

Agenda item: RF 06/21

WOUGHTON COMMUNITY COUNCIL

Resources & Finance Committee

Tuesday 6th July 2021

PURPOSE OF REPORT:

To explain the format of the reports submitted to the Finance and Resources Committee.

RECOMMENDATION:

1. That the Committee notes the report.
2. That the Committee approves the reports for April and May 2021/2022.

MAIN ISSUES AND CONSIDERATIONS:

You will note our reports are now pulled from scribe accounts and therefore the layout is slightly different. You have been provided with the following:

- **April – Summary** (*Summary of all payments and receipts made/taken in April for all cost centres and codes – inclusive of salaries, NI & PAYE, pensions*)
- **May – Summary** (*Summary of all payments and receipts made/taken in May for all cost centres and codes – inclusive of salaries, NI & PAYE, pensions*)
- **Transactions APR (GDPR)** – (*Detailed list of all transactions in April, excluding sensitive personal data i.e. Salaries breakdown, PAYE and NI breakdown and pensions breakdown, this is due to the fact we cannot publish personal data names/salaries etc. due to GDPR*) as per clause 1.75 (1.1) & 1.76 (1.2) in our Financial regs.
- **Transactions MAY (GDPR)** – (*Detailed list of all transactions in April, excluding sensitive personal data i.e. Salaries breakdown, PAYE and NI breakdown and pensions breakdown, this is due to the fact we cannot publish personal data names/salaries etc. due to GDPR*) as per clause 1.75 (1.1) & (1.2) 1.76 in our Financial regs.

Clause 1.75

- 1.1. *Each and every payment to employees of net salary and to the appropriate creditor of the statutory and discretionary deductions shall be recorded in a separate confidential record (confidential cash book). This confidential record is not open to inspection or review (under the Freedom of Information Act 2000 or otherwise) other than:*
 - a) *by any councillor who can demonstrate a need to know;*
 - b) *by the internal auditor;*
 - c) *by the external auditor; or*
 - d) *By any person authorised under Audit Commission Act 1998, or any superseding legislation.*

Clause 1.76

- 1.2. *The total of such payments in each calendar month shall be reported with all other payments as made as may be required under these Financial Regulations, to ensure that only payments due for the period have actually been paid.*

FINANCIAL IMPLICATIONS:

None Perceived.

STAFFING IMPLICATIONS:

None Perceived.

OTHER IMPLICATIONS:

None perceived.

BACKGROUND PAPERS:

Agenda item RF 06/21 April Summary report.

Agenda item RF 06/21 May Summary report.

Agenda item RF 06/21Transactions APR (GDPR).

Agenda item RF 06/21Transcations MAY (GDPR).

Agenda item RF 06/21 April-May YTD.

AUTHOR

Samone Winsborough
RFO

Agenda item: RF 07/21

WOUGHTON COMMUNITY COUNCIL

Resources & Finance Committee

Tuesday 6th July 2021

PURPOSE OF REPORT:

To update the committee on the proposed transfer of Eaglestone Activity Centre.

RECOMMENDATION:

- 1. That the committee notes this report.**
- 2. That the committee agrees to the proposed additional structural survey being undertaken, with MKC funding this.**
- 3. That upon receipt of any further reports, further papers are presented to this committee.**
- 4. That a paper making recommendations regarding the transfer of the centre is produced by this committee for the October 2021 meeting.**

MAIN ISSUES AND CONSIDERATIONS:

The proposed transfer of Eaglestone Activity Centre has been 'on hold' due to concerns following the commissioning of a survey report, which raised some significant issues in terms of repairs that are needed within the centre.

Following receipt of this report, a paper was tabled at Full Council (FC 277/21) with recommendations and the council decided that further discussions were needed with MKC regarding these issues, prior to any further action.

On 17th June, the Council Manager Steve McNay, Councillor Liz Simpkins, and Booking Officer Paul Garth met with representatives from MKC at the centre, to review the current situation. Prior to this meeting, initial discussions had taken place between the Council Manager and Cathy Bland at MKC – during these discussions, it was stated that MKC have no budget for any of these works and that they have spent close to £250,000 on the building during the WCC management period (this includes the installation of the Multi Use Games Area (MUGA), plus the refurbishment and the insurance works following the floods in 2018).

The visit to the centre was positive, with all present being clear about the challenges – the 'front end' of the building is in pretty good condition, but the rear (squash courts, changing areas, etc.) is not. There is some urgent work needed to address immediate issues - landscaping management is one part, but also some work to address the issues in the changing rooms, which are extremely pungent and appear to be continuing to deteriorate, as well as the identified issues from the report in terms of roof, etc.

The discussion at Full Council led to an agreement: '*That council considers whether any remedial work / additional financial contribution should be requested from Milton Keynes Council prior to any transfer.*'

This continues to be discussed, with a current proposal that MKC fund the provision of a structural survey, to reassure or otherwise, with regard to the more significant risks associated with the building. This is where the negotiations currently sit – we await further updates from MKC, with an understanding that agreement with regard to the long term future of the centre needs to be resolved by the end of 2021.

FINANCIAL IMPLICATIONS:

Significant - please see the paper submitted to Full Council – FC 277/21 alongside associated documents.

