

# The Constitution

City of Wolverhampton Council

OUT OF DARIEST

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## **GLOSSARY OF TERMS**

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## **PART 1 – Summary and Explanation**

### **1.1 The Council’s Constitution**

The City of Wolverhampton Council (“the Council”) has agreed a constitution which sets out how the Council operates, how decisions are made and the procedures which are to be followed to ensure that these are efficient, transparent and accountable to local people. Some of these processes are required by the law, while others are a matter for the Council to choose.

The Constitution sets out the basic rules governing the Council’s business. More detailed procedures, policies and codes of practice are provided in Part 4 and 5 of this Constitution.

### **1.2 How the Council Operates**

The Council is comprised of 60 Councillors with one-third elected three years in four. Councillors are democratically accountable to residents of their ward. The overriding duty of Councillors is to the whole community, but they have a special duty to their constituents, including those who did not vote for them.

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

All Councillors meet together as the Council. Meetings of the Council are normally open to the public. Here, Councillors decide the Council’s overall policies and set the budget each year. The Full Council is the main forum for holding to account the executive (Cabinet). It sets the main policy framework within which the Council operates. The role of Full Council is set out in Part 2 of this constitution (article 4).

The Council has adopted the International Holocaust Remembrance Alliance’s (IHRA) working definition of anti-Semitism in its entirety, including the worked examples. This can be seen in its entirety [here](#).

### **1.3 How Decisions Are Made**

The Leader has overall responsibility for Executive decision-making powers and the delivery of the Council services and is elected by the Council for a four-year term at the Council’s annual meeting after elections. The Leader annually appoints Councillors to the Cabinet and the Cabinet Panels – one of whom is to be their deputy leader – and decide on the scope of their respective functions/portfolios.

Meetings of the Cabinet will generally be open for the public to attend except where personal or confidential matters are being discussed.

The Cabinet has to make decisions which are in line with the Council’s overall policies and budget. If it wishes to make a decision which is outside the budget or policy framework, this must be referred to the Full Council to

decide. Further details on the role of the Cabinet can be found in Part 2 Article 6 of this Constitution. Details of the areas of responsibilities held by the Cabinet Members and the powers and duties of the Committees/Sub-Committees can be found in Part 3 of this Constitution.

#### **1.4 Regulatory Committees**

The law gives the Council powers to grant approvals, licences, consents, permissions and registration in matters such as planning, licensing, health and safety, and rights of way. These are not allowed to be dealt with by the Cabinet and these powers are exercised by Committees of the Council. A list of these Committees and their respective responsibilities is contained in Part 2.

#### **1.5 Overview and Scrutiny**

The Scrutiny Board and six Scrutiny Panels support the work of the Cabinet and the Council as a whole. They allow citizens to have a greater say in Council matters by enquiring into matters of local concern. These lead to reports and recommendations which advise the Cabinet and the Council as a whole on its policies, budget and service delivery. The Board and Panels also monitor the decisions of the Cabinet/Cabinet Members. They may also be consulted by the Cabinet or the Council on forthcoming decisions and the development of policy.

#### **1.6 Employees**

The Council has employees working for it who perform a number of different roles, ranging from delivering services to giving advice, implementing decisions and managing the work of the Council. Employees operate in a politically neutral way; which Councillors must respect. Some employees have a specific duty to ensure that the Council acts within the law and uses its resources wisely. These employees are the Monitoring Officer and the Section 151 Officer. There is a protocol that governs the relationships between Councillors and employees which is set out in Part 5 of this Constitution.

#### **1.7 Citizens' Rights**

Citizens have a number of rights in their dealings with the Council. These are set out in more detail in Part 2, article 3. Some of these are legal rights, whilst others depend on the Council's own processes.

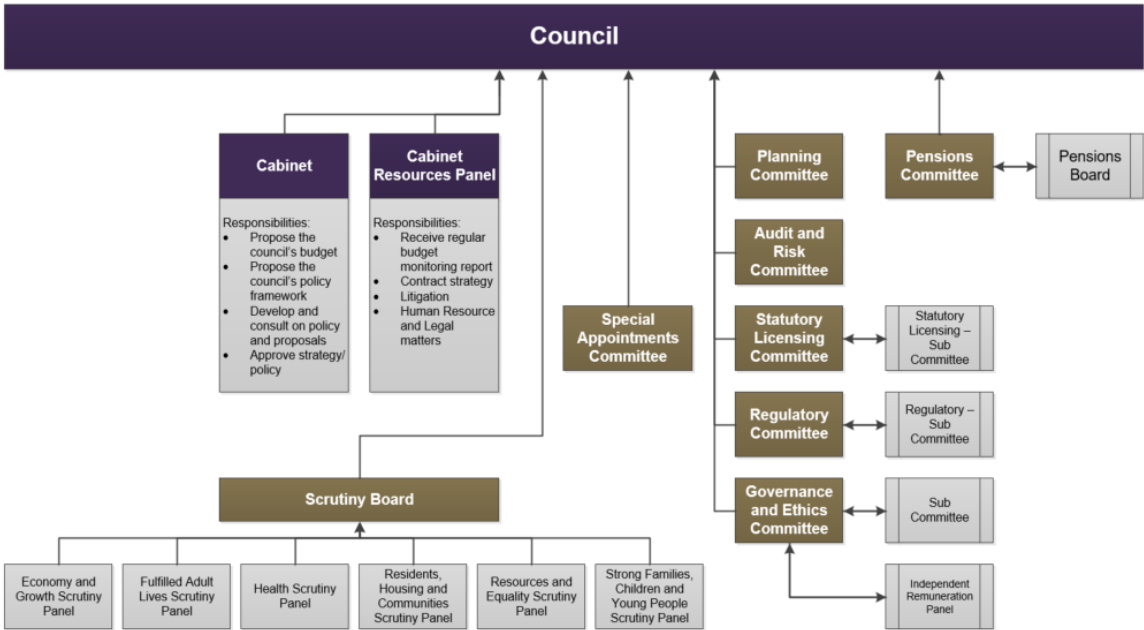
Where members of the public use specific Council services, for example, as a parent of a school pupil or as a Council tenant, they have additional rights. These are not covered in this Constitution.

Set out in Part 4 are the public's right of access to certain Council documents and information.

The Council welcomes participation by its citizens in its work. For further information on your rights as a citizen, please contact the Chief Operating Officer at the Civic Centre, St Peter’s Square, Wolverhampton WV1 1SH.

**Structure of the Council**

The structure of the Council is set out in the diagram below.



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**Article 1 – The Constitution**

**1.1 Powers of the Council**

The Council will exercise all of its powers and duties in accordance with the law and this Constitution.

**1.2 The Constitution**

This Constitution, and its appendices, is the Constitution of City of Wolverhampton Council.

**1.3 Purpose of the Constitution**

The purpose of the Constitution is to:

- a. enable the Council to provide clear leadership to the community in partnership with citizens, business and other organisations;
- b. support the active involvement and participation of citizens in the process of Council decision-making;
- c. help Councillors represent their constituents effectively;
- d. enable decisions to be taken efficiently and effectively;
- e. provide for more streamlined, efficient and effective decision-making in an open, transparent and accountable way;
- f. ensure that no one will review or scrutinise a decision in which they were directly involved;
- g. ensure that those responsible for decision making are clearly identifiable to local people and that they explain the reasons for decisions; and
- h. provide a means of improving the delivery of services to the community.

**1.4 Interpretation and Review of the Constitution**

Where the Constitution permits the Council to choose between different courses of action, the Council will be guided by that option which it thinks is closest to the purposes set out above.

The Council will monitor and evaluate the operation of the Constitution as set out in Article 13. Any amendments, including those made by the Monitoring Officer, will form part of the Constitution.

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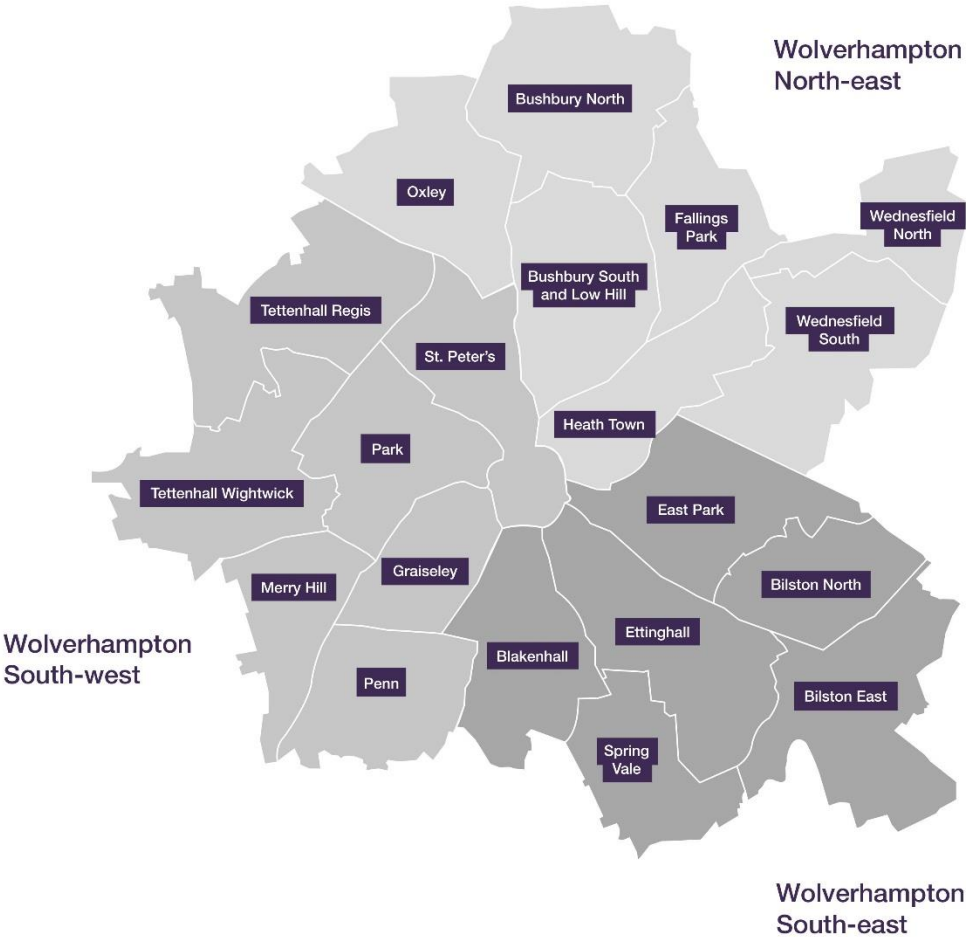
**Article 2 – Councillors**

**2.1 Membership of the Council**

Composition

The Council consists of 60 Councillors representing 20 wards. Three Councillors are elected by the voters of each ward in accordance with the scheme drawn up by the Electoral Commission and approved by the Secretary of State.

The Council's area is split into three parliamentary boundaries as follows:



### **Wolverhampton North-East**

There are currently seven wards within this locality. Bushbury South and Low Hill, Oxley, Bushbury North, Fallings Park, Wednesfield North, Wednesfield South and Heath Town.

### **Wolverhampton South-West**

There are currently seven wards within this locality. Tettenhall Regis, St Peters, Park, Tettenhall Wightwick, Graiseley, Merry Hill and Penn

### **Wolverhampton South-East**

There are currently six wards within this locality. East Park, Bilston North, Bilston East, Ettingshall, Blakenhall, and Spring Vale.

### **Eligibility**

Only registered voters of the City or those living or working there, as provided in the relevant law, will be eligible to hold the office of Councillor.

## **2.2 Elections and Term of Office**

There will be an ordinary election of one third of all Councillors held on the first Thursday in May each year, except that in 2020 and every fourth year following, there will be no local elections. The terms of office of Councillors will be four years starting on the fourth day after being elected and will finish on the fourth day after the date of the regular election four years later.

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

All Councillors will:

- a. collectively be the ultimate policy-makers and carry out a number of strategic and corporate functions for the Council;
- b. represent their communities and bring their views into the Council's decision- making process;
- c. contribute to good governance of the area and actively encourage community participation and citizen involvement in decision-making;
- d. be available to represent the Council on other bodies;
- e. maintain the highest standards of conduct and ethics.

- f. deal with individual casework, respond to Constituents' enquiries and representations fairly, promptly and impartially and act as an advocate for constituents in resolving particular concerns or grievances;
- g. effectively represent the interests of their Ward and of individual constituents;
- h. be aware of their responsibilities regarding corporate parenting
- i. participate in the governance and management of the Council;

#### **2.4 Rights and Duties**

- a. Councillors will have such rights of access to those documents, information, land and buildings of the Council as is necessary for the proper discharge of their functions and in accordance with the law.
- b. Councillors should consider the situation carefully and, if appropriate, seek guidance from the Chief Operating Officer before making any information public if it is confidential or exempt, without the consent of the Council, or divulge information given in confidence to anyone other than a Councillor or employee entitled to know it.
- c. For these purposes, "confidential" and "exempt" information are defined in the Access to Information Rules contained in Part 4 of this Constitution.

#### **2.5 Conduct**

Councillors will at all times observe the Councillor's Code of Conduct, Councillor/Employee Relations Protocol and other general guidance set out in Part 5.

#### **2.6 Councillors' Allowances**

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

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**Article 3 – Citizens and the Council**

**3.1 Citizens' Rights**

Citizens have the following rights. Their rights to information and to participate in Council business are explained in more detail in the Access to Information Procedure Rules in Part 4 of this Constitution.

**Voting and Petitions**

Citizens on the electoral roll for the area have the right to vote and sign a petition to request a referendum for an elected mayor form of Constitution, sign any other petition they wish to support and other matters under Localism Act.

**Information**

Citizens have the right to:

- a. attend meetings of the Council and its Committees (including Cabinet, when key-decisions are being considered) except where confidential or exempt information is likely to be disclosed, and the meeting is therefore held in private;
- b. find out from the key decision list what key decisions will be taken by the Cabinet and when;
- c. make representations to the Executive that decisions which it intends to take in private should instead be taken in public, and to receive a response;
- d. see reports and background papers, and any records of decisions made by the Council and the Cabinet, except where confidential or exempt information is likely to be disclosed;
- e. inspect the Council's accounts and make their views known to the external auditor;
- f. contact their local councillor about any matters of concern to them;
- g. obtain a copy of the Constitution.

**Participation**

Citizens have the right to contribute to the work of Scrutiny.

## **Complaints**

Citizens have the right to complain to:

- a. the Council under its complaints scheme; ([make a complaint to the council](#))
- b. the Ombudsman after using the Council's own complaints scheme; ([Local Government Ombudsman](#))
- c. the Governance and Ethics Committee about a breach of the Councillors' Code of Conduct. ([Code of Conduct Complaint](#))

### **3.2 Citizens' Responsibilities**

In pursuing these rights Citizens must not harass or be violent, abusive or threatening to Councillors or employees and must not wilfully harm things owned by the Council, Councillors or employees or be disruptive at meetings.



**Article 4 – The Full Council**



**4.1 Purpose of the Council**

**The Full Council will;**

- Exercise the functions reserved to it under Article 4.3 and as required under the Council's Financial Procedure Rules;
- Decide the Council's policy framework;

The Council will have the ultimate power to hold the Cabinet to account.

The Council's key functions will be to:

- make decisions required by statute;
- consider and debate budget, policy and major service proposals;
- scrutinise the performance of the Cabinet with the assistance of the Scrutiny Board and Scrutiny Panels;
- provide community leadership on issues of public interest outside the remit of the Council.

**4.2 Conduct of Business**

All Council meetings will be open to the public.

**4.3 The Policy Framework comprises the following plans and strategies:**

a. those required by the Local Government Act 2000 and Regulations:

- Sustainable Community Strategy;
- Community Safety and Harm Reduction Strategy
- Licensing Authority Policy Statement
- Statement of Gambling Policy
- Local Transport Plan;

- Plans and alterations which together comprise the Local Development Framework;
- Youth Justice Plan
- Sufficiency Strategy;
- Careleavers Strategy
- Health and Wellbeing Strategy.

b. those recommended by the Government:

- The Plan and Strategy which comprise the Housing Investment Programme including housing finance and rents;
- Adult Learning and Skills Strategy;
- Environment Strategy;

c. those which the Council may decide as a matter of local choice from time to time. These are: -

- The Children and Young People’s Plan
- The Corporate Plan
- Corporate Parenting Strategy
- Children and Young Persons Participation Strategy

#### **4.4 Budget setting**

The Budget includes the allocation of financial resources to different services and projects, including contingency funds, setting the Council Tax and decisions relating to the Council’s borrowing requirements, its investments and the control of its capital expenditure and the setting of virement limits. It includes the Medium-Term Financial Strategy and the Capital Management Strategy. The Council sets its budget in March each year.

The activities delegated to the Pensions Committee are not part of the Council’s budget, but subject to comparable arrangements controlled and managed by the Pensions Committee.

#### **4.5 Function of the Full Council**

Only the Council will exercise the following functions:

- a. adopting and changing the Constitution.
- b. approving and adopting the Budget and the Policy Framework, the budget and any application to the Secretary of State in respect of any Housing Land Transfer.
- c. subject to the urgency procedure, contained in the Access to Information Procedure Rules in Part 4, making decisions about any matter in the discharge of a Cabinet function which is covered by the

#### **Article 4 – The Full Council**

policy framework or the budget where the decision maker is minded to make it in a manner which would be contrary to the policy framework or contrary to/or not wholly in accordance with the budget.

- d. appointing and removing the Leader of the Council.
- e. approving and/or amending the terms of reference for all Committees, Panels and Boards (not being Committees Panels or Boards of the Cabinet), deciding on their composition and making appointments to them.
- f. appointing representatives to outside bodies unless the appointment is a Cabinet function or has been delegated by the Council.
- g. adopting a Councillors' Allowances Scheme.
- h. changing the name of the Council's area,
- i. conferring the honour of Honorary Alderman or Freedom of the City.
- j. confirming the appointment of the Head of Paid Service, the Monitoring Officer and the s.151 Officer and the taking of any disciplinary action against these Officers.
- k. the approval or adoption of applications to the Secretary of State for approval of a programme of disposal of 500 or more properties or where consent is required for disposal of land used for residential purposes;
- l. the approval of an increase in rents for Council housing properties;
- m. making, amending, revoking, re-enacting or adopting byelaws and promoting or opposing the making of local legislation or personal Acts.
- n. adopting a Code of Conduct for Members (Councillors);
- o. all local choice functions which the Council decides should be undertaken by itself rather than the Cabinet.
- p. approval of the Annual Pay Policy.
- q. dealing with any petition containing 5000+ signatures received by the Council in accordance with the Protocol for dealing with Petitions at Full Council Meetings set out in Part 4.
- r. a Resolution not to issue a casino premises licence under section 166 of the Gambling Act 2005.
- s. all other matters which by law must be reserved to the Council.

## **Article 4 – The Full Council**

- t. to provide a means whereby councillors may ask questions of matters relevant to the Council's functions and to bring forward motions for debate;
- u. to receive reports from the Leader, the Cabinet, the Governance and Ethics Committee and the Audit Committee which they have referred to Council;
- v. to consider and decide on recommendations of Committees on non-Executive functions not within their delegation or which a committee has referred to the Council for decision;
- w. to consider reports on lawfulness and maladministration;
- x. to consider decisions referred from the Scrutiny Board in respect of executive functions where decisions have not yet been implemented and the Committee considers the decisions may be contrary to the Budget or Policy Framework;
- y. to receive reports from the Leader or Cabinet on urgent decisions contrary to the Policy Framework;
- z. to take all decisions in respect of delegating non-executive functions to another local authority;

### **4.6 Full Council Meetings**

There are three types of Full Council meeting and their purpose is set out in the Full Council Meetings Procedure Rules in Part 4:

- a. The Annual Meeting
- b. Ordinary Meetings
- c. Extraordinary Meetings

They will be conducted in accordance with the Full Council Meetings Procedure Rules set out in Part 4.

### **4.7 Responsibility for Functions**

The Council will set out within this Constitution the responsibilities for the Council's functions which are not the responsibility of the executive - see Part 3 of this Constitution.

### **4.8 Quorum**

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

**Article 5 – The Mayor and Deputy Mayor**

**5.1 Role and Function of the Mayor**

- a. The Mayor will be elected and the Deputy Mayor will be elected at the Annual Council meeting.
- b. Neither the Mayor nor the Deputy Mayor may be a Cabinet Member during their respective term of office. The Mayor, during their respective term of office, will not serve on any Regulatory Committee of the Council including the Planning and Licensing Committees.
- c. The Mayor and, in their absence, the Deputy Mayor have the following roles and functions:

**5.2 Ceremonial Role**

The Mayor and the Deputy Mayor will represent the City at local, regional, national and international civic and ceremonial events.

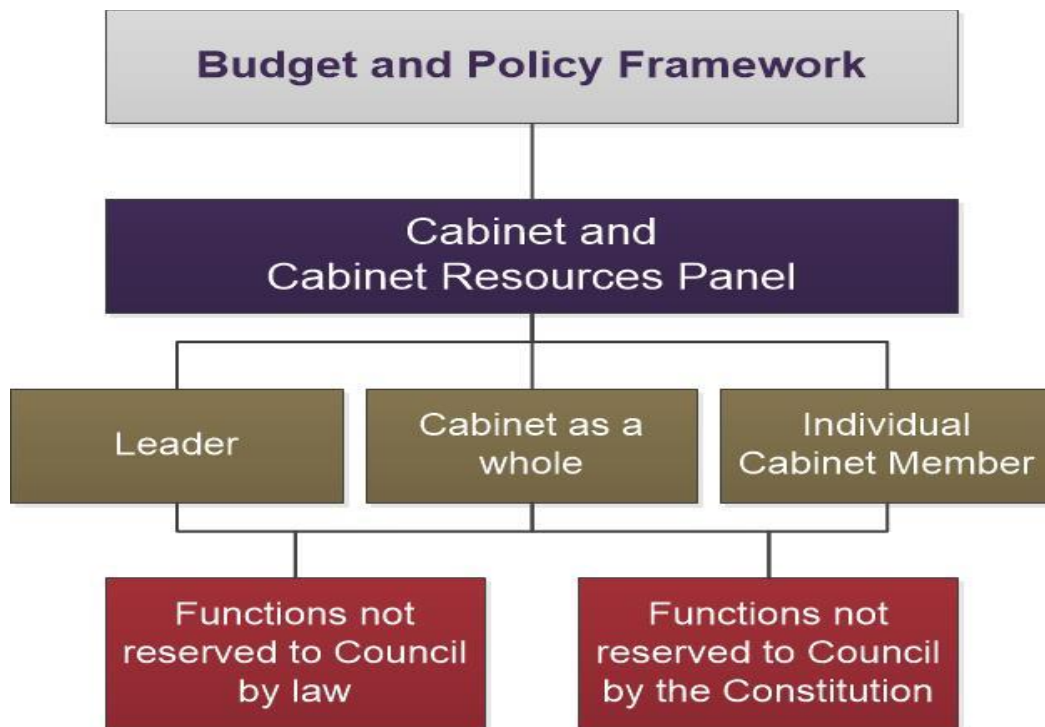
**5.3 Responsibilities**

The Mayor has the following responsibilities:

- a. to uphold and promote Wolverhampton and the purposes of the Constitution, and to interpret and give rulings on the Constitution where necessary and following appropriate advice from the Monitoring Officer;
- b. to preside over meetings of the Full Council so that its business can be carried out efficiently and with regard to the rights of Councillors and the interests of the community;
- c. to ensure that the Full Council meeting is a forum for the debate of matters of concern to the local community and the place at which Councillors who are not on the Cabinet are able to hold the Cabinet to account;
- d. to promote public involvement in the Council's activities;
- e. to be the conscience of the Council;
- f. to attend or be represented at such civic and ceremonial functions as the Council and they determine appropriate;
- g. to determine any matter referred to them under the urgency provisions of the Access to Information Procedure Rules or the Budget and Policy Framework Procedure Rules in Part 4 of the Constitution;
- h. to be consulted on any matter to which consultation with the Chair of the Council is required under this Constitution.

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Article 6 – The Cabinet



**6.1 Role**

The Cabinet is the political leadership of the local authority. It has a key role in delivering services, proposing the budget and policy framework to the Council and in promoting and complying with the Council’s aims and strategic priorities.

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

**6.2 Form and Composition of the Executive**

The Executive (which is also known as the Cabinet) will consist of:-

1. the Leader of the Council (the “Leader”); and
2. at least two but not more than 9 Councillors appointed to the Cabinet by the Leader.

The Cabinet cannot include the Mayor or Deputy Mayor and there will be no substitutes or co-optees for Cabinet Members.

Members of the Cabinet cannot be members of Scrutiny Board or Scrutiny Panel, Audit and Risk Committee, Planning Committee or Licensing and Regulatory Committee.

### **6.3 Leader of the Council**

The Leader must be elected by the Council at its Annual Meeting following the Local Government Elections for a period of 4 years or up to the end of their term of office as a Councillor whichever is shorter. The Leader will hold office until: -

- a. they resign from the office; or
- b. they are disqualified from being a Councillor; or
- c. they are no longer a Councillor; or
- d. where the Council passes a resolution removing them from office.

in the event of any casual vacancy in the position of Leader the Deputy Leader shall act in the Leader's place until the appointment of a new Leader by the Council.

**(Note:** Upon any change in the political control of the Council, the Leader will resign from office without the need for 6.3(d) above to be invoked.)

### **6.4 Responsibilities of the Leader of the Council**

To lead the Council and the Cabinet in the governance of the City of Wolverhampton and the strategic management of the Council in order to achieve the Council's vision. Within this overall role, the Leader of the Council will: -

- a. Represent and promote the City and the interests of its citizens to the outside world.
- b. Make statements, or nominate another Member to make statements, on issues or matters at Council Meetings.
- c. Head, or nominate another Member to head, delegations of Members and appropriate Employees from the Council to meet Ministers or other representatives of central government.
- d. Co-ordinate working arrangements/relationships with the Council's partners and other agencies within the City in the achievement of the best possible standards of living for its citizens.
- e. Take action needed, including the authorisation of financial and other resources, in response to any incidents which result in the City Council's Emergency Planning Procedures being activated.



- f. Take any executive decisions that have not been allocated, or exercise any functions that have been delegated to an executive member, in their absence or otherwise as the Leader considers appropriate in consultation with the Deputy Leader and/or the relevant Cabinet Member where appropriate.

## **6.5 Deputy Leader**

### **Appointment**

The Leader may designate one of the members of the Cabinet as Deputy Leader.

### **Duties of the Deputy Leader**

The Deputy Leader may exercise all the functions of the Leader where the position is vacant or where the Leader is absent or is otherwise unable to act.

### **Removal from Office**

The Leader may, if they think fit, remove the Deputy Leader from office at any time.

## **6.6 Appointment of Cabinet Members and Allocation of Cabinet Portfolios**

The Leader may also appoint up to a further eight other Councillors as Cabinet Members. The Leader together with the Deputy Leader and the Cabinet Member(s) appointed by the Leader will form the Cabinet.

The appointment of the Deputy Leader and Cabinet Member(s) shall take effect upon the date that written notification of such an appointment is received by the Chief Executive. The Leader shall report upon any such appointment at the next available Full Council meeting.

The Leader will determine those matters reserved to full Cabinet and the content of each Cabinet Member portfolio so as to ensure that the Executive Functions of the City Council are properly and effectively discharged.

The Leader may remove the Deputy Leader and any Cabinet Member from office. Such removal from office will take effect upon the date that written notification is received by the Chief Executive. The Leader shall report upon any such removal from office and the appointment of Cabinet Members at the next available Full Council meeting.

The Leader shall report upon the allocation of Executive Functions within the Cabinet or any changes to such arrangements at the next available Full Council meeting.

The Leader may, as they see fit, delegate Executive Powers to employees and may amend such a scheme of delegation from time to time. Any such arrangements shall take effect upon the date that written notification is received by the Chief Executive. The Leader shall report upon any such scheme of delegation or any changes to it at the next available Full Council meeting.

#### **6.7 Other Cabinet Members**

Cabinet Members shall be appointed annually by the Leader and will hold office until:

- a. they resign from office; or
- b. they are disqualified from being a Councillor;
- c. they are no longer a Councillor; or
- d. they are removed from office by the Leader who must give notice in writing of any removal to the Chief Executive. The removal will take effect immediately after the receipt of the notice by the Chief Executive.

#### **6.8 Responsibility for Functions**

The Leader notifies the Cabinet and Full Council which of the individual Cabinet Members, Committees of the Cabinet and employees or joint arrangements are responsible for the exercise of particular Cabinet functions.

#### **6.9 Responsibilities of Cabinet Members**

The current responsibilities of Cabinet Members are shown in Part 3.

#### **6.10 The purpose of the Cabinet:**

- a. Responsibility for proposing, consulting on, developing, monitoring, reviewing and advising the Full Council on the budget and the policy framework.
- b. To be responsible for all decisions relating to the implementation of Council policy.
- c. Making decisions on expenditure provided they are within the budget set by the Full Council and in accordance with the Financial Regulations and may vire budgets within limits as decided from time to time.

The Cabinet is responsible for:

- a. Monitoring the lawful, proper and efficient conduct of the Council's financial affairs, including the extent to which budgets and financial policies are

being and will be met, requiring or approving any remedial action to be taken where it considers it to be necessary and appropriate.

- b. Approving, monitoring and reviewing the Council's human resources policies.
- c. Approving, monitoring and reviewing the provision of services to the Council delivered by external or internal suppliers.
- d. Advising the Council on strategic matters in relation to corporate governance, community governance and community strategy.
- e. Monitoring and reviewing issues relating to area working.
- f. Carrying out all functions in respect of the organisation of schools under the Education and Inspections Act 2006 or any subsequent amending legislation.
- g. Exercising the Council's emergency functions in the event of a major emergency incident in the area, or in a neighbouring area, if it affects or might affect the residents, business or economy of the area, subject to the urgent action provisions being used as necessary.
- h. Making recommendations to the Full Council on any topic when directed by the Council.
- i. Discharge all operational functions of the Council except so far as specifically allocated to Full Council or any other Committee or Sub-Committee.

**6.11** The Council delegates its powers and duties to the Cabinet so far as it is necessary to discharge these responsibilities set out in Part 3.

**6.12 The Cabinet may carry out the functions set out in Article 6.6:**

- a. Itself;
- b. Through a Committee of the Cabinet, which may co-opt other Councillors or persons who if so co-opted will not be voting members.
- c. By delegating its power to an individual Cabinet Member (subject to rules to be approved by Council from time to time - see Procedure for decision-Making by Individual Cabinet Members in Part 3).
- d. By delegating its power to an employee, who shall exercise that power in accordance with the scheme of delegation to employees set out in Part 3.

- e. For the purposes of this Constitution, decisions made by the Cabinet itself or by a Committee of the Cabinet are called Amber Decisions
- f. For the purposes of this Constitution, decisions made by an Individual Cabinet Member are called Green Decisions.

- 6.13**
- a. From time to time, Full Council may appoint time limited cross party Steering Groups whose role and remit will be to oversee a specific emerging subject matter including consideration of policy, strategy and detail including regular monitoring and scrutiny in accordance with approved Terms of Reference to ensure relevant targets and key milestones are met. The consideration of any recommendations of Steering Groups, including options appraisal, must be formally reported to and approved by the Cabinet or appropriate Cabinet Panel.
  - b. Steering Groups will discharge their responsibility for functions in accordance with the Full Council Meetings Procedure Rules set out in Part 4.

(**Note:** Certain functions listed in the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 and any subsequent amendments of these Regulations cannot be exercised by the Cabinet).

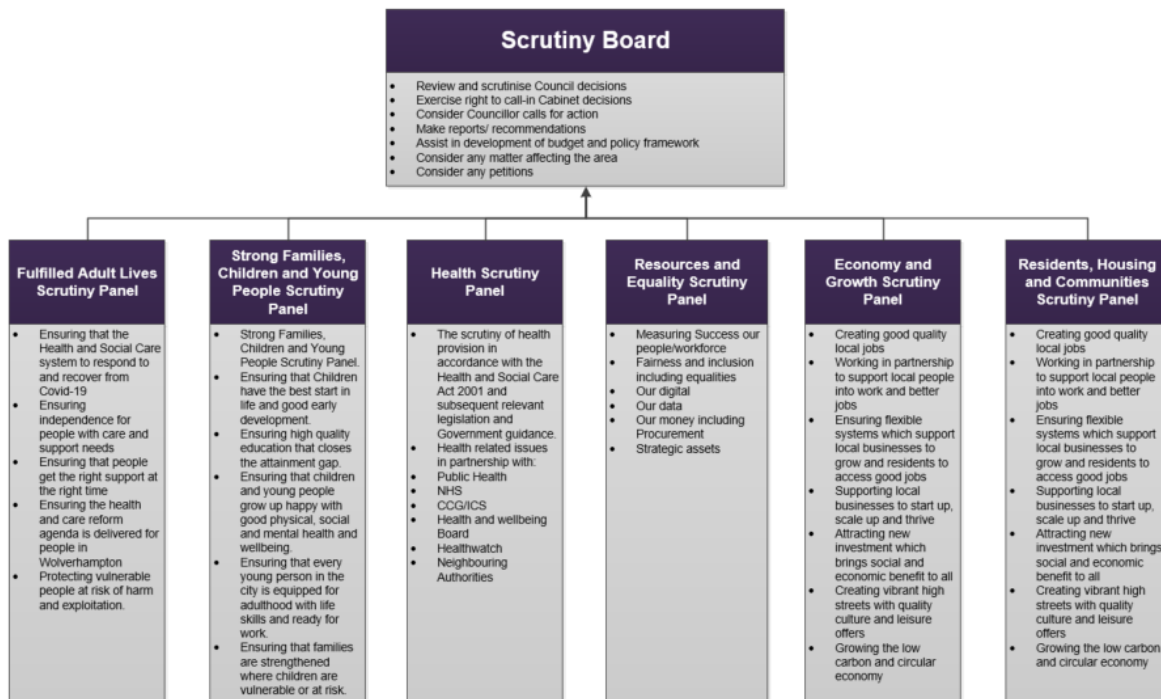
**6.14 Proceedings of the Cabinet**

The proceedings of the Cabinet shall take place in accordance with the Cabinet Procedure Rules in Part 4 of this Constitution.

**6.15 Quorum**

The quorum for a meeting of the Cabinet shall be three voting members of the Cabinet.

**Article 7 – Overview and Scrutiny Arrangements**



**7.1 Purpose**

1. The Council is required by Law to discharge certain overview and scrutiny functions. These functions are an essential component of local democracy. Overview and Scrutiny Committees should be powerful committees that can contribute to the development of Council policies and also hold the Cabinet to account for its decisions. Another key part of the overview and scrutiny role is to review existing policies, consider proposals for new policies and suggest new policies.
2. Overview and scrutiny should be carried out in a constructive way and should aim to contribute to the delivery of efficient and effective services that meet the needs and aspirations of local inhabitants. Overview and Scrutiny Committees should not shy away from the need to challenge and question decisions and make constructive criticism.

**7.2 Scrutiny Board**

In order to achieve this, the Council have appointed a Scrutiny Board and a number of Scrutiny Panels which between them will: -

- a. review or scrutinise decisions made or actions taken in connection with the discharge of any of the Council's functions whether by the Cabinet or another part of the Council or any of its Committees;

## **Article 7 – Overview and Scrutiny Arrangements**

- b. make reports or recommendations to the Council or the Cabinet in connection with the discharge of any functions;
- c. consider any matter which affects the Council's area or its inhabitants; and
- d. exercise the right to call in for reconsideration decisions made but not yet implemented by the Cabinet and Officers.

The Council or the Leader or the Cabinet or the Scrutiny Board may from time to time establish such other committees or sub-committees as it sees fit.

The leadership and co-ordination of the Council's scrutiny function will be the responsibility of the Scrutiny Board. The Board's terms of reference will be:

### **7.3 Terms of reference**

- a. When scrutinising the work of the Cabinet the Board will have the same terms of reference as the six Panels set out below.
- b. To arrange for the consideration of forthcoming Executive Decisions published in accordance with the Access to Information Procedure Rules with a view to identifying issues for early discussion with the Cabinet and/or scrutiny prior to decisions being made.
- c. The Board will oversee the operation of the call-in mechanisms with the Panels being responsible for hearing those call-ins related to their terms of reference. When the call-in relates to an overarching policy framework / budget issue or a matter that falls within the remit of more than one scrutiny panel it will default to the Scrutiny Board. Further, if the issue is considered to be of particular significance, either the Chair or Vice Chair of the Scrutiny Board can ask for it to come to the Board.
- d. The Board will oversee the work programmes of Scrutiny Panels to avoid duplication of work and to ensure coherence of approach to cross-cutting policy themes. The Board may determine that one named Panel shall take lead responsibility for a cross-cutting policy theme or may determine that the work be shared between one or more named Panels.
- e. The Board will ensure coherence between the policy development work of the named Panels and their role in the consideration of reports received from external auditors and external regulatory Inspectors.
- f. The Board will make recommendations to the Cabinet on the allocation of budgetary and employee resources held centrally for the purpose of supporting scrutiny work.
- g. The Board will ensure that good practices and methods of working are shared between Panels and in particular will seek to optimise the inclusion of citizens, partners and stakeholders in the work of Scrutiny.

## **Article 7 – Overview and Scrutiny Arrangements**

- h. The Board will review or scrutinise non-Cabinet business and may make reports or recommendations to the Council. The Board will consider policy and due process and will not scrutinise individual decisions made by Regulatory or other Committees particularly those quasi-judicial decisions relating to development control, licensing etc. which have been delegated by the Council. The Board will not act as an appeal body in respect of non-Cabinet functions.
- i. The Board will oversee the work of any Councillors appointed to act as lead members or ‘champions’ in respect of any specific priority tasks or areas of policy development identified by the Council.
- j. The Board or another relevant scrutiny panel will consider any petition that contains 2,500-4,999 signatures with a view to making recommendations for action by employees or review by the Executive as appropriate.
- k. The Board will undertake the tracking and monitoring of scrutiny review recommendations.
- l. The Board will oversee the coordination of the budget scrutiny process.

### **7.4 Specific responsibilities**

The Board will have responsibility for scrutiny functions as they relate to:

- West Midlands Combined Authority interface
- MTFs (overall oversight on Revenue/Capital/Assets)
- Overall performance (including Our City: Our Plan)
- Levelling Up
- Pre Decision
- Call in
- Petitions
- Wolverhampton Pound
- Oversight of Select Committee work – reporting on outcomes

#### **a. Resources and Equality Scrutiny Panel**

##### **Scope**

The scrutiny of organisation and performance of the human, financial, technical and material resources to support the delivery of Council services.

##### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

##### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- Measuring success
- our people/workforce

## **Article 7 – Overview and Scrutiny Arrangements**

- fairness and inclusion including equalities
- our digital
- our data
- our money including procurement
- strategic assets

### **b. Fulfilled Adult Lives Scrutiny Panel**

#### **Scope**

The scrutiny of:

- Services for older and vulnerable adults
- Local safeguarding arrangements for adults

#### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

#### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- Ensuring that the Health and Social Care system to respond to and recover from Covid-19
- Ensuring independence for people with care and support needs
- Ensuring that people get the right support at the right time
- Ensuring the health and care reform agenda is delivered for people in Wolverhampton
- Protecting vulnerable people at risk of harm and exploitation

### **c. Strong Families, Children and Young People Scrutiny Panel**

#### **Scope**

The scrutiny of:

- Provision of all local authority services for children and young people including education, early intervention and prevention, social care, special needs and commissioned services.
- Children's safeguarding including child exploitation.

#### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

#### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- Ensuring that Children have the best start in life and good early development
- Ensuring high quality education that closes the attainment gap



## **Article 7 – Overview and Scrutiny Arrangements**

- Ensuring that children and young people grow up happy with good physical, social and mental health and wellbeing
- Ensuring that every young person in the city is equipped for adulthood with life skills and ready for work
- Ensuring that families are strengthened where children are vulnerable or at risk.

### **d. Health Scrutiny Panel**

#### **Scope**

The scrutiny of health provision in accordance with the Health and Social Care Act 2001 and subsequent relevant legislation and Government guidance.

#### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

#### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- The scrutiny of health provision in accordance with the Health and Social Care Act 2001 and subsequent relevant legislation and Government guidance.
- Health related issues in partnership with:
  - Public Health
  - NHS
  - CCG/ICS
  - Health and wellbeing Board
  - Healthwatch
  - Neighbouring Authorities

### **e. Economy and Growth Scrutiny Panel**

#### **Scope**

The scrutiny of policies to attract and retain new businesses and employment in the context of sustainable economic and environmental regeneration.

#### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

#### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- Creating good quality local jobs
- Working in partnership to support local people into work and better jobs

## **Article 7 – Overview and Scrutiny Arrangements**

- Ensuring flexible systems which support local businesses to grow and residents to access good jobs
- Supporting local businesses to start up, scale up and thrive
- Attracting new investment which brings social and economic benefit to all
- Creating vibrant high streets with quality culture and leisure offers
- Growing the low carbon and circular economy

### **f. Residents, Housing and Communities Scrutiny Panel**

#### **Scope**

The scrutiny of:

- Vibrant sustainable communities where people feel proud to live
- Keeping neighbourhoods, city infrastructure and the environment clean
- Improving city housing
- Cultural and leisure services

#### **General responsibilities**

As detailed in the Overview and Scrutiny procedural Rules.

#### **Specific responsibilities**

The Panel will have responsibility for scrutiny functions as they relate to:

- Community safety
- Closing the gap on healthy life expectancy
- Ensuring people live happier more active lives
- Ensuring inclusive, welcoming communities where people feel safe and look out for each other
- Delivering more new homes
- Ensuring safe and healthy homes for all
- Ensuring access to a secure home
- Ensuring clean, green neighbourhoods and public space
- Well-connected businesses and residents

The Scrutiny Board will comprise 13 members are appointed at full council, plus any additional members as the Council may see fit to appoint. Neither the Mayor of the Council nor any members of the Cabinet may be members of the Scrutiny Board and its Sub-Committees.

### **7.5 Specific Functions**

Policy Development and Review

The Scrutiny Board and its Panels may:-

- a. assist the Council and the Cabinet in the development of its budget and policy framework by in depth analysis of policy issues;

## **Article 7 – Overview and Scrutiny Arrangements**

- b. conduct research, community and other consultation in the analysis of policy issues and possible options;
- c. question members of the Cabinet and/or Committees and Chief Officers from the Council about their views on issues and proposals affecting the area;
- d. liaise with other external organisations operating in the area, whether national, regional or local, to ensure that the interest of local people are enhanced by collaborative working; and
- e. consider the impact of policies to assess if they have made a difference.

Scrutiny. The Scrutiny Board and its Panels may:-

- a. review and scrutinise the decisions by and performance of the Cabinet and/or Committees and Council Officers in relation to individual decisions and over time;
- b. review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas;
- c. question members of the Cabinet and/or Committees and Chief Officers from the Council about their decisions and performance, whether generally in comparison with service plans and targets over a period of time, or in relation to particular decisions, initiatives or project;
- d. make recommendations to the Cabinet and/or appropriate Committee and/or Council arising from the outcome of the scrutiny process;
- e. review and scrutinise the performance of other public bodies in the area and invite reports from them by requesting them to address the Scrutiny Board or its Panels and local people about their activities and performance; and
- f. question and gather evidence from any person (with their consent).

### **7.6 Proceedings of the Scrutiny Board and Scrutiny Panels**

The Scrutiny Board and Scrutiny Panels will conduct their proceedings in accordance with the Overview and Scrutiny Procedure Rules set out in Part 4.

### **7.7 Annual Report**

- a. The Scrutiny Board will present an annual report to the Council.
- b. The Annual Report will contain information on the work done by the Board or panels over the past year and recommendations for work to be done in the year to come.

## ***Article 7 – Overview and Scrutiny Arrangements***

### **7.8 Designation of Scrutiny Officer**

The Scrutiny and Systems Manager is designated as the Council's Statutory Scrutiny Officer whose function is:

- a. to promote the role of the authority's Scrutiny Board and panels;
- b. to provide support to the authority's Scrutiny Board or panels and the members of that committee or those committees;
- c. to provide support and guidance to—
  - members of the authority,
  - members of the executive of the authority, and
  - employees of the authority,

in relation to the functions of the authority's Scrutiny Board or Panels.

### **7.9 Quorum**

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

The quorum for a meeting of the Scrutiny Panel's shall be one quarter of the number of voting members of the relevant Panel/ Select Committee.

### **7.10 Substitutes**

The leaders of the political groups may notify the Monitoring Officer of substitutes, of Councillors from their party, to attend Scrutiny Board/Scrutiny Panel/Select Committee in place of members of their party where the relevant member is unable to attend.

**Article 8 – Regulatory and Other Committees**

**8.1 Regulatory and Other Committees**

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

The Annual Council meeting will appoint the following Regulatory and other Committees:-

- **The Planning Committee**



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

**Planning Committee**

Reference should also be made to any Codes of Best Practice and Procedure Rules for planning matters made by the Committee.

**Composition**

The Committee shall comprise of elected members (not drawn from Cabinet) to be appointed by full Council. Substitutes can be appointed for any meeting provided that they have had the requisite training for the Committee.

**Chair**

The full Council will appoint the Chair and Vice Chair of the Committee. In the absence of the Chair at a meeting of the Committee, the Vice Chair will chair the meeting. In the absence of both the Chair and Vice Chair, the Committee will elect another member of the Committee to chair the meeting.

**Quorum**

The Quorum of the Committee will be four members.

**Training**

The members of the Committee will be required to undertake appropriate training for their role.

**Functions Delegated to the Planning Committee.**

The functions delegated to Planning Committee are detailed in Part 3 of this Constitution.

- **The Statutory Licensing Committee**



The role of the Statutory Licensing Committee is to be responsible for determining applications and enforcement decisions of the Council in relation to a wide range of licenses, including, regulated entertainment, cinemas and theatres and amusement machines etc (other than those which are by law matters for the Cabinet) and other related matters as set out in Part 3 of the Constitution.

**Statutory Licensing Committee**

Reference should also be made to any Codes of Best Practice and Procedure Rules for licensing matters made by the Committee.

**Composition**

The Committee shall comprise of elected members (not drawn from Cabinet) to be appointed by full Council. Substitutes can be appointed for any meeting provided that they have had the requisite training for the Committee

**Chair**

The full Council will appoint the Chair and Vice Chair of the Committee. In the absence of the Chair at a meeting of the Committee, the Vice Chair will chair the meeting. In the absence of both the Chair and Vice Chair, the Committee will elect another member of the Committee to chair the meeting.

**Quorum**

The Quorum of the Committee will be three members.

**Training**

All members of the Committee shall have received appropriate training Before carrying out any licensing function.

**Functions Delegated to the Statutory Licensing Committee**

The functions delegated to Statutory Licensing Committee are detailed in Part 3 of this Constitution.

- **The Regulatory Committee**



The role of the Regulatory Committee is to be responsible for determining applications and enforcement decisions of the Council in relation to a wide range of licenses, including hackney carriages and private hire vehicles, street and house to house collections and pet shops etc (other than those which are by law matters for the Cabinet) and other related matters as set out in Part 3 of the Constitution.

**Regulatory Committee**

Reference should also be made to any Codes of Best Practice and Procedure Rules for regulatory matters made by the Committee.

**Composition**

The Committee shall comprise of elected members (not drawn from Cabinet) to be appointed by full Council. Substitutes can be appointed for any meeting provided that they have had the requisite training for the Committee

**Chair**

The full Council will appoint the Chair and Vice Chair of the Committee. In the absence of the Chair at a meeting of the Committee, the Vice Chair will chair the meeting. In the absence of both the Chair and Vice Chair, the Committee will elect another member of the Committee to chair the meeting.

**Quorum**

The Quorum of the Committee will be three members.

**Training**

All members of the Committee shall have received appropriate training before carrying out any licensing function.

## **Functions Delegated to the Regulatory Committee**

The functions delegated to Regulatory Committee are detailed in Part 3 of this Constitution.

- **The Audit and Risk Committee**



The Audit and Risk Committee is a key component of the Council’s corporate governance. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.

### **Audit and Risk Committee**

The purpose of the Audit Committee is to provide independent assurance to Councillors of the adequacy of the risk management framework and the internal control environment. It provides independent review of the governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

### **Composition**

The Audit and Risk Committee shall comprise elected members, who must not be Cabinet Members, to be appointed by full Council. The Committee must be politically balanced. There will be no provision for substitute Councillors to attend Committee meetings.

Two Independent Members will also be appointed to the Audit and Risk Committee.

### **Chair and Vice Chair**

The full Council will appoint the Chair and Vice Chair of the Committee. In the absence of the Chair at a meeting of the Committee, the Vice Chair will chair the meeting. In the absence of both the Chair and Vice Chair, the Committee will elect another member of the Committee to chair the meeting.

### **Quorum**

The quorum of the Committee will be 3 members.

The members of the Committee will be required to undertake appropriate training for their role.



## ***Article 8 – Regulatory and Other Committees***

### **Functions Delegated to the Audit and Risk Committee**

The functions delegated to Audit and Risk Committee are detailed in Part 3 of this Constitution.

### **The Pensions Committee**

The functions delegated to Pensions Committee are detailed in Part 3 of this Constitution.

### **The Pensions Board**

The functions delegated to Pensions Board are detailed in Part 3 of this Constitution.

### **The Health and Wellbeing Together Board**

The functions delegated to Health and Wellbeing Together Board are detailed in Part 3 of this Constitution.

These Committees will discharge their responsibility for functions in accordance with Part 3 and also in accordance with the Full Council Meetings Procedure Rules set out in Part 4.

### **The Special Appointments Panel**

An appointments panel will carry out functions specified in the Employees Employment Procedure Rules in Part 4.

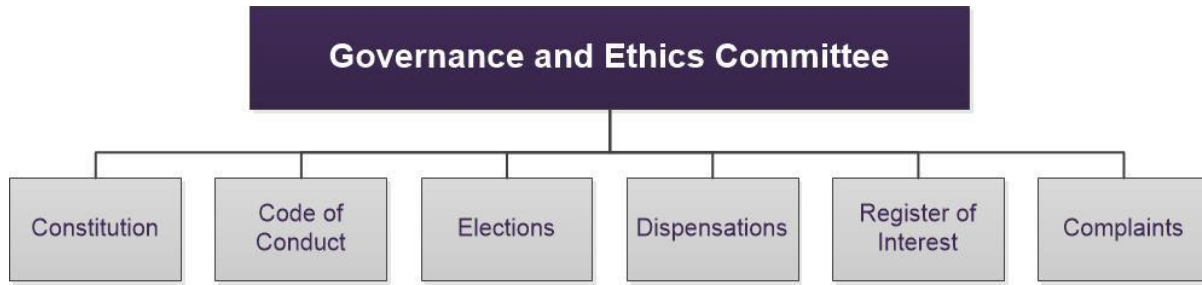
A Special Appointment Committee will be established on a politically balanced basis and comprise of elected members.

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

- a. The Council will appoint such other committees as it considers appropriate to exercise any of its functions.
- b. Any committee appointed by the Council may at any time appoint additional sub-committees and panels throughout the year. Their terms of reference and delegation of powers to them shall be explicit and within the Appointing Committee's terms of reference.
- c. The Council in the case of Standing Committees or the parent committee in the case of sub-committees or panels will, in the case of sub-committees or panels, appoint the members to serve on the committee, sub-committee or panel subject to the right of a political group within the meaning of the Local Government and Housing Act 1989 and any regulations made under that Act to make nominations for those appointments at the meeting that makes the appointments before the appointments are made.
- d. The composition including substitutions, quorum and training requirements are detailed in Part 3.

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Article 9 - Governance and Ethics Committee



The Council will establish a Governance and Ethics Committee. Its role is to promote and maintain high standards of conduct by Councillors, to oversee the following: revisions to the constitution, the elections process and other related matters as set out in Part 3 of the Constitution.

**Composition**

Elected members are to be appointed by full Council. The Committee must be politically balanced.

**Chair**

The full Council will appoint the Chair of the Committee. In the absence of the Chair at a meeting of the Committee, the Committee will elect another member of the Committee to chair the meeting.

**Quorum and Substitutes**

The Quorum of the Committee will be three members. The leaders of the political groups may notify the Monitoring Officer of substitutes, of Councillors from their party, to attend the Committee in place of members of their party where the relevant member is unable to attend.

**Functions Delegated to the Governance and Ethics Committee**

The functions delegated to Governance and Ethics Committee are detailed in Part 3 of this Constitution.

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**Article 10 – Joint Arrangements**

**10.1 Arrangements to Promote Wellbeing**

The Cabinet, in order to promote the economic, social or environmental well-being of its area may: -

- a. enter into arrangements or agreements with any person or body;
- b. co-operate with, or facilitate or co-ordinate the activities of, any person or body; and
- c. exercise on behalf of that person or body any functions of that person or body.

**10.2 Joint Arrangements**

- a. The Council may establish joint arrangements with one or more local authorities to exercise functions which are not Cabinet functions in any of the participating authorities or advise the Council. Such arrangements may involve the appointment of a Joint Committee with these other local authorities.
- b. The Cabinet may establish joint arrangements with one or more local authorities to exercise functions which are Cabinet functions. Such arrangements may involve the appointment of joint committees with these other local authorities.

Except as set out below the Cabinet may only appoint Cabinet Members to a Joint Committee and those Councillors need not reflect the political composition of the Council as a whole.

The Cabinet may appoint Councillors to a Joint Committee from outside the Cabinet in the following circumstances:

- the Joint Committee has functions for only part of the area of the authority and that area is smaller than two fifth of the authority by areas or population. In such cases the Cabinet may appoint to the Joint Committee any Councillor who is a Councillor for a Ward which is wholly or partly contained within the area;
  - the Joint Committee is discharging a function in relation to five or more authorities;
  - the function which the Joint Committee is discharging is a function which is required by statute to be discharged by a Joint Committee;
  - political balance requirements do not apply to such appointments.
- c. Details of any joint arrangements including delegations to Joint Committees will be found in the Council's scheme of delegations in Part 3 of this Constitution.

**10.3 Access to Information**

The Access to Information Rules in Part 4 apply to Joint Arrangements.

**10.4 Delegation to and from Other Local Authorities**

- a. The Council may delegate functions to another local authority or, in certain circumstances, the Cabinet of another local authority.
- b. The Cabinet may delegate Cabinet functions to another local authority or the Cabinet of another local authority in certain circumstances.
- c. The decision whether or not to accept such a delegation from another local authority shall be reserved to the Council meeting except where it relates to pensions when it shall be reserved to the Pensions Committee.

**10.5 Contracting Out**

The Council in respect of non-Cabinet functions and the Cabinet in respect of Cabinet functions may contract out to another body or organisation functions which may be exercised by an employee and which are subject to an order under section 70 of the Deregulation and Contracting Out Act 1994, or under contracting arrangements where the contractor acts as the Council's agent under usual contracting principles, provided there is no delegation of the Council's discretionary decision making.

**Article 11 – Employees**

**11.1 Management structure**

**a. General.**

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

**b. Senior Management**

The Council will engage persons for the following posts, who will be designated Senior Managers and Chief Officers (for the purposes of Part 3 of the Constitution).

<b>Post</b>	<b>Functions and areas of responsibility</b>
Chief Executive	Vision 2030 Council Plan Our Council Programme Financial Strategy Corporate Governance Assurance Framework Positioning the City Inward Investment Regional and Sub-Regional Work Stakeholder Engagement Framework Black Country Transport West Midlands Pension Fund
Deputy Chief Executive	Oversight and assurance of services: <ul style="list-style-type: none"> <li>• Voluntary and Community Sector Officer</li> <li>• Champion</li> <li>• Resettlement Programme</li> <li>• Wolverhampton for Everyone</li> <li>• Corporate Parenting</li> <li>• Safer Wolverhampton Partnership</li> </ul> Interim responsibilities: <ul style="list-style-type: none"> <li>• WV Living Ltd.</li> <li>• Housing Growth &amp; Development</li> <li>• W2W Housing Growth</li> <li>• City Assets &amp; Facilities</li> <li>• One Public Estate</li> <li>• Our Assets Programme</li> </ul>

**Article 11 – Employees**

Director of Finance	Section 151 Officer Audit Services Strategic Financial Advice and Support Revenues and Benefits The Hub Financial and Investment Strategy Procurement Services Commercial Services
Chief Operating Officer	Monitoring Officer Democracy Legal Services Equality and Diversity Electoral Registration Elections and Referenda Information Governance Councillor Support Mayoral Support Business Support Programme Projects & Programmes Business Improvement Executive Support Health, Safety and Wellbeing Strategic Lead Human Resources



<p>Executive Director of Families</p>	<p>Assessment and Support Planning for Adults Adult Safeguarding/Multi Agency Safeguarding Hub Adult Care Provision Better Care/Integrated Working with Health Principal Social Worker Community Financial Support Adults Commissioning Approved Mental Health Practitioners and Assessments Independent Living Services Carers Support Adults Improvement Children in Need and Child Protection Disabled Children and Young People Multi Agency Safeguarding Hub and Duty Team Children &amp; Young People in Care Youth Offending Early Intervention Education Psychology Specialist Support Safeguarding Children’s Commissioning Child Transformation Work Children’s Partnership Boards Schools Improvement School Organisation and Admissions Early Years Inclusion Support Post 16 Education</p>
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The Senior Management are all members of the Council’s Strategic Executive Board and share responsibility for proper governance; effective performance and financial management; the improvement of services and the achievement of Value-for-Money.

The Strategic Executive Board is supported by Directors. Directors provide operational leadership across all service areas and are accountable to the Strategic Executive Board for delivery.

The Director for Pensions arranges for the Council’s responsibilities to manage the West Midlands Authorities Pension Fund to be discharged. This includes the investment and general management of the fund and to provide services to the West Midlands Combined Authority.

The Black Country Service Director - City Assets works with the transport teams across each of the four local authorities to ensure a joined-up approach aimed at increasing the region’s capability to bid for

funding and developing the capacity for effective regeneration and economic development from future projects and schemes.

**c. Statutory Posts**

The Council will designate the following statutory posts as shown below:

<b>Post</b>	<b>Designation</b>
Chief Executive	Head of Paid Service
Chief Operating Officer	Monitoring Officer
Director of Finance	Section 151 Officer
Executive Director of Families	Director of Children’s Services and Director of Adult Services

These posts will have the functions described in Articles 11.2 – 11.4 below in addition to responsibility for the functions undertaken by the Service Group(s) which they manage.

The Head of Paid Service will determine and publicise a description of the overall structure of the Council showing the Management structure and deployment of employees. [Link to senior management structure](#) .

**11.2 Functions of the Head of Paid Service**

**a. Discharge of functions by the Council**

The Head of Paid Service will report to Full Council on the manner in which the discharge of the Council’s functions is co-ordinated, the number and grade of employees required for the discharge of functions and the organisation of employees.

**b. Restrictions on functions**

The Head of Paid Service may not be the Monitoring Officer but may hold the post of Section 151 Officer if a qualified accountant.

**11.3 Functions of the Monitoring Officer**

**a. Maintaining the Constitution**

The Monitoring Officer will maintain an up-to-date version of the Constitution and will ensure that it is widely available for inspection by Councillors, employees and the public.

**b. Ensuring lawfulness and fairness of decision making**

After consulting with the Head of Paid Service and Section 151 Officer, the Monitoring Officer will report to the Full Council or to the Cabinet in relation to a Cabinet function if he or she considers that any proposal, decision or omission would give rise to unlawfulness or if any decision or omission has given rise to maladministration. Such a report will have the effect of stopping the proposal or decision being implemented until the report has been considered.

**c. Supporting the Standards Committee**

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

**d. Receiving Reports**

The Monitoring Officer will receive, assess, refer and determine complaints that Councillors have not complied with the Code of Conduct.

**e. Conducting investigations**

The Standards Committee or the Monitoring Officer will conduct investigations into matters referred by Ethical Standards Officers and make reports or recommendations in respect of them to the Standards Committee.

**f. Proper Officer for access to information**

The Monitoring Officer will ensure that Cabinet decisions, together with the reasons for those decisions and relevant reports and background papers are made publicly available as soon as possible.

**g. Advising whether Cabinet decisions are within the budget and policy framework**

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

**h. Providing advice**

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

**i. Restrictions on posts**

The Monitoring Officer cannot be the Section 151 Officer or the Head of Paid Service.

**11.4 Functions of the Section 151 Officer**

**a. Ensuring lawfulness and financial prudence of decision making**

After consulting with the Head of Paid Service and the Monitoring Officer, the Section 151 Officer will report to the Full Council or to the Cabinet in relation to a Cabinet function and the Council's External Auditor if it is considered that any proposal, decision or course of action will involve incurring unlawful expenditure, or is unlawful and is likely to cause a loss or deficiency or if the Council is about to enter an item of account unlawfully.

**b. Administration of financial affairs**

The Section 151 Officer will have responsibility for the administration of the financial affairs of the Council.

**c. Contributing to corporate management**

The Section 151 Officer will contribute to the corporate management of the Council, in particular through the provision of professional financial advice.

**d. Providing advice**

The Section 151 Officer will provide advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to all Councillors and will support and advise Councillors and employees in their respective roles.

**11.5 Duty to Provide Sufficient Resources to the Monitoring Officer and Section 151 Officer**

The Council will provide the Monitoring Officer and Section 151 Officer with such employees, accommodation and other resources as are in their opinion sufficient to allow their duties to be performed.

**11.6 Functions of the officer appointed as the Director of Children's Services**

a. The Director of Children's Services is appointed for the purpose of the Council's functions referred to in Section 18 of the Children act 2004 as follows: -

i. Social services – the Council's social services functions within the meaning of the Local Authorities Social Services Act 1970, as they relate to children and young people leaving care;

- ii. Health services – any health-related functions exercised on behalf of an NHS body under Section 31 of the Health Act 1999, so far as they relate to children;
- iii. Inter-agency co-operation – the Council’s functions in its capacity as children’s service authority under Part 2 of the Children Act 2004; and
- iv. Children Act 1989 – functions conferred under Sections 23C to 24D (and not falling under sub-article (i) above).

**11.7 Functions of the officer appointed as the Director of Adult Social Services**

- a. Section 6(1) of the Local Authorities Social Services Act 1970 requires the Council to appoint an officer known as the Director of Adult Social Services, for the purposes of their adult social services functions.
- b. The Council is required to secure the provision of adequate staff for assisting them in the exercise of their functions.
- c. The functions for which the officer is responsible are those contained in Schedule 1 to the Local Authorities Social Services Act 1970 other than those functions for which the Director of Children’s Services is responsible under Section 18 of the Children Act 2004.

**11.8 Conduct**

Employees will comply with the Employees’ Code of Conduct and the Protocol on Councillor/Employee Relationships set out in Part 5.

**11.9 Employment**

The recruitment, selection and dismissal of employees will comply with the Employee Employment Procedure Rules set out in Part 4.

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## **Article 12 – Decision Making**

### **12.1 Responsibility for Decision Making**

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

### **12.2 Principles of Decision Making**

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

- a. proportionality i.e. the action must be proportionate to the desired outcome;
- b. due consultation - including the taking of professional advice from employees;
- c. respect for human rights;
- d. a presumption in favour of openness;
- e. clarity of aims and desired outcomes;
- f. due consideration to alternative options;
- g. accountability i.e., giving reasons for the decision (providing that this does not involve a breach of confidentiality);
- h. to take into consideration financial, legal, equalities and risk implications.

### **12.3 Types of Decision**

- a. Key decisions.

A key decision is a Cabinet decision which is likely:

- to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates or
  - to be significant in terms of its effects on communities living or working in an area comprising two or more Wards in the area of the local authority.
- b. A decision maker may only make a key decision in accordance with the requirements of the Cabinet Procedure Rules set out in Part 4.

**Note:** The Council has determined that expenditure or savings in excess of £250,000 will be deemed significant. This figure will be reviewed by the Council from time to time.

Key decisions may not be taken by an individual Cabinet Member.

- c. Decisions relating to the functions listed in Article 4.2 will be made by the Full Council only and not delegated.
- d. Decisions relating to the functions listed in the delegations to the Cabinet and Cabinet Panels are referred to in Part 3.
- e. Decisions of individual Cabinet Members relating to their individual Cabinet responsibilities and are listed in Part 3.

#### **12.4 Decision making by the Council**

Decision making by the full Council will follow the Council Procedures Rules set out in Part 4 of this Constitution when considering any matter.

#### **12.5 Decision making by the Cabinet**

The Cabinet will follow the Cabinet Procedures Rules set out in Part 4 of this Constitution when considering any matter.

#### **12.6 Decision making by the Scrutiny Board and Panels**

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

#### **12.7 Decision making by Other Committees and Sub-Committee**

Other Council committees and sub-committees will follow those parts of the Council Procedures Rules set out in Part 4 of this Constitution as apply to them.

#### **12.8 Council Bodies acting as Tribunals**

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

#### **12.9 Urgent Decisions**

The Council, Cabinet and Regulatory and other Committees may in exceptional circumstances make urgent decisions. The procedure for making urgent decisions is set out below:



**Urgent Action Council**

The Leader (or in their absence the Deputy Leader) in consultation with the Chair of Scrutiny Board, Opposition Leader and Chief Executive, shall be able to exercise the powers of the Council in any matter of immediate urgency making the prompt exercise of the powers of the Council desirable and which cannot await the next ordinary meeting of the Council. Decisions made under this provision will be reported to the next meeting of the Council.

