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Wednesday, 18 September 2019

**Chairman: Councillor D Lloyd
Vice-Chairman: Councillor K Girling**

Members of the Committee:

**Councillor B Clarke-Smith
Councillor R Jackson
Councillor P Peacock
Councillor T Wendels
Councillor R White**

Substitute Members:

**Councillor R Blaney
Councillor N Mison
Councillor N Mitchell**

MEETING: Policy & Finance Committee

DATE: Thursday, 26 September 2019 at 6.00 pm

**VENUE: Civic Suite, Castle House, Great North Road,
Newark, Notts NG24 1BY**

**You are hereby requested to attend the above Meeting to be held at the time/place
and on the date mentioned above for the purpose of transacting the
business on the Agenda as overleaf.**

If you have any queries please contact Nigel Hill on nigel.hill@newark-sherwooddc.gov.uk.

AGENDA

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To consider resolving that, under section 100A (4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part 1 of Schedule 12A of the Act.

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Agenda Item 4

NEWARK AND SHERWOOD DISTRICT COUNCIL

Minutes of the Meeting of **Policy & Finance Committee** held in the Civic Suite, Castle House, Great North Road, Newark, Notts NG24 1BY on Thursday, 27 June 2019 at 6.00 pm.

PRESENT: Councillor D Lloyd (Chairman)
Councillor K Girling (Vice-Chairman)

Councillor B Clarke-Smith, Councillor R Jackson, Councillor P Peacock,
Councillor T Wendels and Councillor R White

IN ATTENDANCE: Councillor L Goff

1 DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS AND AS TO THE PARTY WHIP

Councillor T Wendels, Rob Main and Sanjiv Kohli declared conflicts of interest in respect of Agenda Item No. 13 – Arkwood Developments – Bowbridge Road Development, Newark – as Directors of Arkwood Developments Limited.

Councillor D. Lloyd, Sanjiv Kohli and John Robinson declared conflicts of interest in respect of Agenda Item No. 9 – Blidworth Leisure Centre – Steam & Sauna Proposal – Active4Today – as Directors of Active4Today Limited.

2 DECLARATIONS OF INTENTION TO RECORD THE MEETING

The Chairman advised that the proceedings were being audio recorded by the Council.

3 MINUTES OF THE PREVIOUS MEETING HELD ON 4 APRIL 2019

The minutes from the meeting held on 4 April 2019 were agreed as a correct record and signed by the Chairman.

4 FORWARD PLAN OF POLICY & FINANCE ITEMS

The Committee noted the Forward Plan items to be considered by the Committee over the next 12 months.

The Chief Executive advised that a report concerning the tenant consultation in respect of the Housing Management Review would be presented to the 26 September 2019 meeting.

5 RECONSTITUTION OF WORKING PARTIES / TASK & FINISH GROUPS

The Committee considered a report regarding the reconvening of various working parties and task and finish groups established by the Committee, which were detailed in the appendix to the report. The Committee were also invited to appoint a representative for the Local Development Framework Task Group.

AGREED (unanimously) that:

- (a) the Working Parties/Task & Finish Groups, as set out in the appendix to the report, be reconvened with the memberships as detailed;
- (b) Councillors M. Brown, Mrs R. Holloway and R. White be appointed as the additional Conservative Group nominations on the Member Development & Training Task Group; and
- (c) Councillor P. Peacock be appointed as the Committee's representative on the Local Development Framework Task Group.

Reason for Decision

To reconvene the appropriate Working Parties / Task & Finish Groups.

6 HOUSING REVENUE ACCOUNT - FIRE DAMAGED PROPERTIES - FORSTER AVENUE, NEWARK

The Business Manager – Housing Strategy & Development presented a report which sought approval to redevelop the Housing Revenue Account (HRA) site at Numbers 38 and 40 Forster Avenue, Newark further to significant fire damage to both properties.

Due to the scale of remedial works required to return the properties to a habitable condition an appraisal by Newark & Sherwood Homes of the available options was undertaken. Option 1 was to refurbish the properties on a like for like basis; option 2 was to demolish the two existing properties and replace on a like for basis; and option 3 was to demolish the two existing properties and replace with three two bed houses. This options appraisal, including costs and timescale was detailed in the report.

Based on the options appraisal undertaken the report proposed that the Committee approve option 3. It was the intention to deliver the proposal through the 5 year HRA development programme and be delivered by Robert Woodhead. The additional HRA capital finance requirement of £171,736 would be allocated to the programme set against the potential for this sum to be reduced subject to being awarded Homes England grant funding.

The Committee sought assurance around the competitive nature of the build costs in the current market and supported option 3 as detailed, as this proposal offered the greatest value for money.

AGREED (unanimously) that:

- (a) option 3, to demolish the fire damaged units at 38 and 40 Forster Avenue, Newark and replace these with three, two bed Council homes, be approved; and
- (b) the 2019/20 Housing Development Programme Phase 3 capital budget be increased by £382,736, for the three new properties, with £211,000 to be financed by the insurers and the remaining budget to come from available Housing Revenue Account capital resources.

Reason for Decision

To replace two fire damaged Council homes deemed to be structurally unsound and meet the Council's objective within the Community Plan to 'accelerate the supply of new homes including associated facilities'.

7 HOUSING REVENUE ACCOUNT - EXTRA CARE SCHEME - BOUGHTON

The Business Manager – Housing Strategy & Development presented a report which updated the Committee on progress to develop an extra care housing scheme in Boughton and sought approval to increase the capital budget to enable the scheme to be delivered.

It was reported that due to the specialist nature of the proposed scheme a procurement exercise had been undertaken outside of the existing five year HRA development programme. Initially seven contractors had accepted to tender for this project. However, two contractors withdrew early in the process and a further three withdrew due to the risks involved with working around the high voltage overhead cables that crossed the site and ran in close proximity to the build. In addition one contractor withdrew due to being unable to tender within the timescales, leaving only one contractor to tender for the project.

The submitted tender sum for the build contract was 23% higher than that originally estimated by Newark & Sherwood Homes which had at that time been validated by an independent cost consultant. The reasons for the higher cost were detailed in the report but included changes to the market conditions and the complexities associated with the site. Subsequent to the receipt of the tender Newark & Sherwood Homes and the cost consultant had undertaken a value engineering exercise with the tenderer which resulted in a reduced tender figure now 18% above the original estimated sum. The key areas where savings had been generated were set out in the report.

It was proposed that the budget allocated to deliver the proposed new extra care housing scheme in Boughton was increased from £7,600,000 to £8,937,401.70. This sum included all pre-construction & design fees, the build contract, soft furnishings and a contingency. The scheme would be funded through the capital finances available within the HRA Business Plan and grant secured from Homes England. The Committee noted the ongoing discussions with the County Council to secure a nomination agreement for the scheme.

AGREED (unanimously) that an increase in budget of £1.337m for the extra care scheme in Boughton within the Housing Revenue Account (HRA) 2019/20 capital programme be approved, and financed through available HRA capital resources within the HRA Business Plan, to enable delivery of the scheme.

Reason for Decision

To meet the Council's objectives within the Community Plan specifically to 'Accelerate the supply of new homes including associated facilities' and 'Improve the health and

wellbeing of local residents, with a particular focus on narrowing the gap in healthy life expectancy and other health outcomes', set against the evidenced housing, health and social care need for this locality.

8 BLIDWORTH LEISURE CENTRE - STEAM & SAUNA PROPOSAL - ACTIVE4TODAY

The Committee considered the report of the Director – Communities & Environment which sought approval to grant permission to Active4Today under the conditions of the current lease to build an extension to Blidworth Leisure Centre to accommodate a steam and sauna facility.

The proposal would improve the local offer for centre users and would be funded from a combination of Active4Today reserves and Section 106 monies secured from a housing development scheme (AG1040) for the improvement of leisure facilities in Blidworth. The estimated cost for the scheme was £75,000 and £30,973 Section 106 monies had been committed and allocated to the project proposal. The Active4Today business case for the proposal was attached as an appendix to the report.

The Leisure & Environment Committee, at their meeting held on 25 June 2019 recommended the proposal to the Policy & Finance Committee for approval and also discussed the potential of a similar facility at Newark Sports & Fitness Centre.

AGREED (unanimously) that:

- (a) Active4Today be granted permission to extend Blidworth Leisure Centre for the purposes of a steam and sauna facility subject to the legal position being agreed;
- (b) subject to (a) above appropriate budget provision be made in the Council's Capital Programme, financed from the relevant Section 106 monies; and
- (c) Officers be requested to put forward a business case for the provision of the steam and sauna facility at Newark Sports & Fitness Centre.

Reason for Decision

To enable Active4Today to deliver a steam and sauna facility at Blidworth Leisure Centre which will enhance the service offer to the community.

(Having declared a conflict of interests Councillor D. Lloyd, Sanjiv Kohli and John Robinson left the meeting during consideration of this item).

9 FINANCIAL OUTTURN REPORT TO 31 MARCH 2019

The Business Manager – Financial Services presented a report which set out the 2018/19 financial outturn position on the Council's revenue and capital budgets including details regarding the: General Fund Revenue; Housing Revenue Account; Capital Programme; Provisions and Impaired Estimates on Debtors; Usable Reserves; Collection Fund; Balance Sheet; and Treasury Management. The accounts showed an

underspend of £0.23m on service budgets with a total underspend variance of £1.957m.

AGREED (unanimously) that:

- (a) the final outturn of revenue and capital spending for 2018/19 be approved;
- (b) the capital financing proposals as set out in Appendix C to the report, that will be passed to the external auditors as part of the 2018/19 Statement of Accounts, be approved;
- (c) the net variations of £5.614m not spent in 2018/19 on the Capital Programme, be re-profiled and carried forward into 2019/20;
- (d) the movement in Provisions and Impaired Estimates on Debtors be approved;
- (e) the creations of the new reserves, as outlined in paragraph 2.19 in the report, be approved;
- (f) the individual contributions to, and withdrawals from, the revenue and capital Usable Reserves be approved;
- (g) the contents of the Pension Fund Actuary report and the proposed assumptions to be used in the IAS19 pensions report for inclusion in the 2018/19 Statement of Accounts be approved;
- (h) the Committee receives the Annual Report on Treasury Management Activity and comments as appropriate for referral onto the Council for information, as required by the Chartered Institute of Public Finance and Accountancy's Code of Practice on Treasury Management; and
- (i) the Committee note the Treasury Management activities are consistent with the objectives identified in the Treasury Management Strategy for 2018/19.

Reason for Decision

To approve the Financial Outturn for the Council for the 2018/19 financial year.

10 COUNCIL'S ANNUAL BUDGET 2020/21 - OVERALL CORPORATE STRATEGY

The Business Manager – Financial Services presented a report which set out the Budget Strategy for 2020/2021 prior to detailed work commencing on preparation of the budget. The Council's Constitution required that the Council's Section 151 Officer present a report on the overall Budget Strategy to the Policy & Finance Committee for approval. The budget process would result in the setting of the budget and the Council Tax for 2020/21.

The strategy took into consideration agreed policies on budgeting and council tax, reserves and provisions, value for money and also a set of budget principles which set out the approach to be taken to the budget process. These policies had been reviewed and updated as appropriate and were attached as appendices to the report.

The current Medium Term Financial Plan (MTFP) was approved on 7 March 2019. The report set out a summary of the financial forecast identified within the current MTFP assuming that Council Tax at average Band D would increase by the same rate as the previous three financial years, namely 1.94%. The gap in the Council's budget in future years meant that as well as further efficiencies the Council would need to generate new revenue streams which was the task of the recently created Commercialisation and Major Projects Business Unit.

The report also set out a number of underlying assumptions which would be applied in compiling the draft budget for 2020/21 including staff costs, provision for inflation and fees and charges.

The Committee discussed the timetable for the formulation of the budget and the involvement of the operational committees and Members in the process. The Director – Resources referred to a budget workshop with Chairs and Vice-Chairs of committees to be held in September 2019.

AGREED (unanimously) that:

- (a) the overall budget strategy be approved;
- (b) budget officers continue work on the assessment of various budget proposals affecting services for consideration in setting the Council's budget; and
- (c) budget managers work with finance officers in identifying further efficiency savings, increasing income from fees and charges and in identifying new income.

Reason for Decision

To enable the Council's budget process to proceed encompassing agreed inflation and salaries and wages rates for 2019/20 to 2021/22.

11 WRITE-OFF POLICY

The Business Manager – Revenues & Benefits presented a report which sought approval for the updated Write-Off Policy. The purpose of the policy was to establish a framework to regulate the process under which Council debts should be submitted for write off. The policy was intended to ensure that the writing off of debts was conducted in a consistent and accountable manner.

The Write-Off Policy, attached as Appendix A to the report, set out the procedure to be followed when writing off irrecoverable amounts (including credit balances) of

Council Tax, Non-Domestic Rates, and Sundry Debts including Housing Benefit Overpayments. It was reported that every effort would be made to recover a debt owing to the Council before it was considered for write off. Only where all recovery action had failed, was a debt regarded as irrecoverable. In cases where the debtor was jointly and severally liable for the debt with another party, recovery action would continue against all liable individuals and only if this action failed would monies be recommended for write off.

In response to questions from Members the Business Manager – Revenues & Benefits provided collection rate percentages for the current year, previous year and an all years' total which stood at 99%. He also provided percentage figures for the amount of Council Tax and Business Rates which had been written off. The Committee commended the Business Unit for achieving such figures.

AGREED (unanimously) that the updated Write-off Policy, as detailed at Appendix A to the report, be approved.

Reason for Decision

To ensure that only income which is collectible is included in the Council's accounts.

12 ARKWOOD DEVELOPMENTS - BOWBRIDGE ROAD DEVELOPMENT, NEWARK

The Business Manager – Financial Services presented a report detailing the recommendations of the Shareholder Committee to approve the sale of the land at Bowbridge Road to Arkwood Developments (the Company), and to release the equity to the Company to facilitate the commencement of the development.

At their meeting held on 11 June 2019, the Shareholder Committee, considered and approved the business case for the Bowbridge Road development site that had been submitted by the Company. As a consequence the Shareholder Committee recommended approval of the release of equity funding to the Company in the sum of £3,321,276. There was provision within the Council's approved capital programme of £4m in respect of equity funding for the Company.

The Council commissioned an external independent surveyor, HEB Chartered Surveyors, to undertake a viability appraisal of the proposed scheme and a valuation of the development land. The surveyor had advised a residual sum of £1,970,469 based upon the proposed scheme for land acquisition value. However the Business Manager – Financial Services advised that a further certified validation had been done by the Council's in-house valuation team to give the Council assurance it was disposing of the land at best consideration, taking into account the proposed scheme. This valuation had been certified at £2,350,000 and was recommended for approval. This would impact upon the business case considered by the Shareholder Committee however, it was highlighted that the Company had confirmed that despite this impacting upon the profit margin, the scheme remained viable with a profit margin in excess of the Council's Commercialisation Strategy target of 6%.

AGREED (unanimously) that:

(a) the sale of the land at Bowbridge Road to the Company for the sum of £2,350,000 be approved, and the Director – Governance & Organisational Development be given delegated authority to finalise the terms for the sale at this sum, to include deferred payment with interest accrued at the appropriate rate; and

(b) the equity funding of £3,321,276 be released to the Company to facilitate the development of the Bowbridge Road site.

