tracked, using measurable targets. 	Local Plan Natural England, Special Protection Areas (SPAs), Suitable Alternative Natural Green Space (SANGS), Surrey Wildlife Trust, Surrey County Council	<p><i>Adoption Year 2: Regulation 18 consultation in 2022 Adoption of Plan in December 2023</i></p>
Net Zero Carbon Emissions & resilient to the impacts of climate change	<p>Achieve at least 70% net reduction in the Council's carbon emissions by the end of this Strategy. Develop and deliver a credible pathway to being carbon neutral by 2030 in our estate and operations. This will be achieved by understanding</p>	Climate Change Action Plan The Carbon Trust Surrey County Council	<i>Years 1 – 5 (and beyond to 2030)</i>

Environment			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	the nature and use of fleet and pathway set for an ultra-low emission transformation. Energy Strategy implemented to guide net zero estate goals		
	Improve energy efficiency and increase local renewable energy production to transition to net zero-carbon energy status.	Climate Change Action Plan The Carbon Trust	<i>Years 1 – 5 (and beyond to 2030)</i>
	Work with partners to support initiatives and infrastructure to increase the uptake of walking, cycling and public transport, and low emission vehicles. Deliver at least one new cycle route during the period.	Climate Change Action Plan Infrastructure Delivery Plan Surrey County Council	<i>Years 1 – 5 (and beyond to 2030)</i>
	Deliver improvements to green infrastructure across the Borough, increasing the potential of land, biodiversity, current and future woodland in the Borough to sequester and store carbon, e.g. promoting use of hedgerows.	Climate Change Action Plan Environment Agency Natural England	<i>Years 1 – 5 (and beyond to 2030)</i>
	Use education and best practice sharing to drive significant behavioural changes within Surrey Heath to encourage the adoption of more sustainable lifestyle choices	Climate Change Action Plan Surrey Waste Partnership & Surrey Environment Partnership Surrey Greener Futures Board Surrey County Council	<i>Years 1 – 5 (and beyond to 2030)</i>
	Adapt our estate and operations to meet the challenges posed by climate change and set the standard for all sectors of our local community and new development, and existing housing stock, to reduce carbon emissions and adapt	Climate Change Action Plan Local Plan Accent Housing	<i>Years 1 – 5 (and beyond to 2030)</i>

Environment			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	to the impacts of climate change.		
	Identify a preferred partner to invest and deliver sustainable energy sources across the borough and reflect the need to establish sustainable energy sources into future Planning Policy.	Local Plan	By year 3
Respond promptly to Environmental and planning enforcement matters	Investigate against suspected unlawful environmental and planning activities, uses or behaviours including encroaching bushes/trees/hedges that obscure sight lines and force pedestrians to walk in the road. Take appropriate enforcement action. Deliver at least 15 joint initiatives with the police to tackle environmental crime including anti-social behaviour over the next 5 years, e.g. stop vehicles that may be involved in illegal waste disposal. Implement mobile CCTV cameras.	Police Environment Agency Highways Agency Surrey County Council Landowners	<i>Years 1 – 5</i>
Increase recycling rates	Reduce waste and increase reuse and recycling and the quality of recycled materials across the Borough, by working with partners to increase public awareness and respond to the Government's new Resources and Waste Strategy. Continue to have the highest recycling rate in Surrey over the next 5 years.	Climate Change Action Plan Joint Waste Solutions Amey Surrey Environment Partnership	<i>Years 1 – 5 Implementation from Year 2 pending new national Resources and Waste Strategy.</i>
Improve air quality / Air 'inequality'	Change the Council's entire fleet of vehicles to electric and/or low/zero emission vehicles (where technology	Surrey County Council	<i>By Year 2: EV Charging points installed</i>

Environment			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	allows). Support the use of electric/low/zero emission vehicles across the rest of the borough, for example introducing electric charging points in Council car parks and supporting the installation of on-street charging points.		<i>in council owned car parks</i> <i>Years 1-5:</i> <i>On-street charging points development with Surrey CC</i>

Health & Quality of Life

The health and quality of life of all the Borough's residents is very much at the core of the services that the Council provides to its residents understanding that having a warm, safe and secure home, and a healthy, attractive environment which is key for improving health outcomes and our residents quality of life.

The Council wants to ensure communities have the infrastructure and accessibility to meet the needs of a changing and growing population. Supporting the development of attractive, sustainable and vibrant communities for people to live, work and enjoy. We will also take a positive approach to supporting those who are most vulnerable.

We will continue to harness the strengths that exist within communities, so that local people are able to contribute and play an active role. Empowering people to maintain good mental and physical health and well-being with access to information, advice and guidance on local activities and services that will enable them to lead active and healthy lifestyles.

Our Aims:

- Building strong communities and connections with a sense of place and **strong community identity**, fostering a sense of respect and consideration between neighbours and communities.
- Support health and wellbeing by promoting and developing initiatives that means residents can lead **active and healthy lives**
- We will deliver new homes that people can afford by finding ways to provide more good quality, **genuinely affordable housing**, including at least 100 new socially rented homes through Housing Associations for those with the lowest income levels, to better provide for the needs of all Surrey Heath residents
- Address the underlying causes of **housing need**, improving outcomes and support available for people who are homeless or at risk of homelessness.
- **Safeguard and support** our vulnerable residents and support independent living for all.
- Deliver projects that support **young people and families**.

How will we do this

Health & Quality of Life			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
Strong Community Identity	As part of the recovery of our communities implement and support exciting programme of events across the whole borough spanning the whole year. Overall we will double the number of events and activities the Council supports over the next five years.	Business Improvement District Local Community Groups	<i>From Year 1</i>
	Provide support to residents in need by developing the Community Support Working Group with partners and community leaders.	Citizens Advice SH Voluntary & Community Groups	<i>Year 1</i>
	Deliver a safe borough and take prompt action in response to environmental crime and anti-social behaviour building a reputation as the safest Borough in Surrey.	Police & the Surrey Heath Partnership	<i>Year 1 – 5</i>
	Deliver a Charity Hub for multiple charities to benefits with a flexible office type offer for both admin space, outreach work and a café area.	Voluntary & Community Groups	<i>Year 1 Analysis and business case Year 2 Implement</i>
Improving Health & Well Being	Implement a new Physical Activity Strategy; working with our communities and partners to enable everyone to participate in physical activities.	Physical Activity Strategy Sports England	<i>From Year 1</i>
	Ensure that the Leisure Centre is being fully utilised and accessible to all, through excellent management of the contract and delivery against the key performance indicators. Achieve the projected maximum membership level by year 2.	Physical Activity Strategy Places Leisure	<i>Year 2</i>
	Work with health and voluntary partners to target the issue of obesity (a 'whole systems approach') to reduce the number of people in Surrey Heath who are likely to develop serious long term health issues due to obesity. In Surrey Heath 62.2% of adults are estimated to be overweight or obese, compared to 55.5% across Surrey as a whole.	Health & Social Care Partners Voluntary Groups	<i>Year 1 Analysis Year 2 Implementation</i>

Health & Quality of Life			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	Work with Frimley Hospital and Frimley Integrated Care System to identify suitable sites to help establish outreach health facilities from an accessible Town Centre location.	Frimley Hospital Frimley ICS	Year 4-5
	Deliver where possible, facilitate or lobby for improved transport infrastructure within our rural villages, to increase connectivity within communities, between villages and with the wider amenities, facilities and services in Surrey Heath	Surrey County Council Local Plan	Year 1 SHBC scheme Year 1-5
	Deliver an expanded programme of high quality arts and cultural activities and events across the borough to support the wellbeing of residents.	Surrey Arts Partnership Business Improvement District	From Year 1
A safe place to live and work	Deliver at least 20 Joint Action Groups (JAGs) with the Police and partner organisations to provide an early response to emerging crime and anti-social behaviour issues at a community level.	Surrey Police Local Businesses Housing Associations Schools	Year 1 to 5
	Replace the borough's ageing CCTV infrastructure and provide the ability to quickly deploy mobile CCTV when and where it is needed.	Surrey Police	Year 3 to 5
	Work with the Police and other agencies to ensure that there is a robust response to emerging national threats including County Lines, Human Trafficking, Child Sexual Exploitation, Extremist behaviour and Serious Organised Crime.	Surrey Police Housing Associations Contractors Voluntary Organisations	Year 1 to 5
	Raise awareness and deliver training to all front-line staff on safeguarding and domestic abuse and the action that can be taken to protect victims.	Surrey County Council Surrey Police Local Organisations	Year 1 to 5

Health & Quality of Life			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
Housing & Homelessness	<p>Prevent homelessness and rough sleeping and find housing solutions for individuals and families who find themselves homeless, by:</p> <ul style="list-style-type: none"> Maximising the use of the Council's new Night Stop (6 rooms) and Connaught Court (9 rooms for stays between 6 months and two years) facilities Delivering partnerships that aims to eradicate homelessness across the whole Borough 	<p>The Hope Hub, MHCLG Accent</p> <p>Accent & Other Housing Associations, private landlords, statutory and voluntary sector partnerships</p>	Year 1 - 5
	Where housing is delivered, do all that we can within the confines of legislation to maximise the amount of affordable and socially rented homes. Deliver at least 300 affordable homes across the borough of which 100 will be new socially rented homes and build at least 49 homes through a joint venture to support people receiving housing benefit or being paid minimum wages.	Local Plan Accent & other Housing Partners Developers	Years 1 – 5
	Oversee and provide support to secure the agreed housing development and associated infrastructure at Deepcut (Mindenhurst) At least 600 houses to be delivered over the next 5 years.	DIO MOD Developer & Housing partners	<p>342 dwellings by year 3 Further 275 by year 5</p> <p>Permission permits 1200 dwellings in total.</p>
	Repurpose under-utilised office and retail units for housing	Local Plan Town Centre Strategy Town Centre Master Plan	Construction commences from Year 3
	Deliver Gypsy and Traveller pitches in line with the need identified and Government policy and work with partners to secure implementation of a new transit site for Gypsy and Travellers in Surrey.	Local Plan Surrey County Council Other Surrey Borough & Districts	Years 1 – 5

Health & Quality of Life			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
Access to leisure and recreation	Work with Disability groups and charities to maximise access to leisure and recreation facilities across the borough.	Leisure Partner Charity Groups	<i>Years 1 – 5</i>
Safeguard and Support	Continue to support the current and future refugee resettlement programmes supporting our new residents into full independence.	Housing Policy Accent Health & Social Care Education Local community & charity groups	<i>Independent by Year 5</i>
	Deliver and fund services that promote independent living for older and more vulnerable residents to reduce loneliness and isolation by increasing take up of community support services by at least 20% over the next 5 years.	Community Services Partnership (with Runnymede BC)	<i>Years 1 - 5</i>
	Undertake an independent review of our aids and adaptations service and implement improvements to increase by at least 20% the number of disabled and vulnerable residents supported subject to future funding.	Better Care Fund partners, Adult Social Care	<i>Year 1 Complete independent review Year 2 -5 deliver</i>
	Through the Council's Family Support programme work together with families and children with complex needs or in crisis to help them get back on their feet, offering the right help at the right time to prevent things escalating. Over 5 years will support a minimum of 100 families in crisis.	Surrey County Council Runnymede Borough Council	<i>Years 1 – 5 (annual review with SCC)</i>

Economy

Surrey Heath Borough is home to a diverse range of successful businesses with high levels of employment in both our rural and urban areas. As we look beyond the Covid-19 pandemic it is vital we restore the vibrancy of our high streets, village and community centres and key employment areas, retain and develop our existing business base and make Surrey Heath a place where new businesses want to be located.

Investment in local infrastructure is key to the economic success and jobs for the borough as a whole and the health and quality of life of local residents.

Our Aims

- Seek opportunities where the Council can **invest** in property both in our urban and rural communities
- Be recognised as an authority and borough that is '**pro-business**'
- Develop the **Local Plan** in line with national policy, ensuring that where growth is planned and designed in a way that maximizes the protection of the borough's valuable green spaces and distinct character. Through the plan promote vital and viable town, village and community centres, ensuring an appropriate supply of employment land.
- Support all of the Borough's **business community** by attracting inward investment and creating conditions for existing and new business to thrive.
- Develop and implement a strategy that will deliver improvements in the borough's **transport infrastructure**
- **Help young people into employment**
- Encourage a **unique and engaging offer** in our town, village and community centres by encouraging independent and artisan businesses
- Monitor and support the **needs of existing businesses** in terms of infrastructure and connectivity and lobby government, funding and private organisations on their behalf

How will we do this

Economy			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
Invest in our urban and rural areas	Identify a minimum of five sites across the Borough for the Council to invest in to deliver regeneration and community facilities.	Investment Strategy Medium Term Financial Strategy Developers Infrastructure Delivery Plan	<i>Years 1 - 5</i>
	Deliver increased housing from the London Road Block through the development of a viable and high quality scheme.	Developers	<i>Years 1 part demolition Year 2 development partner selected Year 3 construction starts</i>
	Undertake an assessment of our rural areas to identify and deliver infrastructure needs that will improve community facilities and enhance our villages and communities	Villages Working Group	<i>Year 1 identify infrastructure needs Year 2-5 Implementation</i>
Improve transport infrastructure	Enable the delivery of local infrastructure improvements across the Borough through the Community Infrastructure Levy (CIL) spending strategy, including a review of the CIL rates.	CIL Guidance / Infrastructure funding statement	<i>Years 1 – 5</i>
Deliver a new Local Plan for Surrey Heath	Identify and allocate appropriate development sites for housing to be delivered in line with National and Local Planning Policy.	Local Plan Landowners	<i>Years 1 - 2</i>
	Identify and acquire land that can be used for SANGs (Suitable Alternative Natural Green space) to unlock housing development in the Borough where it is most needed	Local Plan Landowners	<i>Years 1 – 5 (Local Plan adoption Year 2)</i>
	Agree and implement a clear vision, strategy and masterplan for the development of Camberley Town Centre, based on feedback from local residents and businesses.	Local Plan Camberley Town Centre Strategy	<i>Agree Year 1 Implement Years 2 – 5 and beyond</i>

Economy			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
		Camberley Town Centre Master Plan	
Investment in Infrastructure	Develop and implement an infrastructure delivery plan for the Borough as a whole identifying priority areas for investment over the short, medium and long term.	Surrey County Council Other Infrastructure Advisors	<i>Year 1 Draft Year 2 Finalise</i>
	Implement a new Community Infrastructure Levy charging scheme linked to the development of a new Local Plan, subject to any Government reviews of the scheme.	Developers Infrastructure Providers	<i>Year 1 Proposals & Consultation Year 2 new scheme in place</i>
Pro-business approach / Support our businesses / Attract more inward investment into the borough as a whole	Actively encourage independent, artisan and environmentally sound businesses into our Town, Village and community centres through a package of benefits for new startup businesses as a means to promote facilities, services and experiences for residents.	BID, Surrey Chambers, Business Associations	<i>Years 1 – 5</i>
	Be recognised for a pro-business approach across all Council Services to build a reputation for the borough as a good place for businesses to invest and grow.	Surrey Heath Businesses BID Local Business Forums Local Enterprise Partnership SCC	<i>Years 1 - 5</i>
	Increase the amount of Council procurement spent locally, and promote local spending to other businesses.	Surrey Heath Businesses Local Business Forums BID	<i>Year 1</i>
	Deliver, with partners, initiatives to help develop people's skills and get them into employment eg The Youth Hub	DWP National Careers Service	<i>Years 1 Year 2 – 5 subject to funding</i>
	Work with partners to deliver a 'unique selling point' for Camberley Town Centre, keeping up with emerging technology opportunities; to support innovation in the retail and town centre economy.	Education and Health partners BID Town Centre Strategy Local Businesses	<i>Year 1 Town Centre Strategy</i>
	Support new and growing business through council facilitated meetings, business clinics and growth hub	Surrey Chambers BID	<i>Years 1 - 5</i>