STAFFING IMPLICATIONS:

None noted.

OTHER IMPLICATIONS:

This centre is a well loved part of the Eaglestone community and agreement with regard to the future of the building, its management and any investment needs to be ensured.

BACKGROUND PAPERS:

FC 277/21 plus associated documents.

AUTHOR

Steve McNay – Council Manager

Agenda item: RF 07/21

WOUGHTON COMMUNITY COUNCIL

Full Council

Monday 26th April 2021

PURPOSE OF REPORT:

To update the Council on potential transfer of Eaglestone Activity Centre.

RECOMMENDATION:

1. That council notes this report, the attached survey and Heads of Terms.
2. That council considers whether transfer of Eaglestone Activity Centre is the preferred course of action for the council.
3. That council considers whether any remedial work / additional financial contribution should be requested from MKC prior to any transfer.
4. That should council agree to a transfer, that a programme of works be delivered to address the immediate needs, as identified within the survey and a longer term plan be developed and funded.
5. The Council Manager recommends that £80,000 is agreed as the investment needed to bring up to standard all aspects of the centre and that a minimum of £25,000 is needed to provide a building that is sufficiently secure for transfer.

MAIN ISSUES AND CONSIDERATIONS:

The transfer of Eaglestone Activity Centre (EAC) to Woughton Community Council (WCC) has been under discussion for several years. Previously, this has been delayed due to concerns relating to the condition of the building, with additional concerns following the flooding of May 2018 and the remedial work undertaken following this incident; damage to squash courts, small meeting room and office, which has been addressed and, to the most part, resolved (although some issues remain, especially relating to water ingress into the lower level).

More recently, Milton Keynes Council (MKC) has undertaken some improvements to the centre, refurbishing the entrance hall and main toilets. This has made a difference and has modernised those aspects of the building – this is both positive (in terms of those areas being up to standard) and negative (in terms of showing how far behind the remainder of the centre is).

MKC sent through 'Heads of Terms' (the first stage towards a long term agreement between MKC and WCC) in December 2020 and have been pushing for agreement since that time. This situation was discussed at Full Council in February 2021 (Item FC 256/21) where council requested a full survey was undertaken to identify any outstanding issues and make sure that any decision could be made with full understanding of the risks. This was actioned and Allcott Commercial were appointed to undertake this survey.

There is a full report included within these papers – this is 136 pages long and includes details of all internal and external elements of the building. To cover the salient points:

In the view of this survey,

- The building is structurally sound.
- There are some elements that require immediate attention, such as minor repointing / replacement of mortar, removal of vegetation, improved drainage to the front of the property, etc.
- There are some elements that will need refurbishment / replacement over the medium term (including kitchen, downstairs changing facilities, etc.)
- There are some additional checks that would be suggested, including a full gas safety check and a full electrical systems check, alongside an underground drainage examination.
- There are other elements that will require additional investment to ‘make good’ including the rubberised play space, flat roof repairs and checks to the squash courts to ensure no further water damage. Some of this work is urgent.

The report looks at each and every space, identifying issues and suggesting timescales for action which range from ‘immediate’ (with a year) to ‘very long term’ (over 20 years away). The ‘immediate’ issues highlighted are:

EXTERNAL

- Cleaning of all gutters (page 9).
- Replacement of flat roof (page 15) which links to numerous issues throughout
- Various infilling, repointing, brickwork replacement that covers both fabric of the building, external walls and significant elements of boundary / retaining walls (pages 11, 13, 16, 17, 22, 25, 73, etc.)
- Drainage improvement to front of building (page 26), lowering drainage channel (page 11) and issues with membrane (page 18).
- Creation of hardstanding path across nursery playground as fire escape route.

INTERNAL

- Check leaks from above (pages 67, 70, 79, 86, 93, 95, etc.)
- Electrical testing throughout (pages 30, 64, 71, 88, etc) including some specific elements.
- Gas system testing and training on use.
- Replacement of roof light and surrounds (page 81)
- Check on suitability of glass as ‘safety glass’ (small meeting room and viewing gallery).
- Further checks and repairs to squash courts (this may sit with MKC following the flooding and the lack of sign off since then – issues that remain unsorted) (page 100 onwards).

There is considerable further work potentially needed too:

- Fire system may not be compliant.
- Disabled toilet (rear of building) is out of date and will need work.
- Kitchen will need replacing.
- Downstairs changing areas are recommended for complete refurbishment as significantly damaged and outdated (but we knew this).
- Potentially a structural engineer needed for the squash courts to assess situation, as movement, leaks and damage is very obvious.

FINANCIAL IMPLICATIONS:

There is a considerable financial impact of this decision; even to address the immediate needs that are noted above, estimates provided within the report suggest £20k plus, not including the replacement roof light.

With further works estimated as below and the expectation that the unexpected will happen, a total of £80,000 is an estimate that is realistic based upon this survey.