Reason for Decision

To enable the first development by the Council's development company at Bowbridge Road, Newark, to commence.

(Having declared a conflict of interests Councillor T. Wendels and Sanjiv Kohli left the meeting during consideration of this item).

13 JOSEPH WHITAKER SCHOOL ARTIFICIAL TURF PITCH REFURBISHMENT - SECTION 106 FUNDING REQUEST

In accordance with Section 100(B)(4)(b) of the Local Government Act 1972, the Chairman agreed to take this item as a late item of business in order to release appropriate funding as soon as possible.

The Business Manager – Parks & Open Spaces presented a report which sought approval to allocate a financial contribution to the refurbishment of the Third Generation Artificial Turf Pitch (3G ATP) at the Joseph Whitaker School from Section 106 (s106) monies held for the purposes of sports provision in Rainworth.

The current 3G ATP was an important community facility but was 11 years old and required significant refurbishment. The original ATP was funded jointly by the school and the Football Foundation with support from the Council. In receiving grant funding the school accepted the obligation to create a sinking fund for the purposes of future refurbishments. The school had met this obligation to provide its required capital contribution of £218K, however, the tender price for the project identified a shortfall of up to £43K. In order to secure the delivery of the project over the summer holiday period and reduce the impact on both the school and the community a request had been made to the Council to make a contribution from s106 receipts held for the provision of sports facilities in Rainworth.

The contribution would come from the s106 monies received from the Warsop Lane, Rainworth housing development currently held by the Council of £274K which has to be used 'for the provision, enhancement or maintenance of sports facilities in Rainworth' as defined in the Agreement AG919a 'Off-site Sports Provision Contribution'. The actual amount of the contribution would not be known until final account stage, however, the commitment from the Council was not expected to exceed £43K and may prove to be a lower contribution. It was reported that the local Ward Members supported the proposal.

AGREED (unanimously) that:

- a) the creation of a £43k capital budget within the 2019/20 Capital Programme, all to be financed from Section 106 Agreement AG919a 'Off site sports provision' be approved; and
- b) in the unlikely event that the shortfall is in excess of the £43K the Director - Resources be given delegated authority to increase the Section 106 contribution up to a further 10%.

Reason for Decision

To enable the proposed project to proceed in a timely manner in order to enhance the community leisure offer in the Rainworth locality.

14 ANNUAL STANDARDS REPORT FOR THE PERIOD 1 APRIL 2018 - 31 MARCH 2019

The Committee considered the report of the Director – Governance & Organisational Development which presented the Annual Standards Report for the period 1 April 2018 to 31 March 2019. The Monitoring Officer had received five Code of Conduct complaints during the period, two complaints resulted in no further action being taken and three were currently being investigated by the Monitoring Officer.

Register of Interest forms for Newark & Sherwood District Councillors had been issued to all Members following the elections held on 2 May 2019. These were required to be completed within 28 days of the election and were in the process of being published on the Council's website. Newly elected Town and Parish Councillors were also required to complete a Register of Interest form and these were currently being collated ahead of publishing.

AGREED (unanimously) that the Annual Standards Report be noted.

Reason for Decision

To provide Members of details of standards issues in 2018/19.

15 EXCLUSION OF THE PRESS AND PUBLIC

AGREED (unanimously) that, under Section 100A (4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in Paragraphs 3 of Part 1 of Schedule 12A of the Act.

16 APPROVAL OF WRITE-OFFS ABOVE £10,000

The Committee considered the exempt report presented by the Business Manager – Revenues & Benefits regarding the write-offs above £10,000.

(Summary provided in accordance with Section 100C(2) of the Local Government Act 1972).

17 APPROVAL OF LOAN WRITE-OFF ABOVE £10,000

The Committee considered the exempt report presented by the Director – Resources regarding the write-off of a loan above £10,000.

(Summary provided in accordance with Section 100C(2) of the Local Government Act 1972).

Meeting closed at 7.08 pm.

Chairman

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

Forward Plan of Policy & Finance Committee Decisions from 1 October 2019 to 30 September 2020

This document records some of the items that will be submitted to the Policy & Finance Committee over the course of the next twelve months.

These committee meetings are open to the press and public.

Agenda papers for Policy & Finance Committee meetings are published on the Council's website 5 days before the meeting <https://democracy.newark-sherwooddc.gov.uk/mgCalendarMonthView.aspx?GL=1&bcr=1>. Any items marked confidential or exempt will not be available for public inspection.

Meeting Date	Subject for Decision and Brief Description	Contact Officer Details
28.11.19	Discretionary Grants Programme	leanne.monger@newark-sherwooddc.gov.uk
28.11.19	Business Rates and Dormant Commercial Rent Sundry Debts Write-Offs	phil.ward@newark-sherwooddc.gov.uk
28.11.19	Ollerton Hall Update	matt.lamb@newark-sherwooddc.gov.uk
23.01.20	HRA Renting & Service Charge Setting	rob.main@newark-sherwooddc.gov.uk nick.wilson@newark-sherwooddc.gov.uk
23.01.20	N&S Place Plan	Leanne.monger@newark-sherwooddc.gov.uk
23.01.20	Business Rates and Dormant Commercial Rent Sundry Debts Write-Offs	phil.ward@newark-sherwooddc.gov.uk
22.04.20	Review of Exempt Items	nigel.hill@newark-sherwooddc.gov.uk
BC	HRA Business Plan (on hold dependant on outcome of the housing management review)	rob.main@newark-sherwooddc.gov.uk nick.wilson@newark-sherwooddc.gov.uk

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

HOUSING MANAGEMENT REVIEW

1.0 Purpose of Report

To report back to the Committee on the outcome of the tenant and leaseholder consultation to enable a decision to be taken on the Council's proposal to bring the housing management services back in-house for direct service provision by the Authority and wind up its housing management company (Newark and Sherwood Homes Ltd). This report reviews the conclusions of the consultation and recommends the way forward.

2.0 Background Information

2.1 At its meeting on 4 April 2019, the Policy and Finance Committee approved a proposal, in principle, to bring the housing management services back in-house for direct service provision by the Council. This decision was subject to tenants being consulted on the proposal and their views being reported back to the Committee for consideration and a final decision being made.

2.2 The review undertaken by the Strategic Housing Liaison Panel in the earlier part of this year identified sound business reasons for the Council to wind up Newark and Sherwood Homes Ltd (the Company) and bring the service back in-house. The re-integration of the housing service will enable a more joined up service delivery with the rest of the Council and deliver significant efficiencies identified for the Housing Revenue Account of £0.95m, which can be reinvested back into housing services.

2.3 It is recognised that the Company's Board and management have a good track record. However, the Council, as the sole shareholder, cannot afford the luxury of retaining the current Company delivery model when it has been identified that money can be saved by the reintegration of the housing service back into the Council and thereby deliver better value for money for its tenants.

3.0 Tenant Consultation

3.1 Following the Committee decision in April a tendering exercise was undertaken, and with input from the group of Involved Tenants, 'Open Communities' were selected and commissioned to undertake a consultation with the Council's tenants and leaseholders. Open Communities is an independent consultancy, specialising in resident engagement. The consultation period ran for an eight-week period from 26 June through to 21 August. A questionnaire, covering letter and pre-paid envelope was sent to each tenant and leaseholder. Copies of the questionnaire and covering letter are attached to this report at **Appendix A**. In total some **6998** questionnaires were sent out.

3.2 The consultation was confidential with residents posting their responses direct to Open Communities. These have not been shared with the Council in the sense that the anonymity of all respondents has been protected. The consultation programme was designed to obtain the views from tenants and leaseholders on the Council's proposal to bring the housing service back under its direct control.

- 3.3 Residents were also offered the option of expressing their views via Open Communities' website on a dedicated Newark and Sherwood page, or via a telephone free-phone number whereby they could speak to a member of Open Communities' staff if they wanted to ask questions about the consultation process. In addition to this, a number of drop-in sessions across the district held during July gave residents the opportunity to attend, ask questions and find out more about why the Council had undertaken the review etc. These sessions were run by representatives from Open Communities. Officers from both Newark and Sherwood Homes and the Council and representatives from the Tenants Forum also attended.
- 3.4 The detailed results from the tenant consultation are included in the report from Open Communities, attached as **Appendix B** to this report. However, in summary the results are set out in the table below:

Questionnaires sent out	6998	
Returns	1457	20.8%
Returns by tenants	1419	97.4%
Returns by leaseholders	38	2.6%
In favour of bringing the housing service in-house	1172	80.4%
Not in favour of bringing the housing service in-house	59	4%
No view either way	181	12.4%
No vote	45	3%

- 3.5 There is overwhelming support for the Council's proposal to bring the housing service back in-house at just over 80%. The high response rate of over 20% of tenants and leaseholders engaging in the consultation should be seen as very positive, particularly as Open Communities have pointed out (from their extensive experience) that such a response rate is highly unusual.
- 3.6 Nearly one in three respondents expressed an interest in finding out how they can play a part in how their homes and communities are managed. Tenants and leaseholders were also asked about which services they wanted more investment in if the management of the housing stock is taken back in-house. From the responses received, the top three tenant priorities are:
1. Repairs and Maintenance;
 2. Dealing with anti-social behaviour; and
 3. Value for money;
- with Building more council homes coming a close fourth.
- 3.7 It is suggested that tenants, leaseholders, and the Tenants Forum (Involved/Engaged Tenants) are contacted and thanked for taking part in the consultation and informed of the outcome of the Council's decision following the committee meeting.

4.0 Staff Engagement

- 4.1 Since the decision in principle made by the Committee in April, a number of staff roadshows have been held at both Castle House and Farrar Close. The Council's Chief Executive, supported by the Company's Chief Executive, has used the roadshows to keep staff informed about the review process, the reasons behind the Council's proposal to bring the housing services in-house, and the tenant consultation process. This has given staff the opportunity to ask questions about all of the issues including the protection of their employment rights if they were to transfer to the Council in accordance with the TUPE regulations. In addition, a FAQs page has been created so that each member of staff can access the answers to issues that have been raised by their colleagues.
- 4.2 An officer project team, comprising senior Council and Company staff, has been working on a detailed project plan since April. This identifies all the issues and work that would be necessary to cover the practicalities of the proposed reintegration of the housing service, together with clear timelines. One of the main objectives driving the project team's work is to ensure that there is as little disruption as possible to the housing management service that tenants receive during the transition back to the Council and to share good practice across both organisations.

5.0 Current Government Guidance

- 5.1 Government "Guidance for councils considering the future of their ALMO (arms length management organisations) housing management services" indicates that councils will need to consider a number of important and competing factors. These include the wider financial, organisational and local political landscape within their councils, alongside the views of tenants.
- 5.2 The Guidance sets out that "...it is expected that the consultation exercises undertaken by all councils considering the future of their ALMOs should be as comprehensive as that undertaken when transferring those functions to the ALMO originally. This could be either through a ballot or a full survey or other locally appropriate method." The tenant and leaseholder consultation undertaken (as detailed in paragraph 3 of this report) is a similar exercise to that undertaken prior to the setting up of Newark and Sherwood Homes in 2003 and therefore fully complies with this guidance.
- 5.3 Also set out in the Guidance is the Government's current position that it believes the decision to take ALMO housing management functions back in-house should remain a local one. Whilst a Council is currently required to seek consent from the Secretary of State under section 27 of the Housing Act 1985 where it seeks to transfer all or part of its housing management functions to an ALMO, there is no requirement for a council to seek consent when taking ALMO housing management functions back in-house.

6.0 Revised Organisation and Governance Structure

- 6.1 If the recommendations in the report are approved and the decision is taken to bring the housing service back into the Council, a revised organisational structure for the Authority will be required to incorporate the housing landlord service and associated support services. It is important to retain a strong service lead for housing landlord services in order to ensure good continuity with the service currently provided to tenants by the Company.

This is key, not only to avoiding a disruption or dip in service through the transition period of bringing the service back in house, but also to ensure that we work positively towards further service delivery improvement. Experience of other local authorities that have successfully re-integrated housing services has shown that management services and repairs services can positively be combined alongside other estate and 'place based' services and it is proposed to draw upon these examples when designing the revised structure.

- 6.2 In order to ensure that there is sufficient leadership capacity within the Council whilst maintaining a strong housing focus, it is proposed to create a new additional director post within the Council's Senior Leadership Team. This post will cover the housing landlord services as well as other related council functions. The resulting senior management structure of the Council will need to deliver against the clear aim of maintaining and building on the high levels of housing service performance, whilst also delivering the priorities contained within the Community Plan. This top level restructure will have implications for a number of the most senior officers of the Council and NSH, and consultation and discussions with the officers who may be affected have taken place and are continuing.
- 6.3 As well as reviewing the organisational structure of the Council to accommodate the housing services, there will be a need to review the remit of relevant committees to provide for appropriate member decision-making and officer delegations. It is proposed that work on this be undertaken and considered by the Councillor's Commission before being submitted to Full Council for final consideration and approval. As part of this work, it is important that strong tenant consultation and engagement mechanisms are maintained and improved to ensure that tenants have an opportunity to be involved in the service that provides their homes. A mechanism needs to be developed whereby tenants and leaseholders' representatives, alongside other key stakeholders, have an opportunity to feed into the development of service delivery and performance and advise on future council housing policy.

7.0 Equalities Implications

- 7.1 There are no direct equalities implications arising from this report. Any proposed changes to operations and any consequential impact upon customers and staff will need to be considered in terms of any possible negative impacts upon persons with protected characteristics, but none are envisaged at present.

8.0 Financial Implications (FIN19-20/9025)

Revenue Current Year

- 8.1 The full year cost for a Directors post is £106,346 inclusive of on-costs for 2019/20. It is not anticipated that this post would be filled prior to January 2020 and hence a cost for a 3 month period would equate to £26,587.
- 8.2 As per paragraph 6.2, the Council is still reviewing its proposed organisational structure and which services would fall within the new Directorate. As potentially the post would be responsible for both General Fund and HRA services, a proportion of the costs must be allocated to each fund. Until a final decision has been made on the Senior Management structure a definitive cost to each fund cannot be determined.

- 8.3 Once the split of management responsibilities has been determined, the cost of the Directors post to the HRA would be contained within the overall current cost to the HRA, whilst still allowing for the efficiencies of £0.95m to be generated, as disclosed within paragraph 2.2. The additional cost to the General Fund will be included within the budget reports to be presented to Committees as part of the budget proposals for 2020/21. The additional cost for 2019/20 would be contained within existing budgets for the HRA and would be funded by the Change Management reserve for the General Fund.
- 8.4 Currently 50% of the Director of Governance and Organisational Development is charged to the HRA due to their role as the senior lead for the HRA. Once the new Director is in place this arrangement will end, meaning that this cost will be allocated to the General Fund.
- 8.5 The report presented to Policy and Finance Committee 4th April 2019 approved a budget of £150,000 in order to fund the independent tenant consultation exercise and other transitional arrangements. To date £24,796 has been incurred in relation to the consultation exercise. No other costs have yet been incurred. It is anticipated at this stage that this budget would be fully expended subject to the decision that is made.