Economy			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	Support the development of the green economy, and support businesses to achieve net zero carbon emissions.	Climate Change Action Plan Local Businesses LEP SCC	<i>Years 1 – 5 (and beyond to 2030)</i>
	Deliver a robust economic development strategy supporting economic recovery and sustainable growth in the borough including the key business hubs.	Surrey County Council LEP BID Surrey Chambers Businesses	<i>Agree year 1 Implement years 2 – 5</i>

Aspirations for our community

A key part of the Council's role as Community Leader is to lobby and influence on issues that are not within our ability to deliver directly. We have listened to what is important to our residents and business, and will champion the issues below on their behalf:

Issue	Partner
Reflecting residents' aspirations that Surrey Heath remains a safe place to live and work , ensure that the borough has the level of police resources it needs and that relevant partner organisations, businesses and local groups help ensure that there is a timely response to any emerging patterns of crime and anti-social behaviour.	Surrey Police and Crime Commissioner Surrey Police Accent Other Housing Associations
Acknowledging the concerns of local residents about over development, the Council will focus on the legal requirement to deliver the Government's prescribed housing target for the borough as a whole, while at the same time lobbying the Government to recognise the special circumstances in Surrey Heath that significantly limit the scope for development, for example protected heathland.	Central Government
Improving the Borough's rail links to London and other key towns and cities	Network Rail
Ensuring that the bus services across the whole Borough are efficient and sustainable.	Surrey County Council Local Bus Operators
Improving the highway network to address congestion and heavy vehicle traffic and lobby for improved alternative transport options to reduce car usage.	Surrey County Council Highways England
Improving the highway network to address poor quality or badly maintained roads and potholes and increase road safety	Surrey County Council Highways England
Increase road and pedestrian safety through safer driving speeds in residential zones, and safer pedestrian crossing points and tackle inconsiderate parking on the roads and pavements including rat runs.	Surrey County Council Highways England
Work with partners to improve air quality and combat air pollution by tackling idling and higher polluting vehicles.	Police Surrey County Council / schools
Mitigate climate change by increasing green economy , increasing community recycling facilities , encouraging re-use schemes	Surrey County Council Surrey Environment Partnership Business Associations

Issue	Partner
Encourage investment in full fibre digital infrastructure progressively across the whole borough to encourage business and professional groups into the area.	Technology Infrastructure Company's Surrey County Council
Support the needs of existing businesses in terms of infrastructure and connectivity	Business Associations / BID Surrey County Council Telecoms providers
Increasing employment levels across the whole borough including supporting young people to access employment for the first time.	Business Associations / BID / Businesses Job Centre Plus Skills Hub
Build links with the Higher Education sector within the borough	Universities and colleges
Working in partnership with key stakeholders improve activities, facilities and support for young people across the borough.	Surrey Heath Partnership SCC
In responding to any proposed changes to local public services , such as proposals for unitary authorities, act as an advocate for whatever solution best meets the needs and aspirations of Surrey Heath borough and its residents.	National Government, Other Local Authorities and partners
Tackle health issues in areas of deprivation with a view of improving life expectancy for these areas by working in partnership within the integrated health and social care system.	Frimley Health and Care Surrey Heartlands Health and Care Health Partners Community Groups

Effective & Responsive Council

The Council is always looking at how it needs to adapt itself and with the growing agenda on local government reform including devolution, county deals, and local government reorganisation, the Council needs to be prepared looking for greater partnership opportunities to improve economies of scale and resilience.

Technology is advancing and we need to be able to interact with our residents efficiently, our residents expect to contact in a way that is convenient to them. We need to find innovative ways to serve the needs of our customers.

Our aims

- We have **listened** to the views of residents, business and partners to set these priorities. We will continue this positive engagement through the implementation process, and we will **advocate** on behalf of our community on issues outside our direct control.
- **Customer service** will be at the heart of everything we do.
- Continue with the **digital transformation** programme making it easier and more efficient for residents to access Council services
- We will increase how we **work together** with other Local Authorities, partners, businesses and the voluntary sector – we recognise more can be achieved by working together.
- To **spend public money wisely** and attract resources and investment into the borough.

Effective & Responsive Council			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
To listen and engage with our communities	Engage meaningfully with our community on all key policies impacting on the local community and become recognised as one of the best Councils for doing this.	Engagement Policy	Years 1 - 5
To deliver customer friendly and responsive services	To provide accessible services to meet the needs of the borough's diverse communities and be increasingly renowned for Customer Service Excellence	Surrey Heath Partnership	Years 1 - 5

Effective & Responsive Council			
Our Aim	Our Action	Link to Partner/Policy	Implementation Year
	Increase the number of partnerships and joint appointments with other Councils in Surrey to provide more efficient and sustainable services.	Neighbouring Surrey District & Boroughs	Years 1 - 5
	Transform the Council's planning application service and processes to be efficient, responsive and communicative.	Planning Advisory Service Digital Strategy	Year 1
Work towards financial autonomy and fully sustainable services	Deliver the Council's Medium Term Financial Strategy	The Council's Budget Medium Term Financial Strategy	Years 1 - 5
	Bring forward invest to save initiatives that enable the Council to bring down its cost base	Medium Term Financial Strategy	Years 1 - 5
Continue to deliver Digital Transformation	Upgrade the Council's website, making it easier to access a wider range of Council services on-line	Digital Strategy	Years 1 – 2
	Enable more residents to access the services they need through digital channels		
	Support digital inclusion to ensure everyone is able to access the services they need.		
Making the Council a more agile and responsive organisation	Provide the technology infrastructure to enable staff to be effective from any location	Digital Strategy	Years 1 - 5
	Free up additional space in Surrey Heath House through greater agile and flexible working, for generating additional income.	Medium Term Financial Strategy Agile working policy	Year 1

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Governance Working Group

Ward(s) Affected:	All
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Purpose

The Council is asked to consider recommendations from the Governance Working Group in relation to

- (i) An additional delegation to the Head of Planning concerning the strategy of planning appeals in circumstances where the proposed approach could be considered undermine a decision of the Planning Applications Committee; and
- (ii) revisions to Financial Regulations and Contract Standing Orders.

1. Background

- 1.1. The Working Group met on 17 September 2021. At this meeting it considered a number of issues and made recommendations which are addressed below.

2. Scheme of Delegation of Functions to Officers - Planning Appeals

- 2.1. The Working Group discussed a report which was being considered in response to concerns raised at the Council meeting on 14 October 2020 regarding governance matters on planning appeals.
- 2.2. The Group is proposing to add a specific delegation to the Scheme of Delegation of Functions to Officers for the Head of Planning to have authority to determine the strategy for planning appeals in cases where the proposed approach could be considered undermine a decision of the Planning Applications Committee (PAC). The delegation would be exercised after consultation with the Chairman and Vice Chairman of the PAC and the relevant Ward Councillors. The occasions where this delegation would need to be exercised were likely to be rare and only where external advice indicates that the Council's position would not be defensible. The need to ensure that it reflected the correct process and consultation without inadvertently impeding the Head of Planning managing the majority of appeal cases was recognised by members of the Group.
- 2.3. The Working Group was advised that, even if the timescales involved in the planning appeals process allowed, it would not be possible to ask the PAC to make the decision relating to the defence of the Council's case at a planning appeal as this could be seen to be "double determination". However, members of the Group recognised the importance of the PAC having oversight of any decision relating to the defence of an appeal of its decision and it would be advised as appropriate.

3. Review of the Constitution

- 3.1. The Working Group considered proposed revisions to Financial Regulations and Contract Standing Orders, which formed phase 1 of the review of the Constitution. The amendments principally reflect good practice and changes to senior management roles and titles.

Financial Regulations

- 3.2. The Working Group considered the proposed amendments to Financial Regulations, summarised as follows:

- **2.7 Capital.** Section updated to reflect current procedures and new requirements around estimating the value of capital projects.
- **3.4 Risk management.** Section updated to reflect current processes
- **3.6 Fraud.** Section has been updated to reflect change in policy from Whistleblowing policy to Speak up policy
- **4.2 Internal Audit.** Section has been updated to include new internal audit procedures
- **5.2 Asset Inventories.** Updated to accurately reflect current practices and ensure transfer of legal title of goods sold.
- **5.3 Property/leases.** Section updated to reflect April 2021 changes agreed by Executive
- **6.4 Sales.** Updated procedures added to this section
- **6.6 Write offs.** Updated to reflect debts no longer recoverable in law
- **6.7 Credit Notes.** Updated procedures added
- **9.2 Expenses.** Section updated to reflect changes as a result of the new iTrent HR system
- **12 Authorised Signatories.** Updated procedures added

- 3.3. In addition to the changes proposed, the Working Group agreed to add further information to paragraph 7.10.3 regarding the management of Corporate Purchase Cards where staff were no longer employed or were otherwise absent from work, along with clarifying references to the Transparency Code in paragraph 7.10.4. Following the meeting, the following additional changes have been made to reflect the requests of the Working Group:

- 3.3.1. Paragraph 7.10.4 Details of expenditure incurred on corporate Purchase Cards will be included in the spend data that the Council publishes to comply with the requirements of the Transparency Code 2015. Officers must consider the impact of this information when using corporate Purchase Cards.
- 3.3.2. Paragraph 7.10.5 For any Officer that holds a Purchase Card and due to leave the Council, the Purchase Card must be

returned to the Finance Department prior to the Officer's last day of service.

- 3.4. In relation to paragraph 7.5.2, it was agreed to check any requirements concerning the retention of hard copy invoices and update the Regulations as necessary. It has since been confirmed that there is no requirement to keep hard copy invoices.

Contract Standing Orders

- 3.5. The Working Group considered proposed changes to Contract Standing Orders, including:
- **2.3 Exemptions.** Section updated to confirm further exemptions to Contract Standing Orders.
 - **3.2 Standard Contracts.** Section updated to reflect commercial reality that, at times, it is appropriate for the Council to contract on a supplier's standard terms and conditions.
 - **3.4 Contract terms.** Section has been updated to require additional contract terms as standard.
 - **5.4 Procedures.** Section has been updated to include new procedures for contracts above £5,000 and contract award notices.
 - **7.4 Key decision.** Updated to clarify that contracts which are key decisions are also reserved to the Executive for decision.
 - **8 Procurement thresholds.** Section updated regarding values and contracts that are key decisions.
 - **8.4 Promoting more competition.** New section to help discourage requesting quotes from the same suppliers repeatedly.
 - **9.3 Common Seal.** Updated to provide more flexibility and efficiency regarding use of the Common Seal and encourage its use when value is added.
 - **13.3 abnormally low tenders.** New section to require officers to challenge abnormally low tenders.
 - **18 Transparency Code.** New section to incorporate the requirements of the Transparency Code 2015.
- 3.6. The Working Group reviewed the proposed revisions to Contract Standing Orders. Consideration was given to whether the definition of a key decision when referring to construction projects should be increased but it was agreed that the definition should be retained; it was, however, recognised that the Executive could choose to delegate the award of a contract at an earlier stage in the decision making process of a project. The Group also considered that project managers should allow adequate time within project timetables for key decisions to be taken the Executive.

4. Resource Implications

- 4.1. There are no direct financial implications identified in relation to the recommendations being made by the Working Group.

5. Legal Implications

- 5.1. Any amendments to the provisions of the Constitution must be made by the Council, unless they relate to Executive Functions, and within the statutory framework.

6. Recommendation

- 6.1. The Council is advised to RESOLVE that

- (i) the Scheme of Delegation of Functions to Officers at Part 3, Section B of the Constitution be updated to include the following delegation:

The Head of Planning

Authority	After Consultation with	Function
To make decisions relating to the strategy of the Council's case in planning appeals where the strategy would be contrary to or considered unsupportive of a decision of the Planning Applications Committee	The Chairman and Vice Chairman of the Planning Applications Committee and the relevant Ward Councillors.	Non-Executive

- (ii) Financial Regulations at Part 4, Section H of the Constitution be updated as set out at Annex A to this report; and
- (iii) Contract Standing orders at Part 4, Section I of the Constitution be updated as set out at Annex B to this report

Annexes

Annex A – Revised Financial Regulations
Annex B – Revised Contract Standing Orders

Background Papers:

Governance Working Group Agendas and Meetings

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SURREY HEATH BOROUGH COUNCIL FINANCIAL REGULATIONS

JULY 2021

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[TBC]

1. Scope and Context of Financial Regulations

1.1 Scope

1.1.1 Financial Regulations are the basic rules applicable to key areas of financial administration. They must be available to and followed by all officers, members and agents acting for the Council. Together with the Procedure Rules, they regulate the conduct of Council business. The Financial Regulations, including advice, guidance and accounting instruction notes issued to underpin the Financial Regulations, apply to all services of the Council.

1.1.2 Financial Regulations form part of the Council's Constitution which is published on the Council's Website.

1.1.3 The Section 151 Officer is responsible for maintaining the Council's Financial Regulations, and they must be reviewed at least every 5 years. Financial limits detailed in Financial Regulations and Contract Standing Orders must be reviewed at least every 2 years. The [Executive Head of Finance](#)[Strategic Director of Finance and Customer Services](#) will, from time to time, issue advice, guidance and accounting instruction notes to underpin the Financial Regulations, ensure compliance with specific statutory provisions, and reinforce best professional practice. Members, officers, and others acting on behalf of the Council are required to comply with such advice and guidance.

1.1.4 All staff within the Council are responsible for ensuring that Financial Regulations are followed where the regulations are relevant to the officer's work. All staff should uphold the main principles of the Regulations and ensure that their actions help to demonstrate that the Council is achieving value for money. It is the responsibility of the Chief Executive and the Corporate Management Team to ensure that the Financial Regulations are complied with. Failure to follow Financial Regulations and Contract Standing Orders must be reported immediately to the Section 151 Officer and could be treated as a disciplinary offence. If serious, the breach may also be reported to the Leader and/or the Executive.

1.1.5 [Executive Heads of Service](#)[Strategic Directors](#) and Heads of Service will ensure that their staff are aware of the existence, and content, of the Council's Financial Regulations, accounting instruction notes and other corporate guidance, and ensure compliance with them.

1.1.6 Financial Regulations also apply to agents and consultants acting for the Council and to services carried out under agency arrangement, unless specifically exempted by the relevant [Executive Head of Service](#)[Strategic Director](#) or Head of Service with the agreement of the Section 151 Officer. In these cases, the circumstances of and reasons for such an exception must be recorded by the relevant [Executive Head of Service](#)[Strategic Director](#) or Head of Service.

1.1.7 Any transfer of work from one service to another must consider issues of compliance and accountability. Early clarification and agreement within the Corporate Management Team will help to reduce the risk of any problems escalating or remaining unresolved.

1.2 Financial Responsibilities

1.2.1 The roles and responsibilities of members and officers are set out within the Council's Constitution. The purpose of the Financial Regulations is to provide an overview of the respective financial roles and responsibilities of members and officers within the Council. Specific financial responsibilities are set out in more detail throughout the subsequent sections of the Regulations. Detail of the financial responsibilities of the Council, the Cabinet, various committees, the Chief Executive, the Section 151 Officer, the Monitoring Officer and other [Strategic Directors](#) ~~Executive Heads of Service~~ [Strategic Directors](#) and Heads of Service is provided in the Council Constitution.

1.3 Scheme of Delegation for Financial Management

1.3.1 The Scheme of Delegation for Financial Management is set out in Section 6 of the Constitution. This defines how the financial responsibilities set out within these Financial Regulations are reserved or delegated to officers.

2. Financial Planning

2.1 Policy Framework

2.1.1 The Council's Constitution sets out the roles and responsibilities for members and officers in managing and controlling the Council's Finances. The ~~Executive Head of Finance~~ [Strategic Director of Finance and Customer Services](#) has authority to amend these Financial Regulations, following consultation, if necessary for effective supervision and control, or to ensure full compatibility with the Council's Constitution.