The additional costs that have been specified within the survey include:

- Gutter clearance	£1,000
- General roof repairs	£1,000
- Flat roof repairs	£12,500 (plus roof light work)
- Window replacement	£3,000
- Brickwork	£2,500
- Door adjustments	£350*
- Internal décor	£1,900
- Painting of squash courts	£1,100**
- Boiler and gas check	£700
- Electrical checks and tests	£1,000
- Removal of vegetation	£1,250
- Survey of drains	£600
- Replace kitchen	£8,000
- Improvements to disabled WC	£1,500
- Changing rooms downstairs	£12,500
- Data and outlets	£1,700

This is £50k plus and doesn't include a number of potential issues (e.g. improved drainage to front, issues around dampcourse and drainage channels, etc.) or any unseen difficulties that are almost certain to appear.

* Doors have been noted for replacement which would be significantly more and would add £2-5k to the costs.

** This is an estimate and doesn't include any of the other issues relating to the squash courts – again, likely to be significantly more.

STAFFING IMPLICATIONS:

None specifically relating to this paper.

OTHER IMPLICATIONS:

There is nothing that states that WCC must take on this building. However, if the transfer doesn't happen, it will likely be offered to other organisations who may then choose to use it differently and not necessarily in line with WCC expectations.

There is significant potential within the building, but this will require significant additional investment. The amounts noted above could be 'capitalised' over a number of years (i.e. if £90k is what is needed to get the building sorted and fit for 10 years, this equates to £9k per annum, which could (and should) be covered by additional income. However, the costs of EAC are already high (around £10k per annum just to stand empty, with rates, gas, electric, water, etc.) and so careful consideration would need to be given. Additionally, the need to provide ongoing, regular maintenance programmes means an additional £3 – 5k annually should be budgeted, even with the refurbishment noted above.

With more complete usage and assuming that existing costs remain relatively static (i.e. £10k running costs plus a similar amount for direct caretaker cover, so £20k per annum), plus maintenance costs, this would mean that a minimum of £35k per year through income would be needed to justify this option (based upon purely financial value). At £15 per hour for main hall rental, this equates to 2,333 per year (194 hours per month / 45 hours per week / 7 hours per day). This is around 55% capacity and doesn't include any rental of office space, small meeting room or squash courts (should they come back into use). It also doesn't include any 'free' space for resident associations or otherwise.

It is hard to assess the level of rental income given the impacts over the past year and the potential for this to continue to reduce income for some time to come. With rentals available for 12 hours per day, 7 days per week, full capacity would be 84 hours per week.

Based upon a 'snapshot' of rentals (this is based on one week in January 2020), rental and income for EAC was:

- Main hall was rented for a total of 38.5 hours @ £15 per hour = £577.50
- Small meeting room for a total of 15 hours @ £6 per hour = £90.00
- Total rental per week of £667.50 per week or, based on 50 weeks per year, £33,375.

This level of income does not include any office rental, squash court or multi-use space and during this week, there were no rentals on Saturday and significant 'voids' during afternoons / evenings during the week and small meeting room was used very little. The main hall was used for just under 50% of possible rental time, with the small meeting room used for just under 20% capacity. This suggests that there is potential for additional income to be brought in, especially if squash courts are utilised and improvements mean a more welcoming, useable space.

It should be noted that this level of use is NOT currently in place and bookings for the foreseeable future are not at this level. The impact of restricted numbers continues to reduce use.

As can be seen, this is a finely balanced decision from a financial viewpoint. The value or otherwise of managing this building and thereby retaining control of the space is an additional consideration – the youth team, storage space, flexibility for RA usage and community events, having a visible presence at the heart of Eaglestone and a space that can be used by the community are all added values that cannot be assessed in purely fiscal terms.

BACKGROUND PAPERS:

Building Survey - EAC - March 2021.

Full list of EAC recommendations.

AUTHOR

Steve McNay – Council Manager

Agenda item: RF 07/21

Recommendations from EAC Survey

A summary is provided on pages 125 – 127 of the report, covering what is felt urgent and immediate. This also mentions some longer term aims, such as replacing the kitchen and downstairs changing areas.

Issue to be addressed	Page No(s)	Notes
Clear moss and debris from roof	8, 19	
Removal and rebidding of ridge tiles (medium term)	8, 19	Fits in with significant amount of mortar, repointing, brick replacement, wall rebuilds and various other elements
Clearance of all gutters and downpipes	9, 21	
Provision of maintenance records for shutters	10, 26	Unlikely – what there is, we probably have.
Cyclical maintenance of wooden window frames (NB also recommended for replacement with PVC windows)	10, 25	Replacement windows @approx £3000
Infilling holes in brickwork	11, 16, 22	
Lowering of drainage channel to 150mm below DPC	11	
Raking, repointing and replacing brickwork	11, 13, 16, 22, 24, 25, 73	
Monitoring of expansion joints	13	
Adjustment to external doors (NB also recommended for replacement with new doors)	13, 72	New doors (especially to the rear entrance) @ £2 – 3K
Removal of vegetation	14, 18, 20, 78, 91	Can be undertaken by WCC officers
Rear columns – significant brickwork including replacement of brick, use of ‘faces’ to cover ‘blown’ bricks, etc.	17, 21	BIG work at high level – scaffold probably needed
Membrane issues	18	To wall abutting MUGA
Clear vents to rear of the building (mainly vegetation issue)	21	Can be done by WCC officers
Cleaning of door fittings to prevent further deterioration	26	
Drainage to front of the building	26	Potentially significant works
Fences clean down and realignment	27, 32, 35	
Leaf removal and general schmutter management	28	Around the MUGA and steps
Rail fixings to be moved and potential replacement	30	Steps to the MUGA
Electrical systems and individual bits tested and assessed	30, 64, 71, 88	
Brick replacement and top three tiers of wall rebuilt, plus other associated elements (expansion joints, retaining wall removal, etc.)	32, 24, 35	External walls around the nursery play area
Improvements to fire escape from squash courts area	33	
Creation of ‘hardstanding’ path across nursery outdoor area to act as fire escape route	34	
CCTV inspection of underground drainage systems	37	
Replacement of flat felt roof and flashings	15	Major works costed at £12.5k plus
Work needed on flooring in nursery outdoor area, as trip hazard	73	Uncosted
Repointing internal brickwork	38, 73	