Revenue Future Years

- 8.6 As per paragraph 3.6, Council tenants were asked which services they would like to see further investment in. The plan for re-investment of the efficiencies generated by the re-integration will be formulated over time taking into account the views received from tenants and also Councils' priorities in order to ensure that the organisation receives maximum value for money.

9.0 Community Plan – Alignment to Objectives

- 9.1 These proposals align with the Council's Community Plan objective to "Generate more income, improve value for money and increase residents' satisfaction with the Council". There is a specific action under this objective to undertake a review and implement the option that delivers the management of the Council's housing stock in the most cost effective and appropriate way. It is considered that the reintegration of the Housing Service back with the Council will deliver the most cost effective and appropriate delivery of the service for tenants and leaseholders.

10.0 RECOMMENDATIONS that:-

- a) **having regard to the results of the tenant and leaseholder consultation and the previous 'in principle' decision, the Committee agree to bring the housing management services in-house for direct service provision by the Council;**
- b) **a letter be sent to all tenants and leaseholders and to the Involved Tenant Forum, thanking them for engaging with the consultation and informing them of the outcome;**

c) subject to approval of (a) above:

- i. that the Council's contract with its housing management company, Newark and Sherwood Homes Ltd be terminated, the effective date of termination to be agreed with the Company, but to be no later than 1 April 2020;
- ii. to delegate to the Chief Executive to organise the transfer of the service to the Council in co-operation with Newark and Sherwood Homes Ltd and their Board which will address any winding up arrangements for the Company, to include all associated staffing matters;
- iii. that the necessary legal process be followed in order to dissolve the Company;
- iv. that the necessary arrangements be made to transfer any properties owned by the Company to the Council upon its dissolution;
- v. that the Senior Leadership Team of the Council be increased to include an additional Director Role to maintain a strong housing focus for the authority;
- vi. that a review be undertaken of the remits of the relevant committees to incorporate member decision-making and officer delegations relating to the housing management functions, and any changes proposed to the Council's Constitution as a consequence be submitted to the Councillors' Commission for consideration prior to submission to Full Council; and
- vii. that proposals for new tenant engagement and involvement in the delivery, performance and development of future council housing services be developed.

Reason for Recommendations

To enable the Council to progress the optimum means of delivery of the Housing Management Services for its council housing stock.

Background Papers

Nil.

For further information please contact (Karen White, Director - Governance & Organisational Development) on Ext 5240

John Robinson
Chief Executive

Address

Date

Dear Mr/Mrs

YOUR HOME, YOUR FUTURE, YOUR CHOICE

The council is consulting you on its proposal to directly manage housing services, which are currently run by Newark and Sherwood Homes. However, before any formal decision is made we need to understand what your views are.

An independent review was recently carried out into the best option for managing housing services. One of the main findings of the review is that savings of £1million each year can be achieved by bringing housing services back under direct council control. These savings will be reinvested in tenant services and used to deliver much needed new council homes for local people.

To undertake this consultation we have appointed an independent resident engagement specialist called **Open Communities**. They will be contacting you directly within the next few days.

It is important to note that this proposal will **not** affect your tenancy or lease. You will remain a secure tenant or leaseholder of the council. The council will continue to set your rent and charges within the same guidelines as it does now.

If the proposal to bring housing services back under direct council control is approved, we will:

1. increase involvement and engagement of tenants in decision-making about how services are developed and delivered;
2. be responsible for making day-to-day housing management decisions, such as how tenancies and leases are enforced and where money is spent on estates; and
3. be the single point of contact for housing issues – although the frontline staff that deliver these services will not change.

Newark and Sherwood Homes provides good services to our tenants, however there are costs in having a separate company to deliver the housing services. The council has a responsibility to get the very best value for money for tenants in the way the housing service is managed.

Over recent times funding for council housing has changed considerably. It is therefore vital that the council manages its housing finances in the best possible way for tenants, to plan ahead and ensure that sufficient funding is in place to maintain our existing homes and build new social housing.

In the next few days you will receive a short questionnaire from **Open Communities** on the proposal to bring the management of the housing service back into the council's control. This questionnaire is being sent to all council tenants and leaseholders.

You will be provided with a pre-paid envelope to return it to **Open Communities** or alternatively you have the opportunity to complete the questionnaire online. All responses need to be returned to **Open Communities**. This consultation is confidential and the council will not know how individuals have responded.

The consultation programme will run for eight weeks, from 26 June until 21 August 2019. Six drop-in sessions have also been arranged in venues across the district as detailed at the end of this letter. We would encourage you to attend one of these sessions to find out more about the proposal.

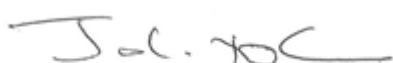
During the consultation you will be able to contact **Open Communities** on a Freephone number, which will be provided on the questionnaire, to answer any queries you may have.

The results of the consultation will then be considered by the council's Policy and Finance Committee in September 2019 and you will be informed of the outcome by letter.

It is important that you have your say on this proposal and I really hope that you will take the time to complete and return the questionnaire.

If you require this information in another language or format please contact us.

Yours sincerely



John Robinson
Chief Executive

DROP IN SESSIONS

Date	Venue	Time
Tuesday 16 July	De Lacy Court Community Centre, Ollerton, NG22 9RN	4:00pm - 7:00pm
Thursday 25 July	The Green Community Centre, Bilsthorpe, NG22 8QH	10:30am - 12:30pm
Thursday 25 July	Cambridge Close Community Centre, Rainworth, NG21 0AY	2:00pm - 5:00pm
Friday 26 July	The Bridge Community Centre, Lincoln Road, Newark, NG24 2DQ	4:00pm - 7:00pm
Tuesday 30 July	Cleveland Square Community Centre, Hawtonville, Newark, NG24 4HL	10:00am - 12:00pm
Tuesday 30 July	Castle House, Great North Road, Newark, NG24 1BY	4:00pm - 7:00pm

ADDRESS

Date:

YOUR HOME, YOUR FUTURE, YOUR CHOICE

Newark and Sherwood District Council - Test of Opinion

Dear Mr/Mrs,

Newark and Sherwood District Council would like your opinion on its proposal to bring housing services back under its direct control. They are proposing this after commissioning an independent review to look at the best option for managing the housing service, which identified savings of £1million each year if this was delivered directly by the council rather than through Newark and Sherwood Homes.

Before any formal decision is made the council would like to know your views by asking what is most important to you as a tenant or leaseholder.

Open Communities has been appointed by the council to consult with all council tenants and leaseholders. We are an independent resident engagement organisation.

This short questionnaire is your opportunity to give your views. **The consultation programme will run for 8 weeks, from 26th June until 21st August 2019.** Six drop in sessions have also been arranged in venues across the district. These sessions will be facilitated by Open Communities, staff from the council and Newark & Sherwood Homes will also be in attendance to answer any questions you have. The sessions are planned as follows:

Date	Venue	Time
Tuesday 16 th July	De Lacy Court Community Centre, Ollerton, NG22 9RN	4:00pm - 7:00pm
Thursday 25 th July	The Green Community Centre, Bilsthorpe, NG22 8QH	10:30am - 12:30pm
Thursday 25 th July	Cambridge Close Community Centre, Rainworth, NG21 0AY	2:00pm - 5:00pm
Friday 26 th July	The Bridge Community Centre, Lincoln Road, Newark, NG24 2DQ	4:00pm - 7:00pm
Tuesday 30 th July	Cleveland Square Community Centre, Hawtonville, Newark, NG24 4HL	10:00am - 12:00pm
Tuesday 30 th July	Castle House, Great North Road, Newark, NG24 1BY	4:00pm - 7:00pm

It is important that you complete the short questionnaire attached and return it in the pre-paid envelope provided. **If you lose your questionnaire you can call us on FREEPHONE 0800 073 1051 or contact us at enquiries@opencommunities.org to request a replacement.** If you require this information in another format/language please contact us.

All completed, returned questionnaires will be entered into a prize draw with three shopping vouchers as prizes. Only those completing the name, address section can be entered into the prize draw

1st prize	£100
2nd prize	£50
3rd prize	£25

- You can return your completed questionnaire in the prepaid envelope provided. You do not need a stamp
- To complete the questionnaire online go to www.opencommunities.org. Click on the 'Newark and Sherwood District Council' tab and complete the form. You will need your unique questionnaire code which can be found at the bottom right of your questionnaire.

If you have any queries with what the questionnaire is asking, then please contact us on the Freephone number **0800 073 1051** or by email enquiries@opencommunities.org .

We look forward to receiving your completed questionnaire.

Yours sincerely



R Coyle
Director, Open Communities

YOUR HOME.....YOUR VIEWS

HELP DECIDE THE FUTURE MANAGEMENT OF YOUR HOMES AND COMMUNITIES

Newark and Sherwood District Council's consultation exercise on the future management of your homes and communities.

Please complete the questionnaire below and return it as explained in the accompanying cover letter.

Q1 Are you in favour of the council bringing the housing service back under its direct control?

YES

NO

NO VIEW EITHER WAY

Q2 Generating £1 million in savings each year by bringing the management of your homes back to the council would enable more money to be invested in the services that matter to you. Which of the following would you like to see the council invest in? Highlight your top three – with '1' being your favourite option.

- Repairs and maintenance
- Dealing with anti-social behaviour
- Value for money for your rent/service charges
- Building new council homes
- Estate services overall
- Handling complaints/dealing with enquiries generally
- Tenant engagement/involvement
- Other (please tick and provide details)

Q3 If the decision is to return the management of the homes to the council, one of the primary objectives is to build on and strengthen the very positive work carried out by Newark and Sherwood Tenant Forum. The council would like to ensure tenants continue to be involved in every aspect of the management of their homes and communities.

Would you be interested in finding out more about how you can play a part in how your homes and communities are managed?

YES

NO

Please complete the below if you would like to be entered into the prize draw.

Name _____

Address _____



Newark & Sherwood District Council

INDEPENDENT TENANTS ADVISOR

Test of Opinion





APPENDIX B

ABOUT OPEN COMMUNITIES

Open Communities is a leading Government approved, accredited, independent training and advisory agency which specialises in developing resident involvement within social housing and regeneration proposals. Our company was formed in June 2005 and has offices in Liverpool and London.

We have extensive experience of providing ballot and Test of Opinion projects for the purposes of statutory Tenant Management Organisation continuation ballots. We have worked as Independent Tenants and Community Advisors on projects ranging from Decent Homes Standards Option Appraisal, Housing Revenue Account Private Finance Initiatives, Arms Length Management Organisations, Tenant Management Organisations and on Tenant Led Stock Options Appraisal projects.

We have extensive testimonials for the work we have delivered on behalf of our growing list of clients. We take pride in taking a hands on approach to our consultation exercises. We are an organisation steeped in community involvement in the social housing sector, working in partnership and alongside social tenants. This gives us an insight into the concerns of residents and enables us to communicate the implications of all potential outcomes.



APPENDIX B

BACKGROUND

In November 2018, the Council's Policy & Finance Committee agreed to initiate a review of the housing management arrangements for the Council's housing stock. It tasked the Strategic Housing Liaison Panel (SHLP) to undertake the review work looking at two options, either to:

- Retain the current arrangements by which Newark and Sherwood Homes Ltd (NSH) manage and maintain the Council's housing stock
- Re-integrate the housing landlord service into the Council.

The SHLP undertaking the review work consisted of six Council representatives (councillors) and five NSH board members. To assist SHLP in its work the Council engaged specialist housing consultancy support (Savills) to assess and advise on the optimal way forward taking into account the Council's objectives for the review. Savills have estimated that a minimum of £0.95m annually could be realised through the discontinuation of NSH and through the reintegration of landlord and the associated support services into the Council

Open Communities were asked to undertake a confidential test of opinion with all tenants and leaseholders across the District. The Council is currently undertaking a review of its housing management arrangements. The review is focussing on two options - retaining delivery through Newark and Sherwood Homes Ltd, or the provision of in-house management services by the Council. The Council has appointed a working party, which consists of representatives from both the Council and Newark and Sherwood Homes, to conduct the review and report back to its Policy and Finance Committee with recommendations.



APPENDIX B

THE BRIEF

Newark & Sherwood District Council commissioned Open Communities as an independent consultancy, specialising in resident engagement. Once the wording of the questionnaire was agreed (see appendix 1), an 8 week consultation period commenced on 26th June and ended on 21st August. The consultation programme was designed to offer residents the options of

- retaining the Status Quo with Newark and Sherwood Homes continuing to manage the properties under its agreement with the council
- Bring the housing service back in-house, to be managed by the council
- No view either way.

All residents received the questionnaire along with a cover letter (see appendix 2) and a pre-paid envelope to return their views. Residents were also offered the opportunity to vote via Open Communities web-site on a dedicated Newark & Sherwood page. Open Communities provided a freephone number to all residents to call and ask questions about the consultation process. All questionnaires were coded to ensure residents voted once.

OUTREACH WORK

Newark & Sherwood District Council arranged a number of drop-in sessions across the district to allow residents to ask questions and find out more about why the council were seeking the views of residents. These sessions were attended by Open Communities as an independent voice in the process. The table below highlights where and when they took place and how well or otherwise they were attended.



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Date	Venue	time	Attended
16 th July	De Lacey Court Community Centre - Ollerton	4pm – 7pm	13
25 th July	The Green Community Centre - Bilsthorpe	10.30am – 12.30pm	2
25 th July	Cambridge Close Community Centre - Rainworth	2pm – 5pm	5
26 th July	Kings Court Southwell	10.30am – 1pm	12
26 th July	The Bridge Community Centre - Newark	4pm – 7pm	3
30 th July	Cleveland Square Community Centre – Hawtonville	10am – 12 noon	8
30 th July	The Lleys - Lowdham	2pm – 3.30pm	6
30 th July	Castle House - Newark	4pm – 7pm	0

The drop-in sessions were attended by staff of Newark and Sherwood Homes, Newark and District Council, a representative from the Tenants Forum and Open Communities.



APPENDIX B

Feedback from the drop-in sessions was generally supportive of bringing the management of the homes back within the council. One piece of anecdotal information is that most residents did not know what the service was like prior to the ALMO taking over management as most had moved into council accommodation after the ALMO was set up.

The drop-in sessions were used by residents to report general housing and estate management issues.

TEST OF OPINION FEEDBACK

In our experience this is a very positive return in terms of number of completed and returned questionnaires. It is highly unusual for a questionnaire to achieve over 20% return rate when methods of returns are by conventional post and via our web site.

The question about which services residents would like to see the Council invest in, if the management of the housing stock is taken back in-house, directed tenants to choose their first three options from a set list. However a lot of residents took the option of numbering their choices from one through to eight. This accounts for the high numbers in the bar chart below. The top three responses were;

- Repairs and Maintenance
- Dealing with anti-social behaviour
- Value for money

The next placed option, only a handful behind number three was to build more council homes.