2.1.2 Revenue budget and capital programme:

Every year a capital programme and estimate of revenue income and expenditure must be submitted to Full Council, after consideration by the Executive. The ~~Executive Head of Finance~~ [Strategic Director of Finance and Customer Services](#) is responsible for collating these estimates and reports on them to the Full Council, with any comments and recommendations from the Corporate Management Team (CMT).

2.1.3 Treasury Management Strategy:

The ~~Executive Head of Finance~~ [Strategic Director of Finance and Customer Services](#) will propose prudential indicators and a policy for the revenue provision for the repayment of debt (referred to as the 'Minimum Revenue Provision') annually to the Council in advance of the start of the financial year that is consistent with the Council's revenue budget and capital programme proposals. This strategy will comply with CIPFA's Codes of Practice on Treasury Management and the Prudential Framework for Capital Finance, relevant regulations and with the Council's own Treasury Management Policy Statement and Treasury Management Practices. It will set the parameters within which investment and borrowing activity will be managed during the next financial year.

2.1.4 Medium Term Resources Strategy (MTRS):

The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will also carry out periodic reviews of the Council's Medium Term Resources Strategy (MTRS). The MTRS brings together key assumptions about financing resources (including Council Tax, NNDR and Government grants) as well as spending pressures over the medium to longer term. This enables the Council to plan for financial risks and thus inform the setting of service financial targets for the annual revenue budget and capital payments guidelines. The setting of financial targets within the available resource envelope is completed with reference to the priorities set within the Corporate Plan.

2.1.5 Income and Charging Policy

~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service must comply with the Council's income and charging policy for the supply of goods or services and, in consultation with the Executive Head of Financial Services, review fees and charges annually, as part of the corporate planning process. An annual statement on fees and charges will be published on the Council's website in alignment with the budget setting timetable.

2.1.6 Pay Policy Statement

The pay policy statement will be prepared as required by regulations and approved by Council. It will set out the Council's policy on the level and elements of remuneration for each Chief Officer, the remuneration of other paid employees, and the relationship between the remuneration of its Chief Executive and other officers. It is also required to address other specific aspects of pay remuneration such as remuneration on recruitment, increases and additions to remuneration, use of performance related pay and bonuses, termination payments and transparency.

2.1.7 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will ensure that reports are presented to Council, as part of the annual budget setting process. The Leader/Executive will consider the aggregate effect of these programmes and estimates on the Council's financial resources. After consulting on proposed amendments and deciding on the supporting resources to be used, the Leader/Executive will submit them to the Council for approval, recommending the transfer from the Collection Fund for the following financial year.

2.1.8 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) must report to the Leader/Executive on the level of financial resources recommended for use each financial year and keep the Leader/Executive informed of the Council's finances and financial performance.

2.2 Budgetary Control - Revenue Budget

2.2.1 The Council operates within an annual cash limit, approved when the annual budget is set. To ensure that the Council does not over-spend in total, each service is required to manage its own expenditure and income recovery within the cash limited budget allocated to it. Budget management also ensures that once the

Council has approved the budget, the resources are used for their intended purposes and are properly accounted for.

2.2.2 Estimates of income and expenditure on revenue accounts must be prepared in the required form by senior managers in consultation with the [Executive Head of Finance](#)[Strategic Director of Finance and Customer Services](#).

2.2.3 The Leader/Executive must receive and approve annual revenue estimates from the [Executive Head of Finance](#)[Strategic Director of Finance and Customer Services](#) in accordance with any set timetable and guidance. These must be prepared by [Executive Heads of Service](#)[Strategic Directors](#) or Heads of Service, collated, and reviewed by the [Executive Head of Finance](#)[Strategic Director of Finance and Customer Services](#) and should show for both income and expenditure:

- The actual result for the last completed year;
- The original estimate for the current financial year;
- The probable result (including any supplementary estimates) for the current financial year;
- Estimated income and expenditure for the next financial year at current pay and price levels; and
- An explanation of any major variations.

2.2.4 Where the Council has approved and adopted a cash limited budget any additional expenditure must be met by increased income or from savings within approved budgets. The inclusion of items in approved revenue estimates or capital programmes is evidence of approval to spend on them. Once proposed savings have been approved by the Leader/Executive, the [Executive Head of Finance](#)[Strategic Director of Finance and Customer Services](#) will amend the budget accordingly.

2.3 Budget Monitoring - Revenue Budget

2.3.1 For the provision of services under their control, [Executive Heads of Service](#)[Strategic Directors](#) or Heads of Service may undertake expenditure of any type within approved budgets including the signing of contracts or agreements, provided the Council's Contracts Procedure Rules are followed and the advice of the [legal and procurement](#)[Executive Head of Corporate](#) is taken on all contracts of £50,000 and over in value, and any with unusual or potentially onerous clauses (see Contracts Procedure Rules Section I). Procurement should be notified to relevant officers and members by email where necessary. [Executive Heads of Service](#)[Strategic Directors](#) and Heads of Service may undertake the day to day running and operation of services, including the control, purchase and disposal of stores and maintenance and repair of all buildings, land, and equipment within the remit of their service area, provided they have the budget, in accordance with the policies laid down by the Council or the Leader/Executive in these Financial Regulations and supporting Council Procedure Rules.

2.3.2 Once the budget is approved by the Council, ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service are authorised to incur expenditure in accordance with the estimates that make up the budget. ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service must however maintain effective budgetary control within their service(s) to ensure that spending is contained within the annual cash limit.

2.3.3 ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service must not commit expenditure that would result in an approved budget being exceeded. Prior approval must be sought from the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) to increase the budget either by virement or by a supplementary estimate before additional commitments are made.

2.3.4 ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service will:

- Ensure that all income and expenditure is properly recorded and accounted for;
- Ensure that an appropriate budget holder structure is in place to ensure that responsibility is assigned for each item of income and expenditure under their control;
- Ensure that individual budgets are not overspent;
- Ensure that a budget monitoring process is in place; and
- Regularly report to Management.

Such reports will be prepared, in consultation with the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#), upon the service's projected 'controllable net expenditure' compared with its budget.

2.3.5 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will ensure that each budget holder receives or has access to timely information on income and expenditure for each budget, which is sufficiently detailed to enable them and their managers to fulfil their budgetary responsibilities.

2.3.6 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will monitor performance against the Council's budget on an on-going basis and will advise upon the Council's overall financial position. Specifically, the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will prepare reports to present to Executive on a quarterly basis. These financial overview reports will:

- Provide a comparison of the Council's projected income and expenditure and the latest approved budget;
- Include an assessment of the Council's treasury investments; and seek approval to changes to the approved budget (including virements).

2.4 Overspending and Supplementary Estimates

2.4.1 When an expenditure budget might be overspent or income budget not met, the ~~Executive Head of Service~~[Strategic Director](#) or the Head of Service must consult the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) and then give advance notice to the Leader/Executive, explaining both the reasons for and the means of financing any variation. Any overspending or income shortfall must be covered within annual estimates, or by a supplementary estimate. The Budget Manager must prepare a Supplementary Estimate bid for consideration by CMT and approval by the Leader/Executive. It should be noted that Supplementary Estimates are only granted in exceptional circumstances [and may require Full Council approval](#).

2.5 Scheme of Virement

2.5.1. ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service must ensure that spending remains within the service's overall cash limit, and that spending does not exceed individual policy budget headings. It is however permissible, in certain circumstances, to switch resources between approved budget headings, subject to obtaining the necessary approval. The switching of resources between approved policy budget headings is referred to as a virement.

2.5.2 Virements may be approved in accordance with the delegated authorities set out below, subject to the following:

- All corporate priorities, service, performance, and budget targets must be maintained;
- All corporate guidelines and policies must be followed;
- Conditions of service and the approved establishment must be complied with;
- A single "one-off" budget must not be transferred to fund a new ongoing item of expenditure;
- Budgets not under effective control of the budget holder must not be vired e.g., rates or insurance; and
- Virement cannot be used to change a service base budget for future years.

Value of Virement	Delegation	Evidence Required
Up to £1,000	Not permitted – to be managed within budget	Not permitted
£1,000 to £9,999	Budget holder and Executive Head of Finance Strategic Director of Finance and Customer Services	Written authorisation from Executive Head of Finance Strategic Director of Finance and Customer Services
£10,000 and over	Budget holder, Executive Head of Finance Strategic Director of Finance and	Written authorisation from Executive Head of Finance Strategic Director of Finance and Customer Services and

	Customer Services and Chief Executive	Chief Executive (usually by way of a minute from the Corporate Management Team)
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2.5.3 If the proposed transfer affects budget heads controlled by another [Strategic Director or Head of Service](#)~~Executive Head of Service~~, the transfer must be authorised by both affected members of the Corporate Management Team.

2.6 Treatment of Year-end balances - Carry Forwards

2.6.1 In certain circumstances, it is permissible to carry unspent budget forward for use in the following year.

2.6.2 Provision for carry forward of unspent capital budget items is made under capital programme arrangements, whereby spend may be projected over several years. This is subject to approval by Full Council.

2.6.3 In the first quarter of a new financial year ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service may apply to carry forward part of a revenue budget not spent, or of income not collected from one financial year to the next (minimum value £1000). A brief description of the relevant circumstances and explanation of the need for carry forward must be prepared by the ~~Executive Head of Service~~[Strategic Director](#) or the Head of Service and authorised by the Chief Executive. All such requests will be aggregated and considered collectively on one occasion annually. The approval process for aggregate value of carry forward requests is set out below:

Up to £1,000	Not permitted
£1,000 - £25,000	Chief Executive (normally by way of a minute from Corporate Management Team)
£25,000 and over	Executive

2.7 Capital Programme

2.7.1 The ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service must prepare capital bids in accordance with the timetable prepared by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#). These will then be considered by the ~~Capital Project Board and~~ Corporate Management Team for review and submission to Executive and Full Council for approval. Each bid must include the following details:

- Name of scheme;
- Project officer responsible for delivering the scheme on time, to budget and in accordance with the specification;

• [Timescale and any limiting factors/constraints;](#)

- Robust eEstimated total cost of project including appropriate levels of contingency;
- The apportionment of estimated costs between financial years (where the scheme will not be delivered within the financial year in which it is authorised);
- Estimated annual revenue costs on project completion (e.g., additional staffing, goods, services, and maintenance); and
- Estimated revenue savings or additional income as a result of the capital investment.

2.7.2 Any proposed capital project not previously included in the approved Capital Programme must be the subject of a separate Executive report for recommendation to Full Council, in consultation with the Executive Head of FinanceStrategic Director of Finance and Customer Services.

The report must detail:

- Project officer responsible for delivering the scheme on time, to budget and in accordance with the specification;
- Reasons why the scheme was not included in the annual Capital Programme approved by Full Council in February preceding the start of the financial year;
- Timescale and any limiting factors/constraints;
- Financial costs and benefits analysed over all relevant elements;
- Any return on investment;
- Estimated annual revenue costs on project completion (e.g., additional staffing, goods, services, and maintenance); and
- Estimated revenue savings or additional income as a result of the capital investment.

2.7.3 Once EG Full Council approves a Capital Programme, the nominated Project Officer must arrange for the land and resources needed to be acquired. The Executive Head of FinanceStrategic Director of Finance and Customer Services must report to the Leader/Executive on how the Capital Programme will be funded, for onward recommendation to Full Council in the February preceding the start of the financial year.

2.7.4 The Project Officer must ensure that estimates for capital schemes must be robust and appropriate levels of benchmarking are undertaken to properly assess market prices. Estimates should be regularly reviewed to ensure that anticipated project costs are consistent with estimates included in the Capital Programme. Subject to section 2.7.5 below, if the Project Officer considers that the relevant estimate in the Capital Programme may be inaccurate due to any change in market prices or the need for additional works or services, the Project Officer must seek approval for additional funding without delay.

2.7.54 Any proposal to increase the provision for a project within an approved Capital Programme by the lesser of 5% of that provision or £10,000, must be submitted to the Capital Project Board and then to the Leader/Executive, with reasons for the proposed change and the financial effects for both capital and

ongoing revenue. Any proposal for deletion of a scheme from the Programme must be submitted to ~~the Capital Project Board and then to~~ the Leader/ Executive.

2.7.65 Expenditure is classified as capital expenditure when:

- It results in the acquisition, construction, or the addition of subsequent costs to non-current (i.e., fixed) assets that will be held by the Council for use in the production or delivery of services, for rental to others or for administrative purposes and that are expected to be used during more than one financial year;
- It is defined by Regulation as capital (e.g., where expenditure that would ordinarily be treated as capital relates to an asset that the Council has no future direct control over or is unlikely to receive any benefit from);
- it is classified by Government Direction as capital.

2.7.76 However, expenditure on assets meeting the capitalisation criteria outlined above may nevertheless be charged to revenue rather than capital, if they are below the de-minimis limit of £10,000, as set out in the Council's annual Statement of Accounting Policies.

2.7.87 Where expenditure meets the capitalisation criteria set out above, and is excess of the Council's de-minimis limits, it will be classified as capital expenditure, even if provision exists within the Revenue Budget to fund the work. Similarly, where specific financing (e.g., government grant) is provided to facilitate a project, this will not determine the accounting treatment of the expenditure. That is, the accounting treatment is determined according to the type of expenditure, and not by the funding source.

2.8 Maintenance of Reserves and Balances

2.8.1 Reserves are maintained as a matter of prudence. A general reserve (i.e., the General Fund Balance) is maintained as a contingency fund and earmarked reserves are held for specific earmarked policy purposes.

2.8.2 For each reserve established, the purpose, usage (including the timeframe for usage) and basis of transactions will be clearly articulated in an annual report to the Audit & Standards Committee. Authorisation to finance expenditure from reserves will require the approval of the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services unless alternative arrangements were agreed when the reserve was established.

2.8.3 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services will advise upon prudent levels of reserves and balances for the Council, considering the degree of risk in the budget for the Council over the medium and longer term, in the financial reports submitted to Full Council in the February in advance of the financial year.

2.8.4 Under section 114 of the Local Government Finance Act 1988 the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services must report to Council if there is or is likely to be unlawful expenditure or an unbalanced budget.

This would include situations where reserves have become seriously depleted and it is forecast that the Council will not have the resources to meet its expenditure in a particular financial year.

3. Accounting Records and Financial Systems

3.1 Accounting Records

3.1.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) determines the accounts, accounting procedures and financial records of the Council and its officers and must approve and advise on records and procedures in services, and any changes to them.

3.1.2 The principle of segregation of duties must be followed. If this is not possible for operational reasons, then other methods of control approved by Internal Audit must be in place.

3.1.3 Prime financial records must not be altered without such alteration being clearly auditable. Where alterations are made to records passing between services, the officer making the alteration must notify the originating officer of all changes made.

3.2 Annual Statement of Accounts

3.2.1 The Council has a statutory responsibility to prepare its accounts to present a true and fair view of the financial performance and results of its activities during the year and is responsible for approving and publishing those annual statements in accordance with the timetable specified in the Accounts and Audit Regulations as amended from time to time.

3.2.2 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) is responsible for selecting suitable accounting policies, and for applying them consistently, to ensure that the Council's annual statement of accounts is prepared in compliance with the CIPFA Code of Practice on Local Authority Accounting in the United Kingdom and other relevant accounting standards and statutory provisions.

3.2.3 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will issue accounting instruction notes on closure of the accounts, including a timetable, annually. All budget holders must comply with these accounting instructions and supply the information requested by the dates specified.

3.2.4 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) must sign and date the Statement of Accounts, thereby confirming that the accounts give a 'true and fair' view of the financial position of the Council at the accounting date and its income and expenditure for the year ended 31 March. The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) is responsible for making proper arrangements for the audit of the Council's accounts.

3.3 Financial Systems

3.3.1 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services has responsibility for ensuring that the Council's financial systems are sound, properly maintained and are held securely.