Query re damp in front entrance porch – monitor and address	38	
Fire alarm maintenance records / security alarm records	43	Unlikely – what there is we probably have
Replace windows in all toilets (x 3)	49, 51, 62	Costed at £3k+
Redecoration noted in many places as damaged / shabby	45,	
? Re centre section of mens cubicles? Monitor	50	
Replace cover of ceiling grille	53	Uncosted, so additional to any figures mentioned
Radiators situated under hand dryers likely to lead to damp damage and rust – consideration for management of this	49, 51, 62	Moving hand dryers or radiators an additional cost
Replace roof insulation, insulate pipes in roof space, add vents to reduce dampness and check water heater in roof space	56	All uncosted
Remove plant growing internally and seal window (linked to flat roof works)	59	It is a really nice plant, but in the wrong place.
Plasterwork, sealant, tiling, worktops, cupboard doors all need addressing in kitchen, with a 'replace all when finances allow' proviso	61 - 66	Kitchen replacement and refurbishment is needed. Industrial suggested by CM
Kids WC's – some minor works needed, including installation of light operated fan and additional finger guard	67	All uncosted
Leaks from above and impact in internal décor and safety noted for many areas	67, 70, 79, 86, 93, 95	Flat roof replacement likely to because of much of this
Improvements to wall between storage and office	74	Uncosted
Removal of unused water tanks from plant room high level	75	Uncosted
Gas system tested fully and training provided on system in place (to include water heater in roof space (page 56) and other additional bits dotted around the building)	77	System check approx. £700, but likely to be more with training and handover of all systems.
Replace outdated heating system in main hall	78	Uncosted and likely significant
Hot air system noted – records and handover recommended	81	Unclear
Roof light in rear stairway damaged with significant impact on surrounds (incl joists?) and needs replacing, alongside flat roof as a whole.	81	Additional costs unknown, but potentially significant
Replacement door to rear entrance of the building and fire door upgrade	84	Uncosted
Safety glass checks – glass is thought to be original, so need to ensure meets current standards and if not, replace. Small meeting room door and viewing gallery for squash courts	89, 92	
Improvements to disabled WC as doesn't meet current standards – also issues with plumbing system and possible changes to configuration of pipework	87, 97	
Access to roof space above squash courts and assessment of any water leaks – potential structural engineer involvement	99	
Concern re use of suitable plaster used for squash courts	100	Noted in multi use room, but potentially an issue for the court too
Cracks and thermal movement, potentially linked to leaks	102	Significant.
Repairs needed to previous repairs undertaken as not resolved – flooring, plasterwork, etc.	103	Should be part of previous repairs situation.

Damage, missing tiles, etc. in changing rooms (female) alongside need for through clean and replacement of some radiator fixings	109	
Men's changing area has so many issues that total refurbishment is recommended – damp is a significant issue and leaks continue to be an issue	111 - 116	
Fire system may not be compliant with current standards	118	
Disability access should be considered when making alterations	118	
Asbestos and lead paint both possibly in situ – needs checking	117	
Lighting considerations and emergency lighting checks	122	
Possible need for adjustments to power cabling, removal of old wiring, data cabling and similar	122	
Installation of thermostatic control valves throughout	122	

There is a considerable amount of uncosted work which is in addition to the £50k plus identified within the conclusion of the report.

Agenda item: RF 08/21

Woughton Community Council

Resources and Finance Committee

Terms of Reference and Delegated Powers

1. The Resources and Finance Committee is a committee of the Full Council and shall operate within the terms of reference set by Woughton Community Council.
2. Full Council to determine the appointment of members from time to time.
3. The quorum shall consist of 3 (three) members.
4. The Committee may co-opt any person who is not a member or officer of Woughton Community Council and shall have no voting rights. Each appointment will be reviewed at the annual meeting of Council in May.
5. That every member must attend any training session(s) that have been arranged that relates to the functions and or duties of the committee, up to six (6) months after appointment. *This includes undertaking the BMKALC Finance Training as a minimum.*
6. The Committee shall determine appropriate budget headings for the Community Council and all matters appertaining to budget consultations and will coordinate budget preparations generally, bringing final proposals to the Council at its January meeting.
7. The Committee shall monitor income and expenditure against the budget on a regular basis, shall approve virements as allowed under the financial regulations. It may recommend any review of the budget deemed necessary, and a half yearly review of the budget shall be undertaken each October.
8. The Committee shall ensure that the Council's financial procedures and systems are reviewed from time to time and that the Council abides by all statutory requirements in relation to its accounts and finances.
9. The Committee shall recommend to the Council all financial matters it feels are appropriate including an annual review of Financial Regulations.
10. The Committee shall review the Council's relevant procedures and priorities from time to time and shall make appropriate recommendations to the Council. *This shall include, but not be limited to, Annual Risk Register, Asset Register and policies relating to Financial Regulations and oversight.*