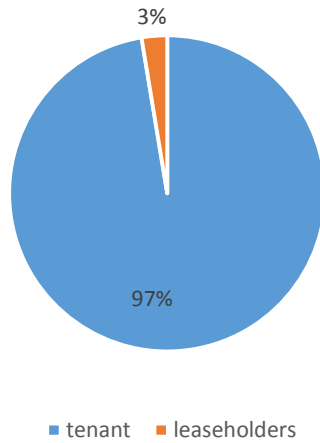
APPENDIX B

Questionnaires sent out	6998	
Returns	1457	20.8%
Returns by tenants	1419	97.4%
Returns by leaseholders	38	2.6%
In favour of bringing the housing service in-house	1172	80.4%
Not in favour of bringing the housing service in-house	59	4%
No view either way	181	12.4%
No vote	45	3%
Method of returns		
Via pre-paid envelope	1406	96.5%
Via Open Communities web site	39	2.7%
Via drop in session	12	0.8%
Resident Involvement		
Would like to be involved	437	30%
Would like to be entered into prize draw	957	65.7%

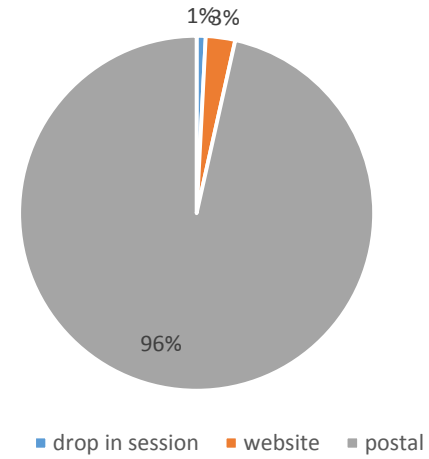


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Tenure

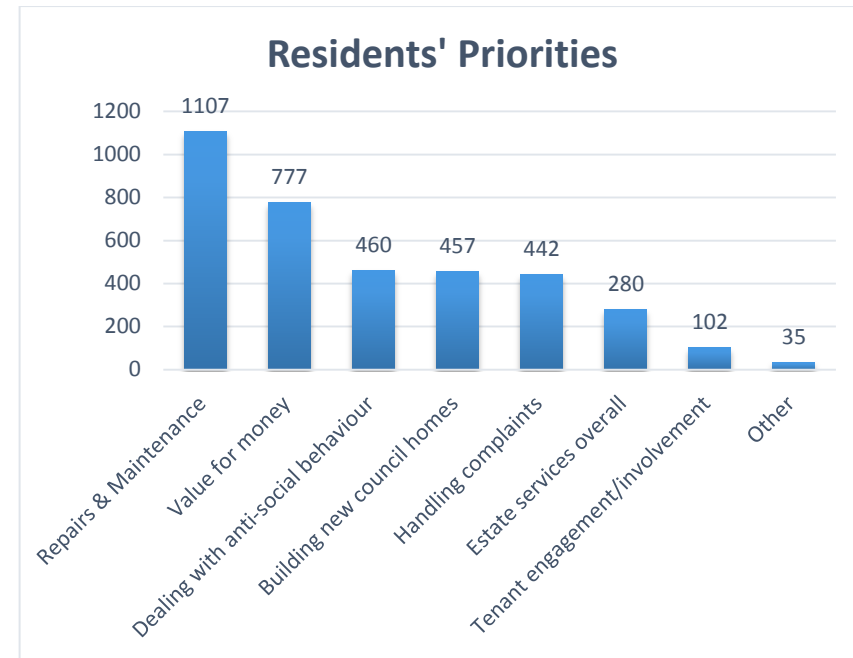
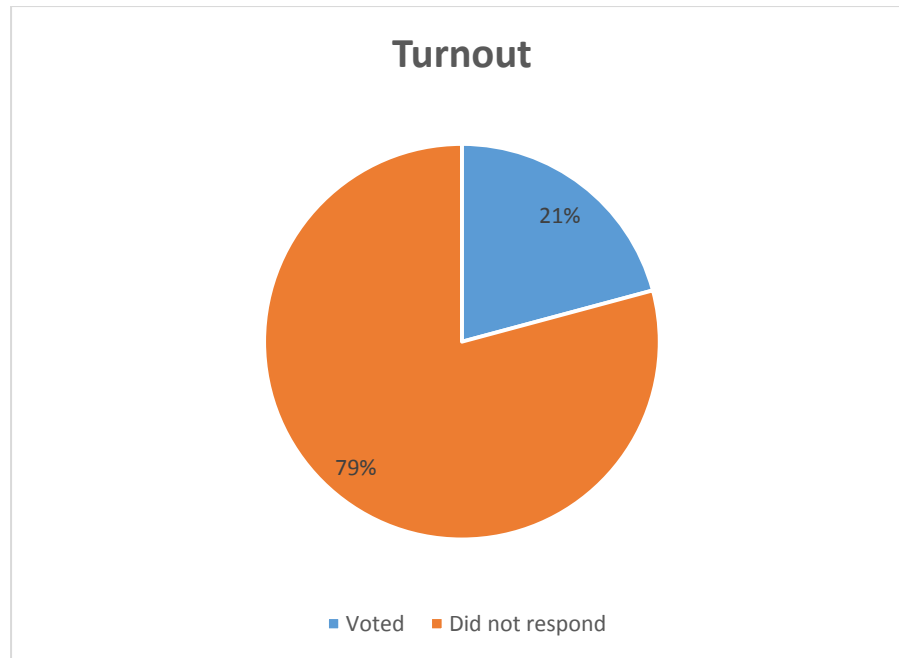


Method of return





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This report by Open Communities was produced on the 22nd August 2019, on completion of the consultation programme. Open communities will retain the Test of Opinion information for 12 months before securely destroying it.

FUTURE CONSULTATION

Open Communities would advise residents are contacted and thanked for taking part in the Test of Opinion and that they played a part in how their homes and communities are managed – regardless of the decision taken by the council.



APPENDIX B

Nearly one in three respondents said they would be interested in finding out how they could play a part in how their homes and communities are managed. Again, this is a very positive outcome. Open Communities, again, would recommend further targeted consultation with these residents to follow up on their views

If you have any queries or questions relating to this test of opinion and how it was facilitated, or if we can help in any other way, please get in touch.

- Freephone 0800 073 1051
- enquiries@opencommunities.org

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

ESTATE REGENERATION - YORKE DRIVE ESTATE AND LINCOLN ROAD PLAYING FIELDS

1.0 Purpose of Report

1.1 To report progress on the Yorke Drive estate and Lincoln Road playing fields regeneration proposals and seek the necessary approvals to enable the project to move into the next phase of delivery.

2.0 Background Information

2.1 The Committee has previously received reports in September 2017, June and November 2018 and April 2019, to inform Members of the key activities undertaken to deliver the Yorke Drive regeneration project, which emanates from the Bridge Ward Neighbourhood Study (2012).

2.2 The proposals for the Yorke Drive estate and Lincoln Road playing fields have been developed to deliver extensive transformational change and investment to the area by:

- Building new mixed tenure homes for rent and sale.
- Raising money for new rented homes and improvements to the whole estate.
- Providing improved sports and leisure facilities for all (including a new sports pavilion).
- Improving road access and the road network in the area.
- Making the whole area a better and safer place to live.

3.0 Project Updates and Actions

Planning

3.1 Outline Planning for the scheme was approved at Planning Committee on 2 April 2019, with two officer recommendations to be addressed before the approval notice is issued.

3.2 The first of these, to undertake noise mitigation works to Good Life Foods factory on Brunel Drive, adjacent to the Lincoln Road Playing Field has now been completed. The second, to undertake a bat survey across the estate, is underway with the final report expected by the end of September 2019.

Demolition and Compensation for Home Loss

3.3 Delivery of the project requires the demolition of 130 properties, 108 of which are council properties, 13 are in private ownership and 9 in the ownership of the Registered Provider, PA Housing. The purchase of the 9 PA Housing units was approved at the Committee meeting on 5 April 2018, with the contract for the sale due to be finalised over the next month.

3.4 In accordance with the Committee approval at its meeting in November 2018, initial Demolition Notices (*valid for five years*) were served (*20 March 2019*) on those council tenants affected by the demolition proposals. The Notice outlined the council's intention to regenerate the area and consequently suspend the Right to Buy. Prior to any works a 'Final Demolition Notice' will need to be served once a date for demolition is known, which will remain valid for two years.

3.5 At the November meeting the Committee also approved the principles of the 'Resident Offer' for those residents affected by the demolition proposals. This has a financial impact on the regeneration proposals through statutory Home Loss and Disturbance Payments, along with acquisition costs of the existing owner occupied properties.

3.6 Statutory Homes Loss compensation is payable as set out in the Land Compensation Act 1973. For resident owner occupiers (*who have lived in the property as their only or main residence for the last 12 months from date of loss*) this is the market value of their property plus 10%. Home Loss Payments compensation for non-resident owner-occupiers is a 'Basic Loss Payment' set at market value plus 7.5% and compensation for tenants with a statutory tenancy agreement is currently set at £6,400. External legal advice is being sought to confirm whether statutory compensation applies to private tenants.

Resident Involvement

3.7 Resident involvement continues to be at the heart of the regeneration proposals and a resident involvement strategy is in place for the project, with clear and consistent lines of communication including: the establishment of the Yorke Drive Residents Panel; dedicated social media channels; a dedicated Yorke Drive email address; webpage; and resident newsletter.

3.8 The Council has now appointed a 'Regeneration & Growth Lead' officer, part of whose role is dedicated to the delivery of this project.

Design Guide

3.9 Work is progressing to develop a 'Design Guide' for the new affordable housing contained within the proposals. The Guide will set the expectations of the council in terms of neighbourhood and housing design, giving a clear steer to architects and developers about the standards the council and residents expect.

3.10 The guide will also drive those working on other council housing developments to actively consider and validate their design principles. Whilst improved standards will inevitably lead to increased cost, the requirements will be set as a range of essential and recommended criteria, with each development balanced individually for value and quality.

4.0 Delivery

Procuring a Development Partner

4.1 Soft market testing has indicated an appetite amongst developers to be involved in the delivery of this regeneration proposal and in accordance with the project plan external legal advice was sought on alternative delivery models, which include a joint venture; full OJEU (Official Journal of the European Union) procedure; and OJEU compliant procurement frameworks. From this advice and officer consideration, the preferred model for delivery is to utilise Homes England's Delivery Partner Panel 3 (DPP3) to procure a development partner.

4.2 DPP3 offers a public procurement compliant process with the benefit of a shorter timespan than a full OJEU tender does. Should approval be given to use this procurement route, then an indicative timeline would see an invitation to tender issued in mid-October 2019, with interviews at the beginning of the new year and confirmation of the selected development partner by March 2020.

- 4.3 The procurement exercise will include input from representatives of the Yorke Drive Resident Panel through involvement in interviewing prospective developers about their community links and resident engagement, along with the opportunity for residents to visit examples of regeneration schemes elsewhere.

Preparation for Resident Decant

- 4.4 During October, it is planned to undertake a 'Resident Needs Survey'. The survey will be carried out with every household impacted by the demolition proposals to ascertain bed size requirements, along with discussing residents' current and future housing needs and aspirations. This detailed assessment will be offered on a face-to-face basis and will inform the final development proposals. For example, understanding how many households may require a level access property and how many households wish to remain on the new estate or move elsewhere.

Decant Policy

- 4.5 Building on the principles of the 'Resident Offer', approved by the Committee at its November 2018 meeting, a Decant Policy is being drafted to set out how the council intends to manage the process of moving residents from their homes in order to facilitate the regeneration proposals.
- 4.6 This will include how and when alternative accommodation is made available to those residents requiring a move; the support to be offered to enable a move and mechanisms available to assist current homeowners who wish to remain on the estate. *(A general aim is to try to move residents just once to minimise the disruption, although this may not be possible in each and every case depending upon the individual circumstances.)*
- 4.7 In addition the Policy will detail the council's payment terms with regard to Home Loss and Disturbance, which have been factored into the current assumptions of the financial model referenced at Section 5 of the report.
- 4.8 The final draft Decant Policy will be presented to the Committee at its November meeting.

Compulsory Purchase Order

- 4.9 The delivery of the Yorke Drive Regeneration project relies on the demolition of 130 properties to facilitate new development, infrastructure and the physical opening of the estate to Lincoln Road providing a new frontage.
- 4.10 The council has already begun to consider the re-housing of existing tenants and the acquisition of privately owned homes within the area marked for demolition. The council can only purchase the privately owned properties either with agreement from the homeowner or through a Compulsory Purchase Order (CPO).
- 4.11 Council officers will work closely and support home owners to facilitate a voluntary move that will meet their needs. However, to ensure that the project can be delivered and to mitigate identified risks, consideration needs to be given to the council applying for a CPO that will run alongside the voluntary negotiation process.
- 4.12 Instigating a CPO is seen very much as a last resort where all other avenues to reach a suitable agreement with the homeowner, set against the 'Resident Offer' principles, cannot be reached. Further background on the process to apply for a CPO in relation to the Yorke Drive regeneration scheme can be found at **Appendix A**.

- 4.13 If Committee resolves to agree in principle to the making of an Order, officers will progress with the necessary prescribed procedure including: developing a schedule identifying the ownership of all land and other relevant interests within the defined site; the preparation of a 'Statement of Reasons' (*the basis of which will be formed from the Bridge Ward Neighbourhood Study and Yorke Drive Master planning exercise*); and the necessary communication, advertisement and submission of the Order.
- 4.14 In accordance with these powers there is a need to identify the area of land that the order would apply to. In this respect for the York Drive regeneration scheme the area where CPO powers would be applicable to is identified in the red line plan at **Appendix B**.
- 4.15 It is imperative that there is transparency with all resident owner occupiers, non resident owners and private tenants over what a CPO is. Therefore, when officers undertake the 'Resident Needs Survey' the purpose of a CPO will be explained and there will be emphasis that the council's overriding objective is to agree a sale through the voluntary negotiation process.

Legal Comments

- 4.16 As stated above, compulsory purchase is seen as very much a last resort. However, government guidance is that "if an acquiring authority waits for negotiations to break down before starting the compulsory purchase process, valuable time will be lost". If the Committee agrees to the principle of the Council making a CPO officers can serve requisition notices on affected properties making it clear that it wishes to acquire by agreement, but asking for names and addresses of all owners, lessees and private tenants. Officers can also prepare the Statement of Reasons.

5.0 Financial Model

- 5.1 Financing modelling has been undertaken on the regeneration proposals setting out the estimated total development costs based on the scheme design, accommodation schedule and phasing detailed within the Planning Design & Access Statement. Key assumptions have informed the modelling, provided through external, technical advice that includes:
- Market valuations
 - Construction costs
 - Acquisition costs
 - Developer profit margin
 - Statutory compensation (*Home Loss and Disturbance Payment*)
 - Consultancy & Technical support (*Architect, Structural, Mechanical, Electrical and Civil Engineers, etc.*)
 - Projected rental income
 - Indicative grant levels
- 5.2 The modelling has identified a funding gap to deliver the scheme. The viability of the project is primarily impacted upon by the extra-ordinary costs associated with the regeneration proposal, including a programme of significant demolition, resident compensation, wider estate improvements and provision of a community sports pavilion and sports field works.