3.3.2 ~~Executive Heads of Service~~Strategic Directors and Heads of Service must ensure that prior approval is obtained from the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services to operate any financial system within or on behalf of their area of responsibility.

3.4 Risk Management

3.4.1 It is the overall responsibility of the ~~Performance and Finance~~Audit and Standards Committee to ~~review~~approve the Council's Risk Management Policy and Strategy and ~~to review~~ the Corporate Risk Register.

3.4.2 The ~~Corporate~~ Risk Management Group is responsible for preparing the Council's Risk Management Policy and Strategy, and for promoting it throughout the Council where appropriate, and to review and update the risk register:-

3.4.3 ~~Executive Heads of Service~~Strategic Directors or Heads of Service must have regard to the advice of the Risk Management Group and adhere to the Council's Risk Management Policy and Strategy.

3.5 Insurance

3.5.1 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services must arrange all insurance cover and negotiate all claims in consultation with other officers, as necessary. The Council must review its level of risk cover at least annually.

3.5.2 ~~Executive Heads of Service~~Strategic Directors and Heads of Service must keep the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services informed of:

- All new or emerging risks;
- Additional properties or vehicles that need to be insured;
- Any alterations to service delivery affecting existing insurances; and
- Any special risks regarding contracts.

They must review all insurances in consultation with the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services as and when necessary, consulting the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services on the terms of any indemnity that the Council is asked to provide.

3.5.3 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services must maintain appropriate records detailing all insurances arranged for the Council and keep ~~Executive Heads of Service~~Strategic Directors or Heads of Service informed, as necessary. ~~Executive Heads of Service~~Strategic Directors or Heads of Service must keep records of all plant, vehicles, furniture, and equipment under their

control, to be available for inspection by the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services.

3.5.4 In the event of any potential loss, liability, damage, or other event likely to lead to a claim, ~~Executive Heads of Service~~Strategic Directors or Heads of Service must promptly notify and provide a written report to the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services. Officers must never verbally admit liability, take any action or record in any way an admission of liability on behalf of the Council.

3.5.5 All employees of and voluntary workers for the Council must be included in a suitable fidelity guarantee policy.

3.5.6 Unless qualifying as a small claim (under £200), an insurance claim should be made where possible and no payments made to third parties in lieu of or advance for damage to third party property. ~~Executive Heads of Service~~Strategic Directors or Heads of Services are responsible for ensuring that claims are completed in the manner prescribed by the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services. #

3.5.7 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services has authority to make ex-gratia payments of up to £200 for any single claim.

3.5.8 ~~Executive Heads of Service~~Strategic Directors or Heads of Services must obtain details of insurance cover arranged by organisations that own or lease buildings on Council held land at least annually.

3.6 Preventing Fraud and Corruption

3.6.1 The Council has an Anti-fraud and Corruption Policy and maintains a culture that will not tolerate fraud or corruption. It is the responsibility of the ~~Executive Head of Human Resources~~Transformation ~~Finance~~ to maintain the Council's Anti-fraud and Corruption Policy.

3.6.2 In accordance with the Council's ~~Speaking Up~~Whistle Blowing Policy, all suspected irregularities must be reported in the first instance to line management or failing this to any Executive Head or Head of Service, the Monitoring Officer, the Council's external auditors, or the Internal Audit Manager. The ~~Executive Head of Human Resources~~Transformation ~~Head of Legal Services~~ is responsible for the maintenance and operation of the ~~Speaking Up~~Whistle Blowing Policy.

3.6.3. To avoid giving rise to suspicion about the honesty and integrity of the Council or its employees, or giving the impression of corruption or improper behaviour, all interests of a personal and/or financial nature with external bodies or persons who have dealings with the Council, or any other interests which could conflict with an officer's duties, must be declared ~~in~~ in accordance with the Code of Conduct for Officers.

3.6.4 Officers must be cautious regarding offers of gifts and hospitality as acceptance can give the impression of improper behaviour or favour. The Council's

Code of Conduct for Officers explains how offers of gifts and hospitality are to be dealt with, including what can or cannot be accepted and what must be declared. The Chief Executive must ensure that a gifts and hospitality register is established and maintained.

3.6.5 All Council officers and elected members are required to complete a declaration of interest form annually. This must be returned to the Council Monitoring Officer and the Executive Head of Finance Strategic Director of Finance and Customer Services within required timescales.

3.6.6 Officers should be aware of and have regard to risks of money laundering. Money laundering is the process that turns money obtained illegally or through criminal activity into funds that appear lawful and can therefore be spent as if they were from legal sources. Examples of money laundering offences include tax evasion, theft, fraud, bribery, corruption, smuggling, modern slavery, human trafficking, drug trafficking and illegal arms sales.

The definition of money laundering is broad. Money laundering is a process whereby criminals:

- Retain, disguise, and conceal the proceeds of their crimes; or
- Raise, consolidate, or retain funds for use in financing terrorism.

In UK law money laundering is defined in the Proceeds of Crime Act (2002) and includes all forms of handling or possessing criminal property, including possessing the proceeds of one's own crime, and facilitating any handling or possession of criminal property.

Criminal property (defined in POCA) constitutes or represents a person's benefit from criminal conduct where the alleged offender knows or suspects that the property in question represents such a benefit. Criminal property may take any form, including money or money's worth, securities, tangible property, and intangible property.

3.6.7

Any suspected attempts to use the Council to launder money must be reported to the Executive Head of Finance Strategic Director of Finance and Customer Services who is also the Council's Money Laundering Reporting Officer.

3.6.8 To mitigate the risks of the Council being used to launder money cash payments in excess of £5,000 will not be accepted except with the prior approval of the Executive Head of Finance Strategic Director of Finance and Customer Services.

3.6.9 In accordance with the Council's Bribery Policy and Procedure, the detection, prevention and reporting of bribery and other forms of corruption are the responsibility of all those working for the Council or under its control.

4. Audit Requirements

4.1 External Audit

4.1.1 The basic duties of the external auditor are defined in the Local Audit and Accountability Act 2014. 'Local audit' relates to the audit procedure which must be followed by all local authorities, fire authorities, Police and Crime Commissioners, Clinical Commissioning Groups, and various related bodies in England. The procedures require the auditor to review and report upon:

- The Council's Accounts;
- Whether the Council has made proper arrangements for securing financial resilience and
- Whether the Council has proper arrangements for securing value for money (i.e., through economy, efficiency, and effectiveness).

4.1.2 The primary role of external audit is to report on the Council's financial statements and to carry out such examination of the statements and underlying records and control systems as are necessary to reach their opinion on the statements and to report on the appropriate use of funds. Their duties will be in accordance with advice set out by the Public Sector Audit Appointments (PSAA) organisation.

4.1.3 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#), in conjunction with the external audit lead officer advises on the development of the annual audit plan, leads on any negotiations related to the annual audit fee and advises the Executive and Members on their responsibilities in relation to external audit and issues arising from the Annual Audit and Inspection Letter (the ISA160 report).

4.1.4 ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service are required to ensure that external auditors are given access at all reasonable times to premises, personnel, documents, and assets, and provided with information and explanations which the external auditors consider necessary for the purposes of their work, in the timescales required.

4.1.5 ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service are also required to consider and respond promptly to recommendations in audit reports, ensure that agreed actions arising from audit recommendations are carried out in a timely and efficient fashion and in line with the timescale agreed with the external auditor, and report on progress.

4.2 Internal Audit

4.2.1 ~~The Head of Legal and Democratic Services~~ ~~The Executive Head of Transformation~~ ~~[NB: subject to change post re-organisation?]~~ is responsible for providing an adequate and effective internal audit of all Council activities. The duties and functions of Internal Audit are regulated ~~detailed~~ in the Public Sector Internal Audit Standards, and the Accounts and Audit Regulations 2015.

4.2.2 Internal Audit is governed by terms of reference and the Audit Charter agreed by Members. Internal Audit will review and report on all the activities and operations of the Council as a service to management. The purpose of these reviews is to:

- Promote economy, efficiency, and effectiveness in the use of Council resources and thereby secure value for money;
- Ensure systems are in use to protect the Council against fraud and other irregularities ~~offences~~;
- Ensure that records are kept, and that information produced is reliable, necessary, and appropriate;
- Appraise and report on compliance with established policies, plans and procedures;
- Produce a full position statement on cause and effect where fraud or any other improper act is suspected, that either directly or indirectly affects the Council's finances or assets.
 - Report key findings to management and flag areas for improvement through audit recommendations

4.2.3 On production of identification, officers from the Internal Audit team may:

- Enter any Council premises or land;
- Access all records, documents and correspondence relating to any Council transactions;
- Require and receive any explanations needed concerning any matter under investigation;
- Require any Council employee to produce cash, stores, or any other Council property under their control.

4.2.3 When any actual or suspected irregularity arises concerning cash, stores or other Council property, or any suspected irregularity in Council business, officers must immediately notify the ~~Executive Head of Finance~~ Strategic Director of Finance and Customer Services and the Monitoring Officer who will investigate and report, as necessary. Where irregularities involve either Council Members or officers, the Chief Executive will be responsible for decisions to involve the police.

4.3 Audit of Unofficial Funds

4.3.1 The ~~Executive Head of Finance~~ Strategic Director of Finance and Customer Services will advise on the keeping and audit of unofficial funds, that is any funds associated with Council business, supervised, or managed by council officers, but not part of Council funds or Council trust funds, i.e., charities. Officers invited to act as Honorary Treasurers of unofficial funds must notify their line manager and the ~~Executive Head of Finance~~ Strategic Director of Finance and Customer Services for approval before accepting the position.

4.3.2 The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services can require any officer holding unofficial funds to provide a true account in writing of all money and property in their charge, of all receipts and payments with vouchers and other records supporting the accounts, and a list of persons to or from whom money is due detailing amounts for each.

5. Control of Resources

5.1 Security

5.1.1 The Chief Executive, ~~Executive Heads of Service~~Strategic Directors and Heads of Service are responsible for the security of all buildings, stocks, stores, equipment, cash, documents, and other assets under their control. The ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services must be consulted whenever security might be inadequate or special arrangements are needed.

5.1.2 Maximum limits for cash holdings must be agreed with the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services and cannot be exceeded without their permission, to manage risk and to prevent invalidating insurance cover.

5.1.3 Keys to safes, cash boxes, strong rooms and security systems must be always held by the officers responsible for them, and access kept restricted at all times. The loss of any such keys must be reported to the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services at once and no new keys cut without agreement from the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services.

5.1.4 ~~The Head of Human Resources~~ ~~The Executive Head of Transformation [pending restructuring?]~~ is responsible for the proper security and privacy of electronic data. The Chief Executive, ~~Executive Heads of Service~~Strategic Directors and Heads of Service are each responsible for ensuring compliance with Data Protection Act 2018 in their respective services, and for ensuring all staff are aware of their obligations under the Act.

5.2 Asset Registers and Inventories

5.2.1 ~~Executive Heads of Service~~Strategic Directors or Heads of Service are responsible for setting up and maintaining an inventory of all items under their control with a replacement value of over £1000. Inventories must be kept up to date, in a form agreed with the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services.

5.2.2 Details of all purchases or disposals, including make and model, asset serial number if known, and approximate replacement value must be included on inventories at the time of purchase, sale or disposal and notified to the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services. In respect of any disposal, Strategic Directors or Heads of Service are required to ensure that the means of disposal achieves best value and all documentation is completed to effect

the transfer of legal title and all risks to the buyer. All disposals must be in accordance with the Council's Disposal Policy.

5.2.3 ~~The Head of Human Resources~~ The Executive Head of Transformation ~~[pending restructuring?]~~ is responsible for maintaining a central inventory of computer equipment.

5.2.4 ~~Executive Heads of Service~~ Strategic Directors or Heads of Service are responsible for the care and custody of all equipment held in their respective services. Council property must not be removed or used except in the ordinary course of business, or in accordance with specific directions from the ~~Executive Head of Service~~ Strategic Director or Head of Service concerned.

5.2.5 The ~~Executive Head of Finance~~ Strategic Director of Finance and Customer Services is responsible for the maintenance of a corporate register of the Council's fixed assets. This asset register must be maintained in accordance with the requirements of the CIPFA Code of Practice on Local Authority Accounting in the UK and any other underlying accounting standards.

5.3 Property Transactions

5.3.1 In the course of its business, the Council may enter into a variety of property agreements, including (but not limited to):

- Freehold sales and purchases;
- Long leasehold disposals and acquisitions
- Short leases as tenant and as landlord;
- Section 106 and/or CIL agreements as landowner; **[NB: This is about to change as the Government has published a White Paper on alternatives to S106 and CIL]**
- Release of covenants;
- Compulsory acquisitions and land compensation claims;
- Taking and granting easements;
- Option Agreements;
- Lease surrenders and exit agreements (including dilapidations).

5.3.2 ~~Each of these transactions has a financial consequence for the Council. Approval is therefore required to authorise such property transactions for completion as follows: The Head of Legal Services is authorised to undertake all actions in relation to the administration of the Council's estate and property portfolio except the following matters which are reserved to the Executive:~~

To undertake all actions in relation to the administration of the Council's estate and property portfolio	Authority Delegated to
To £25,000	Head of Legal Services

£25,000 or over	Executive
------------------------	------------------

- (a) Acquisitions or disposal of land or property with a value in excess of £25,000;
- (b) the grant or renewal of all commercial leases in excess of 2 years that do not reflect market conditions in terms of value or risk;
- (c) the grant of all leases for the purposes of development or refurbishment schemes including building leases;
- (d) the grant or renewal of all leases where the Head of Legal Services considers referral to the Executive is appropriate

5.4 Leases

5.4.1 The majority of leases are standard, non-controversial and meet the Council's policies and objectives. The granting or renewal of leases should only be referred to the Executive for decision if the lease is not a standard lease or is a controversial lease and In relation to leases, will be subject to the above thresholds. Such thresholds are to be reviewed every 2 years. The Leader of the Council, under the allocation of portfolio holder responsibilities, has responsibility for the Council's Property Portfolio and is regularly updated in relation to the grant and renewal of leases. the Head of Legal Services is able under the Scheme of Delegation to grant all leases up to five years.

~~Leases of more than five years must be approved by the Executive. The Executive, under the same scheme, can renew any existing leases that are not subject to the provisions of the Landlord and Tenant Act 1985.~~

5.5 Consumable Stocks and Stores

5.5.1 ~~Executive Heads of Service~~Strategic Directors or Heads of Service will make adequate arrangements for the care and custody of consumable stocks and stores held by their services and will maintain inventory records that document the purchase and usage of these items.

5.5.2 The stock of such items should be maintained at an appropriate level and be subject to a regular physical check. Discrepancies must be investigated and pursued to a satisfactory conclusion.

5.5.3 The ~~Executive Heads of Service~~Strategic Directors or Head of Service must produce a stock certificate at each financial year end, confirming the number and

value (i.e., value representing the lower of cost or net realisable value) of items held as at 31st March.

5.5.4 Stocks and stores must be removed from the Council's financial records when obsolete (i.e., when they cannot be sold or consumed) or when no longer held (i.e., due to theft or other loss). Thresholds for stock write-off are set out below:

Value of stock write-off	Delegated to	Evidence required
Up to £4,999	Executive Head of Finance <u>Strategic Director of Finance and Customer Services</u> or any other Executive Head	Completion of write-off form
£5,000 and over	Executive	Minute from meeting of the Executive

5.6 Investments, Borrowing and Trust Funds

5.6.1 All money in the hands of the Council is to be aggregated for the purposes of treasury management under the control of the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services.

5.6.2 This Council adopts the key recommendations of CIPFA's Treasury Management in the Public Services: Code of Practice (2017) (the Code).

5.6.3 The Council has created and will maintain:

- A treasury management policy statement, stating the policies and approach to risk management of its treasury management practices; and
- Suitable treasury management practices (TMPs), setting out the way the Council will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

5.6.4 The content of the policy statement and TMPs will follow the recommendations contained in the Code, subject only to amendment where necessary to reflect the particular circumstances of this Council. Such amendments will not result in the Council materially deviating from the Code's key recommendations.

