

**Compact**

**Between Newcastle's voluntary  
and community organisations  
and Newcastle City Council**

# **Funding** **Code of** **Practice**

**Incorporating the grant funding and  
contracting codes of practice**

**March 2008**

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## **Acronyms**

NCVS	Newcastle Council for Voluntary Service
PPR	Procurement Procedure Rules (the council's corporate rules)
PQQ	Pre-qualifying questionnaire
SLA	Service Level Agreement
VCS	Voluntary and Community Sector

## **SECTION 1: GENERAL FUNDING CONDITIONS**

### **1 The Context**

- 1.1 Newcastle City Council (the council) and Newcastle Council for Voluntary Service (NCVS) have agreed to take forward a funding code of practice to cover grant funding and contracting as a part of the Compact between the council and the voluntary and community sector (VCS). The code is based on mutual trust and respect and a commitment to getting it right together for mutual advantage. The code will help develop and maintain effective funding procedures that give value for money, and result in sound decisions that support well-delivered services and programmes.
- 1.2 This code covers the council corporately, each of its directorates, NCVS and its members. The development of action plans to implement the guidance in this code is the responsibility of each directorate and the individual organisations.
- 1.3 This code is an enabling mechanism to enhance the relationship between the council and the VCS. Its authority is derived from endorsement by the council, NCVS and its members.
- 1.4 Newcastle City Council is the accountable body or lead agency for a range of government programmes and sometimes allocates funding to VCS groups from these programmes, either in the form of grant aid or via a procurement process. In such cases, the terms of this code will be applied wherever possible. There may, however, be occasions where the council is unable to apply every aspect of the code. Where this happens, the council will give the reasons why this is so.

### **2 Aims**

- 2.1 This Funding Code of Practice aims to influence behaviour and contribute to a constructive dialogue between the council and VCS organisations. It does this through:
  - setting a framework for the financial relationship;
  - setting out undertakings for both sides, based on what each can expect from the other;
  - establishing a socially responsible funding framework;
  - establishing a basis for sound grant and contract management, and,
  - ensuring this is done efficiently and effectively.
- 2.2 The council recognises that VCS organisations have an important role in helping it to achieve its objectives, and that the council can play a positive role in supporting the work of VCS organisations.

VCS organisations, as independent, not-for-profit organisations, bring distinctive value to Newcastle and fulfil a role distinct from that of statutory agencies and the private sector. This role includes:

- enabling individuals to contribute to public life and the development of communities by providing opportunities for voluntary action;
- helping people get involved in the design and delivery of services they use; and,
- acting as advocates for people who otherwise find it difficult to have their needs or views heard.

By doing this VCS organisations promote equality and diversity. They help alleviate poverty, improve quality of life and involve those who face social exclusion. In the context of the council's financial requirements, getting the funding mechanisms right is an essential part of ensuring that the relationship works well.

- 2.3 This code sets out a strategic approach to funding. It covers all the activity undertaken by the council in respect of VCS organisations.
- 2.4 The council retains the right to decide what is funded through grant funding and what through contracting.
- 2.5 The council and the VCS have dedicated resources to Compact development. These are available to support the implementation and review of the codes of practice. As part of this process, suitable methods have been devised for reviewing how the codes operate. Reports of all reviews will be available to the council and to VCS organisations.
- 2.6 The council encourages other public bodies to adopt and adapt the Compact and the associated codes of practice.
- 2.7 The council will ensure that the issues identified in this code of practice are reflected in the council's grant funding and contracting strategies, associated policies and guidance.
- 2.8 The council and NCVS will regularly review implementation of the measures outlined in the code of practice.

### **3 General undertakings**

- 3.1 There are specific undertakings related to grant funding and contracting in sections 2 and 3 respectively. In addition to these there are a number of undertakings that relate to both.

#### **The council's undertakings**

- 3.2 Newcastle City Council is committed to establishing and maintaining best practice in the way it funds VCS organisations. The council will implement an effective funding framework that:

- helps ensure value for money ;
- maximises the benefits to the community, economy and environment;
- applies procedures, including making payments in advance of expenditure where appropriate, that are consistent with the principles of good regulation and the need to provide effective protection of, and proper accountability for, public money;
- respects the independence of VCS organisations and their right to campaign within the law, irrespective of any funding relationship that may exist;
- contributes to the sustainability of the VCS;
- recognises core costs and the different ways these can be met;
- promotes fair access to grants and contracts;
- provides clarity in the objectives of funding programmes and their eligibility criteria; and,
- promotes openness, fairness and objectivity in all administrative processes.

### **Voluntary and community sector undertakings**

3.3 The VCS recognises that the receipt of public funds carries with it responsibilities to the funding body and to the public that benefit from the services provided. The VCS undertakes to pursue good practice in the use and administration of public funds so ensuring that organisations:

- meet eligibility criteria and conditions when applying;
- have clear and effective employment policies, management arrangements and procedures;
- have effective and proportionate systems for the management, control, accountability, propriety and audit of finances;
- have systems for planning and implementing work programmes;
- have systems for monitoring and evaluating activities against agreed objectives;
- have systems for quality assurance and accountability to service users, including complaints procedures; and,
- have policies for ensuring equality of opportunity in both employment practice and service provision.

These undertakings will be met in ways appropriate to the size of the VCS organisation.

In addition, VCS organisations that hold charitable status must also comply with the accounting framework for charities and follow appropriate guidance from the Charity Commission.

## **4 Joint bids**

4.1 Where they present a clear advantage, joint bids will be encouraged. This is because they may:

- help achieve value for money;
- assist the viability of the project and the individual partners;
- benefit the organisations and service users through sharing expertise and resources e.g. where the savings generated can be used to add value to the service; and,
- be an effective way for larger VCS organisations to assist smaller VCS organisations to access resources.

4.2 The joint bid should identify the partner with lead financial responsibility.

4.3 The VCS undertakes to actively consider the opportunities that exist for greater joint working between VCS organisations.

## **5 Small community organisations**

5.1 In Newcastle there are a large number of small VCS organisations that consider themselves community based. The council acknowledges that a long-term commitment to strategic funding may be the most efficient and effective means of supporting community self help.

5.2 The council will try to ensure that small community organisations can access relevant funding. This includes:

- considering how funding policies, procedures and practices affect small community organisations; and,
- operating grant funding programmes with user-friendly procedures.

## **6 Open and fair processes**

6.1 The council recognises that funding processes should be open and objective. This includes the assessment process which covers:

- eligibility;
- risk assessment;
- initial assessment;
- consultation on applications;
- detailed assessment of applications;

- decisions and recommendations; and,
- consequences of the recommendations.