- 5.3 Work continues with Homes England and MHCLG to explore grant-funding opportunities to enable delivery of the regeneration proposals. Most recently the council submitted a grant funding application to Homes England's 'Small Sites Fund' and received notification that the proposals have met sufficient criteria (of the Fund) to be considered further and worked up for project development. Officers are now liaising with Homes England officers to progress this matter, though the Committee should note at this stage Homes England have not approved the grant funding.
- 5.4 On the advice of Homes England the council's original funding submission through the 'Accelerated Construction Programme' has now been withdrawn, with focus being turned to the 'Small Sites Fund' and the Affordable Homes Programme.
- 5.5 In terms of the council's contribution to the project to help address the funding gap this could be delivered through:
- Seeking increased public sector funding (grant, low cost loans, etc.)
 - Utilisation of the Housing Revenue Account (*further to removal of the debt cap*).
 - Utilisation of the General Fund Capital Programme (*the Council's current contribution to the Scheme is to put in the land*).
 - Review of the rent model assumptions.
 - Recycling some of the Council controlled planning contributions into the scheme (*e.g. for community facilities*).
 - Procuring a development partner (*as detailed above*).
 - Undertaking a value engineering exercise with the preferred development partner, along with considering modern methods of construction.
- 5.6 It might also be possible to reduce the scope of scheme to reduce costs, but this is not recommended as it would limit the impact of transformation and wider estate improvements, which has always been one of the key objectives of the proposal.
- 5.7 The consideration of the council's contribution, linked to the assumptions made through the financial modelling, are explored further in the exempt report.

6.0 Proposal

- 6.1 In reviewing the detail contained within the report the Committee is asked to consider the activities being progressed to deliver the regeneration proposals developed for the Yorke Drive estate and the Lincoln Road playing fields in Bridge Ward, and approve the proposals set out in the recommendations at paragraph 11 in order to further progress the regeneration scheme.

7.0 Equalities Implications

- 7.1 Equality implications for this regeneration scheme have been considered and an Equality Impact Assessment approved by this Committee in November 2018. This will be reviewed once a development partner has been secured and an updated Assessment will be submitted to the Committee for consideration.

7.2 The community consultation and master planning programme is aimed at ensuring that the needs and priorities of the existing community on Yorke Drive are addressed in developing and then delivering the proposals.

8.0 Financial Implications (FIN19-20/3750)

8.1 The impact on the HRA has been modelled with decanting and demolition as normally considered HRA functions. The modelling also takes account of future rent loss on the demolished units, although this is offset by the affordable rents on the new rented units.

8.2 The detail of which has been entered into the HRA financial business plan to assess the viability of the project in conjunction with the overall business plan and is considered viable when taking into consideration receipt of a Homes England grant (*an assumption made in the schemes financial model*), which is yet to be confirmed. Should grant not be awarded, the scheme would then need to be reassessed for viability.

8.3 HRA funding will only be utilised for justifiable costs relating to proper expenditure to be incurred by the HRA. Any shortfall to the project once funding has been allocated from other sources (including the HRA) would therefore need to be met by the General Fund.

8.4 General Fund expenditure would be met by the Council's Change Management Reserve. The balance after this transfer would be £2,852,064.

9.0 Comments from the Business Manager – Planning Policy

9.1 The proposals in the Bridge Ward Neighbourhood Study were incorporated within the Allocations & Development Management DPD (2013), including the Yorke Drive Policy Area (NUA/Ho/4) which sets the planning framework for the Yorke Drive Regeneration scheme. The progression of this scheme will help to meet a number of the objectives of the Council's development plan and deliver significant benefits to the local area as well as providing additional dwellings to help meet the council's housing targets.

10.0 Community Plan – Alignment to Objectives

10.1 The rationale for the project has been clearly articulated in this and previous reports, its strategic importance is reflected through its inclusion in the Council's Community Plan. Following extensive and continued consultation with residents on the estate, the project is also supported by the overwhelming majority of residents.

10.2 The proposals directly relate to the following objectives with the the Community Plan:

- *Improve the cleanliness and appearance of the local environment*
- *Reduce crime and antisocial behaviour, and increase feelings of safety in our communities*
- *Reduce levels of deprivation in target areas and remove barriers to social mobility across the district*
- *Improve the health and wellbeing of local residents, with a particular focus on narrowing the gap in healthy life expectancy and other health outcomes*
- *Increase participation with the Council and within local communities*

With the objective to

- *Accelerate the supply of new homes including associated facilities;*

having the supporting action of

Direct delivery of homes:

- Progressing implementation of Yorke Drive regeneration scheme;

11.0 RECOMMENDATIONS that:

- a) **the Council's financial commitment to the scheme and capital budget for 2019/20, the details of which are set out in the exempt report, be approved;**
- b) **subject to financial commitment being agreed as indicated in a) above, to approve that a procurement exercise is undertaken through Homes England's Delivery Partner Panel (DPP3) to identify a suitable development partner for the delivery of the Yorke Drive estates and Lincoln Road playing fields regeneration proposals, with the outcome of this exercise being reported to the Committee together with the actual scheme costs for approval;**
- c) **delegated authority be given to the Director of Governance and Organisational Development, in consultation with the Director of Resources, to enter into an appropriate Homes England Grant Funding Programme to support delivery of the Yorke Drive project; and**
- d) **the Council agree in principle to use powers under Section 17 of the Housing Act 1985 and Section 13 of the Local Government (Miscellaneous Provisions) Act 1976 to make a compulsory purchase order or orders to acquire such interests and rights in or over the land shown [edged red on the plan at Appendix B] as:**
 - (i) **are needed to complete the Yorke Drive Regeneration project; and**
 - (ii) **cannot be acquired by agreement.**

Reason for Recommendations

To progress the transformational project, focussing on the regeneration of the Yorke Drive estate and Lincoln Road playing fields.

Background Papers

Nil

For further information please contact either Rob Main, Business Manager – Housing Strategy & Development on 01636 655930 or Cara Clarkson, Regeneration & Growth Lead on 01636 655923.

Karen White
Director – Governance & Organisational Development

Compulsory Purchase Order – Briefing Note

1. There are a number of powers that enable public bodies on which they are conferred to acquire land compulsorily ('enabling powers'). A Compulsory Purchase Order (CPO) should only be made where there is a compelling case in the public interest to acquire the land. A CPO is intended as a last resort to secure the assembly of all the land needed for the implementation of the project.

2. There are a number of stages to securing a CPO as follows:

Stage 1: Choosing the right compulsory purchase power

Stage 2: Justifying a compulsory purchase order

Stage 3: Preparing and making a compulsory purchase order – including informing owners and tenants

Stage 4: Consideration of the compulsory purchase order and any objections by the Secretary of State or an Inspector

Stage 5: Implementing a compulsory purchase order – taking possession

Stage 6: Providing the necessary compensation

Choosing the right Compulsory Purchase Power.

3. Powers under Section 17 of the Housing Act 1985 and Section 13 of the Local Government (Miscellaneous Provisions) Act 1976 can be used to make a CPO or orders to acquire such interests and rights as are required for progression of the Yorke Drive regeneration scheme.

4. Section 17 of the Housing Act 1985 empowers local housing authorities to acquire land, houses or other properties by compulsion for the provision of housing accommodation. Acquisition must achieve a quantitative or qualitative housing gain.

5. Section 13 of the Local Government (Miscellaneous Provisions) Act 1976 allows for the compulsory acquisition of new rights over land where full land ownership is not required e.g. the compulsory creation of a right of access.

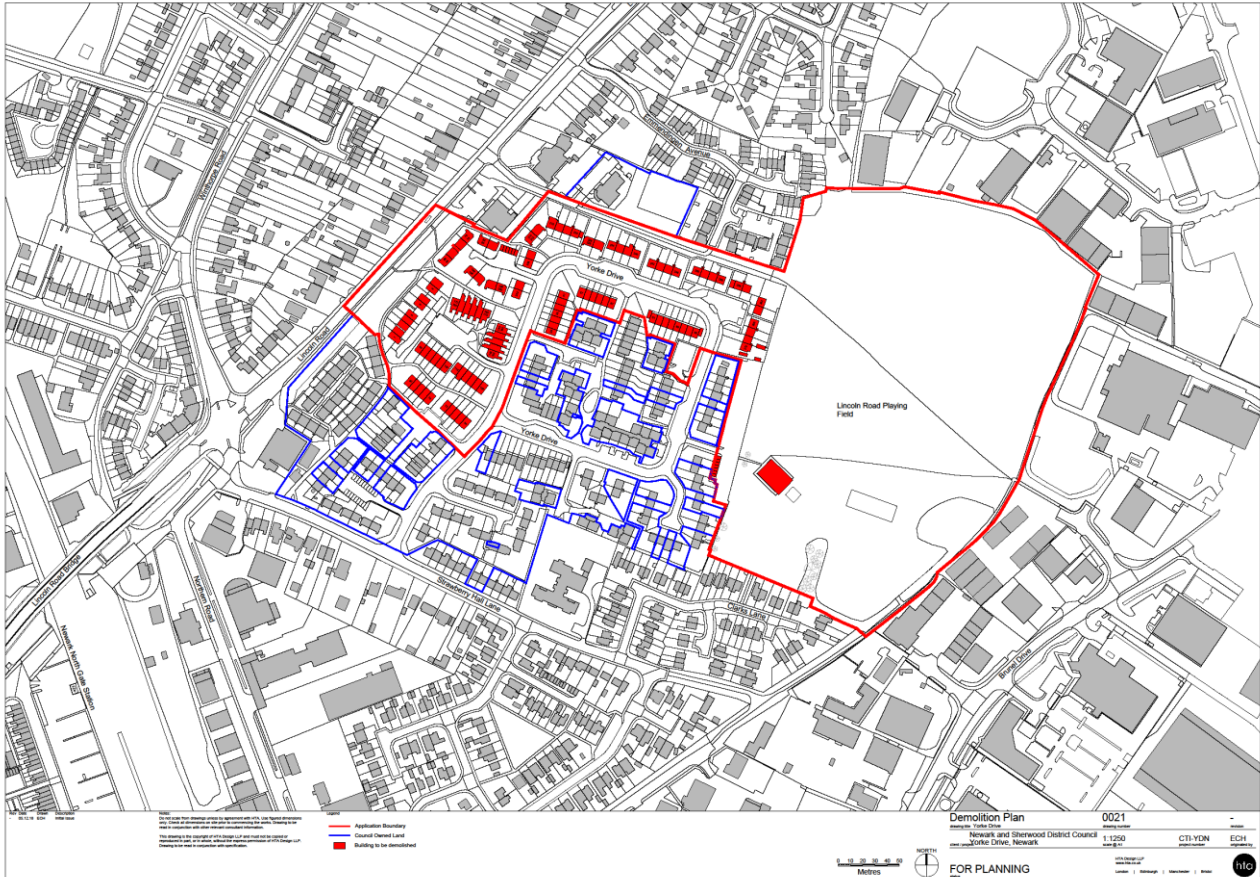
Justifying a Compulsory Purchase Order

6. As the authority acquiring the land ('acquiring authority'), the council must be confident that there is a compelling case in the public interest to proceed with a Compulsory Purchase Order. In this instance, the findings of the Bridge Ward Neighbourhood Study (identifying social, environmental and economic challenges), engagement with residents and the Master Planning process indicate that only through extensive remodelling of the area, can transformational change be delivered.

7. The Secretary of State, when considering the Order, will consider the sources and timing of funding for the project and the progress of planning permission i.e. to ensure that the scheme is unlikely to be blocked by any financial, physical or legal impediments to implementation.

8. In proposing the Order, the council must also consider the rights of property owners under the European Convention of Human Rights in particular:
 - Article 1 of the First Protocol which protects the right of everyone to the peaceful enjoyment of possessions. No one can be deprived of possessions except in the public interest and subject to the relevant national and international law.
 - Article 8 of the convention, which protects private and family life, home and correspondence. No public authority can interfere with these interests except if it is in accordance with the law and is necessary in the interest of national security, public safety or the economic wellbeing of the country.
9. Any decision to proceed with a Compulsory Purchase Order must be taken after balancing the rights of the individual owners whose houses or rights are being taken against the wider benefit to other nearby residents, future residents and the public in terms of housing, environmental and health impacts.

Defined Area for Compulsory Purchase Order request



Specifically:

- 64-86 Lincoln Road (Even numbers only)
- 29-41 Yorke Drive (Odd numbers only)
- 57-62 Yorke Drive (All numbers)
- 65-67 (All numbers)
- 70 Yorke Drive
- 78 Yorke Drive
- 82-104 Yorke Drive (All numbers)
- 118-128 Yorke Drive (Even numbers only)
- 142-202 Yorke Drive (Even numbers only)
- 206-220 Yorke Drive (Even numbers only)
- 226-234 Yorke Drive (Even numbers only)
- 238 Yorke Drive
- 242-246 Yorke Drive (Even numbers only)
- 250-256 Yorke Drive (Even numbers only)
- 262-268 Yorke Drive (Even numbers only)

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

ARMED FORCES COVENANT UPDATE

1.0 Purpose of Report

- 1.1 To update the Policy & Finance Committee about Armed Forces Covenant (AFC) working at Newark & Sherwood District Council (NSDC).
- 1.2 To demonstrate the additional ways in which the Council will support the AFC.
- 1.3 To seek approval for the sharing of AFC information via Full Council in order to raise further awareness of the Armed Forces community in Newark & Sherwood, and about AFC working.

2.0 Background Information

- 2.1 The [AFC](#) is a promise by the nation ensuring that those who serve or who have served in the Armed Forces, and their families, are treated fairly. It is a pledge that together we acknowledge and understand that those who serve or who have served in the Armed Forces, and their families, should be treated with fairness and respect in the communities, economy and society they serve with their lives. The AFC website also includes dedicated information for [Local Authorities](#) to support the Covenant. [GOV.UK](#) outlines how the UK Government will support the AFC.
- 2.2 NSDC first signed the AFC in 2013 and re-signed in 2018. The [signed document](#) is available on our [website](#) along with the accompanying [action plan](#). The NSDC website also provides [support](#) information for the Armed Forces community. The action plan includes sign-posting to NSDC policies that support the Armed Forces such as the [homeless ex-Armed Forces](#) advice.
- 2.3 The Armed Forces Champion is Councillor Bruce Laughton. The named officer lead is the Policy & Projects Officer (Kate Marshall). In addition, (District) Councillor Keith Girling is also the Armed Forces Champion for Nottinghamshire County Council. The NSDC officer lead attends Nottinghamshire's Civil and Military Partnership Board (CMPB) meetings to share information and as part of NSDC's commitment to the AFC.
- 2.4 NSDC has been awarded silver status in the [Ministry of Defence Employer Recognition Scheme](#) (ERS). The scheme acknowledges employers who support defence personnel, including reservists, veterans, families and cadets. This award is referenced on the AFC pages of NSDC's [website](#).
- 2.5 Mrs Heather Wheeler MP, Minister for Housing & Homelessness (at time of letter) and The Rt Hon Tobias Ellwood MP, Parliamentary Under Secretary of State and Minister for Defence People & Veterans, wrote to all Local Authority Leaders on 17 June 2019, following local elections, to promote Champion appointments and to encourage further active support of the AFC (all Local Authorities are signatories of the AFC).