5.6.5 The Council will receive reports on its treasury management policies from the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services, detailing practices and activities, and including, as a minimum, an annual strategy and plan in advance of the year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.

5.6.6 The Council delegates responsibility for the implementation its treasury management policies and practices to the Leader/Executive and for the execution and administration of treasury management decisions to the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services who will act in

accordance with the Council's policy statement and TMPs and CIPFA's Standard of Professional Practice on Treasury Management.

5.6.7 The Council nominates the Audit and Standards Committee to be responsible for the effective scrutiny of the treasury management strategy and policies.

5.6.8 All negotiable instruments, financial bonds and securities held in the name of the Council, or its nominees must be held securely by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) or the Council's bankers unless the Council has authorised the use of an outside agent.

5.6.9 In consultation with the Leader or relevant Portfolio Holder, the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) may engage external Investment Fund Managers to manage the authority's investments. The terms and conditions of any engagement will be determined by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) and include a requirement that any such managers must report regularly to and attend review meetings with Council representatives.

5.6.10 All trust funds must, wherever possible, be in the Council's name and always comply with the requirements of the Charity Commissioners. Unless the trust deed states otherwise, officers and councillors (except when acting in a private capacity) acting as trustees must give all related securities etc. to the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) for safekeeping. (See section 4.3 above on the Audit of Unofficial Funds for general management guidance.)

5.7 Bank Accounts

5.7.1 All arrangements with the Council's bankers must be made or approved by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#), who is authorised to operate necessary banking, Credit and Purchasing Card Accounts and other banking arrangements, as well as providing any appropriate instruction or indemnity required by the Council's bankers.

5.7.2 All bank accounts must be in the name of Surrey Heath Borough Council. All payment forms and other debit and credit forms must be ordered by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#), who must make proper arrangements for their security.

5.7.3 The Council does not make payment by cheque, other than on authorised imprest accounts.

5.7.4 All bank accounts must be reconciled to supporting records periodically in line with timetables and directions issued by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

5.8 Petty Cash Accounts

5.8.1 Wherever possible, ~~corporate~~ Purchase Cards ~~should~~**will** be used for low value transactions and where there are no mandated procurement contracts in place. However, in the limited ~~exceptional~~ circumstances when Purchase Cards cannot be

used, the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) may provide petty cash accounts to meet minor expenditure on behalf of the Council.

5.8.2 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) or Chief Accountant will:

- Prescribe rules for operating these accounts;
- Determine the amount of each imprest account;
- ~~Instruct services to M~~[maintain](#) a record of all transactions and cash advances made; and
- Periodically review the arrangements for the safe custody and control of these advances.

5.8.3 Requests for additional funds to be transferred into petty cash accounts must be made to the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#). Arrangements for such transfers will be made by the Chief Accountant, following direction from the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

5.8.4 Employees operating an imprest account will:

- Obtain and retain vouchers to support each payment from the imprest account. Where appropriate, an official receipted VAT invoice must be obtained;
- Make adequate arrangements for the safe custody of the account ~~including~~[access to the account](#);
- Produce cash and all vouchers to the total value of the imprest amount. ~~(iv)~~ Record transactions promptly;
- Reconcile and balance the account at least monthly; reconciliation sheets to be signed and retained by the imprest holder;
- Ensure that the float is never used to cash personal cheques or to make personal loans and that the only payments into the account are the reimbursement of the float and change relating to purchases where an advance has been made; and
- Provide the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) with a certificate of the value of the account held at 31 March each year.

5.9 Intellectual Property

5.9.1 Intellectual property is a generic term that includes inventions and writing. It is a category of property that includes intangible creations of the human intellect. There are many types of intellectual property, and some countries recognize more than others. The most well-known types are copyrights, patents, and trademarks. If an employee creates these during employment, then, generally, they belong to the employer, not the employee.

5.9.2 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service will ensure that their staff are not carrying out private work in Council time and that their staff are

aware of the Council's rights regarding intellectual property. Instances of where intellectual property may be, or has been, created should be referred to the Head of Legal Services.

6. Income

6.1 Income Collection Systems

6.1.1 Effective income collection systems are necessary to ensure that all income due to the Council is identified, collected, receipted, and banked properly. Wherever possible, income should be collected in advance of supplying goods or services.

6.1.2 It is the responsibility of ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service to ensure that staff authorised to act on their behalf in respect of income collection are clearly identified. These officers must supply the Finance Department with details relating to work done, goods supplied, services rendered or other amounts due, to enable invoices to be raised promptly for sums due to the Council, and to ensure that such amounts are properly recorded as due to the Council.

6.2 Charging Policies

6.2.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will establish an income and charging policy for the supply of goods or services. This will be reviewed and approved periodically by the Executive.

6.2.2 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must set annual discretionary fees and charges in consultation with the relevant Portfolio Holder and ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#). An annual statement on fees and charges will be published on the Council's website as part of the budget setting process.

6.2.3 Any new charge or change that involves potentially sensitive issues must be agreed with the Chief Executive in consultation with the Leader.

6.2.4 One-off services may be undertaken, and associated charges set by the Chief Executive, ~~Executive Head of Service~~[Strategic Director](#) or Head of Service concerned, subject to availability of resources and consideration of any sensitive issues by the Chief Executive in consultation with the Leader.

6.3 Income Collection

6.3.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will agree the arrangements for the collection of all income due to the Council and approve the procedures, systems, and documentation for its collection.

6.3.2 In relation to the collection of income, ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service will ensure that:

- All money received by, or on behalf of, the Council is paid fully and promptly into the appropriate Council bank account in the form in which it is received;

- Income is not used to cash personal cheques or other payments;
- Appropriate details are recorded onto paying-in slips to provide an audit trail;
- A record is kept of money received directly by employees of the Council;
- The receiving officer signs for the transfer of funds, and the transferor retains a copy;
- Wherever possible, at least two employees are present when post is opened so that money received by post is properly identified and recorded; this requirement must be met where post regularly contains money. If this requirement cannot be met, then arrangements must be reviewed by Internal Audit;
- Money collected and deposited is reconciled to the appropriate bank account on a regular basis;
- The responsibility for cash collection is separated from that for identifying the amount due and that responsibility for reconciling the amount due is separated from handling of the amount received;
- Income is only held on premises up to levels approved by the [Executive Head of Finance Strategic Director of Finance and Customer Services](#). All such income will be locked away to safeguard against loss or theft, and to ensure the security of cash handling;
- Any discrepancies between amounts deposited and amounts shown as received (actual vs expected income) are recorded and promptly investigated, with Internal Audit notified immediately of any amounts over £20. If not corrected, any shortfall must be made good at a later deposit at the discretion of the [Executive Head of Finance Strategic Director of Finance and Customer Services](#);
- All appropriate income documents are retained and stored for the defined period in accordance with the Council's document retention policy and schedule;
- The [Executive Head of Finance Strategic Director of Finance and Customer Services](#) is advised of outstanding income relating to the previous financial year as soon as possible after 31 March, and in line with the timetable for closure of the accounts issued by the Finance Department.

6.4 Income Collection – Sales

6.4.1 The Council collects income directly from service users at several sites (e.g., Camberley Theatre / Windle Valley Centre). This is generally collected via cash tills or similar systems. It is important that accurate records are maintained for income collected in this way. Where direct sales are made to service users, Heads of Service must ensure that proper procedures for collection of income are in place:

- At the start of each session, the responsible officer must count the cash float and sign for its accuracy;

- At the close of each session, income collected must be reconciled to records on the till or similar record. This should be signed off by the officer who has operated the till or similar system;
- Where possible, two officers should be present whenever cash is counted;
- In addition, any cash float remaining at the close of the session should be signed for by the officer working on the till; and
- Bank paying-in slips must be reconciled to income collection records.

6.4.2 Where income is collected at one-off events at remote sites (such as open-air concerts or shows) the ~~Executive Head of Service~~[Strategic Director](#) or Head of Service must ensure that arrangements are in place to enable income collected to be reconciled to a record of sales made. Internal Audit must be consulted to ensure arrangements are secure. Any cash collected should be counted in the presence of two officers where possible, and banked at the earliest opportunity. Appropriate security arrangements must also be made should cash collected need to be held overnight before it can be banked.

6.4.3 Officers must ensure that secure arrangements are in place for the storage of cash and cheques until they are banked. Cash should only be stored at Camberley Theatre or Surrey Heath House.

6.5 Debt Recovery

6.5.1 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service will define which officers in their business unit may raise a debt on the Council's behalf.

6.5.2 Once debts are raised, ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service have a responsibility to assist the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) in collecting the debts that they have originated, by providing any further information requested by the debtor, and in pursuing the matter on the Council's behalf. This will be done in accordance with the Council's Corporate Debt Management Policy.

6.5.3 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will provide regular reports to Executive Heads to enable them to pursue debts. ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must use this information to ensure that debts are followed up promptly. Debts must be followed up in line with timescales set out in Corporate Debt Management Policy.

6.5.4 Evidence of action to collect debts should be retained. This helps decision-making should debts require write-off by the Executive.

6.6 Debt Write-off and Release of Securities

6.6.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will review outstanding debts on a regular basis and has discretion to take prompt action to write-off debts no longer deemed to be recoverable in law following consultation with the Leader, Portfolio Holder for Finance and Head of Legal Services. A delegated decision notice must be published to record any decision to

write off debt pursuant to this section 6.6.1 and reported to the Executive as soon as possible.-

6.6.2 No *bona fide* debt may be cancelled, other than by formal write off. The approval required to write off any such debt is as follows:

Value of Debt	Delegated to:	Evidence required
Up to <u>£1,5005,000</u>	Executive Head of Finance <u>Strategic Director of Finance and Customer Services</u> and Head of Service	Authorised debt write-off form
<u>£1,5005,000</u> and over	Executive	Minute from meeting of Executive

The appropriate accounting adjustments must be made following approval to write-off a debt.

6.6.3 No officer may release any security, warranty, or guarantee in favour of the Council, unless contractually obliged to do so, without the written approval of the ~~Executive Head of Finance~~Strategic Director of Finance and Customer Services or the Executive as appropriate.

6.7 Credit Notes

6.7.1 A credit note to replace a debt can only be issued to correct a factual inaccuracy or administrative error in the calculation and/or billing of the original debt, and not to write-off a debt that is deemed to be uncollectable.

6.7.2 Credit notes can only be raised by officers in line with limits set out in authorised signatory schedules. Appropriate documentation must be retained to confirm reason for the credit note and to show it has been properly authorised.

6.7.3 All credit notes must be authorised by an appropriate budget holder who is a designatory authorised signatory for credit notes. ~~the Executive Head of Finance~~Strategic Director of Finance and Customer Services ~~or the Chief Accountant.~~

6.8 Sponsorship and Contributions in Kind

6.8.1 Offers of sponsorship, or contributions in kind from outside organisations with a total value of less than £1,000 may be arranged and agreed by the ~~Executive Head of Service~~Strategic Director or Head of Service concerned after consultation with the Chief Executive and the Leader, or appropriate Portfolio Holder. Sponsorship of less than £1,000 will be reported to the Leader and Executive twice yearly.

6.8.2 Offers of sponsorship or contributions in kind from outside organisations with a total value of over £1,000 must be approved by the Leader or Executive. All arrangements for sponsorship must comply with the Code of Conduct for Officers. The Monitoring Officer will maintain a list of all sponsorship arrangements.

6.9 Grants and Other Income

6.9.1 Any income received by the Council which is not included within the annual budget and arising from, for example, grants, windfalls, or gifts must be notified to the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) as soon as it is identified. Authorisation for the use of this income must be obtained from:

Value of income	Delegation
Less than £1,000	Executive Head of Finance Strategic Director of Finance and Customer Services
£1,000 to £9,999	Chief Executive in consultation with the Leader
£10,000 and over	Executive

6.9.2 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must, as appropriate, ensure that all funding notified by external bodies is received and properly recorded in the Council's accounts. This will include ensuring that claims for funding are made by the due date, and in accordance with the funding conditions.

6.9.3 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must be clear as to any conditions attached to grants and other income from third parties and ensure systems are put in place to demonstrate compliance with these conditions. This should include systems to ensure grants are spent within the correct time period.

6.9.4 ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must satisfy audit requirements in respect of external funding claims. This includes maintaining appropriate records that accord with the funding conditions and making these available to the auditors as required.

7. Orders and Payments

7.1 Orders

7.1.1 Public money must be spent with demonstrable probity and in accordance with the Council's policies.

7.1.2 Officers involved with engaging contractors, and/or with purchasing decisions, have a responsibility to declare:

- Any links or personal interests that they may have with purchasers, suppliers and/or contractors; and
- Any gifts or hospitality offered by, or received from, purchasers, suppliers and/or contractors.

7.1.3 All works, goods and services must be ordered in accordance with the Council's Contract Standing Orders and Procurement Guidance. All officers involved in placing orders with third parties must be familiar with these documents.

7.1.4 Current thresholds for orders of goods and services from third parties are set out below:

Total value (including VAT)	Procedure
Up to £4,999	At least one written quote in writing and in advance
£5,000 to £49,999	At least three written quotes in writing and in advance
£50,000 and over	The responsible officer must contact the <u>relevant responsible officer</u> Procurement team for guidance; A contract number is required; At least three written tenders in advance; Due attention must be given to national procurement rules regarding the value of the contract

7.2 Ordering Works, Goods and Services

7.2.1 Official orders must only be raised, in advance of the supply of goods or services, on the Council's purchasing system by officers with appropriate system access. Orders for work, goods and services must:

- Be approved by an appropriate authorised signatory;
- Entered on the purchasing system with details of the nature and quantity of work, goods or services required, the relevant contract, expenditure code and agreed or estimated price;
- Apply the appropriate VAT rate; and
- Be coded to an appropriate cost centre with adequate budgetary provision.

7.2.2 The authoriser of an order must be satisfied that:

- The works, goods and services ordered are appropriate and needed; (ii) There is adequate budgetary provision; and
- Quotations or tenders have been obtained, if necessary, in accordance with the Contract Standing Orders and Procurement Guidelines.

7.2.3 The purchase order must be properly reviewed by the authorising officer. By approving the purchase order, the authorising officer is confirming that the order has been let in line with Contract Standing Orders and Procurement Guidelines.

7.2.4 Authorised purchase orders should be sent to the supplier to ensure details of the goods or services expected from the supplier are clearly set out.

7.2.5 Purchase orders must be raised on the purchasing system for all work goods or services to be supplied to the Council. The only exceptions are:

- Supply of public utilities;
- Periodic payments such as rent or rates;
- Suppliers registered under HMRC's Construction Industry Scheme; or
- Other items approved by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

In these cases, approval to place orders without purchase orders must be obtained from the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

7.3 Receipt of Works, Goods and Services

7.3.1 Works, goods and services must be checked upon receipt to ensure they have been delivered in accordance with the order. The supplier should be contacted if there are any discrepancies between orders and the goods or services received.

7.3.2 Details of goods and services received should be recorded by staff with appropriate access on the Council's purchasing system, using the goods receipting function. Where possible, information to support goods received notes, such as delivery notes or timesheets, should be stored on the purchasing system.

7.3.3 Where approval has been obtained to purchase from a supplier without using the Council's purchasing system, then the ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must ensure that proper records are retained to show that goods or services ordered have been delivered by the supplier.

7.3.4 The Council will not pay suppliers in advance for goods or services. This is to avoid circumstances where monies are paid out, but suppliers fail to deliver goods or services that have been paid for. If a supplier insists on payment in advance of receipt of goods, then the procuring officer should consider using a different supplier. Exceptions to this are:

- Rent or rates, where payment in advance is contractually due;
- Software licences and software upgrades where payment in advance is contractually due;
- Course or conference bookings where advance payment is required to secure a booking;
- Other circumstances where written approval for payment in advance of receipt of goods or services has been obtained from the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

7.4 Setting Up New Suppliers and Changes to Supplier Details

7.4.1 Officers must ensure the validity of supplier information when sourcing goods or services from new suppliers or changing details of existing suppliers. This is to reduce the risk of fraud.