- 6.2 While the council will give a specific deadline for applications, it is the responsibility of VCS organisations to submit bids and tenders on time.
- 6.3 The funding processes will follow a realistic time-table that allows time for the dissemination of information about the procedures, and for VCS organisations to receive and respond to guidance and support.
- 6.4 The funding processes will, where practical, offer an opportunity for VCS organisations to discuss potential grant funding or contracting arrangements with the council and each other.
- 6.5 The council will make details of the funding processes widely available, for example through the press, umbrella organisations, networks, directories, newsletters and the internet. They will ensure that guidance notes and application forms are readily available to applicants, including on the internet. Where necessary, they will provide information in Braille, large typeface, audio, and in languages other than English.
- 6.6 The council will give appropriate advance notice of changes to the processes before the changes come into effect, and will regularly review the arrangements for ensuring fair access.

## **7 Equal opportunities**

- 7.1 VCS organisations that support and represent disadvantaged or marginalised communities have a crucial role in helping to reach some of the most socially excluded people in Newcastle, combating discrimination and disadvantage, and providing vital services to their communities.

The council's funding policies and practices will take careful account of the needs of these VCS organisations. This includes:

- consulting relevant organisations on the design and evaluation of funding and contracting programmes;
- ensuring that such organisations have access to an appropriate share of available resources;
- where appropriate, providing funding to develop and sustain local infrastructure and capacity;
- where appropriate, providing start up funding;
- where appropriate, providing funding for research and policy development; and

- giving attention to the particular needs of communities of interest, such as the accessibility needs of disability organisations by providing audio or large print application materials.

7.2 The council is prepared to fund VCS organisations that support and represent disadvantaged or marginalised communities to deliver wider services, not just services to their own communities.

7.3 The council makes it a condition of funding mainstream infrastructure organisations that their services are made available to disadvantaged or marginalised communities. The organisations will be required to report on how they are performing in this respect.

7.4 The council aims to publish the number and amounts of grants and contracts received by organisations serving particular communities of interest, e.g. black and minority ethnic groups, subject to the data available. This will help to determine whether the arrangements are fair and effective, and whether any further action, both by the council and the VCS, is necessary.

## **8 Agreeing terms of delivery**

8.1 VCS organisations submitting applications are responsible for costing, pricing (unless specified), and planning their work. This includes taking account of cost increases over time such as inflation, salary increases or compliance costs resulting from new legislation.

8.2 VCS organisations will have terms of delivery that are appropriate and focus on the outputs and outcomes to be achieved. These terms will also set out the risks that the organisation is responsible for managing.

8.3 The VCS recognises that, in appropriate circumstances, funders may ask for public recognition of their funding from funded organisations and specify the forms that this should take.

## **9 Service level agreements (SLAs)**

9.1 An SLA is a detailed specification that can form part of the terms and conditions of a grant, or form part of a contract. It is not a separate structure, it is simply a way of making the arrangements clearer.

9.2 SLAs set out what is required in a service and the basis for delivery and payment. They are negotiated jointly between the council and the VCS organisation.

9.3 The SLA will only include requirements that are essential.

## **10 Agreeing payment terms**

10.1 Both the council and the VCS agree that payment methods can be adapted to meet the needs of the recipient. This means that:

- The VCS will seek payment terms that allow services to be funded in the most effective way;
- The VCS undertakes to have good systems in place to manage and account for finances; and,
- VCS organisations recognise that the onus is on them to agree a clear understanding about payment terms with the council.

## **11 Monitoring and evaluation**

11.1 Monitoring and evaluation<sup>1</sup> are important elements within funding. They show the success of the delivery of services against agreed objectives. There may be both internal and external monitoring, reporting and evaluation of individual projects and the organisation as a whole.

11.2 Monitoring and evaluation can foster open and constructive dialogue with all those involved or who have something to contribute. This may be done through partnership arrangements with VCS organisations and those from the public and private sectors.

11.3 The VCS recognises that public accountability requires a certain level of reporting and undertakes to be honest, transparent and timely in this.

11.4 Performance standards will be built into grants and contracts. This may enable failing grants and contracts to be identified early. Once identified, a range of actions will be considered in consultation with the interested parties.

11.5 Effective monitoring focuses on outputs and outcomes, and is proportionate. It ensures transparency about the use of funds and what they have achieved. To be effective the framework for monitoring and evaluation will:

- be clear about the roles and responsibilities of the council and the organisation or organisations;
- be relevant, collectable and proportionate; and,
- be consistent with the need for the effective protection of, and proper accountability for, public money.

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<sup>1</sup> Definitions of 'monitoring' and 'evaluation' are given in appendix 1: glossary of terms.

Monitoring procedures should provide a sufficient review of performance to inform future funding. These reviews and the feedback from them will highlight good practice and the lessons to be learned, so assisting the improvement of future arrangements.

## **12 Financial reporting**

- 12.1 The VCS organisation and the council will agree a series of trigger points for information and accounting reports. Unless there is good reason, directorates will not demand more stringent accounting and auditing requirements of charities than is required by the Charities Act, or more of companies than is required by the Companies Act<sup>2</sup>.

## **13 Financial and other difficulties**

- 13.1 Where an organisation is in financial or other difficulty that may affect a grant or contract awarded by the council, the group will inform the council promptly of the situation and any action being taken. If the council becomes aware of problems, the relevant directorate should at an early stage give formal notification to the group.

In the event of an organisation failing to deliver to the agreed terms and conditions or performance standards the council may consider the following:

- meetings with the organisation to discuss the scope and cause of problems;
- offering support and guidance to resolve these problems;
- additional and/or more intensive monitoring arrangements;
- issuing warning notices; and,
- begin the process of grant or contract termination.

- 13.2 The primary concern of the council is to protect public funds. The funding directorate should consider with the council's lawyers and auditors what action needs to be taken.

The terms and conditions of the grant or contract will give the general circumstances in which investigations may be made, and in which the grant or contract may be suspended, withdrawn and the monies recovered.

Subject to the requirement to protect public funds, the council and the organisation may agree a recovery plan. The recovery plan must be specified as part of the grant conditions or written into the contract.