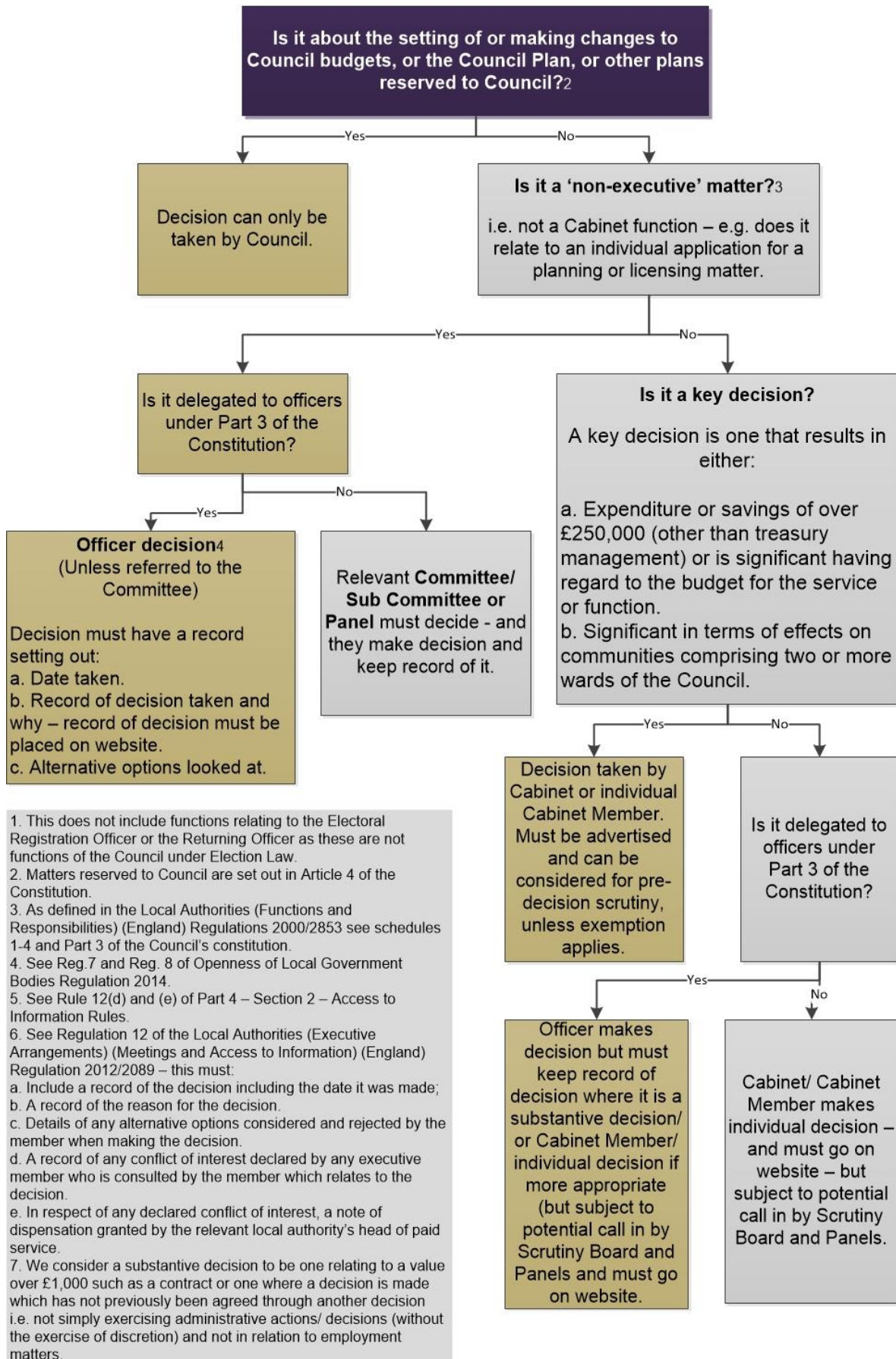
**Urgent Action Cabinet**

The Leader (or in their absence the Deputy Leader) in consultation with the Chair of Scrutiny Board, Vice Chair of Scrutiny Board and Chief Executive, shall be able to exercise the powers of the Cabinet in any matter of immediate urgency making the prompt exercise of the powers of the Cabinet desirable and which cannot await the next meeting of the Cabinet. Decisions made under this provision will be reported to the next meeting of the Cabinet.

**Urgent Action Regulatory or Other Committees**

The Chair of the relevant Committee in consultation with the relevant director, shall be able to exercise the powers of the Regulatory or Other Committees in any matter of immediate urgency making the prompt exercise of the powers of the Regulatory or Other Committees desirable and which cannot await the next meeting of the Regulatory or Other Committees. Decisions made under this provision will be reported to the next meeting of the Regulatory or Other Committees.

## Decision tree for Council functions<sup>1</sup>



**Article 13 - Finance, Contracts and Legal Matters**

**13.1 Financial Management**

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

**13.2 Contracts**

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

**13.3 Legal Proceedings**

The Chief Operating Officer is authorised to institute, defend or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the Council or in any case where he or she considers that such action is necessary to protect the Council's interests within budget.

The Chief Operating Officer has delegated powers to authorise officers to appear in court on the Council's behalf.

**13.4 Authentication of Documents**

Where any document is necessary to any legal procedure or proceedings on behalf of the Council, it will be signed by the Chief Operating Officer or other person authorised by the Chief Operating Officer, unless any enactment otherwise authorises or requires, or the Council has given requisite authority to some other person.

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

- The Chief Executive;
- The Chief Operating Officer;
- Any Chief Officer of the Council concerned with the matter to which the document relates; or,
- Any officer authorised in writing by such Chief Officer or by the Chief Operating Officer.

**13.5 Common Seal of the Council**

The Common Seal of the Council will be kept in a safe place in the custody of the Chief Operating Officer.

A decision of the Council, or of any properly constituted body of the Council, will be sufficient authority for sealing any document necessary to give effect to

## ***Article 13 - Finance, Contracts and Legal Matters***

the decision. The Common Seal will be affixed to those documents which in the opinion of the Chief Operating Officer should be sealed. The affixing of the Common Seal will be attested by the Authorised Officer i.e. Chief Operating Officer or some other person authorised by them.

### **13.6 Record of Sealing of Documents**

Any entry of the sealing of every deed or document to which the Common Seal has been affixed shall be made by the Chief Operating Officer or some other person authorised by them and consecutively numbered in a book to be provided for the purpose.

### **13.7 Disposal of Land and Real Property**

Every disposal of land and real property made by the Council will comply with the Contract Procedure Rules set out in Part 4 of the Constitution.

**Article 14 - Review and Revision of the Constitution**

**14.1 Duty to Monitor and Review the Constitution**

a. The Monitoring Officer

The Monitoring Officer will monitor and review the operation of the Constitution to ensure that its aims and principles are given full effect.

b. Protocol for monitoring and review of constitution by Monitoring Officer

A key role for the Monitoring Officer is to be aware of the strengths and weaknesses of the Constitution adopted by the Council and to make recommendations for ways in which it could be amended in order better to achieve the purposes set out in Article 1.

c. The Section 151 Officer

The Section 151 Officer shall be responsible for keeping under review the Financial Procedure Rules set out in Part 4 of the Constitution and shall make any necessary amendments and revisions as are required from time to time. They shall report any amendments made to Part 4 for the next available Council meeting for noting.

**14.2 Changes to the Constitution**

Changes to the constitution will only be approved by Full Council after consideration of the proposal by the Monitoring Officer, the Constitution Review Group and the Governance Committee.

**14.3 Constitution Review Group**

The Constitution Review Group comprising the Monitoring Officer and other relevant employees will assist in monitoring, reviewing and proposing changes to the Constitution above for consideration by the Governance Committee and Full Council.

**14.4 Minor Changes**

If, in the reasonable opinion of the Monitoring Officer, a change is:

- a. A minor variation; or
- b. Required to be made to remove any inconsistency or ambiguity; or
- c. Required to be made so as to put into effect any decision of the Council or its committees or the Cabinet,

in which case the Monitoring Officer may make such a change. Any such change made by the Monitoring Officer shall come into force with immediate effect but shall be referred to full Council as soon as is reasonably possible and shall continue to have effect only if full Council agree.

## ***Article 14 –Review and Revision of the Constitution***

Where the table of Chief Officers in Article 11 or the delegations (due to a restructure) in Part 3 of the Constitution needs to be updated, the Chief Operating Officer may make the necessary changes upon receipt of notification from the Chief Executive that they have made changes to these structures following Council or relevant committee approval of such changes.

### **14.5 Legislative Change**

Any part of the Constitution may be amended by the Monitoring Officer where such amendment is required to be made so as to comply with any legislative provision. Such amendments shall take effect when the Monitoring Officer so decides or the legislation (where relevant) so provides. Such changes shall be reported to the next Council meeting.

## ***Article 15 - Suspension, Interpretation and Publication of the Constitution***

### **Article 15 - Suspension, Interpretation and Publication of the Constitution**

#### **15.1 Suspension of the Constitution**

The Articles of this Constitution may not be suspended. The Council Procedure Rules in Part 4 of this Constitution may be suspended to the extent permitted within those Rules and the law.

#### **15.2 Interpretation**

- a. Except as provided below, the ruling of the Monitoring Officer as to the interpretation of this Constitution will be final.
- b. In relation to Proceedings of Full Council, the ruling of the Mayor (or other person presiding) as to the construction and application of the Constitution shall not be challenged at any meeting.

#### **15.3 Publication**

The Monitoring Officer will:

- a. provide access to the Constitution to each member of the authority upon delivery to him or her of that person's declaration of acceptance of office as the member first being elected to the Council;
- b. ensure that copies of the Constitution are available for inspection at the Council's Civic Centre offices and will be made available on the Council's website and can be purchased by members of the local press and the public on payment of a reasonable fee.
- c. will ensure that the Constitution is made available on the Council's website.

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

The following parts of this Constitution constitute the Cabinet arrangements:

1. Article 6 (The Cabinet) and the Cabinet Procedure Rules;
2. Article 7 (Overview and Scrutiny Arrangements) and the Overview and Scrutiny Procedure Rules;
3. Article 10 (Joint Arrangements) to the extent to which functions have been delegated by the Cabinet;
4. Article 12 (Decision Making) and the Access to Information Procedure Rules contained in Part 3;
5. Part 3 (Responsibility for Functions).

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### **PART 3: RESPONSIBILITY FOR FUNCTIONS**

Part 3 of the Constitution sets who is responsible for the various functions of the Council.

The Local Government Act 2000 divides the Council's functions into the following categories:

#### **1. Executive Functions**

By virtue of section 9D of the Local Government Act 2000, every Council function is an "executive" function (i.e. the function is to be the responsibility of the Executive), unless a statute says differently or the function is identified as a "non-executive" function by the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 (as amended).

The Leader of the Council may determine to exercise any of the "executive" functions of the Council personally, or may arrange for the exercise of any of the Council's "executive" functions by:

- a. the Executive (the Cabinet); or
- b. another member of the Executive; or
- c. a committee of the Cabinet; or
- d. an officer of the Council; or
- e. another local authority or the executive of another local authority
- f. joint arrangements with one or more other local authorities, including the establishment of a joint committee with such authority or authorities

#### **2. Council (Non-Executive) Functions**

"Non-executive" functions are the responsibility of the Council, which may decide to delegate their discharge to a Council Committee or Joint Committee. They can also be delegated to a Council Sub-Committee or a council officer. There are some non-executive functions that can only be the responsibility of the full Council and cannot be delegated to another body.

These are set out in Part 2, Article 4.2 of this Constitution.

#### **3. Local Choice Functions**

Some Council functions are "local choice functions". This means that the Council can decide whether the function is to be the responsibility of the Executive (an "executive function") or the responsibility of the Council (a "non-executive" function).

## **Responsibility for Functions**

Part 3, Section A sets out these “local choice functions”, designates them as “executive” or “nonexecutive”, and shows who is authorised to discharge them.

### **Responsibility for Local Choice Functions**

There is a discretion on which body or person can make certain decisions. These are known as Local Choice Functions and are listed in the table below.

<b>Local Choice Function</b>	<b>Responsible Body or Person</b>	<b>Any Restrictions</b>	<b>Statutory References</b>
Any function under a local Act other than a function specified or referred to in Regulation 2 of, or Schedule 1 to, the Regulations	Council	Except to the extent that powers are delegated to officers	Local Authorities Functions and Responsibilities) (England) Regulations 2000.
The making of arrangements in relation to appeals against the exclusion of pupils from maintained	Council but delegated to the Schools Appeals Committee	Except to the extent that powers are delegated to officers	Section 52 of the Education Act 2002 and any relevant subordinate legislation.
The making of arrangements for appeals by governing bodies against an LEA decision to admit a child permanently excluded from two schools	Council but delegated to the Schools Appeals Committee	Except to the extent that powers are delegated to officers	Sections 87 and 95(2) and (3A) of the School Standards and Framework Act 1998 and relevant subordinate legislation.
Any function relating to contaminated land	Council	Delegated to the Regulatory Committee except to the extent that powers are delegated to officers	Part IIA of the Environmental Protection Act 1990 and relevant subordinate legislation

**Responsibility for Functions**

The discharge of any function relating to the control of pollution or the management of air quality	Council	Delegated to the Regulatory Committee except to the extent that powers are delegated to officers	The Pollution Prevention and Control Act 1999; Part IV of the Environmental Protection Act 1990 and the Clean Air Act 1993
The service of an abatement notice in respect of a statutory nuisance	Council	Delegated to the Licensing and Regulatory Committee except to the extent that powers are delegated to officers	The Noise and Statutory Nuisance Act 1993 and the Environmental Protection Act 1990
The passing of a resolution that Schedule 2 to the Noise and Statutory Nuisance Act 1993 should apply in the authority's area.	Council	Delegated to the Licensing and Regulatory Committee except to the extent that powers are delegated to officers	Section 8 of and Schedule 2 to the Noise and Statutory Nuisance Act 1993
The inspection of the authority's area to detect any statutory nuisance	Council	Delegated to the Licensing and Regulatory Committee except to the extent that powers are delegated to officers	Section 79 of the Environmental Protection Act 1990
The investigation of any complaint as to the existence of a statutory nuisance	Council	Delegated to the Licensing and Regulatory Committee except to the extent that powers are delegated to officers	Section 79 of the Environmental Protection Act 1990
The obtaining of information as to interests in land	Council	Delegated to the Planning Committee except to the extent that powers are delegated to officers	Section 330 of the Town and Country Planning Act 1990

**Responsibility for Functions**

<p>The obtaining of particulars of persons interested in land</p>	<p>Cabinet or Cabinet Member</p>	<p>Except to the extent that powers are delegated to officers</p>	<p>Section 16 of the Local Government (Miscellaneous Provisions) Act 1976</p>
<p>The making of agreements for the execution of highways works</p>	<p>Council</p>	<p>Delegated to the Planning Committee except to the extent that powers are delegated to officers</p>	<p>Section 278 of the Highways Act 1980 and Section 23 of the New Roads and Street Works Act 1991</p>
<p>The appointment of any individual—          (a) to any office other than an office in which he is employed by the authority;          (b) to any body other than:              (i) the authority;              (ii) a joint committee of two or more authorities; or          (c) to any committee or sub-committee of such a body; and the revocation of any such appointment.</p>	<p>Council</p>		<p>Any enactment conferring a power to make such appointments or to revoke the same</p>

**Part 3: Functions of Cabinet**

The Cabinet will carry out all of the Council's functions which are not the responsibility of any other part of the Council.

**Terms of Reference of Cabinet**

The Cabinet will specifically be responsible for:

- a. The financial management of the City Council in accordance with the Financial Procedure Rules, the Budget and Policy Framework Procedure Rules and any other relevant rules in Part 4.
- b. Recommendations to the Council in respect of annual Policy Priorities and Resources allocation process and the resulting revenue and capital budgets or other aspects of the Budget and Policy Framework.
- c. Decisions on resources and priorities within the Budget and Policy Framework agreed by the City Council.
- d. Approval of the Council Tax Base and Recommendations to the Council in respect of the level of Council Tax to be levied each year.
- e. Recommendations to the Council in respect of statutory plans, the Wolverhampton Community Plan and other plans forming component parts of the Budget and Policy Framework.
- f. Obtaining views within the Council and with other stakeholders, agencies and the business, voluntary and community sectors to identify and address local needs.
- g. Obtaining views from Scrutiny, other Council Committees, appropriate employees and any other person or body necessary to ensure that proposals of the Cabinet are put forward on a properly informed basis.
- h. Preparation of the Council Plan, monitoring performance and ensuring the implementation of that Plan and undertaking the duty of Best Value.
- i. Executive proposals/recommendations and effective implementation of Council policies and the setting and delivery of service standards in line with the approved Budget and Policy Framework.
- j. Forming partnerships with other agencies and the business, voluntary and community sectors.
- k. Holding Members of the Strategic Executive Board accountable for their strategic and management responsibilities.

## ***Responsibility for Functions***

- l. Recommendations to the Council on matters which are Cabinet functions but in relation to which by virtue of the significance or importance of the matter, the Cabinet decides additionally to seek the confirmation of the Council.
- m. Agreement of responses to Government or other consultation papers where consideration by full Council is not practicable within the timescale of the relevant consultation.
- n. Recommendations to the Council on matters which by virtue of financial significance must be referred to Council for confirmation in accordance with the Council's Financial Procedure Rules.
- o. To consider (where appropriate) reports and recommendations from Scrutiny on matters considered under the Call-In arrangements or as part of a Scrutiny Review or otherwise respond to the relevant Scrutiny Board/Committee concerned.
- p. To consider motions referred from Full Council and Petitions referred to them.
- q. To take any urgent action (other than decisions as to levying or issuing a precept for a rate or borrowing money or any matter statutorily requiring a decision of the Council). In such circumstances, the decision of the Cabinet will contain a statement justifying the grounds upon which the urgent action was taken.
- r. The Cabinet may reallocate monies within the overall budget in response to new pressures or changing circumstances. However, the Cabinet is not empowered to incur additional expenditure which cannot be offset by additional income, contingency funds or one-off resources without reference to the full Council.
- s. To discharge the Executive Functions of the Council, except to the extent that these have been delegated to a Cabinet Member or to an employee.



**Part 3: Functions of Cabinet (Resources) Panel**

The Cabinet (Resources) Panel will carry out all of the Council's functions which are not the responsibility of any other part of the Council.

**Terms of Reference of Cabinet (Resources) Panel**

The Cabinet (Resources) Panel will specifically be responsible for:

- a. Financial issues (but not the budget)
- b. Asset Management in accordance with approved Asset Management Plan
- c. Property and Land Transactions
- d. Contract Strategy
- e. Litigation
- f. Regulatory enforcement policy and fees
- g. Operational issues

**Part 3 - Functions of Cabinet**

**Cabinet Portfolios**

The Cabinet Member responsible for each portfolio will be required to advise the Cabinet on the matters relating to their portfolio when the Cabinet is acting collectively.

The Cabinet Member responsible for each portfolio will take decisions on behalf of the Council relevant to the portfolio other than those matters which:-

- a. Require approval by the Council;
- b. Where appropriate should be determined by the Council due to its significance or importance following consultation with the Leader;
- c. Are reserved to Scrutiny, Planning, Licensing, Governance and Ethics Committee or to the Cabinet;
- d. Are delegated to other Council Committees or to Employees;
- e. Are significant in financial terms as specified in the Financial Procedure Rules;
- f. Are Key Decisions;
- g. Are decisions which have an impact on any other Cabinet portfolio or portfolios and should be taken by Cabinet collectively or by the relevant Cabinet Members jointly;

In making a decision, a Cabinet Member must take into account professional, legal and financial implications, and any advice given by the senior officer.

Decisions of the Cabinet and Cabinet Members are subject to the Call-In arrangements, except where urgent.

Notwithstanding the above, the Cabinet Member responsible for each portfolio may refer any matter which they considers should be dealt with by the Cabinet collectively because of its significance or importance.

If the appropriate Cabinet Member is unavailable and a decision needs to be taken urgently, the Leader may take the decision in consultation with the appropriate Senior Officer. If the Leader is unavailable and a decision needs to be taken urgently, the Deputy Leader or any other Cabinet Member, may take the decision with the appropriate Senior Officer.

**Cabinet Portfolios**

<b>Cabinet Portfolio</b>	<b>Policy Area</b>
<b>The Leader of the Council</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan</li> <li>• City Partnerships</li> <li>• West Midlands Combined Authority</li> <li>• International, national, regional and sub-regional Leadership</li> <li>• External relations, Public Relations and Reputation Management</li> <li>• New Communities and migration</li> <li>• Wolverhampton Pound</li> <li>• Visitor Experience (Culture and Events)</li> </ul>
<b>Deputy Leader: Inclusive City Economy</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – thriving economy in all parts of the city</li> <li>• Strategic Planning, incl. Local Plan policy,</li> <li>• Supporting City businesses</li> <li>• Stimulating Inward investment</li> <li>• Economic growth and inclusion partnerships</li> <li>• City Marketing</li> </ul>
<b>Cabinet Member for Governance and Equalities</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan - Fair and Inclusive priority including equalities</li> <li>• Legal</li> <li>• Democratic Services and Scrutiny</li> <li>• Electoral Registration and Elections</li> <li>• Information Governance</li> <li>• Civic Support (Mayoral and Councillor Support) and Councillor Enquiries</li> <li>• Complaints and Feedback</li> <li>• Our People Strategy Incl. HR and Organisation Development</li> <li>• Health and Safety</li> </ul>

<b>Cabinet Portfolio</b>	<b>Policy Area</b>
<p><b>Cabinet Member for Education, Skills and Work</b></p>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – more local people into good jobs and training</li> <li>• Our City: Our Plan – strong families where children grow up well and achieve their full potential</li> <li>• Early Years</li> <li>• School standards and attainment</li> <li>• Strategic School place planning</li> <li>• School admissions</li> <li>• 0-25 Special Educational Needs and Disability</li> <li>• Education inclusion incl. behaviour, attendance, and elected home education</li> <li>• School governance</li> <li>• Home to school transport</li> <li>• Commercial services to schools</li> <li>• Health and wellbeing for schools</li> <li>• Post 16 School Education provision</li> <li>• Adult Education</li> <li>• Further and higher education (incl. Wolverhampton College, training providers and universities)</li> <li>• Skills and employability including Careers advice, Wolves@work, Impact and Workbox</li> </ul>
<p><b>Cabinet Member for Children and Young People</b></p>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – strong families where children grow up well and achieve their full potential</li> <li>• Our City: Our Plan – fulfilled lives for all with quality care for those that need it Children’s safeguarding incl. prevention of exploitation</li> <li>• Children in need and in need of protection</li> <li>• Children and young people in care and care leavers</li> <li>• Corporate parenting</li> <li>• Early intervention, prevention and specialist services</li> <li>• Children’s Transformation work (incl. specific funded programmes and national reform)</li> <li>• Youth Offending</li> <li>• Children and young people partnership working</li> <li>• Children and young people’s health incl. disabilities and emotional health and wellbeing</li> <li>• Children’s Services commissioning</li> <li>• Children and Young People’s participation and engagement</li> </ul>

<b>Cabinet Portfolio</b>	<b>Policy Area</b>
<b>Cabinet Member for Adults</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – fulfilled lives for all with quality care for those that need it</li> <li>• Health and Care integration through the integrated care system, place based partnership and integrated care partnership</li> <li>• Health and Care reform including the fair cost of care and social care cap government reforms.</li> <li>• Adult Services Transformation work</li> <li>• Operational Social care provision for adults, older people, learning and physical disabilities, complex needs and mental health including:-</li> <li>• -Adult Safeguarding (MASH 24)</li> <li>• AMHP Hub</li> <li>• Carer support (paid and unpaid)</li> <li>• Welfare rights</li> <li>• Information, advice and guidance (including Wolverhampton Information Network)</li> <li>• Better Care Fund</li> <li>• Adult care commissioning and market sustainability</li> <li>• Quality assurance and monitoring</li> <li>• Adult user engagement</li> <li>• Financial Assessments</li> <li>• CQC inspection framework</li> </ul>
<b>Cabinet Member for Health and Wellbeing</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – healthy, inclusive communities Preventing Ill Health and reducing Health Inequalities</li> <li>• Starting and developing well</li> <li>• Healthy Life Expectancy</li> <li>• Healthy Ageing</li> <li>• Community safety &amp; community cohesion</li> <li>• Emergency Planning, Resilience and business continuity</li> <li>• NHS Partnerships</li> <li>• Voluntary and Community Sector Partnerships</li> <li>• Community Engagement</li> <li>• Public Health Commissioning</li> <li>• Libraries and Community Hubs</li> </ul>

<b>Cabinet Portfolio</b>	<b>Policy Area</b>
<b>Cabinet Member for City Assets and Housing</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – good homes in well-connected neighbourhoods</li> <li>• Our City Our Plan – Our Assets – ensuring the city has a fit for purpose asset portfolio to meet current and future needs</li> <li>• Delivery and implementation of the Strategic Asset Plan</li> <li>• City Housing Strategy and Housing Policies</li> <li>• City Prevention of Homelessness Strategy</li> <li>• City Housing Needs &amp; Affordable Housing incl. Temporary Accommodation-</li> <li>• City Private Housing Services Incl. Enforcement and Civil Penalties</li> <li>• Safer Homes incl. National Residential Building Safety Programme</li> <li>• City Residential Landlord Services – Wolverhampton Homes Arm’s Length Management Company</li> <li>• City Residential Landlord Services – Tenant Management Organisations Right to Manage Tenant Organisations and Cooperatives</li> <li>• City Housing Company – WV Living Ltd City Housing Development Strategy</li> </ul>
<b>Cabinet Member for City Environment and Climate Change</b>	<ul style="list-style-type: none"> <li>• Our City: Our Plan – healthy inclusive communities</li> <li>• Our City: Our Plan – good homes in well-connected neighbourhoods</li> <li>• Our City: Our Plan – climate conscious</li> <li>• Strategic Transportation</li> <li>• Operational Transportation incl. highways management and maintenance</li> <li>• Waste and Recycling Services</li> <li>• Street cleansing</li> <li>• Grounds maintenance, parks operations, country parks operations</li> <li>• Markets</li> <li>• Public protection and consumer protection</li> <li>• Licensing</li> <li>• Parking Services</li> <li>• Bereavement and Registrars</li> <li>• Coroner</li> <li>• Fleet management</li> <li>• Passenger Transport</li> <li>• Sustainability</li> <li>• Climate Change (Chair of Climate Change Advisory Group)</li> </ul>

**Responsibility for Functions**

<b>Cabinet Portfolio</b>	<b>Policy Area</b>
<p><b>Cabinet Member for Resources and Digital City</b></p>	<ul style="list-style-type: none"> <li>• Our Money including Medium term financial planning               <ul style="list-style-type: none"> <li>a. capital strategy (incl. schools)</li> <li>b. budget development process</li> <li>c. treasury management strategy</li> </ul> </li> <li>• Council tax and business rates</li> <li>• Housing benefits and council tax benefits</li> <li>• Procurement and Commercialisation</li> <li>• Audit and Corporate risk</li> <li>• Customer Services</li> <li>• Our City: Our Plan - Driven by Digital</li> <li>• Our Digital including the council's digital and IT service</li> <li>• Our Data including data and analytics</li> <li>• Digital infrastructure and connectivity</li> <li>• Digital Inclusion including digital skills</li> <li>• Digital innovation</li> <li>• Digital Projects</li> </ul>

**\*The Cabinet Member (Children and Young People) is designated as the Lead Member for Children's Services as required by Section 19 of the Children Act 2004**

**Part 3: Functions of Council**

1. The following functions will be the responsibility of the Council:-

	<b>Functions</b>	<b>Statutory Reference</b>
1.1	Adopting and changing the Constitution.	Part 1A Local Government Act 2000 and subordinate legislation
1.2	Electing the Mayor and appointing the Deputy Mayor.	Sections 3 and 5 Local Government Act 1972
1.3	Electing and removing the Leader.	Sections 9I to 9ID Local Government Act 2000
1.4	Approving or adopting the Policy Framework and the Budget.	Sections 9D and 105 Local Government Act 2000; Regulation 4 and Schedule 3 of The Local Authorities (Functions and Responsibilities) (England) Regulations 2000/2853
1.5	Making decisions where executive decisions are contrary to the policy framework or executive decisions are contrary to or not wholly in accordance with the budget.	Sections 9D and 105 Local Government Act 2000; Regulation 5 and Schedule 4 of The Local Authorities (Functions and Responsibilities) (England) Regulations 2000/2853
1.6	In relation to functions which are not the responsibility of the Cabinet agreeing and/or amending the terms of reference for committees, or joint committees, deciding on their composition and making appointments to them, including appointing the Chairs and Vice Chairs of Committees.	Sections 101 and 102 Local Government Act 1972 and Sections 9F and 9FA Local Government Act 2000
1.7	Power to alter governance arrangements.	Section 9KC Local Government Act 2000
1.8	Appointing representatives to outside bodies unless the appointment is an executive function or has been otherwise delegated by the Council.	



**Part 3 - Functions of Council**

1.9	Adopting an allowances scheme (See Part 6).	Local Authorities (Members' Allowances) (England) Regulations 2003
1.10	Changing the name of the area.	Section 74 Local Government Act 1972
1.11	Making, amending or revoking standing orders.	Sections 106, 135, paragraph 42 Schedule 12 Local Government Act 1972; Section 9P Local Government Act 2000; Sections 8 and 20 Local Government and Housing Act 1989 and the Local Authorities (Standing Orders) Regulations 1993 (SI 1993/202,) the Local Authorities (Standing Orders) (England) Regulations 2001 (SI 2001/3384) and any other relevant regulations
1.12	Confirming the appointment of the Head of Paid Service, the Monitoring Officer and the Chief Finance Officer and dismissal of the Head of Paid Service.	Sections 151 Local Government Act 1972; Sections 4 & 5 Local Government and Housing Act 1989; Local Authorities (Standing Orders) Regulations 1993 (SI 1993/202) and the Local Authorities (Standing Orders) (England) Regulations 2001 (SI 2001/3384)
1.13	Duty to provide staff and resources, to the Monitoring Officer and Head of Paid Service.	Sections 4 and 5 of the Local Government and Housing Act 1989
1.14	Powers relating to Overview and Scrutiny Committees (voting rights of co-opted Members).	Section 9F et seq of the Local Government Act 2000
1.15	Making, amending, revoking, re-enacting or adopting bylaws.	Any provision or any enactment (including a local Act) whenever passed; Section 14 Interpretation Act 1978
1.16	Promoting or opposing the making of local legislation or personal Bills.	Section 239 Local Government Act 1972

**Part 3- Functions of Council**

1.17	<p>All local choice functions which the Council decides should be undertaken by itself rather than any other person or body or other matters reserved to full Council by this Constitution including the following:</p> <ul style="list-style-type: none"> <li>• Appointing the Members and Chairs of the Scrutiny Boards and Members, Chair and Vice Chair of Scrutiny Co-ordination Committee</li> <li>• Electing the Mayor and Deputy Mayor.</li> </ul>	<p>Sections 9D and 105 Local Government Act 2000; Regulation 3(1) and Schedule 2 of The Local Authorities (Functions and Responsibilities) (England) Regulations 2000/2853; sections 3 and 5 Local Government Act 1972</p>
1.18	<p>Determining whether or not to delegate to another local authority any of its functions or to accept the delegation of any functions from another local authority.</p>	<p>Sections 101 and 102 Local Government Act 1972</p>
1.19	<p>Appointing Proper Officers for the purposes of any particular functions</p>	<p>Section 270(3) Local Government Act 1972</p>
1.20	<p>Approval for the purposes of public consultation draft proposals associated with the preparation of alterations to, or the replacement of, a development plan (but excluding any SPG or development brief prepared under the Development Plan) under Regulations 10. 21 and 22.</p>	<p>Town and Country Planning (Development Plans) (England) Regulations 1999 (1999/3280)</p>
1.21	<p>Power to undertake a Community Governance Review.</p>	<p>Section 82 Local Government and Public Involvement in Health Act 2007</p>
1.22	<p>Power to confer title of honorary alderman or to admit an honorary freeman.</p>	<p>Section 249 of the Local Government Act 1972, ss(5), and (6); West Midlands County Council Act 1980</p>

**Responsibility for Functions**

1.23	Functions relating to local government pensions.	Regulations under section 7, 12 or 24 Superannuation Act 1972
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**Part 3- Functions of Council**

1.24	Power to make payments or provide other benefits in cases of maladministration.	Section 92 of the Local Government Act 2000
1.25	All relevant functions relating to local, parliamentary, European elections and elections for a Police and Crime Commissioner.	Sections 8(2),18A to 18E 31, 39(4), 52(4), 54 of the Representation of People Act 1983 Also refer to the review of Polling Districts and Polling Places (Parliamentary Elections) Regulations 2006, (SI 2006/2965), , and the Local Elections (Principal Areas) (England and Wales) Rules 2006, (SI 2006/3304), Chapter 6 of the Police Reform and Social Responsibility Act 2011 and any regulations made thereunder.
1.26	Duty to declare vacancy in office in certain cases.	Section 86 of the Local Government Act 1972
1.27	Duty to give public notice of a casual vacancy.	Section 87 of the Local Government Act 1972
1.28	The passing of a resolution: (a) For whole council elections; and to change the name of an electoral area.	Section 32 of the Local Government and Public Involvement in Health Act 2007; Section 59 of the Local Government and Public Involvement in Health Act 2007
1.29	Appointment of coroner	The Coroners and Justice Act 2009
1.30	Appointment of one or more independent persons to advise on Elected and Co-opted Member misconduct.	Sections 26 - 37 and Schedule 4 of the Localism Act 2011
1.31	Approval of Annual Pay Policy.	Section 38 Localism Act 2011

**Responsibility for Functions**

1.32	A Resolution not to issue a casino premises licence	Section 166 of the Gambling Act 2005
1.33	All other matters which, by law, must be reserved to the Council	Any provision of any enactment (including a local Act) whenever passed or made

**2. The Policy Framework will include the following Plans and Strategies**

- The Council Plan
- Sustainable Community Strategy
- Plans and alterations that together comprise the Wolverhampton Development Plan
- Children and Young People's Plan
- Local Transport Plan
- Licensing Authority Policy Statement
- Statement of Gambling Policy
- Youth Justice Plan
- Community Safety and Harm Reduction Strategy
- Emergency Plan
- Sufficiency Strategy
- Care leavers Strategy
- Health and Wellbeing Strategy
- The Plan and Strategy which comprise the Housing Investment Programme including housing finance and rents;
- Adult Learning and Skills Strategy;
- Environment Strategy;
- The Children and Young People's Plan
- Corporate Parenting Strategy
- Children and Young Persons Participation Strategy

NB: Whilst the Cabinet will have responsibility for the formulation of such plans and strategies the formal approval or adoption of any such plan or strategy will be a matter for full Council to determine.

**3. Budget**

The budget includes the allocation of capital and revenue resources, the precept level, the council tax, the planned use of reserves, the Council's borrowing limit and the virement limits. The approval of the Council Tax base will be determined by Cabinet.

**4. Petitions**

Dealing with any petition containing 5000+ signatures received by the Council in accordance with the Protocol for dealing with Petitions at Full Council Meetings set out in Part 4.

**Part 3: Functions of Scrutiny**

As set out in Part 2 Article 7 and Part 4 Overview and Scrutiny Procedure Rules of the Constitution.

**1. Functions Delegated to the Planning Committee.**

The Planning Committee will have responsibility for the following delegated functions **except** where specific functions have been delegated to an employee:

- a. To exercise the functions of the Council as Local Planning Authority for the purposes of the control of development including the determination of applications for planning permission and other applications under the Town & Country Planning Acts, Town & Country Planning Development Orders and all other associated legislation relating to planning, development and building control, including structure and local plans and the National Planning Policy Framework.
- b. to exercise the powers and duties of the local planning authority in relation to the planning of sustainable development; local development schemes; local development monitoring reports and neighbourhood planning including the power to recover costs incurred in putting Neighbourhood Development plans or orders in place under the Planning and Compensation Act 2004 as amended, the Localism Act 2011 and all other associated legislation.
- c. Matters relating to the designation and management of conservation areas and building conservation.
- d. To deal with applications for grants for repair or maintenance of buildings of architectural or historic interest and matters in connection with the acquisition, restoration and disposal of buildings (excluding terms for the acquisition or disposal of land and property) or materials for conservation purposes.
- e. Matters relating to tree preservation orders and statutory notices, highways, hedgerows, reclamation of derelict land, enforcement, structures used for unauthorised display, unauthorised advertisements, defacement of premises, removal of signs at the request of the owner or occupier of premises, deposited plans under the Health & Safety at Work Act 1974, Building Act 1984 and Building Regulations or other subordinate legislation, public rights of way including stopping up and diversions, registration of common land and town/village greens, the creation, stopping up and diversion of highways and other related matters, including without limitation those specified in Schedule 1, Part 1A, Part B paragraphs 37-38 and 41-56, Part E, Part I paragraphs 1-34 and 46-47A Local Authorities (Functions & Responsibilities) (England) Regulations 2000/2853.
- f. To approve, adopt, review, amend and revise codes of best practice and procedure for planning and other matters, including the Planning Code of Good Practice, within its terms of reference and to make the same publicly available.
- g. To delegate these functions, where appropriate, to employees or any subcommittee.



**Matters incidental to the exercise of the Committee's delegated functions**

The exercise of the above functions by the Planning Committee will include the power to impose any condition limitation or other restriction on any approval consent licence permission or registration granted in the exercise of those functions and the power to determine any other terms to which any such approval consent licence permission or registration is subject.

The exercise of the above functions by the Planning Committee will include the power to determine whether, and in what manner, to enforce any failure to comply with any approval consent licence permission or registration granted or any failure to comply with the condition limitation or term to which a such approval consent licence permission or registration is subject or any other contravention in relation to a matter with regard to which the function has been exercised.

The exercise of the above functions by the Planning Committee will include the power to amend modify or vary any such approval consent licence permission or registration or any condition limitation or term to which it is subject and the power to revoke any such approval consent licence permission or registration.

**1. Functions Delegated to the Statutory Licensing Committee**

The Committee will have responsibility for the following delegated functions **except** where specific functions have been delegated to an employee of the Council by virtue of **Part 3** of this Constitution and subject to those provisions regarding legal proceedings.

- a. To exercise the functions of the Council as Licensing Authority for the purposes and requirements of the Licensing Act 2003 and the Gambling Act 2005 except where functions are reserved to full Council;
- b. To advise full Council or Cabinet on the authority's response to any consultation documents issued by the Secretary of State on licensing matters and revisions to the local statements of licensing policy and gambling policy;
- c. To establish sub-committees comprising three members as and when required for the purpose of conducting hearings under the Licensing Act 2003 and Gambling Act 2005;
- d. To delegate these functions, where appropriate, to the appropriate Director or other appropriate employees; and
- e. To approve, adopt, review, amend and revise codes of best practice and procedure for licensing matters within its terms of reference and to make the same publicly available.

**2. Matters incidental to the exercise of the Committee's delegated functions**

- 2.1 The exercise of the above functions by the Statutory Licensing Committee will include the power to impose any condition limitation or other restriction on any approval consent licence permission or registration granted in the exercise of those functions and the power to determine any other terms to which any such approval consent licence permission or registration is subject.
- 2.2 The exercise of the above functions by the Statutory Licensing Committee will include the power to determine whether, and in what manner, to enforce any failure to comply with any approval consent licence permission or registration granted or any failure to comply with the condition limitation or term to which a such approval consent licence permission or registration is subject or any other contravention in relation to a matter with regard to which the function has been exercised.
- 2.3 The exercise of the above functions by the Statutory Licensing Committee will include the power to amend modify or vary any such approval consent licence permission or registration or any condition limitation or term to which it is subject and the power to revoke any such approval consent licence permission or registration, including powers to charge for licenses, consents, permissions and permits in accordance with appropriate legislation.

**3. Legal Proceedings**

- 3.1 The Statutory Licensing Committee shall (except where delegated to an Employee under Part 3) have the power to institute, defend and conduct legal proceedings in furtherance of or arising from the discharge of functions delegated to it.

**4. Licensing Policy**

- 4.1 Without prejudice to the Committee's functions to determine applications on their own merit and to depart from policy guidelines when appropriate, responsibility for determining the Council's licensing policies has been allocated to the following decision-making bodies:

a. Licensing Act 2003 and Gambling Act 2005: full Council

**5. Sub-Committees of the Statutory Licensing Committee**

- 5.1. All Members of the Statutory Licensing Committee will be required to receive training before considering applications under the Licensing Act 2003 and the Gambling Act 2005.

- 5.2 Sub-Committees of the Statutory Licensing Committee will be established as necessary to consider applications under the Licensing Act 2003 and the Gambling Act 2005.

- 5.3 The membership of each Sub-Committee will be 3 Members, to be selected by the Democratic Services Officer in consultation with the Chair of the Statutory Licensing Committee, drawn from the membership of the Statutory Licensing Committee. The Democratic Services Officer will report regularly to the Chair of the Statutory Licensing Committee on Members' availability for and/or attendance at Sub-Committees

- 5.4 A Member who is unable to attend a meeting will be entitled to appoint a substitute Member, provided that such substitute Member is a member of the Statutory Licensing Committee.

- 5.5 The Quorum for each Sub-Committee will be 2 Members.

- 5.6 The Chair for each meeting will be the Chair of Statutory Licensing Committee if they are unavailable the Chair will be appointed by the Sub-Committee at the start of their meeting. (The Chair will normally be a Member of the Controlling Group).

- 5.7 The Sub-Committees are subject to the Access to Information Procedure Rules set out in Part 4.

- 5.8 Decisions of the Sub-Committees are not subject to the call-in procedure.

5.9 Minutes of the Sub-Committees will be submitted to the Statutory Licensing Committee.

**1. Functions Delegated to the Regulatory Committee**

The Committee will have responsibility for the following delegated functions **except** where specific functions have been delegated to an employee of the Council by virtue of Part 3 of this Constitution and subject to those provisions regarding legal proceedings.

To exercise the functions of the Council as Licensing Authority for all other relevant licensing and regulatory legislation including (without limitation) that which relates to acupuncture and body piercing, animals and pet shops, hackney carriage and private hire (taxis), house to house and street collections, street trading, sexual entertainment venues, safety of sports grounds, food, meat and dairy production, caravan and camping sites, zoos, alcohol, pleasure boats and pleasure vessels, tattoos, electrolysis, markets, Clean Air Act, environmental pollution control (including IPPC permits), approval of premises for the solemnisation of marriages and civil partnerships, alcohol disorder zones and smoke free premises as well as any other regulatory or licensing matters specified in Schedule 1 Local Authorities (Functions & Responsibilities) (England) Regulations 2000/2853 together with any Local Choice functions delegated to the Committee by Council as set out in Part 3;

- a. To advise full Council or Cabinet on the authority's response to any consultation documents issued by the Secretary of State on Public Protection matters;
- b. To establish sub-committees comprising three members as and when required for the purpose of conducting hearings to:
  - consider and determine applications as detailed in the annual Delegation Report,
- c. To delegate these functions, where appropriate, to the appropriate Director or other appropriate employees; and
- d. To approve, adopt, review, amend and revise codes of best practice, policy and procedure for Licensing and Public Protection matters within its terms of reference and to make the same publicly available.

**2. Matters incidental to the exercise of the Committee's delegated functions**

- 2.1 The exercise of the above functions by the Regulatory Committee will include the power to impose any condition limitation or other restriction on any approval consent licence permission or registration granted in the exercise of those functions and the power to determine any other terms to which any such approval consent licence permission or registration is subject.

- 2.2 The exercise of the above functions by the Regulatory Committee will include the power to determine whether, and in what manner, to enforce any failure to comply with any approval consent licence permission or registration granted or any failure to comply with the condition limitation or term to which a such approval consent licence permission or registration is subject or any other contravention in relation to a matter with regard to which the function has been exercised.
- 2.3 The exercise of the above functions by the Regulatory Committee will include the power to amend modify or vary any such approval consent licence permission or registration or any condition limitation or term to which it is subject and the power to revoke any such approval consent licence permission or registration, including powers to charge for licenses, consents, permissions and permits in accordance with appropriate legislation.

### **3. Licensing Policy**

- 3.1 Without prejudice to the Committee's functions to determine applications on their own merit and to depart from policy guidelines when appropriate, responsibility for determining the Council's licensing policies has been allocated to the following decision-making bodies:

Hackney carriages/ private hire: Regulatory Committee

Other policies: Regulatory Committee

### **4. Sub-Committees of the Regulatory Committee**

- 6.1 All Members of the Regulatory Committee will be required to receive training before considering applications.
- 4.2 Sub-Committees of the Regulatory Committee will be established as necessary to consider applications.
- 4.3 The membership of each Sub-Committee will be 3 Members, to be selected by the Democratic Services Officer in consultation with the Chair of the Regulatory Committee, drawn from the membership of Regulatory Committee.
- 4.4 The Democratic Services Officer will report regularly to the Chair of the Regulatory Committee on Members' availability for and/or attendance at Sub-Committees
- 4.5 Sub-Committees are the subject of proportionality requirements of the Local Government Act 1989 and the Democratic Services Officer, in selecting the membership of any Sub-Committee, will ensure that the membership, as far as it is practicable, properly reflects the political makeup of the Council.
- 4.6 A Member who is unable to attend a meeting will be entitled to appoint a substitute Member, provided that such substitute Member is a member of the Regulatory Committee.

## ***Responsibility for Functions***

- 4.7 The Quorum for each Sub-Committee will be 2 Members.
- 4.8 The Chair for each meeting will be the Chair of Regulatory Committee unless they are unavailable in which case a Chair will be appointed by the Sub-Committee at the start of their meeting. (The Chair will normally be a Member of the Controlling Group).
- 4.9 The Sub-Committees are subject to the Access to Information Procedure Rules set out in Part 4.
- 4.10 Decisions of the Sub-Committees are not subject to the call-in procedure.
- 4.11 Minutes of the Sub-Committees will be submitted to the Regulatory Committee.

**Functions Delegated to the Audit and Risk Committee**

**1.1 Governance, risk and control**

- To review the Council's corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
- To review the annual governance statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit's opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control.
- To consider the Council's arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
- To consider the Council's framework of assurance and ensure that it adequately addresses the risks and priorities of the Council.
- To monitor the effective development and operation of risk management in the Council.
- To monitor progress in addressing risk-related issues reported to the committee.
- To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
- To review the assessment of fraud risks and potential harm to the Council from fraud and corruption.
- To monitor the counter-fraud strategy, actions and resources.
- To review the governance and assurance arrangements for significant partnerships or collaborations.

**1.2 Internal Audit**

- To approve the internal audit charter.
- To review proposals made in relation to the appointment of external providers of internal audit services and to make recommendations.
- To approve risk based internal audit plan, including internal audit's resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.
- To approve significant interim changes to the risk-based internal audit plan and resource requirements.



## ***Responsibility for Functions***

- To make appropriate enquiries of both management and the head of internal audit to determine if there are any inappropriate scope or resource limitations.
- To consider any impairments to independence or objectivity arising from additional roles or responsibilities outside of internal auditing of the head of internal audit. To approve and periodically review safeguards to limit such impairments.
- To consider reports from the head of internal audit on internal audit's performance during the year, including the performance of external providers of internal audit services. These will include:
  - a. Updates on the work of internal audit including key findings, issues of concern and action in hand as a result of internal audit work;
  - b. Regular reports on the results of the quality assurance and improvement programme;
  - c. Reports on instances where the internal audit function does not conform to the Public Sector Internal Audit Standards and Local Government Application Note, considering whether the non-conformance is significant enough that it must be included in the annual governance statement.
- To consider the head of internal audit's annual report:
  - a. The statement of the level of conformance with the Public Sector Internal Audit Standards and Local Government Application Note and the results of the quality assurance and improvement programme that supports the statement - these will indicate the reliability of the conclusions of internal audit.
  - b. The opinion on the overall adequacy and effectiveness of the Council's framework of governance, risk management and control together with the summary of the work supporting the opinion - these will assist the committee in reviewing the annual governance statement.
- To consider summaries of specific internal audit reports as requested.
- To receive reports outlining the action taken where the head of internal audit has concluded that management has accepted a level of risk that may be unacceptable to the authority or there are concerns about progress with the implementation of agreed actions.
- To contribute to the quality assurance and improvement programme and in particular, to the external quality assessment of internal audit that takes place at least once every five years.
- To consider a report on the effectiveness of internal audit to support the annual governance statement, where required to do so by the Accounts and Audit Regulations.

- To provide free and unfettered access to the Audit and Risk Committee chair for the head of internal audit, including the opportunity for a private meeting with the committee.

### **1.3 External Audit**

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

### **1.4 Financial Reporting**

- To receive detailed training in respect of the process associated with the preparation, sign off, audit and publication of the Council's annual statement of accounts.
- To monitor the on-going progress towards publication of the Council's annual statement of accounts, ensuring the statutory deadlines are achieved.
- To obtain explanations for all significant variances between planned and actual expenditure to the extent that it impacts on the annual statement of accounts.
- To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the Council.
- To consider the external auditor's report to those charged with governance on issues arising from the audit of the accounts.

### **1.5 Accountability arrangements**

- To report to those charged with governance on the committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions.
- To report to full Council on a regular basis on the committee's performance in relation to the terms of reference, and the effectiveness of the committee in meeting its purpose.

## ***Responsibility for Functions***

- The Chair of the Committee will answer questions on its work at full Council meetings.
- To publish an annual report on the work of the committee.

**Functions Delegated to the Governance and Ethics Committee**

The Governance and Ethics Committee will have responsibility for the following functions which are reserved to it:

The Governance and Ethics Committee will have the following Terms of Reference:

- a. Shall be an advisory body, comprising Councillors, dealing with governance, ethics and constitutional arrangements.
- b. Shall, where appropriate, consider and advise the Council on matters relating to the Council's governance and Constitution, including standards of conduct, the timetable of meetings, the administrative and procedural arrangements for implementing new legislation and the terms of reference of or scheme of delegation to Council bodies.
- c. Shall consider and advise the Council on elections and electoral arrangements, including boundary reviews, and polling districts, places and stations, where these are not the sole responsibility of the Returning Officer.
- d. Be consulted, and may offer feedback for consideration, on elections and electoral arrangements that are the sole responsibility of the Returning Office.
- e. Shall advise Full Council on the adoption or revision of the Councillors' Code of Conduct and Councillors' Allowances Scheme.
- f. Shall liaise between the Council and the Ombudsman;
- g. Shall advise the Council on the conferment of the title of Honorary Alderman or Freedom of the City;
- h. Shall advise the Council on the making, amendment, revocation or re-enactment of bylaws and the promotion of or opposition to local or personal Bills in Parliament.
- i. Promoting and maintaining high standards of conduct by Elected Members and co-opted Members;
- j. Making recommendations to the Council on the appointment of "independent persons" under the Localism Act 2011;
- k. Approving and revising the Complaints Protocol which will set out the detailed procedures for considering complaints made against Elected and Co-opted Members under the Code of Conduct for Elected and Co-opted Members;
- l. Considering complaints made against Elected and Co-opted Members under the Code of Conduct for Elected and Co-opted Members in accordance with the Complaints Protocol;

## ***Responsibility for Functions***

- m. Monitoring the operation of the Code of Conduct for Elected and Co-opted Members and making appropriate recommendations to the relevant body;
- n. At the request of the member or co-opted member concerned, reviewing any decision of the Monitoring Officer not to grant a dispensation in relation to disclosable pecuniary interests in accordance with Section 33 of the Localism Act 2011;
- o. Monitoring the operation of the Code of Conduct for Employees and making appropriate recommendations to the relevant body;
- p. Considering any other matters which are relevant to the ethical governance of the Council, its Members or Employees.

### **Governance and Ethics (Hearings) Sub-Committee**

The Sub-Committee shall conduct hearings into allegations that a Councillor has breached the Code of Conduct for Councillors of the relevant authority in accordance with the arrangements for such hearings approved by the Council.

## **Functions of Councillor Champions**

### **Appointment of Champions**

At its discretion the Council may from time to time designate Champions from amongst Councillors.

The Council may also choose to form an advisory group to support the Champion, consisting of Executive and Scrutiny members, although this will not be appropriate in all situations.

### **Purpose of a Councillor Champion:**

To promote the relevant issue within the Council and with key partners in liaison with Cabinet Members in line with Council policy.

To contribute to the review and development of policies pertaining to the area of interest.

To engage with the Executive and Scrutiny to ensure that due regard is given to the issue as part of policy development and strategic planning activities.

To provide positive support, and on occasions, constructive challenge to the Council and officers in driving forward the Council's agenda on relevant issues.

To represent the Local Authority at relevant events and on external bodies on issues relating to the theme they are championing.

### **Key responsibilities:**

To develop priorities and work plans in discussion with relevant councillors and officer forums. Champions will be assigned a link officer who will provide ongoing support on the issue being championed.

To publish an annual report on the work undertaken over the year for consideration by the Scrutiny Board.

To chair a quarterly meetings of the advisory group (if formed), in order to provide a formal opportunity to exchange information and discuss relevant issues.

A Champion cannot:

- Take decisions
- Deputise for a Cabinet Member

## **Health & Wellbeing Together**

### **Terms of Reference: Health & Wellbeing Together**

Health & Wellbeing Together is the forum where key leaders from the health and care system come together to improve the health and wellbeing of the local community, work towards reducing health inequalities and support the development of improved and joined up health and social care services. It is the name given to the City of Wolverhampton Health and Wellbeing Board, a statutory Board established under the Health and Social Care Act 2012.

### **Health & Wellbeing Together will:**

- Provide strong local leadership for the improvement of the health and wellbeing of the population of Wolverhampton.
- Encourage integrated working through promoting an ethos of integration and partnership in the planning, commissioning and delivery of services.
- Collaborate with other City Partnership Boards/stakeholder groups to identify shared priorities and appropriately coordinate activity, informed by a commitment to a place-based approach to health.

### **Health & Wellbeing Together is responsible for:**

- Assessing the needs of the local population by developing and overseeing the implementation of the City's Joint Strategic Needs Assessment (JSNA).
- Preparing and publishing a Joint Health and Wellbeing Strategy (JHWS) that is evidence based through the work of the JSNA and other supporting needs assessments.
- Taking forward the key priorities from the JHWS and to performance manage progress against defined targets.
- Preparing a Pharmaceutical Needs Assessment (PNA) to ensure pharmaceutical services in Wolverhampton meet local needs.
- Ensuring that health and social care commissioning plans are coordinated, align with the JSNA, the JHWS and meet local needs.
- Overseeing and coordinating plans for the integration of health and social care services to improve the health and wellbeing of people in Wolverhampton and reduce health inequalities.
- Coordinating public health work that is undertaken on behalf of Health & Wellbeing Together, including wellbeing and social care prevention pathways.
- Supporting local voice and patient choice by ensuring that the views of local people are used to inform decision making and improve democratic accountability.
- Working collaboratively with other strategic City Boards/ Partnerships on the implementation of the City 2030 Vision.
- Ensure the work of Health & Wellbeing Together is aligned with policy developments both locally and nationally.

A Health and Wellbeing Together member role description is available in Appendix 1 of this document.

**Health & Wellbeing Together governance and reporting relationships:**

Health & Wellbeing Together is comprised of a Full Board and an Executive. Full Board meetings are structured to shift focus from service silos to system outcomes by adopting a thematic approach to addressing the priorities identified in the Joint Health and Wellbeing Strategy. Additional stakeholders may therefore be invited to attend specific meetings at the discretion of the Board.

The primary focus of the Executive group is to sign off statutory documents and provide a strategic forum for the Council and health partners to drive health and social care integration.



- The Children & Families Together Board is responsible for strategic planning of services for children and young people in the city. It reports into Health and Wellbeing Together on shared priorities and key performance indicators in relation to children, young people and families.
- Living & Ageing Well is responsible for leading the Better Care Fund workstream and Adult Transformation activity. It reports Better Care Fund submissions into Health and Wellbeing Together so that the Board can measure performance and have strategic oversight of the delivery of agreed programmes.
- The Executive Commissioning Group brings together senior executives of the health and well-being community with commissioning responsibility in the city of Wolverhampton. It will inform the Health and Wellbeing Together Executive.
- The Integrated Care Alliance is a patient centred collaborative approach based on a shared vision and clinical alignment with the aim of removing artificial distinctions between primary and secondary care. It aims to work collectively to develop coherent plans for the Wolverhampton health and care system. It informs the Health and Wellbeing Together Executive.
- The WMCA Wellbeing Board was established to support the West Midlands Combined Authority to achieve its ambitions of improving health and wellbeing outcomes for its residents by adding value to the work that already goes on within individual localities. This includes, providing governance for the



## ***Responsibility for Functions***

Combined Authority's work to improve wellbeing and health outcomes including the development of devolution propositions and ensuring that the Combined Authority's work in relation to wellbeing and health complements and supports the work of Sustainability & Transformation Plans within the Combined Authority area. The Cabinet Member for Public Health & Wellbeing represents Wolverhampton on the WMCA regional Wellbeing Board.

In addition to the above, Health & Wellbeing Together is committed to working collaboratively with the City Board, Safer Wolverhampton Partnership and Adult and Children Safeguarding Boards, to remove duplication, ensure consistency of approach on cross cutting themes and achieve greater impact across the whole system.

### **Health & Wellbeing Together membership**

In line with the Health and Social Care Act 2012 membership of Health & Wellbeing Together will consist of —

- at least one councillor of the local authority
- the director of adult social services for the local authority,
- the director of children's services for the local authority,
- the director of public health for the local authority,
- a representative of the Local Healthwatch organisation for the area of the local authority,
- a representative of each relevant clinical commissioning group, and
- such other persons, or representatives of such other persons, as the local authority thinks appropriate.

Additional members will be considered as appropriate. The overall size of the Health & Wellbeing Together Full Board will, however, be kept at a level which is manageable and able to support efficient and effective decision-making.

Members may allocate a named substitute to attend on their behalf by notifying the Chair of the Board and Democratic Services in advance of the meeting.

**Responsibility for Functions**

Agency	Role
City of Wolverhampton Council	Leader of the Council <sup>+</sup>
	Cabinet Member for Children and Young People
	Cabinet Member for Adults
	Cabinet Member for Public Health & Wellbeing, Chair <sup>+</sup>
	Opposition representative
	Director of Public Health <sup>+</sup>
	Executive Director of Families <sup>+</sup>
	Head of Communities, Public Health
Black Country & West Birmingham CCGs	Wolverhampton Managing Director Black Country & West Birmingham CCGs
Wolverhampton Healthwatch	Chief Officer or Manager
University of Wolverhampton	Senior representative - Institute of Health, Faculty of Education, Health and Wellbeing
West Midlands Fire Service	Group Commander Operations North Black Country North Walsall and Wolverhampton
West Midlands Police	Chief Superintendent
Third Sector Partnership	Designated representative
Chair Wolverhampton Safeguarding Together	Independent Chair
Royal Wolverhampton NHS Trust	Chief Executive <sup>+</sup>
	Chair <sup>+</sup>
Black Country Healthcare NHS Foundation Trust	Director of Partnerships
Wolverhampton Voluntary Sector Council	Chief Executive

*+ Executive Group member*

## ***Responsibility for Functions***

The Chair will be appointed by the City of Wolverhampton Council. The Vice-chair will be appointed by Black Country & West Birmingham CCGs.

Should neither Chair or Vice Chair be able to attend a meeting of Health & Wellbeing Together, the Chair shall designate another statutory member of the Board as Chair for this meeting. Where this is not possible, a Chair shall be elected at the start of the meeting.

The Chair of Health Scrutiny and a representative from NHS England and NHS Improvement (Midlands) are invited to attend Full Board meetings as an observer.

### **Health & Wellbeing Together voting and decision-making**

Reports to Health & Wellbeing Together Board meetings should be prepared in a way that enables effective decision making. Decisions, recommendations, declarations of interest and reservations will be recorded in the minutes.

All meeting papers will be published on the Council website at least five clear working days before the meeting concerned.

There will be sovereignty around decision making processes. Members will be accountable through their own organisation's decision-making processes for the decisions they take. It is expected that members of Health & Wellbeing Together will have delegated authority from their organisations to take decisions within the terms of reference.

Decisions taken by Health & Wellbeing Together are generally done so by consensus. If a Board decision should require a vote then all members may participate having one vote each; in the event of a tie then the Chair will have the casting vote. Observers do not have a vote.

Items can be added to the agenda by completing the Agenda Item Request Template. Completed forms will be considered at the next available meeting of the Health & Wellbeing Together Executive as part of the agenda setting and forward planning process. No business will be conducted that is not on the agenda.

A thematic Forward Plan of activity will be reviewed at each full meeting of Health & Wellbeing Together to ensure agenda items are strategic and timely.

### **Health & Wellbeing Together frequency of meetings and quorum**

A full meeting of Health & Wellbeing Together will take place four times a year. The Executive will meet approximately six weeks prior to each Full Board meeting.

Full meetings of Health & Together will be conducted in public unless confidential information is to be disclosed. There will be the opportunity for members of the public to ask questions in line with the protocol outlined in the guide to speaking at meetings.

Items that are of a confidential nature will be discussed within the Private section of the agenda (i.e. contains exempt information as defined in Schedule

## ***Responsibility for Functions***

12A to the Local Government Act 1972).

An extraordinary meeting can be called when the Chair considers this necessary and or/ in the circumstances where the Chair receives a request in writing from 50% of the membership of the whole membership.

An annual informal focus day / session on specific issues of interest will take place and all members will be encouraged to attend.

Agendas and papers for Board meetings will be made publicly available via the website unless covered by exempt information procedures.

The quorum for meetings will be one third of membership, with at least one Elected Member and one external partner in attendance.

**DELEGATIONS TO THE PENSION COMMITTEE**

- To exercise all those functions of City of Wolverhampton Council which are required to be performed by it in its role as Administering Authority for the Local Government Pension Scheme under the Public Service Pensions Act 2013 (and any associated legislation) adhering to the principles required by Statutory Guidance.
- Under Section 4 of the Public Service Pensions Act 2013 the Scheme Manager for the Administering Authority shall be the City of Wolverhampton Council's Pensions Committee.
- To exercise all the general powers and duties of the Council granted to the Cabinet and Cabinet Panels and Regulatory or other Committees provided that those parts of the Council's Financial Procedure Rules and Contracts Procedure Rules which relate to the acquisition and disposal of land, Fund Investment transactions, custody of assets, appointment of advisors and approval of expenditure and their related activities, shall not apply in relation to the West Midlands Pension Fund.
- The Council's financial procedure rules, contract procedure rules and internal financial limits concerning procurement do not relate to the Pensions Committee who, by delegation from Council, has authority to enter into contracts, procure services, purchase goods and manage financial investment through the internal controls of the West Midlands Pension Fund and in compliance with all applicable legislation.
- To ensure that consideration is given to the impact which the Committee's policies and provision of services have with regard to environmental matters. Provided such considerations are in line with the duty of the Pension Committee, as Scheme Manager, to manage investments in accordance with fiduciary duty and the overall duty to secure investment returns.
- The Pensions Committee may call upon the Local Pensions Board to seek assistance on matters to be discussed at the committee meeting. Where such assistance is sought it must be considered as part of the decision-making process.
- Any reference within the Council's constitution that refers to Council or Cabinet and includes powers relevant to the work of the Pensions Committee should be read to include Pensions Committee, including the setting of the Budget and Policy framework of the West Midlands Pension Fund.

**TERMS OF REFERENCE**

- The Pensions Committee shall adhere to the Standing Orders of the City of Wolverhampton Council and all matters of due process so far as they do not conflict with the statutory duty of Scheme Managers.

**MEMBERSHIP**

The membership of the Pensions Committee shall consist of the following;

- 10 City of Wolverhampton Council elected Councillors
  - 6 District representatives, one elected Councillor from each of the Metropolitan District Councils participating within the West Midlands Pension Fund. District representatives are invited to sit as full members of the committee with debate and voting rights on the matters presented.
  - 4 Trade Union member representatives are invited as observers from three main trade unions from across the region. Trade Union representatives are invited observers to the committee meetings, they may participate in debate but hold no voting rights on the matters presented
- 
- The quorum for a Committee meeting is 9 voting members.
  - Should an elected Councillor no longer be a member of their Authority, their appointment on the Committee shall cease and a further nomination will be sought from that Authority.
  - The Committee shall meet on a formal basis a minimum of 4 times a year with additional informal meetings throughout the year as required.
  - Councillors sitting on the Pensions Committee do so as a representative of the West Midlands Pension Fund, taking decisions in the best interest of the Fund. Whilst politically balanced, the Committee meets on a non-political basis with all members meeting collectively in compliance with statutory duties as outlined in legislation and statutory guidance.
  - Trade Union representatives who observe committee meetings will adhere to the formal meeting process, and have regard to the Nolan Principles of Public Life and the expected behaviours for Governing Body members as set out by regulatory bodies.
  - Persons sitting on the Committee are expected to make themselves available to attend committee meetings. Persons who fail to attend three or more events (to include committees and training) may be removed from the committee and a replacement sought from their nominating body, unless there are exceptional reasons for their failure to attend. Such reasons to be considered by the committee, notably the Chair and Vice-Chair.
  - Persons sitting on the Committee are required to undertake training in line with the Scheme Manager's adopted training policy.
  - Trade Union observers are invited to attend training session to assist in informing debate in committee meetings.

**CHAIRING THE COMMITTEE**

- The Chair and the Vice Chair of the Committee will be appointed by Full Council at the Annual General Meeting.
- In the event of a tie of votes, the Chair will have the casting vote.
- In the event the Chair is not present for the meeting, the Vice Chair will assume the role of the Chair for that meeting. Should neither the Chair or the Vice Chair be present, a Chair will be nominated from the Elected Members present at the meeting, providing always that the quorum for the meeting is met.

**URGENT DECISIONS**

- The Chair, Vice Chair or nominated person in consultation with the Director of Pensions shall be able to exercise the powers of the Committee in any matter of immediate urgency which cannot wait until the next meeting. Decision made under this provision will be reported to the next available meeting of the Committee.

**DUTIES OF THE PENSION COMMITTEE**

- To adhere to the principles set out in the Statutory Guidance and Codes of Practice issued by the Scheme Advisory Board and the Pensions Regulator and undertake its duties in compliance with the obligations imposed on it as Scheme Manager.
- To approve the Fund's operational budget and receive reports on matters of staffing and employment where significant budget implications occur.
- To represent the views of members of the Fund in the management and administration of the Fund.
- To ensure that equality issues are addressed in the development of policies and the provision of services and are appropriately monitored.
- To determine the investment strategy and supporting responsible investment policy and framework of the Fund in consideration of the long-term liabilities and duties to pay pension benefits.
- To monitor investment activity and the performance of the Fund's investments.
- To take independent and specialist advice on matters to be determined, including advice from Senior Officers of the Fund, adhering to the advice given when taking decisions.
- To ensure effective operational and financial risk management and to receive reports on actions identified in the Fund's internal control framework.
- Reviewing and adopting the statutory policies of the Fund, in accordance with the Fund's policy framework.

- On an annual basis to receive and approve the Annual Report and Accounts.

**INVESTMENT POOLING**

- To select, appoint and dismiss an investment pool operator in line with Statutory Requirements.
- To include provisions for investment pooling in the Fund's Investment Strategy Statement.



**1.0 Pension Board Terms of Reference**

1. This document sets out the terms of reference of the Local Pension Board of the City of Wolverhampton Council (the 'Administering Authority'), a scheme manager as defined under Section 4 of the Public Service Pensions Act 2013. The Local Pension Board (hereafter referred to as 'the Board') is established in accordance with Section 5 of that Act and under regulation 106 of the Local Government Pension Scheme Regulations 2013 (as amended).
2. The Board is established by the Administering Authority and operates independently of the Committee. Relevant information about its creation and operation are contained in these Terms of Reference.
3. The purpose of the Board is to assist the Administering Authority with the good governance of the scheme, as follows:
  - secure compliance with the Regulations, any other legislation relating to the governance and administration of the Scheme, and requirements imposed by the Pensions Regulator in relation to the Scheme; and
  - to ensure the effective and efficient governance and administration of the Scheme.
4. All persons appointed to the Board will adhere to the Local Pensions Board Code of Conduct and the seven principles of public life (known as the Nolan Principles), including the duty to report conflicts and undertake training as required to ensure they meet the legislative requirement to have the knowledge and understanding required of them to undertake their role.
5. While not a formal committee of the Council, meetings of the Pensions Board will be formal occasions to be minuted adhering to the due process and rules of procedure so far as such do not make the business of the Board unviable. Business to be conducted by the Pensions Board shall be noted on a formal Agenda at least five working days in advance of the meeting. Additional business may be added to the Agenda at a later date with the consent of the Chair. Business not noted on the Agenda may only be considered at the meeting if agreed by majority vote. This is to ensure all information is available and has been read and understood by Pensions Board members.
6. The Pensions Board shall meet a minimum of four times a year on a quarterly basis. The ability to call additional meetings rests with the Board, such additional meetings are to meet the minimum quorum requirement.
7. Persons appointed to the Pensions Board have the same right of access to information and documents to be considered as elected members as outlined in the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 and The Openness of Local Government Bodies Regulations 2014. Save as all other provisions of these regulations do not apply to the Pensions Board.