2.6 The [partnership](#) between [Charnwood](#), [Melton](#) and [Rushcliffe](#) Councils (with some additional support from the Covenant Fund and from Forces in Mind), that was established to work with the Armed Forces community in those districts, provided a training day offered to all regional officer leads for the AFC on 4 April 2019 – a representative from NSDC attended. This training looked at the transition from military to civilian life, alongside employer considerations to include: data, raising awareness, training, Human Resources and equalities. Some immediate actions following the training included changes made to NSDC's own website and a number of recommendations for future consideration. This paper is a continuation of those recommendations, supplemented by information received at a further Army Engagement event at Chetwynd Barracks on 15 June 2019 and an Open Day at the Barracks on 27 June intended for employers and prospective employers.

3.0 **Proposals**

3.1 Data

There is a current lack of data about locations of the Armed Forces communities once they have returned to civilian life. The document [Annual Population Survey: UK Armed Forces Veterans residing in Great Britain, 2017](#) (published 31 January 2019, Ministry of Defence) suggests that 6-8% of the population of the East Midlands comprises residing veterans. 6-8% of Newark and Sherwood's 120,965 residents (2018) would be 7,258-9,677 residents. The 2021 census will include a [question](#) about Armed Forces veterans for the first time. NSDC Organisational Development (OD) will maintain a watching brief on census information to ensure an understanding of demographic changes.

3.2 Armed Forces Friendly Appearances - HR

Following a discussion paper presented to the Equalities & Diversity Working Group on 14 August 2019 a number of immediate actions were agreed, to be completed by NSDC HR:

- The jobs [pages](#) of the NSDC website will be updated to include reference to the Silver ERS – this is a symbol of NSDC operating as a forces-friendly employer
- Advertisements on [jobsgopublic](#) will also include reference to the Silver ERS
- Reference to NSDC's Reservist Policy will be referenced on the same pages
- At external recruitment events, such as careers fairs, NSDC promotional material might include imagery or reference to the Armed Forces (perhaps an image of employees in reservist uniform or similar). This will be considered alongside reference to many other community representations
- In addition, in June 2019, following direction from the Chief Executive, NSDC has signed up to the "Forces Families Jobs" [platform](#) (due to go live later in 2019) to advertise all NSDC positions. The Army Families Federation, in conjunction with the Naval and RAF Families' Federations, is creating the platform, 'Forces Families Jobs', to enable spouses and family members of UK Armed Forces military personnel to have a 'one stop shop' where they can apply for jobs directly with employers who have signed the Armed Forces Covenant.

3.3 Buddy Scheme - Support For Staff who are Veterans, Reservists and Family Members of the Armed Forces Community

NSDC already employs a number of veterans or reservists – this is a condition of our silver ERS. We propose an organisation-wide communication to establish additional veterans, reservists and Armed Forces family members who may have an interest in participating in a new Buddy Scheme. It is envisaged that this would take the form of casual (no agendas, no facilitation) monthly sessions, over lunch or at 4.30pm to allow staff from other sites to attend, in a Castle House breakout area simply to chat, to meet up and to share experiences. This will be particularly beneficial to those who have recently served and join the Council community.

What might a buddy do?

Support for reserve force colleagues

- Making sure all know about the Reservist Policy
- Introducing Reserve colleagues to each other
- Sharing your email address/telephone number with the families of reservists during mobilisation to chat, as required

Support for new staff members who are veterans, reservists and family members

- Explaining/talking about your experiences of Local Authority working
- Reminders about the importance of customer focus, data protection and safeguarding in the Local Authority – and how this might differ to the military
- Sharing information about wider support
- Helping new staff to understand the formal and informal culture of NSDC

Buddies are not:

- Advisors or counsellors
- New best friends
- Confidantes
- Your line manager.

3.4 Asking the Question of all Applicants – Guaranteed Interview for Veterans who meet the Essential Criteria

Choosing to ask applicants if they are or have ever been a member of the Armed Forces community will provide a valuable means of offering support via a guaranteed interview scheme to veterans. Some Local Authorities already ask this question as part of their equalities monitoring: [Brighton & Hove](#) and [Sheffield City Council](#) are examples. The Council already provides a guaranteed interview for candidates who meet the essential criteria and have a disability. A more recent comparison relates to the guaranteed interview for all care leavers who meet the essential criteria for a role (please refer to the report submitted to [P&F](#), 21 February 2019). A similar guaranteed interview for those veterans who meet the minimum criteria is not guarantee of employment. Both the proposed veterans guaranteed interview scheme and the care leaver offer will be further highlighted on NSDC vacancy platforms. The guaranteed interview scheme for veterans will be further highlighted with the Ministry of Defence's Regional Employer Engagement Director for the East Midlands.

3.5 Asking the Question as Part of Initial Offer – Buddy Scheme

Asking the question (“are you or have you ever been a member of the Armed Forces community?”) again at initial offer letter stage, ensures all new joiners also have access to the Buddy Scheme and support in place from the commencement of their employment.

3.6 Application Guidance

Guidance or guidelines for completing applications to illustrate how a candidate should evidence that they meet the essential criteria contained within the person specification will be prepared. These will be useful to members of the Armed Forces community whose military training might have emphasised brevity (in antithesis to the Local Authority environment where evidential elaboration is required), but also to all applicants. The guidelines would be available on all job sites utilised by NSDC, including the new “Forces Families Jobs” site. Liaison with the [Career Transition Partnership](#) would be advantageous in creating these, and other, documents.

3.7 Interview Guidance

Closely linked to equalities and diversity working more widely, a number of [videos](#) have been created about what to expect at Castle House – interviews form a part of this. The information contained within is also relevant for members of the Armed Forces community. If access to these videos is available to all potential applicants, the videos can also, of course, be viewed by those who come from the Armed Forces community. The potential for short tutorial sessions provided by NSDC HR representatives could also be explored alongside templated application forms. Synergy with DWP Job Centre practice could also be explored. Marketing such guidance via Armed Forces Breakfast Clubs or similar would reach out to the Armed Forces community specifically.

3.8 Policy

All NSDC policies (homeless support mentioned above, the Reservist Policy is another example) relating to the Armed Forces community will be reviewed.

3.9 Awareness Raising and Training

Awareness of the AFC will form part of induction training for officers at NSDC, perhaps for inclusion within the equalities training module or elsewhere. In addition, reference to the AFC at future staff roadshows and via internal communications will also help to raise awareness of the AFC across the organisation. Furthermore, AFC awareness could also form part of training for Members – this could be raised via the Member Training and Development Task and Finish Group. Also, bringing the AFC update to Full Council will also raise awareness of the AFC with all elected Members. Other possibilities, subject to existing policy, include making the AFC or ERS logos available in email signatures (perhaps of the HR team specifically). A launch event for the Buddy Scheme will incorporate further awareness raising for staff and Members – and might also be extended to partners more widely.

3.10 Advocacy

To advocate (via meetings with the lead officer and/or Champion) for the AFC and for the ERS via:

- o partners in the building
- o existing partnerships
- o Newark Business Club, subject to invitation
- o suppliers
- o any other suitable forums.

To work with other AFC signatories in Newark and Sherwood to promote the AFC and ERS more widely across the District.

To attend CTP careers fairs (30 April 2020 in [Newark](#)) to advocate for NSDC as a forces friendly employer.

3.11 VE Day 75

AFC working to “recognise and remember the sacrifices and challenges faced by the Armed Forces community” is demonstrated by promoting participation in, and supporting, events and functions to celebrate and remember the sacrifices of Armed Forces personnel, both past and present (as outlined in the [action plan](#)). The Council will consider how the 75th Anniversary of VE Day in 2020 (noting the Government’s change to the bank holiday - now Friday 8 May 2020) might be commemorated in Newark and Sherwood and will also communicate with neighbouring Local Authorities. [National](#) events will comprise:

- o The Nation’s Toast
- o A Cry for Peace Around the World
- o Ringing Out for Peace
- o Parties and celebrations
- o Church services.

4.0 Equalities Implications

4.1 The content of this paper has also been considered by NSDC’s Equalities & Diversity Working Group. There are no direct equalities implications.

5.0 Financial Implications (FIN19-20/9463)

5.1 Any costs incurred in relation to a launch event for the Buddy Scheme can be maintained within existing budgets.

6.0 Community Plan – Alignment to Objectives

6.1 The AFC is not specifically referenced in the Community Plan but fits particularly within the objective to “increase participation with the Council and within local communities”.

7.0 RECOMMENDATIONS that:

- (a) the enhanced AFC working outlined in proposals 3.1-3.8 above be noted;**
- (b) raising awareness of AFC working be supported through:**
 - i. induction training for Members**
 - ii. a review of AFC working at Full Council in 2019**
 - iii. a launch event for the Buddy Scheme; and**
- (c) advocacy for the AFC and ERS outside NSDC as required, be supported.**

Reason for Recommendations

To guarantee that members of the Armed Forces community in Newark and Sherwood experience no disadvantage and to enhance Newark and Sherwood District Council's Armed Forces Covenant working.

Background Papers

Nil

For further information please contact Kate Marshall, Policy & Projects Officer on Ext. 5302 or Tracey Piper, Business Manager - Human Resources & Organisational Development on Ext. 5219.

Karen White
Director - Governance & Organisational Development

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

GENERAL DISPENSATIONS

1.0 Purpose of Report

1.1 That a general dispensation with regard to council tax setting be given to all Members of Newark & Sherwood District Council for a period of 4 years from the date of this decision.

2.0 Background Information

2.1 The Localism Act 2011 together with the Relevant Authorities (Disclosable Pecuniary Interests (DPI)) Regulations 2012 defines what are Disclosable Pecuniary Interests for councillors.

2.2 It is a criminal offence for a Member to fail to appropriately register or disclose a DPI, or to speak and vote on any matter in which they have a DPI unless they have obtained a dispensation.

2.3 It is within this Committee's remit to consider and grant dispensations.

3.0 Proposals

3.1 One effect of the 2011 Act is that it includes strict definitions of what are Disclosable Pecuniary Interests and imposes a duty upon Members not to participate in any matter where they have a DPI. Included in this definition is any beneficial interest in land or property which is within the Council's area, including the Members' home address.

Therefore even where:

- the matter to be considered results in trivial or remote consequences that are the same for all residents in the Council's area; or
- where a member of the public knowing the relevant facts would not think that they would be influenced by it;

the councillor is not able to factor this into the consideration if the interest is defined as a DPI. The consequences are that if a member speaks and votes where they have DPI as defined by the Regulations and have not sought and been granted a dispensation they will potentially commit a criminal offence.

3.2 Of particular concern is council tax setting where a blanket dispensation will be required for all councillors with property interests in the district (including where they own or rent their home within the district). There is Government Guidance stating that, in these circumstances, a DPI will not arise. However, in order to provide an additional safeguard to councillors it is recommended that a blanket dispensation be given to all members to speak and vote where they would otherwise have a disclosable pecuniary interest where the interest is one, which a member of the public with knowledge of the relevant facts, would not reasonably regard as so significant that it is likely to prejudice the member's judgement of the public interest. The intention of the blanket dispensation would be to grant an automatic dispensation in all cases where the interest is technically caught by the Regulations but is sufficiently remote and/or trivial not to influence their judgement of the public interest. For the avoidance of doubt the blanket dispensation would include:-

- i Housing where the member is a tenant of the Council provided that the functions do not relate particularly to the member's tenancy or lease.
- ii Setting the Council Tax under the Local Government Finance Act 1992 where the member holds property interests within the district (including owning or renting a home within the district).

The above is not intended to be an exclusive list but to give examples of what matters will expressly be covered by the dispensation.

3.3 Where members are unsure whether the blanket dispensation would apply in their particular circumstances, they are advised to err on the side of caution and to apply to the Monitoring Officer in writing to request a specific dispensation.

4.0 Equalities Implications

4.1 There are no equalities implications arising from the contents of this report.

5.0 Financial Implications (FIN19-20/5601)

5.1 There are no financial implications arising from this report.

6.0 RECOMMENDATION

That a general dispensation be granted to all Members of Newark & Sherwood District Council on the grounds set out above for the remainder of the current administration of the Council.

Reason for Recommendation

To enable members to speak and vote on matters where they would otherwise have a DPI but that interest is remote, trivial or insignificant and would not influence their judgement of the public interest.

Background Papers

Nil.

For further information please contact Karen White on x5240.

Karen White
Director - Governance & Organisational Development/Monitoring Officer

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

COMMUNITY PLAN - QUARTER 1 2019/20 PERFORMANCE REPORT

1.0 Purpose of Report

- 1.1 To inform Members in summary of the position against actions and Key Performance Indicators (KPIs) in the Council's Community Plan 2019/23 at the end of quarter 1 of the financial year 2019/20.
- 1.2 To provide Members with information on customer contact, complaints and requests for information.

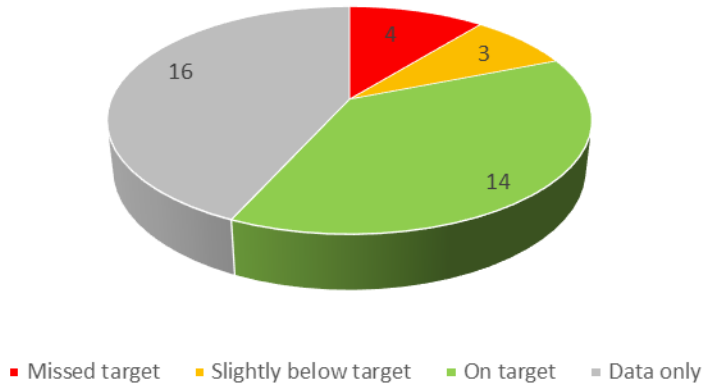
2.0 Background Information

- 2.1 The Council's four year Community Plan 2019/23 was adopted on 7 March 2019 with a strapline of '**servicing people, improving lives**'. The plan sets out the Council's purpose, values and objectives along with improvement/development actions above and beyond normal day to day service related activities.
- 2.2 The Council has made a commitment to closely align budget and performance management. This is in line with accepted good practice.
- 2.3 To deliver this commitment, systems to monitor performance against revenue and capital budgets, Community Plan actions and key performance indicators have been brought together and are now embedded in the way the council works. Whilst the budget and performance information are presented in two separate reports they will be reported to Policy and Performance Committee together and will appear on the same agenda.
- 2.4 Performance reports focus on the Council's Community Plan objectives and serve to provide up to date information on the status of both actions and KPIs underpinning the plan, highlighting achievements and any concerns.