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<sup>2</sup> The Charity Commission sets out best practice in 'Accounting by Charities: Statement of Recommended Practice'. This follows a similar format to the accounting requirements for limited companies. It asks for a statement of financial activities, rather than a profit and loss account. To highlight these requirements the Charity Commission has produced two leaflets, 'Accounting for the Smaller Charity' CC54, and 'Accruals Accounting for the Smaller Charity' CC55. These leaflets are available at [www.charity-commission.gov.uk](http://www.charity-commission.gov.uk).

- 13.3 In respect of charities, any proposed intervention will avoid interfering with the discretion of the trustees and the independence of the charity. The council should discuss with the trustees the difficulties that have arisen and what can be done to rectify the situation. It is, however, for the trustees to decide the action to be taken. The trustees should consider whether they need advice from the Charity Commission. This does not affect the council's discretion to carry out investigations, to suspend or withdraw the grant or contract, or to seek to recover monies.
- 13.4 Every grant and contract will include details of the council's contact officer. Their role is to monitor the provider and be the first point of contact for any form of representation. Appropriate action will be taken by the council under the terms of the grant or contract.

#### **14 Concluding a financial relationship**

- 14.1 A financial relationship between the council and a VCS organisation may conclude when:
- the grant, contract or other financial relationship finishes;
  - the VCS organisation fails to meet the terms and conditions of grant funding;
  - delivery targets are not met; and,
  - a review of funding leads to the end of the financial relationship.
- 14.2 The VCS recognises that funding may end as priorities change or if outputs or outcomes are not delivered. The VCS undertakes to plan in good time for different situations to try to reduce any potential negative impact on both beneficiaries and the organisation.

#### **15 Procedure for resolving disagreements**

- 15.1 Any constituted voluntary organisation can make a complaint under the Compact.
- 15.2 All complaints relating to the Compact and its codes of practice will follow the procedure outlined in the Compact document 'Procedure for Resolving Disagreements' (July 2005).

## **SECTION 2: GRANT FUNDING**

### **1 Aims**

- 1.1 This grant funding<sup>3</sup> code of practice between Newcastle City Council (the council) and the voluntary and community sector (VCS) in Newcastle upon Tyne sets out:
- the framework for the grant funding financial relationship; and,
  - the undertakings for both sides, based on what each can expect from each other.
- 1.2 The code covers all the funding the council gives in grants to VCS organisations.

### **2 Grant funding and added value**

- 2.1 The council's grant funding will often enable VCS organisations to add to the value of the funding by:
- providing high quality services that are complementary, or additional to, council-run services;
  - bringing more resources into Newcastle;
  - using their expertise to inform and implement council policy;
  - identifying unaddressed needs and better ways of meeting existing needs;
  - fostering, supporting and empowering service users, volunteers and active communities; and,
  - building bridges between the public sector and the VCS.
- 2.2 The council's grant funding relationship with the VCS is expressed through the following principles:
- focus on outputs and outcomes – the achievement of outputs and outcomes is a key indicator of the success of the grant funding;
  - simplicity and proportionality – processes should be as simple as possible and in proportion to the size of the grant;
  - consistency and co-ordination – where possible, organisations receiving funding from a number of sources within the council should not be overburdened by reporting arrangements;
  - timeliness – planning, applications and decisions will be made in time for the grant funding to have a real impact;
  - transparency and accountability – both by the council in setting its grant funding priorities, and by VCS organisations in the design and delivery of their services; and,

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<sup>3</sup> 'Grant funding' is defined in appendix 1: glossary of terms.

- discussion and dialogue – the council and the VCS will cooperate for mutual advantage and focus on the service objectives and needs of the service user or beneficiary.

### **3 Grant funding framework**

#### **The council's undertakings**

3.1 Newcastle City Council is committed to establishing and maintaining best practice in the way it funds VCS organisations. Together with the general undertakings in section 1, the council will implement an effective grant funding framework that:

- improves sustainability and longer term planning, e.g. by providing multi-year, rolling grant funding;
- invests in the capacity of VCS infrastructure;
- provides effective cooperation between council directorates, streamlining procedures and where possible reducing demands on VCS organisations e.g. reporting;
- ensures clarity and consistency in grant funding conditions and payment terms,
- is proportionate in monitoring and evaluation requirements;
- strengthens partnership working;
- provides effective arrangements where council funding is matched with funding from other agencies;
- advertises relevant grant funding opportunities in the NCVS newsletter, on the council web site and through other appropriate means; and,
- gives adequate notice of the ending of grant funding to minimise the impact of this on the VCS organisation and its service users.

#### **Application packs**

In addition to these measures the council will make use of application packs for individual grant programmes including:

- general information about the council and the grant funding directorate;
- background information on the policy aims and overall objectives of the programme;
- the expected lifespan of the programme;
- criteria used to assess applications ;
- a timetable;
- arrangements for notifying and publicising the grants awarded;
- arrangements for giving feedback on unsuccessful applications;

- information on performance targets and indicators, how they will be agreed and how monitoring and evaluation will be carried out;
- an application form with guidance notes for its completion; and,
- a contact point for further information and advice.

### **Voluntary and community sector organisations' undertakings**

3.2 The VCS recognises that the receipt of public funds carries responsibilities to the grant funding body and to those that benefit from the services provided. The VCS undertakes to pursue good practice in the use and administration of public funds by ensuring that they:

- are eligible when applying for grant funding;
- are open, transparent and timely in reporting activity;
- give early notice of variance to what has been agreed e.g. grant underspends;
- wherever appropriate, involve users in the management of the organisation and its services;
- wherever appropriate, involve users in the design and development of activities and services;
- where appropriate, encourage the involvement of volunteers in service provision;
- give clear public acknowledgement of government and council support; and,
- have clear lines of accountability and responsibility for joint or match funding bids.

## **4 Types of grant funding and core costs**

4.1 Three types of grant funding are described below. These are a) strategic, b) project and c) development grant funding. A single organisation may receive more than one type of funding at the same time.

4.2 VCS organisations submitting applications for grant funding are responsible for costing and planning their work. This includes cost increases over time such as salary increases or compliance costs resulting from new legislation. The council will seek to encourage applicants to produce realistic budgets to help ensure that agreed outputs and outcomes are achieved.

### **a) Strategic grant funding**

4.3 With strategic grant funding, the funder has an overview of the kind of activities and organisations that should be funded to meet particular long term aims. It enables the council to ensure that sufficient capacity exists, and assists longer term planning and stability within the VCS. It takes account of the objectives of the funded organisation and its need to operate efficiently and effectively.