## ***Responsibility for Functions***

8. The Pensions Board shall adhere to the operational policies of the Fund. Membership
9. The Pensions Board consists of 12 persons made up of six employer and six member representatives in equal proportion, two of which will be Elected Members of the Administering Authority. Substitutes shall not be appointed. Further, details with regards to membership can be found in the Fund's Representation Policy which is available on its website.
10. Representatives (both employer and member) should be able to demonstrate their capacity to attend and complete the necessary preparation for meetings and participate in training as required.
11. Recruitment to the board will follow the Fund's 'Pensions Board Appointments Policy'.
12. The quorum requires, at least one member from each category of member and employer representatives. If the Chair and the Vice Chair are not present a Chair will be nominated by majority from those in attendance.
13. The term of office for a person appointed to the Pensions Board shall be for a period no shorter than one year and no longer than two rotations of nominations for their term of office (where the person is an elected Councillor, whichever is the shortest). Nominations for employer and member representatives to the Pensions Board shall take biennial rotation. This is to ensure a consistency of knowledge within the Pensions Board and to assist with the development of knowledge and experience. Where vacancies occur in year the nomination process will follow and there will not be a nomination for that seat in the same year.
14. Nominations to the Pensions Board will be sought from the nominating body group on each occasion as the rotation for appointment arises. Trade Union member representatives will be nominated by the relevant Trade Union. Where more than one nomination is received for employer representatives from the Fund employer base, interviews for the vacant position will be held by the Chair and Vice Chair (where they are not on rotation), together with the Director of Pensions (or their nominated officer) and the Head of Governance and Corporate Services.
15. Persons appointed to the Pensions Board are expected to make themselves available to attend meetings and to complete relevant training. Persons appointed who fail to meet their training target and/or attend less than two meetings and one structured training event each year may be asked to leave the Board and a replacement sought from their nominating body unless there are exceptional reasons for their failure to attend. Such reasons to be considered by the Pensions Board.
16. Other than by ceasing to be eligible to sit on the Pensions Board (to include failure to attend meetings), a person appointed to the pensions board may only be removed from the position during their term of office by majority vote of the Pensions Board.

## ***Responsibility for Functions***

17. A person appointed to the Pensions Board may retire their position at any time. In such cases a nomination will be sought from their nominating body.

### **Chairing the Board**

18. It shall be the first business of the Board's annual meeting to nominate the position of Chair and Vice-Chair with both the employer and member representatives considered with one position being allocated to each represented group.
19. In the event of a tie of votes of any business to be conducted, the Chair will have the casting vote. In circumstances where the vote is to appoint a new Chair, the outgoing Chair will have the casting vote in the event of a tie.

### **Conflicts of interest**

20. All members of the Board must declare to the Administering Authority on appointment and at any such time as their circumstances change, any real, potential or perceived conflict of interest which may impact their position on the Board.
21. A conflict of interest and the policy for their identification and management is defined in the Fund's Local Pensions Board Conflicts of Interest Policy.
22. On appointment to the Board and following any subsequent declaration of a potential conflict by a Board member, the Fund shall ensure that any potential conflict is effectively managed in line with both the internal procedures of the Board's conflicts policy and the requirements of the Code of Conduct.

### **Voting Rights**

23. Each member representative and employer representative will have one vote. Where there is the same number of votes the Chair shall have the casting vote.

### **Knowledge and understanding (including Training)**

24. Individual Pension Board members must ensure that they have the appropriate degree of knowledge and understanding to enable them to properly exercise their functions as a member of the Pension Board.
25. To ensure that knowledge and understanding requirements are met, the Fund has established a Governing Body Member Training Policy that will be reviewed and approved on an annual basis. Board members should attend and participate in training arranged in order to meet and maintain the requirements set out in the policy.

### **Information**

26. Information relating to the work of the Pensions Board (including any relevant minutes) is available to the public (with the exception of exempt matters) and will be published on the Administering Authority's website with the exception of when such information is confidential or exempt under Schedule 12A.

## ***Responsibility for Functions***

27. Information detailing the Pensions Boards Terms of Reference shall be published on the Fund's website together with any vacancies as they arise.
28. An agenda will be agreed prior to each meeting. The agenda and supporting papers will be issued at least five working days in advance of the meeting (except in matters of urgency).
29. Draft minutes of each meeting (including actions and agreements) will be published following the meeting and be subject to formal agreement by the Board at their next meeting.
30. In accordance with regulations the Fund will publish information about the Board, this information will include:
  - The names of Board members and their contact details.
  - The representation of employers and members on the Board.
  - The role of the Board.
  - These Terms of Reference.

All or some of this information is available on the Fund's website, within the Fund's Representation Policy and where appropriate as part of the Fund's Annual report and Governance Compliance Statement.

### **Review of Terms of Reference**

31. These Terms of Reference shall be reviewed on each material change to those part of the Regulations covering local pension boards and at least annually.

**A Delegations to Employees**

- A1 Sections 1-19 of Part 2 of the Constitution set out how the Council's functions have been allocated between the Council, the Cabinet, Regulatory and other Committees, individual Councillors, or other bodies on which the Council may be represented. Those sections also indicate which functions are reserved to the Council and which functions have been delegated to the Cabinet, Cabinet Panels and various Regulatory or other Committees.
- A2 This section of Part 2 sets out which functions have been delegated to employees. One of the main principles of the Constitution is the need to be able to ascertain who is responsible for any decision made by or on behalf of the Council and this is particularly so for employee delegations which must be comprehensive.
- A3 The following sections set out the functions which are delegated to Officers. All delegations must be exercised in accordance with this Constitution, policies, procedures and Codes of Practice which are adopted from time to time by the Council and any specific limitations or restrictions which are included in the following tables.
- A4 When exercising any of the delegations, Officers must take note of any statutory or other legal requirements including the principles of public law, human rights and equalities legislation.
- A5 Directors are required to maintain written delegations which prescribe the delegations which operate within their area of purview. Such written delegations will indicate which employees are responsible for the management and delivery of services and will specify relevant operational and financial limits.
- A6 Employees who are entitled to exercise delegated powers should always refer a complex or sensitive matter for decision by the Cabinet, appropriate Cabinet Panel or Regulatory or other Committees.

Complex or sensitive matters to include: -

1. One of significant financial or legal risk not previously brought before Cabinet.
2. One which requires Councillors to be made aware of as it is of a significant political nature.
3. One which affects the Councils reputation and needs to be brought to Councillors' attention.
4. Matters that constitute a change to explicit policy statements.

## ***Delegations to Employees***

- A7 References in the delegations to any statutory provision shall be deemed to include any statutory provisions which may from time to time replace, amend or revoke them and any orders, directions, regulations, codes of practice, byelaws or government guidance currently in force.
- A8 In the event an Officer is unclear as to any delegation or what constitutes a complex or sensitive issue, advice should first be sought from the Chief Operating Officer and Solicitor to the City Council as to how to proceed.
- A9 If the Chief Executive is unavailable and a decision needs to be taken urgently, the Deputy Chief Executive may take the decision.
- A10 If the appropriate Director is unavailable and a decision needs to be taken urgently any other Director may take the decision.
- A11 In the event that a Director or a Head of Service's post ceases to exist or his or her responsibilities are transferred to another officer (as the case may be), temporarily or permanently, then the powers given by this Scheme of Delegation shall be exercisable by the officer in whose area of responsibility the power falls to be exercised.

**Delegations to Chief Executive, Deputy Chief Executive and Directors**

<b>B</b>	<b>Function</b>	<b>Limits or restrictions on delegation</b>
B1	Financial administration.	In accordance with the Financial Procedure Rules.
B2	Contracts and tendering.	In accordance with the Contracts Procedure Rules.
B3	Management of Human Resources.	In accordance with the Council's Human Resources Policies and Procedures and the attached Schedule of Human Resources Schedules.
B4	Day to day administration and operational management excluding key decisions as defined in the Access to Information Procedure Rules.	In accordance with the Constitution and any specific restrictions or limitation imposed by the Cabinet or relevant Regulatory or other Committee.
B5	Management of operational land and premises used for service delivery.	In accordance with the Financial Procedure Rules, the Contracts Procedure Rules and the Asset Management Plan.
B6	The administration of all fees and charges levied in respect of operational services including the waiving or remission of fees and charges.	In accordance with the Financial Procedure Rules.
B7	Compliance with the Health and Safety at Work etc. Act 1974 and the Regulatory Reform (Fire Safety) Order 2005.	In accordance with the Council's Health and Safety policies and procedures.

***Delegations to Chief Executive, Deputy Chief Executive and Directors***

B8	Compliance with the Council's Equal Opportunities Policy and relevant legislation.	In accordance with the Council's Equal Opportunities policies and procedures.
B9	Compliance with the Human Rights Act 1998.	
B10	Compliance with the Data Protection Act 1998 and the Freedom of Information Act 2000.	
B11	Identification of "Employees responsible for the management of investigations" under the Regulation of Investigatory Powers Act 2000.	In accordance with policy agreed by Cabinet (Resources) Panel on 2 November 2010
B12	Discharge of functions under the Major Emergency Plan.	In accordance with the Major Emergency Plan.
B13	Compliance with the Local Code of Corporate Governance and production of an annual Assurance Statement.	In accordance with the Code.
B14	Compliance with Risk Management Strategy.	
B15	Approval for overseas trips by employees.	Where there is no cost to the Council (i.e. funded by a third party).
B16	Power to issue directions under the Health Protection (Coronavirus, Restrictions) (England) (No. 3) Regulations 2020	



**Delegations to the Chief Executive**

<b>C</b>	<b>Function</b>	<b>Limits or restrictions on delegation</b>
C1	Discharge of functions as Head of Paid Service.	In accordance with Article 12 of the Constitution
C2	To undertake any function delegated to any Director in the absence of that Director or due to his/her inability to act.	In accordance with any restriction on delegation specified in this Delegation Scheme.
C3	To undertake functions in respect of the West Midlands Metropolitan Authorities Pension Fund.	In accordance with the statutory provisions and any determinations of the Pensions Committee.
C4	Discharge of functions in relation to the compilation and maintenance of the Register of Electors, including the appointment of a Deputy Electoral Registration Officer, and the organisation and management of European, Parliamentary and local elections.	In accordance with the Representation of the People Acts and associated legislation.  <b>Note:</b> The day to day functions are within the remit of the Chief Operating Officer and therefore also referred to in the delegations to the Chief Executive.
C5	To consent to dispersal of groups under section 30 of the Anti-Social Behaviour Act 2003.	In accordance with the report approved by Cabinet 24/01/07
C6	Communications and Customer Relations.	
C7	Performance Management.	
C8	Organisational planning; tactical planning.	

## ***Delegations to the Chief Executive***

- |     |   |   |
|-----|---|---|
| C9  | To manage and administer the Council's central ICT resources, corporate ICT strategy and IEG statement.   |   |
| C10 | In consultation with the Director of Finance, to make donations and/or grants of up to £10,000 to local community groups.   |   |
| C11 | To approve "continuous service in the public sector" to be recognised for the purposes of annual leave entitlement.   | In accordance with HR policies, procedures and processes. |
| C12 | In consultation with the Section 151 Officer to determine the grade for posts below JNC for Senior Management grading levels.   | In accordance with HR policies, procedures and processes. |
| C13 | In consultation with the Section 151 Officer to deal with applications for discretionary added years for pension purposes with a maximum financial impact of £20,000                      | In accordance with report approved by Cabinet 15/11/06    |
| C14 | Discharge of functions as Proper Officer for the purposes of Section 100 of the Local Government Act 1972 and other provisions relating to admission to meetings and access to documents. |   |
| C15 | To develop an effective assurance framework based upon the Council's risk management and internal audit arrangements.   |   |

## ***Delegations to the Chief Executive***

C16	The operational and business management of the Council's Street Scene Services, including environmental cleansing, litter control, grounds maintenance, arboriculture and gully cleansing.	
C17	To provide the client agency function for grounds maintenance.	In accordance with Council Procurement Strategy.
C18	To undertake the management of the Bereavement Centre including the provision and maintenance of cemeteries, crematorium and public mortuary facilities.	
C19	The operational management of the Document Centre.	
C20	Delivery of the Corporate Customer Services Strategy and operational management of City Direct, Main Switchboard and reception.	
C21	To develop and operate the Sport and Recreation service.	Sport & Recreation Strategy (1999) Wolverhampton Swimming Strategy 2005 Wolverhampton Playing Pitch Strategy 2004
C22	To undertake the management of bars and licensed premises attached to Aldersley Leisure Village.	Licensing Acts 1964, 1988 and 2003 Food Safety Act 1990 Intoxicating Substances (Supply) Act 1985.
C23	To make minor editorial and other amendments to the Constitution, including to reflect senior management changes, for administrative	Where an amendment follows a change in legislation or will alter delegations to Councillors or employees, the Group Leaders should be notified in advance of any change being effected.

## *Delegations to the Chief Executive*

convenience and/or consequential to legislative changes

C24	Discharge of functions in relation to the compilation and maintenance of the Register of Electors and the organisation and management of European, Parliamentary and local elections.  Birmingham International Airport	The Chief Executive is the Statutory Officer for these functions.
C25	In consultation with the Section 151 Officer to deal with any matters requiring the consent of the Council as a shareholder in Birmingham Airport, or in relation to matters falling under the Shareholders' Agreement, which have been recommended by the West Midlands Joint Committee, or the financial and legal advisors to the Joint Committee, and which have no adverse financial impact on the Council or do not prejudice the value of its shareholding in the Airport.  <b>Property Services</b>	In accordance with the reports approved by Cabinet on  05.12.01 and 30.01.02.
C26	To discharge the functions of Corporate Property Officer.	
C27	To discharge valuation and estates services and deal with property acquisition/disposals.	In accordance with the Scheme of Delegations and Contract Procedure Rules agreed from time to time by the Council.
C28	In consultation with the Chief Operating Officer to authorise Legal Proceedings under Paragraph L31.	
C29	In respect of the Construction (Design and Management) Regulations 1994	

(made under the Health and Safety at Work Act 1974): -

- (i) to act as Agent for in-house clients in respect of duties defined for clients undertaking building constructions projects (including planned maintenance where applicable); and
- (ii) to carry out the duties for Planning Supervision in respect of building construction projects (including planned maintenance where applicable).

C30 To manage and maintain the Civic Centre and to deal with applications for use of the Civic Centre by outside bodies.

**Commercial Services**

C31 The operational management of the Council's function relating to cleaning and catering.

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**Delegations to the Chief Operating Officer**

<b>D</b>	<b>Function</b>	<b>Limits or restrictions on delegation</b>
D1	Scrutiny and Executive Support	
D2	Democratic and Members Services	
D3	Discharge of functions as Monitoring Officer including the selection process by which Independent Persons are recommended to the Council for appointment	
D4	<p>Discharge of functions as Proper Officer for the purposes of: -</p> <p>Section 83 of the Local Government Act 1972 (declaration of acceptance of office)</p> <p>Section 84 (resignation)</p> <p>Section 96 (general notices and recording of disclosures of interest)</p> <p>Section 225 (deposit of documents)</p> <p>Section 229 (photographic copies of documents)</p> <p>Section 232 (public notices)</p> <p>Section 233 (service of notices)</p> <p>Section 234 (authentication of documents)</p> <p>Section 238 (evidence of bylaws).</p>	

## ***Delegations to the Chief Operating Officer***

- |     |   |  |
|-----|---|--|
| D5  | Discharge of any other Proper Officer functions which may be delegated from time to time by the Council.  |  |
| D6  | To undertake functions in respect of the West Midlands Metropolitan Authorities Pension Fund at the request of the Chief Executive.   |  |
| D7  | To affix the Common Seal of the Council and to execute by any other means any deed or document on behalf of the Council.  | In accordance with the Constitution.   |
| D8  | To take all such action as is necessary to commence, prosecute, defend, appear in or discontinue any legal proceedings brought by or against the Council and to authorise employees in accordance with section 60 of the County Courts Act 1984 and section 223 of the Local Government Act 1972. | In accordance with the Constitution and any specific restrictions or limitations imposed by the Council, the Cabinet or any Regulatory or other Committee. |
| D9  | In consultation with the appropriate Director and the Section 151 Officer to institute proceedings for the recovery of possession of any land, premises or dwellings owned by the Council.  |  |
| D10 | In consultation with the appropriate Director and the Section 151 Officer to institute proceedings for the recovery of rent, service charges, mortgage arrears and any other monies due to the Council.   |  |
| D11 | In Consultation with the appropriate Director to authorise arrangements for the appointment of Education Appeals Panel Members and Chairs.  |  |



## ***Delegations to the Chief Operating Officer***

D12 To make minor editorial and other amendments to the Constitution, including to reflect senior management changes, for administrative convenience. To make consequential amendments to the Constitution due to legislative changes.	Where an amendment follows a change in legislation or will alter delegations to Councillors or employees, the Group Leaders should be notified in advance of any change being effected.
D13 Maintenance and operation of the Local Land Charges Register.	
D14 Discharge of functions as Proper Officer for the Registration of Births, Deaths and Marriages including powers under: -  Registration Services Act 1953 The Local Registration Scheme Registration of Births, Deaths and Marriages Regulations 1968 etc. Marriage Act 1949, including authority to approve premises to be used as a venue for marriages in pursuance of section 26(i) (bb) of the Marriage Act 1949 (Marriages On Approved Premises) Regulations 1995. Civil Partnership Act 2004	In accordance with the statutory scheme.
D15 In consultation with the Director of Finance to deal with ex-gratia claims up to £500.	Developing and Supporting the Organisation Cabinet Team 22.03.02

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**E Delegations to the Director of Finance**

<b>Function</b>	<b>Limits or restrictions on delegation</b>
<p>E1 To administer the financial affairs of the Council in accordance with section 151 of the Local Government Act 1972, section 114 of the Local Government Finance Act 1988, the Accounts and Audit Regulations 2011.</p>	
<p>E2 To administer and manage or approve the management arrangements for the Council's payroll arrangements.</p>	
<p>E3 To approve and oversee the management arrangements for the Council's tax liabilities including National Insurance, Value Added Tax etc.</p>	
<p>E4 To opt to tax land and property transactions not affected by policy considerations.</p>	
<p>E5 To administer and manage or approve the management arrangements for the Council's creditor payment, telephone transfers and CHAPS payments etc. arrangements.</p>	
<p>E5 To collect non-domestic rates and Council Tax or any similar tax from those persons liable, to take such steps in relation to non-domestic rates and Council Tax as the Billing Authority are authorised or required to take and in particular, but without prejudice to the generality of the foregoing: -</p> <ul style="list-style-type: none"> <li data-bbox="280 1675 839 1854">(i) to institute, carry on or defend proceedings in relation to the collection or recovery of non-domestic rates, Council Tax and other charges;</li> <li data-bbox="280 1906 847 2007">(ii) to authorise the institution or defence of any proceedings or the taking of any steps in relation</li> </ul>	

## *Delegations to the Director of Finance*

	<p>to the valuation list or rating list which the Council are authorised or required to institute, carry on, defend or take;</p> <p>(iii) the imposition of penalties as provided for under the provisions of the Local Government Finance Acts 1988 and 1992;</p> <p>(iv) to take any necessary steps in representing the Billing Authority at Valuation Tribunals;</p> <p>(v) in respect of non-domestic rates, Council Tax and other charges to take any necessary steps in protection of the interests of the Council in connection with bankruptcies, receiverships and liquidations;</p> <p>(vi) to reduce or remit liability in accordance with sections 44A and 49 of the Local Government Finance Act 1988.</p> <p>(vii) to reduce or remit liability in accordance with S13A Local Government Act 1992.</p>	
E6	To administer the assessment and payment of Housing Benefit, the Localised Council Tax Support Scheme and the Sanctions Policy in respect of fraud.	Developing and Supporting the Organisation Cabinet Team 28.06.02.
E7	To approve exceptional hardship payments.	Authority is further delegated to the Head of Benefits to approve Discretionary Housing Payments
E8	To determine the individual claims for Housing Benefit, Localised Council Tax Support and rate relief and administer the relevant scheme and regulations.	

## *Delegations to the Director of Finance*

- To represent the authority at Housing and Localised Council Tax Support Appeals Tribunals.
- E9 To administer, collect, recover or issue all monies due to or from the Council to approve arrangements for the same and the setting of interest rates for mortgage advances for house purchases, improvements and conversions.
- E10 To manage, administer, monitor and report on day to day borrowing, investment or financing, in accordance with the CIPFA Code of Practice for Treasury Management in Local Authorities. To review and report on the Treasury Policy Statement.
- E11 To deal with all risk management and insurance matters and settle all insurance claims in accordance with terms agreed from time to time with the Council's insurers.
- E12 To make loans for vehicle purchase and to arrange leasing or contract hire as appropriate.
- E13 To supervise and administer the Council's banking arrangements.
- E14 To provide or approve the arrangements for financial advice and services on all matters relating to: -
- (i) the financial affairs of joint ventures, partnerships, companies and other arrangements in which the Council has an interest;
  - (ii) delegations of a financial nature to other bodies e.g. School Governors.
- E15 In conjunction with the relevant Director to agree to the application of monies
- In accordance with report approved by Cabinet 20/03/07

- recovered under the proceeds of Crime Act 2002 to a maximum of £30,000
- E16 To undertake functions in respect of the West Midlands Metropolitan Authorities Pension Fund.
- E17 To administer and manage or approve the management arrangements for the Council's procurement arrangements.
- E18 To deliver a full risk based internal audit service, based on the CIPFA Code of Practice for Internal Audit in Local Government.
- E20 To maintain a counter fraud service in order to promote raising fraud awareness and to investigate suspected cases of fraudulent activity, in partnership with the WM Police.

**Delegations to the Executive Director of Families**

<b>F</b>	<b>Function</b>	<b>Limits or restrictions on delegation</b>
F1	The operational management of the provision by the Council of personal social services as permitted or required by the Local Authority Social Services Act 1970.	In accordance with the delegations approved by Cabinet 28/06/06
F2	The appointment of Proper Officers for social services functions.	In accordance with the Individual Executive Decision notice dated 8 April 2003 and reported to the Developing and Supporting the Organisation Cabinet Team 25 April 2003.
F3	To act as the statutory Director of Children's Services	
F4	The provision of financial assistance under the Children Act 1989 within the Council's agreed scheme of financial delegations in respect of each application.	
F5	In consultation with the Chief Operating Officer to authorise the institution of appropriate legal proceedings in respect of children.	
F6	To place children being looked after by the Council in suitable accommodation and pay appropriate fees, charges and allowances and grants.	
F7	To give any necessary consent, including consent to medical treatment,	

## ***Delegations to the Executive Director of Families***

	holidays abroad etc. in respect of children looked after by the Council.	
F8	In consultation with the Chief Operating Officer to instruct solicitors to act on Behalf of children looked after by the Council.	
F9	In conjunction with the Chief Operating Officer to make applications for Contribution Orders etc. in respect of children looked after by the Council.	
F10	To exercise the statutory functions, powers and duties of the Council in relation to vulnerable children and young people as set out in Working Together 2018.	
F11	To provide specialist and integrated services to young offenders and children with complex needs and disabilities.	
F12	To establish and maintain an adoption services and provide the requisite facilities.	
F13	To secure provision for pupils with special educational needs through delivery of Education Health Care Plans.	In accordance with the Special Education Plan.
F14	To deal with admissions to schools in accordance with the statutory Admissions Code of Practice and the Council's admission arrangements subject to consultation with the appropriate Cabinet Member(s) in cases of over-subscription.	



## ***Delegations to the Executive Director of Families***

F15	To take action in relation to school improvement in accordance with the Education and Inspection Act 2006 and other relevant legislation.	
F16	To implement School Improvement Partnership Board initiatives including the implementation of the Standards Fund Local Delivery Plan.	
F17	To manage the arrangements for the payment of grants, loans and allowances to or in respect of pupils and students.	In accordance with the statutory provision and the scheme of delegation approved by the Lifelong Learning Cabinet Team on 30.05.02.
F18	To make provision for pupils to receive free school meals and to make arrangements for home-school transport where appropriate.	
F19	In consultation with the Section 151 Officer to manage the delegation arrangements for Schools' Budgets.	
F20	In consultation with the Chief Operating Officer, authorise the service of notices and/or the institution of legal proceedings in accordance with Section 547 of the Education Act 1996 (nuisance or disturbance on school premises).	
F21	To exercise such functions of the Licensing Committee relating to child employment as may be delegated by the Panel from time to time.	Scheme of Delegation approved by the former Licensing and Environmental Protection Panel on 26.02.03.

## ***Delegations to the Executive Director of Families***

F22	In consultation with the Chief Operating Officer, authorise the institution of appropriate legal proceedings in respect of non-attendance.	
F23	Approval and making of school instruments of Government and any subsequent changes prepared by governing bodies.	
F24	To determine statutory proposals for schools where no objections have been received to the proposals contained in the publicised Statutory Notice.	
F25	To take action in relation to school improvement in accordance with the Education and Inspection Act 2006 and other relevant legislation.	
F26	To exercise the powers and duties of the authority in respect of the attendance of children at school including children excluded from school or otherwise unable to attend.	
F27	To provide an adult education service.	In accordance with the Learning and Skills Council.
F28	To exercise any of the Council's functions relating to childcare provision.	
F29	Co-ordination of community development support and partnership.	In accordance with inter-agency plans and priorities

## ***Delegations to the Executive Director of Families***

F30	To secure provision for pupils with special educational needs through delivery of Education Health Care Plans.	In accordance with the Special Education Plan.
F31	To deal with admissions to schools in accordance with the statutory Admissions Code of Practice and the Council's admission arrangements subject to consultation with the appropriate Cabinet Member(s) in cases of over-subscription.	
F32	To take action in relation to school improvement in accordance with the Education and Inspection Act 2006 and other relevant legislation.	
F33	To implement School Improvement Partnership Board initiatives including the implementation of the Standards Fund Local Delivery Plan.	
F34	To manage the arrangements for the payment of grants, loans and allowances to or in respect of pupils and students.	In accordance with the statutory provision and the scheme of delegation approved by the Lifelong Learning Cabinet Team on 30.05.02.
F35	To make provision for pupils to receive free school meals and to make arrangements for home-school transport where appropriate.	
F36	In consultation with the Section 151 Officer to manage the delegation arrangements for Schools' Budgets.	
F37	In consultation with the Chief Operating Officer, authorise the service of notices and/or the institution of legal proceedings in accordance with Section 547 of the Education Act 1996 (nuisance or disturbance on school premises).	

## ***Delegations to the Executive Director of Families***

F38	To exercise such functions of the Licensing Committee relating to child employment as may be delegated by the Panel from time to time.	Scheme of Delegation approved by the former Licensing and Environmental Protection Panel on 26.02.03.	
F39	In consultation with the Chief Operating Officer, authorise the institution of appropriate legal proceedings in respect of non-attendance.		
F40	Approval and making of school instruments of Government and any subsequent changes prepared by governing bodies.		
F41	To determine statutory proposals for schools where no objections have been received to the proposals contained in the publicised Statutory Notice.		
F42	To take action in relation to school improvement in accordance with the Education and Inspection Act 2006 and other relevant legislation.		
F43	To exercise the powers and duties of the authority in respect of the attendance of children at school including children excluded from school or otherwise unable to attend.		
F44	To exercise any of the Council's functions relating to childcare provision.		
F45	Co-ordination of community development support and partnership.		In accordance with inter-agency plans and priorities
F46	To act as the statutory Director of Adult Services.		
F47	The provision of improvements and adaptations under the Chronically Sick and Disabled Persons		

## ***Delegations to the Executive Director of Families***

Act 1970 within the Council's agreed scheme of financial delegations in respect of each application.

- F48 In consultation with the Chief Operating Officer to authorise the institution of appropriate legal proceedings, including in the Court of Protection, in respect of adults.
- F49 To make arrangements for the temporary protection of property of persons admitted to hospital or other accommodation.
- F50 To make application to act, and to act as receiver of property for persons who are incapable of managing their own affairs.
- F51 To make arrangements for the burial or cremation of any person found dead in their area where no suitable arrangements have been made under Part III of Public Health (Control of Disease) Act 1984.
- F52 To discharge the functions conferred on or exercisable by the council in its capacity as Adult Social Services Authority conferred by the Local Authority Social Services Act 1970, the Care Act 2014 and all other health and social care legislation for adults including in relation to mental health.
- F53 To make applications for the admission to hospital of persons with mental health problems for the purposes of assessment, detention and treatment and to make decisions in connection with deprivation of liberty safeguards.
- F54 To maintain the appropriate registration for internally provided care services.

## ***Delegations to the Executive Director of Families***

- F55 To appoint approved mental health professionals.
- F56 To discharge any functions exercisable by the council under Section 75 of the National Health Service Act 2006 on behalf of an NHS body and have the responsibility for any adults functions integrated with any NHS body.
- F57 To be designated as the 'responsible person' required by the Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 to ensure compliance with the procedures and ensure action is taken in the light of complaints and also for other statutory complaints procedures relating to adults complaints.

## ***Delegations to the Director for Public Health***

<b>G</b>	<b>Function</b>	<b>Limits or restrictions on delegation</b>
1	<p>To be the designated Service Director - Public Health and Wellbeing in accordance with Section 30 of the Health and Social Care Act 2012.</p> <p>The exercise of the responsibilities set out below are delegated by the Council, taking all operational decisions necessary to secure the provision of service and/or the discharge of statutory functions, including the power to enter into contracts in consultation with the Director of Governance, in accordance with approved policies and Financial Regulations in relation to the following areas:</p> <ul style="list-style-type: none"> <li>(i) Public health</li> <li>(ii) Holding officers to account for the performance of their service areas.</li> </ul>	
2	<p>To support and assist the Wolverhampton Sports Development Trust, the Black Country Sports Board and the network of adopted Wolverhampton sport specific development groups.</p>	
3	<p>The following statutory duties and functions are delegated to the Director of Public Health and Wellbeing</p> <ul style="list-style-type: none"> <li>(i) To take responsibility for the management of the Council's Public Health Services, with professional responsibility and accountability for their effectiveness, availability and value for money.</li> <li>(ii) To represent the Council on partnership, external bodies such as the Health and Wellbeing Together and the Child Death Overview Panel.</li> <li>(iii) To contribute to and influence the work of the NHS Commissioners, ensuring a whole system approach across the public sector and ensuring NHS Commissioners</li> </ul>	

- receive the public health advice they need.
- (iv) To provide leadership, expertise and advice to Senior Officers and Elected Members on a range of issues from outbreaks of disease and emergency preparedness through to improving local people's access to health services.
  - (v) To provide Elected Members, Senior Officers and the public with expert, objective advice on health matters.
  - (vi) To promote action across the life course, working together with council colleagues and with NHS colleagues.
  - (vii) To work with local Criminal Justice Partners and the Police and Crime Commissioner to promote safer communities, including cooperating with the police, the probation service and the prison service to assess the risk posed by violent or sexual offenders.
  - (viii) Under the NHS Act 2006 and the Health & Social Care Act 2012, to discharge any functions in relation to the corporate public health duties of the Council including responsibility for writing the annual report on the health of the local population.

(The Council has a duty to Publish this report under section 73B (5) & (6) of the 2006 Act and Section 31 of the 2012 Act).

(ix) Under Section 73A (1) of the 2006 Act (inserted by section 30 of the 2012 Act);

- To undertake duties to take steps to improve public health

- To undertake such other public health protection or

health improvement functions that the Secretary of State

delegates to Local Authorities either by arrangement or

under regulations - these include services mandated by

regulations under Section 6C of the 2006 Act Inserted by section 18 of the 2012 Act



## ***Delegations to the Director for Public Health***

- To respond as a responsible authority under the Licensing Act 2003, such as making representations about licensing applications
  - To provide Healthy Start Vitamins (under the Healthy Start and Welfare Food Regulations 2005) for maternity or child health clinics
  - To consult and make decisions on Fluoridation Schemes
- (x) Under section 6C of the NHS Act 2006
- To ensure appropriate access to sexual health services
  - To take responsibility for the National Child Measurement Programme
  - To take responsibility for the NHS Health Check Assessment
- (xi) To oversee the NHS screening programmes, both cancer and non-cancer, ante-natal and children's screening programmes, ensuring the health of the population is adequately protected and raising issues and concerns appropriately at the Health and Wellbeing Board.
- (xii) To oversee the NHS immunisation programmes including children 0-5 years, HPV and seasonal flu and any other issues that the Secretary of State instructs, including catch up programmes, raising issues and concerns appropriately.
- (xiii) To discharge the Council's responsibilities in relation to communicable and infectious diseases, including healthcare acquired infections.
- (xiv) Implementing or determining, subject to any rights of review or appeal which may apply, all matters concerning the Statutory Public Health complaints procedure.
- (xv) Setting, varying and recovering charges in respect of certain steps taken in the exercise of health improvement duties.

## ***Delegations to the Director for Public Health***

- To discharge Proper Officer functions under
- Public Health (Control of Diseases) Act 1984 (as amended)
  - Health Protection (Local Authority) Regulations 2010
  - Public Health Act 1936
  - Public Health Act 1961
- 4 To implement a Community Safety Strategy As required under the Crime and Disorder Act 1998.
- To ensure that all responsibilities are discharged under the following acts;  
Modern Slavery Act 2015  
Counter Terrorism and Security Act 2015  
Crime and Disorder Act 1998  
Anti-Social Behaviour, Crime and Policing Act 2014  
Domestic Violence, Crime and Victims Act 2004  
Police and Justice Act 2006
- 5 To deliver the authority's ASB responsibilities through contracting with Wolverhampton Homes and in conjunction with the Director of Governance to institute proceedings to combat anti-social behaviour.

**Delegations to Director of Regeneration**

H	Function	Limits or restrictions on delegation
	<i>Building Control</i>	
1	<p>To exercise the Council's functions under the Building Act 1984 including: -</p> <p>Section 16 - 25 - passing or rejection of plans</p> <p>Section 35 - contravention of building regulations</p> <p>Section 36 - removal of offending work</p> <p>Section 55 – appeals</p> <p>Section 77 and 78 - dangerous buildings</p> <p>Section 80, 81 and 82 – demolition</p> <p>Section 99 - requiring works</p> <p>Section 102 – appeals.</p>	
2	<p>To administer the approved Scheme of Charges for Building Control in accordance with the requirements of the Building (Local Authority Charges) Regulations 2010.</p> <p><b>Town and Country Planning etc. decisions</b></p>	
3	<p>The responsibility for determining planning and other applications, planning enforcement and safety is exercised by the Planning Committee and the Director for Regeneration.</p>	
4	<p>The Planning Committee will determine the classes of applications and related functions listed in the Schedule below which also sets out the conditions and exceptions under which decisions delegated to employees shall be carried out.</p>	
5a	<p>The Director for Regeneration is authorised to exercise the powers of the Local Planning</p>	

Authority in the area of Development Control, namely the determination of those planning and other applications, “including all requests for screening and scoping opinions made under the Town and Country Planning (Environmental Impact Assessment) (England & Wales) Regulations 1999”, and including the drafting of conditions and of reasons for refusal on notices of decision, and the carrying out of planning enforcement, including in relation to listed building and conservation areas, advertisement control including discontinuance notices, and serving section 215 notices, and tree protection and safety functions, other than those listed in the Schedule and subject to the conditions and exceptions specified in the Schedule.

- 5b The power to enter into an agreement pursuant to section 111 of the Local Government Act 1972.

**Schedule Limits on Delegation**

- 6 Where the applicant is, an employee involved in the planning process, or a Councillor, a Senior Manager or (at the discretion of the Director for Regeneration) a Senior employee of the Council, the application shall be reported to Committee for decision.
- 7 Where the Director for Regeneration or a nominated employee so considers, either because of its potential controversy, significant public interest or environmental impact, the application shall be reported to Committee for decision.
- 8 All applications, other than prior determination applications (see 1 above), on which a petition, or six letters or more of unresolved objection or adverse comment with a legitimate planning basis e.g. excluding purely commercial objections or those simply

about devaluation of property, have been received, either from residential or other neighbours or from statutory consultees, shall only be determined by Committee.

(Applications subject to five or less objections may be granted or refused by the Director for Regeneration or other nominated employee.)

For the avoidance of doubt the phrase “six letters or more of unresolved objection or adverse comment with a legitimate planning basis” shall be interpreted as being where there is a conflict between the employee recommendation and the views expressed as a result of public consultation. Also, a petition shall be defined as a written document signed by ten or more persons from five or more identifiable households.

- 9 In respect of any application, where an objector or applicant indicates in writing within the appropriate timetables their desire to speak to Committee, such applications shall be determined by Committee.
  
- 10 All applications which are advertised as a departure from the Development Plan and the employee recommendation is in support of the application, shall be determined by the Planning Committee.
  
- 11 All applications apart from applications for Deeds of Variation where it is proposed to enter into a planning agreement under Section 106 of the Town and Country Planning Act 1990 shall be reported to Committee for decision.
  
- 12 All applications for consent to fell more than five trees shall be reported to Committee for decision.

13 Confirmation of any tree preservation order where objections have been received shall be reported to Committee for decision.

14 Council's own applications for listed buildings or locally-listed buildings that involve total or substantial demolition shall be reported to Committee for decision.

**Regeneration**

15 Management of non-operational investment property e.g. industrial units.

16 The authorisation of appropriately qualified and experienced employees to act as inspectors.

Inspectors and other duly authorised employees are empowered to undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, service of notices (including suspension and compliance notices), notifications, waivers, transfer, authorisations, licensing registrations and legal proceedings and formal cautions under the following legislation applicable thereto, and to exercise all other relevant powers, including powers of entry provided under such legislation.

Building Act 1984

Caravan Sites Act 1968

Chronically Sick and Disabled Persons Act 1970

Defective Premises Act 1972

Environmental Protection Act 1990

Health and Safety at Work etc. Act 1974

Housing Acts 1985, 1988, 1996 and 2004

In accordance with the Scheme of Delegation approved by the former Housing Services Committee on 03.06.97.

Housing Act 2004 in accordance with reports to Cabinet (Resources) Panel 21.03.06 and Cabinet 06.06

## ***Delegations to Director of Regeneration***

Housing and Building Control Act 1984  
Housing Grants, Construction and  
Regeneration Act 1996  
Housing and Planning Act 1986  
Landlord and Tenant Act 1985  
Local Government (Miscellaneous  
Provisions) Act 1976 and 1982  
Local Government and Housing Act 1989

Public Health Acts 1936 and 1961  
Protection from Eviction Act 1977  
Rents Act 1974 and 1977  
Rent (Agriculture) Act 1976  
Rent (Agriculture) Amendment Act 1977  
Social Security and Housing Benefits Act  
1982, Parts II and III

Town Development Act 1952

West Midlands County Council Act 1980 Ss  
32 and 43

Any orders or regulations made thereunder or  
relating to any of the foregoing or having  
effect by virtue of the European Communities  
Act 1972.

Any offence under any legislation or at  
Common Law which is of a similar nature or  
related to the foregoing, including offences of  
aiding, abetting, counselling or procuring,  
incitement, conspiracy, perverting the course  
of justice and criminal attempts.

- 17 To submit planning applications:
- (i) for the development or  
redevelopment of surplus  
properties (where Development  
Briefs or Planning Briefs are not

Report approved by Cabinet  
28.11.06 with response to legal  
proceedings pursuant to  
Sections 189, 352 and 376 of  
the Housing Act 1985

In accordance with Green  
Decision 04.05.05

## *Delegations to Director of Regeneration*

	required) in order to maximise sales potential prior to offering the properties for disposal on the open market.	
	(ii) for deemed applications for building works where funding is contained in approved Capital or Revenue budgets.	
	(iii) Submit planning applications for Council owned properties.	In accordance with Green Decision 19.09.08
18	To undertake operational management of the Arts and Museums Service in accordance with the Public Libraries and Museums Act 1964.	
19	To collect and commission works of art for the Arts and Museums Service.	Wolverhampton Arts and Museums Service Acquisition and Disposal Policy (1999).
20	To provide for the safekeeping of the City Council's documentary heritage and make it available for public consultation in accordance with the Local Government (Records) Act 1962.	Wolverhampton Archives and Local Studies Acquisition and Disposal Policy (2000).
21	To accept items from Public Records under the terms of the Public Records Act 1958.	Wolverhampton Archives and Local Studies Acquisition and Disposal Policy (2000). Wolverhampton Arts and Museums Service Acquisition and Disposal Policy (2005)
22	To accept other items on deposit which contribute to the understanding of the history of the City and its people and make such items available for public consultation.	Wolverhampton Archives and Local Studies Acquisition and Disposal Policy (2000).



## *Delegations to Director of Regeneration*

23	To undertake the operational management of the Civic Halls, arranging for a variety of programming and dealing with applications for use of the premises by outside bodies.	Hypnotism Act 1952 Licensing Act 2003 Cinemas Act 1985 Theatres Act 1968
24	To undertake the management of bars and licensed premises attached to the Civic Halls.	Food Safety Act 1990 Intoxicating Substances (Supply) Act 1985 Late Night Refreshment Houses Act 1988 Licensing Acts 1964 and 1988 Licensing Act 2003
25	To grant aid a number of projects, companies and individuals in the furtherance and provision of cultural development in the City.	
26	To provide information and services with regard to local places of interest, events, accommodation and travel in accordance with the Development of Tourism Act, 1969.	
27	To seek additional funding for the above from a range of funding organisations.  <i>Play and Youth</i>	
28	Operational management of the Youth Service including youth clubs, projects and programmes.	Senior Managers to prioritise need in accordance with the Service Plan.
29	To act as Contract Administrator and perform the duties imposed thereon by building and engineering contracts.	

## ***Delegations to Director of Regeneration***

### **Cultural Services**

- 30 To undertake operational management of the Libraries and Information Service in accordance with the Public Libraries and Museums Act 1964.

Public Library Standards Statement.

### **Historic Environment**

- 31 To exercise the Council's functions under the Planning (Listed Buildings and Conservation Areas) Act 1990 with regards to conservation area appraisals and management plans, review of the local list and Article 4 directions. Where the Director or a nominated employee so considers, either because of its potential controversy or significant public interest, the function shall be reported to Cabinet for a decision.

- 32 To administer heritage grants, including the making of grant offers and authorisation of grant payments made pursuant to such offers, in accordance with codes of practice and terms and conditions for grants as determined by the Cabinet (Resources) Panel.

- 33 To provide an adult education service.

In accordance with the Learning and Skills Council.

**Delegations to the Director of City Housing and Environment**

I	Function	Limits or restrictions on delegation
1	Responding to applications for operating centres under the Good Vehicles (Licensing of Operators) Act 1995.	
2	To exercise the Council's functions under the War Memorials (Local Authorities' Powers) Act 1923.	
3	In respect of the Construction (Design and Management) Regulations 1994 (made under the Health and Safety at Work Act 1974): - <ul style="list-style-type: none"> <li>(i) to act as Agent for in-house clients in respect of duties defined for clients and undertaking highways and civil engineering projects; and</li> <li>(ii) to carry out the duties defined for Planning Supervision in respect of duties defined for clients undertaking highways and civil engineering projects.</li> </ul>	
<b>Business Services</b>		
4	The appointment of Proper Officers for environmental health functions.	In accordance with the Green Decision notice dated 8 April 2003 and reported to the Developing and Supporting the Organisation Cabinet Team 25 April 2003.
5	The operational management of the Council's environmental health and trading standards and street trading services.	In accordance with the Constitution and any specific restrictions or limitations imposed by the Cabinet or relevant Regulatory or other Committee through approved

## ***Delegations to the Director of City Housing and Environment***

6 The authorisation of appropriate qualified and experienced employees to act as inspectors.

7 Inspectors and other duly authorised employees are empowered to undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, service of notices (including suspension and compliance notices), notifications, waivers, transfer, authorisations, licensing registrations and legal proceedings and simple cautions under the following legislation applicable thereto, and to exercise all other relevant powers, including powers of entry and authorisation of work in default provided under such legislation.

### *Cabinet functions*

Agriculture (Miscellaneous Provisions) Act 1968

Animal Act 1971

Animal Health Act 1981

Animal Health and Welfare Act 1984

Animal Welfare Act 2006

Anti-Social Behaviour Act 2003

Anti-Social Behaviour Crime and Policing Act 2014

Building Act 1984

policies, procedures and service delivery programme.

12 November 2014 Cabinet report relating to the local implementation of the Anti-Social Behaviour Crime and Policing Act 2014

## ***Delegations to the Director of City Housing and Environment***

Chronically Sick and Disabled Persons Act  
1970

Clean Air Act 1993

Clean Neighbourhoods and Environment Act  
2005

Control of Horses Act 2015

Control of Pollution Act 1974  
Amendment) Act 1989

Cremation Acts 1902 and 1952

Criminal Attempts Act 1981

Criminal Justice & Public Order Act 1994

Criminal Justice and Police Act 2001

Dangerous Dogs Act 1991

Dogs Act 1906

Dogs (Fouling of Land) Act 1996

Environment Act 1995

Environmental Protection Act 1990

Environmental and Safety Information Act  
1998

Food and Environmental Protection Act 1985

Food Safety Act 1990

Health Act 2009

Health and Safety at Work etc Act 1974

Highways Act 1980

Home Safety Act 1961

## ***Delegations to the Director of City Housing and Environment***

Housing Act 1964

Housing and Planning Act 2016

Investigatory Powers Act 2016

Local Government Acts 1972 and 1988

Local Government (Miscellaneous Provisions) Acts 1976 and 1982

Mines and Quarries (Tips) Act 1969

National Assistance Act 1948

National Assistance (Amendment) Act 1951

National Health Services (Amendment) Act 1986

Noise Act 1996

Noise and Statutory Nuisance Act 1993

Police and Criminal Evidence Act 1984

Pollution Prevention and Control Act 1999

Prevention of Damages by Pests Act 1949

Protection of Animals Act 1911

Protection of Badgers Act 1992

Public Health Acts 1875 to 1969  
Public Health (Control of Diseases) Act 1984

Public Health (Recurring Nuisances) Act 1969

Refuse Disposal (Amenity) Act 1978

Registered Designs Act 1949

Regulation of Investigatory Powers Act 2000

## ***Delegations to the Director of City Housing and Environment***

Sunday Trading Act 1994

Tenant Fees Act 2019

Town and Country Planning Act 1990

Water Industry Act 1991

Weeds Act 1959

West Midlands County Council Act 1980

Wildlife and Countryside Act 1981

Wolverhampton Corporation Act 1969

Any orders or regulations made thereunder or relating to any of the foregoing or having effect by virtue of the European Communities Act 1972 and the European Union (Withdrawal) Act 2018.

Any offence under any legislation or at Common Law which is of a similar nature or related to the foregoing, including offences of aiding, abetting, counselling or procuring, incitement, conspiracy, perverting the course of justice and criminal attempts. For the avoidance of doubt, this shall include any new legislations offering an extension of powers to Local Authority.

### *Cabinet functions*

Accommodation Agencies Act 1953

Administration of Justice Act 1970 & 1972

Agriculture Act 1970

Animal Health Act 1981

Animal Health and Welfare Act 1984

Animal Welfare Act 2006

Anti-Social Behaviour Act 2003

## ***Delegations to the Director of City Housing and Environment***

Architects Act 1997

Auctions (Bidding Agreement) Acts 1922 & 1969

Banking Act 1987

Cancer Act 1939

Children and Young Persons (Protection from Tobacco) Act 1991

Children and Young Persons Act 1933

Children and Families Act 2014

Clean Neighbourhoods and Environment Act 2005

Companies Acts 1985 & 2006

Consumer Credit Acts 1974 and 2006

Consumer Protection Acts 1961, 1971, 1987

Consumer Rights Act 2015

Control of Pollution Act 1974

Copyright, Designs and Patents Act 1988

Copyright and Trade Marks (Offences and Enforcement) Act 2002

Courts & Legal Services Act 1990

Crime and Policing Act 2014

Criminal Attempts Act 1981

Criminal Justice Act 1988

Criminal Justice and Police Act 2001

Criminal Justice & Public Order Act 1994

Criminal Law Act 1977

Customs and Excise Management Act 1979

Development of Tourism Act 1969

Education Reform Act 1988

Energy Act 1976

Energy Conservation Act 1981



***Delegations to the Director of City Housing and Environment***

Enterprise Act 2002  
Enterprise and Regulatory Reform Act 2013  
Environmental Protection Act 1990  
Estate Agents Act 1979  
European Communities Act 1972  
Fair Trading Act 1973  
Food Safety Act 1990  
Forgery and Counterfeiting Act 1981 & 1988  
Fraud Act 2006  
Hallmarking Act 1973  
Health Act 2009  
Health and Safety at Work etc. Act 1974  
Highways Act 1980  
Insolvency Act 1986  
Insurance Brokers Registration Act 1977  
Intoxicating Substances (Supply) Act 1985  
Knives Act 1997  
Licensing Act 1964 (as amended)  
Licensing Act 2003  
Local Government Acts 1972 and 1988  
Malicious Communications Act 1988  
Medicines Act 1968  
Mock Auctions Act 1961  
Motor Cycle Noise Act 1987  
Motor Vehicles (Safety Equipment for Children) Act 1991  
National Lottery etc. Act 1993  
Offensive Weapons Act 1996  
Olympic Symbol etc. (Protection) Act 1995  
Osteopaths Act 1993

## ***Delegations to the Director of City Housing and Environment***

Poisons Act 1972

Prices Acts 1974 and 1975

Proceeds of Crime Act 2002

Property Misdescriptions Act 1991

Protection from Harassment Act 1997

Protection of Children (Tobacco) Act 1986

Regulation of Investigatory Powers Act 2000

Road Traffic Acts 1988 and 1991

Road Traffic (Foreign Vehicles) Act 1972

Road Traffic Offenders Act 1988

Road Traffic Regulation Act 1984

Solicitors Act 1974

Sunbeds (Regulation) Act 2010

Telecommunications Act 1984

Theft Acts 1968 and 1978

Timeshare Act 1992

Tobacco Advertising and Promotion Act 2002

Trade Descriptions Act 1968

Trade Marks Act 1994

Trading Representations (Disabled Persons) Acts 1958 and 1972

Unsolicited Goods and Services Acts 1971 and 1975

Vehicles (Crime) Act 2001

Video Recordings Acts 1984 and 1993

Weights and Measures Acts 1976 and 1985

Any orders or regulations made thereunder or relating to any of the foregoing or having effect by virtue of the European Communities Act 1972.

Any offence under any legislation or at Common Law which is of a similar nature or related to the foregoing, including offences of

**Delegations to the Director of City Housing and Environment**

	aiding, abetting, counselling or procuring, incitement, conspiracy	
8	The management of the Council's functions relating to waste management, environmental cleansing, litter control, refuse collection and disposal, waste disposal, waste minimisation and recycling.	The Council's functions are to be discharged in accordance with the Waste Partnership.
9	To manage the Council's corporate transport service.	
10	To manage the Council's Environmental Services.	
11	To arrange outdoor events to take place throughout the City.	Performing Animals (Regulation) Act 1925 Food Safety Act 1990 Intoxicating Substances (Supply) Act 1985 Licensing Acts 1964 and 1988 Licensing Act 2003
12	Operational management of Adventure Playgrounds and other developmental play provision.	In accordance with priorities set within the Service Plan.
13	To support and assist the Wolverhampton Leisure Gardens Association.	Smallholdings & Allotments Act 1908.
	<b>Transportation</b>	
14	To implement the provisions of the New Roads and Street Works Act 1991 as respects Streets, Street Works and Undertakers.	E47–E54 In accordance with any restrictions or limitations imposed by the Cabinet or relevant Regulatory or other Committee through approved

***Delegations to the Director of City Housing and Environment***

policies, procedures and service delivery programmes.

- 15 To implement temporary and permanent traffic management measures and temporary prohibition of traffic on highways under the:  
Road Traffic Regulation Act 1984  
Road Traffic Act 1991  
Road Traffic (Temporary Restrictions) Act 1991  
Transport and Works Act 1992  
Traffic Management Act 2004  
and any associated legislation.
- 16 To exercise the Council's functions relating to highways in the Town Police Clauses Act 1847 and the West Midlands County Council Act 1980.
- 17 To exercise the Council's functions under the Road Traffic Act 1988.
- 18 To implement measures under the Traffic Calming Act 1992.
- 19 To undertake repair, maintenance, signage etc. of paths under the:  
National Parks and Access to the Countryside Act 1949  
Countryside Act 1968  
Wildlife and Countryside Act 1981  
Rights of Way Act 1990  
Countryside and Rights of Way Act 2000

## ***Delegations to the Director of City Housing and Environment***

- 20 To exercise the Council's functions under the Highways Act 1980 including: -
- Section:
- 56 - repair of highways
  - 59 - recovery of expenses due to extraordinary traffic
  - 60 - liability for cost of alternative routes
  - 79 - removal of obstructions
  - 100 - laying and repair of drains
  - 101 - filling ditches
  - 102 - protection of highways
  - 130 - rights of public to use highway
  - 132 - consent to display temporary signs
  - 133 - repairing damage to footways
  - 139 - placing of builders skips
  - 142 - planting in the highway
  - 144 - erection of flagpoles
  - 143, 149, 151-153 – removal of obstructions
  - 154 - removal of trees
  - 156 - activities of statutory undertakers
  - 163 - water from private land
  - 164 - removal of barbed wire
  - 165 - fencing of dangerous land
  - 166 - dangerous forecourts
  - 167 - retaining walls
  - 169 - erection of scaffolding
  - 171 - deposit of building materials
  - 172 - erection of hoardings
  - 176 - construction of bridges

***Delegations to the Director of City Housing and Environment***

177	-	construction of buildings	
178	-	placing of cables etc.	
179 & 180	-	construction of cellars	
181 & 182	-	private apparatus	
184	-	vehicle crossings	
193 & 194	-	new streets	
205 & 212	-	private street works schemes	
230	-	urgent repair of private streets	
286	-	new buildings	
287	-	barriers	
289 & 290	-	surveys	
291 & 294	-	powers of entry	
295	-	disposal of materials	
296	-	execution of works	
297	-	information on to ownership	
21		To implement the Council's functions under the Midland Metro Act 1989 and associated legislation.	
22		To enter into an adoption agreement with a developer under section 38 of the Highways Act 1980.	
23		To confirm the adoption of the roads once the development is complete.	
24		To enter into agreements with developers under section 278 of the Highways Act.	
25		The authorisation of appropriately qualified and experienced employees to act as markets officers	Scheme of delegation in respect to allocation

## ***Delegations to the Director of City Housing and Environment***

	<p>Markets officers and other duly authorised employees are empowered to undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, service of notices, (including suspension and compliance notices) notifications, waivers, transfer, authorisations, licensing registrations, legal proceedings and formal cautions under the following legislation thereto, and to exercise all other relevant powers including powers of entry provided under such legislation.</p> <p>Markets and Fairs Clauses Act 1847 Fairs Act 1868 Local Government (Miscellaneous Provisions) Acts 1976 and 1982 Food Act 1984</p>	<p>procedures and Market rules Cabinet 17.04.07</p>
26	<p>The operational management of the Council's licensing functions.</p>	<p>In accordance with the Constitution and any specific restrictions or limitations imposed by the Cabinet or relevant Regulatory or other Committee through approved policies, procedures and service delivery programmes. Employee delegations relating to the Licensing Act 2003 were approved by the Licensing Committee 2 March 2005</p>
27	<p>To exercise such functions of the Licensing Committee as may be delegated by the Committee from time to time.</p>	<p>Scheme of Delegation approved by the Licensing Committee 02.03.05.</p>
28	<p>All enforcement powers under the Health Protection (Coronavirus, Restrictions) (Local Authority Enforcement Powers and Amendment) (England) Regulations 2020</p>	

## ***Delegations to the Director of City Housing and Environment***

- 29 Endorsed and approve the delegation of decision-making functions under the Scrap Metal Dealers Act to the Director with responsibility for Licensing functions, with a recommendation that they further delegate decision making to Head of Service/Licensing Manager/Licensing Officer.
- Cabinet (Resources) Panel,  
Schedule of Individual  
Executive Decision Notices, 20  
March 2018

### **Strategic Housing and Neighbourhood Renewal**

- 30 The operational management of the Council's housing and neighbourhood renewal Strategies and Plans including Performance monitoring and effective delivery of housing management services by Wolverhampton Homes and any Tenant Management Organisations and Estate Management Boards.
- In accordance with the Constitution and any specific restrictions or limitations imposed by the Cabinet or relevant Regulatory or other Committee through approved policies, procedures and service delivery programme.
- 31 To agree capital expenditure and operational decisions regarding investment in the Council's housing stock, in consultation with the Asset Management Group.
- Financial procedure rules and limits on expenditure.
- 32 The authorisation of appropriately qualified and experienced employees to act as inspectors.
- In accordance with the Scheme of Delegation approved by the former Housing Services Committee on 03.06.97.
- 33 Inspectors and other duly authorised employees are empowered to undertake inspections, investigations, interviews, sampling, prohibitions, seizures, detentions, recording, service of notices (including suspension and compliance notices), notifications, waivers, transfer, authorisations, licensing registrations and legal proceedings and formal cautions under the following legislation applicable thereto (including any related statutory instrument), and to exercise all other relevant powers, including powers of entry provided under such legislation.
- Building Act 1984



## ***Delegations to the Director of City Housing and Environment***

Caravan Sites Act 1968

Chronically Sick and Disabled Persons Act  
1970

Defective Premises Act 1972

Environmental Protection Act 1990

Evictions Act 1977

Health and Safety at Work etc. Act 1974

Homelessness Act 2002

Homelessness Reduction Act 2018

Housing Acts 1980, 1985, 1988, 1996 and  
2004

Housing and Building Control Act 1984

Housing Grants, Construction and  
Regeneration Act 1996

Housing and Planning Act 1986

Housing and Planning Act 2016

Landlord and Tenant Act 1985

Local Government (Miscellaneous  
Provisions) Act 1976 and 1982

Local Government and Housing Act 1989

Public Health Acts 1936 and 1961

Protection from Eviction Act 1977

Regeneration Act 1996

Rents Act 1974 and 1977

Rent (Agriculture) Act 1976

Rent (Agriculture) Amendment Act 1977

Social Security and Housing Benefits Act  
1982, Parts II and III

Town Development Act 1952

West Midlands County Council Act 1980 Ss  
32 and 43

Any orders or regulations made thereunder or  
relating to any of the foregoing or having

Report approved by Cabinet  
28.11.06 with response to legal  
proceedings pursuant to  
Sections 189, 352 and 376 of  
the Housing Act 19

## ***Delegations to the Director of City Housing and Environment***

effect by virtue of the European Communities Act 1972.

Any offence under any legislation or at Common Law which is of a similar nature or related to the foregoing, including offences of aiding, abetting, counselling or procuring, incitement, conspiracy, perverting the course of justice and criminal attempts

34 To implement the Approved Development Programme for Housing Association newbuild. In accordance with the Programme.

35 To implement the annual investment programme identified for housing under the Major Repairs Allowance and Unitary Capital Pot. In accordance with the Programme.

### **Housing Support Services**

36 To carry out the investigative and assessment duties of the Council under Part III of the Housing Act 1985 (Housing and Homelessness).

37 To provide general and specific advice on housing in order to prevent homelessness and assist in maintaining existing tenancies.

38 The nomination of tenants to Housing Associations schemes.

39 The administration of the 24-Hour Control Centre and the Carelink alarm system.

40 To make arrangements for asylum seekers.

41 To manage the Anti-Social Behaviour Unit in conjunction with Director of Education and, in conjunction with the Director of Governance

## ***Delegations to the Director of City Housing and Environment***

to make orders, serve notices and institute proceedings to combat anti-social behaviour under but not limited to the following legislation:

Anti-Social Behaviour Crime and Policing Act 2014

Any orders or regulations made thereunder or relating to any of the foregoing or having effect by virtue of the European Communities Act 1972.

Any offence under any legislation or at Common Law which is of a similar nature or related to the foregoing, including offences of aiding, abetting, counselling or procuring, incitement, conspiracy, perverting the course of justice and criminal attempts. For the avoidance of doubt, this shall include any new legislations offering an extension of powers to a Local Authority.

12 November 2014 Cabinet report relating to the local implementation of the Anti-Social Behaviour Crime and Policing Act 2014

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**Delegations to the Director of Pensions**

<b>J</b>	<b>Function</b>	<b>Limits or restriction on delegation</b>
	<b>West Midlands Metropolitan Authorities Pension Fund</b>	
1	The administrative management of matters in connection with the Council's role as administering authority for the West Midlands Pension Fund.	In accordance with the statutory provisions and any determinations of the Pensions Committee.
2	The investment and general management of the Fund in accordance with the Pensions Committee's investment strategy set out in its policy statement.	Consultation to take place with the Chairman of the Pensions Committee where applicable.
3	To manage and administer the West Midlands Integrated Transport Authority Pension Fund in line with the S101 delegation from the Combined Authority	In accordance with the agreement between the Council and the ITA.
4	To sit on the Investment Pool's Practitioner's Advisory Forum as the Administering Authority's officer representative to provide guidance and advice to the Joint Committee.	
5	To hold the role of Shareholder Representative at the LGPS Central Limited Company meetings.	
6	The general delegations to Strategic Directors as they relate to the Council's role as administering body and to the following:	
	4.1 Financial administration	In accordance with the Fund's financial procedure rules.
	4.2 Contracts and tendering	In accordance with the Fund's contract procedure rules.
	2.1 Management of human resources	

## ***Delegations to the Director of Pensions***

2.2 Day to day administration and operational management	In accordance with the Fund's employee and staffing schedule and only for Fund staff.
2.3 Management of operational land and premises used for service delivery	In accordance with the Constitution and any specific restrictions or limitations.
2.4 Compliance with the Health and Safety at Work, etc. Act 1974 and the Regulatory Reform (Fire Safety) Order 2005	In accordance with the Fund's financial and contract procedure rules.
2.5 Compliance with the Council's equal opportunities policy and relevant legislation	In accordance with the Council's health and safety policies and procedures.
2.6 Compliance with the Human Rights Act 1998	In accordance with the Council's equal opportunities policies and procedures.
4.3 Compliance with the Data Protection Act 2000.	
4.4 To maintain written delegations for employee responsibility for their Business Units.	

## **Schedule of Human Resources Delegations**

### **Schedule of Human Resources Delegations**

HR Topic/Procedure	Delegations and Controls
Appointment of all employees below director level excluding persons appointed as assistants for political groups	Chief Executive, Deputy Chief Executive, Director or their nominee  In accordance with Council HR policies, procedures and processes.
Dismissal of all employees below director level. excluding Head of Paid Service, Monitoring Officer and Section 151	Chief Executive, Deputy Chief Executive, Director or their nominee  In accordance with Council HR policies, procedures and processes.
Retirement on the grounds of efficient exercise	Chief Executive, Deputy Chief Executive, Director or their nominee.  In consultation with the Deputy Director of People & Change and Section 151 Officer or their nominees
Redundancies (compulsory and voluntary redundancies)	Deputy Chief Executive/Director or their nominee  In accordance with Council HR policies, procedures and processes.
Approval of voluntary redundancies in excess of the current scheme criteria	Chief Executive, Deputy Chief Executive or Director in consultation with the Deputy Director of People & Change and Section 151 Officer or their nominees.
Other dismissals and disciplinary action	Chief Executive, Deputy Chief Executive, Director or their nominee  In accordance with Council HR policies, procedures and processes.  Appeals against dismissal are heard by the Human Resources Panel.
Grievances from employees excluding Head of Paid Service, Monitoring Officer and Section 151 Officer	Chief Executive, Deputy Chief Executive, Director or their nominee.  In accordance with Council HR policies, procedures and processes.  Appeals against grievances are heard by the Human Resources Panel.

### **Schedule of Human Resources Delegations**

<p>Restructures and reviews to services with staffing implications</p>	<p>Chief Executive, Deputy Chief Executive, Director or their nominee</p> <p>In accordance with Council HR policies, procedures and processes.</p>
<p>Establishment of new posts and extensions to fixed term contracts</p>	<p>Chief Executive, Deputy Chief Executive Director or their nominee</p> <p>In accordance with Council HR policies, procedures and processes.</p>
<p>Regrading of posts holders</p>	<p>Chief Executive , Deputy Chief Executive , Director or their nominee</p> <p>In accordance with Council HR policies, procedures and processes.</p> <p>Regrading's are endorsed by the Pay Strategy Board</p>
<p>Extension of full sick pay beyond the entitlement under the national agreement</p>	<p>Chief Executive , Deputy Chief Executive , Director or their nominee</p> <p>In consultation with the Deputy Director for People &amp; Change and Section 151 Officer or their nominees</p>
<p>Approval of accelerated salary increments</p>	<p>Chief Executive, Deputy Chief Executive, Director or their nominee</p> <p>In accordance with Council HR policies, procedures and processes, collective agreement and senior manager's terms and conditions.</p>
<p>Approval of attendance on all training courses</p>	<p>Chief Executive, Deputy Chief Executive, Director or their nominee</p> <p>In accordance with Council HR policies, procedures and processes.</p>
<p>Submission of HR1 Redundancy Notifications to Secretary of State</p>	<p>Deputy Director of People &amp; Change</p> <p>In consultation with Section 151 Officer or their nominee</p>
<p>Lead Counter signatory for Disclosure Barring Service (DBS) checks</p>	<p>Service Lead - HR Deputy Director of People &amp; Change (or their nominee)</p>



### **Schedule of Human Resources Delegations**

<p>Role of Proper Officer in respect of appointment and dismissal of JNC (Senior Management) Officers, excluding the dismissal of the Head of Paid Service, Monitoring Officer and Section 151 Officer</p>	<p>Deputy Director of People &amp; Change</p>
<p>Terms and Conditions authorisations:</p> <ul style="list-style-type: none"> <li>• Carry over of annual leave beyond 5 days</li> <li>• Recognition of previous public sector service for annual leave entitlement</li> <li>• Time off for dependants beyond 5 days in 1 year</li> </ul>	<p>Head of Service/Manager</p> <p>In accordance with Council HR policies, procedures and processes.</p>
<p>Flexible retirement approvals where the strain on the pension fund is 2 years and under</p>	<p>Chief Executive, Deputy Chief Executive, Director or their nominee</p> <p>In consultation with the Deputy Director of People &amp; Change and Section 151 Officer or their nominees</p>
<p>Flexible retirement approvals where the strain on the pension fund is in excess of 2 years</p>	<p>Chief Executive, Deputy Chief Executive or Director in consultation with the Deputy Director of People &amp; Change and Section 151 Officer or their nominees.</p>
<p>Approval of Human Resources Policies and Procedures</p>	<p>Individual Executive Decision Notice</p>

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**Full Council Meetings Procedure Rules**

**1.0 Annual Meetings of the Council**

**1.1 Timing and business**

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

The annual meeting will:

- a. elect a person to preside if the Mayor and the Deputy Mayor are not present;
- b. elect the Mayor of Council;
- c. elect the Deputy Mayor of Council;
- d. approve the minutes of the last meeting;
- e. give a vote of thanks to the retiring Mayor
- f. receive any announcements from the Mayor;
- g. receive a return of persons elected as Councillors
- h. elect the Leader of the Council; for a term of four years (unless removed or disqualified from office in accordance with the Constitution) if not already in post;
- i. following their election the duly elected Leader of the Council shall assume the full powers of the Leader and will appoint a Deputy Leader of the Council who, in their absence or following a vote of no confidence will act as Leader, and advise the Council of the members they intend to appoint to the Cabinet;
- j. appoint the Scrutiny Board and at least one Scrutiny Panel; a Governance and Ethics Committee and such other Regulatory or other Committees and sub-committees as the Council considers appropriate to deal with matters which are neither reserved to the Council nor are executive functions (as set out in Part 3 of this Constitution);
- k. appoint Councillor Champions;
- l. approve the scheme of delegation or such part of it as the Constitution determines it is for the Council to approve (as set out in Part 3);
- m. approve a programme of Ordinary Meetings of the Full Council, the Cabinet, the Scrutiny Board and Scrutiny Panels and Regulatory or other Committees for the year; and

## **Full Council Meetings Procedure Rules**

- n. consider any business set out in the notice convening the meeting.