7.4.2 The procuring officer must confirm key information such as business address, VAT number, and bank account details by email or telephone, and enter details of how these have been confirmed before any new supplier or changes to existing supplier details changes will be accepted and actioned by the Finance Department.

7.5 Payment of Accounts

7.5.1 The normal method of paying sums due from the Council is BACS. Separate arrangements are in place for payments using Purchase Cards (see paragraph 7.10). Payments by other methods may only be used at the discretion of the [Executive Head of Finance/Strategic Director of Finance and Customer Services](#).

7.5.2 All invoices received by officers must be forwarded to the Finance Department as soon as they are received to ensure that the Council meets prompt payment performance targets. Invoices are stored electronically on the Council's finance system. Hard copy invoices are not retained.

7.5.3 Officers must ensure that suppliers send proper VAT invoices to the Council when seeking payment. The Council will not pay against statements issued by suppliers as this increases the risk of duplicate payments.

7.5.4 All invoices must include a purchase order number, where applicable. Failure to include this information will mean the invoice is returned to the supplier.

7.5.5 Certification of invoices for payment may only be carried out by officers with an appropriate authorised signatory limit for invoice authorisation (see paragraph 12). Before certifying an invoice for payment, a signatory must be satisfied that:

- The works, goods or services have been satisfactorily received;
- The sum due for payment is properly incurred and covered by approved budgets;
- The invoice is not in dispute;
- The invoice has not been previously paid;
- The prices, extensions, calculations, trade discounts, other allowances, credits, and treatment for VAT are correct.

7.5.6 All invoices will be scanned into the Council's finance system once they have been received by the Finance Department. At this point a "for invoice authorisation" email will be generated by the Council's finance system and sent to an appropriate authorised signatory.

7.5.7 Within 7 days of receipt of the email, the authorised signatory must, on completion of the checks set out in paragraph 7.5.5 above, authorise the invoice as ready for payment on the Council's finance system. If this is not possible, an alternative authorised signatory should complete this work.

7.6 Payment of Accounts – Invoices Without Purchase Orders

7.6.1 Where invoices are received for suppliers where no purchase order has been raised (see paragraph 7.2.4) then a BACS voucher form will need to be completed by the Service Department.

7.6.2 This will be scanned into the finance system and a “request for invoice authorisation” email generated by the Council’s finance system and sent to an appropriate authorised signatory. The process at paragraph 7.5.6 must then be followed.

7.6.3 In exceptional circumstances, the [~~Executive Head of Finance~~Strategic Director of Finance and Customer Services](#) may authorise a payment where no invoice has been received. In these circumstances a BACS voucher must be completed by an appropriate authorised signatory to confirm that:

- The work, goods, services, refunds, rebates, or other commitments have been properly received or will be received or accounted for; and
- The sum due for payment is provided for in approved budgets.

7.7 Financial Year-end

7.7.1 As soon as possible after 31st March, and no later than a date in April set by the [~~Executive Head of Finance~~Strategic Director of Finance and Customer Services](#) each year, the Chief Executive, [~~Executive Heads of Service~~Strategic Directors](#) and Heads of Service must each notify the [~~Executive Head of Finance~~Strategic Director of Finance and Customer Services](#) of all outstanding revenue expenditure for the previous financial year relating to works, goods or services ordered and supplied during that year.

7.7.2 By 31st March each year, the Chief Executive, [~~Executive Head of Service~~Strategic Directors](#) and Heads of Service must ensure that all capital expenditure occurring in that year has been properly certified and passed for payment. No account may be taken of expenditure in the year incurred by contractors but not certified or paid by the Council.

7.8 Loans and Advances

7.8.1 Only the Chief Executive (or a properly authorised officer) is responsible for raising and certifying requisitions for making approved loans and advances.

7.9 Payments Relating to Purchase of Land and Property

7.9.1 Accounts for payments relating to purchase of land or property must be supported by details of the land or property including location, the vendor’s name, the purchase price, and all associated expenses, and be certified by the Chief Executive (or a properly authorised officer).

7.10 Corporate Purchase Cards

7.10.1 The [~~Executive Head of Finance~~Strategic Director of Finance and Customer Services](#) may allocate corporate Purchase cards to nominated officers on completion

of an application form signed by the appropriate ~~Executive Head of Service~~[Strategic Director](#) or Head of Service.

7.10.2 All officers allocated corporate Purchase Cards must follow guidance on how to use these cards and account for expenditure incurred as set out in the Purchase Card guidance notes, issued to officers by the Finance Department.

7.10.3 Corporate Purchase Cards and PIN numbers are personal to the card holder and may not be used by other officers. Corporate Purchase Cards may not be used to:

- Obtain cash advances;
- For personal purchases;
- To buy goods and services with a value in excess of £1,000 (unless expressly authorised with a higher limit at card issue); or
- To buy goods and services covered by a contract.

7.10.4 Details of ~~all~~ expenditure incurred on corporate Purchase Cards will be included in the spend data that the Council publishes published monthly on the Council's website to comply with the requirements of the Transparency Code 2015. Officers must consider the impact of this information when using corporate Purchase Cards.

7.10.5 For any Officer that holds a Purchase Card and due to leave the Council, the Purchase Card must be returned to the Finance Department prior to the Officer's last day of service.

8. Contracting

8.1 Financial Appraisals and Insurance

8.1.1 The Chief Executive, ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#), ~~Executive Head of Service~~[Strategic Director](#) or Head of Service concerned must be satisfied that the tenderer is able to fulfil a contract satisfactorily before any contract is entered into. The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) must verify the financial status of tenderers for contracts over £50,000, and for any other contract where such a check is considered necessary. A financial appraisal should also be undertaken before any contract is extended or negotiated for an additional period.

8.1.2 The ~~Executive Head of Service~~[Strategic Director](#) or Head of Service must supply relevant insurance details to the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) (who will advise on necessary limits) for all contracts with an anticipated spend in excess of £50,000. Insurance documentation must be obtained for all contracts valued at £50,000 or over, although it is considered best practice that contract officers should request and obtain insurance details from suppliers for all contracts over £5,000.

8.2 Contract Management and Payment of Contractors

8.2.1 For each contract, the Chief Executive, ~~Executive Head of Service~~[Strategic Director](#) or Head of Service must nominate a contract manager who will be responsible for complying with Standing Orders and Guidelines, properly maintaining all contract documentation, obtaining all necessary sub-contractor tax certificates, and forwarding them to the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) before payment is made.

8.2.2 A register of all contracts over £50,000, known as the Contracts Register, and all other contracts under seal, must be maintained and kept updated ~~by the responsible officer by the Council's Procurement team~~. The register must record all payments and show the state of account on each contract between the Council and its contractors together with any other payments and related professional fees. (Contracts based on schedules of rates and for which individual job orders are placed are exempted from this Regulation.) Officers should notify the ~~responsible officer Procurement team~~ of any such contract details in excess of £50,000 as above using the *pro forma* on-line form found on the intranet.

8.2.3 Where contracts of £50,000 or less are placed on official orders or other schedule of rates tenders allow for payment by instalments, the relevant Contract Manager must keep a record to show the state of account for each contract together with any other payments and related professional fees, in a form approved by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#). Contracts of £5,000 or less must not be paid by instalment.

8.2.4 Purchase orders must be raised on the Council's purchasing system for all contracts entered into by the Council. Payment of contractors will be made following the process set out at paragraph 7.5 above.

8.3 Purchase of IT equipment

8.3.1 In accordance with the Council's Information Security Policy, ICT Equipment must always be purchased, tagged, and installed by the ICT Team. This is to ensure assets are adequately insured, authorised, and properly logged.

9. Salaries, Wages, Pensions and Expenses

9.1 Salaries, Wages and Pensions

9.1.1 ~~The Head of Human Resources~~ ~~The Executive Head of Transformation [NB: possible change due to restructure?]~~ pays salaries, wages, pensions, compensations etc. to all employees or former employees of the Council, under arrangements approved and controlled by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

9.1.2 The Chief Executive, ~~Executive Head of Service~~[Strategic Director](#) or Head of Service concerned must notify the ~~Head of Human Resources~~ ~~Executive Head of Transformation~~ who will in turn notify the ~~Executive Head of Finance~~[Strategic Director](#)

[Director of Finance and Customer Services](#) as soon as possible of anything affecting such payments, particularly:

- Appointments, resignations, dismissals, retirements, redundancies, deaths, suspensions, secondments, and transfers;
- Absence from duty due to sickness, maternity, compassionate or unpaid leave;
- Changes in remuneration for employees on Surrey Heath Borough Council conditions of contract;
- Changes in remuneration apart from normal increments, pay awards and agreements affecting all other employees;
- Information necessary to maintain records of service for superannuation, income tax, national insurance, and similar matters.

9.1.3 All employees will be appointed in accordance with the Regulations of the Council and the approved establishments, grades, and rates of pay.

9.1.4 All time records or other pay documents must be in a form set or approved by the Executive Head of Transformation. Line managers are responsible for approving officer timesheets, as necessary.

9.2 Travel, subsistence, and other allowances

9.2.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) is responsible for the payment of expense claims by staff in accordance with the Council's travel and subsistence policy. Mileage claims and parking fees are the responsibility of [the Head of Human Resources](#)~~the Executive Head of Transformation~~ and are paid through [iTrent](#), the [HR](#)/payroll system.

These officers will:

- Make arrangements for paying all authorised travel and subsistence claims; and
- Ensure that taxable allowances and benefits are accounted for, recorded, and submitted, where appropriate, to HM Revenue and Customs.

9.2.2 Certification of travel and subsistence claims ~~is~~ means that journeys were authorised, and expenses properly and necessarily incurred for business purposes, and that allowances are properly payable by the Council, ensuring that cost-effective use of travel arrangements is achieved.

9.2.3 All claims for payment of officers' car allowances, subsistence allowances, travelling and incidental expenses incurred on official duty must be properly certified by an authorised officer and submitted to Payroll or Finance as appropriate on the approved form available on the Council's intranet or through iTrent. The signatory must ensure that proper documentation to support mileage and other items claimed has been supplied by the claimant.

9.2.4 All claims for the payment of work or qualification training and course expenses (provided prior approval for the course has already been granted), including related subsistence and travel expenses, must be signed off by an authorised signatory in the same service. The claim should be submitted to Human Resources for certification. Claims for conference expenses must be signed by a properly authorised officer and submitted to the [Executive Head of Finance](#)~~Strategic Director of Finance and Customer Services~~.

9.2.5 Payments to members, including co-opted members of the Council or its committees must be made by the [Head of Legal and Democratic Services](#) ~~Executive Head of Corporate Services~~ [change because of restructure?] on receipt of the properly completed claim form.

9.2.6 Certification by or on behalf of the Chief Executive, ~~Executive Head of Service~~[Strategic Director](#) or Head of Service means that the certifying officer is satisfied the journeys were authorised, expenses properly and necessarily incurred and that the allowances are properly payable by the Council.

9.3 Ex-Gratia Payments

9.3.1 Ex-gratia payments are one-off payments made to an employee or former employee as a gesture of goodwill, and not because there is a legal or contractual obligation to do so. They include settlement agreements and other payments made for loss of office.

9.3.2 All ex-gratia payments made to staff below Head of Service level must be approved by the Chief Executive, after consultation with the [Executive Head of Finance](#)~~Strategic Director of Finance and Customer Services~~ and the [Head of Human Resources](#)~~Executive Head of Transformation~~.

9.3.3 All ex-gratia payments made to the Chief Executive, ~~Executive Heads of Service~~[Strategic Directors](#), or Heads of Service must be approved by the Employment Committee, unless the decision is reserved to the Full Council.

9.3.4 Any ex-gratia payments to the Chief Executive, another Statutory Officer, or ~~the Head of Human Resources~~[the Executive Head of Transformation](#), as agreed by the Employment Committee or Full Council, must be authorised by two of the three Statutory Officers: the Chief Executive, the Monitoring Officer, or the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#). In the absence of these officers, the Deputy Monitoring Officer or Deputy Section 151 Officer can authorise these payments. An officer must not authorise a payment to himself.

9.3.5 Any ex-gratia payments to ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service, excluding Statutory Officers and the ~~Executive Head of Transformation~~[Head of Human Resources](#), as agreed by the Employment Committee, must be authorised by the [Head of Human Resources](#)~~Executive Head of Transformation~~ and one of the Statutory Officers.

10. Taxation

10.1 Compliance with Tax Regulations

10.1.1 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) is responsible for ensuring compliance with all relevant taxation regulations and guidance that affect the Council either directly, because of its own activities, or indirectly, because of service delivery through external partners.

10.1.2 To enable The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) to fulfil the requirements of this role, ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service will ensure that the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) is consulted on all proposals that may alter or affect the Council's tax liability.

10.1.3 Certifying officers must confirm that all suppliers of goods, works or services have complied with VAT legislation and have correctly completed payment documentation in accordance with instructions issued by HMRC.

10.1.4 The ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) will maintain the Council's tax records, make all tax payments, receive tax credits, and submit tax returns by their due date, as appropriate.

11. Transparency and Partnerships

11.1.1 To provide transparency in its stewardship of public funds the Council will make information available to the public in relation to its spending, regardless of value. Monthly payment transactions made via corporate Purchase Cards, employee expenses and accounts payable are available to be viewed or downloaded via the Council's website.

11.2.1 The Chief Executive, ~~Executive Heads of Service~~[Strategic Directors](#) and Heads of Service may enter into partnerships and similar joint undertakings on behalf of the authority, subject to consideration and approval by Corporate Management Team and the Leader/Executive. Partnership transactions must comply with these Financial Regulations and Procedure Rules, unless otherwise specified by the partnership and agreed by the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#).

12. Authorised Signatories

12.1 Powers Delegated to Officers

12.1.1 Under the Scheme of Delegation of Functions to Officers in the Constitution of the Council, authority to undertake financial transactions is delegated to senior managers and certain nominated officers. However, delegation to other officers may be necessary for practical purposes. These delegations form lines of accountability that must be clear, well communicated and regularly reviewed. They will provide control through appropriate levels of authorisation, limited numbers, and the proper separation of duties.

12.1.2 Delegations within services must be arranged under agreed procedures for authorised signatories. ~~Executive Heads of Service~~[Strategic Directors](#) or Heads of Service must supply the ~~Executive Head of Finance~~[Strategic Director of Finance and Customer Services](#) with the following information on the standard form found on the Council's intranet:

- The name and job title of the officer;
- The delegated financial limits to be applied to the officer; and
- A specimen signature from the officer, countersigned by the Head of Service.

Any changes to authorised signatory limits within a service must be advised in the same way.

12.1.3 Internal Audit will process new and amendments to existing signatory powers as well as maintain records of officers authorised to make financial transactions. Existing signatory powers are published on the Council's intranet and are reviewed periodically.

12.1.4 By exception signatory powers may be temporarily increased as a one-off in order to meet a ~~genuine~~ immediate business need and where they are time critical. Such changes must be approved in writing in advance by the Chief Executive or the Section 151 Officer or an ~~Executive Head of Service~~[Strategic Director](#) ~~()~~ and should ~~must~~ be notified to Internal Audit so that the appropriate records can be amended and to provide an audit trail. ~~Such changes must~~ only be on a short term basis and the officer's signatory powers reverted back to their substantive levels as soon as ~~when~~ they are no longer required.

12.1.5 Any suspected breaches of authorised signatory limits should be reported immediately to Internal Audit. Breaches of agreed limits may be subject to internal audit review and may result in disciplinary action.