Through strategic grant funding, the council is prepared to make a significant (but not 100%) contribution to the core costs of a VCS organisation. It is used to support core operational activities where:

- these activities match the objectives of the grant funding and the VCS organisation is able to deliver them at a level and to an audience that the council is not; or,
- the council recognises the value of a particular organisation e.g. through its track record or strategic position and its role in the wider VCS, and wants to support that role; or,
- the council wants to assist a particular target group.

4.4 Strategic grant funding forms part of an ongoing relationship between the council and the funded VCS organisation. It will usually be considered over a number of years, based on a number of factors including:

- the availability of grant funding;
- a statement of the expectations that the council has of the VCS organisation e.g. that they make informed responses to consultations with the relevant part of the VCS, that they have ongoing input to issues of shared concern;
- value for money;
- an agreed framework for monitoring and evaluation; and,
- a formal review process.

4.5 Strategic grant funding tends to be for three-year periods, during which the funded organisation may submit an application for renewal of the grant.

- Strategic grant funding is not an open-ended commitment to a VCS organisation. The intended duration of the grant funding arrangement will be made clear at the beginning of the process.
- The council retains the right to exit from the funding relationship. The circumstances in which the grant funding arrangement may be ended will be outlined at the beginning of the process. The council undertakes to give notice of its intention to exit a funding relationship in sufficient time to allow the organisation to manage the consequences, especially for service users and staff, as effectively as possible.

4.6 The interests of the council and VCS organisation that receive strategic grant funding are closely tied. VCS organisations receiving strategic grant funding will be informed in good time prior to, and given the reasons for, any reduction in their funding.

#### **b) Project grant funding**

4.7 In some cases it will be more appropriate for the council to provide project funding to meet the costs of a specific piece of work or activity for an agreed period of time, often longer than a single year, rather than enter into a strategic funding relationship. However, annual

bidding for project work which both the voluntary or community organisation and the council intend to last longer than one year wastes resources. In such cases it is good practice for project grants to be awarded for the duration of the project as agreed at the beginning, subject to a satisfactory annual review of progress and the availability of resources.

- 4.8 The council should make clear that it is acceptable practice for applicants to include an element of their core costs in applications for project funding. Applicants need to show how this represents value for money and contributes to the outputs of the project. This approach requires voluntary and community organisations to be much more explicit about the nature of their core costs and how they apportion them, to avoid double funding. The council may agree to meet either a proportion of the group's overall core costs (where these have not been met by funding from another source) or those core costs that have increased because of the particular piece of funded work.

### **c) Development grant funding**

- 4.9 There are periods when VCS organisations require grant funding to grow and develop. There may, for example, be new opportunities to do more work in their specialist area. However, the VCS organisation may not be able to take up these opportunities until it has increased its capacity. Development grant funding can be an investment in the capacity of the VCS organisation. It can be used to develop VCS organisations from those sub-sectors that tend to have limited access to council funding, e.g. the black and minority ethnic sub-sector. It will:

- be for an agreed period of time, appropriate for the work funded. Some organisations may need grants for a relatively short period while others may require longer. In every case this will be subject to review;
- state the expected outputs and outcomes and the way progress will be monitored and evaluated; and,
- provide a realistic exit strategy for the council and the funded organisation.

### **Core costs**

- 4.10 Many VCS organisations have difficulty in securing grant funding towards their core management and administration costs<sup>4</sup>. For them to operate efficiently and effectively, these costs need to be met. The council can use grant funding to help with core costs. Sometimes this assistance will be in kind e.g. by offering a peppercorn rent. The aims of this are to:

- meet the strategic aims of a particular grant funding programme;
- achieve value for money; and,
- provide a more stable funding environment for VCS organisations.

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<sup>4</sup> For examples of core costs see appendix 3: typical core costs.

Except in exceptional circumstances, the council will not grant fund 100% of an organisation's core costs. A contribution to core costs would normally be expected in bids for grant funding. The VCS organisation will specify this in their application.

The method chosen by VCS organisations to allocate relevant core costs should be equitably allocated between funders. Where there are several funders of different services delivered by a VCS organisation, core costs should be recovered only once. The VCS organisation, the council, and the other funders should be able to calculate these amounts simply and without difficulty.

## **5 Accessing grant funding**

5.1 Access to grant funding should be fair and transparent. To promote this the council will:

- publish an annual guide to the council's grant funding programmes, including clear procedures on how the programmes are managed;
- consider the views of the VCS when developing new grant funding programmes and the evaluation of existing programmes. This allows the aims and objectives of the grant funding programmes to be based upon local knowledge of the subject area and hence more relevant to potential applicants and service users;
- give appropriate advance notice of new grant funding programmes before the application process starts;
- make details of the grant funding programme widely available, e.g. through the press, umbrella and intermediary organisations, VCS networks, directories, newsletters, and the internet;
- recognise that clarity about the grant funding programme assists potential applicants in deciding whether to apply. This reduces the number of inappropriate applications and requests for explanation or clarification;
- ensure that application forms and guidance notes are readily available to applicants, including on the internet;
- where appropriate, provide information in Braille, large typeface, audio, and in languages other than English;
- encourage applications from those sub-sectors that tend to have limited access to council funds, including black and minority ethnic VCS organisations;
- recognise the potential of faith community organisations to contribute to social inclusion as distinct from promoting religion. Failure to understand this could lead to faith organisations being incorrectly assessed as ineligible for grant funding;
- provide a timetable for applications that is realistic e.g. not less than three months, and that allows membership organisations time to disseminate information about the grant funding programme and to offer guidance and support;
- where practical, offer opportunities to potential applicants to discuss the grant funding programme with relevant officers;

- consider training needs. Giving detailed briefings to advisors in umbrella or support organisations means they can help potential applicants. With some grant funding programmes, direct training or briefing sessions with potential applicants will be more practical or appropriate. This may include the nature and scope of the programme, completion of application forms, financial management of the grant, how to set and agree objectives, and monitoring and evaluation procedures;
- consider how the grant funding programme could encourage applications from new organisations or could fund innovation, particularly from those VCS sub-sectors that have limited access to council grant funding e.g. black and minority ethnic VCS organisations. This will help overcome any perception of a closed system favouring a few, select organisations; and,
- regularly review the adequacy of arrangements for ensuring fair access to grant funding.

## **6 The application process**

- 6.1 The council uses a corporate grant funding application form. This offers a consistent approach and assists the efficient management of grant funding programmes.
- 6.2 The VCS undertakes to assist the council by providing feedback on the use of application forms. The VCS recognises that the drive for greater consistency does not mean that application forms will be identical.