11. The Committee shall undertake all issues relating to premises and equipment owned leased or rented and also any annual hire charges relating thereto.
12. Working within the Financial Regulations of the Council, the Committee shall have powers to:
 - To approve and determine expenditure within budgets controlled by the committee.
 - To approve training expenditure up to a maximum of £2,000 to any one body at any one time (any amounts larger than this may be recommended to Council for approval).
13. The Committee shall be empowered to take any decision not prescribed by legislation or standing orders or the financial regulations of the Council that is not within the terms of reference of any other committee.

Adopted by the meeting of the Full Council held on Tuesday 4th May 2021.

Agenda item: RF 09/21

WOUGHTON COMMUNITY COUNCIL

Resources and Finance Committee

Tuesday 6th July 2021

PURPOSE OF REPORT:

To approve the Terms of Reference for the internal audit and to approve that all processes were followed correctly during most recent audit (May 2021).

RECOMMENDATION:

1. That the Committee notes the report.
2. That the Committee approves the Terms of Reference for the internal audit.
3. That the Committee approves Terms of Reference were followed adequately during most recent audit.

MAIN ISSUES AND CONSIDERATIONS:

Please note the Terms of Reference for the internal audit has been reviewed and no further amendments have been suggested.

Please see below to note correct policy was followed during our most recent audit:

1. Was the appointment of the Internal Auditor formally approved by the Council? **This was brought to the Council's attention, however moving forward this can be announced in a formal report if the council see it to be beneficial.**
2. Have any deficiencies and/or recommendations identified during the External Audit been addressed? **Yes, and subsequently noted in the AGAR report.**
3. Have all recommendations during the last Internal audit been duly considered and acted upon? **Yes, rubber stamp which is ready to be used however we were unable to do so due to working from home because of the Covid19 pandemic this will be continued when we return to the office – for now all invoicing is dealt with digitally and the auditor had no concerns to report.**
4. Has the Council carried out its Annual Review of Effectiveness of Internal Audit in accordance with the recommended guidance? Have all recommended actions been implemented? **We are reviewing the process now and agreeing its effectiveness.**
5. Has the Council carried out its Annual Assessment of Risks in accordance with the recommended guidance? Have all recommended actions been implemented? **Yes, Risk register is reviewed annually as per version control (reviewed in May).**
6. When did the Council last review its Financial Regulations? When is the next review due to take place? **May 2021, at full council next review due in May 2022.**
7. When did the Council last review its Sanding Orders? When is the next review due to take place? **May 2021, next review due in May 2022.**

8. Is the documentation required for capital projects over £60,000 in place and correct? **This should be revisited via the RFO as and when said documentation is necessary - no such documentation has been witnessed.**
9. Are the Council's book-keeping practices proper, maintained and accurate? **Yes, as per audit report.**
10. Are payments correctly evidenced, authorised and recorded? **Yes, as per audit report.**
11. Has the Council's budget been prepared and monitored in accordance with its financial regulations? **Yes, as per audit report.**
12. Are security controls over cash adequate and effective? **Yes, as per audit report.**
13. Is all petty cash recorded and supported by VAT invoices/receipts? **Yes, as per audit report.**
14. Is payroll properly operated and in accordance with contracts of employment approved by the Council? **Yes, as per audit report.**
15. Is the Council's asset register properly maintained and up to date? **Yes, as per AGAR report, and will be reviewed in August 2021.**
16. Are bank reconciliations carried out regularly for all accounts and reported to the Council? **Yes**
17. Are the year- end accounts prepared on the correct basis and tally with the cash book? **Yes, as per AGAR report and Audit report.**

FINANCIAL IMPLICATIONS:

None Perceived.

STAFFING IMPLICATIONS:

None Perceived.

OTHER IMPLICATIONS:

None perceived.

BACKGROUND PAPERS:

Terms of Reference internal audit.

AUTHOR

Samone Winsborough
RFO

Agenda item: RF 10/21

WOUGHTON COMMUNITY COUNCIL

Resources and Finance Committee

Tuesday 6th July 2021

PURPOSE OF REPORT:

That the committee notes the upcoming policies due for review in September.

RECOMMENDATION:

That the Committee notes the report.

MAIN ISSUES AND CONSIDERATIONS:

This is to note the policies due to be reviewed in August for submission in our September meeting for your reference, the policies due for review are as follows:

- Banking procedures – internal controls policy which outlines our processes for payments.
- Investment strategy – Policy which notes the controls we have in place for investments.
- Procurement policy – To ensure we are procuring ethically and as per our culture.
- Asset Register – A list of all assets we hold as a collective, utilised during our annual AGAR.
- Tendering procedures – Our process for tendering out contracts/services.