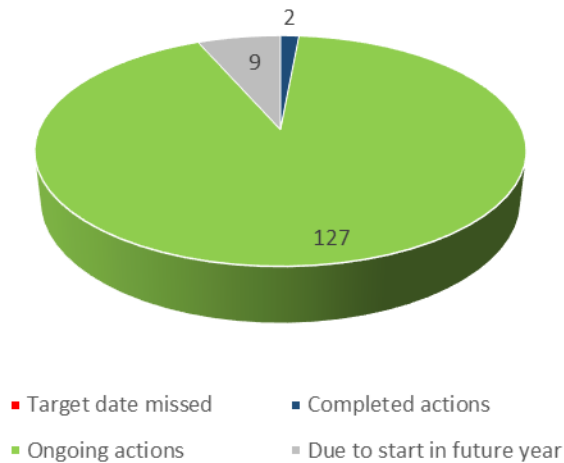
3.0 Overall Performance

- 3.1 There are a total of 138 actions within the plan, as well as 85 KPIs used to measure progress against the plan. Of the KPIs, 37 are collected quarterly, 1 on a six monthly basis, 46 annually and 1 every four years. This report is for quarter 1 2019/20 and focuses on the 37 quarterly KPIs.
- 3.2 Overall performance at quarter 1 against the Council's Community Plan actions and indicators show the following:

2019 Quarter 1 Key Quarterly Performance Indicators



2019 Quarter 1 Community Plan Actions



3.3 **Actions**

Of the 138 Community Plan actions, two are complete, 127 are currently in progress and nine due to commence in future years. It must be noted that this is the first quarter of the 16 quarters in the four year Community Plan.

3.4 **Indicators**

Overall performance for key performance indicators at the end of quarter 1 shows that out of a total 37 quarterly indicators 14 were on or above target, 3 were slightly below target and 4 indicators missed their target. 16 indicators are either for tracking purposes only, or new indicators which will be targeted once baseline data has been established.

3.5 Examples of particularly positive performance during quarter 1 include:

- The time taken to determine all categories of planning applications is improving, with performance for the first quarter showing an improvement on the previous quarter and on the equivalent quarter last year. Performance remains, however, adrift of benchmarking comparators (East Midlands, LG Inform Plus) and will remain a focus for attention;

- Crime and anti-social behaviour continues to fall with the reduction in anti-social behaviour (19%) being extremely encouraging and representing the top performance of Nottinghamshire District Councils;
- Time taken to process new Housing Benefit / Council Tax Support claims (19.67 days) has fallen for the 8th successive month and is ahead of the new stretch target of 20 days;
- The amount of litter on the streets (measured through surveys) has shown an improvement since quarter 4 18/19 and is at the lowest level since March 2017.

3.6 Four performance indicators are currently adrift of their target as follows:

- The percentage of floor space let at the Buttermarket is currently 45% against a 50% target. However, negotiations are close to being concluded with a major new operator which will ensure this target is met;
- Four groups have been approved through the open arts, community and sports grants schemes (target is 5) as a result of some applications being deferred due to further work being required. As members will appreciate it is early in the year and therefore the likelihood is that the target will be met by year end;
- The number of visits to leisure centres is currently operating below target at 420,522 compared to the target of 637,500, although it is higher than the same period last year. The lack of swimming facilities at the Dukeries is currently having an adverse impact on user visits and junior membership (as reported to Leisure and Environment Committee for 2018/19 financial year) in the Ollerton locality. In addition, problems with access control at all sites has led to some visits not being recorded – this has now been addressed;
- Detritus is a further measure of street and environmental cleanliness and in the first quarter was below the 6% target at 9.22%. Accumulation of detritus during a lengthy period of highway works is considered to be the overriding factor for this.

3.7 **Activities**

In addition to the above performance information, set out below is a selection of key activities that have taken place under each objective during the first quarter.

Improve the Cleanliness and Appearance of the Local Environment

- Responding to an outbreak of Graffiti in early 2019 the Council has adopted a Graffiti Policy committing to the removal of most graffiti within 36 hours, as well as committing £10k to fund additional cleansing operatives so that all graffiti in the district can be removed over a 3 month period. The policy also includes provisions for free removal of graffiti from private and commercial dwellings up to 2020/21.
- Responsible dog ownership is being promoted through the PAWS campaign and events such as Bark in the Park. The campaign has seen officers attending local schools to engage young people about responsible dog ownership.
- 35 enforcement notices have been issued in Quarter 1, compared to 9 in the same quarter last year. The team has played a key role in low level graffiti investigation as well as engaging with schools. Follow up press releases and social media campaigns have been implemented to help promote awareness.

- 29 community litter picks have taken place across Newark and Sherwood during quarter 1 and 3 days of action in town centre locations in the district have been planned during 2019/20.

Reduce Crime and Anti-Social Behaviour and Increase Feelings of Safety in our Communities

- The Council has recruited four Community Protection Officers to help reduce enviro crime in particular, ASB and to increase overall feelings of safety.
- A CCTV replacement plan has been approved. In addition to replacing and reviewing CCTV across the district a mobile CCTV camera has been installed in the Winthorpe Road area following concerns from the local community.
- Following on from the award winning Community Alcohol Partnership (CAP) in Ollerton to address alcohol related issues among young people a further CAP has been agreed for Clipstone.
- A new Community Safety Plan (CSP) and governance structure for the Community Safety Partnership has been approved, which provides a new focus for the CSP operational Gypsy and Traveller Group. Activities in the quarter included engagement based around water safety for young people in the community and a celebration of the Gypsy, Roma and Traveller History Month.

Improve Transport Infrastructure to Reduce Congestion and Facilitate Growth

Good progress has been made in terms of closing financial and delivery gaps for Ollerton Roundabout and the Southern Link Road. We remain hopeful of the national government announcement on the A46 and work on the A1 overbridge has commenced in terms of initial scoping and costs, subject to design and build contract discussions with the highways bodies.

Accelerate the Supply of New Homes Including Associated Facilities

Delivery of new homes is encouraging as evidenced in the recently published Statement of 5 Year Housing Supply which confirms that 654 houses were built (115 - affordable) in 2018/19, which exceeds the 454 houses required per year to meet supply requirements. The HRA forms a significant part of this with 65 of the 115 affordable units delivered being new Council houses. Of particular note are the following:

- The Council has adopted a Revised Core Strategy meaning its Development Plan is up to date and decision-making can be clearer for the public and developers. Work on the next stage of the plan is progressing;
- The Council is continuing to improve planning performance meaning that decision making is carried out in a timely manner;
- House building continues on the Middlebeck Strategic Urban Extension (SUE) and at Fernwood, new build starts on site are expected at Thoresby in early 2020 and some progress has been made on delivery of homes in Ollerton and Boughton with the final draft version of the Neighbourhood Study due to be presented to Economic Development Committee in September.

Increase Visits to Newark & Sherwood and The Use of Visitor Attractions by Local Residents

- The Designation Management Plans for Newark, Southwell, and Sherwood have been adopted and the 'Visit' website is under construction.
- Work continues to identify new ways to promote the National Civil War Centre and encourage visitors to the centre and town more widely.
- Pricing policies for ticketed visitor attractions are being reviewed based on customer feedback and experience, and further work is required to encourage local visitors.

Protect, Promote and Enhance the District's Natural Environment

- Phase 1 of improvements to Sherwood Forest Arts and Crafts centre is almost complete and will provide better facilities for visitors.
- Discussions are ongoing with key stakeholders in respect of protecting and enhancing the natural environment, including development of the 5 year Minor to major landscape partnership scheme. This is a multi-agency initiative in the Sherwood area funded by National Lottery Heritage Fund which will deliver a range of activities to improve the natural environment including improving access, protecting and enhancing key wildlife habitats, creating training and job opportunities and promoting events.
- Funding has been secured to improve the play facilities at Vicar Water Country Park and Sconce and Devon Park. At Vicar Water the work will include the replacement of existing equipment with more stimulating and inclusive facilities and at Sconce and Devon a new multi-sensory play trail will be installed.
- Support was provided to the Newark Town Council for its 2019 East Midlands in Bloom entry. Discussions with the Campaign to Protect Rural England, which oversees the Nottinghamshire Best Kept Village Competition, are taking place with a view to encouraging more entries.

Enhance and Sustain Town Centres

The appointment of the Town Centres Manager (TCM) during the quarter has provided a new and targeted focus on town centre transformation. Some key actions in quarter 1 include:

- A Cultural Strategy for Newark has been commissioned and ways to capture town centre footfall are being explored.
- Discussions on permanent commercial tenants for the Buttermarket are ongoing.
- A start on the Robin Hood Hotel site is expected in September 2019.
- The Council has submitted a funding bid for Newark Town Centre to become a Heritage Action Zone (now awarded).
- Developing relationships with Southwell, Edwinstowe and Ollerton and Boughton Town Councils to scope out potential future opportunities for joint activities and initiatives.

Reduce Levels of Deprivation in Target Areas and Remove Barriers to Social Mobility Across the District

- Successful roll out of Year 1 of the Universal Credit Live Service, working with partners such as Citizens Advice to provide personal budgeting services.
- The new Homelessness Prevention and Rough Sleepers Strategy 2019 – 2023 has been officially launched and published and the Homeless Interagency Forum will now focus on developing and delivering a five-year action plan.
- The two successful bids, the Rough Sleeper Initiative and Rapid Re-Housing Pathway, to deliver the Government's Rough Sleeper Strategy are now in the delivery phase, with a steering group reporting to the Safer Nottinghamshire Board.
- Completion of three neighbourhood studies (Bridge, Hawtonville & Ollerton/Boughton) with actions being delivered.
- A new Voluntary and Community Sector Network has been launched, with a successful volunteer recruitment day and a volunteer celebration event delivered.
- Partnership work continues with the YMCA to enable delivery of the activity and community village, which will help young people and families. The Council has led engagement with health and social care and is helping with the Tall Ships Fundraising Challenge in August 2019.

Improve the Health and Wellbeing of Local Residents, with a Particular Focus on Narrowing the Gap in Healthy Life Expectancy and Other Health Outcomes

Work continues around place based approaches to ensure that resources are targeted to address health inequalities in areas of most need, in particular:

- Newark & Sherwood Health and Wellbeing Partnership Plan has been adopted, action plan agreed and a workshop planned to consider targeting interventions, linked to place based working. The Public Health information team is currently working to identify priority areas/wards;
- The Council is supporting development of a social prescribing model and recruitment of link workers with health colleagues;
- The Dukeries swimming pool feasibility stage is now complete with agreement in place to proceed to detailed design.

Increase Participation with the Council and Within Local Communities

Good progress is being made on engaging more widely with residents with some key actions being progressed including:

- Webcasting of Council/Committee meetings is due to commence in September and plans to communicate decisions via social media to increase citizen engagement are being developed;
- The Council is co-ordinating the Parish Conference due to take place on 2 November as a means of engaging with parish members and the wider community;

Work on developing e-newsletters, the residents' panel and establishment of a community initiative fund are ongoing.

Generate More Income, Improve Value for Money and Increase Residents' Satisfaction with the Council

Actions under this objective include maximising the use of technology, embedding a commercial approach across the Council and reallocating resources to gain best value for money. Some achievements to date include:

- Issuing of ipads to all Councillors and access to ModernGov so that they can access emails, agendas and minutes;
- Adoption of a commercial strategy and plans developed to generate income within the Council; A commercial toolkit is currently under development along with a commercial intranet page to help embed a commercial approach across the Council;
- Following the Council's decision in April 2019 that the option of bringing back in house the housing management services is the most cost effective and appropriate way to deliver the management of the Council's housing stock, a thorough tenant and leaseholder consultation exercise has been undertaken in July and August and a report is due to be considered by Policy and Finance Committee on 26 September for a final decision to be taken.

4.0 Customer Contact, Complaints and Requests for Information

4.1 This section provides performance information against a range of corporate indicators in respect of customer comments and requests for service and information.

Category	No. received Q1 2019-20	No. received Q1 2018-19
Customer complaints and service requests	32	27
Requests for information (Freedom of Information/Data Protection Act/Environmental Information Regulations)	288	488
RIPA	0	0
MPs Enquiries	41	Not recorded
Enquiries received by the Ombudsman	2	2

4.2 Customer Contact

4.2.1 Stage 1 – Complaints

The number of Stage 1 complaints received during Quarter 1 was 31. 97% (30) were responded to within the agreed timescale (10 working days). The reason this was not 100% is that one of the cases was particularly complex and took longer to respond to; the customer was notified of the slight delay.

4.2.2 Business Units in receipt of Stage 1 complaints during the quarter, together with further commentary, are set out below:

- Asset Management and Car Parks (1) – Non-response by staff member, resolved through Business Manager contacting complainant;
- Customer Services and Communications (1) – Misinformation relating to elections, resulting in ensuring improved staff training in future;
- Parks and Open Spaces (1) – Conduct of an employee. Complaint not upheld;

- Planning Development (8) - One handling of letter of objection, four planning applications, two enforcement and one work undertaken before planning approval granted. Clarification was provided, with one complaint about a planning application leading to improved procedures;
- Public Protection (4) – Two related to staff attitude, with explanations provided and one complaint not upheld. One related to an accident and data breach – not upheld. One complaint about an event for which clarification of NSDC role was provided;
- Revenues and Benefits (7) – Three complaints relating to Direct Debit payments and four relating to landlord Council Tax liability. In all cases clarification was provided with proposed solutions where appropriate. One complaint led to further guidance being provided to staff;
- Waste and Transport (8) – Four complaints related to an issue with waste collection (two from same customer on garden waste), one about a garden waste collection payment, one about recycling facilities, and one on road sweeping. In all these cases an explanation/clarification was provided with further guidance provided to staff in one case. The eighth complaint related to GDPR, resulting further training being provided for crew members.

Summary

Having analysed the complaints for those business units receiving complaints during the quarter the most common theme is the need to provide further clarification to the complainant. In some cases this has resulted in further guidance or training being issued to staff, but a common learning point should be to ensure communication with customers is always clear and does not include jargon.

Further details are recorded in the Council’s customer complaints system.

4.2.3 Stage 2 - Complaints

Two complaints were received during the quarter. One was regarding an enforcement and planning issue and the second one relates to public protection.

Complaint One – Enforcement and Planning Process

The stage one complaint was regarding a noise nuisance from a business together with how the associated planning application was determined.

The stage two complaint although it was relating to the same issue was a totally different complaint. This complaint was regarding the disclosure of personal information in relation to noise nuisance which was immediately removed. Internal processes have been amended to ensure this doesn’t happen again. Our privacy notice does state though that consultee comments for planning applications including personal details will be published on the website.

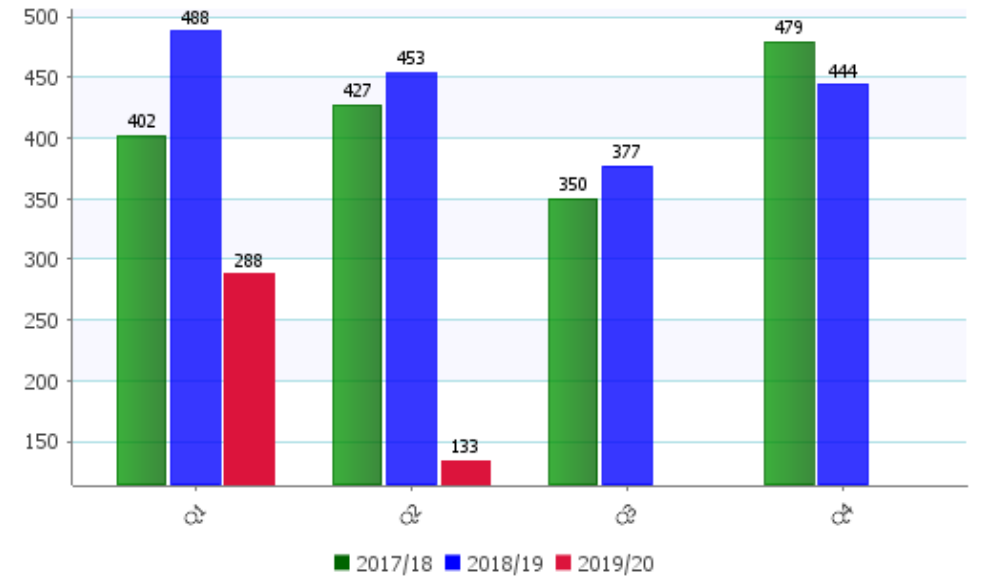
Complaint Two – Public Protection

Alleged data breach regarding disclosing a name. Not upheld.