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

2.1 At the Annual Meeting, the Council will:

- a. decide which committees and sub-committees to establish for the municipal year;
- b. decide the size and terms of reference for those Committees;
- c. decide the allocation of seats to political groups in accordance with the political balance rules;
- d. appoint Councillor Champions;
- e. appoint to the Scrutiny Board, Scrutiny Panels, Regulatory or other Committees and outside bodies except where appointment to those outside bodies has been delegated by the Full Council or is exercisable only by the Cabinet;
- f. appoint voting and non-voting co-opted members to the Scrutiny Board, Scrutiny Panels and Regulatory or other Committees.
- g. appoint the Chairs and Vice-Chairs of Committees.
- h. appoint representatives to Outside Bodies unless the appointment is a Cabinet function or has been delegated by the Full Council;

(**Note:** Appointments will be based on the political composition of the Council if applicable to that committee or sub-committee. Every Councillor who is not a Cabinet Member shall serve on at least two Scrutiny Panels or two Regulatory or other Committees or on at least one of each such bodies. Appointment to the Scrutiny Board will count towards the requirement to sit on at least two bodies.)

### **3.0 Ordinary Meetings of the Council**

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

- a. elect a person to preside if the Mayor and Deputy Mayor are not present;
- b. receive apologies for absence;
- c. approve the minutes of the last meeting;
- d. receive any declarations of interest from Councillors;
- e. receive any announcements from the Mayor;

## **Full Council Meetings Procedure Rules**

- f. receive a report from the Leader and receive questions and answers on the report, if there is any business to report;
- g. receive reports from the Cabinet, the Scrutiny Board, Scrutiny Panels and Regulatory or other Committees and receive questions and answers on any of those reports;
- h. receive reports about and receive questions and answers on the business of joint arrangements and external organisations;
- i. receive questions and provide answers to Councillors (except at the Council Tax, Budget setting or Annual General meeting);
- j. receive any petitions in accordance with the Petitions Procedure Rules;
- k. consider motions; and consider any other business specified in the summons to the meeting including consideration of proposals from the Cabinet in relation to the Council's budget and policy framework and reports of the Scrutiny Board and Scrutiny Panels for debate.

### **4.0 Extraordinary Meetings of the Council**

#### **4.1 Calling Extraordinary Meetings**

Those listed below may request the Head of Paid Service to call Council meetings in addition to Ordinary Meetings:

- a. the Full Council by resolution;
- b. the Mayor, or if the office of Mayor is vacant, or if the Mayor is unable to act for any reason, the Deputy Mayor;
- c. the Leader;
- d. the Monitoring Officer; and
- e. any five Councillors if they have signed a requisition presented to the Mayor and he/she has refused to call a meeting or has failed to call a meeting within seven working days of the presentation of the requisition. A requisition may be presented to the Mayor by being left for him/her with the Head of Paid Service;
- f. the Head of Paid Service shall arrange for the additional meeting to be held within 21 working days of the receipt of the request. If, after such a request has been made, and no meeting has been called within five working days, the Councillors concerned shall inform the Head of Paid Service of their intention to call an extraordinary meeting of the Council, the business to be transacted and the date and time of the meeting.

## **Full Council Meetings Procedure Rules**

### **4.2 Business**

The business to be transacted at an Extraordinary Meeting of the Council shall be only the business which is specified in the summons.

### **5.0 Time and Place of Meetings**

5.1 The time and place of meetings will be determined by the Head of Paid Service in consultation with the person presiding and notified in the summons.

5.2 The order of business and the indicative timescales at every ordinary meeting of the Full Council shall usually be:

Standard Item	Time Limits
Minutes, Mayor's Communications	10 Minutes
Report of Leader of Council	Total of 15 Minutes
Reports	No time limit set
Questions from members of the public	15 Mins
Questions from a Councillor	30 Mins
Motions	50 Mins
Petitions	40 Mins

5.3 The time allowed for an item can be varied by the person presiding.

### **6.0 Notice of and Summons to Meetings**

6.1 The Head of Paid Service will give notice to the public of the time and place of any meeting in accordance with the Access to Information Procedure Rules. At least five clear working days before a meeting he/she will send a summons to every Councillor. The summons will give the date, time and place of each meeting and specify the business to be transacted, and will be accompanied by such reports as are available.

### **7.0 Quorum**

7.1 The quorum of a meeting will be one quarter of the whole number of Councillors. During any meeting if the person presiding counts the number of Councillors present and declares there is not a quorum present, then the meeting will adjourn for fifteen minutes. If after that period, there is still not a quorum present the meeting will end. Remaining business will be considered at a time and date fixed by the person presiding. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting.

### **8.0 Duration of Meetings**

8.1 Unless the majority of Councillors present vote for the meeting to continue, any meeting that has lasted for 3½ hours will adjourn immediately. A motion to continue the meeting shall be moved immediately before or immediately after the expiration of 3½ hours and before the person presiding declares the meeting closed. Remaining business will be considered at a time and date

## ***Full Council Meetings Procedure Rules***

fixed by the person presiding. If he/she does not fix a date, the remaining business will be considered at the next ordinary meeting. Provided that this shall not prevent:

- a. statutory or other business which by law must be transacted at any such meeting;
- b. the transaction of unopposed business, that is to say, business which can be transacted without the making of any speeches by any Councillor other than proposing and seconding of the necessary motions. If any Councillor indicates that he/she wishes to speak thereon, the business shall not be regarded as unopposed, but the person presiding shall rule it as standing adjourned.

### **9.0 Vote of No Confidence in The Leader of The Council**

- 9.1 Any motion of no confidence in the Leader of the Council must be received by the Chief Executive by no later than 10 clear working days before the meeting of the Council to which it is to be submitted. The motion must be signed by at least 15 Councillors of the Council and must set out the reasons why the signatories have concluded that a vote of no confidence in the Leader is required. Any motion under this rule is subject to the provisions in Rule 12.
- 9.2 The motion will be listed first on the agenda.
- 9.3 No amendments to a motion calling for a vote of no-confidence motion in the Leader of the Council will be allowed.
- 9.4 Each Councillor present at the time will have one vote.
- 9.5 Voting will be by way of a roll call recorded in the minutes.
- 9.6 In order to carry the motion, at least two thirds overall majority of those Councillors present will be required.
- 9.7 In the event of the motion being carried, the Deputy Leader of the Council will assume the full powers of the Leader of the Council until a new Leader of the Council is appointed by the Council.
- 9.8 It should be noted that the ways in which the role of Leader is vacated are set out in article 6 of Part 2 of the constitution – including where there is a change in political control of the authority.

### **10.0 Report of Leader of The Council**

- 10.1 The Leader of the Council, or a Councillor nominated by them, shall at each ordinary meeting of the Council make a statement on an issue or matter of significant importance to the City. The statement will last no more than 10 minutes.

## ***Full Council Meetings Procedure Rules***

10.2 A Councillor from each of the other Groups represented on the Council will be entitled to respond to the statement. The response will last no more than 5 minutes.

### **11.0 Questions by Members of the Public**

11.1 At each Ordinary Meeting of the Council other than

- Annual Meeting
- Budget Council Meeting

A period of up to 15 minutes shall be available to allow questions that have been submitted by members of the public who live, work or study in the City, to be asked of the Leader of the Council or a Cabinet Member a question on any issue which comes within that individual's area of responsibility and which affects the area of Wolverhampton and for the relevant Member to respond.

11.2 Any person who wishes to ask a question shall give written notice of the question to the Monitoring Officer by noon on the seventh working day prior to the meeting. Each question must give the name and address of the questioner.

11.3 The Monitoring Officer has the power to reject questions for the following reasons if it:

- a. does not relate to a matter about which the Council has a responsibility or which affects the Council;
- b. is defamatory, frivolous or offensive;
- c. is substantially the same as a question which has been put at a meeting of the Council in the past 6 months;
- d. requires disclosure of confidential or exempt information;
- e. Questions relating to complaints made under statutory provisions which have not been finally dealt with.
- f. relates to a specific planning or licensing application; and/or
- g. is a matter subject to litigation or could place the Council at risk of litigation.

11.4 No question will exceed 1 minute and no answer will exceed 2 minutes. The details of the process are set out in the public questions procedures approved by Council.

### **12.0 Questions by Councillors**

12.1 At ordinary meetings of the Council, except the Council Tax, Budget setting meeting and Annual General Meeting, there will be Questions by Councillors.

12.2 All questions at the Council meeting must relate to the Council's powers or matters that affect the City. Questions will be put and answered without debate. The question must specify the relevant Councillor who is being asked to respond. In the case of any doubt the Monitoring Officer will decide the appropriate Councillor to respond.



## **Full Council Meetings Procedure Rules**

12.3 The Monitoring Officer has the power to reject questions for the following reasons if it:

- a. does not relate to a matter about which the Council has a responsibility or which affects the Council;
- b. is defamatory, frivolous or offensive;
- c. is substantially the same as a question which has been put at a meeting of the Council in the past 6 months;
- d. requires disclosure of confidential or exempt information;
- e. relates to a specific planning or licensing application; and/or
- f. is a matter subject to litigation or could place the Council at risk of litigation.

12.4 Councillors may ask questions at each Council meeting, which may be directed to:

- The Leader;
- A Cabinet Member;
- The Chair of Scrutiny Board/Scrutiny Panel;
- A Statutory Committee Chair;
- A Councillor appointed to an outside bodies.

12.5 Number of questions

Any Councillor may ask no more than one question at a meeting of the Full Council. The Leader of the Council and the leader of the main opposition group on the Council, if any, may ask more than one question at a meeting of the Full Council.

12.6 Notice of questions

A Councillor may only ask a question if either:

- a. they have given at least seven clear working days' notice in writing of the question to the Head of Paid Service or
- b. the question relates to urgent matters, they have the consent of the person to whom the question is to be put and the content of the question is given to the Head of Paid Service three hours before the start of the meeting.

12.7 Order of Questions

Questions will be asked in the order notice of them was received, except that the Mayor may group together similar questions.

12.8 Response

An answer may take the form of:

- a. a direct oral answer by the person to whom the question was put or some other Councillor nominated by him/her;

## **Full Council Meetings Procedure Rules**

- b. where the desired information is in a publication of the Council or other published work, a reference to that publication, or
- c. where the reply cannot conveniently be given orally, a written answer circulated later to the questioner.

### **12.9 Supplementary question**

A Councillor asking a question may ask one supplementary question without notice of the Councillor to whom the first question was asked. The supplementary question must relate to the subject matter of the written question. The answer to a supplementary question should preferably be given orally at the meeting. Written responses will be permitted if research is required, or the information is not immediately available, and should be circulated to all Councillors by email within 12 working days of the Council meeting.

### **12.10 Councillor not present**

If the Councillor to whom the question has been addressed is not present at the Council meeting, another Councillor may answer the question and any supplementary question in their place. If the Councillor asking the question is absent, they may nominate another Councillor to ask the question and a supplementary question.

### **12.11 Length of Speeches**

The length of speeches shall be as follows:

- A Councillor asking a question under Rule 11.4 shall have 1 minute to ask the question or any supplementary
- A Councillor answering such a question or a supplementary may speak for no longer than 2 minutes unless the Mayor consents to a longer period.

12.12 Any question which cannot be dealt with during the time limit will be dealt with by a written answer.

## **13.0 Motions on Notice**

13.1 At ordinary meetings of the Council, except the Council Tax, Budget setting meeting and Annual General Meeting, there will be Motions by Councillors.

13.2 Every motion shall relate to the Council's powers or duties, or an issue that affects the City. with the exception of those motions which may be moved without notice , written notice of every motion, signed by at least one Councillor, must be delivered to the Head of Paid Service not later than seven clear working days before the date of the meeting.

13.3 Motions set out on Agenda

## ***Full Council Meetings Procedure Rules***

- a. Motions for which notice has been given will be listed on the agenda in the order in which notice was received, unless the Councillor giving notice states, in writing, that he/she withdraws it.
- b. A motion shall only be moved by the Councillor by whom notice has been given or by a Councillor authorised in writing by that Councillor.

13.4 The Monitoring Officer has the power to reject motions for the following reasons if it:

- a. Does not relate to a matter about which the local authority has powers or duties, or which significantly affects the city;
- b. Is substantially the same as a question which has been put at a meeting of the Council in the past 6 months;
- c. Requires disclosure of confidential or exempt information;
- d. Relates to a specific planning or licensing application; and/or
- e. Is a matter subject to litigation or could place the Council at risk of litigation.

13.5 Number of motions

No Councillor may give notice of more than one motion for any Council meeting, except with the consent of the Mayor.

### **14.0 Motions without Notice**

14.1 The following motions may be moved without notice:

- a. to appoint a person to preside at the meeting at which the motion is moved;
- b. in relation to the accuracy of the minutes;
- c. to change the order of business in the agenda;
- d. to refer something to an appropriate body or individual;
- e. to receive reports or adoption of recommendations of the Scrutiny Board or Scrutiny Panels or Regulatory and other Committees or employees and any resolutions following from them;
- f. to withdraw a motion;
- g. to amend a motion;
- h. to proceed to the next business;
- i. that the question be now put;
- j. to adjourn a debate;

## **Full Council Meetings Procedure Rules**

- k. to adjourn a meeting;
- l. that the meeting continue beyond 3½ hours in duration;
- m. to suspend a particular Council Procedure Rule;
- n. to exclude the public and press in accordance with the Access to Information Procedure Rules;
- o. to not hear further a Councillor named under Rule 18.3 or to exclude him/her from the meeting under Rule 18.4; and
- p. to give the consent of the Council where its consent is required by the Constitution.

### **15.0 Rules of Debate**

15.1 The diagram set out overleaf outlines the process for consideration of a motion, whether that motion be moved with or without notice.

15.2 The Mayor, subject to the rules of the Constitution, shall call any Councillor to speak who has indicated their wish to do so, providing this is compatible with the agenda timing.

15.3 No speeches until motion seconded

No speeches may be made until a Councillor has moved a motion, explained its purpose and the motion has been seconded.

15.4 Right to require motion in writing

Unless notice of the motion has already been given, the Mayor may require it to be written down and handed to them and the relevant Councillor before it is discussed.

15.5 Secunder's speech

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

15.6 Content and length of speeches

Speeches must be directed to the question under discussion or to a point of order or a personal explanation.

The mover of a motion or amended motion may speak for ten minutes. No subsequent speech may exceed five minutes without the consent of the person presiding.

15.7 Content and length of speeches: setting the budget or revised budget

## **Full Council Meetings Procedure Rules**

At a meeting at which the annual budget is set (or a revised budget proposed), the principal speeches and responses of the leader of each Political Group, or their nominated representative, shall not be time limited. All other speeches will be limited as detailed in paragraph 12.4. The group leader, or their nominated representative, will normally be the first person to speak from each group, and each group leader shall be entitled to be called before any other Councillor speaks. The Leader of the Council will normally propose the budget and, once it has been seconded, the other group leaders will be called in order of precedence according to the number of Councillors in each group. As with other Council meetings, the exact length of speeches and management of the debate is at the discretion of the person presiding.

### **15.8 When a Councillor may speak again**

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

- a. to speak once on an amendment moved by another Councillor;
- b. to move a further amendment if the motion has been amended since they last spoke;
- c. if their first speech was on an amendment moved by another Councillor, to speak on the main issue (whether or not the amendment on which he/she spoke was carried);
- d. in exercise of a right of reply under
- e. on a point of order or a personal explanation of information where a Councillor wishes to put forward a factual correction.

### **15.9 Amendments to motions**

An amendment to a motion must be relevant to the motion and will either be:

- (i) to refer the matter to an appropriate body or individual for consideration or reconsideration;
- (ii) to leave out words;
- (iii) to leave out words and insert or add others; or
- (iv) to insert or add words;

as long as the effect of (ii) to (iv) is not to negate the motion or recommendation being considered.

- b. Only one amendment may be moved and discussed at any one time. No further amendment may be moved until the amendment under discussion has been disposed of.
- c. If an amendment is not carried, other amendments to the original motion may be moved.

## ***Full Council Meetings Procedure Rules***

In the absence of any such subsequent amendments, debate on the original motion will proceed.

- d. If an amendment is carried, the motion as amended takes the place of the original motion. This becomes the substantive motion to which any further amendments are moved.
- e. After an amendment has been carried, the person presiding will read out the amended motion before accepting any further amendments, or if there are none, put it to the vote.

### 15.10 Alteration of motion

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

### 15.11 Withdrawal of motion

A Councillor may withdraw a motion which they have moved with the consent of the meeting. The meeting's consent will be signified without discussion. No Councillor may speak on the motion after the mover has asked permission to withdraw it, unless permission is refused.

### 15.12 Right of reply

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

### 15.13 Motions which may be moved during debate

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

## **Full Council Meetings Procedure Rules**

- a. withdraw a motion;
- b. amend a motion;
- c. to proceed to the next business;
- d. request that the question be now put;
- e. adjourn a debate;
- f. adjourn a meeting;
- g. that the meeting continue beyond 3½ hours in duration;
- h. exclude the public and press in accordance with the Access to Information Procedure Rules; and
- i. not hear further a Councillor named under Rule 18.3 or to exclude him/her from the meeting under Rule 18.4.

### 15.14 Closure motions

- a. A Councillor may move, without comment, the following motions at the end of a speech of another Councillor:
  - (i) to proceed to the next business;
  - (ii) that the question be now put;
  - (iii) to adjourn a debate; or
  - (iv) to adjourn a meeting.
- b. If a motion to proceed to next business is seconded and the person presiding agrees the item has been sufficiently discussed, they will then put the procedural motion to the vote.
- c. If a motion that the question be now put is seconded and the person presiding agrees the item has been sufficiently discussed, they she will put the procedural motion to the vote. If it is passed they will put the motion to vote.
- d. If a motion to adjourn the debate or to adjourn the meeting is seconded and the person presiding agrees the item has not been sufficiently discussed and cannot reasonably be so discussed on that occasion, they will put the procedural motion to the vote.

### 15.15 Council Tax/Budget Debate Process

- a. The proposer of the recommendation will move the budget. This speech will not be time limited.

## **Full Council Meetings Procedure Rules**

- b. This will be seconded and the seconder will speak or reserve the right to speak.
- c. The Leader of the Main Opposition Group (or nominated speaker) will move any amendment to the recommendation. This speech will not be time limited.
- d. The Deputy Leader of the Main Opposition Group (or nominated speaker) will second the amendment and speak or reserve the right to speak.
- e. The debate on the amendment will take place; the vote on the amendment will take place and the amendment will be carried or lost. If carried, this would become the substantive motion.
- f. The Leader of the largest of the minority Groups (or nominated speaker) will move any amendment to the motion. This speech will not be time limited.
- g. A representative of that Group will second the amendment and speak or reserve the right to speak.
- h. As (e) above.
- i. The Leader (or nominated speaker) of any of the remaining minority Groups will move any amendment (in the order in which they catch the eye of the Mayor). These speeches will not be time limited. Representatives of those Groups will second the amendment and speak or reserve the right to speak. This will apply to any remaining minority Groups.
- j. As (e) above.
- k. Any further amendments will be moved in the order in which the proposer catches the eye of the Mayor.
- l. When there are no more amendments, the debate on the substantive motion takes place and the vote is taken.

- (Notes:**
- 1. In accordance with the Council Procedure Rules, the mover of the original motion (or substantive motions if the original motion is amended) is entitled to speak on any amendment immediately before the reply by the mover of the amendment.
  - 2. Should adjournments be necessary during the course of the meeting, relevant arrangements will be made available.
  - 3. If the proposer of the recommendation is not the Leader of the Council, then the Leader of the Council will be given one opportunity for a speech that is not time-limited.
  - 4. Procedure Rule 18.5 shall apply to any vote taken on any motion, amendment or substantive motion relating to the approval of the budget or setting of council tax.)

### 15.16 Point of order

A Councillor may only raise a point of order at any point and it must be heard immediately. A point of order must relate to an alleged breach of these Council Rules of Procedure or the law. The Councillor must indicate the rule or law and the way in which they consider it has been broken. The Councillor's speech will be limited to one minute, with any additional time to be agreed at



## ***Full Council Meetings Procedure Rules***

the discretion of the person presiding. The ruling of the person presiding on the matter will be final.

### **15.17 Personal explanation**

A Councillor may only make a point of personal explanation at the end of the speech to which it relates. A personal explanation may only relate to some material part of the earlier speech by the Councillor, which may appear to have been misunderstood in the present debate. The Councillor's speech will be limited to one minute, with any additional time to be agreed at the discretion of the person presiding. The ruling of the person presiding on the admissibility of a personal explanation will be final. If the personal explanation takes place after another Councillor's right of reply at the end of a debate the Councillor with the right of reply will be given the opportunity to confirm whether they have anything to add to their right of reply.

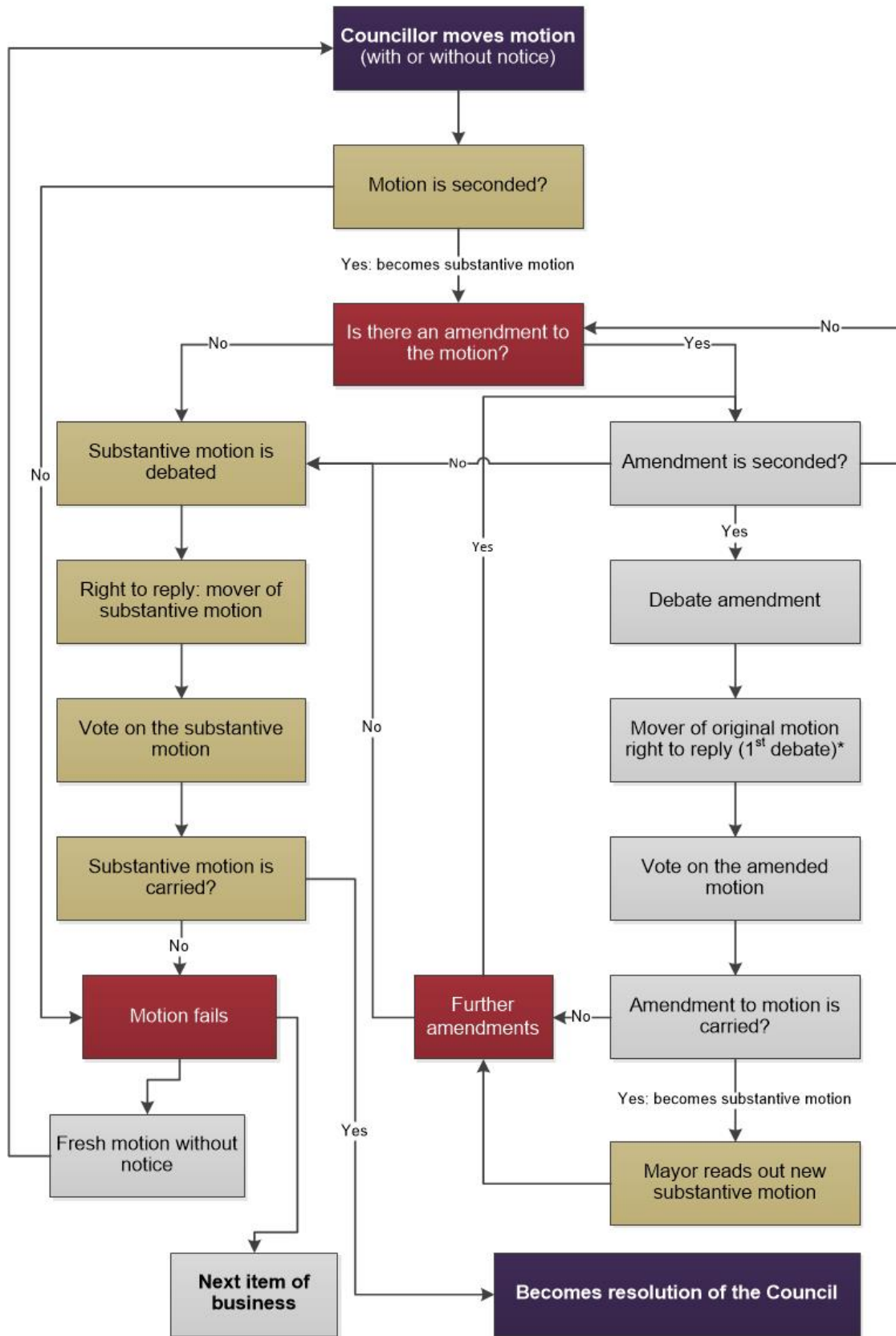
### **15.18 Attendance at another body**

A Councillor who is not otherwise entitled to speak at a body may so attend and speak (but not vote) during consideration of any item which he/she has moved or seconded at Council and which has been referred to that body.

### **15.19 Previous Decisions and Motions**

Except on the recommendation of the Cabinet, the Scrutiny Board or a Scrutiny Panel or a Regulatory or other Committee, no matter which has been decided by the Full Council on a motion or otherwise shall again be submitted to the Full Council for further consideration until after the next annual meeting; and when any matter shall be so prohibited from being considered, the effect of this Rule shall not be evaded by substituting any motion differently worded but substantially the same in effect or in principle, and if any such attempt be made, the person presiding shall rule it out of order.

Process for consideration of Motions at Council



\*Mover of the amendment has no right to reply

**16.0 Voting**

16.1 Majority

Unless the Constitution provides otherwise, any matter will be decided by a simple majority of those Councillors voting and present at the time the question was put.

16.2 Casting vote of person presiding

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

16.3 Recorded vote

If ten Councillors present at a meeting of the Council or one third of the Councillors present at a meeting of the Scrutiny Board or a Scrutiny Panel or a Regulatory or other Committee demand it, the names for and against the motion or amendment or abstaining from voting will be recorded in the minutes.

16.4 Right to require individual vote to be recorded

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

16.5 Voting on appointments

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

16.6 Voting on the Council's budget

In accordance with the Local Authorities (Standing Orders) (England) (Amendment) Regulations 2014, a record will be made in the minutes of the meeting of the names of the persons who cast a vote for or against the decision or who abstained from voting, where that vote is in relation to the setting of the Council's budget or revised budget.

**17.0 Minutes**

17.1 Minutes must be kept to record all the decisions taken by meetings of the Council, its Committees and Sub-Committees. Minutes must also include a record of the names of all the Councillors present.

172. Signing the minutes

The person presiding will sign the minutes of the Council Meeting at the next suitable meeting. The person presiding will move that the minutes of the previous meeting be signed as a correct record. Only points of accuracy can be discussed.

17. No requirement to sign minutes of previous meeting at extraordinary meeting

Where in relation to any meeting, the next meeting for the purpose of signing the minutes is a meeting called under paragraph 3 of schedule 12 to the 1972 Act (an Extraordinary Meeting), then the next following meeting (being a meeting called otherwise than under that paragraph) will be treated as a suitable meeting for the purposes of Paragraph 41(1) and (2) of Schedule 12 relating to signing of minutes of the Local Authority (Standing Orders) Regulations 1993..

17.3 Form of minutes

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

**18.0 Record of Attendance**

18.1 A record will be made of all Councillors present during the whole or part of a meeting.

**19.0 Exclusion of Public**

19.1 Every effort will be made to have the decisions made in the open part of the meeting with reports being split into open and confidential or exempt parts.

19.2 Members of the public and press may only be excluded from the meeting either in accordance with the Access to Information Rules in Part 4 of the Constitution.

19.3 The specific reason for excluding the press and public will be set out on the agenda (if in accordance with the Access to Information Procedure Rules) and recorded in the minutes.

**20.0 Councillors' Conduct**

20.1 No Councillor shall impute unworthy motives to or use offensive or unbecoming words about another Councillor, fail to show respect to another Councillor or be guilty of tedious repetition. If this occurs the person presiding shall immediately stop the Councillor and if repeated the Councillor will not be heard any further. The Monitoring Officer as the person responsible for ensuring that the Authority acts lawfully shall ensure that this rule is complied with.

20.2 Disclosable Pecuniary Interests

Any Councillor who has a Disclosable Pecuniary Interest in any business being considered at a Council meeting must declare that item and leave the room where the meeting is being held whenever it becomes apparent that the business is being or is about to be considered at that meeting, unless the Councillor has obtained a dispensation under the Council's dispensation procedure.

20.3 Standing to speak

When a Councillor speaks at a Council meeting, they must stand unless unable to do so and address the meeting through the person presiding. If more than one Councillor stands, the person presiding will ask one to speak and the others must sit. Other Councillors must remain seated whilst a Councillor is speaking unless they wish to make a point of order or a personal explanation.

20.4 Person presiding standing

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

20.5 Councillor not to be heard further

If a Councillor persistently disregards the ruling of the person presiding by behaving improperly or offensively or deliberately obstructs business, the person presiding may direct that the Councillor be not heard further.

20.6 Councillor to leave the meeting

If the Councillor continues to behave improperly after such a direction, the person presiding may direct that either the Councillor leaves the meeting or that the Councillor be removed from the meeting or that the meeting is adjourned for a specified period.

20.7 General disturbance

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

**21.0 Disturbance by Members of the Public**

21.1 Removal of members of the public

If a group or an individual member(s) of the public interrupts the proceedings at any meeting, the person presiding will warn the person(s) concerned. If the interruption continues, the person presiding will order their removal from the meeting room.

**21.2 Clearance of part of meeting room**

If there is a general disturbance in any part of the meeting room open to the public or of the premises where the meeting is being held, the person presiding shall order that part to be cleared. If, in the Mayor's view, this is not practicable and it is not possible to continue the meeting in light of the disturbance, the Mayor may rule that the meeting adjourn and/or that the meeting should be reconvened in a different venue.

**22.0 Suspension and Amendment of Council Procedure Rules**

**21.1 Suspension**

All of these Council Procedure Rules except Rule 14 and 15.2 above may be suspended by motion on notice or without notice if at least one half of the whole number of Councillors are present. Suspension can only be for the duration of the meeting. This Rule will apply to meetings of the Cabinet, the Scrutiny Board, Scrutiny Panels and Regulatory or other Committees provided that one half of the whole number of voting Councillors are present.

**21.2 Amendment**

These Council Procedure Rules may only be amended by the Full Council after consideration by the Monitoring Officer, the Constitution Review Group and the Governance Committee.

**22.3 Application to Committees and Sub-Committees**

All of the Council Rules of Procedure apply to meetings of full Council but not to Cabinet meetings. Rules 5-8, 13 - 23 and will also apply to meetings of committees and sub-committees.

**23.0 Cancellation of meeting**

23.1 The Chair may cancel a meeting before the agenda has been issued if there is a lack of business for the meeting in question. Any decision to cancel a meeting should be taken at the earliest opportunity and every effort should be made to publicise the cancellation. In exceptional circumstances, where the agenda for a meeting has already been issued, the meeting may be cancelled or postponed by the Chair following consultation with other Members of the committee. If the meeting is postponed, where possible no less than five clear working days' notice shall be given of the new date for the meeting.

**24.0 Party Leaders**

24.1 Each party represented on the Council shall notify the Monitoring Officer of the name of the person selected as that party's leader and the names of all other members of that party group.

**25.0 Council Seating Plan**

25.1 Councillors will be allocated designated places within the Council Chamber during Council Meetings. This seating plan must be adhered to at all times unless prior agreement is reached with the respective party whip and this is notified to the Mayor and the Monitoring Officer prior to the meeting.

**26.0 Interpretation of Rules**

26.1 The ruling of the Mayor as to the construction or application of any of these rules shall not further be challenged at any meeting of the Council.

**27.0 Approach to dealing with petitions at Council Meetings**

- a. Where a Petition contains more than 5,000+ signatures, the Council's Constitution provides for the matter to be debated by Full Council.
- b. Full Council will endeavour to consider the Petition at its next scheduled meeting, although on some occasions this may not be possible and consideration will then take place at the following scheduled meeting.
- c. The relevant Cabinet Member, or nominated substitute, will be in attendance at the Full Council meeting.
- d. The lead Petitioners will be given up to five minutes to present the Petition. The Petition will then be considered by Councillors for a maximum of a further 40 minutes, of which up to five minutes will be specifically allocated to the Cabinet Member for their response. Broad timings are detailed in the diagram at the end of this section but they are provided as guidelines – management of the debate is ultimately at the Mayor's discretion.

27.1 Detailed procedure

- (i) Democratic Services will have already invited representatives of the Petitioners (lead Petitioner and a further Petitioner to be referred to as the Second Petitioner) to attend the meeting and to give oral evidence to Full Council. Petitioners may also provide written evidence in support of their Petition. Full Council's role is to ensure that appropriate action is taken in respect of each admissible Petition.
- (ii) A report on the details of the Petition, including background details and comments from the appropriate service, will have been circulated to Councillors, as part of their Council papers, together with a copy of the Petition; a copy of the report will also have been provided to the lead and second Petitioners.
- (iii) Petitioners may nominate someone else, including a Councillor, to speak and present the Petition on their behalf. In the absence of the Petitioners, or a representative to speak on their behalf, Council will consider the matter anyway in accordance with this process.

## ***Full Council Meetings Procedure Rules***

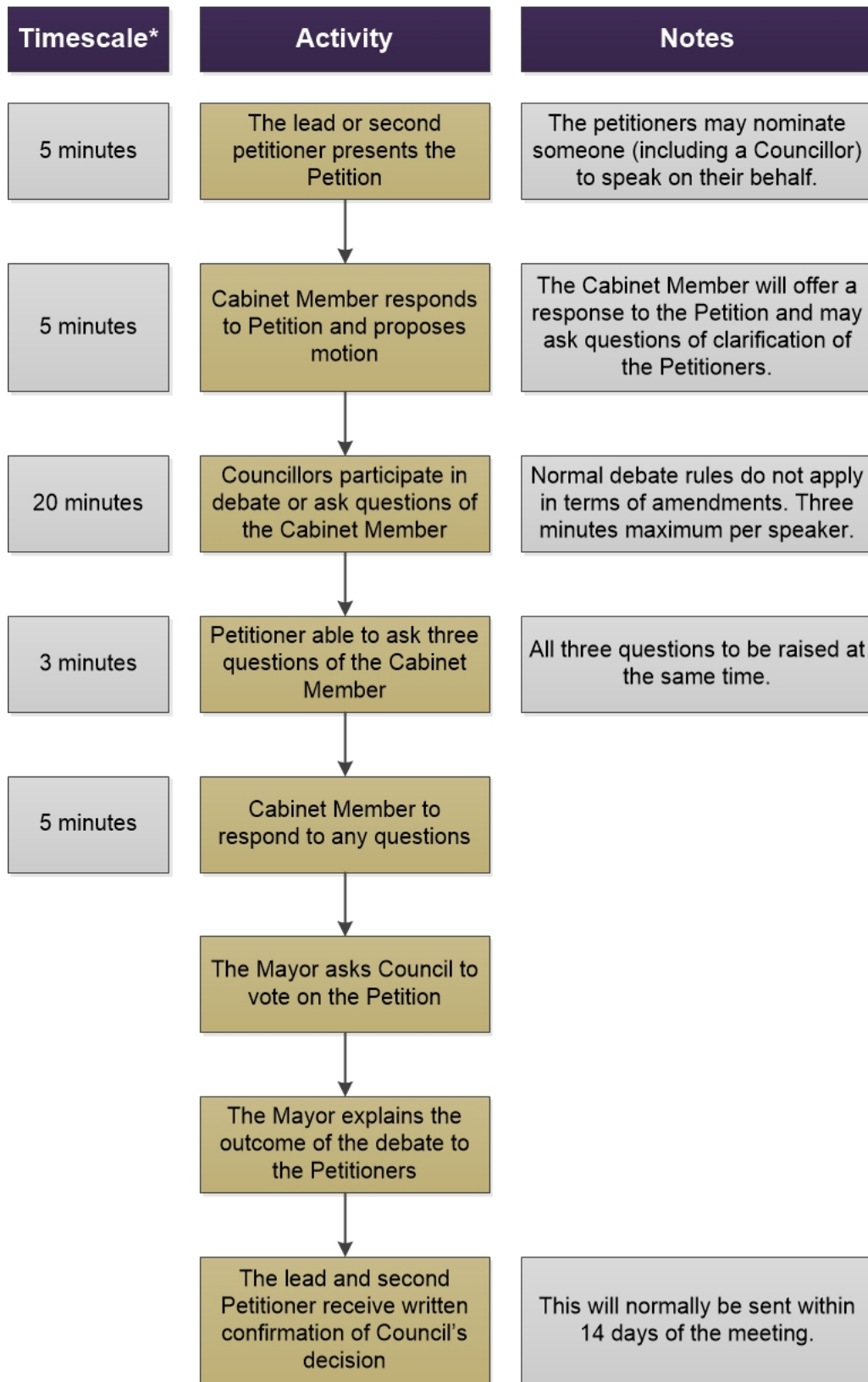
- (iv) Where Petitioners are present, the lead and second Petitioners will be seated near to the public gallery. At the appropriate juncture, the lead and second Petitioners will be shown to a seat at the front of the Council Chamber.
- (v) The Petition will be considered as the first item of substantive business following consideration of formal Council business i.e. following consideration of Apologies for Absence, Declarations of Interest, Minutes and Mayor's Communications.
- (vi) The Mayor will announce that the Petition will be considered as the next item of business, upon which a time limit of 45 minutes shall apply. This time limit includes five minutes for the lead or second Petitioner, but not both, to present the Petition.
- (vii) The Mayor will invite the relevant Cabinet Member to respond to the Petition and propose a motion in light of the Petition for Council to consider. The Cabinet Member has up to five minutes for their response, including proposal of a motion. The motion should be based upon one of the four options open to the Council for its response to a Petition:
  - a. decide to take the action the Petition requests
  - b. decide not to take the action requested
  - c. decide to commission further investigation into the matter, for example by a relevant Cabinet meeting, or
  - d. where the issue is one on which the Cabinet is required to make the final decision, Council must decide whether to make recommendations to Cabinet to inform that decision.
- (viii) The Mayor will ask if there is a seconder for the motion.
- (ix) The Mayor will invite Councillors to debate the motion, which may include asking questions of the Cabinet Member. Normal rules of debate with regard to amendments are suspended during consideration of a Petition. Any speaker is limited to a maximum of three minutes.
- (x) At the conclusion of the general debate, the Mayor will ask the lead or second Petitioners to ask up to three questions of the Cabinet Member. The questions must all be raised at the same time.
- (xi) The Cabinet Member will have up to five minutes to respond to any questions raised. The Cabinet Member may recommend an amendment to their original motion based on the debate and consideration of the issues.



## ***Full Council Meetings Procedure Rules***

- (xii) At the conclusion of consideration of the item, the Mayor will ask Council to vote on the motion proposed by the Cabinet Member. In the event that the motion is not passed, an alternative motion will be proposed and seconded, based on the options detailed in (vii) above. Votes on a second or any subsequent motion will be taken immediately without any further debate.
- (xiii) Following approval of a motion, the Mayor will explain the outcome of the debate to the Petitioners and thank them for their attendance. At this point the lead and second Petitioners will be asked if they wish to either leave the meeting or, if not, return to their seats in the public gallery.
- (xiv) The lead and second Petitioners will receive written confirmation of Full Council's decision. This confirmation will also be published on the Council's website.

**Petitions protocol flow diagram**



\*Timings are provided as a guide. Exact timings are at the Mayor's discretion.

## **28.0 Protocol Governing the use of the Mayor's Casting Vote**

### **Introduction**

The Local Government Act 1972 provides that the Mayor has a second or casting vote at Council Meetings in two specific circumstances.

- a. The out-going Mayor **must** exercise a second or casting vote if there is a tie for the election of a new Mayor (Section 23 Local Government Act 1972).
- b. On all other occasions the Mayor **may** (but is not obliged) to exercise a second or casting vote (Local Government Act 1972 Schedule 12 Para 39(2)).

Under revised arrangements for the rotation of the Mayoralty adopted at the Annual Council Meeting in May 2001 there should be no call to exercise a second or casting vote on the election of a new Mayor. The vote should be unopposed.

A tied vote at a Council Meeting in any other circumstances requires a clear and binding protocol governing the discretionary use of the second or casting vote which is –

- a. Based upon the principles set out in the Leader's speech to the Annual Council Meeting in May 2001 which established the arrangements for the rotation of the offices of Mayor and Deputy Mayor.
- b. Strongly endorsed by the Leaders of all three political parties on City of Wolverhampton Council on behalf of their groups and their nominees for the office of Mayor or Deputy Mayor.
- c. Accepted as an essential pre-requisite of office by all Councillors who are nominated for and appointed to the office of Mayor or Deputy Mayor.

### **Protocol**

It is the duty of the Cabinet to make decisions. It is also in the interests of the City that there is certainty of decision making.

In the event of a tied vote at a Council Meeting the Mayor [or in their absence the Deputy Mayor] shall not exercise the second or casting vote unless advised by the Chief Executive; Section 151 Officer [as S151 Officer] or Chief Operating Officer that it is necessary to do so.

In order to preserve the impartiality and dignity of the Office of Mayor whenever a vote is tied the Mayor shall obtain appropriate advice (if necessary by seeking a short adjournment) from the Chief Executive; Section 151 Officer [as S.151 Officer] or Chief Operating Officer:

- a. Whether it is necessary to use a second or casting vote.

## ***Full Council Meetings Procedure Rules***

- b. If it is so necessary, how it should be done.

On receipt of that advice the Mayor will reconvene the meeting, if adjourned, and inform the Council of the advice that has been received. The Mayor will then vote in accordance with that advice exercising one of the four options identified in the schedule attached to this protocol.

ADVICE	ACTION	CONSEQUENCE
Only one decision is permissible for the Council to act lawfully	<b>Option 1</b> <ul style="list-style-type: none"> <li>• Reconvene meeting and report advice received</li> <li>• Vote in accordance with that advice</li> </ul>	<ul style="list-style-type: none"> <li>• Decision taken and actioned</li> </ul>
<p>A decision must be taken at the meeting to protect/preserve the Council's position in relation to -</p> <p>(a) Any application for or entitlement to any grant or subsidy</p> <p>(b) The securing of any income or other revenue</p> <p>(c) The avoidance of any penalty or other liability</p> <p>(d) Any other matter of a like nature relating to the proper and lawful discharge of the Council's functions</p>	<b>Option 2</b> <ul style="list-style-type: none"> <li>• Reconvene meeting and report advice received</li> <li>• Vote in a manner that protects/preserves the Council's interest</li> <li>• Where this can be limited to an interim step recall the Council to a special meeting to consider the matter afresh in accordance with Option 3</li> </ul>	<ul style="list-style-type: none"> <li>• Decision taken and actioned</li> <li>• If possible, this be limited to interim decision and special meeting be called in accordance with Option 3</li> </ul>
A decision must be made but may be deferred to enable discussions between party groups	<b>Option 3</b> <ul style="list-style-type: none"> <li>• Reconvene meeting and report advice received</li> <li>• Adjourn item to a special meeting when it will be considered afresh</li> </ul>	<ul style="list-style-type: none"> <li>• Special meeting to be convened within 5 working days unless special reasons accepted by Monitoring Officer for shorter or longer period. Such reasons to be specified in Summons for special meeting</li> <li>• Advice of Monitoring Officer will be sought and followed in relation to any interim arrangements that may be necessary as a result of the adjournment. Such arrangements will, so far as possible, seek to maintain status quo pending a resolution of the issue</li> </ul>
No decision is required	<b>Option 4</b> <ul style="list-style-type: none"> <li>• Reconvene meeting and report advice received</li> <li>• Do not exercise casting vote</li> </ul>	<ul style="list-style-type: none"> <li>• Item not carried – eligible for re-submission to a subsequent Council Meeting</li> </ul>

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**Cabinet Procedure Rules**

**1. The Operation of the Cabinet**

**1.1 Who may make Cabinet decisions**

The arrangements for the discharge of Cabinet functions are set out in the Cabinet arrangements shown in Part 3. The arrangements provide for Cabinet functions to be discharged by:

- a. the Cabinet or a Cabinet Panel.

These decisions are referred to in this Constitution as “Amber Decisions” if they are delegated to the Cabinet, and as “Red decisions” if they require the approval of the Full Council as set out in Article 4. Amber Decisions are those relating to the functions listed in the delegations to the Cabinet and Cabinet Panels. Red decisions are those matters referred to in Article 4.

- b. an Individual Cabinet Member relating to their individual responsibilities. These decisions are referred to in this Constitution as “Green Decisions”, the definition of which is set out in section 21 – Procedure for Decision-making by Individual Cabinet Members in Part 3.
- c. an employee;
- d. an Area Structure;
- e. joint arrangements; or
- g. another local authority.

**1.2 Sub-delegation of Cabinet functions**

- a. Where the Cabinet is responsible for a function, it may delegate further to a Designated Officer in consultation with a Cabinet Member or to an employee, an Area Structure, or joint arrangement.
- b. Even where Cabinet functions have been delegated, that fact does not prevent the discharge of delegated functions by the person or body who delegated. This means that items of business classified as Green decisions may be referred by the Cabinet Member to the Cabinet for decision.
- c. The Cabinet may, when sub-delegating a Green decision, require that an Opposition Councillor from the relevant Scrutiny Panel be consulted prior to the decision being taken.

- d. The Cabinet may, when sub-delegating an Amber decision, require that an Opposition Councillor from the relevant Scrutiny Panel be consulted prior to the decision being taken. In such a case the call-in rules will apply.

1.3 The Council's scheme of delegation and Cabinet functions

The Council's scheme of delegation will be subject to adoption by the Full Council and may only be amended by the Full Council. It will contain the details required in Article 7 and is set out in Part 3.

1.4 Conflicts of Interest

- a. If every Cabinet Member has a conflict of interest this should be dealt with as set out in the Council's Code of Conduct for Councillors in Part 5 of this Constitution.
- b. If the exercise of a Cabinet function has been delegated to a Designated Officer (in consultation with a Cabinet Member or otherwise) and a conflict of interest arises, then the function will be exercised in the first instance by the person or body by whom the delegation was made and otherwise as set out in the Council's Code of Conduct for Councillors in Part 5.

1.5 Times and Locations of Cabinet meetings

The Council will approve a programme of Ordinary Meetings for the Cabinet and Cabinet Panels. In addition, extraOrdinary Meetings may be called from time to time as appropriate. Meetings shall take place at the Civic Centre or another location to be approved by the Leader.

1.6 Quorum

The quorum for a meeting of the Cabinet shall be three Councillors and for a Cabinet Panel shall be three Councillors.

1.7 How decisions are taken by the Cabinet or by Cabinet Members in consultation with Designated Officers

- a. Red decisions – these are decisions relating to the budget and policy framework. The decision-making process is set out in the Budget and Policy Framework Procedure Rules and the Access to Information Rules in Part 4. They may be considered by the Cabinet or a Cabinet Panel in advance of consideration by the Council.
- b. Amber Decisions - these are decisions which have been delegated to the Cabinet or a Cabinet Panel and will be taken at a meeting convened in accordance with the Access to Information Rules in Part 4.
- c. Green decisions - the Designated Officer will meet regularly with the appropriate Cabinet Member to consider items of business. Items of business will be supported by written reports. If the Cabinet Member is



satisfied with the Designated Officer's recommendation, then the Cabinet Member will make the decision which will be recorded as a Green decision. The decision can then be implemented immediately. Every Green Decision will be published on the Council's web site as soon as it is notified to the Democratic Services team. A schedule of Green decisions will be notified to the next meeting of the Cabinet (Resources) Panel for information. Copies of Green decision reports will be open for inspection in accordance with the Access to Information Rules in Part 4. Cabinet Members must take into account professional, legal and financial implications and any advice given by employees. If any employee gives advice that a decision would fall within one of the exceptions listed in Part 3 or that the matter should not be the subject of an individual Cabinet Member decision, then the matter shall be a decision for the Cabinet.

## **2. How Cabinet Meetings are Conducted**

### **2.1 Presiding at the meeting**

If the Leader is present, he/she will preside. In his/her absence, a person appointed to do so by those present shall preside.

### **2.2 Attendance at the meeting**

- a. Members of the public may attend meetings of the Cabinet unless they are excluded from all or part of the meeting because it is likely in view of the nature of the business to be transacted that Exempt Information would be disclosed.
- b. All Councillors may attend the whole of the meeting unless the Cabinet by resolution decides that they should be excluded from any part of the meeting during which Exempt Information may be disclosed.

### **2.3 Business conducted at the meeting**

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

- a. apologies for absence;
- b. declarations of interest, if any;
- c. consideration of the minutes of the last meeting;
- d. matters referred to the Cabinet (whether by the Scrutiny Board or a Scrutiny Panel or by the Council) for reconsideration by the Cabinet in accordance with the provisions contained in the Overview and Scrutiny Procedure Rules or the Budget and Policy Framework Procedure Rules set out in Part 4;

- e. consideration of reports from the Scrutiny Board or Scrutiny Panels; and
- f. matters set out in the agenda for the meeting. The agenda shall indicate which are Key Decisions and which are not in accordance with the Access to Information Procedure Rules set out in Part 4 of this Constitution.

Subject to any directions given by the person appointed to preside at the meeting the items of business shall be arranged in such order as the Head of Paid Service, in consultation with the relevant Designated Officer(s) thinks will best ensure the effective despatch of business.

#### 2.4 Who can include items on the Cabinet agenda

- a. The Leader
- b. Where the Scrutiny Board or a relevant Scrutiny Panel or the Full Council have resolved that an item be considered by the Cabinet the Head of Paid Service will ensure that an item is placed on the agenda of the next available meeting of the Cabinet.
- c. The Head of Paid Service, the Monitoring Officer or the Section 151 Officer may include an item for consideration on the agenda of a Cabinet meeting and may require such a meeting to be called in pursuance of their statutory duties.

#### 2.5 Consultation

All reports to the Cabinet from any Cabinet Member or an employee on proposals relating to the budget and policy framework must contain details of the nature and extent of consultation with stakeholders and relevant Scrutiny Panels, and the outcome of that consultation. Reports about other matters will set out the details and outcome of consultation as appropriate. The level of consultation required will be appropriate to the nature of the matter under consideration.

### 3. Key Decisions

#### 3.1 Period of the Forward Plan

A list of key decisions will be prepared to cover a period of four months. A key decision is an Executive decision which is likely:

- a. to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates (in Wolverhampton, this is defined as expenditure or savings **in excess of £250,000**), and/or

- b. to be significant in terms of its effects on communities living or working in an area comprising **two or more wards** in the area of the local authority.

The Forward Plan details 'key decisions' that will be taken by the Cabinet or one of the Cabinet Panels (the Executive) over the coming months. It will include the following information:

- a. the matter in respect of which a decision is to be made;
- b. where the decision maker is an individual, his/her name and title, if any and where the decision maker is a body its name and details of membership;
- c. the date on which, or the period within which, the decision will be taken;
- d. how, to whom and by when representations (about the "key decision") can be made;
- e. what reports/papers are, or will be, available for public inspection;
- f. whether the report is a private report with reasons.

#### **4. General Exception**

4.1 If a matter which is likely to be a key decision has not been included in the Forward Plan, the key decision may still be taken if:

- a. the decision must be taken because it is impracticable to defer the decision, in the opinion of the Chief Executive
- b. the relevant employee has informed the Chair of the Scrutiny Board or a relevant Scrutiny Panel, or if there is no such person, each member of that Scrutiny Panel in writing, by notice, of the matter to which the decision is to be made;
- c. the Democratic Service Officer has made copies of that notice available to the public at the offices of the Council; and
- d. at least five clear days have elapsed since compliance with (a) and (b).

#### **5. Special Urgency**

5.1 If the date by which a decision must be taken, makes compliance with section 2 above (general exception) impracticable, then the decision can only be taken if:

- a. the decision maker (if an individual) or the Chair of the body making the decision, obtains the agreement of the Chair and Vice-Chair of the Scrutiny Board or a relevant Scrutiny Panel that the taking of the decision cannot be reasonably deferred. If there is no such Chair, or if the Chair is unable to act,

then the agreement of the Mayor, or in his/her absence the Deputy Mayor will suffice.

- b. the Democratic Service Officer has made copies of that notice available to the public at the offices of the Council;

**6. Report to Council where the key decision procedure is not followed**

6.1 If the Scrutiny Board or a Scrutiny Panel thinks that a key decision has been taken which was not:

- a. included in the Forward Plan; or
- b. the subject of the general exception procedure; or
- c. the subject of an agreement with a relevant Chair, or the Mayor/Deputy Mayor of the Council under section 23.6 above (special urgency);

6.2 The Board or Panel may require the Cabinet to submit a report to the Full Council within such reasonable time as the Board or Panel specifies.

**7. Cabinet's report to Council**

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

**8. Reports on special urgency decisions**

8.1 The Leader of the Council will submit a report to Council on an annual basis detailing all late reports not on the Forward Plan and all reports authorised for immediate implementation.

**9. Record of Decisions**

9.1 After any meeting of the Cabinet whether held in public or private, the Democratic Services Officer will produce a record of every decision taken at that meeting as soon as practicable. The record will include a statement of the reasons for each decision and any alternative options considered and rejected at that meeting.

**10. Cabinet Meetings Relating to Matters Which Are Not Key Decisions**

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

10.2 Unless otherwise agreed by the members of the relevant Scrutiny Panel, the notice of the meeting and the agenda and reports will be sent to all members of the Panel.

## **11. Scrutiny Board and Scrutiny Panels Rights to copies of documents**

11.1 The Scrutiny Board and Scrutiny Panels will be entitled to copies of any document which is in the possession or control of the Cabinet and which contains material relating to any business transacted at a meeting of the Cabinet, except any document which is in draft form or which contains the advice of a political adviser.

## **12. Additional Rights of Access for Councillors**

### **12.1 Material relating to previous business**

All Councillors will be entitled to inspect any document which is in the possession or under the control of the Cabinet and contains material relating to any business previously transacted at a meeting unless either (a.) or (b.) below applies.

- a. it appears to the Proper Officer that it discloses exempt information of a description falling within Part 1 of Schedule 12A
- b. it contains the advice of a political adviser.

But a document referred to in (a.) will be available for inspection if:

- the information relates to the financial and business affairs of any particular person (including the Council) except to the extent that the information relates to any terms proposed or to be proposed by or to the Council in the course of negotiations for a contract or
- the information reveals that the Council proposes to give under any enactment a notice under or by virtue of which requirements are imposed on a person or to make an order or direction under any enactment.

### **12.2 Material relating to key decisions**

All Councillors will be entitled to inspect any document (except those available only in draft form) in the possession or under the control of the Cabinet which relates to any key decision unless paragraph (a) or (b) above applies.

### **12.3 Nature of rights**

These rights of a Councillor are additional to any other right he/she may have.

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**Overview and Scrutiny Procedure Rules**

1. **The number and terms of reference of the Scrutiny Board and the Scrutiny Panels.**
- 1.1 The Council will have a Scrutiny Board and the Scrutiny Panels set out in Article 7 and will appoint to them as it considers appropriate from time to time. The Health Scrutiny Panel may need to undertake joint arrangements with other local authority scrutiny committees as are necessary to facilitate the overview and scrutiny of health functions. Where this is required, these arrangements will be established by Full Council on a case-by-case basis.
- 1.2 The terms of reference for the Scrutiny Board and Panels are set out in Article 7.
- 1.3 The general responsibilities of each of the Scrutiny Panels are outlined below. Detailed terms of reference, specific to each Panel, are in Article 7.
  - a. To assist the Council and the Cabinet in the development of its budget and policy framework by in-depth analysis of policy issues and by liaison and discussion with the Cabinet.
  - b. To conduct research, community and other consultation in the analysis of policy issues and possible options.
  - c. To consider and implement mechanisms to encourage and enhance community participation in the development of policy options.
  - d. To question Cabinet Members and/or Council employees about their views on issues and proposals affecting the area.
  - e. To liaise with individuals and external organisations operating in the area, whether national, regional or local, to ensure that the interests of the citizens of Wolverhampton are enhanced by collaborative working.
  - f. To review and scrutinise the decisions made by and performance of the Cabinet and Council employees both in relation to individual decisions and over time.
  - g. To review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas and to receive and consider other reports received from external auditors and external regulatory Inspectors and to work with the Cabinet to respond to recommendations from reviews and inspections.
  - h. To undertake reviews of the Councillors, Call for Action where referred by the Monitoring Officer.
  - i. To question Cabinet Members and/or Council employees about their decisions and performance, whether generally in comparison with service plans and targets over a period of time, or in relation to particular decisions, initiatives or projects.

- j. To make recommendations to the Cabinet and/or appropriate Regulatory or other Committee and/or Council arising from the outcome of the scrutiny process.
- k. To review and scrutinise the performance of other public bodies in the area and invite reports from them by requesting them to address the Panel and local people about their activities and performance.
- l. To consider call-ins related to their area of responsibility.
- m. To question and gather evidence from any person (with their consent).
- n. To deal with any other matter which is by law required to be dealt with by an “overview and scrutiny committee”.

## **2. Who may serve on the Scrutiny Board and Scrutiny Panels**

### **2.1 Councillors**

All Councillors except Cabinet Members may be members of the Scrutiny Board or a Scrutiny Panel. However, no Councillor may be involved in scrutinising a decision in which he/she has been directly involved.

### **2.2 Co-opted Members**

The term Co-opted Members is restricted to:

- a. Statutory Parent Governor, Church Diocesan and Youth Council representatives, appointed to serve on the Children, Young People and Families Scrutiny Panel by the Annual Council Meeting.
- b. Wolverhampton HealthWatch representatives appointed to serve on the Health Scrutiny Panel.

The membership of Scrutiny Panels and Scrutiny Review Groups by representatives of external organisations or individuals will be restricted to those Co-opted Members appointed at Annual Council.

The Children, Young People and Families Scrutiny Panel shall include in its membership the following representatives:

- a. One voting Church of England diocesan representative.
- b. One voting Roman Catholic diocesan representative.
- c. Two voting parent governor representatives\*.
- d. One non-voting Youth Council representative.

\*Details of the eligibility and appointment arrangements relating to parent governor representatives are set out in section 26.17.

When the Panel deals with matters other than those relating to education functions, these representatives shall not vote on those other matters, though they may stay in the meeting and speak.

The Health Scrutiny Panel shall include in its membership three representatives of Wolverhampton HealthWatch.



## **Overview and Scrutiny Procedure Rules**

It is a requirement of accepting a position as a Co-opted Member that those persons should sign and abide by the Councillors' Code of Conduct.

A review, inquiry or task and finish group may appoint representatives of external organisations to support their work as appropriate, and may invite 'witnesses' to present evidence to meetings. These are not Co-opted Members.

### **3. Times and locations of meetings of the Scrutiny Board and Scrutiny Panels**

3.1 The Council will approve a programme of Ordinary Meetings for the Scrutiny Board and each Scrutiny Panel. In addition, extraOrdinary Meetings may be called from time to time as and when appropriate. A Board or Panel meeting may be called by the Chair or one quarter of the total number of voting Councillors or by the Head of Paid Service if he/she considers it necessary or appropriate.

3.2 Meetings shall take place at the Civic Centre or such other location(s) as may be agreed.

### **4. Quorum**

4.1 The quorum for the Scrutiny Board and Scrutiny Panels shall be as set out for Regulatory or other Committees in the Council Procedure Rules in Part 3.

### **5. The Chairs of the Scrutiny Board and Scrutiny Panels**

5.1 The Chair and Vice-Chair will be appointed by the Council from amongst eligible Councillors.

### **6. Work programme**

6.1 Each Scrutiny Panel will, subject to guidance from the Scrutiny Board, be responsible for setting and reviewing their priorities and work programme for the year.

### **7. Agenda items**

7.1 Any member of the Scrutiny Board or a Scrutiny Panel shall be entitled to give notice to the Head of Paid Service that he/she wishes an item relevant to the functions of the Panel be included on the agenda for the next available meeting of the Board or Panel. On receipt of such a request the Head of Paid Service will ensure that it is included on the next available agenda.

### **8. Ensuring that overview and scrutiny reports are considered by the Cabinet**

8.1 Once a Scrutiny Board or Scrutiny Panel report on any matter which is the responsibility of the Executive has been completed, it shall be included on the agenda of the next available meeting of the Cabinet or, by agreement with the Chair of the Board or Panel, the next meeting of the Cabinet which is scheduled to consider the subject matter of the report. If for any reason the Cabinet does not consider the Board or Panel report the matter will be

referred to Council for review, and the Head of Paid Service will call a Council meeting to consider the report and make a recommendation to the Cabinet.

- 8.2 The Scrutiny Board and Scrutiny Panels will have access to the Executive's timetable for decisions and intentions for consultation. The Board and Panels may consider any such item in advance of a decision by the Cabinet and may require the Cabinet to have regard to their views when considering the item. The Board and Panels will also use the decision schedule to identify items for scrutiny prior to decision in accordance with paragraph 12.2.

### **9. Rights of Scrutiny Board and Scrutiny Panel members to documents**

- 9.1 In addition to their rights as Councillors, members of the Scrutiny Board and Scrutiny Panels have additional right to documents, and to notice of meetings, as set out in the Access to Information Procedure Rules in Part 4.
- 9.2 Nothing in this section prevents more detailed liaison between the Cabinet and the Scrutiny Board and Scrutiny Panels as appropriate depending on the particular matter under consideration.

### **10. Councillors and employees giving account**

The Scrutiny Board and Panels may scrutinise and review decisions made or actions taken in connection with the discharge of any Council functions. As well as reviewing documentation, in fulfilling the scrutiny role, it may require any Cabinet Member, the Head of Paid Service and/or any Designated Officer to attend before it to explain in relation to matters within their remit:

- a. any particular decision or series of decisions;
- b. the extent to which the actions taken implement Council policy; and/or
- c. their performance,
- d. and it is the duty of those persons to attend if so required.

### **11. Attendance by others**

- 11.1 The Scrutiny Board and Scrutiny Panels may invite people other than those people referred to in paragraph 10 above to address it, discuss issues of local concern and/or answer questions. It may for example wish to hear from residents, stakeholders and Councillors and employees in other parts of the public sector and may invite such people to attend.

### **12. Scrutiny and Call-in**

- 12.1 Scrutiny of Executive decisions will be undertaken by the Scrutiny Board and Scrutiny Panels (NB: this does not include decisions made by regulatory committees, such as Licensing and Planning, which are not subject to call-in provisions). It has two principal elements:
- a. consideration of forthcoming decisions, known as pre-decision scrutiny, through which the Scrutiny Board or Panel can scrutinise a decision yet to be made and, if appropriate, shape the final decision through comment and advice to the Executive;

- b. consideration of Executive decisions already made, whether by the Cabinet or an individual Cabinet Member, through call-in or post-implementation review.

**12.2 Pre-decision scrutiny**

Although decisions made by the Executive must be open to scrutiny, the Council wishes the primary focus of its scrutiny process to be on shaping and informing decisions through pre-decision scrutiny.

- 12.3** The Scrutiny Board and Panels will have access to the Executive's schedule of forthcoming decisions and proposals for consultation. Often, the provision of additional or explanatory data and information can avoid the need for formal consideration of a decision or issue. The initial emphasis, therefore, will be on the free flow of information from Council employees in response to requests for clarification or elaboration from Councillors.

- 12.4** Thereafter, as part of its work programme, the Board or an individual Panel may request a report on any forthcoming decision that falls within its purview, in advance of its consideration by the Executive. Having considered a particular issue, the Board or Panel may require the decision-maker to have regard to its views as part of the decision-making process.

- 12.5** Subject to the proposals considered by the decision-maker being substantially the same as the information previously presented to the Scrutiny Board or Panel, matters that have been considered through pre-decision scrutiny may not be called in for post-decision scrutiny under the provisions outlined in paragraph 12.3.

- 12.6** Any item being considered as pre-decision scrutiny will therefore not be eligible for call-in once a decision is made by the Executive. Reports to be considered as pre-decision scrutiny by the Scrutiny Board or a Scrutiny Panel will carry the message:

'This item is being considered is pre-decision scrutiny and will therefore not be available to call in once a decision is made by the Executive.'

**13. Parameters for post-decision scrutiny (call-in or review)**

- 13.1** An amber decision, made by the Cabinet or a Cabinet Panel, may be called in for scrutiny prior to its implementation. A green decision, made by an individual Cabinet Member in consultation with an employee, can be reviewed by the Scrutiny Board or the relevant Scrutiny Panel, although this may be after implementation.

- 13.2** The following decisions may not be called in:

- a. a red decision, made by the Council;
- b. a red decision, approved by the Cabinet for consideration by the Council;
- c. a decision made by an employee under delegated authority;
- d. an amber decision made under the urgency provisions outlined in paragraph 17;

## **Overview and Scrutiny Procedure Rules**

- e. an amber decision, where it has previously been subject to pre-decision scrutiny (as outlined in paragraph 2.4).
- f. a green decision, made by a Cabinet Member in consultation with an employee

13.3 The decision to effect a call-in can be made by any of the following:

- a. the Chair of the Scrutiny Board
- b. the Vice-Chair of the Scrutiny Board
- c. the Leader or Deputy Leader of the main opposition group.

### **14. Review of green decisions**

14.1 The Scrutiny Board or relevant Scrutiny Panel can decide to review a green decision, considering whether it should have been made as a green decision, as well as reviewing the merits of the decision itself. Such reviews must be notified to the accountable Cabinet Member and employee within three working days of the decision being reported to the Cabinet (Resources) Panel and will be incorporated into the Scrutiny Board or Panel's work programme.

### **15. Scrutiny of Amber Decisions**

15.1 Decisions made by the Cabinet or a Cabinet Panel (known as Amber Decisions) will be summarised in the minutes of the relevant meeting and published on the Council's website, normally within five working days of the meeting occurring.

15.2 Within the parameters outlined in paragraph 12.3, call-in of an amber decision can be made within three working days of the decision being published. Once this period has expired, and if no call-in has been received, the decision can be implemented.

### **16. Arrangements for considering call-ins**

16.1 If an amber decision has been formally called in under paragraph 12.5, the Scrutiny Board or appropriate Scrutiny Panel should convene to consider the matter within ten working days of the call-in being received. In the event that the relevant Scrutiny Panel cannot be convened within ten working days, or if the Councillor calling in the decision so requests, the Chair of the Scrutiny Board can determine that the call-in will be considered by the Board and convene a meeting accordingly. The Board meeting should still take place within ten working days of the call-in being received.