These have been attached for your review, please familiarise yourself with these policies ready for them to be reported on in September.

FINANCIAL IMPLICATIONS:

None Perceived.

STAFFING IMPLICATIONS:

None Perceived.

OTHER IMPLICATIONS:

None perceived.

BACKGROUND PAPERS:

- Banking procedures
- Investment strategy
- Procurement policy
- Asset Register
- Tendering procedures

AUTHOR

Samone Winsborough
RFO

Agenda item RF 10/21 a)

WOUGHTON COMMUNITY COUNCIL

SAFETY PROCEDURE FOR RECEIVING AND BANKING CASH

Woughton Community Council has a duty of care under the Health & Safety at Work Act to its employees. It therefore undertakes regular assessment of its work activities to assess the safety of daily working practices.

Members of staff who are required to deal with cash in the office or outside of the office could find themselves in difficult situations. The Community Council has a duty to protect its employees from harm and as such will instruct staff on how to deal with difficult situations.

Staff who handle cash should always consider the following:-

- Be vigilant when taking cash from members of the public at the reception desk
- Think about your personal safety, if attacked surrender the cash!
- Vary the route and time of day when you visit to the bank so your movements cannot be predicted.
- Bank cash regularly to keep cash on the premises to a minimum.
- A minimum of two (2) persons to take cash off site and to the bank.
- Check the area outside your premises before leaving the premises or bank.
- Always place bank cash bags inside an ordinary carrier bag to avoid drawing attention to the fact that you are carrying cash
- Avoid using quiet streets and alleyways. If possible, you should use a busy route. Establish vulnerable spots on route and maintain extra vigilance in those areas.
- Be vigilant when at the bank.
- The Responsible Finance officer is responsible for collecting receipts for all cash banked, an excel spreadsheet is completed prior to banking cash for audit trail purposes.

I have received training in safe banking procedures, including the topics listed above.

Signed: _____

Date: _____

Last review date:	August 2020
Next review date:	August 2021
Lead:	Operations Manager
Overseeing Committee:	Operations
Approved:	
Review cycle:	Annually

Agenda item RF 10/21 b)

Woughton Community Council

Investment Strategy 2020

Introduction

Woughton Community Council acknowledges the importance of prudently investing surplus funds held on behalf of the community. All investments will be made in line with the Council's financial procedures and observations or advice received from the Council's internal and external auditors, supported as necessary by advice from the Responsible Finance Officer.

The Council will ensure it has adequate though not excessive cash resources, overdraft or standby facilities to enable it always to have the level of funds available which are necessary for the achievement of its service objectives.

Policy

1. Woughton Community Council's investment priorities are the security of reserves and adequate liquidity of its investments.
2. Woughton Community Council will aim to maximise income from its investments commensurate with proper levels of security and liquidity.
3. Woughton Community Council will seek to ensure that investment income is consistent year on year.
4. Where external investment managers are used, they will be contractually required to comply with this strategy.
5. In balancing risk against returns, the Council is more concerned to avoid risks than to maximise return(s)
6. All investments will be in Sterling (GBP)

Specified Investments

Specified investments are those offering high security and high liquidity, made in Sterling (GBP) and maturation of no more than one year. Such short-term investments made with the UK Government or local authority or a town or parish council will automatically be Specified Investments.

For prudent management of its treasury balances, maintaining sufficient levels of security and liquidity Woughton Community Council will use;

1. Deposits with banks, building societies, local authorities or other public authorities.

2. Other recognised funds specifically targeted at the Public Sector.
3. The choice of institution and length of deposit will be at the discretion of the Responsible Finance Officer in consultation with the Chair of the Policy and Resources Committee. Recommendations must be agreed at Full Council by majority vote.

Non-Specified Investments

These investments have greater potential risk such as investments in the money market, stocks, and shares. Woughton Community Council will use the services of an appointed FSA accredited Financial Advisor on the investment of these funds. The choice of investment company will be reviewed within the first year of every new administration following an election or more frequently if the performance of the investments is not meeting the required objectives.

Long term investments, defined as greater than 36 months will be required to have the appropriate level of security as all other public investment criteria.

The Council will expect the RFO to act as the Investment Manager to invest in a balanced portfolio that will yield a consistent income/growth year on year whilst having regard to the Council's objectives and security of its investments. The RFO will be encouraged to consider social, ethical and /or environmental factors or criteria when selecting retaining or disposing of assets.

End of Year Investment Report

At the end of each financial year the RFO will present the final AGAR report at Full Council which will include all investment activity.

End of Year Investment Report

This strategy will be reviewed annually by the Policy and Resources Committee. The Committee reserves the right to make variations to the Strategy at any time, subject to approval at Full Council.

Linked policies:

Last review date:	24/09/2020
Next review date:	September 2021
Lead:	Samone Winsborough
Overseeing Committee:	Finance and Resources Committee
Approved:	TBC November 2021
Review cycle:	Annually

Agenda item: RF 10/21 c)

Woughton Community Council

Procurement Policy 2020

Woughton Community Council recognises that it has a responsibility to take into account quality, price, stable supply and ecological and societal friendliness in our procurement practises. These key factors will always be considered during the souring process. Your Line Manager is responsible for monitoring your departmental budget and therefore 1st tier authoriser for all spend requested. The RFO or Council Manager will be second authoriser in all instances, as per Financial Regulation guidelines.