### **Electronic completion**

- 6.3 The council will provide grant funding application forms electronically. When circumstances permit, the council will provide facilities for the electronic completion of grant applications via the internet.

## **7 The assessment process**

- 7.1 The council recognises that the assessment process should be open and objective so that VCS organisations may understand how applications are assessed. The stages of assessment are:
- assessing eligibility;
  - initial assessment (including risks);
  - detailed assessment of applications (including risks);
  - decision making process; and,
  - informing applicants on outcome of application.

7.2 Grant funding directorates will give a deadline for applications. VCS organisations applying for grant funding will submit their application on time. Those failing to do this will have their application rejected on its initial assessment, unless they have agreed an extension in advance and in writing with the appropriate council officer.

## **8 Notifying decisions**

8.1 The council should give a provisional decision on grant funding at least two months before the grant is due to start or be renewed. Final decisions are subject to the council's annual budget.

The council should give final decisions to applicants at least one month before the grant is due to start or be renewed. Applicants should be informed of delays in the process that mean this timescale will not be adhered to.

8.2 Where the funding granted is less than the amount applied for the implications for the VCS organisation will be considered and, where possible, discussed with them in advance of any final recommendation.

8.3 Notification documentation should include:

- the amount and period of grant funding;
- the purpose for which the grant funding is made, listing any specific exclusions;
- standard terms and conditions;
- any restrictions or conditions outside the standard terms and conditions;
- jointly agreed performance indicators and targets;
- jointly agreed monitoring and evaluation arrangements;
- arrangements for payment; and,
- two copies of the offer of grant letter; one to be signed and returned by the funded organisation, the other to be retained by the funded organisation for its records.

8.4 The applicant will be given a contact point to raise any query as to whether their application was assessed in accordance with the grant programme's published process.

### **Complaints about funding decisions**

8.5 The council and NCVS recognise that there is no right of appeal against the council's decision on whether or not to award a grant, or on the amount of grant awarded. However, if at any stage an applicant believes that the proper processes have not been followed by the council in dealing with the application, or that the council has not dealt with the applicant in a fair and impartial way, they should contact the council in writing as soon as their concern arises and in any event no later than 14 days after receiving the grant funding decision. Any such complaint must explain precisely which facts the applicant relies on in alleging unfairness or breach of process. The applicant will send the written complaint to the manager of the contact officer. (The contact officer will provide the

manager's name and address on request.) Once the manager has received the written complaint, it will be dealt with under Stage 1 of the Council's Corporate Complaints Procedure. (The manager will provide details of this procedure on request).

- 8.6 As stated at Section 1, 15.2, complaints relating to the provisions of the Compact and its codes are covered by the procedure outlined in the Compact document 'Procedure for Resolving Disagreements' (July 2005).

## **9 Publicising grants awarded**

- 9.1 The council's grant funding programmes will include clear arrangements for publicising the grants awarded e.g. inclusion with notification letters, press notices, or postings on the council's web site.
- 9.2 Publicity arrangements will be specified in the guidance notes for each programme. The VCS undertakes to meet them unless there is a clear reason why this is detrimental to vulnerable client groups.

## **10 Providing feedback on grant applications**

- 10.1 The council recognises the importance of providing feedback to grant applicants.
- 10.2 Providing individual feedback to every applicant can take up a lot of resources and may not be possible. The VCS therefore accepts that feedback on applications may be included in notification letters using a standard format.
- 10.3 Directorates will also consider setting out the main reasons for success or failure and making them available to each applicant.
- 10.4 Unsuccessful applicants will be advised by their contact officer how and when they can receive feedback on the reasons for refusal. This will be within a time limited period.

## **11 Grant funding conditions**

- 11.1 All grant funding is subject to the council's corporate terms and conditions. The council undertakes to make these available with the grant funding application materials or on request.
- 11.2 Where additional conditions are required, these should be no more than are necessary to allow the council to satisfy itself that public money:
- is spent for the purposes for which it was intended;
  - will achieve a cost effective outcome; and,
  - is not put at undue risk.

- 11.3 The council will take care to avoid conditions that prevent organisations properly managing their own business.
- 11.4 The council will set out clear requirements for the sale, transfer, or other disposal of assets or equipment bought with its grants before a grant is made for such items.
- 11.5 An appropriate condition will be applied to any copyright or intellectual property issues that may arise as a result of the grant or contract.
- 11.6 Circumstances may arise where it is in the interests of both the council and the funded organisation to revise the funding agreement. In such cases, the council and the funded organisation will agree and record revisions in line with the council's corporate terms and conditions.

## **12 Payment procedures**

- 12.1 All payments will be processed in line with the council's financial procedures. No payments will be made until the letter of acceptance and grant conditions has been returned signed by the named contact and either the chair or other designated officer of the VCS organisation. A date for the return of the acceptance letter will be specified. This will help ensure that payments begin on time.
- 12.2 The council's standard financial procedures do not normally allow for regular payments in advance. However, the council recognises that many VCS organisations do not have the resources to undertake work and receive payments afterwards. Payments in advance of expenditure can be made where the VCS organisation shows the need for them and an assessment of the risk has been taken into account. Examples of this type of need should be included in the financial information submitted by the applicant. The council recognises that all VCS organisations are expected to hold reserves<sup>5</sup>.
- 12.3 Payments will be made in instalments relating to the size of the proposed grant and the nature of the VCS organisation. The council's current policy is as follows:
  - Grants up to £4,999 will be paid in one instalment.
  - Grants between £5,000 and £9,999 will be paid in two instalments.
  - Grants of £10,000 and over will be paid in four instalments.
- 12.4 To obtain payment the funded organisation will:
  - make a statement that any previous grant has been spent or allocated for the purposes for which it was given;

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<sup>5</sup> For charities, the Charity Commission provides a guidance leaflet, CC19. This is available at [www.charity-commission.gov.uk](http://www.charity-commission.gov.uk). In practice, many charities hold reserves well below these levels.

- give brief summaries of income and expenditure to date; and,
- produce a forecast of expenditure for the next grant period.

The VCS organisation will be able to validate this with proper records.

- 12.5 The grant funding directorate will decide which controls, if any, are necessary to monitor the continuing viability of a funded organisation. If doubts about a VCS organisation's financial viability arise no further grant payments will be made. In such circumstances the council, in consultation with its lawyers and auditors, will review the situation.

### **13 Using underspends**

- 13.1 Under the terms and conditions of the grant, the funded organisation will notify the council of any anticipated underspends as soon as possible. Should underspends occur within individual grants and where the council will allow the grant funding to remain with the funded organisation, a written agreement will be reached on how the grant funding can be used.