16.2 An amber decision that has been called in, may not be implemented until the call-in process is complete.

16.3 The Scrutiny Board or Panel will consider the called-in decision and supporting information, including receiving oral and written comments from both the appropriate Cabinet Member(s) and Senior Manager(s). The Board or Panel will exercise one of the following options:

- a. note the decision, which can then be implemented immediately;
- b. ask the Cabinet or Cabinet Panel to reconsider the decision (a decision can only be reconsidered once);

- c. refer the decision to the Council's next meeting to see if it wishes the decision to be reconsidered.
- 16.4 The relevant Cabinet Member(s) and Senior Manager (s), given reasonable notice, have a duty to attend the Scrutiny meeting to respond to questions and provide information about the call-in. In the event that they are unable to attend, they should ensure a nominated substitute (for Cabinet Members) or appropriate representative (for Senior Management) is able to attend in their place.
- 16.5 If the decision is referred to Council and the Council does not object to the decision, it can be implemented immediately. The Council may not substitute its own decision unless the original decision is contrary to the policy framework or contrary to or not wholly consistent with the budget. Unless that is the case, the Council will refer the matter back to the next meeting of the Cabinet or Cabinet Panel, detailing the Council's views on the decision. The Cabinet or Cabinet Panel will then choose whether to amend the decision or not, before reaching a final decision and implementing it.

**17. Call-In and Urgency**

- 17.1 The call-in procedure set out above shall not apply where the decision being taken by the Cabinet or Cabinet Panel is urgent. A decision will be urgent if any delay likely to be caused by the call-in process would seriously prejudice the Council's or the public's interest. The record of the decision, and notice by which it is made public shall state whether in the opinion of the decision-making person or body, the decision is an urgent one, and therefore not subject to call-in. The Monitoring Officer must agree both that the decision proposed is reasonable in all the circumstances and to it being treated as a matter of urgency. In the absence of the Monitoring Officer, the Deputy Monitoring Officer's consent shall be required. In the absence of both, the Head of Paid Service or his/her nominee's consent shall be required. Decisions taken as a matter of urgency must be reported to the next available meeting of the Council, together with the reasons for urgency.
- 17.2 The operation of the provisions relating to call-in and urgency shall be monitored annually, and a report submitted to Council with proposals for review if necessary.

**18. Procedure at Scrutiny Board and Scrutiny Panel Meetings**

- 18.1 The Scrutiny Board and Scrutiny Panels shall consider the following business:
- a. consideration of the minutes of the last meeting;
  - b. declarations of interest;
  - c. consideration of any matter referred to the Board or Panel for a decision in relation to call in of a decision;
  - d. responses of the Cabinet to reports of the Board or Panels and
  - e. the business otherwise set out on the agenda for the meeting.
- 18.2 Where the Board or Panel conducts investigations (e.g. with a view to policy development), it may ask people to attend to give evidence at meetings which are to be conducted in accordance with the following principles:

- a. that the investigation be conducted fairly and all Councillors of the Board or Panel be given the opportunity ask questions of attendees, and to contribute and speak;
- b. that those assisting the Board or Panel by giving evidence be treated with respect and courtesy; and
- c. that the investigation be conducted so as to maximise the efficiency of the investigation or analysis.

18.3 Following any investigation or review the Board or Panel shall prepare a report, for submission to the Cabinet and/or Council as appropriate and shall make its report and findings public.

## **19. Substitution of Councillors at Scrutiny Board**

19.1 Any permanent Councillor of the Scrutiny Board may nominate another Councillor to attend a meeting of the Scrutiny Board where:

- a. the permanent Councillor will be unable to attend for the entire duration of the meeting of the Board;
- b. the permanent Councillor will be unable to attend at the commencement of, or for any part of a meeting or;
- c. the permanent Councillor will be required to be absent from any part of a meeting or during consideration of a particular item as a result of the need to declare a prejudicial interest.

19.2 Where a substitute Councillor is nominated to attend a meeting of the Scrutiny Board.

- a. The substitute Councillor will have all the powers and duties of a permanent Councillor of the Board whilst attending the meeting or part thereof in place of the permanent Councillor and may speak and vote.
- b. The substitute Councillor may be replaced during the course of a meeting by the permanent Councillor on the proviso that as far as is practically possible the substitute Councillor will be required to remain in the meeting for the duration that the items(s) for which they are substituting are under discussion.
- c. All substitutions to be notified to the Democratic Services Section by the permanent Councillor as soon as possible prior to the commencement of the meeting either in writing or via email.

## **20. Matters within the remit of more than one Scrutiny Panel**

20.1 Where a matter for consideration by a Scrutiny Panel also falls within the remit of one or more other Panels the decision as to which Panel will consider it will be resolved by the Scrutiny Board.

## **21. Arrangements for the appointment of parent governor representatives**

21.1 The role and responsibilities of local authority parent governor representatives

21.2 The overall role of parent governor representatives (PGR) is to represent parents and not parent governors and to hold the authority to account for education policy and decision-making. The responsibilities of the PGR are listed below:

- a. act as an apolitical voice for parents in the area, representing to the local education authority the main education issues which concern parents of pupils in schools maintained by the authority'
- b. PGRs are not expected to represent the views of all parents across the local authority through any sort of delegated mandate. However, there is an expectation that as best you can that you remain in touch with your wider constituency in order that you can reflect diverse views;
- c. liaise with the other PGRs on the Children, Young People and Families Scrutiny Panel;
- d. attend and contribute to the Children, Young People and Families Scrutiny Panel to which they have been appointed;
- e. establish good relations with other Councillors members and officers;
- f. feedback discussions of and decisions on education matters from the Children, Young People and Families Scrutiny Panel to parents;
- g. sign and abide by the Councillor Code of Conduct;
- h. act with due propriety according to standards laid down for conduct in local government.

### 21.3 Eligibility criteria for local authority parent governor representatives

Any parent governor (who is still a parent of a child in a maintained school within the authority or the parent of a registered pupil educated at a school maintained by the local authority at the time of election) can stand for election, even if they only have a short time left to serve.

Employees of the local authority, at any of its schools, and local councillors, are not eligible to apply.

A person can only be a parent governor representative in one local authority at any one time.

If a person resigns or is disqualified as a PGR or they become a local councillor or member of school staff, they will not be eligible to apply for a vacancy.

A person will not be disqualified if their term of office as a parent governor comes to an end in the normal way, or they cease to be a parent governor of the school due to changes to the constitution of the governing body or the closure of the school.

It is the responsibility of parent governor representatives to inform the local authority of any circumstance which they believe disqualifies them from office. Where there is a disqualification (or a PGR cannot complete the term of office for some other reason) the local authority can decide whether to appoint a successor for the unexpired portion of the term or for a full term. In any event when there is a vacancy (mid or full-term) an election should be held within six months.

### 21.4 Election of local authority parent governor representatives

The Council is responsible for making all the necessary arrangements for and to determine all other matters relating to the holding of an election of a local

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authority parent governor representative. The Council, through the Monitoring Officer, will appoint a returning officer to ensure that as far as possible that the election of a PGR is conducted fairly and complies with the requirements detailed below (source: s4, Parent Governor Representatives (England) Regulations 2001):

- (1) A local education authority shall make all the necessary arrangements for, and determine all other matters relating to, the holding of an election of a parent governor representative but nothing in this regulation shall prevent an authority from appointing another body to conduct or oversee that election.
- (2) A local education authority may make arrangements
  - (a) dividing parent governor representatives into different categories representing (i) particular types of school, or (ii) maintained schools in a particular area; and
  - (b) where they have done so, restricting the electorate for each such category to parent governors of the same type of school or parent governors of maintained schools in that area (but they need not do so).
- (3) Where a vacancy for a parent governor representative is required to be filled by election the local education authority shall announce that vacancy and at the time of that announcement shall
  - (a) appoint a returning officer who shall ensure that so far as possible the election is conducted fairly;
  - (b) take such steps as are reasonably practicable to secure that every person who is known to them to be eligible to vote in the election of a parent governor representative is (i) informed of the vacancy and that it is required to be filled by election; (ii) informed that he is entitled to vote at the election; (iii) informed of any arrangements made in respect of the election under regulation 4(2) (iv) informed of the details of the electoral timetable and procedures; (v) informed of the qualifications which a person requires in order to be elected as a parent governor representative, and of the term of office of a parent governor representative; and (vi) provided with a description of the role of a parent governor representative.
- (4) Any election of a parent governor representative which is contested shall be held by secret ballot.
- (5) No ballot paper in such an election shall contain any indication of an affiliation with a political party.
- (6) Where a vacancy for a parent governor representative arises, the local education authority shall



- (a) determine, for the purposes of the election, any question as to a person's entitlement to vote or eligibility to stand for election;
  - (b) provide for every person who is eligible to vote in the election to have an opportunity to do so by post;
  - (c) secure that the results of the election are announced not more than one week after the date of the election, and not more than three months after the announcement of the vacancy.
- (7) Where a vacancy remains unfilled because no, or not enough, candidates seek election, the local education authority shall comply with the requirements of this regulation again within one year of the original vacancy having arisen and at six monthly intervals thereafter, calculated from the first anniversary of the original vacancy having arisen, until the vacancy is filled.
- (8) Nothing in these Regulations shall require a ballot to be held if the number of vacancies to be filled is equal to or exceeds the number of candidates for election.'

#### 21.5 Returning Officer's discretion

Once appointed by the Monitoring Officer in response to a vacancy, the Returning Officer shall make all necessary arrangements and determine all matters relating to the holding of an election of a parent governor representative and shall have discretion not to arrange a ballot where the number of places to be filled is equal to or exceeds the number of parent governor representative's candidates for election.

#### 21.6 Disqualification due to non-attendance of meetings

The Chair of the Children, Young People and Families Scrutiny Panel has the discretion to disqualify a parent governor representative who does not attend panel meetings for a period of six months.

## **22. Councillor Call for Action Protocol**

### **2.1 Introduction**

The "Councillor Call for Action" (CCfA) was introduced under Section 119 of the Local Government and Public Involvement in Health Act 2007 (the Act), and came into force on 1 April 2009.

The Act enables any Councillor to refer to the relevant Committee any local government matter or any crime and disorder matter which affects their Ward.

The power to refer a matter is available only where the matter is of direct concern to the Ward which the Councillor represents. A Councillor can refer a matter even if no citizen has asked him/her to consider it, and there is no requirement for Councillors in multi-member Wards to agree – any of them can refer a matter.

## **2.2 Limitations**

It is important to recognise that CCfA is not guaranteed to solve a given issue. CCfA provides a method for discussing such issues and, through discussion, trying to overcome them.

### **22.3 Issues excluded from referral as a CCfA**

The Overview and Scrutiny (Reference by Councillors) (Excluded Matters) (England) Order 2008 excludes the following matters from referral as a CCfA:

- a. Individual complaints concerning personal grievances or commercial issues.
- b. Any matter relating to an individual or entity where there is already a statutory right to a review or appeal (other than the right to complain to the Local Government Ombudsman), for example:
  - Planning and licensing applications and appeals
  - Council Tax/Housing Benefits complaints and queries
  - Issues currently under dispute in a court of law
- c. Any matter which is vexatious, discriminatory or not reasonable to be included on the agenda for, or to be discussed at, a meeting of the overview and scrutiny committee or any of its sub-committees.<sup>2</sup>

In addition, the Council has determined that the following matters be also excluded from CCfA:

- (i) CCfA should not seek to ask the Council to determine: -
  - personal or commercial issues
  - specific or individual employee relations
  - Disciplinary or grievance matters
  - Matters which are subject to formal or statutory appeal processes or are sub-justice;
  - Individual appeal cases, for example, Planning, Licensing, Housing or Education applications or appeals;
  - Decisions of the Standards and Audit Committees or Regulatory Committees.
- (ii) CCfA should not contain:
  - offensive, intemperate, inflammatory, sarcastic or provocative language or language to which those reading could reasonably take offence
  - false or defamatory statements
  - information which is protected by an interdict or court order
  - commercially sensitive or confidential material
  - the names of individuals, or information whereby
  - they may be easily identified, in relation to criminal accusations.

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- (iii) CCfA should be submitted in good faith and be decent, honest and respectful.
- (iv) CCfA will be rejected if defamatory, frivolous or offensive.
- (v) During politically sensitive periods, such as before an election, politically controversial material will be restricted.
- (vi) CCfA which do not follow these guidelines will be considered inadmissible, in which case signatories will be informed in writing of the reasons why.
- (vii) CCfA which are the same or substantially similar and which are lodged by or on behalf of the same person or organisation will be considered inadmissible unless more than a year has passed since the original CCfA was considered by the relevant Committee. Advice on admissibility can be obtained from the Democratic Services Section whose contact details are provided on the Website. In cases of dispute, the relevant Committee shall decide whether a CCfA is admissible.

A referral, provided it is not an excluded matter (see above) will ensure that the matter is included on the agenda of the relevant Committee. It is then up to the Committee to decide whether or not to take the matter further. A referral made to the relevant Committee is seen as being at the end of the CCfA process (**the last resort**) and not the first step.

### **22.4 Steps to be taken, prior to making a Councillor Call for Action referral**

Prior to a Councillor referring a matter as a CCfA to the relevant Committee, a Councillor **must** have tried to resolve the issue/problem themselves using all mechanisms and resources available to them at Ward level. Councillors should:

If a local crime and disorder matter, raise the issue through the Wolverhampton Safer Partnership to find a way to resolve the issue.

- Ensure that all relevant partner organisations have been informed of the issue and given enough time to resolve it, for example through formal letters written on behalf of constituents, discussion at public meetings, petitions or communication with local MPs.
- Ensure that all relevant internal potential routes to solution have been followed, for example informal discussions with employees and/or Councillors.
- Ensure that this is not an issue that is currently being or should be pursued via the Council's complaints procedure.
- Ascertain whether or not any other form of local scrutiny is investigating the issue.

## **22.5 How to make a Councillor Call for Action referral**

If the issue/problem is still not resolved, a Councillor can refer it to the relevant Committee as a “Councillor Call for Action”. To do this the Councillor should:

- Complete a CCfA Request Form by hand or electronically, outlining what the issue is and what steps have been taken towards a resolution. The request for a CCfA should include:
  - The name of the Councillor and Ward they represent.
  - Title of the CCfA
  - Why they think the issue should be looked at by the relevant Committee.
  - A brief synopsis of what the main areas of concern are.
  - What evidence they have in support of the CCfA?
  - Which areas or community groups are affected by the CCfA?
  - What prior action has been undertaken to try and resolve the issue prior to requesting a CCfA?
  - Is the CCfA currently the subject of legal action by any party (to their knowledge) or is being examined by a formal complaints’ process?
  - Are there any deadlines associated with the CCfA of which the relevant Committee needs to be aware?
- The Democratic Services Section will receive the referral form either by post or electronically, log it to track its progress and assess the issue to ensure that it is not a matter excluded from referral to scrutiny.
- The Democratic Services Section will inform the Chair of the relevant Committee that the item will be included on the next Committee agenda.
- The Councillor submitting the CCfA will be invited to attend the meeting of the relevant Committee to speak in connection with the issue.

A successful referral will ensure that the CCfA will be placed on the next agenda of the appropriate Scrutiny Panel. The Panel will then decide whether or not to take the matter further.

## **22.6 Decision of the relevant Scrutiny Panel whether to take the matter further**

In deciding whether or not to take the matter further, the Scrutiny Panel will consider:

- Anything that the Councillor has done in relation to this matter; and
- Representations made by the Councillor as to why the Committee should take the matter up. (Councillors have the option of either presenting their CCfA form without supporting papers or by preparing a report setting out their views. Any reports prepared by Councillors would be circulated along

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with the agenda and other reports for the meeting). This information will need to take account of the disclosures of exempt information as prescribed in Part 1 of Schedule 12A of the Local Government Act 1972.

The criteria the Committee will use to decide whether or not to take the matter further include:

Is the Scrutiny Panel satisfied that all reasonable attempts have been made to resolve the issue by the Ward Councillor? And do the responses received by the referring Councillor demonstrate that the matter is not being progressed?

- Has the Scrutiny Panel considered a similar issue recently – if yes, had the circumstances or evidence changed?
- Is there a similar or related issue which is the subject of a review on the current work programme? It may be more appropriate to link the new issue to an existing review, rather than hold a separate CCfA hearing. Relevant time pressures on resolving the CCfA should be taken into account.
- Have all relevant service areas or partner organisations been informed and been given enough time to resolve the issue? What response has the Councillor received?
- Is this a case that is being or should be pursued via the Council's corporate complaints procedure?
- Is it relating to a "quasi-judicial" matter or decision such as planning or licensing?
- Is the issue part of an individual's own personal agenda (an issue of genuine local concern should have an impact on the local community)?
- Does the matter referred have the potential for scrutiny to produce recommendations which could realistically be implemented and lead to improvements for anyone living or working in the referring Councillor's Ward?

In considering the CCfA, the Scrutiny Panel may invite the Head of Paid Service, Directors, Heads of Service or external organisation to discuss the issue with the Panel and answer any questions, if the Panel considers this relevant.

If the Scrutiny Panel decides not to accept the CCfA referral it must inform the Councillor and provide reasons.

If the Scrutiny Panel decides to accept the CCfA referral, it will decide how it intends to take the matter forward and include the CCfA in its work programme. This could include:

Before holding a formal hearing:

- Asking the service area(s)/partner organisation(s) to respond to the CCfA.

- Establishing a Review Group to undertake a more in depth review.

At the formal hearing:

- Asking for further evidence and/or witnesses to be brought to a future meeting then making recommendations to the relevant service Committee/partner organisation.

### **22.7 Potential outcomes**

Following a formal hearing, there are a number of potential outcomes from the Scrutiny Panel meeting:

- The Scrutiny Panel could determine not to make a report (perhaps because it is not considered the right time to consider a particular issue), with the Ward Councillor notified in writing;
- The Scrutiny Panel could determine it is a complex issue that requires further investigation and commission a scrutiny review of the issue;
- The Scrutiny Panel could write a report and make recommendations on the CCfA to the relevant Cabinet Panel or partner organisation.

Once the Scrutiny Panel has completed its work on the CCfA referral, the Councillor who made the CCfA referral will receive a copy of any report or recommendations made. The reply will also be printed on the Council's website (unless there are reasons why the Committee treats the matter as an exempt item and as a result the report will not be made public).

### **22.8 Timescales**

Once a CCfA has been assessed as not being a matter which is excluded from referring to scrutiny, the item will be included on the next available relevant Committee agenda.

If the relevant Committee agrees to take the matter forward, the matter will usually be placed as an item on the next available agenda. In exceptional circumstances, for example where there are unavoidable time constraints, a separate meeting may be convened.

Should a CCfA hearing result in recommendations to the Cabinet being made, a response to the recommendations, setting out any action it intends to take, within 28 days of the recommendations being placed on an agenda.

Should a CCfA hearing result in recommendations to partner organisations, such organisations will also be requested to make a response to the recommendations, although it must be recognised they are under no legal obligation to do so.

**Appendix 1**

**Councillor Call for Action Request Form**

This form should be used by any Councillor who wishes to consider a Councillor Call for Action in their Ward.

<b>Your contact details:</b> Name (print):
Address:
Contact number:
Email address:

<b>The Ward you represent:</b>
--------------------------------

<b>Title of your Councillor Call for Action:</b>
--

<b>Date of Submission:</b>
----------------------------

Would you like the opportunity to speak to the relevant Committee? Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you approached the relevant Committee on the same issue in the past six months? Yes <input type="checkbox"/> No <input type="checkbox"/>
Would you like your response by: Email <input type="checkbox"/> Letter <input type="checkbox"/>

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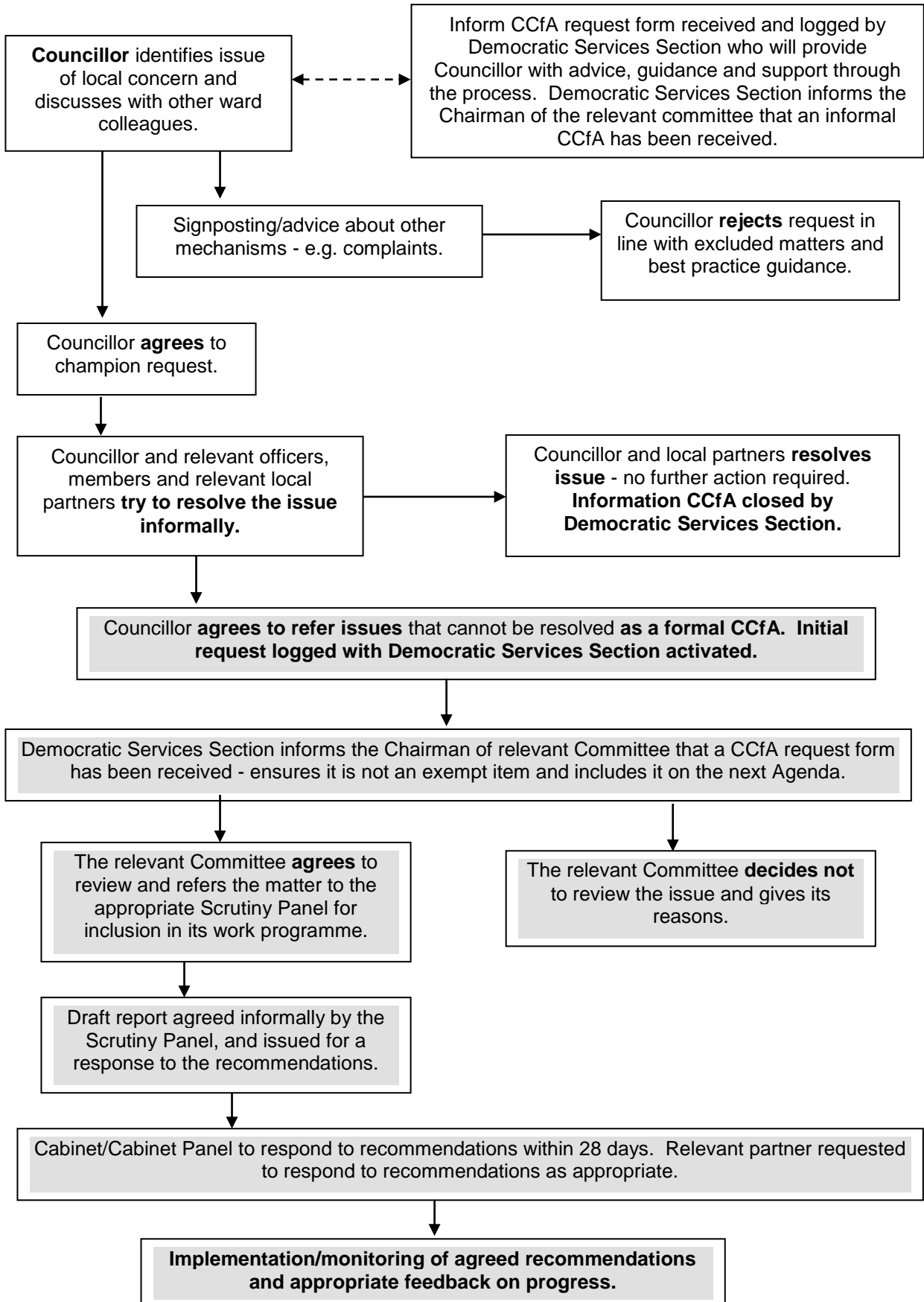
Why you think the issue should be looked at by the relevant Committee:
Please give a brief synopsis of the main areas of concern are:
What evidence do you have in support of your CCfA:
Which areas or community groups are affected by the CCfA:
How have you tried to resolve the issue :
Is the CCfA currently the subject of legal action by any party (to your knowledge) or is being examined by a formal complaints' process?
Are there any deadlines associated with the CCfA of which the relevant Committee needs to be aware:

**Please complete and return the form to:**

Democratic Services  
Governance Directorate  
Civic Centre  
Wolverhampton  
WV1 1SH



Appendix 2



**Appendix 3**

Explanatory Notes

1. Definition of a local government matter and a local crime and disorder matter

**Local government matter** For the purpose of the Act a local government matter, in relation to a Councillor of a local authority is one which:

- relates to the discharge of any function of the authority;
- affects all or part of the electoral area for which the referring Councillor is elected or any person who lives or works in the area (i.e. it must be specific to a particular locality); and
- is not an excluded matter.

**Local crime and disorder matter** A local crime and disorder matter, in relation to a Councillor of a local authority, has been defined to mean a matter concerning:

- (a) crime and disorder (including in particular forms of crime and disorder that involve anti-social behaviour or other behaviour adversely affecting the local environment); or
- (b) the misuse of drugs, alcohol and other substances that affects the electoral area represented by the Councillor, or the people who live or work in that area.

2. Definitions of “vexatious” “persistent” “discriminatory” and “not reasonable”

Statutory regulations deal with matters that can be excluded from CCfA, stating that “any matter which is vexatious, discriminatory or not reasonable to be included on the agenda for, or to be discussed at, a meeting of the Scrutiny Board is to be excluded”.

**Vexatious/Persistent**

Deciding whether a request is vexatious is a flexible balancing exercise, taking into account all the circumstances of the case. There is no rigid test or definition, and it will often be easy to recognise. The key question is whether the request is likely to cause distress, disruption or irritation, without any proper or justified cause.

Issues around persistency are implied by this definition. However, a persistent request may well be entirely valid – it may relate to a systematic problem that has not been effectively resolved. Similarly, a request which some Councillors may regard as vexatious, for political reasons, may actually be entirely reasonable.

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CCfAs need to be looked at on their merits, rather than on the basis of who is bringing them, or whether somebody thinks there is an ulterior motive for them being brought.

Where a request for a CCfA is clearly vexatious, detailed reasons for coming to this decision will be given to the Councillor concerned. There could, however, be instances where changes to the scope of the CCfA, or its focus, could make it more acceptable while still meeting the Councillor's requirements.

### **Discriminatory**

A modern interpretation of the word "discrimination" is provided at Section 45 of the Equality Act 2006, in relation to religion and belief, as follows:

A person (A) discriminates against another (B) if on the grounds of the religion or belief of B or of any other person except A, A treats B less favourably than he treats others. This definition can easily be amended to deal with other forms of discrimination, such as discrimination for reasons of sex and/or race. So, a discriminatory CCfA might be one which implies or states that a group of people or an area receives better, or worse, services on account of that group's predominant religion, race, sex or other characteristic, as covered by discrimination legislation.

### **Not reasonable**

It is suggested that, in the interests of transparency, authorities do not interpret "not reasonable" as being the same as the legal word "unreasonable". It is best to consider it as a qualifier to the word "vexatious", as a vexatious request is likely not to be reasonable and a request that is not reasonable is likely to be vexatious.

### **3. Structure of the CCfA hearing**

A CCfA hearing will be based on the current structure for dealing with call-in hearings.

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## **Access to Information Procedure Rules**

### **1. Introduction and Scope**

- 1.1 These rules apply to all meetings of the Full Council, the Scrutiny Board, Scrutiny Panels, other Committees, sub committees and public meetings of the Cabinet and Cabinet Panels.

Certain rules will also apply to Executive decisions taken by individual Cabinet members and officers.

Note: the rules set out below are in addition to any rights which members of the public may enjoy under the Freedom of Information legislation.

### **2. Additional Rights to Information**

- 2.1 These rules do not affect any more specific rights to information contained elsewhere in this Constitution or the law.

### **3. Rights to Attend Meetings**

- 3.1 Members of the public may attend all meetings subject only to the exceptions referred to in paragraph 10.

### **4. Notice of Meeting**

- 4.1 Except in cases of special urgency the Council will give at least five clear days' notice of any meeting by posting details of the meeting at the Civic Centre, St Peter's Square, Wolverhampton, WV1 1SH and on the Council's website. This will exclude the day of publication of the agenda and day of the meeting, along with weekends and bank holidays.

### **5. Access to Agenda and Reports before the Meeting**

- 5.1 The Council will make copies of the agenda and reports open to the public available for inspection at the Civic Centre and on the Council's website, at least five clear days before the meeting. If an item is added to the agenda later, the revised agenda will be open to inspection from the time the item was added to the agenda (where reports are prepared after the summons has been sent out, the Head of Paid Service shall make each such report available to the public as soon as the report is completed and sent to Councillors).

### **6. Supply of Copies**

- 6.1 The Council will make available copies of:
- a. any agenda and reports which are open to public inspection;

## ***Access to Information Procedure Rules***

- b. any further statements or particulars, which are not exempt or confidential and which are necessary to indicate the nature of the items in the agenda; and
- c. if the Head of Paid Service thinks fit, copies of any other documents supplied to Councillors in connection with an item to any person on payment of a charge for postage and any other reasonable costs.
- d. A copy of all agendas, minutes and reports will be made available on the Council's website at least five clear days before the meeting

### **7. Access to Minutes, Agendas and Reports after the Meeting**

- 7.1 The Council will make available copies including on the Council's website, of the following for at least six years after a meeting:
- a. the minutes of the meeting or records of decisions taken, together with reasons, excluding any part of the minutes of proceedings when the meeting was not open to the public or which disclose exempt or confidential information.
  - b. a summary of any proceedings not open to the public where the minutes open to inspection would not provide a reasonably fair and coherent record;
  - c. the agenda for the meeting; and
  - d. reports relating to items when the meeting was open to the public.

These documents will be available via the Council's website or during normal business hours for inspections at the Civic Centre, St Peter's Square, Wolverhampton, WV1 1SH.

### **8. Background Papers**

#### 8.1 List of background papers

The Council will set out in every report a list of those documents (called background papers) relating to the subject matter of the report which in the author's opinion:

- a. disclose any facts or matters on which the report or an important part of the report is based; and
- b. which have been relied on to a material extent in preparing the report but does not include published works or those which disclose exempt or confidential information (as defined in paragraph 10 below) and in respect of Cabinet reports, the advice of a political advisor.

#### 8.2 Public inspection of background papers

The Council will make available for public inspection for four years after the date of the meeting including on the Council's website one copy of each of the documents on the list of background papers.

**9. Summary of Public's Rights**

- 9.1 A written summary of the public's rights to attend meetings and to inspect and copy documents must be kept at and available to the public at the Civic Centre, St Peter's Square, Wolverhampton WV1 1SH.

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

1. Confidential information – requirement to exclude public

The public must be excluded from meetings whenever it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that confidential information would be disclosed. Non-Executive Councillors of the Council shall be entitled to remain at Executive meetings where decisions are being taken as observers only, unless the Proper Officer advises that this would be inappropriate.

2. Exempt information – discretion to exclude public

The public may be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that exempt information would be disclosed. Non-Executive Councillors of the Council shall be entitled to remain at Executive meetings where decisions are being taken as observers only, unless the Proper Officer advises that this would be inappropriate.

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

3. Meaning of confidential information

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

4. Meaning of exempt information

Exempt information is defined in the Local Government (Access to Information) (Variation) Order 2006 which amends Part 1 of Schedule 12A to the Local Government Act 1972.

The categories of exempt information are:-

- (i) Information relating to any individual.

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- (ii) Information which is likely to reveal the identity of an individual.
- (iii) Information relating to the financial or business affairs of any particular person (including the authority holding that information).
- (iv) Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
- (v) Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
- (vi) Information which reveals that the authority proposes –
  - (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
  - (b) to make an order or direction under any enactment.
- (vii) Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

### **Qualifications**

- (viii) Information falling within categories (i) to (vii) above is **not** exempt if it is required to be registered under:
  - (a) the Companies Act 1985;
  - (b) the Friendly Societies Act 1974;
  - (c) the Friendly Societies Act 1992;
  - (d) the Industrial and Provident Societies Acts 1965 to 1978;
  - (e) the Building Societies Act 1986;
  - (f) the Charities Act 1993.
- (ix) Information is **not** exempt information if it relates to proposed development for which the local planning authority may grant itself planning permission pursuant to regulation 3 of the Town and Country Planning General Regulations 1992.
- (x) Information which –
  - (a) falls within any of paragraphs 1 to 7 above; and



- (b) is not prevented from being exempt by virtue of paragraph 8 or 9 above,

is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

5. Exempt information relating to the Standards Committee only

Additional categories of exempt information relating to the Standards Committee only are:

- a. Information which is subject to any obligation of confidentiality.
- b. Information which relates in any way to matters concerning national security.
- c. The deliberations of the Standards Committee (or its Sub-Committee) in reaching any finding on a matter referred under the provisions of Section 60(2) or (3), 64(2), 70(4) or (5) or 71(2) of the Local Government Act 2000.

6. Scope of exclusion

When it is necessary to exclude the public, the exclusion applies to any individual that is either not a member of the particular committee or not an employee or other person who is there to contribute their professional opinion to support the committee's deliberations. The Chair's decision about who may remain is final.

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

- 11.1 If the Monitoring Officer thinks fit, the Council may exclude access by the public to reports (or parts of reports) which in his or her opinion relate to items during which, in accordance with paragraph 10 above, the meeting is likely not to be open to the public. Such reports will be marked "Not for publication" together with the category of information likely to be disclosed.

**12. Application of Rules to the Cabinet**

- a. Paragraph 13.1 below applies to the Cabinet and Cabinet Panels.

If the Cabinet meets to take a key decision, as defined in Article 13.3 of this Constitution, then it must also comply with –paragraphs 1 – 11 unless paragraph 23.5 (general exception) or paragraph 23.6 (special urgency) apply.

- b. If the Cabinet meets to discuss a key decision to be taken collectively, with an employee other than a political assistant present, within 28 days of the date according to the Forward Plan by which it is to be decided, then it must also comply with paragraphs 1 – 11 unless paragraph 23.5 (general exception) or paragraph 23.6 (special urgency) apply. This requirement does not include meetings, whose sole purpose is for employees to brief Councillors.

**13. Procedure before Taking Key Decisions**

13.1 Subject to paragraph 23.5 (general exception) and paragraph 23.6 (special urgency), a key decision may not be taken unless:

- a. the required details pertaining to the decision have been published at least 28 clear days in advance;
- b. where the decision is to be taken at a meeting of the Cabinet, notice of the meeting has been given in accordance with paragraph 22.4 (notice of meetings).

**Protocol for Recording, Filming and Social Media at Meetings**

The Council welcomes engagement by the public and through the media with the decision-making processes that determine the policies and strategies that shape provision of services in Wolverhampton. Audio and video/visual recording, photography, blogging, tweeting or use of other social media at meetings open to the public (hereafter referred to as 'broadcasting activities') are allowed subject to the following restrictions:

- a. All broadcasting activities should take place from the public gallery or the designated press seating in the meeting room.
- b. Anyone undertaking broadcasting activities must comply with any instructions given by the Chair of the meeting.
- c. The use of flash photography, additional lighting or professional microphones (i.e. by recognised media groups or for educational purposes) in connection with audio/visual recording at meetings will not be permitted without prior permission.
- d. The Democratic Services team will ensure signs are prominently displayed at meetings to remind attendees that broadcasting activities may be undertaken and that the Council has no control over where material may appear (for example posted on the internet). Meeting agendas will also carry this message.
- e. Where the Chair of a meeting reasonably considers the broadcasting activity is disrupting the meeting, the operator of the equipment will be required to stop.
- f. Anyone refusing to stop when requested to do so may be requested by the Chair to leave the meeting. If the person refuses to leave, then the Chair may adjourn the meeting or make other appropriate arrangements for the meeting to continue without disruption. These will be in line with disorderly conduct procedures set out in the Constitution.
- g. Anyone asked to leave a meeting because they have refused to comply with the Chair's requests may be refused permission to engage in broadcasting activities at future meetings.
- h. Where a recording is made that features a minor (under the age of 18), it is the recorder's responsibility to gain the permission of the appropriate parent/guardian, both for the initial recording and for any subsequent dissemination of it (e.g. on social media), and to ensure compliance with any prevailing legislation in relation to such activity.
- i. Any decision taken by the Chair on the interpretation of this protocol is final.

### ***Protocol for Recording, Filming and Social Media at Meetings***

- j. The media and public may only be excluded from a meeting in respect of business relating to confidential or exempt information if a resolution is passed under Section 100A of the Local Government Act 1972. The media and public will be told about the nature of the exclusion relating to the business to be discussed. No broadcasting activities will be permitted during this exclusion. All cameras, recording and sound equipment must then be removed from the meeting room.
  
- k. Recognised media organisations and educational institutions may be given greater flexibility to record/film meetings for the purposes of news bulletins, programmes and education. These requests must be directed through the Council's Communications Team and approved by the Leader plus the Mayor (in the case of meetings of the Full Council) or the Chair (for all other meetings).

## **Protocol for webcasting of formal council meetings**

### **Webcasting of public council and committee meetings**

#### **Introduction**

The City of Wolverhampton Council is committed to involving local residents in decision making, however some residents may sometimes not be able to attend the meetings they are interested in. To ensure that those residents can still get involved, the Council films and streams, live, many of its meetings ('webcasting'). These can then be watched online as the meeting happens or up to six months after the meeting (after 6 months, a recording of the webcast can be ordered via Democratic Services).

#### **How do we webcast and how long will the recording be available?**

Fixed cameras are located in the Council Chamber and in Committee Room 3 at the Civic Offices to provide the webcasting facility.

The webcast of any of the meetings will be available on the Council's website for a period of 6 months and, after that, copies of recordings may be available upon request.

#### **Are there any meetings or parts of meetings which the Council may not webcast?**

The City of Wolverhampton Council wants to make sure meetings are webcast as far as possible to ensure full engagement with the public. However, there are instances where it may not be appropriate to webcast a meeting or parts thereof, for example:

- **When an individual, who is presenting at a public meeting, specifically requests not to appear on the public webcast, and we agree with the request.** We will always seek to accommodate such requests and work with that individual to agree an approach that is satisfactory to all parties. Any such part of a meeting that has not been broadcast will not appear online or be available following the meeting. If you are watching from home, you will see a notice appearing on the screen to let viewers know what is happening.
- **In considering whether or not to record contributions by children at meetings** the Council will, for those aged 16 or over check with the young people themselves that they are content to be filmed and, subject to that, record and broadcast them. For children younger than 16, or those who are otherwise thought vulnerable, we will record only with the consent of the appropriate parent or guardian. If we are in any doubt we will stop the webcast whilst children are speaking.
- **When Councillors at a meeting pass a resolution to exclude the press and public because there is likely to be disclosure of exempt or confidential information.** This will happen in situations where national rules allow the Council to exclude the press and public. You will be notified if

watching from home that the webcasting has ceased for this part of the meeting and why. The Council will only do this if they have good reason as it will always try to conduct its business in public.

- **Signage of webcasting and other filming and recording at meetings**

Agendas relating to those meetings that The City of Wolverhampton Council webcasts include a statement to alert the public to the webcast as well as the rights of the public generally to film, record, photograph and use social media to report from the proceedings, as follows:

**WEBCASTING NOTICE**

- This meeting will be filmed by the Council for live and/or subsequent broadcast on the Council's website. The whole of the meeting will be filmed, except where there are confidential or exempt items, and the footage will be on the website for 6 months. A copy of it will also be retained in accordance with the Council's data retention policy.
- If you make a representation to the meeting, unless you have specifically asked not to appear on the webcast, you are taking positive action to confirm that you consent to being filmed. You have been made aware of the broadcast and entering the Council Chamber or meeting room you are also consenting to being filmed by The City of Wolverhampton Council and to the possible use of those images and sound recordings for webcasting and/or training purposes.
- If you do not wish to have your image captured, you should sit in the public gallery area.
- In addition, the Council is obliged by law to allow members of the public to take photographs, film, audio-record, blog or tweet the proceedings at public meetings. The Council will only seek to prevent this should it be undertaken in a disruptive or otherwise inappropriate manner.
- If you have any queries regarding webcasting or the recording of meetings by the public, please contact Democratic Services on 01902 555046.

### **The Role of the Chair**

The Chair of the meeting will make an announcement at the beginning of the meeting to make sure everyone understands that the meeting will be webcast and that they may also be filmed by others in the Chamber.

The Chair of the meeting has the discretion to request the termination or suspension of the webcast if continuing to webcast would prejudice the proceedings of the meeting.

This would include:

- a. Public disturbance or other suspension of the meeting;
- b. Exclusion of public and press being moved and supported;
- c. Any other reason supported by the Council/Committee.

Archived webcasts or parts of webcasts shall only be removed from the Council's website if the Borough Solicitor considers that it is necessary because all or part of the content of the webcast is, or is likely to be, in breach of any statutory provision or common law rule, for example Data Protection and/or Human Rights legislation or provisions relating to confidential or exempt information. It is anticipated, however, that meetings will be conducted lawfully and that the need to exercise this power will occur only on an exceptional basis.

Any elected Member who is concerned about any webcast should raise their concerns with the Scrutiny and Systems Manager.

Note: This protocol is provided to assist in the conduct of webcasting and to ensure compliance with the Council's obligations under the Data Protection Act 2018, the General Data Protection Regulation, and the Human Rights Act 1998.

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**Budget and Policy Framework Procedure Rules**

**1. Introduction**

- 1.1 In these Rules “the Cabinet” means the Cabinet or Cabinet Panels as appropriate.
- 1.2 The Council will be responsible for the adoption of the budget and policy framework as defined in Article 4 of the Constitution.
- 1.3 The budget, plans and strategies defined in Article 4 will be developed and adopted by the Council at various times during each year. The Cabinet will determine the detailed timetable for the preparation of the budget to ensure compliance with statutory requirements. The role of the Cabinet in the preparation of the budget is set out in the Financial Procedure Rules contained in this Constitution.
- 1.4 The Cabinet will determine the detailed timetable for the preparation of the plans and strategies for which they are responsible.
- 1.5 Timetables will comply with the Access to Information Procedure Rules and notice of key decisions and consultation arrangements must be included in the Forward Plan.

**2. Process for developing the budget and policy framework**

The process by which the budget and policy framework shall be developed is:

- 2.1 The Cabinet will publish its initial proposals, having first canvassed the views of local stakeholders in an appropriate manner. Any representations made to the Cabinet shall be taken into account in formulating the initial proposals, and shall be reflected in any report dealing with them. If the matter is one where the Scrutiny Board or a Scrutiny Panel has carried out a review of policy, then the outcome of that review shall be reported to the Cabinet and considered in the preparation of initial proposals.
- 2.2 The Cabinet’s initial proposals will then be referred to the relevant Scrutiny Panel for further advice and consideration. The Panel shall canvass the views of local stakeholders if it considers it appropriate in accordance with the matter under consideration and having particular regard not to duplicate any consultation carried out by the Cabinet. The Cabinet will inform the Panel of the time for response when the proposals are referred to it.
- 2.3 Having considered the report of the Panel, the Cabinet, if it considers it appropriate, may amend its initial proposals before submitting them to the Full Council meeting for consideration. It will also report to Full Council on how it has taken into account any recommendations from the Panel.
- 2.4 The Full Council will consider the proposals of the Cabinet and may adopt them; amend them; refer them back to the Cabinet for further consideration; or substitute its own proposals in their place. In considering the matter, the Full Council shall have before it the Cabinet’s proposals and any report from any relevant Panel.

## ***Budget and Policy Framework Procedure Rules***

- 2.5 If the Full Council accepts the proposals of the Cabinet without amendment the Council will approve the budget or plan with immediate effect. If the Council does not accept the proposals of the Cabinet it may only make an in-principle decision.
- 2.6 The decision of the Full Council will be published and a copy of the decision notice shall be given to the Leader. An in-principle decision will automatically become effective five working days from the date of the Council's decision unless the Leader informs the Head of Paid Service in writing prior to the date on which the decision is to be effective that he objects to the decision becoming effective. The notification must state the reasons for the objection.
- 2.7 Where such notification is received, the Head of Paid Service shall convene a further meeting of the Full Council to reconsider its decision and the decision shall not be effective pending that meeting. The Full Council meeting must take place within 5 working days of the receipt of the Leader's written objection.
- 2.8 At that meeting the in-principle decision of the Full Council shall be reconsidered in the light of the Leader's written objection which shall be available to Councillors. The Full Council may:
- a. approve the proposals of the Cabinet or
  - b. approve a different decision which does not accord with the proposals of the Cabinet.
- 2.9 The decision of the Full Council shall be published and shall become effective immediately.
- 2.10 Once the budget and policy framework is approved by the Full Council it will be the responsibility of the Cabinet to implement it.
- 2.11 In approving the budget and policy framework, the Full Council will also specify the extent of virement within the budget and degree of in-year changes to the policy framework which may be undertaken by the Cabinet, in accordance with paragraphs 3 and 4 of these Rules (virement and in-year adjustments). Any other changes to the budget and policy framework are reserved to the Full Council.

### **3. Virement**

The rules relating to virement are set out in the Financial Procedure Rules set out in Part 3.

### **4. In-year changes to policy framework**

- 4.1 The responsibility for approving the budget and policy framework lies with the Full Council and decisions by the Cabinet, employees, or joint arrangements must be in line with it. No changes to any plan which is part of the policy framework may be made by those bodies or individuals except those changes:
- a. which are necessary to meet a budgetary constraint;

## ***Budget and Policy Framework Procedure Rules***

- b. which are necessary to ensure compliance with the law, ministerial direction or government guidance;
- c. which are necessary to repair any omission in the plan;

### **5. Decisions outside the budget or policy framework**

- 5.1 Subject to the provisions of paragraph 3 (virement) and paragraph 4 (in year changes) the Cabinet, employees or joint arrangements may only make decisions which are in line with the budget and policy framework.
- 5.2 If a decision maker wishes to make a decision which is contrary to the policy framework, or contrary to or not wholly in accordance with the budget approved by Full Council, then that decision may only be taken by the Full Council, subject to paragraph 6 (urgent decisions).
- 5.3 If the decision maker wishes to make such a decision, he/she shall first take advice from the Monitoring Officer and/or the Section 151 Officer as to whether the decision he/she wishes to make would be contrary to the policy framework, or contrary to or not wholly in accordance with the budget.
- 5.4 If the advice of either of those employees is that the decision would not be in line with the budget and/or policy framework, then the decision must be referred by the decision maker to the Full Council for decision unless the decision is urgent and the procedure set out in paragraph 6 is applied.

### **6. Urgent decisions outside the budget or policy framework**

- 6.1 A decision maker may make a decision which is contrary to the Council's policy framework or contrary to or not wholly in accordance with the budget approved by the Full Council if the decision is a matter of urgency. However, the decision may only be made:
  - a. if it is not practical to convene a quorate meeting of the Full Council within the necessary timescale and
  - b. if the Chair of a relevant Scrutiny Panel agrees that the decision is a matter of urgency.
- 6.2 The reasons why it is not practical to convene a quorate meeting of the Full Council and the Chair's consent to the decision being made as a matter of urgency must be noted on the record of the decision. In the absence of the Chair of a relevant Scrutiny Panel the consent of the Mayor and in the absence of both, the Deputy Mayor will be sufficient.
- 6.3 Following the decision, the decision maker will provide a full report to the next available Full Council meeting explaining the decision, the reasons for it and why the decision was treated as a matter of urgency.

### **7. Call-in of decisions outside the budget or policy framework**

- 7.1 Where a Scrutiny Panel is of the opinion that a Cabinet decision is, or if made would be, contrary to the policy framework, or contrary to or not wholly in accordance with the budget, then the Panel shall seek advice from the Monitoring Officer and/or Section 151 Officer.

## ***Budget and Policy Framework Procedure Rules***

- 7.2 The Monitoring Officer's and/or Section 151 Officer's advice shall be sent to the Cabinet with a copy to every Councillor. The Cabinet must meet to decide what action to take in respect of the advice. The Cabinet must report to Full Council in the event that the Monitoring Officer and/or the Section 151 Officer advises that the decision is or would be a departure from the budget or policy framework.

The Cabinet must report to the Scrutiny Panel in the event that the Monitoring Officer and/or Section 151 Officer advises that the decision is not or would not be a departure.

- 7.3 If the decision has yet to be made, or has been made but not yet implemented and the advice from the Monitoring Officer and/or the Section 151 Officer is that the decision is or would be contrary to the policy framework or contrary to or not wholly in accordance with the budget, the Scrutiny Panel may refer the matter to Full Council. In such cases, no further action will be taken in respect of the decision or its implementation until the Council has met and considered the matter. The Full Council shall meet within 10 days of the request by the Scrutiny Panel. At the meeting it will receive a report of the decision or proposals and the advice of the Monitoring Officer and/or Section 151 Officer. The Council may either:

- a. endorse a decision or proposal of the Cabinet as falling within the existing budget and policy framework. In this case no further action is required, save that the decision of the Full Council will be published in the normal way;  
Or
- b. amend the Council's budget or policy framework to encompass the decision or proposal and agree to the decision with immediate effect. In this case, no further action is required save that the decision of the Full Council will be published in the normal way;  
Or
- c. where the Full Council accepts that the decision or proposal is contrary to the policy framework or contrary to or not wholly in accordance with the budget, and does not amend the existing budget policy framework to accommodate it, the Council will require the Cabinet to reconsider the matter in accordance with the advice of either the Monitoring Officer/ and/or Section 151 Officer.

## **Methodology for Appointing to the Offices of Mayor and Deputy Mayor**

The Annual Meeting of the Council each year will elect a Mayor and appoint a Deputy Mayor, to ensure a dignified succession to these offices. The appointments will be made based on seniority (i.e. years of service as a Councillor). The following methodology will apply.

### **Step 1**

After any municipal election in May and immediately before the Annual Meeting each year all Councillors will be placed in a list according to their seniority. Seniority is defined according to the total number of years or part years served as a Councillor with City of Wolverhampton Council or any of its predecessor authorities. (Years do not need to have been served consecutively. A Councillor who served a term from 2004 to 2008, and then from 2009 to 2013, has eight years' service.) Where one or more Councillors have accrued the same number of years/part years of service, they will be listed alphabetically.

A Councillor who has previously served as Mayor will only be considered again if all other Councillors have declined the opportunity (i.e. irrespective of whether he or she has more years of service since they last served as Mayor than another Councillor who has not yet been Mayor). This rule will not apply in exceptional circumstances (e.g. if a Mayor needs to be appointed midway through the municipal year). Previous Mayors will be included in the order of seniority based on the number of years since they previously held the office.

NB: in practice, the seniority list will be maintained on a rolling basis, with the incoming Deputy Mayor provisionally identified early in each calendar year.

### **Step 2**

1. The nomination for the post of Deputy Mayor for the next ensuing municipal year will be offered to Councillors in strict order of seniority.
2. Where a Councillor is, unable or unwilling to accept the nomination for whatever reason the offer will pass to the next most senior Councillor and so on.

### **Step 3**

The current Deputy Mayor will assume the office of Mayor at the Annual Meeting.

The newly-elected Mayor will preside over the appointment of the Deputy Mayor-designate as Deputy Mayor.

At the immediate following Annual Meeting the current Mayor will preside over the election of the current Deputy Mayor to the office of Mayor for the ensuing municipal year in accordance with the protocol outlined above.

It is custom and practice at Wolverhampton that the Mayor and Deputy Mayor will be nominated and elected unopposed.

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## **Financial Procedure Rules**

### **Status and Overview**

The Council, as a publicly-funded organisation, must demonstrate the highest standards of financial control and stewardship of public resources. The Financial Procedure Rules, along with the Budget and Policy Framework and the Contract Procedure Rules in the Constitution, are a set of procedures that everybody working for or on behalf of the Council must observe in order to achieve those high standards.

### **Status of the Financial Procedure Rules**

1. The Financial Procedure Rules are an essential part of the Council's financial control framework. They apply to all business carried out by, or on behalf of, the Council and the West Midlands Metropolitan Authorities Pension Fund, whether by Councillors, employees, or third parties (including partnerships of which the Council is part) where appropriate (as determined by the Section 151 Officer). Separate Financial Procedures shall be issued by the Section 151 Officer for use by the Council's schools, drawing as appropriate on this document.
2. With regard to the West Midlands Metropolitan Authorities Pension Fund, in order to reflect the delegations to the Pensions Committee under the Council's Constitution when applying these Rules, the Pensions Committee should be substituted for the Cabinet or the Cabinet (Resources) Panel. In addition, the Pension Fund investment activity is governed by the Pension Fund's Statement of Investment Principles and Investment Compliance Manual and therefore these Financial Procedure Rules do not apply to this activity but any arrangements require approval of the Council's Section 151 Officer.
3. **Failure to comply with the Financial Procedure Rules and Contract Procedure Rules may lead to disciplinary action in the case of employees, or investigation by the Monitoring Officer and/or the Standards Committee in the case of Councillors.**
4. It is the responsibility of Directors to ensure that all employees reporting to them, directly or indirectly, are aware of and comply with the Financial Procedure Rules.
5. Directors must notify the Section 151 Officer of any failures to comply with the Financial Procedure Rules as soon as they become aware of them.
6. Where any individual or group has a responsibility under the Financial Procedure Rules, that responsibility may not be delegated unless the Financial Procedure Rules explicitly allow it.
7. Nothing in these Rules absolves, or is intended to absolve, any person of any statutory responsibilities.
8. Over and above complying with these Rules, employees and Councillors are expected at all times to demonstrate prudence and good stewardship of the Council's resources, and to act in the best interests of the Council at all times.

9. Employees must comply with all requests from the Section 151 Officer (or his/her delegate) for information required to discharge his/her statutory duties or fulfil his/her responsibilities under these Rules.
10. These Rules should be read in conjunction with the Budget and Policy Framework in this Constitution, the Contract Procedure Rules and the Human Resource Policies and Procedures.
11. Employees should contact Strategic Finance for advice if they are unclear about any part of these Rules.

## **Terminology**

1. Throughout this document, the following words are used as set out below:

“Approved Budget” –

- Revenue Budgets: the approved budget is the most recent budget for the current financial year that has been approved by the relevant person in accordance with the Financial Procedure Rules and the Budget and Policy Framework.
- Capital Budgets: the approved budget is the most recent budget over the period of the capital programme that has been approved by the relevant person in accordance with the Financial Procedure Rules and the Budget and Policy Framework.

“Director of Finance” - the Council’s appointed Officer under section 151 of the Local Government Act 1972 and who is responsible for the proper administration of the Council’s financial affairs. Also referred to as the Section 151 Officer, the Director of Finance’s role is independent and reports to Council. This role can also be fulfilled by another employee where authorised by the Director of Finance to act on their behalf.

“Budget”– the Council’s plan for a given financial year, expressed in financial terms. This includes all revenue and capital expenditure of all funds, whether presented collectively or separately.

“Budget Manager” – an employee of the Council (usually a Director, Head of Service or Manager) who is held responsible and accountable for a part of the Council’s expenditure (and, where applicable, income), and who has delegated authority to make certain decisions about expenditure as set out in these Rules.

“Capital Scheme” – a project or group of projects identified in the approved budget for the capital programme.

“Employee” – a person with a contract of employment with the Council, or a person employed on an interim or agency basis to carry out equivalent duties.

“Money Laundering Reporting Officer” – the employee designated under the Council’s Anti-Money Laundering Policy and Procedures.

“Person” – a Councillor or employee of the Council, or an individual acting as if they were an employee of the Council, or a group of Councillors, employees or such individuals.



“Provision” – an amount of money set aside by the Council in respect of a future requirement to transfer resources, arising from one or more past events, where the timing or amount of that transfer is not known with certainty.

“Reserve” – an amount of money set aside voluntarily by the Council to fund or partially-fund future expenditure plans.

“Virement” – a transfer of budget from one service or capital scheme to another.

## **Financial Administration and Control Responsibilities**

1. The Cabinet (Resources) Panel shall be responsible for overseeing the execution of financial policy, financial administration and control in the Council, and for supervising the provision of financial services, all subject to direction from the Council and Cabinet.
2. The Section 151 Officer shall be responsible for each of the following:
  - a. advising on the interpretation of and monitoring compliance with the Financial Procedure Rules;
  - b. financial training for all Councillors and employees in the Financial Procedure Rules and associated financial arrangements;
  - c. overseeing professional financial training, standards and ethics;
  - d. liaison with the Council’s external auditors on all matters relating to the Council’s financial arrangements.

### **1.2 Budget and Expenditure**

#### **Expenditure**

1. No person shall commit the Council to any expenditure unless that expenditure is included in the approved budget without prior approval of the Section 151 Officer.
2. No Councillor shall commit the Council to any expenditure, except when acting as a group named within these Rules (or under appropriate delegation) and in accordance with these Rules.
3. No person shall commit the Council to expenditure on any of the following:
  - a. a service or capital scheme not individually identified in the approved budget;
  - b. grants to any outside organisation or individual not individually identified in the approved budget unless approved by the Cabinet Member for Resources, and the relevant Cabinet Member in consultation with the Director of Finance and relevant Director
4. Where the Council makes payment of one or more grants to a third party, the responsible Budget Manager shall ensure that procedures are in place regarding appropriate accounting records and delivery of agreed outputs. The Budget Manager shall make clear to the recipient that the Council retains the right to claw back monies where such procedures are not adequately observed.

**Budget Preparation**

1. The budget shall be prepared in accordance with the Budget and Policy Framework Procedure Rules.
2. Each year, the Cabinet shall determine strategic guidelines for the following year's budget.
3. The budget shall be prepared in accordance with the Cabinet's strategic guidelines, and any guidance issued by or on behalf of the Section 151 Officer.
4. The Cabinet shall determine a recommended budget, which it will report to the Council in accordance with statutory timescales, and no later than March of the preceding financial year. This will include recommendations on Council Tax, housing rents, and other equivalent items of income. In the case of capital budgets, recommended budgets may be put to Council by Cabinet (Resources) Panel.
5. Before submitting its recommended budget to Council, the Cabinet shall refer it to the appropriate Scrutiny Panels and to public consultation, allowing sufficient time to reconsider and if appropriate revise it prior to submitting it to Council.
6. Following approval of the budget by Council, the Section 151 Officer shall prepare and issue a Budget Book, presenting the approved budget in a suitable format.

**Budget Managers**

1. For each service and capital scheme for which he/she is responsible, each Director shall nominate an individual named employee to be responsible and accountable for the expenditure and income of that service. This named employee shall be the 'Budget Manager' for that service.
2. Each Director shall notify the Section 151 Officer of the Budget Manager(s) for his/her services and capital schemes and their nominated delegates in case of absence.
3. The Section 151 Officer (or his/her delegate) shall maintain the definitive record of Budget Managers.
4. In the event of a Budget Manager ceasing to be employed by the Council, the Director shall identify a new Budget Manager(s) for the services and capital schemes in question immediately. This and all other changes in Budget Manager responsibilities shall be notified to the Section 151 Officer immediately.
5. The Budget Manager shall be delegated responsibility to incur expenditure within the limit set for that service or capital scheme in the approved budget; and be held responsible for the generation of the service or capital scheme income included in the approved budget.
6. Directors, Budget Managers and all employees that they nominate to process transactions on their behalf are responsible for complying with the requirements of Agresso.

**Budget Monitoring**

1. Budget Managers, in liaison with the Section 151 Officer (or his/her delegate) shall monitor their expenditure and income, with reference to their budget, on an ongoing basis.
2. It shall be the responsibility of Budget Managers to obtain the appropriate information, in the appropriate timescales, to enable them to fulfil their responsibilities under these Rules.
3. If it appears that a Budget Manager is likely to exceed the revenue budget of one of his/her services he/she shall raise this with the Section 151 Officer (or his/her delegate) and take corrective action at the earliest opportunity.
4. If it appears that a Budget Manager is likely to exceed the annual or total budget of one of his/her capital schemes he/she shall raise this with the Section 151 Officer (or his/her delegate) and take corrective action at the earliest opportunity.
5. If, in a given financial year, the net expenditure for a revenue service is greater than that included in the approved budget, and the level of over spend exceeds a threshold determined by the Section 151 Officer, or the Section 151 Officer otherwise requests it, the Budget Manager for that service shall submit a report to the Cabinet (Resources) Panel explaining why the over spend has occurred and what actions have been or will be taken to prevent a recurrence of that over spend.
6. If the total expenditure for a capital scheme is greater than that included in the approved budget, and the level of over spend exceeds a threshold determined by the Section 151 Officer, or the Section 151 Officer otherwise requests it, the Budget Manager for that capital scheme shall submit a report to the Cabinet (Resources) Panel explaining why the over spend has occurred and what actions have been or will be taken to prevent similar over spends on other capital schemes. The approved budget is taken to be the total budget over the time frame included in the capital programme.
7. If the Section 151 Officer considers that the consequences of any such forecast over spend are material to the finances of the Council, or any fund of the Council, he/she shall submit a report to the Cabinet explaining the circumstances.
8. Budget monitoring reports shall be submitted to the Cabinet (Resources) Panel, co-ordinated by the Section 151 Officer, on a regular basis. These shall include forecasts for the current year, and separate identification of, and explanation for, all forecast variances against the approved budget in excess of 1% or £100,000, whichever is the highest, (whether favourable or adverse), and in any other instance where the Section 151 Officer requires an explanation to be provided.

**Outturn**

1. The Section 151 Officer shall submit a report to the Cabinet (Resources) Panel setting out the Council's outturn within four months of the financial year end.

2. The Section 151 Officer shall be responsible for the approval of any carry forwards of unused revenue budget from one financial year to another and shall report any carry forwards with the outturn for the year in question.
3. The Section 151 Officer shall be responsible for determining the method of financing of capital schemes.

### **Emerging Financial Liabilities**

1. If a Director or Budget Manager believes that the Council may have a financial liability which is not provided for in the approved budget or an existing provision or reserve, he/she shall bring this to the attention of the Section 151 Officer immediately.

### **Virements**

1. Budget Managers shall be delegated the authority to action in-year virements of budget only where all of the following apply:
  - a. the total value of the virement does not exceed £50,000\*;
  - b. the virement is to an existing service or capital scheme identified in the approved budget;
  - c. the Budget Managers of both services or capital schemes have approved the virement;
  - d. the Section 151 Officer (or his/her delegate) has approved the virement;
  - e. the virement would not result in an overall increase in the budget of the general fund, the housing revenue account or the capital programme;
  - f. in the case of revenue budgets, the virement is within one of the following groups of headings:
    - (i) Employees;
    - (ii) All other controllable expenditure.
  - g. virements to or from the budget have not been disallowed under the Virement Responsibilities paragraphs below.

\* This limit is to be applied to the full-year equivalent budget, to the increase in gross expenditure or income (whichever is greater), and at service or capital scheme level.

### **Virement Responsibilities**

1. The Section 151 Officer shall be delegated the authority to action in-year virements of budget where the virement reflects a transfer of management responsibility, with no other changes in the objective or nature of the expenditure and income in question. In these circumstances, none of the conditions set out in the Virements section above shall apply, except (d) and (e).
2. Where Council have approved a budget for a capital programme on a non-specific basis, the Cabinet (Resources) Panel shall have delegated authority to approve the allocation of this capital budget to individual capital schemes.

3. All virements approved under the Virements section above shall be reported to the Cabinet (Resources) Panel on a regular basis, in a format considered suitable by the Section 151 Officer.
4. All other virements must be approved by the Cabinet (Resources) Panel. Approval must be sought by submission of a written report to the Panel, setting out the amounts requested and the reason why the virement is required.
5. Virements made under the Virements section above shall be regarded as having changed the approved budget accordingly.

### **Supplementary Budgets**

1. An overall increase or decrease in the Council's total budget, or the budget of the general fund, housing revenue account, or capital programme when considered separately, must be approved by Council (subject to the paragraph below).
2. Where all of the following apply, an overall increase or decrease in the Council's total budget may be approved by the Cabinet Member for Resources and the relevant Cabinet Member, in consultation with Director of Finance and the Monitoring Officer:
  - a. There is no increase or decrease in the net budget;
  - b. New or additional external income has been identified which was not included in the approved budget;
  - c. Such income has conditions attached by the person providing the income that constrain its possible range of uses;
  - d. The Section 151 Officer agrees that approval may be granted under this approval route.
3. Where approval to a supplementary budget is sought for the purpose of grant payment to an outside organisation or individual, this should be explicitly identified and approved in line with the in the approvals detailed above.

### **Payment of Grants to an Outside Organisation or Individual.**

1. No person shall commit the Council to expenditure on grants to any outside organisation or individual not individually identified in the approved budget
2. Where a payment of grant is not individually identified in the approved budget, the Cabinet Member for Resources, and the relevant Cabinet Member, in consultation with the Director of Finance and the relevant Director have delegated authority to approve the payment of grants to individual recipients.,
3. Where new external funding is received for the purpose of payment of grant to an outside organisation or individual, approval should be sought to this payment through the supplementary budget process.

**Fees and Charges**

1. The strategy for setting fees and charges within the Council's control, influenced by or associated with the Council, shall be approved by the Cabinet (Resources) Panel.
2. The approval of all fees and charges within the Council's control, influenced by or associated with the Council, shall be delegated to the Cabinet Member for Resources and the relevant cabinet member, in consultation with the Section 151 Officer and relevant Director.
3. In setting fees and charges, consideration shall be given to the following factors: underlying cost and the extent of cost recovery and or subsidy, comparison with other providers of similar or equivalent services, affordability and effect on demand, as well as any other relevant considerations.

All fees and charges shall take into account the full costs of the service in question, including recharges for support services and capital charges.

4. All fees and charges shall be fully reviewed at least once in any twelve month period.
5. At the point of review, all fees and charges shall take into account the increase (expressed in percentage terms) in the estimated costs of the service in question (taken over the forthcoming twelve months).
6. All fees and charges shall be approved on a VAT-exclusive basis.
7. The Section 151 Officer (or his/her delegate) shall maintain a register of all fees and charges currently receivable by, influenced by or associated with the Council.

**Revenue Contributions to Capital Outlay (RCCOs)**

1. No employee shall commit to the use of revenue resources to finance capital expenditure, nor make an entry in the accounts to reflect such use, without the prior and specific approval of the Section 151 Officer.
2. In the above paragraph, 'revenue resources' include amounts that are held in reserves, having been previously transferred from a revenue account.

**Accounting**

1. The Section 151 Officer shall determine the Council's accounting policies, and, where appropriate, estimation techniques.
2. The Section 151 Officer shall prepare the Council's annual financial statements in accordance with statutory requirements and other proper practice.
3. The Audit Committee shall approve the Council's financial statements.

4. The Section 151 Officer shall ensure that the Council complies with relevant tax legislation, and that the Council maintains adequate accounting records in respect of its tax affairs.
5. No employee shall undertake accounting duties unless that employee falls within the span of control of the Section 151 Officer, according to the organisational structure in place at the time. For the purposes of this paragraph, 'employee' includes individuals acting as if they were an employee of the Council.
6. For the purposes of the above paragraph, accounting duties shall be taken to include, but not be limited to: providing financial advice to Councillors and employees; preparing budgets; preparing financial information to be used in budget monitoring; preparing financial forecasts (except where that employee is a Budget Manager and is acting in that role). It shall not be taken to include making entries in the accounts and is not intended to prevent Budget Managers discussing relevant financial matters with Councillors when carrying out their service management responsibilities.
7. The application of 5 and 6 do not apply to the Pensions Committee activities, but any arrangements are subject to approval of the Council's Section 151 Officer.

### **Accounting Records**

1. The Section 151 Officer will designate the software packages that shall be the Council's definitive accounting record.
2. For the purposes of this section, 'accounting record' shall be taken to mean the record of all of the following: actual expenditure and income; commitments; forecast expenditure; the approved budget; balances; cash flows.
3. No other accounting records shall be created or maintained, except with the approval of the Section 151 Officer.
4. Any person entering data into the definitive accounting record (whether directly or by way of one of its feeder systems) shall be responsible for ensuring the accuracy of that data, including the correct coding.
5. Coding of transactions shall always reflect the objective and nature of the expenditure or income in question.
6. All accounting records shall be retained in line with the current corporate policy and guidance for document retention, or longer if instructed by the Section 151 Officer (or his/her delegate).
7. The Section 151 Officer (or his/her delegate) shall be responsible for ensuring that access to the accounting system is controlled and restricted appropriately.