Procurement policy

The ordering of any goods should be done so in affiliation with the guidance provided in our Financial Regulations. This policy will outline the key principles and process regarding the ordering of any and all goods and/or services.

All Officers and Members will:

- Order goods/services as early as possible to allow sufficient timescales for an invoice to be issued/raised and ensure timely delivery.
- All procurement must be requested by a completed spend authorisation form. All procurement must be requested with a spend authorisation alongside a full and costed project plan. Note: spend **will not** be authorised without correct documentation.
- Your Line Manager will be responsible budget holder for all spend and therefore must sign off spend authorisation before handover to RFO.
- The RFO is responsible for the Council budget overall, and will therefore assess value for money, supplier ethos etc. prior to making payment.
- All procurement must be completed by the Finance department and/or Council Manager only.
- All Budget holders are expected to feedback on monitoring reports under their responsibility to Senior Management, i.e. any variance +/- 15% from the annual projection.
- Any spend over £500 must be accompanied by the '£500 and over' Spend authorisation form, three quotes **must** be attached with the request.

Spend £1-£1000	Officer responsibility
Over £1000 but below £2000	Council Manager/RFO
Above £2000 but below £10,000	Council Manager with Chair of the Council
Over £10,000	Committee approval
Over £25,000	Sealed Tendering process (CM/RFO to manage)

Woughton Community Council will:

- Always procure ethically in line with our core values and ethos.
- Encourage (where possible) partnership and procurement with local businesses in our community.
- To always encourage the most environmentally friendly materials and working practises are implemented.

**Extract for ordering goods as per Financial Regulations
ORDERS FOR WORK, GOODS AND SERVICES**

97. An official order or letter shall be issued for all work, goods and services in excess of £100 unless a formal contract is to be prepared or an official order would be inappropriate. Copies of orders shall be retained.

98. Order books shall be controlled by the RFO.

99. All members and officers are responsible for obtaining value for money at all times. An officer issuing an official order shall ensure as far as reasonable and practicable that the best available terms are obtained in respect of each transaction, usually by obtaining three or more quotations or estimates from appropriate suppliers, subject to any *de minimis* provisions in Regulation 11.1 below.

100. A member may not issue an official order or make any contract on behalf of the council.

101. The RFO shall verify the lawful nature of any proposed purchase before the issue of any order, and in the case of new or infrequent purchases or payments, the RFO shall ensure that the statutory authority shall be reported to the meeting at which the order is approved so that the minutes can record the power being used.

For full financial overview and all procurement, you must refer to our Financial Regulations and ensure compliance.

Linked policies:

WCC Employee Handbook
Financial Regulations

Last review date:	13/08/2020
Next review date:	13/08/2021
Lead:	Samone Winsborough
Overseeing Committee:	Operations
Approved:	Operations Committee
Review cycle:	Annually

Agenda item: RF 10/21 e)

Woughton Community Council

TENDERING PROCEDURES

Arrangements for invitation of tenders

(a) Where the estimated cost of works, goods and materials and related services is as set out below and the requisite provision thereof has been made in the approved budget, the arrangements for the invitation of tenders or quotations and the subsequent acceptance thereof shall be as shown.

Estimated Value	Method of Invitation	Acceptance by
Over £1,000 up to £2,000	Three quotations where possible	Council Manager or Officer appointed by Council Manager for this purpose.
Over £2,000 up £30,000	Minimum of three invitations for quotations	Council Manager in consultation with the appropriate lead member. (Council or appropriate committee for matters above £10,000)
Above £30.000	Tenders to be invited by public advertisement. (Details to be available on Council Website)	Full Council
Above EC Procurement Threshold	Advertisement in the OJEU inviting expressions of interest. The appropriate EC Procurement Directive in relation to Open and Restricted Tenders shall be complied with in addition to these Contract Procedure	Full Council

The EC Procurement Thresholds (as of 2016) are as follows:

Supplies £164,716

Services £164,716

Works £4,104.394

For the purposes of EC Legislation works, supplies and services have the following definitions:

Works contracts are contracts for civil engineering, general building and demolition work, installation of fittings and fixtures and building completion (plastering, joinery, painting etc.).

- Supply contracts are contracts for the purchase or hire of goods and for any siting or installation of those goods. Goods are defined very widely and include electricity, gas and computer software.
- Service contracts cover contracts under which a purchaser engages a contractor to provide services.

(b) Public Advertisement

Contracts which exceed £25,000 in value or amount for the supply of goods or materials or the execution of any work for which provision has been made in the annual budget shall not be made unless at least ten days public notice has been given in one or more of the local newspapers circulating in the district and on the Council's Website. Provided that it shall not be obligatory for the Council or any Committee or Sub-Committee exercising powers delegated by the Council to invite tenders for a contract or materials where effective competition is prevented by Government control or where the Council Manager reports in writing to the Council or to the Committee or Sub-Committee exercising such powers that effective competition is prevented by the special nature of the goods or materials required. Nor shall it be necessary to give public notice of the intention to enter into such a contract.