#### **End of year flexibility**

- 13.2 VCS organisations that are grant funded for more than one year and who are properly meeting the terms and conditions of their grant funding should be allowed to carry over a reasonable amount from one financial year to the next, proportionate to the size of the grant. Funded organisations must seek the prior written agreement of their grant funding directorate before they do this.

## **SECTION 3: CONTRACTING**

### **1 Aim and purpose**

- 1.1 The aim of this Contracting Code of Practice is to ensure that Newcastle City Council (the council) and the voluntary and community sector (VCS) understand how the council's Procurement Procedure Rules (PPR) can be effectively used in the processes around contracting services by the council from the VCS.
- 1.2 The purpose of this code is to set out the mutual responsibilities of the council and the VCS. To do this it sets out the undertakings given by the council and by the VCS in respect of contracts.
- 1.3 This code should be read with reference to the council's Procurement Procedure Rules (PPR) set within the council's Financial Regulation No. 8.

### **2 Contracts**

- 2.1 A contract<sup>6</sup> is a legally binding agreement setting out the arrangements whereby one party provides a service (or goods) to the other in return for payment.
- 2.2 The council will make it clear where contracts are being offered and whether these contracts are intended to replace (in whole or in part) existing grant funding arrangements. The VCS will be able to access this information.
- 2.3 Where contracts are offered the council will clearly identify the essential features. In this way, VCS organisations will be able to understand the contract terms and conditions and recognise how they differ from any previous arrangements.

### **3 Contract application and tender process**

- 3.1 Contracting involves the process of inviting, applying for and assessing contract applications and tender bids and giving notice of decisions. The VCS recognises that contracting is a competitive process and that more than one group may be expected to tender. The VCS recognises that the final decision is the council's. VCS organisations undertake to have clear lines of accountability and will properly allocate costs.
- 3.2 VCS organisations should be allowed enough time to make well-informed and considered tenders. The length of time allowed will depend on the size of the contract.
- 3.3 The VCS needs to be aware of contracting opportunities and should understand the timescales and decision making process. When applying for contracts, VCS organisations undertake to make sure that:

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<sup>6</sup> Definitions of 'contract' and 'contracting' are given in appendix 1: glossary of terms.

- they meet the qualification criteria for the contract;
- their work would meet the aims of the contract; and,
- they understand the requirements of the contract.

### **Contract pricing**

- 3.4 Any tender starts with the proper pricing of contracts. The price states how much the organisation wants for providing the goods or for delivering the service. This is something that only the organisation can decide.
- 3.5 Tenders will cover costs over the lifetime of the contract. This will be within reasonable tolerances to be agreed between the council and the VCS. Tenders will take into account efficiency savings and state these explicitly.

### **Access to contracting opportunities**

- 3.6 To promote fair access to contracting opportunities, the council will produce a guide to the council's contracting process, including how procedures are managed, the policies that underpin them and information on how challenges to decisions may be made.
- 3.7 The council will make details of the contracting process widely available through umbrella organisations, networks, directories, newsletters and the internet. They will ensure that guidance notes and application forms are readily available to applicants. Where appropriate, they will provide information in Braille, large typeface, audio, and in languages other than English.
- 3.8 The VCS recognises the need to comply with the qualification criteria to tender for contracts, and in this context will:
- have clear and effective management policies and procedures;
  - have the required systems for monitoring, quality control and audit;
  - have a good understanding of, and ability to calculate, the full cost of delivering a service; and,
  - recognise that contracting is a more rigorous undertaking than grant funding, requiring more robust systems of management, quality control, and reporting.

### **Equality and consistency in tendering**

- 3.9 The council has a legal obligation to provide a 'level playing field' for all potential providers. This includes making no special provisions for VCS organisations. At the same time, the council will take all reasonable steps to ensure that tendering and contract conditions do not disadvantage VCS organisations compared to others.

- 3.10 The council will ensure that it maximises the opportunities for VCS organisations to tender for contracts by:
- taking a consistent approach to contracting across directorates that meets the requirements of the Compact and its codes of practice;
  - actively promoting contracting opportunities in the VCS by making use of existing networks within the VCS etc; and,
  - working to develop a simplified pre-qualifying questionnaire (PQQ) or 'passport' for smaller organisations.
- 3.11 Contracting directorates will endeavour to prepare service specifications that do not deny opportunities for VCS organisations to engage in the contracting process.
- 3.12 VCS organisations undertake to only bid for contracts where they know they are fit for purpose.

### **Transparency**

- 3.13 The council will ensure that the contracting process is open and transparent, see PPR section 5.2. This will allow the council and the VCS to learn from previous work.
- 3.14 The VCS recognises that public accountability requires reporting to ensure clarity about the use of funds and what they have achieved. The VCS undertakes to be honest and transparent in this regard.

### **Contract value bands**

- 3.15 The council has different procedures for different contract values. These are currently:
- Delegated officer can place a direct order - less than £5,000.
  - Minimum of 3 minor quotations, can be oral or written - £5,000 up to £20,000.
  - Minimum of 3 written quotations - £20,000 to £139,893<sup>7</sup>.
  - Minimum of 5 full tenders i.e. EU rules - over £144,371.

Details of these different approaches are given in the PPR. The council reserves the right to change the PPR and hence these procedures. It undertakes to notify NCVS of all such changes.

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<sup>7</sup> Amount applies from 1 January 2008 to 31 December 2009.

VCS organisations will make sure they are familiar with the rules and procedures applicable to particular tendering opportunities before they apply. The council will seek to provide clear, accurate and full information on request.

### **Approved lists**

- 3.16 In a limited number of council directorates there are approved lists. Where these exist, the council will ensure that the procedure for organisations to apply for inclusion is clearly described and is accessible to the VCS. This may include public advertisements.

### **Negotiating contracts**

- 3.17 Contracts will not normally be negotiated. However, if considered to be in its best interests, the council will negotiate contracts in accord with PPR section 3E<sup>8</sup>. The VCS recognises this procedure and its provisions.

### **Contract duration**

- 3.18 The duration of a contractual arrangement should be made clear at the beginning of the negotiating process.
- 3.19 A contractual arrangement is not an open-ended commitment to a VCS organisation. The contract is time limited and the council reserves the right to end the relationship. In every case, the contract will state clearly the circumstances under which the arrangement may be ended.

### **Extending contracts**

- 3.20 Where it is possible to extend a contract beyond its initial period, this will be stated in the original invitation to tender. Any conditions attached to negotiating the extension will also be made clear at this stage.