**Grants**

1. No person shall apply for, or accept a grant on behalf of the Council without the prior approval of the Section 151 Officer.
2. No person shall commit the Council to any expenditure intended to be funded by grant until that grant has been formally confirmed by the grant provider and a supplementary budget has been approved, in line with the approval set out under Supplementary Budgets.
3. Budget Managers shall be responsible for ensuring that grant conditions are met and appropriate records maintained in support of grant claims. The Section 151 Officer shall determine the format and contents of records to be maintained.
4. Budget Managers are responsible for notifying Banking and Strategic Finance of any expected incoming sums to ensure they are allocated correctly and promptly to the correct budget.
5. The Section 151 Officer (or his/her delegate) shall maintain a register of all grants receivable by the Council.

**Leasing Arrangements**

1. No person shall enter into, or commit to enter into, a leasing arrangement or a lease-type arrangement without the prior approval of the Section 151 Officer.
2. The financial limits in the Contract Procedure Rules for approving and reporting on contracts apply to the approval and reporting of leases.

**Treasury Management and Financing**

1. No person shall do, or commit to do, any of the following without the prior approval of the Section 151 Officer:
  - a. lend or borrow funds under the control of or due to the Council;
  - b. enter into any credit agreement;
  - c. enter into an arrangement that is or may be classed as a loan at nil interest;
  - d. enter into a financial guarantee;
  - e. enter into any transactions involving financial futures, swaps, options, hedging and other similar financial instruments;
  - f. take any course of action that would give rise to a financial asset or liability of the Council except where this is in the course of delivering services or capital schemes included in the approved budget and it is in accordance with the other requirements of this paragraph.
2. All investments of money under the Council's control shall be made in the name of the Council or the name of nominees approved by the Cabinet (Resources) Panel or Pensions Committee as appropriate.



3. All securities and the title deeds of all property in the ownership or name of the Council or its nominees shall be held in custody of the Chief Operating Officer.
4. All borrowing shall be carried out in the name of the Council by the Section 151 Officer and only he/she is authorised to invest any surplus funds under arrangements approved by the Cabinet (Resources) Panel or Pensions Committee.
5. The Section 151 Officer, in consultation with the Chief Operating Officer shall approve any lending, including to other organisations. All lending will be undertaken in the name of the Council.
6. The Section 151 Officer shall be the Council's registrar of stocks, bonds and mortgages and shall maintain records of all borrowing of money by the Council.
7. All employees acting as trustees by virtue of their official position shall deposit all securities, etc., relating to the trust with the Chief Operating Officer unless the deed otherwise provides.
8. The Council has adopted the CIPFA Code on Treasury Management in the Public Services. In accordance with this, the Section 151 Officer shall submit to both the Council and Cabinet (Resources) Panel:
  - a. an annual report on the strategy and plan to be pursued in the coming year;
  - b. a mid-year review;
  - c. an annual report on the performance of the treasury management function, on the effects of the decisions taken and the transactions executed in the past year, and on any circumstances of non-compliance with the Council's treasury management policy statement and treasury management practices.
  - d. regular monitoring reports on treasury management activities and risks.
9. The reports set out above shall include reports on the Council's treasury management indicators and prudential indicators.
10. The Council shall approve the prudential indicators for the Council.
11. The Section 151 Officer shall prepare and maintain the Council's treasury management policy and practices.
12. The Council will nominate a Scrutiny Panel to be responsible for ensuring effective scrutiny of the arrangements included in the Council's treasury management strategy and policies.

### **Provisions and Reserves**

1. The Section 151 Officer shall be responsible for advising Councillors on the Council's policy on provisions and reserves.

2. No provisions or reserves shall be established or dissolved without the prior agreement of the Section 151 Officer and approval by Cabinet (Resources) Panel.
3. No money shall be transferred to or from provisions or reserves without the prior agreement of the Section 151 Officer and approval by Cabinet (Resources) Panel.
4. Budget Managers, in conjunction with the Section 151 Officer (or his/her delegate) shall review all provisions and reserves relating to their services for adequacy and relevance, both at the financial year end and as part of the budget preparation process.
5. The Section 151 Officer shall determine, in conjunction with the Cabinet, an appropriate level of general reserves as part of the budget preparation process and shall advise the Council on the adequacy of the proposed level of reserves (in accordance with the requirements of section 25 of the Local Government Act 2003).

#### **Medium Term Financial Forecasts**

1. The Section 151 Officer, in conjunction with Budget Managers, shall prepare medium term financial forecasts, spanning a period of no less than three future financial years, at regular intervals. These shall be reported to the Cabinet.

#### **Reporting to Councillor Meetings**

1. All reports, with financial implications, to the following Councillor meetings must be submitted to the Section 151 Officer (or his/her delegate) prior to the meeting at which the report is to be received, allowing reasonable time for him/her to consider the report.
  - Council
  - Cabinet and Cabinet Panels
  - Scrutiny Board and Scrutiny Panels
  - Audit Committee
2. Any proposal included in a report to a Councillor meeting that has or could have financial implications must clearly state the actual financial implications if known; or a best estimate if not known; or an explanation of why an estimate cannot be provided.
3. All financial implications in any report to a Councillor meeting must be approved by the Section 151 Officer (or his/her delegate) prior to inclusion in the agenda papers.
4. The report must also include a statement of the headings within the approved budget on which those financial implications would impact. This should be clearly referenced to headings in the approved budget.

5. Financial implications must be evaluated in accordance with the budget guidelines existing at the time.
6. Reports with inadequate financial implications may be withdrawn from the agenda at the discretion of the Section 151 Officer.

**Bad Debt Write Offs**

1. Debt recovery will be pursued in accordance with the Council's current Collection and Debt Strategy.
2. For invoices raised before 1 April 2014:
  - a. The Section 151 Officer shall have delegated authority to write off sums due to the Council against the corporate bad debt provision where the sum due is less than £5,000 and the Section 151 Officer believes that there is negligible prospect of recovery.
  - b. Where the sum due is more than £5,000 the Section 151 Officer shall recommend to Cabinet (Resources) Panel whether the sum is to be charged to the corporate bad debts provision
  - c. The Section 151 Officer shall have delegated authority to write off sums due to the Council against the corporate bad debt provision regardless of value in cases of bankruptcy and liquidation.
3. For invoices raised after 1 April 2014:
  - a. The Section 151 Officer shall have delegated authority to write off sums due to the Council against the originating budget code where the sum due is less than £5,000 and the Section 151 Officer believes that there is negligible prospect of recovery.
  - b. The Section 151 Officer is the final arbiter if the Budget Manager disputes the write-off against the originating budget code.
  - c. Where the sum due is more than £5,000 the Section 151 Officer shall recommend to Cabinet (Resources) Panel whether the sum is to be charged to the originating budget code or the corporate bad debts provision.
  - d. The Section 151 Officer shall have delegated authority to write off sums due to the Council against the corporate bad debt provision regardless of value in cases of bankruptcy and liquidation.
4. All write-offs shall be reported to the Cabinet (Resources) Panel on a regular basis, in a format determined by the Section 151 Officer.
5. All recommendations by the Section 151 Officer for write offs of sums above £5,000 against the corporate bad debt provision or the originating service budget must be approved by the Cabinet (Resources) Panel on a regular basis throughout the year. Approval should be sought by submission of a written report to the Panel, setting out the amounts to be written off and the reason why writing off is considered to be an appropriate course of action, on an individual account basis.

### **1.3 Internal Audit**

1. The Section 151 Officer shall ensure that an adequate and effective internal audit of all Council activities is carried out in accordance Public Sector Internal Audits Standards.
2. For audit purposes, the Section 151 Officer, Head of Audit Services or their authorised representative shall be entitled, without necessarily giving prior notice, to require and receive:
  - a. access to any records (both computer and manual), documents and correspondence relating to any financial or other relevant transactions, including documents of a confidential nature.
  - b. access at all times to any Council premises or land, where land or premises are in the control of a contractor such access shall be in accordance with the contract;
  - c. the production or identification by any employee of any cash, stores, or other property belonging to the Council, under the employee's control;
  - d. explanations concerning any matter under examination.
3. Wherever any matter arises which involves actual or potential financial irregularities, misappropriations or indications of corruption, the Section 151 Officer and/or Head of Audit Services should be notified immediately and he/she shall take such action as he/she considers necessary by way of investigation, report and referral to the Police. The Section 151 Officer and/or Head of Audit shall, where necessary, consult with the Chief Operating Officer concerning referral to the Police and notify the Head of Paid Service and the Council's external auditor in significant cases of fraud or corruption.
4. The Head of Audit Services shall produce audit reports as appropriate, and when an audit report is issued, the Director(s) concerned shall respond in writing on any recommendations made without delay.

### **1.4 Official Orders and Payments of Accounts**

#### **Official Orders**

1. Official requisitions, orders and goods received notifications shall be in a form agreed by the Section 151 Officer, and the Council's corporate computerised ordering and payments system(s) must be used when procuring work, goods and services.
2. Each Director shall determine the list of employees authorised to operate the Council's corporate computerised ordering and payments system(s) in his/her service group.
3. **Official orders must be issued for all work, goods or services to be**

**supplied to the Council subject to any exceptions as the Section 151 Officer, or their nominated delegate, may approve individually.**

4. Official Orders shall not be issued unless there is provision for the expenditure in an approved budget or a supplementary budget has been approved, and the appropriate action taken to conform with these Rules and the Contract Procedure Rules.
5. Where corporate contracts exist for the provision of work, goods or services they must be used. Any departure from these arrangements where a contract exists shall only be made where the appropriate Budget Manager in consultation with the Head of Procurement considers there are specific advantages to be obtained from using alternative arrangements.
6. Urgent orders may be given over the telephone, facsimile or other communication methods where exceptions have been agreed with the Section 151 Officer or his / her nominated delegate.
7. Orders requiring a number of deliveries or service calls over a period of time, shall be for a maximum duration of twelve months from the date the order is placed. If required, a new order shall be placed for each and every subsequent twelve month period.
8. Budget Managers will be responsible for ensuring open and finished orders are maintained, to ensure accurate year end accruals are processed.
9. Budget Managers are responsible for ensuring invoice payments comply with Public Contract Regulations (payment within 30 days, excluding period of dispute).
10. Budget Managers and authorised employees must comply with the council's current policy and procedures for use of purchasing cards and any associated guidance issued by the Head of Procurement,

### **Payment Of Accounts**

1. **Where an order is required and no such order has been raised, payment will not be made.**
2. Apart from petty cash and any exceptional payments agreed by the Section 151 Officer, the method of payment of sums due from the Council shall be by electronic means, drawn on the Council's bank accounts, or by cheque.
3. Approval of Discretionary Housing Benefit payments is delegated to the Revenues and Benefits Manager

### **1.5 Financial Arrangements for Contracts**

1. **All contracts on behalf of the Council must be arranged and executed in accordance with the Contract Procedure Rules.**
2. Payments on account to contractors for works contracts shall be authorised only on a suitable Certificate signed by the Budget Manager (or their nominee) which shall show the total amount of the contract and value of the work executed to date, retention money, amounts paid to date, and the amounts now certified.
3. Where a contract provides for payments to be made by instalments, a cost plan shall be prepared by the appropriate Budget Manager for such contracts and payments monitored against that plan. If it appears at any time that any approved contract cost will be exceeded due either to significant variations of either specification or price, a report setting out the circumstances and the revised estimated contract cost shall be submitted to the Cabinet as soon as possible.
4. The final certificate for a contract (as determined in the Contract Procedure Rules) shall not be passed for payment until the responsible Budget Manager (or their nominee) has prepared a summary statement and reconciliation of the contractor's final account and has notified the Section 151 Officer who may wish to examine it. In the event of an examination taking place, the Section 151 Officer shall be entitled to receive such further supporting documentation and explanation as may be necessary.
5. All contracts involving special financing arrangements shall be arranged by the Section 151 Officer in consultation with the Chief Operating Officer.
6. Directors, Budget Managers and all employees that they nominate to process transactions on their behalf are responsible for complying with the requirements of the Council's computerised procurement and payment system(s).

#### **1.6 Salaries, Wages, Pensions and Allowances**

1. **These Rules must be read in conjunction with the Council's current human resources policies and procedures.**
2. The payment of all salaries, wages, pensions, compensation and other emoluments to all employees or former employees of the Council together with payments of pensions and other associated payments from the West Midlands Metropolitan Authorities Pension Fund shall be made by, or under arrangements approved by the Section 151 Officer.
3. Each Budget Manager shall ensure that adequate budget funds exist before establishing new posts or committing to additional salary or expense costs.
4. Each Budget Manager shall update the Council's computerised human resources and payroll system(s) **without delay** with all matters affecting employee pay, and in particular:-

- a. Establishing new posts, appointments, resignations, dismissals, suspensions, secondments and transfers;
  - b. Absences from duty for sickness or other reasons, including approved leave;
  - c. Approved changes in remuneration, other than normal increments and pay awards
  - d. Information necessary to maintain records of service for pensions, income tax, national insurance and other relevant matters.
5. Appointments and promotions of all employees shall be made in accordance with approved policies and practices of the Council and the approved establishments, grades and rates of pay.
  6. Budget Managers are responsible for ensuring that all time records or other pay documents, and all claims for payment of car allowances, subsistence allowances, travelling and incidental expenses are consistent with the post holder's terms and conditions of employment and current Council policy.
  7. All travel and expense claims must be evidenced by a receipt; failure to provide a receipt will result in the claim being rejected.
  8. All claims for mileage should be accompanied by a VAT receipt.
  9. Except with the approval of the Section 151 Officer all employees and pensioners will be paid by direct credit to a bank or building society account.
  10. No payment will be made to an individual employed on an interim or consultancy basis through the computerised ordering and payment system until the Budget Holder has seen evidence that they:-
    - a. have a unique income tax record; or
    - b. are employed through an established employment agency.
  11. Payment claims shall be made up to a specified day of each month. Unless exceptional circumstances can be demonstrated, payroll **claims** (including travel and expense claims) incurred more than **three months** prior to the submission of the claim will not be paid.
  12. The authorisation of transactions shall be taken to mean that the authorising Budget Manager is satisfied that the claims relate to authorised activities and any expenses claimed have been properly incurred, which should be evidenced with a receipt.
  13. Directors, Budget Managers and all employees that they nominate to process transactions on their behalf are responsible for complying with the requirements of the Council's computerised human resources and payroll system(s).

**1.7 Banking Arrangements**

1. Under the general direction of the Cabinet (Resources) Panel all arrangements with the Council's bankers shall be made by or approved by the Section 151 Officer who shall be authorised to operate such bank accounts as he/she may consider necessary. No new bank account shall be opened for Council purposes without the approval of the Section 151 Officer.
2. Supplies of all bank stationery and bank cards shall be ordered only by the Section 151 Officer (or his/her delegate) who shall also make proper arrangements for their safe custody.
3. Cheques drawn on any of the Council's bank accounts shall bear the facsimile signature of the Section 151 Officer.
4. The Cabinet (Resources) Panel shall determine the scale of charges for payment by electronic payment cards

**1.8 Imprest and Petty Cash Accounts**

1. The Section 151 Officer shall provide imprest accounts if considered appropriate for Budget Managers for the purpose of defraying petty cash and other expenses. Proper records of account in a form prescribed by the Section 151 Officer must be maintained by the Budget Manager (or their nominee) and reconciliations must be carried out on a regular basis.
2. Where appropriate, the Section 151 Officer may open bank accounts for use by imprest holders who shall ensure that such accounts do not become overdrawn. It shall be a standing instruction to the bank that duplicate copies of bank statements shall be submitted direct to the Section 151 Officer for monitoring purposes.
3. No income received on behalf of the Council may be paid into an imprest account, but must be banked or paid to the Council as provided elsewhere in these rules. No personal cheques are to be encashed from imprest accounts.
4. Payments shall be limited to items of expenditure of low value as defined by the Section 151 Officer.
5. VAT and other receipts for petty cash expenditure shall be obtained when possible and retained by the Budget Manager. Directors shall maintain a list of employees authorised to certify claims from petty cash together with specimen signatures.
6. Budget Managers responsible for imprest accounts shall, if so requested, provide to the Section 151 Officer a certificate as to the state of that account.
7. On leaving the employment of the Council or otherwise ceasing to be entitled to hold an imprest advance, the imprest holder shall account to their Director for the amount originally advanced.



8. Directors, Budget Managers and all employees that they nominate to process transactions on their behalf are responsible for complying with the requirements of the Council's computerised income management and payment system(s).

### **1.9 Income and Debt Recovery**

1. The Section 151 Officer shall approve the arrangements for the collection and banking of all money due to the Council.
2. Each Budget Manager shall ensure the prompt raising of debtor accounts for the recovery of income due in accordance with arrangements approved by the Section 151 Officer.
3. All items of stationery used in connection with the collection and recording of income shall be in a format specified by the Section 151 Officer, or under approved arrangements. The Section 151 Officer will determine the arrangements for their control.
4. Budget Managers will be responsible for ensuring invoices are paid in accordance with the required payment terms for the service provided and where appropriate, before further services are delivered.
5. All money received on behalf of the Council shall, without delay, be paid directly into the relevant Council bank account. No deduction may be made from such money without the written approval of the Section 151 Officer.
6. Budget Managers will be responsible for ensuring Banking and Strategic Finance are advised of any expected income to ensure it is allocated correctly and promptly.
7. Personal cheques shall not be encashed through the Council's bank accounts unless under a scheme approved by the Section 151 Officer.
8. Every transfer of official money from one employee to another will be evidenced in the records of the responsible service group(s) by the signature of the receiving employee.
9. **All employees receiving cash on behalf of the Council must ensure that they comply with the Council's Anti-Money Laundering Policy and Procedures.**
10. All individual cash payments receipted by the Council, in excess of the limit specified in the Anti-Money Laundering Policy, shall be reported to the Council's Money Laundering Reporting Officer.
11. All income streams in excess of £25,000 that were not included in the approved budget shall be reported to the Section 151 Officer at the earliest opportunity.
12. All invoices due for payment to the Council must be raised through the computerised debt recovery system(s).
13. The Section 151 Officer shall determine the repayment terms for invoices where payment is not made within the specified period.

14. No early repayment discounts will be offered, unless authorised by the Cabinet (Resources) Panel, who will determine the level(s).
15. The minimum value for the issue of invoices and payment reminders is to be set by the Section 151 Officer.
16. The Section 151 Officer shall determine the use of late payment fees.
17. The Chief Operating Officer shall determine on the basis of each specific case, whether legal action is to commence against a debtor through the County Court for non-payment of an invoice due to the Council.
18. The Chief Operating Officer shall agree with the Section 151 Officer the amount of interest to be charged and added to the amount due, when legal action commences.
19. The Chief Operating Officer shall agree, with the Section 151 Officer, the level of costs incurred as a result of legal action that are to be borne by the debtor.
20. Directors, Budget Managers and all employees that they nominate to process transactions on their behalf are responsible for complying with the requirements of the Council's computerised income management and debt recovery system(s).

#### **1.10 Stores and Stores Accounting**

1. It shall be the responsibility of Budget Managers to ensure that there is proper care and custody of the stocks and stores in their service groups and to ensure that all receipts and issues are properly recorded on the official records.
2. Stocks held shall not be in excess of normal operational requirements, except in special circumstances with the approval of the Cabinet (Resources) Panel.
3. Budget Managers shall, unless other arrangements are agreed with the Section 151 Officer, arrange for continuous or periodical physical stocktaking of stocks by persons independent of storekeeping or stores accounting and shall ensure that all stocks are checked at least once in every year. Any significant differences revealed on items of stock when a comparison is made between physical and book stock shall be reported by the Budget Manager to the Section 151 Officer in order that the appropriate adjustment may be made in the accounts.
4. Stores deemed to be surplus to requirements and saleable old materials shall not be disposed of except on written authority of the responsible Budget Manager. Sales of such items shall be made in accordance with these Rules.
5. Budget Managers shall supply the Section 151 Officer with such information as is required in relation to stores for accounting and costing purposes and a certificate of the stock held, as at the 31 March each year.
6. Budget Managers shall instigate such systems of identification marking as practicable in order to deter theft and make recognition possible.

**1.11 Inventories**

1. Inventories shall be kept by Budget Managers in every service group in a form approved by the Section 151 Officer.
2. Inventories shall record all items as specified by the Section 151 Officer. Where there are desirable items these should be recorded in inventories irrespective of price.
3. Inventory items should be recorded in inventories immediately on receipt, and where it is appropriate they shall be clearly and permanently marked as the property of the Council.
4. It shall be the responsibility of each Budget Manager to ensure that at least an annual verification of the inventory is made and the responsible employee shall certify the fact on the inventory record. Differences shall be dealt with as in the case of stores, and any action taken shall be recorded in the inventories.
5. The Council's property shall not be removed otherwise than in accordance with the ordinary course of the Council's business or used otherwise than for the Council's purposes, except in accordance with specific directions issued by the responsible Budget Manager. Sales of such items shall be made in accordance with these Rules

**1.12 Insurances**

1. The Section 151 Officer shall effect all insurance cover.
2. The Section 151 Officer shall handle and negotiate all insurance claims, in consultation with Budget Managers where necessary.
3. Budget Managers shall give prompt notification to the Section 151 Officer of all new risks, new assets which require to be insured and any alterations affecting existing insurances.
4. Budget Managers must as soon as possible notify the Section 151 Officer in writing of any loss, liability or damage or any event likely to lead to a claim and take such other action without delay as may be necessary to satisfy any policy conditions. In the case of fire claims likely to exceed the current limit as specified by the Section 151 Officer, the Section 151 Officer should be notified immediately to arrange the appointment of a loss adjuster. The Council's approved procedures for handling insurance claims together with target times for completion should always be followed.
5. The Section 151 Officer shall annually, or at such other period as he/she may consider necessary, review all insurances in consultation with Budget Managers as appropriate. Budget Managers should ensure that they have maintained accurate schedules of equipment to be insured.
6. Budget Managers shall consult the Section 151 Officer and the Chief Operating Officer regarding the terms of any indemnity which the Council is requested to give.

7. Budget Managers shall keep suitable records to ensure that the inspections of engineering plant under their control, which is normally inspected by an insurance company, are carried out by the company within the periods prescribed by the relevant legislation. In the event of any failure by the insurance company to carry out the inspection within the prescribed periods, the Section 151 Officer shall be notified.

### **1.13 Security**

1. Budget Managers are responsible for maintaining proper security at all times for all buildings, stocks, stores, furniture, equipment, cash, etc. under their control. Each Budget Manager shall consult the Section 151 Officer in any case where security is thought to be defective or where it is considered that special security arrangements may be needed.
2. Maximum limits for cash holdings shall not be exceeded without the express permission of the Section 151 Officer.
3. Keys to safes and similar receptacles are to be carried on the person of those responsible at all times; the loss of any such keys must be reported to the Section 151 Officer immediately.
4. Budget Managers are responsible for maintaining records of assets allocated to individual employees, using the council's computerised recording systems where instructed to do so.

### **1.14 Schedule of Responsibilities**

#### **Council**

The Council shall:

- Determine the Budget and Policy Framework.
- Approve the following year's revenue budget
- Approve the following year and medium term budget for capital.
- Approve the following year's levels of Council Tax and housing rents.
- Approve expenditure over and above the total provided for in the current year's budget (supplementary budgets).
- Receive a Treasury Management strategy and plan for the coming year, a mid-year review of these, regular monitoring reports on current Treasury Management activity, and a retrospective report on Treasury Management activity for a financial year.
- Approve the Council's prudential indicators.
- .

#### **Cabinet**

The Cabinet shall:

- Recommend an overall following year budget (both revenue and capital) to Council (see also 15 under Cabinet (Resources) Panel).
- Approve an overall increase or decrease in the Council's total budget, where certain conditions apply.
- Recommend the levels of Council Tax and housing rents to the Council.

- Determine strategic guidelines for the following year's budget.
- Determine a recommended budget, which it will report to the Council in accordance with statutory timescales, and no later than March of the preceding financial year.
- Refer the recommended budget to the appropriate Scrutiny Panels and to consultation, allowing sufficient time to reconsider and if appropriate revise it prior to submitting it to Council.
- Receive reports where there is a forecast over spend that is judged by the Section 151 Officer to be material to the finances of the Council.
- Determine the Council's policy on provisions and reserves
- Receive reports setting out the medium term forecast.
- Receive reports from the Section 151 Officer if he/she considers that the consequences of any forecast over spend are material to the finances of the Council.
- Receive reports if it appears at any time that any approved contract cost will be exceeded due either to significant variations of either specification or price

**Cabinet (Resources) Panel**

The Cabinet (Resources) Panel shall:

- Be responsible for overseeing the execution of financial policy, financial administration and control in the Council, and for supervising the provision of financial services, all subject to direction from the Council and Cabinet.
- Where required, determine a recommended capital budget, which it will report to the Council in accordance with statutory timescales, and no later than March of the preceding financial year.
- Receive budget monitoring reports.
- Receive outturn reports.
- Receive notification of budget carry forwards approved by the Section 151 Officer.
- Approve the allocation of capital budgets to individual capital schemes, where those budgets were originally approved on a non-specific basis by Council.
- Approve the arrangements for investing any surplus funds
- Approve virements exceeding the limit set by the Section 151 Officer.
- Approve the strategy for the setting of fees and charges.
- Approve the list of organisations in which funds under the Council's control may be invested.
- Receive a Treasury Management strategy and plan for the coming year, a mid-year review of these, regular monitoring reports on current Treasury Management activity including treasury management and prudential indicators, and a retrospective report on Treasury Management activity for a financial year.
- Receive notification of write offs of sums due to the Council approved by the Section 151 Officer.
- Approve the write off of sums due to the Council that the Section 151 Officer is not authorised to approve.
- Approve the holding of stocks in excess of normal operational requirements.
- Receive reports on significant differences between physical and book stock discovered in the course of a stock take or otherwise.

- Approve the establishment or disestablishment of provisions and reserves shall be established or dissolved
- Make recommendations to Council concerning the approval of capital budgets.
- Approve the transfer to or from provisions or reserves
- Give general direction to the Section 151 Officer on all arrangements with the Council's bankers
- Determine the scale of charges for payment by electronic payment cards.
- Authorise early repayment discounts for sums due and determine the level(s).

**Scrutiny Board and Panels**

The Scrutiny Board and Panels shall:

- Scrutinise the budget recommendations made by the Cabinet.
- Scrutinise the Council's Treasury Management Strategy and Policies as delegated by Cabinet (Resources) Panel.

**Audit and Risk Committee**

The Audit Committee shall:

- Approve the Council's financial statements.

**Director of Finance**

As Section 151 Officer, the Director of Finance shall:

- Approve commitments to expenditure in future financial years for which there is, as yet, no approved budget.
- Prepare and issue a Budget Book.
- Maintain the list of Budget Managers.
- Submit reports to the Cabinet where an over spend on a service or capital scheme is forecast and is judged to be material to the finances of the Council.
- Submit budget monitoring reports to the Cabinet (Resources) Panel.
- Submit outturn report to the Cabinet (Resources) Panel.
- Approve the carry forward of unused budgets.
- Approve lower-value virements in accordance with the conditions set out in the relevant section. .
- Specify the limit above which virements require Councillor approval.
- Maintain the fees and charges register.
- Determine the Council's accounting policies and, where appropriate, estimation techniques.
- Prepare the Council's financial statements in accordance with statutory requirements and other proper practice.
- Ensure that the Council complies with relevant tax legislation, and that the Council maintains adequate accounting records in respect of its tax affairs.
- Designate the software packages that shall be the Council's definitive accounting record.
- Approve the use of any other accounting records.
- Be responsible for ensuring that access to the definitive accounting record is controlled and restricted accordingly.
- Approve grant applications.

- Determine the format and content of records to be maintained in respect of grants.
- Maintain a register of all grants receivable by the Council.
- Approve commitments to enter into leasing or lease-type arrangements.
- Approve lending and borrowing of Council funds, and other sophisticated financial transactions.
- Be the registrar of stocks, bonds and mortgages and maintain records of all borrowing by the Council.
- Submit to the Cabinet (Resources) Panel a Treasury Policy Statement, regular reports on current Treasury Management activity, and a retrospective report on Treasury Management activity for a financial year.
- Be responsible for determining the Council's policy on provisions and reserves, and approve the establishment and dissolution of any provisions or reserves, and the transfers of money to or from provisions or reserves.
- Assist Budget Managers in reviewing the provisions and reserves relating to their service.
- Determine an appropriate level of general reserves as part of the budget preparation process, and advise the Council on the adequacy of the proposed level of reserves.
- Prepare medium term financial forecasts in conjunction with Budget Managers, at regular intervals for reporting to the Cabinet.
- Receive and consider all reports to certain Councillor meetings.
- Approve financial implications contained in any report to Councillor meetings.
- Withdraw reports with inadequate financial implications from the agenda of a Councillor meeting.
- Approve write offs of sums due to the Council in certain circumstances, as set out in the Financial Procedure Rules.
- Determine the format of reports notifying the Cabinet (Resources) Panel of write offs approved by the Section 151 Officer.
- Ensure that an adequate and effective internal audit of all Council activities is carried out.
- Be entitled to require and receive certain information and rights in respect of internal audit.
- Receive notification of actual or potential financial irregularities, misappropriations or indications of corruption, and take such action as he/she considers appropriate.
- Notify the Head of Paid Service and the Council's external auditor in significant cases of fraud or corruption.
- Produce audit reports as appropriate.
- Approve the format of official orders.
- Approve individual exceptions to the requirement to use official orders.
- Approve the arrangements for making payment of salaries, wages, pensions, compensation and other emoluments.
- Approve individual exceptions to the requirement for payment to employees to be made by direct credit.
- Approve the Council's banking arrangements, including the opening of a bank account for Council purposes.
- Order cheques and bank cards for the Council, and make proper arrangements for their safe custody.

- Sign all cheques drawn on the Council's accounts.
- Provide imprest accounts if considered appropriate, and prescribe the form of records required to be kept in respect of those accounts.
- Open bank accounts for use by imprest holders, where appropriate, and receive bank statements for those accounts directly.
- Maintain the list of employees authorised to certify claims from imprest accounts.
- Approve the arrangements for the collection and banking of all money due to the Council.
- Approve the arrangements for the issue of debtor accounts.
- Approve the arrangements for the control of stationery connected with the collection and recording of income.
- Receive notification of all individual cash payments in excess of the Anti-Money Laundering Policy limit.
- Receive notification of all income streams in excess of £25,000 that were not included in the approved budget.
- Approve the minimum value for the issue of invoices and payment reminders
- Approve the use of late payment fees
- Receive notification of information required for stock accounting and a certificate of stocks held at each 31 March.
- Approve the format of inventories.
- Effect all insurance cover, and negotiate claims.
- Receive notification of all matters that may impact on insurance cover, or be likely to lead to a claim.
- Review all insurances in consultation with Budget Managers as appropriate.
- Receive notification from Budget Managers in the event of any failure by the insurance company to carry out an inspection of relevant engineering plant within the prescribed periods.
- Approve the holding of cash in excess of the specified maximum limit.
- Ensure compliance with the requirements of the Council's computerised financial, procurement, human resources and payroll system(s).

**Chief Operating Officer**

The Chief Operating Officer shall:

- Hold all securities and the title deeds of all property in the ownership of the Council or its nominees.
- Receive notification of all individual cash payments in excess of the Anti-Money Laundering Policy limit.
- Determine on the basis of each specific case, whether legal action is to commence against a debtor through the County Court for non-payment of an invoice due to the Council.
- Agree with the Section 151 Officer the interest to be charged and added to the amount due, when legal action commences.
- Agree, with the Section 151 Officer, the level of costs incurred as a result of legal action that are to be borne by the debtor.
- Ensure compliance with the requirements of the Council's computerised financial, procurement, human resources and payroll system(s).



**Deputy Director of People and Change**

The Deputy Director of People and Change shall:

- Maintain the council's pay and human resources policies and procedures and issue instructions to Directors and Budget Managers as appropriate.
- Ensure compliance with the requirements of the Council's computerised human resources (s).

**Director**

A Director shall:

- Nominate Budget Managers for each service and capital scheme for which they are responsible and notify the Section 151 Officer of all changes.
- Notify the Section 151 Officer immediately of any emerging financial liabilities not provided for in the approved budget or an existing provision or reserve.
- Respond in writing on any recommendations made in an audit report without delay.
- Determine the service group employees who are authorised to use the council's computerised financial procurement, human resources and payroll systems.
- Take action where employees fail to comply with the requirements for use of the council's computerised financial procurement, human resources and payroll systems.
- Maintain a list of employees authorised to certify claims from petty cash together with specimen signatures.

**Budget Manager**

A Budget Manager shall:

- Be able to incur expenditure up to the limit set within the approved budget for each service or capital scheme for which they are responsible.
- Be responsible for generating income for services or capital schemes for which they are responsible.
- Submit reports to the Cabinet (Resources) Panel explaining over spends where required to do so by the Section 151 Officer.
- Monitor expenditure and income, with reference to the budget and in liaison with the Section 151 Officer, on an ongoing basis.
- Where he/she believes that it is likely that the budget will be exceeded for one of his/her services/s, raise it with the relevant Director and the Section 151 Officer (or his / her delegate) immediately.
- Notify the Section 151 Officer immediately of any emerging financial liabilities not provided for in the approved budget or an existing provision or reserve.
- Approve lower-value virements in accordance with the conditions set out in the relevant section.
- Arrange for reports requesting higher-value virements to be prepared and submitted to the Cabinet (Resources) Panel.
- Review all provisions and reserves relating to their services, in conjunction with the Section 151 Officer.
- Be responsible for ensuring that grant conditions are met and appropriate records maintained in support of grant claims.

- Be responsible for notifying Banking and Strategic Finance of any expected incoming sums.
- Consult the Head of Procurement in cases of proposed departure from corporate contracts for the provision of work, goods or services
- Authorise payments on account to contractors and prepare the specified documentation
- Ensure the maintenance of open and finished orders
- Ensure invoice payments comply with the Public Contract Regulations
- Comply with current policy and procedures for the use of purchasing cards
- Prepare contract cost plans and summary statements in the format specified by the Section 151 Officer
- Ensure that adequate budget funds exist before establishing new posts or committing to additional salary or expense costs
- Update the Council's computerised human resources and payroll system(s) without delay with all matters affecting employee pay
- Ensure that all pay records and expense claims are consistent with the post holder's terms and conditions of employment and current Council policy.
- Maintain proper records of account for petty cash in a form prescribed by the Section 151 Officer
- Obtain VAT and other receipts for petty cash expenditure
- Where requested by the Section 151 Officer, provide a certificate as to the state of petty cash accounts
- Ensure the prompt raising of debtor accounts for the recovery of income due
- Monitor the recovery of income due in respect of invoices raised
- Instigate such systems of identification marking of stock as practicable in order to detect theft and make recognition possible.
- Ensure that a verification of the inventory is made as specified by the Section 151 Officer, and deal with any discrepancies as for stores.
- Notify the Section 151 Officer of all matters that may impact on insurance cover, or be likely to lead to a claim.
- Maintain accurate schedules of equipment to be insured.
- Consult with the Section 151 Officer and the Chief Operating Officer regarding the terms of any indemnity which the Council is required to give.
- Keep suitable records to ensure that the inspections of engineering plant under their control, which is normally inspected by an insurance company, are carried out by the company within the periods prescribed by the relevant legislation.
- Notify the Section 151 Officer in the event of any failure by the insurance company to carry out the inspection within the prescribed periods.
- Be responsible for maintaining proper security at all times for all assets under their control and consult the Section 151 Officer where security is thought to be defective.
- Ensure that there is proper care and custody of the stocks and stores in their service, and that all receipts and issues are properly recorded on the official records.
- Arrange for stocktaking of the stocks in their service, and report any significant differences between physical and book stock to the Section 151 Officer.

- Approve (in writing) the disposal of stores deemed to be surplus to requirements and saleable old materials.
- Provide the Section 151 Officer with such information as is required in relation to stores for accounting and costing purposes, and a certificate of the stock held at each 31 March.
- Keep inventories in a form approved by the Section 151 Officer
- Maintain records of assets allocated to individual employees, using the council's computerised recording systems where instructed to do so
- Ensure compliance with the requirements of the Council's computerised financial, procurement, human resources and payroll system(s).

#### **Head of Revenues and Benefits**

The Head of Revenues and Benefits shall:

- Approve Discretionary Housing Benefit payments.
- Approve Discretionary Rate Relief applications
- Approve Discretionary Council Tax reductions
- Agree repayment arrangement for income owed to the Council
- Ensure compliance with the requirements of the Council's computerised financial systems.

#### **Head of the Hub**

The Head of the Hub shall:

- Ensure compliance with the statutory financial responsibilities relating to Accounts Payable, Banking and Payroll, such as publication of spend under the Local Government Transparency Code and Public Contracts Regulations 2015, Payroll returns to HMRC and Constructions Industry Tax Deduction Scheme returns to HMRC.
- Maintaining procedures and monitoring compliance of users of purchasing cards.
- Ensure compliance with the requirements of the Council's computerised financial, and payroll systems.

#### **Head of Procurement**

The Head of Procurement shall:

- Maintain the council's contract procedure rules and procurement strategy and issue instructions to Directors and Budget Managers as appropriate.
- Advise Budget Managers in cases of proposed departure from corporate contracts for the provision of work, goods or services
- Ensure compliance with the requirements of the Council's computerised financial and procurement systems.
- Maintain the council's policy on the use of purchasing cards.

#### **Head of Audit Services**

The Head of Audit Services shall:

- Require and receive access to any records and Council premises, the production or identification of any cash, stores, or other property belonging to the Council and explanations concerning any matter under examination.

- Be notified immediately wherever any matter arises which involves actual or potential financial irregularities, misappropriations or indications of corruption
- Produce audit reports as appropriate

**Schedule of Financial Limits**

<b>Budget Monitoring Reports to the Cabinet (Resources) Panel</b>	
Minimum limit for variances requiring separate identification in report	The higher of 1% of budget or £100,000
<b>Debt Write Offs</b>	
Maximum limit for individual debt write offs by the Section 151 Officer not requiring Councillor approval (except in cases of bankruptcy and liquidation, for which no limit applies)	£5,000
<b>Income</b>	
Minimum limit for individual cash receipts to be notified by Budget Managers to the Section 151 Officer	Limit as specified in the Anti-Money Laundering Policy
Minimum limit for unbudgeted income streams to be notified by Budget Managers to the Section 151 Officer	£25,000
<b>Leases</b>	
Financial limits for the approval and reporting of leases	Limits as specified in the Procurement Procedures
<b>Insurance</b>	
Minimum limit for claims for fire damage to be notified by Budget Managers to the Section 151 Officer	Limit as specified by the Section 151 Officer

<b>Payment Approval - Computerised Payment System(s)</b>	
Deputy Director / Director	£500,001 and above
Head of Service – Service-level approvals	£50,001 to £500,000
Manager – Cost Centre Group approvals	£5,001 to £50,000
Delegated Budget Approver – Cost Centre approvals	£0 to £5,000
Auto- Approval of contracted expenditure 'Auto Approval' is the approval of any line of an order under £200 in value providing the order has been raised against an approved contract or an approved supplier catalogue.	Under £200
<b>Debt Raising Approval - Computerised Payment System(s)</b>	
Limit where individual invoices must be approved by a Director or their nominated Budget Manager	£50,000 and above

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## **CONTRACT PROCEDURE RULES**

### **1. BASIC PRINCIPLES**

- 1.1 The Contract Procedure Rules (CPRs) are made under the provisions of section 135 of the Local Government Act 1972 and govern the making of contracts for and on behalf of the Council.
- 1.2 All Contracts must be in writing. Officers should not agree to offers from providers verbally as this can create a binding verbal agreement.
- 1.1 All procurement procedures must:
  - 1.1.1 realise best value for money by achieving the optimum combination of whole life costs, and quality of outcome,
  - 1.1.2 be consistent with the highest standards of integrity,
  - 1.1.3 operate in a transparent manner,
  - 1.1.4 ensure fairness in allocating public contracts,
  - 1.1.5 comply with the Public Contract Regulations 2015 (PCR) and all legal requirements,
  - 1.1.6 ensure that non-commercial considerations do not influence any contracting decision,
  - 1.1.7 support all relevant Council priorities and policies, including the Medium Term Financial Plan, and
  - 1.1.8 comply with the Contract Procedure Rules.

NB These Rules shall be applied to the contracting activities of any partnership for which the Council is the accountable body unless the Council expressly agrees otherwise and to all third parties who undertake procurement on behalf of the Council.

### **2. OFFICER RESPONSIBILITIES**

#### **2.1 Officers**

- 2.1.1 Officers will comply with:
  - (a) these Contract Procedure Rules (CPRs),
  - (b) the Council's Constitution, and
  - (c) with all UK legal requirements.

Officers must ensure that any agents, consultants and contractual partners acting on their behalf also comply.

- 2.1.2 Officers will:
  - (a) keep the records required by Rule 6 of these Contract Procedure Rules,

- (b) take all necessary procurement, legal, financial and professional advice, taking into account the requirements of these Contract Procedure Rules,
- (c) prior to letting a contract on behalf of the Council, check whether:
  - (i) the Council already has an appropriate contract in place in the Contracts Register, or:
  - (ii) an appropriate national, regional or other collaborative contract is already in place.

Where the Council already has an appropriate contract in place, then this must be used (subject to there being enough headroom in the advertised contract value and or permitted variations utilising Regulation 72 of the PCR) unless it can be established that the contract does not fully meet the Council's specific requirements in this particular case, and this is agreed following consultation with Procurement team and an Exemption must be completed.

Where an appropriate national, regional or collaborative contract is available, consideration should be given to using this, provided the contract offers value for money and meets strategic requirements of the Council.

- (d) ensure that when any employee, either of the Council or of a service provider, may be affected by any transfer arrangement, then any Transfer of Undertaking (Protection of Employment) issues are considered and legal, financial and HR advice from within the Council is obtained prior to proceeding with the procurement exercise.

2.1.3 Failure to comply with any of the provisions of these Contract Procedure Rules, the Council's Constitution or legal requirements may be brought to the attention of the Head of Audit, or relevant Officer as appropriate. Depending on the nature of the non-compliance this may result in disciplinary action being taken.

## **2.2 Directors/Heads of Service**

2.2.1 Directors/Heads of Service will:

- (a) ensure their Service Area complies fully and are familiar with the requirements of these Contract Procedure Rules,
- (b) ensure contracts are recorded in the Contracts Register as held and maintained by Procurement, and original contract documents to be retained by Legal Services.
- (c) ensure compliance with U.K Law and Council policy;
- (d) ensure value for money and optimise risk allocation in all procurement matters;
- (e) ensure compliance with any guidelines issued in respect of these Contract Procedure Rules



- (f) take immediate action in the event of a breach of the Contract Procedure Rules or any Code of Practice within their directorate or service area;
- (g) ensure that all existing and new contracts anticipated during the forthcoming financial year are clearly itemized in the budget supporting documentation;
- (h) submit to the Procurement team tender forms as required by these Contract Procedure Rules;
- (i) ensure original contract documents are forwarded to the Legal Services for safekeeping;
- (j) ensure effective contract management, contract reviews and monitoring during the lifetime of all contracts in their areas;
- (k) seek and act upon advice from the Procurement team where necessary to ensure compliance with these responsibilities; and
- (l) keep records of waivers/variations of any provision of these Contract Procedure Rules.

2.2.2 Directors/Heads of Service must keep a register of

- (a) contracts entered into by or on behalf of the Council, and
- (b) exemptions recorded under Rule 3 and satisfy themselves that the use of exemptions has been monitored by the Procurement team.

### **3. EXEMPTIONS**

- 3.1 These Contract Procedure Rules may be waived in exceptional circumstances, where this is needed an Exemption will be approved by the Head of Procurement and Director of Finance.
- 3.2 If the value of the Exemption is greater than the PCR threshold for Services and Supplies, then approval must be sought from the Cabinet Resources Panel.
- 3.3 An Exemption is approval that the CPR's cannot be followed for a reason that is out of the Council's control.
- 3.4 All Exemptions from the CPR's must be recorded using the Exemption Form and approved prior to entering the contract.
- 3.5 Circumstances where time is lost through inadequate forward planning or unnecessary delays will not constitute a reason for Exemption. Exemptions cannot be approved retrospectively.
- 3.6 Exemptions will only be approved as meeting any of the following criteria:
  - 3.6.1 An extension of up to 12 months, can be granted where there has been delay in the preparations for the procurement process as a result of the Covid-19 pandemic subject to the compliance with PCR;
  - 3.6.2 for one of the identified reasons on the exemption form provided by Procurement.

- 3.7 If an Exemption is not approved, then a change to what is being proposed will need to be undertaken to comply with the CPRs. If it is impossible to do this then a non-compliance will be recorded by Procurement, notified to the Audit team and an action plan to correct what is wrong will need to be put in place.
- 3.8 Where there are repeated requests for Exemptions or where non-compliances are occurring in a service team then the relevant Budget Manager and Procurement Business Partner will produce a plan to assess the situation and propose remedial action to be taken. This plan will be provided to the relevant Head of Service and Head of Procurement and will be discussed with the relevant Director of the service
- 3.9 These occurrences will also be reported to the Audit team for investigation.
- 3.10 A list of Exemptions that have been approved will be reported to Cabinet (Resources) Panel at the next available meeting.
- 3.11 Automatic exemptions will be applied to the following areas subject to compliance with the PCRs as determined by the Head of Procurement and Chief Operating Officer and in consideration of finance procedure rules and value for money:
- Public contracts between entities within the public sector subject to meeting the tests within Regulation 12 of the PCRs
  - The acquisition or rental, by whatever financial means, of land, existing buildings or other immovable property
  - Broadcasting time or programme provision via media service providers
  - Arbitration or conciliation services
  - Judicial proceedings before the courts
  - Legal advice in preparation of any judicial proceedings
  - Document certification and authentication services which must be provided by notaries
  - Legal services provided by trustees or appointed guardians
  - Financial services in connection with the issue, sale, purchase or transfer of securities or other financial instruments
  - Loans, whether or not in connection with the issue, sale, purchase or transfer of securities or another financial instrument
  - Employment contracts

#### **4. VARIATIONS AND EXTENSIONS**

- 4.1 Prior to the award of a contract an Officer who will be responsible for managing the contract must be identified, known as the Contract Manager.
- 4.2 Reporting and monitoring processes appropriate to the size and nature of the contract must be put in place to ensure that all obligations are fulfilled by the contracted parties.

- 4.3 Contracts may only be varied to implement minor changes either increasing or decreasing the service and for services of a similar nature, these will be subject to Regulation 72 of the PCRs
- 4.4 Contracts should only be extended if options for extensions were included in the original contract and followed the correct authorisation process
- 4.5 Contract variations and extensions must follow the same authorisation process as though they were new procurements i.e. less than the Supplies & Services threshold requires Director approval, over the Supplies & Services threshold requires approval from Cabinet (Resources) Panel. The same threshold applies to all contracts including works and the “light touch” regime.
- 4.6 If the value of the original contract plus the sum of any extension or variation exceeds the thresholds within these CPRs with the result that a different procurement process should have been used, then an Exemption will need to be requested or potentially a new tender process will need to be conducted dependent on PCRs
- 4.7 For all contracts with a value of over £75,000, contract managers must consider maintaining a risk register during the contract period and undertake appropriate risk assessments for identified risks to ensure contingency measures are in place.
- 4.8 During the life of the contract, the contract manager must monitor in respect of:
  - (a) performance
  - (b) compliance with specification and contract
  - (c) cost

## **5. RELEVANT CONTRACTS**

- 5.1 All Relevant Contracts must comply with these Contract Procedure Rules. A Relevant Contract is any arrangement made by, or on behalf of, the Council for the carrying out of works, supplies, goods, materials or services. These include arrangements for:
  - 5.1.1 the supply or disposal of goods or materials,
  - 5.1.2 the hire, rental or lease of goods or equipment,
  - 5.1.3 execution of works,
  - 5.1.4 the delivery of services, including (but not limited to) those related to:
    - (a) the recruitment of staff
    - (b) land and property transactions
    - (c) financial and consultancy services
    - (d) the supply of staff by employment agents, consultants or any other companies
- 5.2 Relevant Contracts do not include:

- 5.2.1 contracts of employment which make an individual a direct employee of the authority,
- 5.2.2 agreements regarding the acquisition, disposal, or transfer of land (to which the Financial Procedure Rules apply), or:
- 5.2.3 the payment of grants to third parties.

**NB While grants are not covered by these Contract Procedure Rules, there are rules on the awarding of grants which do need to be observed. The Council cannot simply choose to treat a procurement as a grant in order to avoid conducting a competitive process.**

## 6. RECORDS

- 6.1 Adequate records, including electronic copies of contracts, shall be kept of each procurement process. These records will be kept for the time periods listed below:
  - 6.1.1 Ordinary contracts - contract expiry + 6 years
  - 6.1.2 Sealed contracts – contract expiry + 12 years
  - 6.1.3 Property maintenance contracts - contract expiry + 15 years.
  - 6.1.4 For building construction, it's the life of property plus 15 years or transfer to new owner.
  - 6.1.5 The standard retention rule for unsuccessful tenders is process complete (date of last paper) + 1 year.

## 7. ADVERTISING

Procurement will ensure that the minimum advertising requirements, in line with the PCR's and as outlined in the Contract Procedure Rules, are met.

## 8. FRAMEWORK AGREEMENTS

- 8.1 Framework Agreements are agreements between the Council and one or more suppliers for the provision of goods, works or services on agreed terms for a specific period, for estimated quantities against which orders may be placed if and when required during the contract period.
- 8.2 The term of a Framework Agreement must not exceed four years, unless a demonstrable economic case can be established, recorded and approved by the Head of Procurement and Chief Operating Officer prior to the procurement commencing.
- 8.3 Where Frameworks are awarded to several organisations, contracts based on Framework Agreements may be awarded in one of two ways, as follows:
  - (a) where the terms of the agreement are sufficiently precise to cover the particular call-off, by applying the terms laid down in the Framework Agreement without re-opening competition, or
  - (b) by holding a further competition in accordance with the procedure within the Framework Agreement.

**9. PROCUREMENT PROCESS**

- 9.1 The Contract Manager must establish the total value of the procurement including whole life costs and incorporating any potential extension periods which may be awarded.
  - 9.1.1 in the case of fixed-term public contracts less than 48 months in length, the total estimated value for the term of the contract.
  - 9.1.2 in the case of public contracts without a fixed term, or public contracts the term of which cannot be defined, the monthly value multiplied by 48.
- 9.2 Contracts must not be artificially under or overestimated or divided into two or more separate contracts where the effect is to avoid the application of Contract Procedure Rules and UK legislation.

**Contract Procedure Rules**

Anticipated Value of a contract (Excluding VAT)	Procurement Route	Advertising	Evaluation	Approval	Authority to Sign Contract
Below £250 (higher by exception with agreement from Head of Procurement)	Procurement Cards should be used.	Not required.	Lowest price.	Budget Manager in advance of purchase.	Not required
Up to £9,999	Request for Quotation (RFQ) Obtain at least one written Quotation. Managed by Service team. Advice available from Procurement.	If openly advertised, then contact Procurement to advertise on Council's e-tendering site. and Twitter @BuyWolves	Lowest price.	If a new Provider, then complete a Supplier Creation Form (on intranet) and submit to the Hub. then Attach quote to requisition in Agresso. then Approval in accordance with Agresso workflow i.e.; 1) Budget Manager as per the Scheme of Delegation 2) Procurement 3) Technical specialist (if necessary)	Not required. Purchase Order via Agresso.

**Contract Procedure Rules**

Anticipated Value of a contract (Excluding VAT)	Procurement Route	Advertising	Evaluation	Approval	Authority to Sign Contract
<p>£10,000 to £75,000</p>	<p>Request for Quotation (RFQ)</p> <p>Obtain at least four written quotations, at least 2 from local providers either from Wolverhampton or if not available the West Midlands Combined Authority including none constituent members as defined here and Staffordshire County Council administrative area, where possible (exemption will need to be provided if 2 local providers not utilised).</p> <p>Managed by Service team.</p> <p>Advice available from Procurement.</p>	<p>If openly advertised, then contact Procurement to advertise on Council's e-tendering site.</p> <p>and</p> <p>Twitter @BuyWolves</p> <p>If contract value is above £25,000 then contact Procurement to advertise on Contracts Finder website</p>	<p>Lowest price</p> <p>or</p> <p>by exception most economically advantageous based on criteria published with the request for quotation.</p>	<p>If lowest price used, then attach all quotes to the requisition in Agresso.</p> <p>or</p> <p>If the most economically advantageous criteria are used then an "Authorisation to Award" form is completed.</p> <p>then</p> <p>If a new Provider complete a Supplier Creation Form (on intranet) and submit to the Hub.</p> <p>then</p> <p>Attach "Authorisation to Award" and quotes to the requisition in Agresso.</p> <p>Approval in accordance with Agresso workflow i.e.;</p> <ol style="list-style-type: none"> <li>1) Budget Manager as per the Scheme of Delegation</li> <li>2) Procurement</li> <li>3) Technical specialist (if applicable)</li> </ol>	<p>Purchase Order via Agresso</p> <p>and</p> <p>If the Council's Standard Contract is used, then a Head of Service</p> <p>or</p> <p>If a bespoke contract, then Legal Services Authorised Signatory</p>

**Contract Procedure Rules**

Anticipated Value of a contract (Excluding VAT)	Procurement Route	Advertising	Evaluation	Approval	Authority to Sign Contract
<p>£75,001 to PCRS threshold for Services and Supplies</p> <p>Threshold applies to all contracts including Works and Social or Other services (as defined in PCRs)</p>	<p>Invitation to Tender (ITT)</p> <p>Advice must be sought from Procurement before commencing and a "Starting a Procurement" form completed.</p> <p>Tender process using the Council's e-tendering system.</p> <p>A single stage ITT must be used for all contracts upto the Goods and Services threshold.</p> <p>Managed by Procurement</p>	<p>Council's e-tendering system</p> <p>Twitter @BuyWolves</p> <p>Contracts Finder Website</p>	<p>Most economically advantageous based on criteria published within the Invitation to Tender.</p>	<p>An "Authorisation to Award" form is completed.</p> <p>then</p> <p>If a new Provider complete a Supplier Creation Form (on intranet) and submit to the Hub.</p> <p>then</p> <p>Request a Contracted Product Code from Procurement.</p> <p>then</p> <p>Approval in accordance with Agresso workflow i.e.;</p> <ol style="list-style-type: none"> <li>1) Budget Manager (as per the Scheme of Delegation)</li> <li>2) Technical specialist (if applicable)</li> </ol>	<p>Purchase Order via Agresso</p> <p>and</p> <p>Legal Services Authorised Signatory</p>



**Contract Procedure Rules**

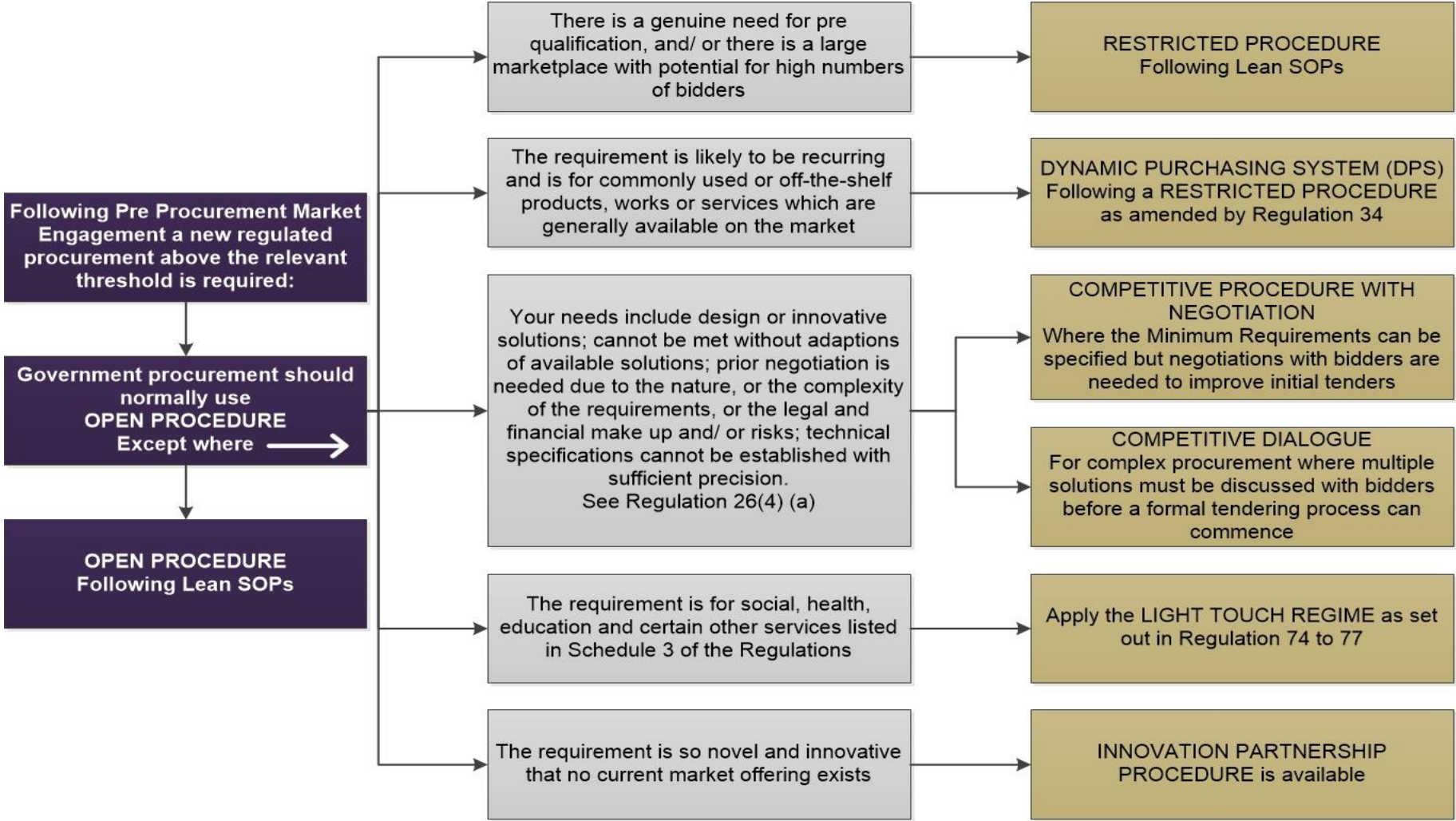
Anticipated Value of a contract (Excluding VAT)	Procurement Route	Advertising	Evaluation	Approval	Authority to Sign Contract
<p>Over PCRS threshold for services and supplies.</p>	<p>Advice must be sought from Procurement before commencing and a "Starting a Procurement" form completed.</p> <p>Delegated authority should be sought from Cabinet (Resources) Panel to award the contract when the evaluation is completed.</p> <p>Tender process using the Council's e-tendering system.</p> <p>An Open procedure single stage ITT to be used</p> <p>or</p> <p>by exception an alternative procedure as stated in the PCRs with a justification approved by the Head of Procurement.</p> <p>Managed by Procurement.</p>	<p>Council's e-tendering system</p> <p>Twitter @BuyWolves</p> <p>Contracts Finder Website</p> <p>and</p> <p>If over the relevant PCRS threshold</p> <p>then</p> <p>UK e-notification service</p>	<p>Most economically advantageous based on criteria published within the Invitation to Tender.</p>	<p>A Contract Award or Delegated Authority form is completed for inclusion in the Procurement Report for Cabinet (Resources) Panel for contracts exceeding the supplies and services threshold</p> <p>Or</p> <p>An Individual Executive Decision report is completed if Delegated Authority from Cabinet (Resources) Panel has been granted in advance for contracts exceeding the supplies and services threshold.</p> <p>then</p> <p>If a new Provider complete a Supplier Creation Form (on intranet) and submit to the Hub.</p> <p>then</p> <p>Request a Contracted Product Code from Procurement.</p> <p>then</p> <p>Approval in accordance with Agresso workflow i.e.;</p> <ol style="list-style-type: none"> <li>1) Budget Manager (as per the Scheme of Delegation)</li> <li>2) Technical specialist (if applicable)</li> </ol>	<p>Purchase Order via Agresso</p> <p>and</p> <p>Legal Services Authorised Signatory</p>

A single stage Open procedure should be used for all procurements unless there are exceptional circumstances as set out in the decision tree below (from Crown Commercial Service Procurement Policy Note 12/15). Further information can be found at:

<https://www.gov.uk/government/publications/procurement-policy-note-1215-availability-of-procurement-procedures-decision-tree>

For any procedure other than Open then approval must be obtained from the relevant Procurement Business Partner in consultation with the Head of Procurement prior to commencement of the procurement.

**Contract Procedure Rules**



## 9.2 Assets for Disposal

9.2.1 Assets for disposal must be dealt with in accordance with the Council's Contract Procedure Rules.

## 10. STARTING A PROCUREMENT

10.1 If the value of a contract is forecast to be £75,000 or greater than the relevant Procurement Business Partner must be contacted at the earliest stage possible. A 'Starting a Procurement' form must be completed prior to the commencement of a procurement process.

10.2 The "Starting a Procurement" form considers risk with any contract and must be fully completed and signed off by relevant stakeholders prior to any procurement process commencing. When completing the form, procurement can support you. You will also require feed in from other teams. Some of the elements you will need to consider are listed below:

10.2.1 Risk within the contract and how to mitigate

10.2.2 Insurance and liability requirements:

- (a) the legal minimum of Five Million Pounds is required for employer's liability insurance.
- (b) Public liability insurance is not legally required in the UK, risks need to be considered to identify the correct cover, no contract should be absent of this type of insurance.
- (c) Professional indemnity insurance is not a legal requirement and will not be required in all contracts, it is usually required if the supplier provides professional services or advice.

10.2.3 Development of a specification

10.2.4 Key Milestones

10.2.5 Who will be in the evaluation panel?

10.2.6 Evaluation Criteria

10.2.7 Key Performance Indicators of the contract

10.2.8 Budget availability

10.2.9 TUPE if applicable

10.2.10 Information Governance

10.2.11 Equality implications

10.2.12 Health and Safety implications

- 10.3 Authority for awarding of contracts, greater than the supplies and services threshold, rests with Cabinet (Resources) Panel. In order to facilitate the timely award of contracts it can be beneficial to seek a delegation, at the start of the process, from Cabinet (Resources) Panel to the relevant Cabinet Member and Director. A standard template is available from Procurement.
- 10.4 Any contract with Council staff transferring under Transfer of Undertakings (Protection of Employment) Regulations 2006, regardless of value, will be also be subject to approval from Cabinet (Resources) Panel, or via an IEDN where delegation has been approved. A standard template is available from Procurement.
- 10.5 Where the contract is complex or high value the Cabinet (Resources) Panel may, by exception, request that a further report is provided setting out the results of the evaluation prior to the contract being awarded.
- 10.6 Where delegated authority has not been previously approved then authority to award the contract greater than the supplies and services threshold must be requested from the Cabinet (Resources) Panel. A standard template is available from Procurement.
- 10.7 A Conflict of Interest declaration must be signed by all parties, including Officers (including temporary, agency and interim staff), involved in the procurement process and submitted to the relevant Procurement Business Partner prior to a procurement commencing.
- 10.8 In the event of a conflict of interest See Rule 17.
- 10.9 Where a forecasted estimated contract value varies above 10% of the maximum delegation of a Director prior to award, following a tender process i.e. 10% above the supplies and services threshold, then a new contract award will need to be completed. Below 10%, but above the supplies and services threshold the relevant Director in consultation with the Director of Finance will approve the award of contract.
- 10.10 Publishing Contract Notices
- 10.10.1 All procurement documentation must be completed and published with the Contract Notice. This as a minimum should include the invitation to tender, specification, contract terms, evaluation criteria and background documentation. If applicable anonymised staffing and pensions liabilities information must also be issued.
- 10.11 Standard Selection Questionnaires (SSQ)
- 10.11.1 The Standard Selection Questionnaire (SSQ) is the questionnaire issued by Crown Commercial Service to be used as selection criteria within a procurement process.
- 10.11.2 SSQs must not be used for any procurement with a value less than the PCRS Services and Supplies threshold.
- 10.11.3 For procurements above the PCRS threshold for Services and Supplies then SSQs must be used as part of the selection process even if utilising the Light Touch Regime (LTR).
- 10.11.4 SSQs must follow the mandated questionnaire issued by the Crown Commercial Service and the Councils e-tendering system must be used.

## 10.12 Contents of a Request for a Quotation (RFQ) or an Invitation to Tender (ITT)

10.12.1 A Request for a Quotation (RFQ) is used for procurements with a value less than £75,001. The evaluation criteria is the lowest price or by exception most economically advantageous tender based on criteria published with the RFQ.

10.12.2 An Invitation to Tender is used for procurements with a value greater than £75,000 or by exception for complex and high-risk procurements of any value. The evaluation criteria is the most economically advantageous tender based on criteria published with the ITT.

10.12.3 The following information must be included within an RFQ or an ITT:

10.12.4 Specification.

A specification must;

- (i) clearly set out the requirements taking into account quality and standards required to be met and timescales for delivery. Any minimum requirements must be clearly stated.
- (ii) consider the various matters prescribed by the Public Services (Social Value) Act 2012 and in particular how the contract might improve social, economic and environmental well-being.
- (iii) consider the accessibility to Small and Medium size Enterprises (SME) and if necessary the contract should be divided into lots to make it more accessible.
- (iv) consider the Shared Values and Principles included in Wolverhampton VCSE Compact Funding, Commissioning & Procurement Code of Practice where the contract may be suitable for VCSE organisations to deliver.
- (v) consider the Council's policies including information governance, business continuity, equality and diversity, and safeguarding.

10.12.5 Price

- (a) How price will be evaluated should be clearly set out.
- (b) Whole life cycle costing, including cost of operation, maintenance and end of life, should be used for evaluation purposes.

10.12.6 Evaluation Criteria

- (a) All evaluation criteria and sub criteria, any financial models and a clear scoring matrix must be included, and full details disclosed to potential bidders.
- (b) These criteria cannot be deviated from once it has been published.

10.12.7 Conditions of Contract

- (a) The Council's standard forms of contract must be used for all supplies and services and the RFQ or ITT must refer to the relevant standard conditions identified on the Council's website.

- (b) For works contracts standard industry forms must be used, for example, JCT, NEC or ICE etc.
- (c) A risk analysis of the scope and specification of the contract should be undertaken and additional requirements such as Disclosure and Barring checks, business continuity and information governance requirements should be identified and included as additional contract conditions if required.
- (d) Where there is a need to deviate from the Council's standard forms of contract or amendments are required to works standard industry forms, due to the risk imposed by the nature of the procurement or where the standard contract is deemed to be unsuitable, contract terms must be drafted by Legal Services prior to the RFQ or ITT being advertised.
- (e) Contracts on supplier's conditions will only be entered into on by exception and must be approved in advance by the Head of Procurement and Legal Services.
- (f) An RFQ or an ITT must include a clause empowering the Council to immediately reject a tender or terminate a contract if the tenderer offers any form of inducement to influence the decision to award the Contract. This right to terminate will apply regardless of whether the inducement was accepted by the Officer or Councillor concerned.
- (g) All contracts are subject to Regulation 73 of the PCRs.