PART 4 – PROCEDURAL RULES

SECTION I

CONTRACT STANDING ORDERS

1. Introduction – Purpose of the Contract Standing Orders

1.1 Purchasing decisions and processes are important because the money involved is public money. The purpose of these Contract Standing Orders is to provide a structure within which purchasing decisions are made and implemented and which ensure that the Council:

- a) Furthers its corporate objectives
- b) Uses its resources efficiently
- c) Purchases quality goods, services and works
- d) Safeguards its reputation from any implication of dishonesty or corruption.

1.2 Purchasing by the Council, from planning to delivery, shall incorporate (where appropriate) principles of sustainability, efficiency, whole life costing and cost savings.

1.3 These Contract Standing Orders are made in accordance with the requirements of Section 135 of the Local Government Act 1972.

1.4 These Contract Standing Orders do not provide guidelines on what is the best way to purchase works, supplies (goods) and services. They set out minimum requirements to be followed. Further information and guidelines are set out in the Council's Purchasing Guide that accompanies this document.

1.4.1.5 References to "Regulations" means the Public Contracts Regulations 2015 and references to the "Transparency Code" mean the Transparency Code 2015.

2. General Principles – Application and Compliance with Contract Standing Orders

2.1 These Contract Standing Orders apply to the purchase by or on behalf of the Council of works, supplies (goods) and services. Concession contracts must follow the requirements under the Concession Contracts Regulations 2016 and the Transparency Code. Identifying and awarding concession contracts are uncommon and Responsible Officers should take advice from legal services.

2.2 These Contract Standing Orders apply to all contracts including all purchase orders, ~~concessions~~ and contractual arrangements entered into by or on

behalf of the Council, except for the specific types of contracts and purchasing methods which are listed in 2.3.

2.3 These Contract Standing Orders do not apply to:

- a) Employment contracts
- b) Contracts relating solely to the purchase or sale of interests in land
- c) Contracts for retention of legal counsel and the appointment of expert witnesses in legal proceedings
- d) Service level agreements setting out the conditions which the Council applies to its funding of particular voluntary sector bodies.
- e) Post Entry Training Schemes
- f) When for technical or artistic reasons connected with the protections of exclusive rights the goods services or works may be provided by only a particular service provider
- g) Contract modifications permitted by law under section 72 of the Public Contracts Regulations 2015.
- h) Contracts providing for the delegation of the Council's functions.
- i) Contracts providing for cooperation between the Council and other public sector bodies where the structure of cooperation is exempt from the Public Contracts Regulations 2015 and any other applicable laws.
- f)i) Contracts awarded under a framework agreement or dynamic purchasing system. Responsible Officers must follow the rules and requirements of using frameworks or dynamic purchasing systems.

3. General Principles Applying to All Contracts

3.1 There should be written evidence of all purchases.

3.2 Standard contract clauses shall be used in all contracts of a value of £5,000 or more. The standard contract clauses can be provided by Legal Services and ~~may~~ also be available on the Intranet. Contracts may be awarded based on a supplier's standards terms of conditions subject to any modifications requested by legal services.

3.3 Each contract shall include standard clauses, or those indicated where applicable dependant on the nature of the contract, on

- Anti-Fraud and Corruption
- Prevention of Assignment
- Equal Opportunities
- Health and Safety
- Freedom of Information Act 2000
- TUPE and workforce matters as applicable
- Child Protection and Safeguarding Children where applicable
- Liquidated Damages where applicable
- Protocol for performance data sharing by contractors where applicable.

3.4 As a minimum, all contracts of a value of £5,000 or more shall include clauses which set out:

- a) The works, supplies (goods), services, material, matters or things to be carried out or supplied
- b) The time within which the contract is to be performed
- c) Mechanisms for variation and extension
- d) Clarity on the balance of risk
- b)e) Clear payment mechanism and price schedule or clause.
- e)f) Quality requirements and/or standards which must be met
- d)g) Requirements on the contractor to hold and maintain appropriate insurances
- e)h) What happens in the event that the contractor fails to comply with its contractual obligations (in whole or in part)
- f)i) Requirements on the contractor to comply with all relevant equalities and health and safety legislation
- g)j) That the Council shall be entitled to cancel the contract and recover losses in the event that the contractor does anything improper to influence the Council to give the contractor any contract or commits an offence under the Bribery Act 2010, Modern Slavery Act 2015 ~~Prevention of Corruption Acts 1889 to 1916~~ or s117(2) Local Government Act 1972.

3.5 Written contracts shall not include non-commercial terms unless these are necessary to achieve best value for the Council. In this context, “non-commercial” means requirements unrelated to the actual performance of the contract. A more detailed list of non commercial consideration is contained in section 17 of the Local Government Act 1988.

3.6 All contracts shall include relevant specifications and/or briefs/technical requirements which are prepared taking into account the need for effectiveness of delivery, quality, sustainability and efficiency (as appropriate) and the information set out in the Council’s Purchasing Guide.

3.7 All contracts of a value of £50,000 or more or which involve a substantial risk to the Council must be subject to a written risk assessment, which should be kept on the contract file held by the responsible officer.

4. Regulatory Context

4.1 All purchasing shall be conducted in accordance with Regulatory Provisions which are:

- a) All relevant statutory provisions
- a)b) Relevant Statutory guidance
- b)c) Any~~The relevant~~ EU Rules and EC Treaty Principles which are adopted and reflected in UK legislation.~~defined in the Council's~~ Purchasing Guide

~~e)d)~~ The Council's Constitution including these Contract Standing Orders, the Council's Financial Procedure Rules and Scheme of Delegation

~~d)e)~~ The Council's Purchasing Guide and other policies and procedures of the Council as appropriate.

4.2 In the event of conflict between the above, the UK Legislation~~EU Rules~~ will take precedence, followed by Statutory guidance~~UK legislation~~, then the Council's Constitution, the Council's Purchasing Guide and guidelines, policies and procedures.

5. Responsibilities of Strategic Directors, Head of Service~~Executive Heads~~, Budget Managers and Responsible Officers

5.1 Each Strategic Director and Head of Service~~Executive Head~~ shall have overall responsibility for the purchasing undertaken by his/her Service and take immediate action in the event of breach of these Contract Standing Orders

5.2 Each Budget Manager shall be responsible for the purchasing undertaken by his or her area and shall be:

- a) accountable to the relevant Strategic Director or Head of Service~~Executive Head~~ for the performance of his/her duties in relation to purchasing
- b) comply with the Council's decision making processes and scheme of delegation
- c) ~~be~~ the authorised signatory within the scheme of delegation or by sub-delegation

5.3 A Responsible Officer is an officer with responsibility for conducting purchasing processes for the purchase of works, supplies (goods) or services on behalf of the Council.

5.4 A Responsible Officer's duties in respect of purchasing are to ensure:

- a) compliance with all Regulatory Provisions and integrity of the tender process
- b) compliance with the relevant statutory provisions and the Council's requirements relating to declarations of interest affecting any purchasing process
- c) that there is an appropriate analysis of the requirement, timescales, procedure and documentation to be used
- d) the purchasing process, from planning to delivery incorporates (where appropriate) principles of sustainability, efficiency, whole life costing and cost savings
- e) compliance with the Council's decision making processes
- f) that all contracts of a value of £50,000 or more are included on the Council's Contract Register after~~before~~ contract signing/sealing

- g) that proper records of all contract award procedures, waivers, exemptions and extensions are maintained, with separate files for each purchase of a value of £50,000 or more
- h) that value for money is achieved
- i) that adequate and appropriate security (such as a bond or guarantee) is taken to protect the Council in the event of non-performance.
- j) Contract award notices are published for all contracts of a value greater than £25,000 and for all contracts awarded pursuant to framework agreements or dynamic purchasing systems regardless of value.
- i)k) For all contracts over £5,000, that new suppliers can demonstrate satisfactory trading history with reference to accounts or references from previous employers.

- 5.5 In considering how best to procure works, supplies and services, Strategic Directors, Executive Heads of Service, Budget Managers and/or Responsible Officers (as appropriate in the context), shall take into account wider contractual delivery opportunities and purchasing methods such as the use of Framework agreements, joint procurement with other authorities and e-procurement methods, and the availability of local authority charging and trading powers under the Local Government Act 2003.
- 5.6 It is a disciplinary offence to fail to comply with these Contract Standing Orders and the Council's Purchasing Guide. All employees have a duty to report breaches of Contract Standing Orders to the Section 151 Officer or the Monitoring Officer.
- 5.7 It is the responsibility of every officer or member engaged in awarding and assessing contracts and tenders to ensure that they have no potential conflict of interest with any of the potential tenderers for contracts with the Council. This includes any interests by their close associates or family members. If officers or members become aware of any such conflict of interest they should draw the matter to the attention of the Monitoring Officer immediately who will then decide whether the interest is prejudicial or not. Failure to declare an interest would be considered a disciplinary offence. If you are in any doubt about a potential conflict of interest speak to the Monitoring Officer first.
- 5.8 Any officer or Member who suspects any misconduct or corruption in relation to the purchase by or on behalf of the Council of works, supplies (goods) and services must refer to the Council's Whistleblowing Code which can be found on the intranet and follow the guidance contained within.

6. Scheme of Delegation

- 6.1 Council purchasing may only be undertaken by officers with the appropriate delegated authority to carry out such tasks as set out in the Council's Scheme of Delegation. Officers with delegated authority may only delegate to other officers who have the appropriate skills and knowledge for the task and such delegation shall be recorded in writing by the officer delegating the task and notified to the relevant Strategic Director and Head of Service, Executive Head.

- 6.2 Each Strategic Director and Head of Service~~Executive Head~~ shall inform officers, where appropriate, of the extent of any delegated authority and applicable financial thresholds.

7. Financial Thresholds, Key Decisions and Procedures

- 7.1 The table below sets out the general rules applying to the choice of purchasing procedure for contracts at the stated threshold values.
- 7.2 There is a general presumption in favour of competition. Wherever possible contract opportunities over £50,000 should be advertised by way of a public notice using the Council's contract portal.
- 7.3 The public notice referred to at 7.2 will usually be via the Council's electronic tendering portal but it may also be appropriate to advertise on the Council's or other websites or in the press and/or trade publications.

7.3.4 The award of any contract which is a key decision is also an Executive function. Strategic Directors and Heads of Service are authorised to award contracts that are not key decisions.

8. Table setting out financial thresholds and procedures

Total Value £	Type of Contract	Procedure to be used
Up to £4,999	Works, supplies and services	At least one quote in advance
£5,000 to £49,999	Works, supplies and services	<u>Contract Number required</u> At least 3 written quotes requested in advance
Over £50,000*	Works, supplies and services	Contract Number required At least 3 written tenders received and processed through the Council's tender portal. <u>Key decisions are contracts with a total value of more than is → £100,000 or for any contract for a terms of years with a value greater than £25,000 per annum and total contract value over £100,000 exclusive of indexation. The mean average to be used where annual payments are uneven.</u>

8.1 Where contracts are of a type and value that mean the [Public Contracts Regulations 2015](#) apply ~~EU Rules apply to them then there are four main types of EU procedures available. These are the open, restricted, competitive dialogue and competitive negotiated procedures.~~ Care must be taken to ensure that the correct and most appropriate procedure is used and assistance on the choice and use of EU procedure should be sought from Procurement.

8.2 The Council has determined that any decision which involves income or expenditure over £100,000 (or £100 million if it relates to treasury management matters) [or greater than £25,000 per annum for a contract with a term of years and total contract value over £100,000](#) is a key decision. Therefore a decision by the Leader/Executive to commit the Council to expenditure (e.g. to agree to enter a contract or delegate such authority to an officer) of £100,000 or more [or more than £25,000 per annum](#) over the whole length of the contract (including any options to extend) is a key decision and the steps set out in the Access to Information Procedure Rules (Part 4, Section F of the Constitution) must be followed. Notice of the intention to take a key decision must be published in the Schedule of Key Decisions at least 28 clear days before that decision is taken.

[8.3](#) A key decision taken by an officer or any decision (regardless of the amount of the contract) taken by the Leader/Executive cannot be implemented until the end of the call-in period or the scrutiny of that decision has been completed (as set out in the Leader and Executive Procedure Rules (Part 4, Section B of the Constitution refers). Accordingly, in determining a timetable for the commencement of any contract, officers should take in account provision for scrutiny.

[8.38.4](#) [Regarding any process to request quotes, Responsible Officers must ensure that they consider the best means to access the widest market for works, goods or services. Officers should also be mindful to be as inclusive as possible when requesting quotes and this may be achieved by requesting more than 3 quotes and rotating between suppliers for subsequent procurements. Responsible Officers must also be mindful on how they can promote the inclusion of local suppliers in all procurements to enhance social value and achieve best value.](#)

9. Financial Thresholds and Processes Applying to Approval and Execution of Contracts

9.1 For contracts over the relevant EU threshold [in the Public Contracts Regulations 2015](#) (in force at the time), you must consult with procurement and legal at the earliest opportunity and in any event before deciding on the purchasing procedure or going to advert.

9.2 When a decision is made to award a contract then the Responsible Officer must, in addition to complying with his/her general obligations under these Contract Standing Orders ensure, in particular, that:

- a) the appropriate approvals have been obtained to authorise that decision; and
- b) where appropriate, a standstill period complying with the [EU Rules in the Regulations](#) is incorporated into the final award process.

9.3 Any contracts valued at £50,000 or above ~~may shall~~ be executed as a deed under the Council's common seal. Officers authorised to seal contracts may determine whether or not it is appropriate to execute contracts under the Council's common seal. For example, for construction contracts such officers may consider a 12 year limitation period (as opposed to the standard 6 year period) is beneficial to cover latent defects. This benefit is only available if contracts are sealed. Officers with appropriate delegated authority may sign contracts which are not required to be sealed. all other lower value contracts.

10. Calculating the Contract Value

10.1 The starting point for calculating the contract value for the purposes of these Contract Standing Orders is that the contract value shall be the genuine pre-estimate of the value of the entire contract excluding Value Added Tax. This includes all payments to be made, or potentially to be made, under the entirety of the contract and for the whole of the predicted contract period (including proposed extensions, ~~and~~ options and any ongoing revenue costs).

10.2 There shall be no artificial splitting of a contract to avoid the application of the provisions of the [Regulations](#)~~EU Rules~~ and/or these Contract Standing Orders.

10.3 Where Responsible Officers are considering repeat orders with a particular contractor, they must ensure that the cumulative value of the contract remains below the threshold used for the original contract award. If it is likely that the cumulative value of the contract would exceed such threshold, Responsible Officers should seek advice from legal or procurement on the options to ensure compliance with these Contract Standings Orders and Regulations. ~~The EU Rules can cover contracts, which are below the stated EU threshold, where they constitute repeat purchases and/or purchases of a similar type in a specified period. Responsible Officers should therefore seek advice on the application of the EU Rules where they envisage that they may require making such purchases.~~

11. Principles Underlying Tendering Processes and Tender Evaluation

11.1 All tendering procedures (including obtaining quotes), from planning to contract award and signature, shall be undertaken in a manner so as to ensure:

- a) Sufficient time is given to plan and run the process
- b) Equal opportunity and equal treatment
- c) Openness and transparency
- d) Probity

- e) Outcomes that deliver sustainability, efficiency and cost savings (where appropriate).