## **4 Contract risk assessment**

- 4.1 The terms of delivery will give clear expectations of what is to be delivered, the ways it can be delivered and by when. This will allow VCS organisations to plan and deliver effectively.
- 4.2 The council has a duty to set standards for risk assessment. Some of these may be legal or government requirements. VCS organisations will therefore agree terms of delivery at the outset, and be aware of the risks associated with failure to deliver the agreed outputs and outcomes.
- 4.3 In the past, some VCS organisations have been unable to satisfy certain risk assessment criteria, e.g. the size of liability insurance and of financial reserves. The council undertakes to ensure that such criteria are proportional to the size and nature of the contract.

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<sup>8</sup> See appendix 2: contract negotiation route.

## **5 Financial considerations**

### **VAT**

- 5.1 The council and the VCS recognise that contracts buy a complete service and, as a result, attract VAT. Both will act accordingly.
- 5.2 VAT is chargeable on the supply of services. This occurs under a contracting arrangement. VCS organisations should be aware of this, especially when moving between grant funding and contracted arrangements.

### **Competition**

- 5.3 The council has a duty to manage public funds effectively and must seek value for money. The lowest tender is not the automatic choice as factors such as service quality and overall value are part of the decision-making process.
- 5.4 The VCS recognises the competitive nature of tendering and the need to price a contract specification carefully. VCS organisations undertake to build their capacity to do this.
- 5.5 The council recognises that the VCS is competing with the private sector for contracts. Issues arising from this are addressed in a number of ways, for instance by offering block contracts at a price that applies for all, and through careful contract specification.

### **Timing of payments**

- 5.6 The council recognises that it is possible for payments to be made in advance<sup>9</sup>.

## **6 Complaints about contracts**

- 6.1 Complaints about the contract fall under the terms and conditions of the contract. They should be made to the relevant contracting officer.
- 6.2 Complaints about the award of contracts fall under the council's corporate complaints procedure and should be made to the corporate complaints staff.
- 6.3 As stated at Section 1, 15.2, complaints relating to the provisions of the Compact and its codes are covered by the procedure outlined in the Compact document 'Procedure for resolving disagreements' (July 2005).

## **7 VCS involvement in the contracting process**

- 7.1 Contracting is a process where the expertise, skills, knowledge and professionalism of all parties should be utilised. Where their expertise is important, organisations from all sectors may be involved in the design of a service. Where the expertise of the VCS is key

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<sup>9</sup> The rules governing this are set out in PPR section 7E.

to achieving the best design for the service, the council will seek to use this expertise in helping to design a particular process.

- 7.2 The council and the VCS agree that, other than the two exceptions set out below, service providers cannot stand on both sides of the same process. This means that they cannot be involved in both the design of the contracting process and in the tenders that result. The only exceptions to this are where:
- a) There is only one available provider of the service in question and as a result the council intends not to have a competitive procurement but instead negotiate a contract solely with that provider. In these circumstances the council may take into account any advice given by that provider during such negotiations as to the appropriate terms or specification for the contract; or where,
  - b) The most appropriate source of advice reasonably available to the council in relation to designing the contracting process are those organisations or other persons who will be invited to bid for the contract. In this case, the appropriate potential bidders will be consulted about the matters upon which the council requires advice. After taking into account all such representations received, the council will design the contract in a way they consider to be in the best interests of the council with respect to the end users of the service.

This agreement stands in addition to the requirement for all conflicts of interest to be declared in good time and in the proper way.

## **8 Building capacity**

- 8.1 For many VCS organisations, contracting is a new arrangement and one they may find threatening. Both the council and the VCS recognise the need to build capacity and where possible give reassurance.
- 8.2 The VCS will seek to develop and extend existing services that support VCS organisations engaging in the contracting process. This could include:
- sharing resources and expertise in areas such as legal advice, accounting, personnel procedures etc;
  - supporting smaller organisations that wish to pursue contracting opportunities;
  - promoting the better understanding of models to engage in contracting on a joint basis e.g. through consortiums;
  - working with the council, e.g. through the Sustainable Procurement Officer, to ensure that the specific needs of the VCS are addressed in the council's contracting arrangements.

- 8.3 When tendering for contracts, smaller VCS organisations should highlight their distinctive contribution.
- 8.4 The council and NCVS recognise the need for more training on contracting processes, contract culture and tendering. The council and NCVS will explore how this may be provided.

## **APPENDICES**

**APPENDIX 1: GLOSSARY OF TERMS**

**APPENDIX 2: CONTRACT NEGOTIATION ROUTE**

**APPENDIX 3: TYPICAL CORE COSTS**

**APPENDIX 4: THE GERSHON REPORT**

**APPENDIX 5: USEFUL CONTACTS**

## **APPENDIX 1: GLOSSARY OF TERMS**

### **Contracting**

Contracting involves situations where the council invites bids from external organisations to supply goods or services that the council either has to provide by law, or which it has made a decision to provide, within its legal powers. The council writes a specification for each contract and invites bids or tenders, within the procedures laid down in the council's financial regulations. The specification says what is required and how it should be provided. Organisations bidding for the contract say how they will provide what has been specified. The financial regulations set out rules about how this process of tendering is to be carried out. This includes making sure there are fair opportunities for organisations to bid for the contract.

### **Grant funding**

Grant funding is where the council makes funding available to VCS organisations to provide services it does not undertake itself. These are defined under broad headings that fit within the council's overall aims and priorities.

Organisations applying for funding describe the service they are going to provide and the needs they will meet. The council assesses this against the criteria for the funding programme.

Organisations receiving grant funding then agree specific terms and conditions that set out how they will manage and use the funding. The council does this mainly through annual grant funding rounds, and sometimes through a rolling programme such as ward committee grants.

### **Monitoring and evaluation**

Monitoring is the process of gathering and recording information on a regular basis. It keeps account of progress and work undertaken against a set of agreed objectives, targets and indicators.

Evaluation is the process of looking at relevant information and making judgements about the quality of the work and its success against expectations and stated aims. It focuses on outputs or results i.e. what has been done.

### **Service Level Agreements (SLA)**

An SLA is a formally negotiated agreement that records a common understanding between two parties (in this case the council and a VCS organisation) about services, priorities, responsibilities, guarantees etc - in other words, the level of service. SLAs can be offered with grant funding or with contracts. For provisions see section 1, 9.1-9.3.