#### 10.12.8 Durations

- (a) An RFQ should be advertised for a period of time appropriate to the complexity of the procurement and to ensure there are sufficient quotes received to demonstrate that a proper competition has taken place.
- (b) An ITT should be advertised for a period of time appropriate to the complexity of the procurement, as minimum this should be 2 weeks.
- (c) Where the contract value is above the PCRS Thresholds then the appropriate minimum time periods in accordance with the PCRs must be followed.
- (d) Tenderers should be given enough time to fully understand a requirement and bid accordingly, minimum timescales do not always allow for suitable bids.

10.12.9 If a reduced timescale is required due to genuine urgent need then this must be recorded and approved by the relevant Procurement Business Partner in consultation with the Head of Procurement, prior to the procurement commencing.

#### 10.13 Contract value and duration

10.13.1 Prior to a procurement being undertaken an estimate of the total contract value over its full duration, including any extension options must be established, see Rule 9. A record of how this forecast was calculated should be retained.

10.13.2 The value of the contract must not be split to avoid the application of the CPRs and PCRs, although lotting is acceptable to provide opportunities to SMEs

10.13.3 Framework Agreements must not exceed a four-year duration unless a demonstrable economic case can be established, recorded and approved by the relevant Procurement Business Partner prior to the procurement commencing.

10.13.4 Contract lengths must be considered in line with risk, investment and cost of change. These should be recorded and approved by the relevant Procurement Business Partner prior to the procurement commencing.

#### 10.14 Appointment of Temporary, Agency and Interim Staff

10.14.1 Advice must be sought from the relevant HR Business Partner prior to commencing the appointment of any temporary, agency and interim staff.

10.14.2 The appointment of temporary, agency and interim staff must be in accordance with these CPRs with the addition of an HR business case being approved.

10.14.3 The appointment of temporary, agency and interim staff with an equivalent day rate of £500 or more must be approved by the Head of HR and the Cabinet Member for Governance prior to commencing the appointment.

10.14.4 The appointment of temporary, agency and interim staff with an equivalent day rate of £499 or less must be approved by the relevant HR Business Partner prior to commencing the appointment.

10.14.5 A copy of the completed Structure Management Request and relevant approval must be uploaded as an attachment to the Agresso requisition.

10.14.6 A report will be provided quarterly to the Cabinet (Resources) Panel setting out the appointments of temporary, agency or interim staff within the period since the previous report.

10.14.7 In the event that temporary, agency or interim staff are proposed to transfer employment to become permanent employees then it is likely that transfer, finders or similar fees will be charged by the agency. Approval must be obtained in advance from the relevant HR Business Partner prior to any transfer of employment and payment of relevant fees.

### 11. During a Tender

#### 11.1 Pre-procurement engagement

11.1.1 Where discussions are held with stakeholders and/or potential bidders prior to the issue of an advert or Contract Notice then these must be recorded.

11.1.2 Advice should be sought from the relevant Procurement Business Partner prior to any discussions to ensure that any conflicts of interest are recorded, and mitigation measures put in place.

#### 11.2 Communications with tenderers during procurement

11.2.1 All communications with tenderers after the RFQ, SSQ or ITT has been issued must be conducted via the secure messaging service which forms part of the e-tendering system and only by a Procurement Officer if an ITT is being completed.



11.2.2 Verbal communication should only be carried out by a Procurement Officer during a tender process

### 11.3 Quotation and Tender opening and late submissions

11.3.1 All tenders in response to SSQs or ITTs will be submitted electronically through the Council's e-tendering system and cannot be opened until after the SSQ or ITT closing date.

11.3.2 For RFQs which have not used the Council's e-tendering system responses should be returned by email to the Procuring Officer.

11.3.3 All late quotations and tenders must be referred to the relevant Procurement Business Partner. They will only be accepted in exceptional circumstances if:

(a) the other tenders have not been opened and;

(b) there has been a failure of the e-tendering system or if the failure to comply is the fault of the Council.

11.3.4 The final decision on whether a tender will be accepted is at the discretion of the Head of Procurement.

11.3.5 The date for receipt of tenders may only be extended in exceptional circumstances. This must be approved by the relevant Procurement Business Partner and Head of Procurement, the reasons documented.

## 12. Evaluation

12.1 Evaluation of SSQ responses, quotations and tenders must be in accordance with the criteria and scoring published with the RFQ, SSQ or ITT. In the event no criteria have been published then the evaluation will be on lowest price for below PCR threshold requirements, above PCRs threshold opportunities will be re-tendered.

12.2 No information about SSQ responses, quotations and tenders should be shared with competing organisations other than statutory information required in the standstill period debrief letter.

12.3 Questions from bidders must be submitted electronically, for RFQs by e-mail or through the e-tendering system where this has been used. Responses to questions must be shared with all bidders unless there is an overriding commercial or confidential reason. Advice should be sought from the relevant Procurement Business Partner if there is any uncertainty.

12.4 Clarifications of SSQ responses, quotations and tenders maybe requested from bidders and must be made in writing using the e-tendering system. Advice should be sought from the relevant Procurement Business Partner in advance.

12.5 Negotiations with tenderers are only permitted in limited instances with approval of the relevant Procurement Business Partner and in consultation with the Head of Procurement.

12.6 Once an SSQ, RFQ or ITT has been evaluated and the successful organisation selected only minor refinements that do not substantially change the tenderer's proposal, or the

commercial position can be made. Advice should be sought from the relevant Procurement Business Partner and Legal Services in advance.

- 12.7 Evaluators must come to a consensus on scores awarded via a moderation meeting, scores must not be averaged.
- 12.8 Following the moderation of the quality element, evaluators will also review and score pricing within the process, this will then be checked and discussed with the relevant procurement officer.
- 12.9 Justification and reasons for the scores awarded must be recorded in writing and retained in accordance with Council's Records Management Policy and PCRs. This information is to be used for providing feedback to bidders.

### **13. Awarding a Contract**

#### 13.1 Approval to enter into a contract

- 13.1.1 Approval to award the contract must be granted prior to the award being carried out in accordance with the table in Rule 9.

#### 13.2 Mandatory standstill period

- 13.2.1 For all contracts with a value above the PCRS threshold a mandatory 'standstill period' must be observed between notification of the contract award and conclusion of the contract in accordance with the PCRs.
- 13.2.2 No public announcements should be made prior to contract signature except for relevant requirements in PCRs.

#### 13.3 Letters of Intent to enter a contract

- 13.3.1 Officers must not issue letters of intent, memorandums of understanding or similar communications without the prior approval of Legal Services.

#### 13.4 Contract Award Notice

- 13.4.1 Contract Award Notices must be placed in PCRS and Contracts Finder in accordance with the PCRs. The publication of notices will be undertaken by the relevant Procurement Business Partner.

#### 13.5 Feedback to Bidders

- 13.5.1 Unsuccessful bidders should be informed of the outcome of a procurement process as soon as possible.
- 13.5.2 Where there are two or more stages in a procurement process, unsuccessful bidders should be provided with feedback on their submission at the point they are excluded from the process.
- 13.5.3 For RFQs where the only evaluation criteria is the lowest price the unsuccessful bidders should be advised of the total price of the winning bidder, unless this could disadvantage the winning bidder commercially. For example, if bidding for a fixed amount of one product.

- 13.5.4 For SSQs the unsuccessful bidders should be advised of the reasons they did not meet the standard to be shortlisted.
- 13.5.5 For ITTs where the evaluation criteria comprises quality, price and if applicable social value then unsuccessful bidders should be advised of their score against each criteria and weighted marks, the relative strengths and weaknesses of its proposal and total score and price of the winning bidder.
- 13.5.6 Information on the successful bidder's proposal including the method of undertaking the work or a breakdown of the price should not be provided to unsuccessful bidders. If there is any doubt advice should be sought from the relevant Procurement Business Partner.

#### **14. Exclusion of Providers from contracts**

- 14.1 If any of the following apply to a Provider, any person who has powers of representation, decision or control of the Provider, or an associated Provider, (e.g. within the same group, with same directors or owners etc.), then the Provider will be excluded from being awarded any Council contract or order:
- Have failed to comply with any other agreements with the Council, e.g. failure to meet grant conditions, defaulted on a contract or other legal agreements.
  - Are subject to any of the Mandatory and Discretionary exclusions in Regulation 57 of the PCRs.
  - Are subject to any of the Selection Criteria exclusions in Regulation 58 of the PCRs.
- 14.2 In the event that any of the above apply then the Provider should be requested to submit an explanation which details actions taken to rectify the situation. It is the Head of Procurement's decision, in consultation with the Chief Operating Officer, to assess the Provider's explanation and whether to exclude the Provider.

#### **15. CONTRACT DOCUMENTS**

##### **15.1 Format of Contract Documents**

15.1.1 Every formal written contract for the supply of goods or materials shall provide that should the contractor fail to deliver the goods or materials or any portion thereof within the time or times specified in the contract, The Council, without prejudice to any other remedy for breach of contract, shall determine the contract either wholly or to the extent of such default and to purchase other goods, or materials, as the case may be, of the same or similar description to make good:

(a) such default; or

(b) in the event of the contract being wholly determined the goods or materials remaining to be delivered.

The clause shall further secure that the amount by which the cost of so purchasing other goods or materials exceeds the amount which would have been payable to the contractor in respect of the goods or materials, if they had been delivered in accordance with the contract, shall be recoverable from the contractor.

15.1.2 Every Relevant Contract/must be in writing and must state clearly:

- (a) what is to be supplied (description and quality)
- (b) payment provisions (amount and timing)
- (c) when the Council will have the right to terminate the contract
- (d) that the contract is subject to the law as to prevention of corruption

The Council's standard terms and conditions must be used where possible.

15.1.3 In addition, every Relevant Contract for purchases over £1,000.00 for works, £1,000.00 for supplies of goods, materials or services and £1,000.00 for consultants must also as a minimum state clearly:

- (a) that the contractor may not assign or sub-contract without prior written consent
- (b) any insurance requirements
- (c) health and safety requirements
- (d) ombudsman requirements
- (e) data protection requirements if relevant
- (f) a right of access to relevant documentation and records of the contractor for monitoring and audit purposes

15.1.4 All contracts must be concluded formally in writing above £10,000 before the supply, service or construction work begins, except in exceptional circumstances, and then only with the written consent of the Chief Operating Officer. An award letter is insufficient.

15.1.5 The Officer responsible for securing the signature of the contractor must ensure that the person signing for the contracting party has authority to bind it.

## 15.2 **Contract Signature**

15.2.1 A contract entered into by or on behalf of the Council must:

- (a) Where the contract is in the form of a deed, be made under the Council's seal and attested as required by the Constitution, or:
- (b) Where the contract is in the form of an agreement be signed by an authorised officer as required by the Constitution. Contracts in the form of an agreement may utilise an electronic signature.

15.2.2 A contract must be sealed where;

- (a) The Council wishes to enforce the contract for more than six years following a risk assessment by the contract owner, Legal Services and Procurement or;
- (b) The price paid or received under the contract is a nominal price and does not reflect the value of the goods or services or;

- (c) It relates to a transfer of Land or is a requirement of the Land Registry or;
- (d) Where there is any doubt about the authority of the person signing for the contracting party.

## **16. LIQUIDATED DAMAGES, BONDS AND PARENT COMPANY GUARANTEES**

- 16.1 Every formal written contract which exceeds £1,000,000.00 in value or amount and is for the execution of works shall provide for liquidated damages to be paid by the contractor in case the terms of the contract are not duly performed.
- 16.2 The Officer must consult the Legal Services when a tenderer is a subsidiary of a parent company and the parent company guarantor has not been offered and:
  - 16.2.1 The total value exceeds £1,000,000.00.
  - 16.2.2 Award is based on evaluation of the parent company, or
  - 16.2.3 There is some concern about the stability of the tenderer.
- 16.3 The officer must consult the Legal Services about whether a bond is needed:
  - 16.3.1 Where the total value exceeds £1,000,000.00.
  - 16.3.2 Where it is proposed to make stage payments or other payments in advance of receiving the whole of the subject matter of the contract.

## **17. PREVENTION OF CORRUPTION**

- 17.1 Rules and regulations pertaining to the prevention of corruption are outlined in the Council's Financial Procedure Rules and must be adhered to.
- 17.2 Every Officer, including temporary, agency and interim staff, or Councillor involved in any decision in respect of any Provider or contract in which they, any immediate member of their family, or close associate has a Pecuniary Interest shall immediately notify the Chief Operating Officer who shall make a record in the register kept for the purpose under s.117 Local Government Act 1972.
- 17.3 In the event of any doubt or uncertainty as to whether a Pecuniary Interest will occur advice should be sought from the Head of Procurement who will consult with the Head of Audit, Director of Finance and Chief Operating Officer.
- 17.4 The following clauses must be put in every written Council contract (with the exception of framework agreements not let by the Council):

'The Council may terminate this contract and recover all its loss if the Contractor, its employees or anyone acting on the Contractor's behalf do any of the following things:

  - 17.4.1 Offer, give or agree to give anyone any inducement or reward in respect of this or any other Council contract (even if the Contractor does not know what has been done); or
  - 17.4.2 Commit an offence under the Bribery Act 2010 or Section 117(2) of the Local Government Act 1972; or

17.4.3 Commit any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, contractors or employees.

Any clause limiting the Contractor's liability shall not apply to this cause.'

17.5 Any suspected irregularity shall be referred to the Head of Audit who shall notify the Chief Operating Officer where necessary. Any examination of contractors' or tenderers' books and records as a result of any such suspected irregularity shall be conducted by the Audit Manager. If, in the investigation of any irregularity, the Chief Operating Officer considers that disciplinary procedures may need to be invoked, the appropriate Director, shall also be notified.

## **18. DECLARATION OF INTERESTS**

Rules and regulations pertaining to the Declaration of Interests are outlined in the Code of Conduct for Employees within the Constitution and must be adhered to.

## **19. EXTERNAL BODY GRANT FUNDING**

19.1 Where a procurement process is funded, in whole or part, by grant funding which has been awarded to the Council by an external funding body, the Procurement Officer must ensure that any rules or conditions imposed by the funding body are adhered to, in addition to the requirements of these Contract Procedure Rules.

19.2 Where there is any conflict between these Contract Procedure Rules and the rules or conditions imposed by the funding body, The Chief Operating Officer will determine which should be followed.

19.3 An exemption form will need to be completed for grants where one of the following conditions are met:

19.3.1 Where the procurement activity is grant funded and the supplier is named by the grantor as a condition of that funding.

19.3.2 Where the Council is providing a grant to another organisation

19.4 If conditions in 19.3 are not met when applying for grant funding, then a compliant procurement process will need to be adhered to as identified in Rule 9 of these CPRs.

## **20. APPOINTMENT OF CONSULTANTS**

20.1 The engagement of consultant architects, engineers and surveyors or other professional consultants including Counsel shall be subject to completion of a formal letter, contract of appointment or brief.

20.2 Consultants shall be required to provide evidence of and maintain professional indemnity policies to the satisfaction of the relevant Head of Service for the periods specified in the respective agreement.

20.3 Consultants shall be selected and commissions awarded in accordance with the values and procedures recorded in the table in Rule 9 above.

20.4 Records of consultancy appointments shall be maintained in accordance with Rule 6.

## 21. Social Care Contracts

- 21.1 It is recognised that either because of service user choice or the nature of the market for specialist placements that for some types of social care contracts that competitive procurement processes cannot be undertaken.
- 21.2 Only contracts for the following have specific exclusions from these CPRs all other elements are covered by the LTR in ;
- 21.3 Residential Care
- 21.4 Residential Care placements are exempt from the full requirements of the CPRs. Sections 1,2,7,8 and 9 apply.
- 21.5 The Council will contract with Residential Care Providers using a standard contract. The contract will set out a breakdown of the price. Any deviations from this standard contract must be approved in advance by the relevant Director who will consult with the relevant Head of Service.
- 21.6 If a weekly fee for a placement is higher than in the table below then approval must be gained from the relevant Director who will consult with the relevant Head of Service prior to agreeing the placement with the Provider;

Looked after Children	£3,000
Physical disability, learning disability or mental health (children and adults)	£2,000
Older people	Current Council standard rate for the relevant category

- 21.7 For out of area placements for older people the fee per week must be either the current Council standard rate or the standard rate for the relevant local authority area. Out of area placements with a fee per week above this then approval must be gained from the relevant Director who will consult with the relevant Head of Service prior to agreeing the placement with the Provider.
- 21.8 Where there is an emergency need and approval cannot practically be requested in advance then this should be notified to the relevant Director and relevant Head of Service as soon as possible and in all cases within 72 hours of the placement commencing.
- 21.9 In the event of the above in 10.3.2 to 10.3.5 occurring then the relevant Procurement Business Partner should be advised as soon as practical.

## 22. Social Care Frameworks

- 22.1 In addition to the requirements of 3.5.3 where a framework relating to Social Care is used, e.g. foster care placements, Form F Assessments and children's residential care, then the following will apply;

- 22.1.1 Where placements are made outside of the Framework Agreements approval must be gained from the relevant Director who will consult with the relevant Head of Service prior to agreeing the placement with the Provider.
- 22.1.2 Prior to making a placement a breakdown of the price must be obtained from the Provider and value for money demonstrated. Advice should be sought from the relevant Procurement Business Partner where the costs are more than the typical expected costs.

**23. Educational Placements**

- 23.1 Where the Council is required to pay for Education Placements these are generally required to be paid in advance and are not subject to competitive tendering.
- 23.2 Prior to making a placement a breakdown of the price must be obtained from the Provider and value for money demonstrated. Advice should be sought from the relevant Procurement Business Partner where the costs are significantly more than the typical expected costs.

**24. Finance Leases excluding Land and Property**

- 24.1 Where a contract requires the Council to enter into a finance or lease agreement then advice should be sought from the relevant Finance Business Partner in advance.
- 24.2 In addition to the approvals required as set out in the table in 3.2, finance and lease agreements must be approved by the Director of Finance prior to signing.

**25. Loans, advance payments and similar arrangements**

- 25.1 As stated in the Financial Procedure Rules no Officer, including Interim and temporary staff, or Councillor shall, or commit to, enter into any loan, advance payment or similar arrangements without approval of the Director of Finance acting as the Section 151 Officer.

**26. Disposal of Assets excluding Land and Property**

- 26.1 The disposal of assets excluding land and property must comply with the following;

Less than £10,000	Minimum of three written quotes	Relevant Director
More than £10,000	Open competition using the Council's e-tendering system  or  Third party auction	Director of Finance

- 26.2 The value of the assets should be calculated on the value per disposal requirement, irrespective of how the items are disposed e.g. a group of similar items with a total value



of £20,000 will require approval by the Director of Finance although the disposal maybe of individual items with values each of less than £10,000.

- 26.3 Advice should be taken from the relevant Procurement Business Partner if it is determined that a third-party auction is a suitable route for disposal.
- 26.4 The highest value unconditional bid received should be accepted unless, in the view of the relevant Budget Manager and the relevant Procurement Business Partner, a conditional bid offers better value to the Council.
- 26.5 The chosen process must be approved in advance by the relevant Director, or Director of Finance.

## **27. Concessions and Revenue Earning Contracts**

- 27.1 Prior to the Council awarding a concession or entering into a revenue earning contract, whether in its own right or with a commercial partner, approval of the commercial arrangements and contract terms and conditions must be obtained from the Director of Finance and from Chief Operating Officer.
- 27.2 Where the concession or revenue has a value greater than the PCRS threshold for Services and Supplies or has a significant risk profile (as assessed by the Director of Finance and Chief Operating Officer) then approval is required from Cabinet (Resources) Panel prior to entering into the agreement.
- 27.3 Where the Council is a bidder and submitting a proposal or tender in response to a contract opportunity then approval must be obtained from the relevant Director and the Director of Finance.
- 27.4 Where the contract has a value greater than the PCRS threshold for Services and Supplies or has a significant risk profile (as assessed by the Director of Finance and Chief Operating Officer) then approval is required from Cabinet (Resources) Panel prior to submitting the proposal or tender.
- 27.5 Advice from Legal Services must be sought prior to commencing any work on compiling a proposal or tender to determine if the Council has the power to enter into the contract.

## **28. Land and Property Transactions**

- 28.1 General Procedure for Land and Property Transactions
- 28.2 Before land or property or an interest in land or property is offered for sale or lease the advice of Corporate Landlord will be sought and the Director of Regeneration/ Director of City Housing and Assets or a nominee ("the Director") shall ensure that due regard is had to the Council's guidance for the disposal of Council land and property. The Director shall ensure a suitably RICS qualified valuer's estimate of the likely price or rent has been obtained. The Council will normally expect that best consideration is obtained in accordance with the relevant legislation.
- 28.3 The advice of Corporate Landlord must be sought for all land and property transactions and/or proposals. The Director shall ensure due regard is given to this advice. The expectation is the advice should normally be followed unless there are specific circumstances that justify any variation in which case this will require the approval of Cabinet or Cabinet (Resources) Panel.

- 28.4 Property Related Matters
- 28.5 Where a contract or proposal is likely to have any property implications for the Council, such as the leasing, acquisition or use of premises (whether Council owned or otherwise), the advice of Corporate Landlord must be sought and followed.
- 28.6 Scheme of Delegations for Property Transactions
- 28.7 The following scheme of delegation for all land and property transactions must be followed:
- 28.7.1 Delegation to the Director: -
  - 28.7.2 Disposal of land by leases/lettings up to 7 years and annual rent up to £50,000.
  - 28.7.3 Agreement of rent reviews up to a rent of £100,000 pa.
  - 28.7.4 The grant or taking of annual Wayleaves.
  - 28.7.5 The grant or taking of Licences to Occupy, Tenancies at Will, Licences to Assign, Alter and Underlet.
  - 28.7.6 Tenancy Agreements and associated Deeds related to the letting of residential properties managed by Wolverhampton Homes
- 28.8 Delegated decisions through an Individual Executive Decision Notice to the nominated Cabinet Member for City Assets in consultation with the Director. Details of all transactions must be reported to the Corporate Landlord Board at the next available opportunity.
- 28.8.1 The granting or taking of an Exclusivity Agreement
  - 28.8.2 Disposal of property by licence/lease of more than 7 years and up to 25 years and at an annual rent up to £100,000.
  - 28.8.3 Acquisition of property by licence/lease up to 25 years and annual rent up to £100,000, subject to agreed service requirement and provision in the budget.
  - 28.8.4 Minor disposals by freehold sale or long lease at a premium, easement, dedication, release of covenants or other legal interest up to a value of £250,000.
  - 28.8.5 Disposal by freehold sale, long lease, easement, dedication, release of covenants or other legal interest for a capital sum at a value not exceeding £2,000,000 where principle of disposal has been previously agreed by Cabinet (Resources) Panel.
  - 28.8.6 Sales of freehold reversion under Leasehold Reform Act 1967.
  - 28.8.7 Acquisition or appropriation of property in accordance with agreed policy and subject to provision in budget.
  - 28.8.8 Surrender of leases for Estate Management needs or where financial difficulty is demonstrated.
  - 28.8.9 Variations to lease covenants/clauses, settling of rent above £100,000 pa under rent reviews, licence/lease renewals in excess of 7 years and variations to existing agreements where financial difficulty is demonstrated.

28.8.10 Service of notices required to be served on lessees of the City Council terminating or altering the terms of a residential tenancy.

28.8.11 Agreement of compensation and other collateral agreements following the Compulsory Purchase of land.

28.8.12 Shared ownership leases

## 29. Cabinet (Resources) Panel Decisions

29.1.1 All other property acquisitions and disposals.

29.2 Details of all transactions must be recorded and filed appropriately.

## 30. Light Touch Regime

30.1 The light-touch regime (LTR) is a specific set of rules for certain service contracts that tend to be of lower interest to cross-border competition. Those service contracts include certain social, health and education services, defined by Common Procurement Vocabulary (CPV) codes. The list of services to which the Light-Touch Regime applies is set out in Schedule 3 of the PCRs and a consolidated list can be seen below:

30.1.1 • Domestic help

30.1.2 • Supply services of nursing personnel

30.1.3 • Agency staff, Manpower, Home help services for households

30.1.4 • Education and training services

30.1.5 • Event services

30.1.6 • Festival organisation services

30.1.7 • Catering services for private households

30.1.8 • Canteen management services

30.1.9 • School-meal services

30.1.10 • Postal services

30.2 Services highlighted above still require the specific CPV codes in Schedule 3 to be listed otherwise they will be classified as a standard goods or services contract and will comply with regulations, accordingly, including the lower threshold. For a mixed contract including LTR and non-LTR services, the classification of the overall contract is determined by whichever constituent part is greater by value.

30.3 Below the LTR threshold, contracts do not normally need to be advertised in the UK e-notification service. The PCRs recognise that only services above the threshold identified in the biannual Procurement Policy Note covered by the LTR would normally be likely to be of cross border interest. Following from this, services below this threshold do not need to be advertised via the UK e-notification service, unless there are concrete indications of cross-border interest.

#### 30.4 Mandatory Requirements

- 30.5 A small number of procedural rules for above these thresholds. The Council has to follow the light-touch set of procurement rules for LTR contracts above the relevant threshold. The main mandatory requirements are:
- 30.6 UK e-notification service advertising: The publication of a contract notice (CN) or prior information notice (PIN). Except where the grounds for using the negotiated procedure without a call for competition could have been used, for example where there is only one provider capable of supplying the services required.
- 30.7 The publication of a contract award notice (CAN) following each individual procurement, or if preferred, group such notices on a quarterly basis.
- 30.8 Compliance with PCRs principles of transparency and equal treatment.
- 30.9 Conduct the procurement in conformance with the information provided in the contract notice or pin regarding: any conditions for participation; time limits for contacting/responding to the authority; and the award procedure to be applied.
- 30.10 Time limits imposed by authorities on suppliers, such as for responding to adverts and tenders, must be reasonable and proportionate. There are no stipulated minimum time periods in the LTR rules, so the Council needs to use its discretion and judgement on a case by case basis.
- #### 30.11 Significant Flexibilities
- 30.12 The Council has the flexibility to use any process or procedure they choose to run the procurement, as long as it respects the other obligations above. There is no requirement to use the standard EU procurement procedures (open, restricted and so on) that are available for other (non-LTR) contracts. Authorities can use those procedures if
- 30.13 helpful, or tailor those procedures according to their own needs, or design their own procedures altogether.
- 30.14 The LTR rules are flexible on the types of award criteria that may be used, but make clear that certain considerations can be taken into account, including (this is not an exhaustive list):
- 30.15 the need to ensure quality, continuity, accessibility, affordability availability and comprehensiveness of the services;
- 30.16 the specific needs of different categories of users<sup>1</sup> , including disadvantaged and vulnerable groups;
- 30.17 the involvement and empowerment of users; and
- 30.18 innovation
- 30.19 Reserved contracts for certain services in the light-touch regime. The rules permit for certain LTR contracts to be “reserved” for organisations meeting certain criteria e.g. public service mutuals and social enterprises.

### 31. REVIEW AND AMMENDMENT OF CPRS

31.1 The contract procedure rules shall be reviewed and updated on an annual basis as part of the annual review of the constitution

### 32. Glossary of Terms

Concession	Contracts where the consideration consists either solely in the right to exploit the work or service, or in this right to exploit together with payment.
Contract	An agreement between two or more parties relating to supplies, services, utilities or the execution of works for payment or otherwise by an agreement intended to bind those parties.
Contract Manager	A Contract Manager is a budget holder responsible for ownership of specific contracts within the Council. They are responsible for managing risk and managing relationships within those contracts.
Contract Notice	An advert giving details of the contract being procured. The issue of the Contract Notice starts the SSQ, RFQ or ITT process.
Contracts Register	A database of all Council Contracts maintained by Procurement.
e-tendering system	The computer system used by the Council to undertake procurement activities
Framework Agreement	An agreement or other arrangement which establishes the terms under which the Provider will enter into one or more Contracts with the city council or other Public body during the period in which the Framework Agreement applies.
PCRS threshold	The UK Threshold pertaining to the values of Supplies, Services or Works which is published by a Procurement Policy Note and updated bi-annually January.
Procuring Officer	The service team Officer who is responsible for the procurement process. This also includes third parties who are procuring on behalf of the Council.
Procurement Officer	The member of the Procurement Team who has been assigned to the procurement exercise.
Provider	An organisation that supplies goods to, provides services to or undertakes works for the Council.
Revenue earning contract	A Contract where either part of the consideration is a share for the Council of any income generated by the Provider or where the Council is acting as a Provider to another party.



**Employee Employment Procedure Rules**

**1 Recruitment and appointment**

**1.1 Declarations**

- a. The Council will draw up a statement requiring any candidate for appointment as an employee to state in writing whether he/she is the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece of an existing Councillor or employee of the Council; or of the partner of such persons.
- b. No candidates related to a Councillor or an employee will be appointed without the authority of the relevant Senior Manager or an employee nominated by him/her.

**1.2 Seeking support for appointment**

- a. The Council will disqualify any applicant who directly or indirectly seeks the support of any Councillor or an employee of the Council for that appointment with the Council. The content of this paragraph will be included in any recruitment information.
- b. No Councillor or employee of the Council will seek support for any person for any appointment with the Council.

**1.3 Equal Opportunities**

The Council will not unlawfully discriminate in the recruitment and appointment of officers and all appointments shall be made on merit.

**2. Recruitment of Chief Executive (Head of Paid Service), Deputy Chief Executive, Strategic Directors, Directors and Designated Statutory Officers (Monitoring Officer and Section 151 Officer).**

2.1 Where the Council proposes to appoint a Chief Executive (Head of Paid Service), Deputy Chief Executive, Strategic Director, Directors or Designated Statutory Officer (Monitoring Officer and Section 151 Officer) the Council will:

(i) draw up a statement specifying:

- a. the duties of the employee concerned; and
- b. any qualifications or qualities to be sought in the person to be appointed;

(ii) make arrangements for the post to be advertised in such way as is likely to bring it to the attention of persons who are qualified to apply for it; and

## ***Employee Employment Procedure Rules***

(iii) make arrangements for a copy of the statement above to be sent to any person on request.

### **3. Appointment of Chief Executive (Head of Paid Service), Deputy Chief Executive, Strategic Directors and Designated Statutory Officers (Monitoring Officer and Section 151 Officer).**

3.1 The Council will appoint the Chief Executive (Head of Paid Service), Deputy Chief Executive, Strategic Directors and Designated Statutory Officers (Monitoring Officer and Section 151 Officer) following the recommendation of a Special Appointment Committee of the Council.

3.2 The Council may only approve the appointment of officers referred to in 3.1 where no well-founded objection has been made by any Cabinet Member. If the Council approves the recommendation, then a formal offer of appointment can be made.

3.3 The Council may provide delegation to the Special Appointments Committee to approve the appointments.

3.4 Where following the interviews the Special Appointments Committee is of the view that there is no suitable candidate, it will re-advertise the post.

3.5 Where full Council does not approve the recommendation of the Special Appointments Committee, they shall indicate how they wish to proceed.

3.6 Any new appointments or severance packages of £100,000 or above (excluding pension) will be the subject of recommendation from the Special Appointments Committee to full council.

### **4.0 Appointment of Directors**

4.1 A Special Appointment Committee of the Council will appoint Directors.

4.2 An offer of employment as a Director shall only be made where no well-founded objection has been made by any Cabinet Member.

### **5.0 Special Appointment Committees**

5.1 A Special Appointment Committee will be utilised to appoint the Chief Executive (Head of Paid Service), Deputy Chief Executive, Strategic Directors, Directors and Designated Statutory Officers (Monitoring Officer and Section 151 Officer) on a politically balanced basis and comprise of elected members.

5.2 Any Special Appointment Committee will be representative in terms of race and gender and disability wherever possible and have completed unconscious biased training.

5.3 The Special Appointment Committee will comprise of the following:



## ***Employee Employment Procedure Rules***

- a) The Leader and/or Deputy leader of the Council or their respective nominees
  - b) The appropriate Cabinet Member(s) having responsibility for the area of service concerned, determined by the Chief Operating Officer in consultation with Leader of the Council or their nominee.
  - c) The Chair of the Scrutiny Board or their nominee; such other opposition non-cabinet member(s) to ensure political balance.
  - d) The appointment panel shall be advised by the Chief Executive and any other relevant senior officers or external professional advisers/partners as nominated by the Chief Executive.
  - e) A nominated employee from an equality forum group in an observer capacity.
- 5.4 Any Special Appointment Committee will follow the procedure required by the Local Authorities (Standing Orders) (England) Regulations 2001 (“the Regulations”) as amended by The Local Authorities (Standing Orders) (England) (Amendment) Regulations 2015.
- 5.5 The Chief Operating Officer will be the Proper Officer for the purposes of the Regulations. If that post is vacant then the Head of Paid Service will be the Proper Officer.
- 5.6 Any Special Committee utilised for the purposes of disciplinary action of the Head of Paid Service, the Monitoring Officer or the Section 151 Officer will follow the procedure required by the Local Authorities (Standing Orders) (England) Regulations 2001 (“the Regulations”) as amended by The Local Authorities (Standing Orders) (England) (Amendment) Regulations 2015.
- 6.0 Other appointments**
- 6.1 **Appointment of Director of Public Health** – where the Council proposes to appoint a Director of Public Health, the Council will follow any necessary statutory requirements that apply to that post and comply with any specific requirements issued by the Secretary of State.
- 6.2 **Deputy Director** - Appointment of a Deputy Director is the responsibility of the Head of Paid Service or his/her nominee and may not be made by Councillors. The relevant Cabinet Member will be consulted and engaged with prior of a formal offer of appointment.
- 6.3 **Assistants to political groups** - Appointment of an assistant to a political group shall be made in accordance with the wishes of that political group provided such is in compliance with any statutory requirements.
- 6.4 **Employees below Deputy Director** – Appointment of employees below Deputy Director are the responsibility of the Chief Executive (or their nominee) and may not be made by Councillors.

**7.0 Disciplinary Action – Chief Executive (Head of Paid Service), Monitoring Officer and Section 151 Officer**

**7.1 Suspension** - The Chief Executive (Head of Paid Service), Monitoring Officer and Section 151 Officer may be suspended whilst an investigation takes place into alleged misconduct. The decision to suspend the Chief Executive (Head of Paid Service), Monitoring Officer and Section 151 Officer shall be made by the Special Appointments Committee. That suspension will be on full pay and will terminate no later than the expiry of two months beginning on the day on which the suspension takes effect unless notice is given to extend the period of suspension.

**7.2 Independent Panel** – No disciplinary action may be taken in respect of the officers referred to in 7.1 above except in accordance with a recommendation in a report made by a Panel established under the provisions of the Local Authorities (Standing Orders) (England) (Amendment) Regulations 2015 containing at least two Independent Persons appointed under section 28 (7) of the Localism Act 2011.

**7.3 Decision Making** – Any proposed disciplinary action of officers referred to in 6.1 that is a lesser sanction than dismissal shall be determined by the Special Appointments Committee. Where a recommendation is made that dismissal of those officers is the appropriate action, that final decision shall only be undertaken by Council.

**7.4 Disciplinary Procedure** – Any proposed disciplinary action of officers referred to in 6.1 shall be dealt with in accordance with the Model Disciplinary Procedure detailed in JNC Chief Executive Handbook.

**8.0 Disciplinary action against other employees**

**8.1** Councillors will not be involved in disciplinary action against any employee excluding those detailed in 7.1 except where such involvement is necessary for any investigation or inquiry into alleged misconduct, though the Council's disciplinary, capability and related procedures, as adopted from time to time.

**8.2** Dismissal of all other officers will follow the Council's Disciplinary Policy and Procedure.

**8.3** The dismissal of the officer undertaking the statutory role of Director of Public Health may not be dismissed, except following consultation with the Secretary of State

**9.0 Grievances**

**9.1** Grievances raised by or against the Chief Executive, Monitoring Officer or Section 151 Officer should be dealt with in accordance with the Councils relevant procedures and the JNC Chief Executive Handbook.

## ***Employee Employment Procedure Rules***

- 9.2 Grievances raised by or against Deputy Chief Executive or Directors should be dealt with in accordance with the Councils relevant procedures.

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## **Code of Conduct for Councillors of City of Wolverhampton Council**

### **Definitions**

For the purposes of this Code of Conduct, a “councillor” means a member or co-opted member of a local authority or a directly elected mayor. A “co-opted member” is defined in the Localism Act 2011 Section 27(4) as “a person who is not a member of the authority but who

- a) is a member of any committee or sub-committee of the authority, or;
- b) is a member of, and represents the authority on, any joint committee or joint sub-committee of the authority;

and who is entitled to vote on any question that falls to be decided at any meeting of that committee or sub-committee”.

For the purposes of this Code of Conduct, “local authority” includes county councils, district councils, London borough councils, parish councils, town councils, fire and rescue authorities, police authorities, joint authorities, economic prosperity boards, combined authorities and National Park authorities.

### **Purpose of the Code of Conduct**

The purpose of this Code of Conduct is to assist you, as a councillor, in modelling the behaviour that is expected of you, to provide a personal check and balance, and to set out the type of conduct that could lead to action being taken against you. It is also to protect you, the public, fellow councillors, local authority officers and the reputation of local government. It sets out general principles of conduct expected of all councillors and your specific obligations in relation to standards of conduct.

### **General principles of councillor conduct**

Everyone in public office at all levels; all who serve the public or deliver public services, including ministers, civil servants, councillors and local authority officers; should uphold the [Seven Principles of Public Life](#), also known as the Nolan Principles.

Building on these principles, the following general principles have been developed specifically for the role of councillor.

In accordance with the public trust placed in me, on all occasions:

- I act with integrity and honesty
- I act lawfully
- I treat all persons fairly and with respect; and
- I lead by example and act in a way that secures public confidence in the role of councillor.

In undertaking my role:

- I impartially exercise my responsibilities in the interests of the local community
- I do not improperly seek to confer an advantage, or disadvantage, on any person
- I avoid conflicts of interest

- I exercise reasonable care and diligence; and
- I ensure that public resources are used prudently in accordance with my local authority's requirements and in the public interest.

### **Application of the Code of Conduct**

This Code of Conduct applies to you as soon as you sign your declaration of acceptance of the office of councillor or attend your first meeting as a co-opted member and continues to apply to you until you cease to be a councillor.

This Code of Conduct applies to you when you are acting in your capacity as a councillor which may include when:

- you misuse your position as a councillor
- Your actions would give the impression to a reasonable member of the public with knowledge of all the facts that you are acting as a councillor;

The Code applies to all forms of communication and interaction, including:

- at face-to-face meetings
- at online or telephone meetings
- in written communication
- in verbal communication
- in non-verbal communication
- in electronic and social media communication, posts, statements and comments.

You are also expected to uphold high standards of conduct and show leadership at all times when acting as a councillor.

The Monitoring Officer has statutory responsibility for the implementation of the Code of Conduct, and you are encouraged to seek advice from the Monitoring Officer on any matters that may relate to the Code of Conduct.

### **Standards of councillor conduct**

This section sets out your obligations, which are the minimum standards of conduct required of you as a councillor. Should your conduct fall short of these standards, a complaint may be made against you, which may result in action being taken.

Guidance is included to help explain the reasons for the obligations and how they should be followed.

## **General Conduct**

### **1. Respect**

#### **As a councillor:**

**1.1 I treat other councillors and members of the public with respect.**

**1.2 I treat local authority employees, employees and representatives of partner organisations and those volunteering for the local authority with respect and respect the role they play.**

Respect means politeness and courtesy in behaviour, speech, and in the written word. Debate and having different views are all part of a healthy democracy. As a councillor, you can express, challenge, criticise and disagree with views, ideas, opinions and policies in a robust but civil manner. You should not, however, subject individuals, groups of people or organisations to personal attack.

In your contact with the public, you should treat them politely and courteously. Rude and offensive behaviour lowers the public's expectations and confidence in councillors.

In return, you have a right to expect respectful behaviour from the public. If members of the public are being abusive, intimidatory or threatening you are entitled to stop any conversation or interaction in person or online and report them to the local authority, the relevant social media provider or the police. This also applies to fellow councillors, where action could then be taken under the Councillor Code of Conduct, and local authority employees, where concerns should be raised in line with the local authority's councillor-officer protocol.

### **2. Bullying, harassment and discrimination**

#### **As a councillor:**

**2.1 I do not bully any person.**

**2.2 I do not harass any person.**

**2.3 I promote equalities and do not discriminate unlawfully against any person.**

The Advisory, Conciliation and Arbitration Service (ACAS) characterises bullying as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient. Bullying might be a regular pattern of behaviour or a one-off incident, happen face-to-face, on social media, in emails or phone calls, happen in the workplace or at work social events and may not always be obvious or noticed by others.

The Protection from Harassment Act 1997 defines harassment as conduct that causes alarm or distress or puts people in fear of violence and must involve such conduct on at least two occasions. It can include repeated attempts to impose unwanted communications and contact upon a person in a manner that could be expected to cause distress or fear in any reasonable person.

Unlawful discrimination is where someone is treated unfairly because of a protected characteristic. Protected characteristics are specific aspects of a person's identity defined by the Equality Act 2010. They are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

The Equality Act 2010 places specific duties on local authorities. Councillors have a central role to play in ensuring that equality issues are integral to the local authority's performance and strategic aims, and that there is a strong vision and public commitment to equality across public services.

### **3. Impartiality of officers of the council**

**As a councillor:**

#### **3.1 I do not compromise, or attempt to compromise, the impartiality of anyone who works for, or on behalf of, the local authority.**

Officers work for the local authority as a whole and must be politically neutral (unless they are political assistants). They should not be coerced or persuaded to act in a way that would undermine their neutrality. You can question officers in order to understand, for example, their reasons for proposing to act in a particular way, or the content of a report that they have written. However, you must not try and force them to act differently, change their advice, or alter the content of that report, if doing so would prejudice their professional integrity.

### **4. Confidentiality and access to information**

**As a councillor:**

#### **4.1 I do not disclose information:**

- a. given to me in confidence by anyone**
- b. acquired by me which I believe, or ought reasonably to be aware, is of a confidential nature, unless**
  - i. I have received the consent of a person authorised to give it;**
  - ii. I am required by law to do so;**
  - iii. the disclosure is made to a third party for the purpose of obtaining professional legal advice provided that the third party agrees not to disclose the information to any other person; or**
  - iv. the disclosure is:**
    - 1. reasonable and in the public interest; and**
    - 2. made in good faith and in compliance with the reasonable requirements of the local authority; and**
    - 3. I have consulted the Monitoring Officer prior to its release.**

#### **4.2 I do not improperly use knowledge gained solely as a result of my role as a councillor for the advancement of myself, my friends, my**



**family members, my employer or my business interests.**

**4.3 I do not prevent anyone from getting information that they are entitled to by law.**

Local authorities must work openly and transparently, and their proceedings and printed materials are open to the public, except in certain legally defined circumstances. You should work on this basis, but there will be times when it is required by law that discussions, documents and other information relating to or held by the local authority must be treated in a confidential manner. Examples include personal data relating to individuals or information relating to ongoing negotiations.

**5. Disrepute**

**As a councillor:**

**5.1 I do not bring my role or local authority into disrepute.**

As a Councillor, you are trusted to make decisions on behalf of your community and your actions and behaviour are subject to greater scrutiny than that of ordinary members of the public. You should be aware that your actions might have an adverse impact on you, other councillors and/or your local authority and may lower the public's confidence in your or your local authority's ability to discharge your/it's functions. For example, behaviour that is considered dishonest and/or deceitful can bring your local authority into disrepute.

You are able to hold the local authority and fellow councillors to account and are able to constructively challenge and express concern about decisions and processes undertaken by the council whilst continuing to adhere to other aspects of this Code of Conduct.

**6. Use of position**

**As a councillor:**

**6.1 I do not use, or attempt to use, my position improperly to the advantage or disadvantage of myself or anyone else.**

Your position as a member of the local authority provides you with certain opportunities, responsibilities, and privileges, and you make choices all the time that will impact others. However, you should not take advantage of these opportunities to further your own or others' private interests or to disadvantage anyone unfairly.

**7. Use of local authority resources and facilities**

**As a councillor:**

**7.1 I do not misuse council resources.**

**7.2 I will, when using the resources of the local or authorising their use by others:**

- a. **act in accordance with the local authority's requirements; and**
- b. **ensure that such resources are not used for political purposes unless that use could reasonably be regarded as likely to facilitate, or be conducive to, the discharge of the functions of the local authority or of the office to which I have been elected or appointed.**

You may be provided with resources and facilities by the local authority to assist you in carrying out your duties as a councillor.

Examples include:

- office support
- stationery
- equipment such as phones, and computers
- transport
- access and use of local authority buildings and rooms.

These are given to you to help you carry out your role as a councillor more effectively and are not to be used for business or personal gain. They should be used in accordance with the purpose for which they have been provided and the local authority's own policies regarding their use.

## **8. Complying with the Code of Conduct**

**As a Councillor:**

**8.1 I undertake Code of Conduct training provided by my local authority.**

**8.2 I cooperate with any Code of Conduct investigation and/or determination.**

**8.3 I do not intimidate or attempt to intimidate any person who is likely to be involved with the administration of any investigation or proceedings.**

**8.4 I comply with any sanction imposed on me following a finding that I have breached the Code of Conduct.**

It is extremely important for you as a councillor to demonstrate high standards, for you to have your actions open to scrutiny and for you not to undermine public trust in the local authority or its governance. If you do not understand or are concerned about the local authority's processes in handling a complaint you should raise this with the Monitoring Officer.

### **Protecting your reputation and the reputation of the local authority**

## **9. Interests**

**As a councillor:**

**9.1 I register and disclose my interests.**

Section 29 of the Localism Act 2011 requires the Monitoring Officer to establish and maintain a register of interests of members of the authority .

You need to register your interests so that the public, local authority employees and fellow councillors know which of your interests might give rise to a conflict of interest. The register is a public document that can be consulted when (or before) an issue arises. The register also protects you by allowing you to demonstrate openness and a willingness to be held accountable. You are personally responsible for deciding whether or not you should disclose an interest in a meeting, but it can be helpful for you to know early on if others think that a potential conflict might arise. It is also important that the public know about any interest that might have to be disclosed by you or other councillors when making or taking part in decisions, so that decision making is seen by the public as open and honest. This helps to ensure that public confidence in the integrity of local governance is maintained.

You should note that failure to register or disclose a disclosable pecuniary interest as set out in **Table 1**, is a criminal offence under the Localism Act 2011. **Appendix B sets** out the detailed provisions on registering and disclosing interests. If in doubt, you should always seek advice from the Monitoring Officer.

The following standard exemptions in relation to the granting of dispensations, in relation to members' allowances, business rates, plus housing matters and rents have been agreed by the Council:

- a. An allowance, payment or indemnity given to members or any ceremonial honour given to members.
- b. Setting a local scheme for the payment of business rates, including eligibility for rebates and reductions, for the purposes of the Local Government Finance Act 2012 as amended from time to time and any superseding legislation.
- c. Housing matters and rents (provided that those functions do not relate particularly to the member's tenancy or lease).

## **10. Gifts and hospitality**

**As a councillor:**

- 10.1 I do not accept gifts or hospitality, irrespective of estimated value, which could give rise to real or substantive personal gain or a reasonable suspicion of influence on my part to show favour from persons seeking to acquire, develop or do business with the local authority or from persons who may apply to the local authority for any permission, licence or other significant advantage.**
- 10.2 I register with the Monitoring Officer any gift or hospitality with an estimated value of at least £50 within 28 days of its receipt.**
- 10.3 I register with the Monitoring Officer any significant gift or hospitality that I have been offered but have refused to accept.**

In order to protect your position and the reputation of the local authority, you should exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you because you are a councillor. The presumption should always be not to accept significant gifts or hospitality. However,

there may be times when such a refusal may be difficult if it is seen as rudeness in which case you could accept it but must ensure it is publicly registered. However, you do not need to register gifts and hospitality which are not related to your role as a councillor, such as Christmas gifts from your friends and family. It is also important to note that it is appropriate to accept normal expenses and hospitality associated with your duties as a councillor. If you are unsure, do contact the Monitoring Officer for guidance.

## **11.0 Disclosure and Barring Service (DBS) Checks**

- 11.1 The Council takes its safeguarding responsibilities seriously. To this end, on 15 October 2013, Cabinet (Resources) Panel decided that criminal records checks would be carried out for all Councillors following election. Enhanced checks will be carried out for those Councillors who may, by virtue of their particular responsibilities, have unsupervised contact with children. (As of June 2015, this applied to the Cabinet Member for Children and Young People, the Cabinet Member for Education, and members of the Corporate Parenting Panel.) (As of December 2019, this applied to the Leader of the Council, Deputy Leader of the Council, Cabinet Member for Adult Services, Cabinet Member for Public Health, Chair of the Children, Young People and Families Scrutiny Panel, Mayor and Mayoress). This list will be amended, as necessary, by the Head of Paid Service and the Monitoring Officer. Standard checks will be carried out for all other Councillors.
- 11.2 Checks will be carried out every four years (normally to coincide with election or re-election). In the case of a by-election, a check will be carried out at the time of election and then again if the Councillor is re-elected, unless that date is within 12 months of the original check. Additional checks may be carried out for any Councillor at the discretion of the Head of Paid Service and the Monitoring Officer.
- 11.3 The Council recognises that information released in DBS certificates can be extremely sensitive and personal. Receipt, handling and consideration of the certificates will therefore be carried out in accordance with the Disclosure and Barring Service's code of practice.
- 11.4 Appointments made at Annual Council will be subject to the completion of a satisfactory enhanced DBS check where that is required by the role. In the event the checks reveal that a candidate is 'barred' the council reserves the right to withdraw the appointment.
- 11.5 Additionally, Councillors should report any change in personal circumstances that may impact on their suitability or appropriateness to undertake roles. All declarations should be made without delay.

## **Appendices**

### **Appendix A – The Seven Principles of Public Life**

The principles are:

#### **Selflessness**

Holders of public office should act solely in terms of the public interest.

#### **Integrity**

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must disclose and resolve any interests and relationships.

#### **Objectivity**

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

#### **Accountability**

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

#### **Openness**

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

#### **Honesty**

Holders of public office should be truthful.

#### **Leadership**

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

## **Code of Conduct Councillors**

### **Appendix B Registering interests**

Within 28 days of becoming a member or your re-election or re-appointment to office you must register with the Monitoring Officer the interests which fall within the categories set out in **Table 1 (Disclosable Pecuniary Interests)** which are as described in "The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012". You should also register details of your other personal interests which fall within the categories set out in **Table 2 (Other Registerable Interests)**.

**"Disclosable Pecuniary Interest"** means an interest of yourself, or of your partner if you are aware of your partner's interest, within the descriptions set out in Table 1 below.

**"Partner"** means a spouse or civil partner, or a person with whom you are living as husband or wife, or a person with whom you are living as if you are civil partners.

1. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest, or of any change to a registered interest, notify the Monitoring Officer.
2. A 'sensitive interest' is as an interest which, if disclosed, could lead to the councillor, or a person connected with the councillor, being subject to violence or intimidation.
3. Where you have a 'sensitive interest' you must notify the Monitoring Officer with the reasons why you believe it is a sensitive interest. If the Monitoring Officer agrees they will withhold the interest from the public register.

### **Non participation in case of disclosable pecuniary interest**

4. Where a matter arises at a meeting which directly relates to one of your Disclosable Pecuniary Interests as set out in **Table 1**, you must disclose the interest, not participate in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest, just that you have an interest.  
Dispensation may be granted in limited circumstances, to enable you to participate and vote on a matter in which you have a disclosable pecuniary interest.
5. Where you have a disclosable pecuniary interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it

## **Code of Conduct Councillors**

### **Disclosure of Other Registerable Interests**

6. Where a matter arises at a meeting which **directly relates** to one of your Other Registerable Interests (as set out in **Table 2**), you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

### **Disclosure of Non-Registerable Interests**

7. Where a matter arises at a meeting which **directly relates** to your financial interest or well-being (and is not a Disclosable Pecuniary Interest set out in Table 1) or a financial interest or well-being of a relative or close associate, you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.
8. Where a matter arises at a meeting which **affects** –
  - a. your own financial interest or well-being;
  - b. a financial interest or well-being of a relative, close associate; or
  - c. a body included in those you need to disclose under Other Registrable Interests as set out in **Table 2**

you must disclose the interest. In order to determine whether you can remain in the meeting after disclosing your interest the following test should be applied

9. Where a matter **affects** your financial interest or well-being:
  - a. to a greater extent than it affects the financial interests of the majority of inhabitants of the ward affected by the decision and;
  - b. a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest

You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

10. Where you have a personal interest in any business of your authority and you have made an executive decision in relation to that business, you must make sure that any written statement of that decision records the existence and nature of your interest.

**Table 1: Disclosable Pecuniary Interests**

This table sets out the explanation of Disclosable Pecuniary Interests as set out in the [Relevant Authorities \(Disclosable Pecuniary Interests\) Regulations 2012](#).

<b>Subject</b>	<b>Description</b>
<b>Employment, office, trade, profession or vocation</b>	Any employment, office, trade, profession or vocation carried on for profit or gain. [Any unpaid directorship.]
<b>Sponsorship</b>	Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
<b>Contracts</b>	Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council — (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.



**Code of Conduct Councillors**

<b>Land and Property</b>	Any beneficial interest in land which is within the area of the council. ‘Land’ excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.
<b>Licenses</b>	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer
<b>Corporate tenancies</b>	Any tenancy where (to the councillor’s knowledge)— (a) the landlord is the council; and (b) the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.
<b>Securities</b>	Any beneficial interest in securities* of a body where— (a) that body (to the councillor’s knowledge) has a place of business or land in the area of the council; and (b) either— (i) ) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share capital of that body; or (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

\* ‘director’ includes a member of the committee of management of an industrial and provident society.

\* ‘securities’ means shares, debentures, debenture stock, loan stock, bonds, units of

a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

**Table 2: Other Registrable Interests**

You have a personal interest in any business of your authority where it relates to or is likely to affect:

- a) any body of which you are in general control or management and to which you are nominated or appointed by your authority
- b) any body
  - (i) exercising functions of a public nature
  - (ii) any body directed to charitable purposes or
  - (iii)** one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union).

**Planning Code of Conduct for Councillors and Employees**

**1. Introduction**

- 1.1 This Code has been written to advise all those concerned with planning matters at City of Wolverhampton Council. Planning is not an exact science, rather, it relies on informed judgement within a policy context. It can be highly contentious because its decisions affect the lives and the private interests of individuals, landowners, and developers. This is heightened by the openness of the system (it actively invites public opinion before taking some decisions) and the legal nature of development plans and decisions notices. It is important, therefore, that the process is open and transparent.
- 1.2 One of the key purposes of the planning system is to enable good development in the public interest. The Council should make planning decisions openly, impartially, with sound judgement, and for justifiable reasons. The process should leave no ground for suggesting that a decision has been partial, biased, or not well-founded.
- 1.3 Councillors and employees are requested to read this Code thoroughly and to put it into practice consistently. It is intended to review the Code regularly so that it remains useful and relevant. If any points are unclear or need review, please contact the Director of Governance or his/her nominated officer, the Head of Planning or Democratic Services. The responsibility for complying with the Code lies with the individual Councillor.

**2. General Principles**

- 2.1 Councillors are reminded that they are required to comply with the statutory provisions on the disclosure of interests, the Council's Constitution and the Council's Code of Conduct for Councillors, which forms part of the Constitution.
- 2.2 Employees involved in the processing and determination of planning matters must also act in accordance with the Council's Constitution and with the relevant sections of the Royal Town Planning Institute's Code of Professional Conduct and the Employee's Code of Conduct.
- 2.3 Whilst this Planning Code deals primarily with planning applications, its principles also apply to consideration of other planning matters. An overriding principle is that when local authorities are dealing with planning matters they should only take into account material planning considerations and ignore irrelevant matters. A key principle is that Councillors should represent the interests of the City as a whole.

**3. General Roles of Councillors and Employees**

- 3.1 Councillors and employees have different, but complementary roles; both serve the public but Councillors are responsible to the electorate, whilst employees are responsible to the Council as a whole. A successful

## ***Planning Code of Conduct for Councillors and Employees***

relationship between Councillors and employees can only be based upon mutual trust and understanding of each other's position. This relationship must never be abused or compromised.

- 3.2 When Councillors come to make a decision on a planning matter they must:
- a. Act fairly and openly;
  - b. Approach each application with an open mind;
  - c. Carefully weigh up all relevant issues;
  - d. Determine each application on its own merits;
  - e. Avoid contacts with interested parties which might be taken to indicate that they were unduly influenced by one party or another;
  - f. Ensure that there are clear and substantial reasons for their decisions, and that those reasons are clearly stated;
  - g. Avoid expressing a fixed view on a case before it is heard by the Planning Committee;
  - h. Declare any interests.
- 3.3 The employee's function is to advise and assist Councillors in matters of planning policy and in their determination of planning applications, enforcement issues and any other planning matters by:
- a. Providing impartial and professional advice;
  - b. Making sure that all relevant information necessary for the decision to be made is given;
  - c. Providing a clear, accurate and succinct analysis of the issues;
  - d. Setting planning applications, enforcement issues and other planning matters against the broader Development Plan policies and other relevant material considerations;
  - e. Giving a clear recommendation;
  - f. Carrying out the Committee's decisions.

## **4. Declarations of Interest**

- 4.1 The Localism Act 2011 repealed the previous standards regime. It required the Council to introduce a code dealing with the conduct expected of Councillors. The Code has to be consistent with the Nolan Seven Principles of Standards in Public Life: Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership.
- 4.2 This document is supplementary to the City Council's Code for Councillors. The Act abolished the previous regime of personal and prejudicial interests and replaced them with "Disclosable Pecuniary Interests". In addition to Disclosable Pecuniary Interests there are other interests which are commonly known as Non- Disclosable Pecuniary or Non- Pecuniary interests and which are referred to below.

**4.3 Disclosable Pecuniary Interests (DPI's)**

The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 defines DPI's and these are set out in the Schedule in the City Council's Code of Conduct.

Where a Councillor has a DPI or his/her spouse/civil partner/person with whom he/she is living as husband or wife or as if they were civil partners has a DPI (and the Councillor is aware that the other person has a DPI) he/she should declare the interest, must not participate and must not vote.

The Councillor must also decide whether to withdraw from the meeting. In deciding whether to withdraw from the room the Councillor must consider whether his/her continued presence would be incompatible with the Seven Principles of Standards in Public Life.

**4.4 Other Interests (Non-Disclosable Pecuniary or Non-Pecuniary Interests)**

There will be some circumstances in which the Councillor has an interest but it is not a DPI. Those are commonly known as personal interests (but not as defined under the previous regime).

- a. A Councillor has a personal interest where the decision relates to or is likely to affect the interests listed in the Schedule to the City Council's Code, not in respect of the Councillor or their spouse/partner etc. but in respect of another member of their family or a person with whom they have a close association.
- b. Also a Councillor has a personal interest where a decision in relation to that business might reasonably be regarded as affecting the well-being or financial standing of the Councillor or a member of their family or a person with whom they have a close association to a greater extent that it would affect the majority of Council Tax payer, ratepayers or inhabitants of the ward or electoral area for which they have been elected or otherwise of the Council's administrative area. Membership of a Trade Union constitutes a personal interest

- 4.5 It is the responsibility of the individual Councillor to consider whether to declare a personal interest and whether the interest warrants withdrawal from the meeting when the matter arises.

The table below sets out the action that should be taken (unless there are dispensations)

## **Planning Code of Conduct for Councillors and Employees**

<b>Type of interest</b>	<b>Action to be taken</b>
Non-Pecuniary Interests/ Non-Disclosable Pecuniary Interests	Declare at start of meeting or as soon as it becomes apparent. Participate and vote unless continued presence incompatible with the Seven Principles of Standards in Public Life
Disclosable Pecuniary Interest	Do not influence the decision in any way.  Do not participate or vote.  Withdraw if continued presence incompatible with the Seven Principles of Standards in Public Life

- 4.6 Sanctions in respect of Disclosable Pecuniary Interests  
There are various sanctions available including criminal proceedings. The Council's decision could be challenged and the Council could be liable to pay compensation. In extreme cases the Councillor would also be held liable to pay compensation.

### **5. Pre-Application and Pre-Decision Discussions**

- 5.1 The Localism Act, particularly Section 25, has given Councillors more freedom to engage in pre-application and pre-decision discussions. Nevertheless, in order to avoid perceptions that Councillors might have fettered their discretion, such discussions should take place within the following guidelines:
- a. Councillors and employees should make it clear at the outset that the discussions will not bind the Council to making a particular decision and that any views expressed are personal and provisional.
  - b. Employees should be present with Councillors in meetings. Councillors should avoid giving separate advice on the development plan or material considerations as they may not be aware of all the issues at an early stage. Neither should they become drawn into any negotiations which should be done by employees (keeping interested Councillors up to date) to ensure that the authority's position is co-ordinated.

### **6. Attendance at Public Meetings**

- 6.1 When attending public meetings, Councillors must be accompanied by an employee and they should take great care to maintain their impartial role as a Councillor. They should listen to the points of view expressed by the speakers

## ***Planning Code of Conduct for Councillors and Employees***

and the public. Councillors must not state a conclusive decision on any pre-application proposals and submitted planning applications. To do so could lead to allegations of prejudice or bias and prevent the Councillor from taking part in the decision making process.

### **7. Lobbying and Predetermination**

- 7.1 It is likely that on occasion Councillors will be approached by prospective and actual applicants (and agents) or members of the public with a view to them lending support to the proposal, or indeed opposing it. When Councillors are lobbied they need to exercise great care to maintain the Council's reputation, the Councillor's own integrity and the public perception of the planning process.
- 7.2 It was considered that previous rules stifled discussions. Section 25 of the Localism Act 2011 has changed the previous rules of pre-determination and lobbying to some degree. It acknowledges that Councillors are often under pressure to play an active part in local discussions and so there is more scope for involvement in local issues.
- "Past history of a closed mind is now irrelevant unless there is also evidence of a closed mind at the actual time of the decision".
- 7.3 Earlier comments or actions may be taken into account with what happens at the meeting. So, if a Councillor had supported the application before the meeting, and then appears to try to push through the application at the meeting, an appearance of a closed mind would be found. Conversely comments made before the meeting would be irrelevant if there was demonstrated to be careful and open-minded consideration at the meeting.
- 7.4 If they are approached, Councillors may wish to refer the person to another Councillor who is not a member of the Planning Committee or to the Planning Case Officer. If the lobbying persists then Councillors should expressly state that whilst they can listen to what is said, if they give any commitment (for or against) in respect of the application/proposal without all relevant information, it could prevent the Councillor from taking part in the decision making process.
- 7.5 Other than for formal site visits, Councillors should not enter the premises or sites which are, or are likely to be, the subject of a planning application.

### **8. The Party Whip**

- 8.1 Councillors must not accept an instruction from anyone to determine an application in a particular manner but must determine the issue on its merits. Therefore, it is inappropriate for any Party Group to instruct its members to vote in a particular manner. Where such a "Whip" has been applied, Councillors should declare it in exactly the same manner as they would declare any other attempt at lobbying.

**9. Public Participation**

- 9.1 The Council allows public speaking in accordance with its public speaking protocol. Details of the protocol are available from the Head of Planning or Democratic Services.

**10. Reports to Planning Committee**

- 10.1 Reports to the Planning Committee on applications and other planning matters should be clear, accurate and succinct. They should include a written recommendation, give clear and unambiguous reasons for granting planning permission (with conditions to be attached) or refusal (with reasons).
- 10.2 The Chair, at the request of any member of the Committee, may adjourn the meeting for a reasonable period of time to enable the Councillors to have an opportunity of reading any information which has been tabled by the employees at the meeting.
- 10.3 As a general rule the members of the Committee will not take into account any written information at the meeting which has not been submitted by the developer/applicant or any consultees (including local residents) as part of the application process. However, in exceptional circumstances the Chair, in consultation with the employees present, may exercise his/her discretion to consider new information if it is appropriate to do so.

**11. The Decision Making Process**

- 11.1 Councillors should not take part or vote on any matter if they have not read the committee report or if have not been present throughout the consideration of such matter (unless the item has been deferred from a previous meeting after being partially considered).
- 11.2 In discussing and determining a planning matter, Councillors should confine themselves to the planning merits of this case. The reasons for making a final decision should be clear, convincing and supported by material considerations and the planning merits.
- 11.3 Occasionally members of the Planning Committee will disagree with the professional advice given by the Head of Planning or his representative. As indicated above, planning is not an exact science and there can be genuine disagreement about the implications of a particular proposal. A senior legal officer will be present at Committee and will advise the Committee if the facts cannot support the conclusion which the Councillors have drawn and if the Committee is in danger of acting unreasonably. Any reasons for refusal or conditions associated with granting an application, which is contrary to the recommendation made by employees should be clear, convincing and based on sound planning grounds, failing which, the City Council may be put at risk of costs.



## ***Planning Code of Conduct for Councillors and Employees***

- 11.4 Where Councillors wish to add or amend conditions or reasons for the refusal, the general content will be agreed at the meeting before the vote is taken and the final wording will generally be delegated to the relevant employee.

### **12. Committee Site Visits**

- 12.1 A site visit is private and its purpose is for Councillors to gain knowledge of the development proposal and to observe the characteristics of the site and its relationship to its surroundings. A site visit should only be called by the Planning Committee itself:-
- a. Where the impact of a proposed development is difficult to visualise from the submitted plans and any additional supporting material;
  - b. Where there is a good reason why the comments of the applicants and/or any objectors to, or supporters of, the proposals cannot be expressed adequately in writing;
  - c. Where the proposal is particularly contentious.
- 12.2 Site visits are not part of the formal consideration of the application and therefore public rights of attendance do not apply. They enable questions to be asked on site for clarification. Discussion on the merits of the application will only take place at the subsequent Committee.
- 12.3 The site visit shall take place during normal working hours as far as is practicable unless there are reasons which dictate otherwise.

### **13. Development Proposals of Councillors, Employees and the Council**

- 13.1 Councillors and Employees should never act as agents for individuals (including a company, group or body) pursuing an application, enforcement issue or other planning matter. If Councillors or employees submit their own development proposal to the Council they should take no part in its processing or the decision-making. The Council's Monitoring Officer should be informed by the Councillor of all such proposals as soon as they are submitted and shall ensure that such applications and/or matters are dealt with in a correct and open manner.
- 13.2 Applications made on behalf of the Council for its own development must be determined in an identical manner to applications made by the general public and with the same planning policy considerations applied. The Council's current practices and procedures achieve this with identical consultation and publicity in relation to the application. Decisions must be made strictly on planning merits and without regard to any financial or other gain which may accrue to the Council if the development is permitted.

**14. Planning Agreements**

14.1 Applications which propose or require planning obligations by agreement will generally be determined by the Planning Committee. The main issues to be addressed by the agreement will be included in the written report. If Councillors recommend an agreement which is not referred to in the report, Councillors should take into account the tests in the National Planning Policy Framework; Planning Obligations should only be sought where they meet all of the following terms:

- a. necessary to make the development acceptable in planning terms
- b. directly related to the development and
- c. fairly and reasonably related in scale and kind to the development.

**15. Filming**

15.1 The City Council has a policy relating to recording and filming of meetings. The policy is set out in the Council's Constitution

**16. Training**

16.1 No Councillor should be appointed to the Planning Committee without having agreed to participate in educational training programmes directed towards the role of Councillors in making planning decisions.