12. Submission and Opening of Tenders

- 12.1 An Invitation to Tender shall be issued by the Council for all contracts over £50,000 and tenders shall be submitted in accordance with the requirements of the Invitation to Tender.
- 12.2 It is ~~a requirement~~~~assumed~~ that all tenders over £50,000 shall use the Council's electronic tendering portal unless the portal is not available.
- 12.3 If the portal cannot be used then all tenders received shall be:
 - a) addressed to the Strategic Director of Finance and Customer Services~~Executive Head of Finance~~
 - b) in a sealed envelope marked "Tender" followed by the contract number and name to which it relates
 - c) kept in a locked cabinet by the Strategic Director of Finance and Customer Services~~Executive Head of Finance~~ or his/her nominee
 - d) retained unopened until the date and time specified for its opening.
- 12.4 No tender received after the time and date specified for its opening shall be accepted or considered by the Council unless the relevant Budget Manager is satisfied that there is sufficient evidence of the tender having been dispatched in time for it to have arrived before the closing date and time, or other exceptional circumstances apply and the other tenders have not been opened.
- 12.5 Where Tenders are expected to have a value in excess of £100,000, and the electronic tendering portal has NOT been used then they shall be opened in the presence of the appropriate Portfolio Holder or another Executive Member, a member of Internal audit or Strategic Director of Finance and Customer Services ~~the Executive Head of Finance~~ or his/her nominee and the Responsible Officer nominated by the relevant Budget Manager.
- 12.6 The Strategic Director of Finance and Customer Services ~~Executive Head of finance~~ or the member of internal audit shall undertake the completion of the Record of Receipt of Tender Documents book including names and addresses, date and time of opening and value. All taking part in the opening shall sign the book
- 12.7 The tender opening process for physical tenders is set out in detail at Appendix 1 to these contract standing orders.

13. Evaluation of Quotes and Tender

- 13.1 All quotes and tenders shall be evaluated in accordance with evaluation criteria which was included with the original tender pack to tenderers. Tenders

subject to the [RegulationsEU Rules](#) shall be evaluated in accordance with the [RegulationsEU Rules](#).

13.2 Save in exceptional circumstances approved in advance by the relevant Service Manager, all contracts shall be awarded on the basis of the quote or tender which represents best value for money to the Council and not on the basis of lowest price.

13.213.3 [The procurement documents must set out a clear and robust evaluation methodology and Responsible Officers must investigate any Tenders or Quotes which appear abnormally low.](#)

14. Waivers

14.1 The requirement for the Council to follow these standing orders may be waived in the following circumstances [except requirements to comply with the Transparency Code and post contract award procedures still apply:](#)

- a) For contracts which are not subject to the [Public Contracts Regulations 2015EU Rules for which](#); the work, supply or service is required as a matter of urgency and a delay would be likely to lead to financial loss, personal injury or damage to property; or
- b) Where it can be demonstrated that there is a genuine single source of supply for the [works/goods/service](#) required
- c) the circumstances set out in the Public Contract Regulations 201506 Regulation [3244](#) apply (whether or not the contract is of a type which is subject to the application of the [RegulationsEU Rules](#)); or
- d) the contract is awarded under a framework agreement of a type where a competition has already been undertaken on behalf of the Council; or
- e) at the discretion of [the Monitoring Officer and Section 151 OfficerCorporate Management Team](#) who may proceed in a manner most expedient to the efficient management of the service/Council with reasons recorded in writing.

14.2 A Responsible Officer, who seeks a waiver of Contract Standing Orders, shall do so only in advance and only in exceptional circumstances. Further guidance on what may constitute exceptional circumstances permitting waiver of these Contract Standing Orders is set out in the Council's Purchasing Guide.

14.3 All waivers from these Contract Standing Orders must be:

- a) Fully documented
- b) Subject to [the completion of the Council's standard waiver request form a written report](#) to be submitted in advance to the Monitoring Officer and Section 151 Officer which shall include reasons for the waiver which demonstrate that the waiver is genuinely required
- c) Applications for waivers which are a result of poor contract planning will rarely be considered genuinely exceptional.

14.4 All decisions on waivers must take into account:

- a) Probity
- b) Best value for money principles.

14.5 For contracts subject to the [RegulationsEU Rules](#), any waiver from the requirement for competition must meet the conditions set out in the [RegulationsEU Rules](#) in addition to the general requirements above.

14.6 The Monitoring Officer will inform the relevant Portfolio Holder when a waiver is granted and these will be reported to the Performance and Audit Scrutiny Committee on an annual basis.

15. Extensions to Existing Contracts

15.1 Contracts can be extended where this was an option contained within the original tender notice. Any extension on these grounds must be notified to finance so they can update the contract register

15.2 Any other request for an extension will be considered as a request for a waiver of procurement rules [or modification permitted by the Public Contracts Regulations 2015](#) and as such will only be granted in exceptional circumstances.

16. Purchasing Schemes

16.1 A Responsible Officer may use Purchasing Schemes subject to the following conditions and the Council's Purchasing Guide.

16.2 Responsible Officers must check in advance that:

- a) The Council is legally entitled to use the Purchasing Scheme
- b) The purchases to be made do properly fall within the coverage of the Purchasing Scheme
- c) The establishment and operation of each Purchasing Scheme is in compliance with the [RegulationsEU Rules](#) (where they apply) and meets the Council's own requirements

16.3 A "Purchasing Scheme" may include:

- a) Contractor prequalification lists such as "Constructionline"
- b) Framework arrangements
- c) Purchasing arrangements set up by central purchasing bodies and commercial organisations
- d) Consortium purchasing
- e) Collaborative working arrangements

- 16.4 Where a Purchasing Scheme is used then there shall be a whole or partial exemption from the obligations under these Contract Standing Orders in respect of the choice and conduct of procedures to the extent permitted and indicated in the Council's Purchasing Guide.
- 16.5 Where tenders have been invited on behalf of any consortium or collaboration of which the Council is a member, then the Procurement Rules adopted by that body, provided they are the lead organisation, may be observed if they differ from these rules. The responsible officer must satisfy himself that the organisation concerned has complied with [the RegulationsEU-rules](#) if applicable.

17. Review and Changes to these Contract Standing Orders

- 17.1 These Contract Standing Orders shall be reviewed and updated on a regular basis.

18. Transparency Code

18.1 For all contracts over £5,000 the following details must be published on the Council's Contracts Register. Responsible Officer must liaise with the Council's Procurement Officer regarding updating the Contracts Register.

- (a) reference number
- (b) title of agreement
- (c) local authority department responsible
- (d) description of the goods and/or services being provided
- (e) supplier name and details
- (f) sum to be paid over the length of the contract or the estimated annual spending or budget for the contract
- (g) Value Added Tax that cannot be recovered
- (h) start, end and review dates
- (i) whether or not the contract was the result of an invitation to quote or a published invitation to tender
- (j) whether or not the supplier is a small or medium sized enterprise and/or a voluntary or community sector organisation and where it is, provide the relevant registration number

Tender opening Instructions to opening officers

Present:	Appropriate Portfolio Holder or another Executive
Member	Internal Audit Manager or Sec 151 Officer Responsible Officer
Requirements:	Unopened tenders Tender Book

1. General

- 1.1 Before opening the tenders the Internal Audit manager or Sec 151 Officer shall check with the Post room that there are no tenders in the safe or at main reception or in the post box at the designated time for receipt; and that all tenders received up to that date are in his possession.
- 1.2 All tenders given to the member of internal audit should be properly sealed, dated and timed on receipt and show no signs of being tampered with. Where there is evidence of tampering the tender may still be opened but the member of internal audit shall make a statement to that effect in the tender book
- 1.3 The Member of Internal audit shall ensure prior to opening that each set of tenders to be opened are identifiable as relating to the same scheme. At this stage the internal audit manager should ascertain whether any late tenders have arrived (see Note 2 below).
- 1.4 Tenders should be opened as soon as possible and arrangements should be made in advance of that time with both Council Officers and Councillor to facilitate the procedure.
- 1.5 The Internal audit manager shall not destroy any of the tender envelopes but shall return them to the department who invited the tenders who shall consider their future retention. All envelopes relating to opened late tenders shall be kept.
- 1.6 If due to unusual circumstances a problem arises which is not covered by this code and cannot be resolved advice should be immediately sought from the Head of Legal Services.
- 1.7 The details of each tenderer and the value shall be recorded in the Tender register. The register shall be signed by all present to indicate that it represents a true record.

2. Late tenders

- 2.1 A late tender is any tender arriving after the designated time on or after the appointed day.

2.2 In respect of all such tenders the envelopes shall be endorsed "late tender" and shall specify the time and date received together with the signature of the receiving officer.

E-Tender opening Instructions to opening officers

Present: Responsible Officer

Requirements: Unopened E-tenders

3. General

- 3.1 The Responsible Officer shall set the date and time of automated Tenderbox Closure on the Delta E-Sourcing portal.
- 3.2 The Responsible Officer shall ensure that E-Tenders are opened, viewed and stored in accordance with Data Protection Act Principles and associated Council policies. Furthermore the Responsible Officer will ensure that E-Tenders are only accepted if submitted through the Delta E-Sourcing portal.
- 3.3 E-Tenders shall be made available for the viewing of the Appropriate Portfolio Holder or another Member of the Executive, Internal Audit Manager or Section 151 Officer should they request this.
- 3.4 If due to unusual circumstances a problem arises which is not covered by this code and cannot be resolved advice should be immediately sought from the Head of Legal Services.
- 3.5 The Responsible Officer shall ensure that the documents comprising each E-Tender shall be retained in the corresponding Tenderbox on the Delta E-Sourcing portal in line with the Council's document retention policies.

4. Late E-Tenders

- 4.1 A late E-Tender is any tender not submitted at the point of Tender Closure on the Delta E-Sourcing portal. It is not possible for E-Tenders to be received in this scenario and it is not acceptable to receive late E-Tenders through any other channel.

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Section 151 Officer

Purpose

To appoint a Section 151 Officer and note the Urgent Action taken in accordance with the Scheme of Delegation of Functions to Officers.

1. In accordance with Section 151 of the Local Government Act 1982 and Section 113 of the Local Government Finance Act 1988 there is a statutory requirement on the Council to designate one of its officers as its Section 151 Officer/Chief Finance Officer. The individual is required to be a suitably qualified accountant holding a recognised professional accountancy qualification. The duties of this post must be carried out personally.
2. At its meeting on 28 July 2021 the Council resolved to appoint Joanne Moore as Section 151 Officer. Ms Moore had been appointed as Interim Executive Head of Finance at an Appointments Sub Committee meeting on 8 July 2021. Due to unforeseen circumstances Ms Moore was unable to take up the appointment. The Council's Chief Accountant, Mr Adrian Flynn, was consequently appointed as Section 151 Officer, by Urgent Action, pending the recruitment of the Strategic Director of Finance & Customer Services. A copy of the Urgent Action authorisation is attached at Annex A.
3. At its meeting on 28 July 2021 the Council agreed to adopt a revised senior management structure, which would include a Strategic Director of Finance & Customer Services, who would be expected to undertake the role of Section 151 Officer.
4. A recruitment process to fill the vacancy has been undertaken. At its meeting on 13 September 2021, an Appointments Sub Committee agreed to appoint Bob Watson as Strategic Director of Finance & Customer Services and recommended that he be appointed as the Council's Section 151 Officer. The Appointments Sub Committee also agreed to appoint Amanda Fahey as Interim Strategic Director of Finance & Customer Services and it is proposed that she is appointed as Section 151 Officer whilst she is in this role.

Recommendation

5. The Council is advised to RESOLVE that
 - (i) Mr Bob Watson be appointed as the Section 151 Officer, to be effective upon commencement of his employment with the Council; and

- (ii) Ms Amanda Fahey be appointed as the Section 151 Officer with immediate effect until Mr Watson commences his employment with the Council.

Annexes

Annex A – Urgent Action

Background Papers:

None

Author:

Damian Roberts – Chief Executive

Head of Service

Chief Executive



Surrey Heath Borough Council Scheme of Delegation of Functions to Officers

Urgent Action Form – Council Function

Consultation by Chief Executive or Executive Head of Service or Head of Service involved
with relevant Portfolio Holder or Leader of the Council and the
Mayor

To Councillors	Cllr Alan McClafferty and Cllr Sarah Jane Croke
Portfolio Holder for	Leader and Mayor
Proposal	Appoint Mr Adrian Flynn as the Section 151 Officer until the post of Interim Strategic Director & S151 Officer is appointed, at which point the Council will be asked to appoint this individual as the Council's Section 151 Officer.
Background	<p>On 28th July 2021 the Council appointed Mrs Joanne Moore as its interim Section 151 Officer, however due to illness she is now not able to take on the role. We had considered asking the previous interim Section 151 Officer to remain, but he has secured himself another role so is unable to do this. There is not another Council meeting scheduled until the 27th October 2021 this why this decision is being requested by urgent action.</p> <p>Due to the set of circumstances, we are proposing that Mr Adrian Flynn the Councils Chief Accountant and the Deputy Section 151 Officer is appointed as the Councils Section 151 Officer. This will be until the Interim Strategic Director post is filled, at which point the Council will be asked to appoint this individual as the Council's Section 151 Officer. The interim role will conclude once the post of Strategic Director Finance and Customer Services is appointed. The permanent role is now out for advertisement.</p>
Options	<p>1. To agree to appoint Mr Adrian Flynn as the Section 151 Officer for the Council until an interim Strategic Director of Finance is filled.</p> <p>2. If agreement is not given for this appointment then the Council will be in contravention of the Local Government Act 1972</p>
Risk of delaying the decision	The Council will be contravention of the Local Government Act 1972, Section 151.
Legal advice	The Head of Legal services has been consulted on this matter.
Resource implications	There is no adverse effect on resource as this will be within budget

Contact Officer for further information	Damian Roberts Chief Executive
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I agree with the above action proposed

Signed - by email

Dated – 2/8/21

Portfolio Holder: Leader

I agree with the above action proposed

Signed - by email

Dated – 2/8/21

Mayor

I agree with the above action proposed

Signed - by email

Dated – 2/8/21

Chief Executive

Rachel Whillis

Subject: Re: Urgent Action - Section 151 Officer

Hi Louise,

Totally agree with Alan, so happy to agree and sign this off.

Kindest regards,

Cllr Sarah Jane Croke - Frimley Ward
Mayor of Surrey Heath
Surrey Heath Borough Council
Tel: 07929 297 902
FB: www.facebook.com/surreyheathmayor

From: Cllr Alan McClafferty <Alan.McClafferty@surreyheath.gov.uk>

Sent: Monday, August 2, 2021 6:18:53 PM

To: Louise Livingston <Louise.Livingston@surreyheath.gov.uk>; Cllr Sarah Jane Croke <SarahJane.Croke@surreyheath.gov.uk>

Cc: Damian Roberts <Damian.Roberts@surreyheath.gov.uk>; Rachel Whillis <rachel.whillis@surreyheath.gov.uk>; Gavin Ramtohal <Gavin.Ramtohal@surreyheath.gov.uk>; Julie Simmonds <Julie.Simmonds@surreyheath.gov.uk>

Subject: RE: Urgent Action - Section 151 Officer

Hi Louise

I'm happy to sign this off as I don't believe we have any other choice.

Regards

Alan

Alan McClafferty
St Michaels Ward
Leader of Surrey Heath Borough Council

From: Louise Livingston <Louise.Livingston@surreyheath.gov.uk>

Sent: 02 August 2021 17:39

To: Cllr Sarah Jane Croke <SarahJane.Croke@surreyheath.gov.uk>; Cllr Alan McClafferty <Alan.McClafferty@surreyheath.gov.uk>

Cc: Damian Roberts <Damian.Roberts@surreyheath.gov.uk>; Rachel Whillis <rachel.whillis@surreyheath.gov.uk>; Gavin Ramtohal <Gavin.Ramtohal@surreyheath.gov.uk>; Julie Simmonds <Julie.Simmonds@surreyheath.gov.uk>

Subject: Urgent Action - Section 151 Officer

Dear Madam Mayor and Leader of the Council

I am writing to ask you to sign off the attached urgent action on behalf of the Council.

The urgent action is pertaining to the appointment of the Section 151 Officer, details attached.

If you could confirm your agreement I will then ensure that this is shared with all Councillors so they are aware of the change.

If you have any questions regards this matter please don't hesitate to contact me.

Kind regards

Louise

Louise Livingston
Executive Head Transformation

Surrey Heath Borough Council
01276 707403

Louise.livingston@surreyheath.gov.uk
www.surreyheath.gov.uk

Visit
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