## APPENDIX 2: CONTRACT NEGOTIATION ROUTE: PROCUREMENT PROCEDURE RULES, SECTION 3E

This appendix sets out the procedure referred to in section 3, paragraph 3.16.

### 3E Negotiation Procurement Route

3.21 A procurement may be carried out by way of negotiating a *Contract* with a particular firm only in the exceptional circumstances set out below.

3.22 A *Contract* may be negotiated without seeking either *Minor Quotations*, *Written Quotations* or *Tenders* only where:-

3.22.1 the requisitioning *Delegated Officer* authorises in writing that such negotiation is in the best interest of the Council. For this purpose, the standard *Authorisation to Negotiate Form* must be used and is attached at Appendix 4. In cases of urgency, and only where it is impractical to give prior authorisation, *the Delegated Officer* may authorise the negotiation retrospectively giving full details of the circumstances involved; **AND**

3.22.2 such negotiation is permitted under the *EU Public Procurement Rules* (which will apply if the estimated *Contract* value is above the *EU Threshold*).

3.23 For all *Contracts* with a total estimated value of £100,000 or more, the written approval of the *Chief Finance Officer* must be obtained before negotiations may commence.

3.24 If a *Contract* has been negotiated using this route, the *Delegated Officer* shall only award the *Contract* if satisfied that the negotiated price and such other terms and conditions which may have been negotiated represent best value for money and will be in the best interests of the Council. A full written record must be kept of the negotiation process including details of any meetings or other discussions with the firm and their outcome.

3.25 The *Chief Finance Officer* and the *Legal Services Procurement Team* must:

(a) be sent a copy of the *Authorisation to Negotiate Form* by the *Delegated Officer* immediately after it has been signed; and

(b) be advised in writing by the *Delegated Officer* of the details of any resultant *Contract* once it is awarded

Given these requirements, there is no need to record the authorisation to negotiate on the Delegated Decision system although any subsequent decision to award a *Contract* as a result of the negotiation will still need to be so recorded in the usual way.

3.26 The *Chief Finance Officer* will report to Procurement Committee every six months detailing each *Contract* with a total estimated value of £5,000 or more that has been let without formal competition. Every such report shall highlight any case where a retrospective authorisation has been given under PPR 3.22.1.

3.27 The requirement to carry out a risk assessment in PPR 2.6 to 2.13 (Chapter 2B – Risk Assessment) still applies under this procurement route.

### APPENDIX 3: TYPICAL CORE COSTS<sup>10</sup>

Type of cost	Particular importance in one type of organisation?	Particular importance in stage of development?
Chief officer/Co-ordinator	Needed in all organisations employing staff	Needed at all stages
Finance management	Needed in all	Needed at all stages
Telephone, fax, postage	Needed in all	Needed at all stages
Premises – rent, mortgage	Need in nearly all	Sometimes minimised in early stages of an organisation's life – but not likely to be a long-term response
Associated premises cost – heat, light	All	Sometimes minimised in early stages of an organisation's life – but not likely to be a long-term response
Insurance	Needed in all	
Associated staff costs, including insurance, pension, contractual rights cover	All organisations employing staff	As soon as staff are employed
Equipment – IT, printing etc	Needed in all but likely to increase as new activities are taken on	Particular investment in period of growth
Premises management	Present in all organisations	Throughout
Research and Development	Present in all	Particularly significant at early stages of an organisation's life or at a period of planned or expected growth
Fund-raising	Present in all	Maybe a greater percentage of the work done in the development stages of a charity's life
Membership – support of the membership structure	Particular relevance for membership organisations	Needed at all stages
Governance – support of the trustee structure	All organisations	Needed at all stages
Project Management	All	Needed at all stages
Monitoring and evaluation	All	Needed at all stages
Quality assurance	All	Needed at all stages

<sup>10</sup> Based on ACENVO (1999) 'Who pays for core costs?'

Travel and subsistence	All	Needed at all stages
Staff training and supervision <sup>11</sup>	All employing staff	Needed at all stages
Personnel functions	All employing staff	Needed at all stages
Accountancy and audit	All	Needed at all stages
Secretarial support	All	Needed at all stages
Corporate planning	All	Needed at all stages

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<sup>11</sup> Including volunteers.

## **APPENDIX 4: THE GERSHON REPORT**

The Gershon report<sup>12</sup> made several points that impact on this area. These are considered below.

### **Full cost recovery**

Both the council and the VCS understand that the price of the contract will normally pay for the full cost of a service. Exceptions will be set out and agreed in writing before the contract is signed

### **Longer term contracts**

When it is in the best interests of the council, the council will endeavour to develop contracts of more than one or two years. Government is seeking to make three-year contracts the norm, though this should not be regarded as a maximum. Extensions of two-years are possible and should not be regarded as unusual.

Where VCS organisations are contracting to deliver public services, the VCS will seek to agree contracts of suitable length to maximise efficiency.

### **Appropriate assignment of risk**

In each case and as advised by the North East procurement Centre of Excellence (NECE) risks should be appropriately assigned.

Both the council and NCVS recognise that the contractor bears the risk. For an organisation delivering the whole service itself, this is straightforward. Where sub-contractors are involved, or where there is a partnership of providers with an accountable body, support and accountability may be spread. Nevertheless, in every case the terms under which the contractor operates will be specified in the contract.

Both the council and NCVS recognise that the PPR take precedence in all cases.

### **Elimination of unnecessary bureaucracy**

The council is committed to simplicity and proportionality – processes should be as simple as possible and in proportion to the amount of work involved.

VCS organisations will seek to align internal processes to contractual arrangements with the council e.g. how monitoring information is collected.

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<sup>12</sup> Gershon, P. (2004) *Releasing resources to the front line*, HM Treasury.

## **APPENDIX 5: USEFUL CONTACTS**

### **For grant funding issues**

Michael Robinson    Manager, Community and Voluntary Sector Support Unit  
Telephone: 0191 211 5834  
mike.robinson@newcastle.gov.uk

### **For contracting issues**

Gerry Paxton        Assistant General Manager Procurement  
Telephone: 0191 211 6937  
gerry.paxton@newcastle.gov.uk

Christine Herriot    Head of Efficiency  
Telephone: 0191 211 7665  
christine.herriot@newcastle.gov.uk

### **For voluntary and community sector issues**

George Kelly        VCS lead officer, Newcastle City Council  
Telephone: 0191 211 5890  
george.kelly@newcastle.gov.uk

Carole Howells      Director, Newcastle Council for Voluntary Services  
Telephone: 0191 232 7445  
carole.howells@cvsnewcastle.org.uk