**Code of Conduct for Employees**

**1. Introduction**

- 1.1 The public is entitled to expect the highest standards of conduct from all employees who work for local government. This Code of Conduct outlines existing laws, regulations and conditions of service to assist employees in their day-to-day work. The Code has been produced in light of the challenges that employees face in a new and more commercially orientated environment.
- 1.2 The aim of the Code is to lay down guidelines for local government employees which will help maintain and improve standards and protect employees from misunderstanding or criticism.
- 1.3 Employees must not, either in an official capacity or in any other circumstance, conduct themselves in a manner which could reasonably be regarded as bringing the Council into disrepute.
- 1.4 Employees who fail to meet the highest standard of conduct will be managed in accordance with the Council's Disciplinary Policy and Procedure.

**2. Scope**

- 2.1 The Code applies to all local government employees in Wolverhampton. Inevitably some of the issues covered by the Code will affect senior, managerial and professional employees more than it will others. The Code is intended to cover all employees under a contract of employment within the Council, including office holders such as registrars.

**3. Principles**

- 3.1 The Council has five core PRIDE behaviours that are at the heart of every employee's contract of employment and all work should be undertaken in accordance with these.

**4. Standards**

- 4.1 Local government employees are expected to give the highest possible standard of service to the public and where it is part of their duties, to provide appropriate advice to Councillors and fellow employees in an impartial manner. Employees will be expected, through agreed procedures and without fear of recrimination, to bring to the attention of the appropriate level of management any deficiency in the provision of service. Employees must report any impropriety or breach of procedure to the attention of a Senior Manager.

## **Code of Conduct for Employees**

- 4.2 In carrying out their duties, employees will act with professionalism and will follow the Council's Every Contact Counts customer service standards at all times.
- 4.3 The Council must maintain the image of a professional public service organisation, providing high quality services. Therefore, all employees must ensure they present a tidy and professional image of the council and present a positive first impression. All employees must ensure that they are appropriately dressed for their duties.
- 4.4 The City of Wolverhampton Council respects the right for employees to adhere to religious and cultural observances, however, employees who wish to make modifications to their uniforms to reflect their beliefs must discuss and agree them with their line manager.
- 4.5 The council will allow some modification to the uniform for employees with specific medical conditions, however employees who wish to make such modifications to their uniforms or work attire must agree them with their line manager in conjunction with Corporate Communications.
- 4.6 Employees who are provided with an access pass or identification card must wear them on a corporate branded lanyard at all times. All employees who have daily, face-to-face contact with our customers must wear a name badge at all times.
- 4.7 Employees must not wear their uniform, access pass or identification cards when not at work, and are required to return all items on termination of their contract of employment on their last day of work. This is to maintain the integrity of the council's corporate image by minimising the risk of the council being misrepresented. Corporate uniforms, access passes and identification cards must **not** be made available to non-council employees.

### **5. Disclosure of Information**

- 5.1 It is accepted that open government is best. The law requires that certain types of information must be made available to Councillors, auditors, government departments, service users and the public. The law also recognises that this information is confidential. Employees should ensure that confidentiality of information is maintained as required by the law and by the Council.
- 5.2 Employees must not use any information obtained in the course of their employment for personal gain or benefit, nor should they pass information on to others who might use it in such a way. This is also expected and should be applied when employment with the Council has terminated and the person is no longer an employee. Any particular information received by an employee from a Councillor which is personal to that Councillor and does not belong to the Council should not be divulged by the employee without the prior approval of that

Councillor, except where such disclosure is required or sanctioned by the law.

- 5.3 Employees must ensure that they adhere to the Council's Information Governance Framework and associated policies and procedures at all times.

## **6. Political Neutrality**

- 6.1 Employees serve the Council as a whole. It follows they must serve all Councillors and not just those of the controlling group and must also ensure that the individual rights of all Councillors are respected.
- 6.2 It is recognised in some circumstances that political parties will wish to formulate their policies in private yet require employee input. Confidentiality should be maintained in these circumstances.
- 6.3 Employees (whether or not politically restricted under the provisions of the Local Government and Housing Act 1989) must follow every lawful expressed policy of the Council and must not allow their own personal or political opinions to interfere with their work.
- 6.4 Political assistants appointed in accordance with the Local Government and Housing Act 1989 are exempt from the standards set in paragraphs 6.1 and 6.3.

## **7. Relationships**

### **7.1 Councillors**

Employees are responsible to the Council through its senior managers. For some, their role is to give advice to Councillors and senior managers and all are there to carry out the Council's work. Mutual respect between employees and Councillors is essential to good local government. Close personal familiarity between employees and individual Councillors can damage the relationship and prove embarrassing to other employees and Councillors and should therefore be avoided.

### **7.2 The Local Community and Service Users**

Employees should always remember their responsibilities to the community they serve and ensure that a courteous, efficient and impartial service is delivered to all groups and individuals within that community as defined by the policies of the Council.

Employees should avoid unnecessary personal familiarity with service users and customers that they come into contact with in the course of their work. They should not use their position to either take unfair advantage of members of the public who use Council services or allow

themselves to be unduly influenced by them. Employees must ensure their professional integrity is maintained at all times.

### **7.3 Contractors**

All relationships of a business or private nature with external contractors, or potential contractors, should be made known to a senior manager. Orders and contracts must be awarded on merit, by fair competition against other tenderers, and no special favour should be shown to businesses run by, for example, friends, partners or relatives in the tendering process. No part of the local community should be discriminated against.

Employees who engage or supervise contractors or have any other official relationship with contractors and have previously had or currently have a relationship in a private or domestic capacity with contractors, should declare that relationship to their Senior Manager.

### **7.4 Spouses, partners and close personal friends**

Employees who have a close personal relationship with any other employee of the Council should take special care to ensure that the relationship does not interfere with normal working relationships and does not cause others to doubt that they will be treated fairly. If it does, appropriate action will be taken in such circumstances.

People who already have a close personal relationship should not seek employment in the same work group. Senior managers have a particular responsibility to ensure that there can be no question of favouritism or bias in the appointment or treatment of any person with whom they have a close personal relationship outside of their particular work group.

Where employees are involved in a close personal relationship with a work colleague that has broken down, they must ensure that they do not involve others in their private affairs within the workplace. Relations and/or their breakdown must not interfere with working arrangements.

Employees who are in, or embark on, a close personal relationship within the same service or department must declare the relationship to their manager and may voluntarily sign the protocol at Appendix 1 to help ensure probity and appropriate behaviours. Dependent on the working arrangements, the nature of the post(s) held and an assessment of the potential risk to the organisation, the relevant Director or senior officer may **require** employees to sign the relationship protocol. Signed relationship protocols will be maintained confidentially by the Deputy Director of People and Change and a copy placed on each individual's personal file. Protocol is available on a voluntary basis in cases where staff are engaged in a close personal

relationship that is further removed from working in the same department.

**8. Appointment and Other Employment Matters**

- 8.1 Employees involved in appointments should ensure that these are made on the basis of merit. It is improper for an employee to make an appointment which was based on anything other than the ability of the candidate to undertake the duties of the post. In order to avoid any possible accusation of bias, employees should not be involved in an appointment where they are related to an applicant or have a close personal relationship outside work with him or her.
- 8.2 Similarly, employees should not be involved in decisions relating to discipline, promotion, or pay adjustments for any other employee who is a relative, partner, etc.

**9. Outside Commitments**

- 9.1 All employees should be clear about their contractual obligations with the Council and should not take outside employment which conflicts with the Council's interests. Employees should declare to their senior manager any outside commitments that could be considered as having some similarity with their Council duties or might cause conflict.
- 9.2 The Council retains ownership of intellectual property or copyright created during a person's employment.

**10. Personal Interests**

- 10.1 The Chief Operating Officer will maintain a register of employees' interests outside their contract of employment. All employees should, without delay, notify the Chief Operating Officer and their Senior Manager of outside interests which cover: -
- a. Any non-financial interests that they consider could bring about conflict with the Council's interests;
  - b. Any financial interests which could conflict with the Council's interests;
  - c. Membership of any organisation not open to the public without formal membership and commitment of allegiance and which has secrecy about rules or membership or conduct.
- 10.2 The register of employees' interests will be kept on a confidential basis.

**11. Equality Issues**

11.1 All local government employees should ensure that policies relating to equality issues as set down by the Council are compliant with the requirements of the Equality Act 2020 and its Public Sector Equality Duty (PSED). It is the councils moral duty and by Law all members of the local community, customers and other employees have the right to be treated with fairness and equity.

**12. Separation of Roles during Tendering**

12.1 Employees involved in the tendering process and or dealing with contractors should be clear on the separation of client and contract roles within the Council. Senior employees who have both a client and contractor responsibility must be aware of the need for accountability and openness.

12.2 Employees in contractor or client units must exercise fairness and impartiality when dealing with all customers, suppliers other contractors and sub-contractors.

12.3 Employees who are privy to confidential information on tenders or costs for either internal or external contractors should not disclose that information to any unauthorised party or organisation.

12.4 Employees contemplating a management buy-out should, as soon as they have formed a definite intent, inform the Chief Executive and withdraw from the contract awarding processes.

12.5 Employees should ensure that no special favour is shown to current or recent former employees or their partners, close relatives or associates in awarding contracts to businesses run by them or employing them in a senior or relevant managerial capacity.

**13. Corruption**

13.1 Employees must be aware that it is a serious criminal offence for them corruptly to receive or give any gift, loan, fee, reward or advantage for doing, or not doing, anything or showing favour, or disfavour, to any person in their official capacity. If an allegation is made it is for the employee to demonstrate that any such rewards have not been corruptly obtained.

**14. Use of Financial Resources**

14.1 Employees must ensure that they use public funds entrusted to them in a responsible and lawful manner. They should strive to ensure value for money to the local community and to avoid legal challenge to the Council.



**15. Hospitality**

- 15.1 Employees should accept offers of hospitality only if there is a genuine need to impart or receive information or represent the Council in the community. Offers to attend purely social or sporting functions should be accepted only when these are part of the life of the community or where the Council should be seen to be represented. They should be properly authorised and recorded.
- 15.2 When hospitality has to be declined those making the offer should be courteously but firmly informed of the procedures and standards operating within the Council.
- 15.3 Employees should not accept significant personal gifts from contractors and outside suppliers, although employees can keep insignificant items of token value such as pens, diaries, etc.
- 15.4 When receiving authorised hospitality employees should be particularly sensitive as to its timing in relation to decisions which the Council may be taking affecting those providing the hospitality.
- 15.5 Acceptance by employees of hospitality through attendance at relevant conferences and courses is acceptable where it is clear the hospitality is corporate rather than personal, where the Council gives consent in advance and where the Council is satisfied that any purchasing decisions are not compromised. Where visits to inspect equipment, etc. are required, employees should ensure that the Council meets the cost of such visits to avoid jeopardising the integrity of subsequent purchasing decisions.

**16. Sponsorship – Giving and Receiving**

- 16.1 Where an outside organisation wishes to sponsor or is seeking to sponsor a local government activity, whether by invitation, tender, negotiation or voluntarily, the basic conventions concerning acceptance of gifts of hospitality apply. Particular care must be taken when dealing with contractors or potential contractors.
- 16.2 Where the Council wishes to sponsor an event or service neither an employee nor any partner, spouse or relative must benefit from such sponsorship in a direct way without there being full disclosure to a Senior Manager of any interest. Similarly, where the Council through sponsorship, grant aid, financial or other means, gives support in the community, employees should ensure that impartial advice is given and that there is no conflict of interest involved.

**17. Use of Council Assets**

- 17.1 Council assets comprise of not only physical and financial resources but also computer data and information.
- 17.2 Employees must ensure they have the necessary authorisations and permissions before using council property.
- 17.3 Employees must ensure they comply with the Council's policy on the Personal Use of ICT and Social Media and the Council's Information Governance Framework.

**18. Whistleblowing**

- 18.1 The Council is committed to the highest possible standards of openness, probity and accountability. In line with that commitment employees are encouraged to come forward and voice any serious concerns they may have over any aspect of the Council's work.
- 18.2 If employees become aware of any activities that are non-compliant with this Code of Conduct, they must report the matter through the Council's Whistleblowing Policy.
- 18.3 Employees can raise concerns of wrongdoing through the Safe Space portal 24/7 365 days of the year.
- 18.4 Any employees who raise concerns do so without the fear of victimisation, subsequent discrimination or disadvantage.

**19 Liability of Employees -**

- 19.1 This section sets out the support which the Council gives to employees if claims are made against them by third parties arising out of alleged acts or defaults whilst they are carrying out their duties and responsibilities as employees of the Council. NB: for the purposes of this policy, any Returning Officer appointed by the Council is covered by the term 'employee' as used hereafter.
- 19.2 Providing an employee is not acting in a fraudulent or dishonest manner, and is not reckless or grossly negligent, or acting outside the scope or spirit of his or her normal duties, the Council will provide liability cover for any action taken against the employee by third parties arising out of the normal course of carrying out Council business, including the management of elections or referenda. This cover does not prevent disciplinary action being taken where appropriate and cover cannot be provided for criminal, wilful or reckless acts.
- 19.3 Claims may arise in a number of ways:
  - a. As the result of a direct action by a third party against the employee;

- b. As a result of the employee being joined in an action by a third party against the Council;
- c. As a result of a direct action by a third party against the Council.
- 19.4 The general rule of law is that an employer is liable for the acts or defaults of an employee provided that individual was acting within the scope of his/her employment. This can also extend to the situation where a third party reasonably believes the employee had proper authority to do what he or she has done, even if this is not actually the case.
- 19.5 It is normal practice in the public and private sectors for employing bodies to indemnify their employees. Employees of City of Wolverhampton Council are covered by a resolution of the Finance and General Purposes Committee dated 13 April 1987:  
That the Council shall indemnify in perpetuity all employees and former employees of the Council against all liability, professional or otherwise, for negligence or negligent omission or breach of contractual or statutory duty arising out of the employee's employment with the Council and that such indemnity shall extend to any such liability arising out of the employee's engagement of duties undertaken by the Council on behalf of any other authority or body.  
Provided that such indemnity shall not extend to any liability arising as a result of fraud, dishonesty or other criminal activity or of wilful misconduct, gross negligence or gross dereliction of duty on the part of the employee.
- 19.6 The indemnity will not apply if any employee, without the authority of the Council, admits liability or negotiates or attempts to negotiate a settlement of any claim falling within the scope of this policy.
- 19.7 Insurance cover relevant to employees is as follows:
- Public and employers' liability
  - Officials indemnity (financial loss to third parties)
  - Libel and slander
  - Cash in transit
  - Personal accident (assault)
  - Travel cover (on request) for official journeys outside the UK
  - No claims bonus and excess protection cover (on request and contributory premiums)
- 19.8 Where an employee is involved with an external body or company, the situation is more complex and depends on the nature of the role undertaken, whether as an observer, adviser or part of the management of the organisation. This is covered in more detail in the Code of Practice for Service on Outside Bodies, approved by the Audit Committee on 27 February 2006.

19.9 As part of its risk management, the Council sometimes agrees deductibles (an excess) for an insurance policy at a higher level than may be required by the market. The cost of any deductible is met out of the Council's Insurance Fund. In the event that a claim is made against an employee in respect of duties carried out in the course of his or her employment, the Council will indemnify the employee against the cost of any deductible that may fall due, subject to the provisions outlined above.

**20. Supporting Regulations, Codes and Procedures**

20.1 Supporting this general Code of Conduct are specified detailed regulations and procedure codes:

- Contracts Procedure Rule
- Financial Procedure Rules
- Anti-Fraud and Corruption Policy
- Anti-Money Laundering Policy
- Whistle Blowing Policy
- Hospitality Code
- Human Resources policies and procedures
- National Scheme of Conditions of Service
- Equal Opportunities Policy
- Computer Security Policy
- Service Group Instructions and Codes
- Information Governance Framework, policies and procedures
- Personal Use of ICT and Social Media Policy

## **Protocol for Councillor/Employee Relations**

### **1. Introduction**

- 1.1 This protocol is intended to guide members and officers of the Council in their working relations with each other. It is part of the Council's wish to uphold standards of conduct amongst councillors and officers.
- 1.2 A number of other documents also deal with standards of conduct for Councillors and officers and lay down procedures for the proper conduct of Council business. These include:
- Local Government Act 2000
  - Localism Act 2011
  - The Council's Constitution, specifically:
  - The Code of Conduct for Councillors of the City of Wolverhampton Council (part 5)
  - The Code of Conduct for Employees (part 5).
- 1.3 Its purpose is:
- a. To promote trust, openness, fairness and honesty by establishing some ground rules;
  - b. To define roles so as:
    - to clarify responsibilities
    - to avoid conflict, and
    - to prevent duplication or omission;
  - c. To secure compliance with the law, codes of conduct and the Council's own practices; and
  - d. To lay down procedures for dealing with concerns by Councillors or employees.
- 1.4 The protocol should be recognised both as a central element of the Council's corporate governance, and as a commitment to upholding standards of conduct in public life. It is one way of demonstrating to the public at large that local government is serious about protecting and enhancing its integrity and reputation.
- 1.5 Whilst not covering every eventuality, it seeks to strengthen a good working relationship, to clarify possible areas of doubt and to offer advice as to how to deal with particular situations which might arise.
- 1.6 Whilst many of the situations which fall within this protocol will undoubtedly relate to councillors and senior officers, the same aspects of conduct apply to all employees.

**2. Definitions**

- 2.1 Unless the context indicates otherwise, references to the term *Council* include the Cabinet, Scrutiny Board, Scrutiny Panels and Regulatory or other Committees.
- 2.2 Unless the context indicates otherwise, the terms Councillor and Councillors include non-elected (i.e. co-opted or independent) members as well as elected Councillors.
- 2.3 Employees mean all persons employed by the Council.
- 2.4 “*Designated Officer*” is defined in the Cabinet Procedure Rules as the Head of Paid Service, a Director or other senior employee authorised by him/her for this purpose.
- 2.5 “*Section 151 Officer*” means the Director of Finance.
- 2.6 “*Monitoring Officer*” means the Chief Operating Officer.

**3. Principles**

- 3.1 Councillors and employees must at all times observe this protocol.
- 3.2 The protocol is based on the model drawn up by the Association of Council Secretaries and Solicitors and has been approved by the Council’s Standards Committee who will monitor its operation.
- 3.3 The protocol seeks to maintain and enhance the integrity (real and perceived) of local government which demands the highest standards of personal conduct. Councillors and employees must always respect the roles and duties of each other. They must show respect in all their dealings by observing reasonable standards of courtesy, and by not seeking to take unfair advantage by virtue of their position.
- 3.4 Whilst Councillors and employees are indispensable to one another, their responsibilities are distinct. Councillors are accountable to the electorate and serve only as long as their term of office lasts. Employees are accountable to the Council as a whole. Their job is to give advice to Councillors (individually and collectively) and to carry out the Council’s work under the direction of the Council.
- 3.5 The Council has adopted codes of conduct for both Councillors and employees. Both represent best practice. The Councillors’ code follows the national code which in turn is based on the general principles governing Councillors’ conduct enshrined in law. These principles underpin this protocol.

## ***Protocol for Councillor/Employee Relations***

3.6 Breaches of this protocol by a Councillor may result in a complaint to the Standards Committee if it appears the Councillors' code has also been breached. Breaches by an employee may lead to disciplinary action.

### **4. The Role of Councillors**

4.1 Councillors have a number of roles and need to be alert to the potential for conflicts of interest which may arise between the roles. Where such conflicts are likely, Councillors may wish to seek the advice of senior colleagues, the relevant senior officer(s), and/or the Monitoring Officer.

4.2 Collectively, Councillors are the ultimate policy-makers determining the core values of the Council and approving the authority's policy framework, strategic plans and budget. Councillors represent the community, act as community leaders and promote the social, economic and environmental well-being of the community often in partnership with other agencies. Every Councillor represents the interests of, and is an advocate for, his/her Ward and individual constituents. He/she represents the Council in the Ward, responds to the concerns of constituents, meets with partner agencies, and often serves on local bodies.

4.3 As politicians, Councillors may express the values and aspirations of the party-political groups to which they belong, recognising that in their role as Councillors they have a duty always to act in the public interest.

4.4 Councillors are not authorised to instruct employees other than:

- a. Through the formal decision-making process;
- b. To request the provision of consumable resources provided by the Council for Councillors' use;
- c. Where employees have been specifically allocated to give support to a Councillor or group of Councillors and;
- d. In the case of political assistants.

4.5 Councillors are not authorised to initiate or certify financial transactions, or to enter into a contract on behalf of the Council. Councillors must avoid taking actions which are unlawful, financially improper or likely to amount to maladministration. Councillors have an obligation under their code of conduct to have regard when reaching decisions, to any advice provided by the Monitoring Officer or the Section 151 Officer.

4.6 Councillors must respect the impartiality of employees and do nothing to compromise it, for example by insisting that an employee change his/her professional advice.

**5. The Role of Employees**

- 5.1 Employees are responsible for giving advice to Councillors to enable them to fulfil their roles. In doing so, employees will take into account all available relevant factors. Under the direction and control of the Council, employees manage and provide the Council's services within the framework of responsibilities delegated to them. This includes the effective management of employees and operational issues. Employees have a duty to implement decisions of the Council, which are lawful, and which have been properly approved in accordance with the requirements of the law and the Council's Constitution.
- 5.2 Employees have a contractual and legal duty to be impartial. They must not allow their professional judgement and advice to be influenced by their own personal views. Employees must assist and advise all parts of the Council. They must always act to the best of their abilities in the best interests of the authority as expressed in the Council's formal decisions. Employees must be alert to issues which are, or are likely to be, contentious or politically sensitive, and be aware of the implications for Councillors, the media or other sections of the public.
- 5.3 Employees must at all times keep members fully informed about significant issues which affect their wards or bodies on which they represent the authority. This is fundamental to the Council's wish to enhance the representational role of councillors. For example, if the authority conducts a consultation exercise in the borough, relevant members, including ward councillors should be notified at the beginning of the exercise.
- 5.4 Employees have the right not to support Councillors in any role other than that of employee, and not to engage in actions incompatible with this protocol. In particular, there is a statutory limitation on employees' involvement in political activities.

**6. The Relationship between Councillors and Employees**

- 6.1 The conduct of Councillors and employees should be such as to instil mutual confidence and trust. The key elements are a recognition of and a respect for each other's roles and responsibilities. These should be reflected in the behaviour and attitude of each to the other, both publicly and privately.
- 6.2 Informal and collaborative two-way contact between Councillors and employees is encouraged. But personal familiarity can damage the relationship, as might a family or business connection. Councillors and employees should inform the Monitoring Officer of any relationship which might be seen as unduly influencing their work in their respective roles.
- 6.3 It is not enough to avoid actual impropriety. Councillors and employees should always be open about their relationships to avoid any reason for suspicion and any appearance of improper conduct. Where a personal relationship has been disclosed, those concerned should avoid a situation



## ***Protocol for Councillor/Employee Relations***

where conflict could be perceived. Specifically, a Councillor should not sit on a body or participate in any decision which directly affects the employee on a personal basis.

- 6.4 With the exception of political assistants, employees work to the instructions of their senior officers, not individual Councillors. It follows that, whilst such employees will always seek to assist a Councillor, they must not be asked to exceed the bounds of authority they have been given by their managers. Except when the purpose of an enquiry is purely to seek factual information, Councillors should normally direct their requests and concerns to a senior officer, at least in the first instance.
- 6.5 Employees will do their best to give timely responses to Councillors' enquiries. However, employees should not have unreasonable requests placed on them. Their work priorities are set and managed by senior managers. Councillors should avoid disrupting employees' work by imposing their own priorities. Councillors will endeavour to give timely responses to enquiries from employees.
- 6.6 An employee shall not discuss with a Councillor personal matters concerning him/herself or another individual employee. This does not prevent an employee raising on a personal basis, and in his/her own time, a matter which his/her Ward Councillor.
- 6.7 Councillors and employees should respect each other's free (i.e. non-Council) time.

### **7. The Council as Employer**

- 7.1 Employees are employed by the Council as a whole.
- 7.2 Councillors' roles are set out in the Employee Employment Procedure Rules set out in Part 4. If participating in the appointment of employees, Councillors should:
- a. Remember that the sole criterion is merit (other than in the case of political assistants where political consideration may apply);
  - b. Never canvass support for a particular candidate;
  - c. Never take part where one of the candidates is a close friend or relative;
  - d. Not to be influenced by personal preferences, and
  - e. Not favour a candidate by giving him/her information not available to the other candidates.
- 7.3 A Councillor should not serve on an appeal hearing if the appellant is a friend, a relative, or an employee with whom the Councillor has had a working relationship.

**8. Mayor and Employees**

- 8.1 The Mayor is the first citizen of the City. His/her role is to be an ambassador for the authority and to chair full Council meetings. Officers must give every support to the Mayor in the execution of these duties. However, the Mayor does not have any executive powers.

**9. Cabinet Members and Employees**

- 9.1 Cabinet Members will take decisions in accordance with the Constitution and will not otherwise direct employees. Designated Officers will be responsible for instructing employees to implement the decisions of the Cabinet.
- 9.2 Designated Officers (including the Head of Paid Service, the Monitoring Officer and the Section 151 Officer) have the right to submit papers to the Cabinet as a whole or to individual Cabinet Members for consideration.
- 9.3 Designated Officers and Cabinet Members shall agree mutually convenient methods of regular contact. Before taking any formal decision, the Cabinet will seek appropriate professional advice.
- 9.4 Before any formal decisions with a financial implication are taken by the Cabinet, the Section 151 Officer and the Designated Officer(s) for the service(s) concerned must be consulted. This is to ensure that those employees who are budget holders:
- a. Are aware of the proposed decision;
  - b. Have the opportunity to offer advice, and
  - c. Are subsequently able properly to authorise the financial transactions needed to implement decisions.
- 9.5 An individual Cabinet Member who is minded to write or commission a report or to make a decision about a matter within his/her responsibility must ensure that those other Councillors and employees who need to know of the matter are so informed. There is a particular requirement to involve other Cabinet Members on cross-cutting issues.
- 9.6 Cabinet Members when making decisions (whether collectively or individually) must state the reasons for those decisions. The written record of the decisions must include the reasons.
- 9.7 Employees taking decisions under their delegated powers must consider the advisability of informing the relevant Cabinet Member(s) of their intentions in advance when the matter to which the decisions relates is likely to be sensitive or contentious or have wider policy implications.

**10.0 Overview and Scrutiny Councillors and Employees**

- 10.1 Chairs and other leading overview and scrutiny Councillors shall maintain regular contact with the employees providing the principal support to the overview and scrutiny function. In consultation with Chairs, it shall be the responsibility of the employee to ensure that those who need to know of matters being considered at meetings or for possible future consideration at meetings are so informed.
- 10.2 The Scrutiny Board and Scrutiny Panels may require employees to attend before them in accordance with the Overview and Scrutiny Procedure Rules and any protocol.

**11. Members of Regulatory or other Committees and Employees**

- 11.1 Designated Officers will offer to arrange regular informal meetings with Chairs, Vice-Chairs and spokespersons of Regulatory or other Committees.
- 11.2 Designated Officers (including the Head of Paid Service, Monitoring Officer and the Section 151 Officer) have the right to present reports and give advice to Regulatory or other Committees.
- 11.3 Members of a Regulatory or other Committee shall take decisions within the remit of that Body and will not otherwise instruct employees to act.

**12. Party Groups and Employees (Excluding Political Assistants)**

- 12.1 Designated Officers may properly be asked to contribute to deliberations of matters concerning Council business by party groups. An employee who is not a Designated Officer shall not be invited to attend a party group meeting, but a Designated Officer may nominate another employee to attend on his/her behalf.
- 12.2 Employees have the right to refuse such requests and will normally not attend a meeting of a party group where some of those attending are not Councillors. If some of those present are not Councillors, care must be taken not to divulge confidential information relating to Council business. Persons who are not Councillors are not bound by the Councillors' Code of Conduct. They do not have the same rights to Council information as Councillors. No Councillor will refer in public or at meetings of the Council to advice or information given by employees to a party group meeting.
- 12.3 Employees support will not extend beyond providing factual information or professional advice in relation to matters of Council business. Employees must not be involved in advising on matters of party business, and therefore should not be expected to be present at meetings or parts of meetings when such matters are to be discussed. The duration of an employee's attendance at a party group meeting will be at the discretion of the group, but an employee may leave at any time if he/she feels it is no longer appropriate to be there.

## ***Protocol for Councillor/Employee Relations***

- 12.4 Party group meetings are not empowered to make decisions on behalf of the Council, and conclusions reached at such meetings do not rank as formal decision. The presence of an employee confers no formal status on such meetings in terms of Council business and must not be interpreted as doing so. Where employees provide factual information and advice to a party group in relation to a matter of Council business, this is not a substitute for providing all the necessary information and advice when the matter in question is formally considered by the relevant part of the Council.
- 12.5 It must not be assumed that an employee is supportive of a particular policy or view considered at a party group meeting simply because he/she has attended or provided information to the meeting. An employee should be given the opportunity of verifying comments and advice attributed to him/her in any written record of a party group meeting.
- 12.6 Employees will respect the confidentiality of any party group discussions at which they are present and, unless requested to do so by the party group, will not relay the content of such discussions to another party group or to any other Councillors. This shall not prevent an employee providing feedback to other senior officers on a need to know basis.
- 12.7 In their dealing with party groups, employees must treat each group in a fair and even-handed manner. An employee accepting an invitation to the meeting of one-party group shall not decline an invitation to advise another group about the same matter. He/she must give substantially the same advice to each.
- 12.8 Councillors must not do anything which compromises or is likely to compromise employees' impartiality.
- 12.9 Any particular cases of difficulty or uncertainty in relation to this part of the protocol should be raised with the Head of Paid Service and the relevant party group leader.

### **13. Political Assistants**

- 13.1 These employees have been appointed by the Council exclusively to provide support to each of the party groups. Their function is to assist the interests and work of the group to which they have been assigned. This is in contrast to all other employees whose duty is to serve the Council as a whole.
- 13.2 Political assistants will be treated in accordance with and expected to observe all codes, policies and practices relating to the Council's employees. This includes the courtesy and consideration which the Council expects its employees to show to one another.
- 13.3 Except for their immediate secretarial and clerical support, the assistants will have no line management responsibility or power of direction over other employees.

13.4 Political assistants are not authorised to comment publicly on behalf of the Council as a whole, or to commit the Council to any particular course of action but can comment on behalf of the party group to which they have been assigned.

13.5 The level of access to Council documents and information shall be that enjoyed by Councillors.

#### **14. Ward Councillors and Employees**

14.1 To enable them to carry out their Ward role effectively, Councillors need to be informed about matters affecting their Ward. Designated Officers must ensure that all relevant employees are aware of the requirement to keep local Councillors informed, allowing Councillors to contribute to the decision-making process and develop their representative role. This requirement is particularly important:

- During the formative stages of policy development, where practicable;
- In relation to significant or sensitive operational matters;
- Whenever any form of public consultation exercise is undertaken and
- During an overview and scrutiny investigation.

14.2 Whenever a public meeting is organised by the Council to consider a local issue, all the Councillors representing the Wards affected should be invited to attend the meeting as a matter of course. If a Ward Councillor intends to arrange a public meeting on a matter concerning some aspect of the Council's work, he/she should inform the relevant employee. Provided the meeting has not been arranged on a party-political basis:

- An employee may attend but is not obliged to do so, and
- The meeting may be held in Council-owned premises.

No such meetings should be arranged or held in the immediate run-up to Council elections.

14.3 Whilst support for Councillors' Ward work is legitimate, care should be taken if employees are used to accompany Councillors to Ward surgeries. In such circumstances:

- The surgeries must be open to the general public, and
- Employees should not be requested to accompany Councillors to surgeries held in the offices or premises of political parties.

## ***Protocol for Councillor/Employee Relations***

- 14.4 Employees must never be asked to attend Ward or constituency political party meetings.
- 14.5 It is acknowledged that some Council employees (e.g. those providing dedicated support to Cabinet Members) may receive and handle messages for Councillors on topics unrelated to the Council. Whilst these will often concern diary management, care should be taken to avoid Council resources being used for private or party-political purposes.
- 14.6 In seeking to deal with constituents' queries or concerns, Councillors should not seek to jump the queue but should respect the Council's procedures. Employees have many pressures on their time. They may not be able to carry out the work required by Councillors in the requested timescale and may need to seek instructions from their managers.

### **15. Councillors' Access to Documents and Information**

- 15.1 This part of the protocol should be read in conjunction with the Access to Information Rules set out in Part 4.
- 15.2 Councillors may request Designated Officers to provide them with such information, explanation and advice as they may reasonably need to assist them to discharge their roles as Councillors. This may range from general information about some aspect of the Council's services to specific information on behalf of a constituent. Where information is requested on behalf of a third party, it will only be provided if:
- It is in the public domains, and
  - It is not barred by the Data Protection Act from being given.
- 15.3 Every Member of the Cabinet, the Scrutiny Board, Scrutiny Panels and Regulatory or other Committees has a right to inspect documents about the business of that body. A Councillor who is not a member of a particular body may have access to any document of that specific part of the Council provided:
- He/she can demonstrate a reasonable need to see the documents in order to carry out his/her roles as a Councillor (the "need to know" principle), and
  - The documents do not contain "confidential" or "exempt" information as defined by the law.
- 15.4 Disputes as to the validity of a Councillor's request to see a document on a need to know basis will be determined by the Monitoring Officer. Employees should seek his/her advice if in any doubt about the reasonableness of a Councillor's request.

## ***Protocol for Councillor/Employee Relations***

- 15.5 A Councillor should obtain advice from the Monitoring Officer in circumstances where he/she wishes to have access to documents or information:
- a. Where to do so is likely to be in breach of the Data Protection Act, or
  - b. Where the subject matter is one in which he/she has a personal or prejudicial interest as defined in the Councillors' Code of Conduct.
- 15.6 Information given to a Councillor must only be used for the purpose for which it was requested.
- 15.7 It is an accepted convention that a Councillor of one-party group will not have a need to know and therefore a right to inspect a document which forms part of the internal workings of another party group.
- 15.8 Councillors and employees must not disclose information given to them in confidence without the consent of a person authorised to give it, or unless required by law to do so. When requested to do so, employees will keep confidential from other Councillors advice requested by a Councillor.
- 15.9 Councillors and employees must not prevent another person from gaining access to information to which that person is entitled by law.
- 16. Media Relations**
- 16.1 All formal relations with the media must be conducted in accordance with the Council's agreed procedures and the law on local authority publicity.
- 16.2 Press releases or statements made by employees must promote or give information on Council policy or services. They will be factual and consistent with Council policy. They cannot be used to promote a party group.
- 16.3 Employees will keep relevant Councillors informed of media interest in the Council's activities, especially regarding strategic or contentious matters.
- 16.4 Before responding to enquiries from the media, employees shall ensure they are authorised to do so. Likewise, employees will inform the Council's press office of issues likely to be of media interest, since that unit is often the media's first point of contact.
- 16.5 If a Councillor is contacted by, or contacts, the media on an issue, he/she should:
- a. Indicate in what capacity he/she is speaking (e.g. as Ward Councillor, in a personal capacity, as a Cabinet Member, on behalf of the Council, or on behalf of a party group);
  - b. Be sure of what he/she wants to say or not to say;

## ***Protocol for Councillor/Employee Relations***

- c. If necessary, and always when he/she would like a press release to be issued, seek assistance from the Council's press office and/or relevant Designated Officer, except in relation to a statement which is partly political in nature;
- d. Consider the likely consequences for the Council of his/her statement (e.g. commitment to a particular course of action, image, allegations of jumping to conclusions);
- e. Never give a commitment in relation to matters which may be subject to claims from third parties and/or are likely to be an insurance matter;
- f. Consider whether to consult other relevant Councillors; and
- g. Take particular care in what he/she says in the run-up to local or national elections to avoid giving the impression of electioneering, unless he/she has been contacted as an election candidate or political party activist.

### **17. Correspondence**

- 17.1 Correspondence between an individual Councillor and an employee should not be copied to another Councillor unless the author expressly intends and states that this is the case or consents. Where correspondence is copied, this should always be made explicit, i.e. there should be no "blind" copies.
- 17.2 Official letters written on behalf of the Council should normally be in the name of the relevant employee. It may be appropriate in some circumstances (e.g. representations to a Government Minister) for letters to appear in the name of a Cabinet Member or the Chairs of the Scrutiny Board, Scrutiny Panel or Regulatory or other Committee.
- 17.3 The Mayor may initiate correspondence in his/her own name.
- 17.4 Letters which create legally enforceable obligations, or which give instructions on behalf of the Council should never be sent in the name of a Councillor.
- 17.5 When writing in an individual capacity as a Ward Councillor a Councillor must make clear that fact.

### **18. Access to Premises**

- 18.1 Employees have the right to enter Council land and premises to carry out their work. Some employees have the legal power to enter property in the ownership of others.
- 18.2 Councillors have a right of access to Council land and premises to fulfil their duties.
- 18.3 When making visits as individual Councillors, they should:



## ***Protocol for Councillor/Employee Relations***

- a. Whenever practicable, notify and make advance arrangements with the appropriate employee in charge;
- b. Comply with health and safety, security and other workplace rules;
- c. Not interfere with the services or activities being provided at the time of the visit.
- d. If outside his/her own Ward, notify the Ward Councillor(s) beforehand; and
- e. Take special care at schools and establishments serving vulnerable sections of society to avoid giving any impression of improper or inappropriate behaviour.

### **19. Use of Council Resources**

- 19.1 The Council's Codes and protocols set out in Part 5 must be observed.
- 19.2 This part of the protocol should be read in conjunction with the Council's "whistleblowing" policy.
- 19.3 Councillors or employees with questions about the implementation or interpretation of any part of this protocol should seek the guidance of the Head of Paid Service or Monitoring Officer.
- 19.4 A Councillor who is dissatisfied about the actions taken by, or conduct of, an employee should:
  - a. if a councillor is dissatisfied they should address this with the employee privately and confidentially and if it is not resolved informally they should refer the issue to their manager.
- 19.5 If direct discussion with the employee is inappropriate (e.g. because of the seriousness of the concern) or fails to resolve the matter, the Councillor should raise the issue with the employee's Manager.
- 19.6 A serious breach of this protocol by an employee may lead to an investigation under the Council's disciplinary procedure.
- 19.7 An employee who believes a Councillor may have acted other than in accordance with this protocol should raise his/her concern with the Monitoring Officer. He/she will consider how the complaint or allegation should be dealt with. At a minor level, this may be no more than informally referring the matter to the Leader of the relevant party group. More serious complaints may involve alleged breaches of the Councillors' Code of Conduct and may be referred to the Standards Committee.

**20. Attendance at Seminars and Conferences**

- 20.1 There is a presumption that only essential conferences will be attended. The term 'conference' is used to mean any paid for event, including seminars and workshops, attended by a Councillor or employee of City of Wolverhampton Council.
- 20.2 Essential conferences are to be defined as:
- a. Those that meet identified Councillor or employee development needs as defined by individual Councillor or Employee Development Reviews that have been conducted in accordance with established procedures.
  - b. Those for which the costs and benefits to the Council have been evaluated.
- 20.3 Attendance at paid for conferences will require prior approval by the responsible budget holder regardless of cost.
- 20.4 The maximum total number of Councillors and/or employees attending any individual conference shall be three; but the presumption shall be for one.
- 20.5 One employee may accompany a Councillor or Councillors at any individual conference.
- 20.6 The presumption shall be that one employee representing City of Wolverhampton Council may attend a conference.
- 20.7 Following attendance at any conference a written report shall be prepared by the Councillor or employee attending and must include a summary of the key implications for the Council. The report shall be submitted, in the case of Councillors to a relevant Committee or Panel of the Council or, in the case of employees, Management Team.

## **Councillor Allowances Scheme**

### **1. Introduction**

- 1.1 The City of Council, in exercise of the powers conferred by the Local Authorities (Members' Allowances) Regulations 2003 (the Regulations), hereby makes the following scheme:-
- 1.2 This scheme may be cited as the City of Wolverhampton Council Councillor' Allowances Scheme and shall have effect from the Municipal Year commencing 2022-2022 – 2025-2026.

### **2. Basic Allowance**

- 2.1 This is a basic, flat rate allowance payable to all Councillors. The allowance is the same for each Councillor and is paid in instalments through the year.
- 2.2 Basic allowance is intended to recognise the time commitment of all Councillors, including such inevitable calls on their time as meetings with employees and constituents and attendance at political group meetings. It is also intended to cover incidental costs such as the cost of telephone rental and calls and home office expenses such as postage, stationary and the use of their homes.

### **3. Special Responsibility Allowance**

- 3.1 Special Responsibility Allowances (SRAs) may be paid to those Councillors who are appointed to positions that have significant responsibilities these are listed in the schedule to this scheme. The Regulations prescribe the categories of responsibility for which SRAs may be paid.
- 3.2 Where a Councillor undertakes duties which would entitle them to more than one Special Responsibility Allowance under this Scheme then they shall receive only the higher allowance.

### **4. Dependants' Carers' Allowance**

- 4.1 A dependants' carers' allowance is payable to those Councillors who incur expenditure for the care of their children or other dependants whilst undertaking particular duties. These duties are specified in the Regulations and are as follows:
- a. attendance at a meeting of the Cabinet or of a Committee of the Cabinet (i.e. the Cabinet or a Cabinet Panel)
  - b. attendance at a meeting of the Full Council or any Regulatory or other Committee (i.e. a Committee or Sub-Committee or Panel of the Council)

## **Councillor Allowances Scheme**

- c. attendance at a meeting of some other body to which the Council make appointments or nominations, including attendance at a meeting of a Committee or Sub-Committee of the body and for the avoidance of doubt shall include attendance at a meeting of the West Midlands Combined Authority
- d. attendance at a meeting which has both been authorised by the Council, or a Regulatory or other Committee of the Council or a Joint Committee of the Council and one or more other authorities, or a Sub-Committee of a Joint Committee and to which representatives of more than one political group have been invited
- e. attendance at a meeting of a local authority association of which the Council is a member
- f. duties undertaken on behalf of the Council in pursuance of any standing order (Contracts Procedure Rules) requiring a Councillor or Councillors to be present while tender documents are opened
- g. duties undertaken on behalf of the Council in connection with the discharge of any function of the Council conferred by or under any enactment and empowering or requiring the Council to inspect or authorise the inspection of premises
- h. duties undertaken on behalf of the Council in connection with arrangements made by the Council for the attendance of pupils at a school approved for the purposes of section 342 of the Education Act 1996 (approval of non-maintained special schools)
- i. any other duty approved by the Council in connection with discharging the duties of the Council or its Regulatory or other Committees (i.e. Committees or Sub-Committees).

4.2 The amount of the dependants' carers' allowances payable in respect of the duties listed above will be the reasonable actual costs incurred up to a total annual maximum amount of 10% of the basic allowance.

### **5. Travelling and Subsistence Allowance**

5.1 Travel and subsistence allowance is payable in connection with undertaking duties specified by the Council. The duties specified are those set out in section 4.1 of this Scheme.

5.2 Travel and subsistence within the West Midlands County area

No separate amount will be payable for travel and subsistence. The basic allowance will be deemed to include an element for travel and subsistence.

5.3 Travel and subsistence outside the West Midlands County area

## **Councillor Allowances Scheme**

Councillors required to travel outside the West Midlands County area in connection with the duties specified in section 4.1 of this Scheme are encouraged to travel by public transport. The costs of such travel if incurred directly by the Councillor will be reimbursed. Alternatively, the Council will obtain and pay for travel warrants or tickets etc. for use by the Councillor.

Where it is not possible to use public transport, mileage rates applicable to Council employees, equivalent to the cost of standard class rail fare, will be reimbursed. All claims for mileage should be accompanied by a VAT receipt.

Where Councillors are unable to take main meals i.e. breakfast, lunch and dinner, in their normal place then the reasonable costs of purchasing a meal and beverage or appropriate refreshment will be reimbursed.

Councillors must obtain receipts when paying for transport and meals/refreshments. In the case of alcoholic drinks, only expenditure for reasonable refreshment or business purposes will be reimbursed.

- 5.4 Councillors who are required to return to Wolverhampton to attend Council meetings or attend to other Council business while away from home on personal business or in connection with their employment will not normally be reimbursed any travel or subsistence costs by the Council. In exceptional personal, compassionate or other mitigating circumstances, the reimbursement of such travel costs will be considered by the Chief Operating Officer and Section 151 Officer following consultation with the Political Group Leaders.

### **6. Co-opted Members and Independent Person's Allowance**

- 6.1 The Council has determined not to pay any allowance to co-opted Members in respect of attendance at meetings.
- 6.2 Co-optees and persons or representatives of external organisations will be entitled to travel and subsistence allowance.
- 6.3 Travel and subsistence within the West Midlands County area – co-optees and persons or representatives of external organisations will be paid on the same basis as that applying immediately before the coming into operation of this Scheme.
- 6.4 Travel and subsistence outside the West Midlands County area – co-optees and persons or representatives of external organisations will be paid allowances on the same basis as Councillors as set out in section 5.3 of this Scheme.
- 6.5 A Independent Person's allowance of £750 per annum plus reasonable expenses shall be paid to each independent person appointed by the City Council.

**7. Withholding Allowances**

7.1 If a Councillor has been suspended from membership of the Council then their basic allowance, any SRA and all travel and subsistence allowances will be withheld during the period of suspension. If a Councillor has been partially suspended e.g. prevented from exercising particular functions or having particular responsibilities, then their basic allowance will not be withheld but travel and subsistence allowances and any SRA related to the suspended duties and responsibilities will be withheld.

7.2 Where payment of any allowance has already been made in respect of any period during which the Councillor concerned has been suspended or ceased to be a Councillor or is in any other way not entitled to receive the allowance in respect of that period, then any such allowances will be repaid by the Councillor.

**Note:** References to suspension and partial suspension refer to the provisions of Part III of the Local Government Act 2000 and any Regulations made thereunder.

**8. Forgoing of Allowances**

8.1 A Councillor may forgo all or any part of any allowances to which they are entitled to under this Scheme. Notice in writing must be given by the Councillor to the Monitoring Officer.

**9. Part-year Entitlements**

9.1 Where the term of office of a Councillor or the entitlement to a special responsibility allowance begins or ends at a time other than at the beginning or end of the Municipal Year, the entitlement to basic or special responsibility allowance will be based on the proportion of time which the service or special responsibility bears to the full year.

**10. Backdating of Allowances**

10.1 If this Scheme is amended and any amendment is made which affects an allowance payable for the year in which the amendment is made then the entitlement to such allowance as amended may apply (if the Council so determines) with effect from the beginning of the year in which the amendment is made.

**11. Annual Adjustments of Allowance Levels**

11.1 Payments made under this scheme for basic and special responsibility allowances will be increased in line with the nationally agreed annual pay award for local government employees in April of each year.

**12. Tax and National Insurance Treatment of Councillors' Allowances**

12.1.1 For tax and national insurance purposes Councillors and non-Councillors are treated in the same way as any other individual who holds an office or is an employee. Guidance received by the Council will be made available to Councillors who should also contact their tax office for advice as necessary.

**13. Amendments and Revocation of the Scheme**

13.1 Before the beginning of each year the Council will make a Scheme as required by the Regulations for the payment of allowances in respect of the year.

13.2 The Scheme may be amended at any time but may only be revoked with effect from the beginning of a year.

**14. Claims and Payment**

14.1 Receipts must be provided with all claims for dependants' carers' allowance, travelling and subsistence allowances must be claimed within one month of the date on which entitlement to the allowance arose.

14.2 Unless otherwise agreed payment of basic allowance and SRA's will be made monthly in advance.

**15. Records of Allowances**

15.1 The Council will keep a record of payments made by it in accordance with the Scheme. The record will contain the information required by the Regulations.

15.2 As soon as reasonably practicable after the end of a year to which the Scheme relates the Council will publish details in accordance with the Regulations of allowances paid.

**16. Publicity**

16.1 The Council will as soon as reasonably practicable after the making of this Scheme or any amendment thereto make arrangements for publication as required by the Regulations.

**17. Schedule of Basic and Special Responsibility Allowances**

Basic Allowance (All Councillors) – £11,500

Special responsibility allowances shall be paid to those Councillors who are appointed to the positions listed below or are otherwise authorised by the Council to perform the duties which attach to any of those positions, and the amounts of those allowances shall be the amounts specified against each position:-

<b>Description</b>	<b>Rate</b>
<b>Special Responsibility Allowance (SRA)</b>	
Leader	27,000
Deputy Leader	20,000
Leader of the Main Opposition Group	12,000
Deputy Leader of the Main Opposition Group	5,500
Cabinet Member	15,000
Chair – Scrutiny Board	10,000
Chair – Scrutiny Panel	8,500
Chair – Planning Committee	11,000
Chair – Licensing Committee	12,500
Chair – Audit Committee	10,000
Chair – Pensions Committee	10,000
Chair – Governance and Ethics Committee	10,000
Vice-Chair – Scrutiny Board	4,000
Vice-Chair – Scrutiny Panels	2,500
Vice-Chair – Planning Committee	5,000
Vice-Chair – Licensing Committee	5,000
Vice-Chair – Audit Committee	2,500
Vice-Chair – Pensions Committee	2,500
Vice-Chair - Governance and Ethics Committee	2,500
Ceremonial Mayor (inclusive of £2,500 clothing allowance)	20,000
Ceremonial Deputy Major (inclusive of £1,250 clothing allowance)	5,000
Independent Person	750

(Note: Where a Councillor undertakes duties, which entitle them to more than one SRA under the Scheme, they will receive only the higher allowance. However, they will still be entitled to the mayoral clothing allowance if they qualify for the Ceremonial Mayor or Deputy Mayor SRA.)

“Special Responsibility Allowance for the Leader of a Minority Opposition Group to be paid only if a Minority Opposition Group comprises five or more Councillors”.

(NOTE: In order to amend the Councillors' Allowances Scheme an Independent Remuneration Panel will be required to make recommendations to, and be accepted by, the Council.



**Parental Leave Policy for Councillors**

**1.0 Introduction**

- 1.1 This Policy sets out Councillors' entitlement to maternity, paternity, shared parental and adoption leave and relevant allowances.
- 1.2 The objective of the policy is to ensure that insofar as possible Councillors are able to take appropriate leave at the time of birth or adoption, that both parents are able to take leave, and that reasonable and adequate arrangements are in place to provide cover for portfolio-holders and others in receipt of Special Responsibility Allowances (SRA) during any period of leave taken.

**2.0 Leave Periods**

- 2.1 Councillors giving birth are entitled to up to 6 months maternity leave from the due date, with the option to extend up to 52 weeks by agreement if required.
- 2.2 In addition, where the birth is premature, the Councillor is entitled to take leave during the period between the date of the birth and the due date in addition to the 6 months' period. In such cases any leave taken to cover prematurity of 28 days or less shall be deducted from any extension beyond the initial 6 months.
- 2.3 In exceptional circumstances, and only in cases of prematurity of 29 days or more, additional leave may be taken by agreement, and such exceptional leave shall not be deducted from the total 52 week entitlement.
- 2.4 Councillors shall be entitled to take a minimum of 2 weeks paternity leave if they are the biological father or nominated carer of their partner/spouse following the birth of their child(ren).
- 2.5 A Councillor who has made Shared Parental Leave arrangements through their employment is requested to advise the Council of these at the earliest possible opportunity. Every effort will be made to replicate such arrangements in terms of leave from Council.
- 2.6 Where both parents are Councillors leave may be shared up to a maximum of 24 weeks for the first six months and 26 weeks for any leave agreed thereafter, up to a maximum of 50 weeks. Special and exceptional arrangements may be made in cases of prematurity.
- 2.7 A Councillor who adopts a child through an approved adoption agency shall be entitled to take up to six months adoption leave from the date of placement, with the option to extend up to 52 weeks by agreement if required.
- 2.8 Any Councillor who takes maternity, shared parental or adoption leave retains

## ***Parental Leave Policy for Councillors***

their legal duty under the Local Government Act 1972 to attend a meeting of the Council within a six month period unless the Council Meeting agrees to an extended leave of absence prior to the expiration of that six month period.

- 2.9 Any Councillor intending to take maternity, paternity, shared parental or adoption leave will be responsible for ensuring that they comply with the relevant notice requirements of the Council, both in terms of the point at which the leave starts and the point at which they return.
- 2.10 Any Councillor taking leave should ensure that they respond to reasonable requests for information as promptly as possible, and that they keep officers and colleagues informed and updated in relation to intended dates of return and requests for extension of leave.

### **3.0 Basic Allowance**

- 3.1 All Councillors shall continue to receive their Basic Allowance in full whilst on maternity, paternity or adoption leave.

### **4.0 Special Responsibility Allowances**

- 4.1 Councillors entitled to a Special Responsibility Allowance shall continue to receive their allowance in full in the case of maternity, paternity, shared parental or adoption leave.
- 4.2 Where a replacement is appointed to cover the period of absence that person shall receive an SRA on a pro rata basis for the period of the temporary appointment.
- 4.3 The payment of Special Responsibility Allowances, whether to the primary SRA holder or a replacement, during a period of maternity, paternity, shared parental or adoption leave shall continue for a period of six months, or until the date of the next Annual Meeting of the Council, or until the date when the Councillor taking leave is up for election (whichever is soonest). At such a point, the position will be reviewed, and will be subject to a possible extension for a further six month period.
- 4.4 Should a Councillor appointed to replace the Councillor on maternity, paternity, shared parental or adoption leave already hold a remunerated position, the ordinary rules relating to payment of more than one Special Responsibility Allowances shall apply.
- 4.5 Unless the Councillor taking leave is removed from their post at an Annual General Meeting of the Council whilst on leave, or unless the Party to which they

## ***Parental Leave Policy for Councillors***

belong loses control of the Council during their leave period, they shall return at the end of their leave period to the same post, or to an alternative post with equivalent status and remuneration which they held before the leave began.

### **5.0 Resigning from Office and Elections**

- 5.1 If a Councillor decides not to return at the end of their maternity, paternity, shared parental or adoption leave they must notify the Council at the earliest possible opportunity. All allowances will cease from the effective resignation date.
- 5.2 If an election is held during the Councillors maternity, paternity, shared parental or adoption leave and they are not re-elected, or decide not to stand for re-election, their basic allowance and SRA if appropriate will cease from the Monday after the election date when they would technically leave office.

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## Glossary of Terms used in the Constitution

In the Constitution, the words and phrases in the left-hand column have the meaning given in the right-hand column:

Agenda	<p>These set out the business to be considered at formal meetings of the Council, Cabinet, Scrutiny Board and Panels and Committees. They are public documents and are available for inspection before each meeting at the Council's main offices and on the Council's website:  <a href="http://www.wolverhampton.gov.uk/">http://www.wolverhampton.gov.uk/</a></p>
Annual Meeting	<p>The annual meeting of the Council which elects the Mayor and Deputy Mayor, Leader of the Council and appoints Chairs and Councillors to memberships of Committees. The meeting takes place in May each year.</p>
Audit Committee	<p>The Audit Committee considers the Council's governance arrangements and ensures that the financial affairs of the Council are properly conducted.</p>
Background Papers	<p>Documents relating to the subject matter of a report which in the opinion of the Proper Officer:</p> <p>(a) disclose any facts or matters on which the report or any important part of the report is based; and</p> <p>(b) which have been relied on to a material extent in preparing the report but does not include published works or those which disclose <i>Exempt</i> or <i>Confidential Information</i> and in respect of <i>Cabinet</i> reports, the advice of a political advisor.</p>
Budget and Policy Framework	<p>The following plans and strategies comprise the budget and policy framework:</p> <ul style="list-style-type: none"> <li>• Wolverhampton City Strategy</li> <li>• Crime, Community Safety and Drug Reduction Strategy</li> <li>• Statement of Licensing Policy</li> <li>• Statement of Gambling Policy</li> <li>• Local Transport Plan</li> <li>• Plans and alterations which together comprise the Local Plan</li> <li>• Youth Justice Plan</li> <li>• Housing Strategy</li> <li>• Adult Learning Strategy</li> <li>• Sustainability Strategy and Implementation Plan</li> <li>• The Children and Young People's Plan</li> <li>• The Corporate Plan</li> <li>• Medium Term Financial Strategy</li> </ul>

Budget Meeting	The Ordinary Meeting of the Council taking place in March each year which considers the Budget.
Cabinet	<p>The Cabinet is a group of Councillors including the Leader who work with Council staff to run the Council and take most decisions except those about major policy issues or setting the annual budget (which only the Full Council Meeting can do) or decisions on regulatory matters such as whether to give planning permissions or licenses which only Committees established for those purposes can take.</p> <p>The Leader of the Council appoints the Cabinet and chairs its meetings. The Cabinet must consist of a minimum of three Councillors including the Leader up to a maximum of 10 Councillors including the Leader. The Councillors in the Cabinet each have responsibility for areas of the Council's work allocated to them by the Leader.</p> <p>The Councillors in the Cabinet can only make decisions within the scope of the overall Budget and Policy Framework set by the Council and the Constitution.</p>
Cabinet Functions	These may be carried out by the Cabinet, a Cabinet Member, a Regulatory or other Committee, of the Cabinet, an officer, another authority, or by joint arrangements.
Cabinet Member Responsibilities	These are areas of responsibility allocated by the Leader to Cabinet Members. Each area of responsibility is known as a Cabinet Member portfolio and each portfolio is given a title.
Call-In	"Call In" is a statutory right for Members of the Council to call in a decision of Cabinet or an individual Cabinet Member or Cabinet Members after it has been made or before it has been implemented.
Chair	The Councillor who presides over a meeting of the Council's Cabinet, Committees, Sub-Committees or Panels.
Chief Executive	<p>The Chief Executive is the Head of the Council's Paid Service (see the glossary for the definition of the Head of Paid Service) and together with the Deputy Chief Executive and Directors are the senior management team that runs the day to day work of the Council working with the Leader of the Council and Cabinet and supported by the Council's employees.</p> <p>For the avoidance of doubt the Chief Executive includes the following title; Head of Paid Service.</p>

Chief Operating Officer	For the avoidance of doubt the Chief Operating Officer includes the following titles; Monitoring Officer, Director of Legal, Chief Legal Officer and Solicitor to the City Council.
Director of Finance (Section 151 Officer)	<p>This is a statutory appointment required under S151 of the Local Government Act 1972. Every Council must designate an officer as responsible for the proper administration of the Council's financial affairs. The Director of Finance has been designated as the Section 151 Officer.</p> <p>For the avoidance of doubt the Director of Finance includes the following titles; Section 151 Officer and Chief Financial Officer.</p>
Code of Conduct	A model code prepared by the Council to regulate the conduct of Local Authority Members.
Codes, Policies and Protocols	In making decisions and conducting its business, the Council and the bodies and persons exercising functions on its behalf will have regard to the Codes set out in Part 4 and 5 of the Constitution.
Common Seal	The Common Seal is the Council's mark of authentication and is attached to documents which are decisions of the Council or any properly constituted body of the Council or to documents which in the opinion of the Monitoring Officer should be sealed or as required by the Contract Procedure Rules. The Common Seal is kept in the safe custody of the Monitoring Officer.
Confidential Information	Information given to the Council by a Government Department on terms which forbid its public disclosure or information which cannot be publicly disclosed by Court Order. (see also exempt information).
Constitution	Every principal Council must produce a document known as the Constitution which sets out how the Council will conduct its business.
Contract Procedure Rules	These provide a corporate framework for the procurement of all goods, services and works for the Council.
Co-opted Members	<p>Persons, who are not elected, but appointed to a Council Committee, Sub-Committee or Scrutiny Panel and have voting rights.</p> <p>Statutory Co-opted Members are Church and Parent Governor representatives who have voting rights and serve on the Children, Young People and Families Scrutiny Panel.</p> <p>Non-statutory Co-opted Members are Youth Council representatives serving on the Children, Young People and Families Scrutiny Panel and Wolverhampton and Healthwatch members serving on the Health Scrutiny Panel.</p>

Council Functions	The local authority functions which by law cannot be carried out by the Cabinet.
Councillor Champions	These are individual Councillors or other individuals who are appointed by the Council to champion a particular issue within the Council, with its partners, in communities, across the Council, regionally or nationally.
Full Council Meeting Procedure Rules	These set out how meetings of the Council, the Cabinet, Scrutiny and Regulatory and other Committees and other bodies will be conducted. These are contained in Part 4 of the Constitution.
Councillor	A Councillor represents his or her Ward on the Council and acts as an advocate and decision-maker for local issues. To find out who your Councillor is please go to the website or ring the Council offices.
Councillor Code of Conduct	A code based on a national model that must be followed by all Councillors, governing their behaviour and responsibilities.
Deputy Leader	The Councillor appointed to the position of Deputy Leader by the Leader of the Council.
Deputy Mayor	A Councillor appointed annually by the Council to act as deputy to the Mayor.
Director of Finance	For the avoidance of doubt the Director of Finance includes the following titles; Section 151 Officer and Chief Financial Officer.
Designated Officer	A Designated Officer is the Head of Paid Service, Deputy Chief Executive, Director or other senior employee authorised by him/her for this purpose.
Disciplinary Action	In relation to an employee of the Council, any action occasioned by alleged misconduct which, if proved, would according to the usual practice of the Council, be recorded on the employee's personal file, and includes any proposal for dismissal of an employee for any reason other than redundancy, permanent ill health or infirmity of mind or body, but does not include failure to renew a contract of employment for a fixed term unless the Council has undertaken to renew such a contract.
Employee	Person appointed to or holding a paid office of the authority or employed by the authority.
Exempt Information	Information that the Council may not be required to publish because it falls within specific categories defined in Schedule 12A of the Local Government Act 1972.



Extraordinary Meeting	A Council Meeting called by resolution of the Council, the Mayor, the Head of Paid Service or by requisition of any five Councillors which takes place in addition to an Ordinary Meeting or the Annual Meeting.
Finance Procedure Rules	Control the way the Council manages its finances and safeguards its assets. The rules apply to the Council's Members and employees and anyone acting on its behalf except where separate arrangements are made under the scheme for the Local Management of Schools.
Five Clear Days	A period of five days, excluding the day of the meeting, the day on which the meeting is called, weekends and bank holidays during which copies of the agenda and reports of a meeting must normally be available for inspection under the Access to Information Rules.
Forward Plan	A notice of matters which the Leader of the Council believes will be the subject of a Key Decision to be considered over the next four months. This is published monthly.
Full Council	All 60 Members of the Council meeting together to conduct business.
Group Leaders	Political groups will appoint a person to lead their group who are known as Group Leaders.
Head of Paid Service	This is a statutory appointment under Section 4 of the Local Government and Housing Act 1989. Every Council has to have a Head of Paid Service, who is ultimately responsible for the Councils' delivery of good services and is responsible for reporting to the Council on how employees are organised and deployed. The Chief Executive has been designated as the Head of Paid Service.
Independent Person	A person who is not an elected Councillor of the authority, but appointed by the full Council as a member of the Standards Committee of the authority and who is entitled to vote on any question falling to be decided at any of the meetings of that body.
Joint Arrangements	Services provided in partnership with other Councils or by or on behalf of those Councils.
Key Decision	A key decision is a Cabinet decision which is likely:  to result in the local authority incurring expenditure which is, or the making of savings which are, significant having regard to the local authority's budget for the service or function to which the decision relates or

	<p>to be significant in terms of its effects on communities living or working in an area comprising two or more Wards in the area of the local authority.</p> <p>Note: The Council has determined that expenditure or savings in excess of £250,000 will be deemed significant. This figure will be reviewed by the Council from time to time.</p>
Leader of the Council	The Leader of the Council is the political Head of the Council, elected by the Council.
Local Choice Functions	By law, these are responsibilities which the Council can choose to make the function of the Council or Cabinet.
Local Partnership	A single body that brings together at a local level the different parts of the public sector as well as the private, business, community and voluntary sectors so that different initiatives and services support each other and work together.
Monitoring Officer	This is a statutory appointment under Section 5 of the Local Government and Housing Act 1989. The Monitoring Officer is responsible for reporting the actual or potential breach of a legal requirement to the Council Meeting or Cabinet and for dealing with complaints of breaches of the code of conduct by Councillors, reporting as necessary to the Standards Committee. The Chief Operating Officer is the designated 'Monitoring Officer'.
Ombudsman	A person independent of the Council who has power to investigate maladministration by the Council.
Ordinary Meeting	Council Meetings held in accordance with a programme of meetings decided by the Council.
Overview and Scrutiny	The action of overseeing and scrutinising decisions made by the Cabinet undertaken by the Scrutiny Board and Scrutiny Panels.
Petition	A written or electronic communication signed or sent to the Council on behalf of at least 10 signatories from at least 5 identifiable households and including a clear and concise statement indicating what action the petitioners wish the Council to take and the name, identifiable address and signature of any person supporting the petition. Petitions will be received by the Council in accordance with the Petitions Scheme. <a href="http://www.wolverhampton.gov.uk/article/2915/Petitions">http://www.wolverhampton.gov.uk/article/2915/Petitions</a>
Planning Committee	The Planning Committee is comprised of Councillors and is responsible for the Council's statutory town and country planning and development control functions.

Political Assistant	An officer appointed specifically to assist a Political Group on the Council.
Political Group	Two or more Councillors who belong to the same political party or have some other common interest may form a Political Group. Such Groups are recognised by law and in the Council's Constitution.
Procurement	Procurement is the identification and acquisition from third parties and in house providers, of goods, services and works.
Proper Officer	A person designated as being responsible for a particular function or range of functions.
Protected Officers	The Protected Officers are the Head of Paid Service, the Monitoring Officer and the s.151 Officer.
Quasi judicial	Powers resembling those of a court of law or judge.
Quorum	This is the required number of Councillors which need to be present at a meeting to enable the business of that meeting to be transacted.
Regulatory Committees	Regulatory Committees are comprised of Councillors and are responsible for the overseeing and regulation of certain legislation and legislative processes including all types of licence, street trading, some highways matters and appeals relating to them.
Reports	Written items prepared by employees for consideration by Councillors.
Scrutiny	<p>Scrutiny is a role fulfilled by all Councillors who are not Members of the Cabinet. It is a statutory function under the Local Government Act 2000.</p> <p>The role of the Scrutiny Committees is to help develop policy, to carry out reviews of Council and other local services and to hold Cabinet and Cabinet Members to account for their actions and decisions.</p>
Section 106 Agreement	A Section 106 Agreement, sometimes known as a planning obligation, is a legally binding agreement entered into between a local authority and a developer and is an established and valuable way of bringing development in line with the objectives of sustainable development as articulated through relevant local, regional and national planning policies.

## Glossary

Standards Committee	A statutory Committee of the Council comprised of Councillors and independent persons which has responsibility for helping Councillors follow the Councillor Code of Conduct and assessing and determining complaints that they may have failed to do so.
Sustainable Community Strategy	This Strategy is the overarching long term vision and plan for a local area.
The Council	City of Wolverhampton Council.
The Mayor	A Councillor who is elected annually by the Council to Chair full Council meetings and to be the first citizen of the City.
The 1972 Act	The Local Government Act 1972.
The 1989 Act	The Local Government and Housing Act 1989.
The 2000 Act	The Local Government Act 2000.
Vice-Chair	The Councillor who deputises for the Chair.
Ward	A geographical area of the County represented by one or more Councillors.