(c) Standing Lists of Tenderers

(i) Where the Council has determined that lists shall be kept of persons to be invited to tender for contracts for the supply of goods and materials of specified categories, values or amounts or for the execution of specified categories of work, notices inviting applications for inclusion in the lists shall be published in one or more newspapers or journals circulating amongst such persons as undertake contracts of specified values or amounts or categories.

(ii) The list shall contain the names of all persons who wish to be included in it and are approved by the appropriate Committee and indicate whether a person whose name is included on it is approved for contracts for all, or only some of the specified values or amounts or categories.

(iii) The said list shall be amended as required from time to time and shall be reviewed at intervals not exceeding five years.

(iv) Where, by virtue of a decision of the Council or of the Committees or the Council Manager duly authorised on that behalf, invitation to tender for a contract is limited to persons whose names appear on the list maintained under this policy, an invitation to tender for a particular contract shall be sent to four tenderers. Should the said list

not include the required number of tenderers then a minimum of three will be invited to tender.

(d) Exceptions to procedures

The Policy shall not apply to: -

- (i) the supply of goods and materials or the execution of works of less than £1,000 in value;
 - (ii) purchase by auction;
 - (iii) purchase or repair of patented or proprietary goods or materials sold at fixed price;
 - (iv) purchase of materials normally supplied by specialist contractors;
 - (v) the execution of work, the purchase of goods or materials or the provision of services involving special, scientific or artistic knowledge;
 - (vi) the execution of work or the purchase of goods or materials which are a matter of urgency after prior reference to the appropriate Lead Member.
- (vii) the purchase of goods or materials which the Council Manager may from time to time deem it expedient to make in the open market provided that before making any such purchase the Council Manager shall consult with the appropriate Lead Member and finance is available in the appropriate budget;
- (viii) contracts with professional persons for the execution of works in which the personal skills of the person is of primary importance, and
- (ix) those contracts where a Committee may expressly determine that it is in the Council's interests that a tender be negotiated directly with a contractor or supplier of goods or services.

(e) Requirements for submission of tenders

Where in pursuance of Standing Orders, public invitation to tender is required, every notice of such invitation shall state that no tender will be received except in a plain sealed envelope which shall bear the word "Tender" followed by the subject to which it relates, but shall not bear any name or mark indicating the sender and such envelopes shall remain in the custody of the Council Manager until the time appointed for their opening.

(f) Declarations as to conduct of Tenderer.

In connection with the submission of tenders for the execution of works or supply of goods and materials, declaration shall be obtained from each tenderer in the following form: -

"We declare that we are not parties to any scheme or arrangement under which

- (i) *we communicate the amount of our tender to any other person or body before the contract is let;*
- (ii) *any other tenderer for the works, which are the subject of our tender, is reimbursed any part of his tendering costs, and*
- (iii) *our tender prices are adjusted by reference directly or indirectly to the prices of any other tenderer for the works. No provision is made in our tender price for any reimbursement of any adjustment of any contribution thereto."*

(g) Procedure for opening tenders

All sealed tenders shall be opened at the same time on the prescribed date by the Council Manager /RFO in the presence of at least one Member of Council.

(h) Limitations of acceptance of tenders

A tender other than the lowest tender if payment is to be made by the Council or the highest tender if payment is to be received by the Council shall not be accepted until the Council shall have considered a written report from the appropriate Officer.

CONTRACTS FOR SUPPLIES AND SERVICES, ETC

Every contract which exceeds £25,000 in value or amount shall be in writing. Every contract in writing shall be signed by the Council Manager on behalf of the Council.

CONTRACTS FOR SUPPLIES, SERVICES OR WORKS

Every contract for which provision has been made in the approved annual estimates and/or approved by the appropriate Committee or Sub-Committee of the Council pursuant to Standing Orders and being in value of amount less than £10,000 shall be entered into on behalf of the Council Manager *or his/her nominated representative* by issuing an official order only.

CONTENTS OF WRITTEN CONTRACTS AND PENALTIES

Every written contract shall specify: -

- (i) the work, materials, matters or things to be furnished, had or done;
- (ii) the price to be paid with a statement of discounts or other deductions, and
- (iii) the time or times within which the contract is to be performed.

CORRUPT PRACTICES

There shall be inserted in every written contract a clause empowering the Council to cancel the contract and to recover from the contractor the amount of any loss resulting from such cancellation if the contractor shall have offered or given or agreed to give to any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to do or for having done or borne to do any action in relation to the obtaining or execution of the contract or any other contract with the Council, or for showing or forbearing to show favour or disfavour to any person in relation to the contract or any other contract with the Council, or if the like acts shall have been done by any person employed by him/her or acting on his/her behalf (whether with or without the knowledge of the contractor) or if in relation to any contract with the Council the contractor or any person employed by him/her or acting on his/her behalf shall have committed any offence under the Prevention of Corruption Acts 1889 to 1916, or shall have given any fee or reward the receipt of which is an offence under section 117(2) of the Local Government Act 1972.

Adopted by a meeting of Council held on Monday 14th May 2018.

Last review date:	August 2020
Next review date:	August 2022
Lead:	Operations Manager
Overseeing Committee:	Operations
Approved:	Operations Committee
Review cycle:	2 yearly and/or as per legislation