4.2.4 **Requests for Information (FOI/DPA/EIR)**

The total number of requests for information received during Quarter 1 was 288 which compares to 488 in the same quarter for 2018/19. The decrease is due to one personal search company combining multiple properties into one request coupled with a decline in the number of FOI requests received generally.

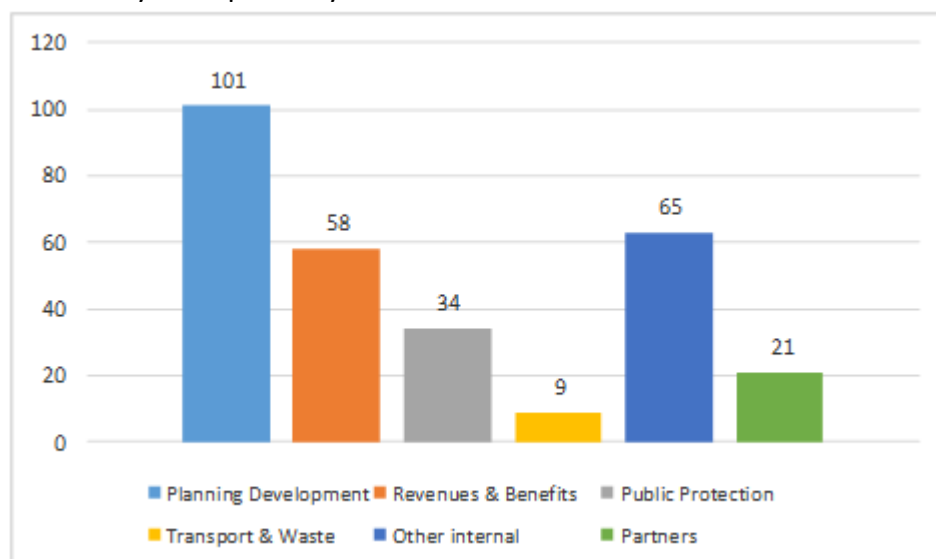
(Q) No. of requests for information received under FOI/DPA/EIR legislation - Whole Council



Additional transparency data is being published on the council’s website e.g. figures for public health funerals which has meant a reduction in requests received for that specific information.

- 158 were Freedom of Information requests, many of which were complex and involved multiple business units and SLT.
- 7 EIR Property Searches;
- 29 Data Protection Act/GDPR requests;
- 14 general EIR requests for planning and enforcement files or Section 106 agreements.

A summary of requests by service areas is included below:



- **Planning Development - 101(35%)**
87 of these were from property search companies for CON 29 information and the remainder for planning files and enforcement files or CIL/S106 information.
- **Revenues and Benefits - 58 (20%)**
Half of these related to business rates from third party organisations for their own commercial purposes and the remainder relate to enquiries about liability for Council Tax usually from enforcement agencies and other local authorities.
- **Public Protection - 34 (12%)**
Covering a range of topics including food safety, animal welfare, licencing, private sector landlords and encampments.
- **Transport and Waste - 9 (3%)**
Have been for with a specific interest in this period on waste collection and recycling.
- **Other internal 65 (23%)**
The remaining requests are spread across 13 other business units. Of these:
 - 30% of requests have been received from property search companies, 20% from individuals who are not local residents, 12% from businesses, 7% from the media, and 5% from local residents.
- **Partner - 21 (7%)**
Requests that do not relate to Council functions were referred to Nottinghamshire County Council, NSH of Town Councils.

Of the requests received:

- All were responded to within the statutory time frame, with an average of 7 working days.
- 213 (74%) have received a full response, 26 (9%) a partial response, 21 (7%) referred elsewhere, 13 (4.5%) refused with exceptions, 13 (4.5%) refused as the time involved would exceed 18 hours and 2 (1%) were withdrawn by the requestor.
- No requests have been charged for.

4.2.5 Authorisations made under Regulation of Investigatory Powers Act

There have been no authorisations made under the Act during Quarter 1.

4.2.6 MPs enquiries relating to residents' queries

There were 41 enquiries from MPs relating to residents' queries, with 13 received from Mark Spencer MP, 27 from Robert Jenrick MP and one from Rory Palmer MEP. These can be broken down into the following categories:

Service area	No. of enquiries received
Anti-social Behaviour	1
Benefits	2
Council Tax	3
Democratic Services	2
Development Control	10
Economic Development	1
Environmental Health	3

Housing, Health and Communities	7
NSH Executive Support	3
Parks and Amenities	2
SLT	1
Waste and Transport	6

The Council have only just started to collect data on MP enquiries. Further work is ongoing to consider how this information can be mapped against other customer data sets to drive service improvements.

Further discussions are due to take place with MPs' PAs to discuss on-going recording of MP enquiries to ensure a more effective joined up approach.

4.2.7 **Ombudsman Enquiries**

During the first quarter of 2019/20 the Council has received **two** enquires from the Ombudsman as set out below which is comparable to the same quarter last year:

- Enquiry 1 - relates to a Parish Council code of conduct. The Ombudsman dismissed the complaint at the **assessment** stage as it was submitted by a parish councillor and the Ombudsman can only accept enquiries from individuals or their nominated representatives;
- Enquiry 2 - this case is at the **investigation** stage and is an ongoing case relating to the assessment of a housing benefit claim.

The Ombudsman has recently published the Annual Review Letter for 2018/19, which will be reported to Policy and Finance Committee in September.

4.2.8 **Other Engagement with Customers and Residents**

A summary of other forms of contact with customers and residents including face to face engagement, phone calls and social media is set out below:

- **Face to Face enquiries**

During the Quarter 2019/20, 3875 customers accessed council services at Castle House compared to 4176 in the same quarter in 2018/19. The slight decrease is likely to be attributed to the DWP having nationally transferred assistance with Universal Credit to Citizen Advice and more services being available on line.

Outreach services in Ollerton and Southwell. During the first quarter of 2019/20 the total number of enquires for council services at Ollerton was 304, compared to 251 in the same quarter in 2018. The reason for the increase in enquiries is that the DWP workload has increased due to Universal Credit and the associated increase in accessing council services. There has been a significant increase in customers accessing the digital service at Ollerton for housing services.

During the first quarter of 2019/20 the total number of enquires for council services at Southwell was 45, which is a significant decrease compared to 98 during the same quarter in 2018/19. The demand for this service and associated promotion and marketing is being monitored.

- **Telephone calls**

During the first quarter the total number of calls received into the contact centre was 25,483, which was a slight increase compared to the first quarter of 2018/19 when 24,434 calls were received. This increase could be attributed to there being two elections during this quarter and the transfer of garden waste enquiries to NSDC which were previously administered by Rushcliffe Borough Council.

- **Social Media**

The number of followers of the corporate Facebook and Twitter accounts have increased during the first quarter compared to the same quarter in 2018/19. Facebook followers have increased from 4,470 in 2018/19 to 6,352 in 2019/20 and Twitter has increased from 9,610 in 2018/19 to 10,100 in 2019/20. This highlights the continued popularity of Social Media and how the Council use it to as a channel to promote key messages and events.

5.0 Equalities Implications

5.1 Each service area is responsible for monitoring any equality implications arising from progressing actions and managing overall performance as set out under the Community Plan.

6.0 Financial Implications

6.1 Revenue Current Year/Future Year

A separate report relating to budgetary performance for quarter 1 has been produced.

6.2 Capital Implications

There are no separate financial implications arising from the information presented in this report. Financial implications for individual activities under each objective will be the subject of separate reports.

7.0 Community Plan – Alignment to Objectives

7.1 This report provides an overview of performance in relation to KPIs and actions referenced in the Community Plan.

8.0 RECOMMENDATION

That the Committee review the report and provide any feedback on the content.

Reason for Recommendation

To enable Members to proactively monitor and manage achievement of the Council's objectives as set out in the Community Plan.

Background Papers

Community Plan 2019/23

For further information please contact Tracey Piper on extension 5219.

John Robinson
Chief Executive

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

INFORMATION REQUESTS, COMPLAINTS AND RIPA UPDATE

1.0 Purpose of Report

- 1.1 To inform Members of the activity in relation to requests made to the Council during the 2018/19 financial year under the General Data Protection Regulation, Data Protection Act 2018, Freedom of Information Act 2000 and Environmental Information Regulations 2004.
- 1.2 To inform Members of the complaints made to the Local Government Ombudsman during 2018/19.
- 1.3 To inform Members of the use by the Council of the Regulation of Investigatory Powers Act 2000 (RIPA) during 2018/19.

2.0 Background Information

- 2.1 Formal requests for information can be made to the Council in accordance with the following pieces of legislation, General Data Protection Regulation (GDPR), Data Protection Act 2018 (DPA), Freedom of Information Act 2000 (FOIA), the Environmental Information Regulations 2004 (EIR) and the Re-Use of Public Sector Information Regulations 2015(RPSI). These legislative areas are all regulated by the information Commissioner who has powers to fine organisations if they breach any of the provisions.
- 2.2 The Local Government Ombudsman (LGO) earlier this year published its annual review statistics for the year ending 31 March 2020. The LGO is the final stage for complaints - the person affected must have gone through the Council's complaints process before escalating their complaint to the LGO. In some cases it is very clear to the LGO that the customer has not taken their complaint to the Council and will advise the customer that they must do so before the LGO can assess their complaint. The Council is not always notified of such cases.

3.0 Information Governance Activity

- 3.1 The total number of information requests received during 2018/19 was 1763, representing an increase of 6% over the 1658 received in the previous financial year. Of these, 820 requests were made under FOIA, 856 under EIR, 10 under GDPR and 77 under DPA.
- 3.2 All responses continue to be made within the statutory timescales. FOIA and EIR requests have to be responded to within 20 working days and during the year the average response times were 7.99 days and 8.91 days respectively. Requests made under GDPR and DPA must be responded to within one month and the average response time was 7.3 days.
- 3.3 73 % of requests related to three areas of the Council's activity – planning development, revenues and environmental health issues:
 - 882 requests were referred to the Planning Development business unit, the majority of these being property search requests which can be made under EIR.

- 225 requests were referred to revenues and benefits, mainly from a small number of businesses wishing to identify companies and charitable organisations liable for business rates within the district so that they could offer assistance in obtaining reliefs.
- 181 requests were referred to Public Protection covering a range of issues from domestic violence to public health funerals.

3.4 Although requests have been received from 26 different sectors over 81% fall within four categories:

- 813 received from Land and Property Search companies
- 355 received from individual members of the public
- 154 received from businesses
- 126 received from the media

4.0 **Ombudsman**

4.1 The LGO made decisions on 10 complaints and enquiries against the Council in the financial year 2018/19. This compares to 16 received in 2017/18. The outcomes were as follows:

Upheld	2
Not upheld – no maladministration	2
Closed after initial enquiries	6
Total	10

These figures are from the figures that the LGO hold which do not align with the figures the Council hold. This is because the LGO numbers include enquires from people who the LGO signpost back to the Council but never contact us. These are captured in the “closed after initial enquires” figures. There is no way of identifying who these customers are.

4.2 Regarding the two upheld complaints, one relates to a complaint which the LGO received in 2016. This case was very complex regarding a planning enforcement issue. The second complaint was regarding an environmental issue. In both cases the Ombudsman found maladministration and injustice. In order to protect the identity of the customers these two cases relate to should Members require any further information please contact Jill Baker.

4.3 The table below details the type of enquiries logged by the LGO together. The logged figures do not match the decided figures as the decided figures are based on the decisions made during 2018/19. Some of these decisions will relate to enquiries logged in a previous year and likewise the LGO will not have reached a decision during 2018/19 on all of the enquiries logged during the year.

Ombudsman Category	Logged by Ombudsman
Benefits and Council Tax	1
Corporate/Other Services	1
Environmental Services	3
Planning and Development	1
Total	6

4.4 The LGO annual review letter is attached to this report as **Appendix 1**. There is a dedicated section on their website which contains a host of information to assist elected Members and the Ombudsman encourages elected members to make use of these resources. This can be found at www.lgo.org.uk/scrutiny

5.0 Regulation of Investigatory Powers Act

5.1 The Regulation of Investigatory Powers Act 2000 (RIPA) is the law governing the use of covert surveillance techniques by public authorities. Local authorities are only permitted to carry out covert surveillance for the purposes of preventing or detecting crime, or preventing disorder and only where such action is necessary, proportionate, justified and compatible with human rights. The Council endeavours to keep such surveillance to a minimum.

5.2 Since 1 November 2012 local authorities have been required to obtain judicial approval prior to using covert techniques. Additionally, since this date local authority use of directed surveillance under RIPA has been limited to the investigation of crimes which attract a six month or more custodial sentence, with the exception of offences relating to the underage sale of alcohol and tobacco.

5.3 Under the legislation it is the responsibility of the designated Senior Responsible Officer, which for the Council is currently the Director – Governance and Organisational Development, to ensure regular reports to Members on the Council's use of RIPA powers.

5.4 The Council's usage of RIPA has always been low and it should be noted that there have been **NO** authorisations of covert surveillance by the Council for the last 6 years. The last inspection of the Council's use of RIPA took place on 20 April 2016. The outcome of that inspection, which was very positive, was reported to the Committee on 1 December 2016. Inspections are undertaken by the Office of Surveillance Commissioner every 3 years and so it is anticipated that the next one will take place sometime this year. There are a number of reasons for the Council's low usage of RIPA, which reflect similar findings with other local authorities, namely:

- The transfer of benefit fraud investigation from local authorities to the DWP;
- The constraints introduced by the change in the legislation now requiring judicial authorisation for surveillance;
- Reduced resources;
- A concentration on deterrence rather than prosecution;
- Adverse reporting in the national media affecting attitudes of both elected Members and officers to covert surveillance; and
- A concentration on using overt as opposed to covert surveillance as a means of investigation.

5.5 The opportunity has been taken to update the Council's RIPA Policy to make it more user friendly and include more guidance for officers to follow. In addition there have been some changes to senior Director posts since the current version of the Policy was adopted and these have also been updated. The amendments are minor ones of form and layout rather than changes to substance and it is recommended that the Committee approve these to

enable the updated Policy to be included within the Council's website. A copy of the updated Policy is attached to the Report as **Appendix 2**.

6.0 Equalities Implications

6.1 Should any customer comment relate to an equality issue the Equalities Working Group are notified.

7.0 Financial Implications

7.1 There are no financial implications arising from this report.

8.0 RECOMMENDATION

That the report be noted and the amended RIPA Policy (as attached in Appendix 2) be approved.

Reasons for Recommendation

To update the Council's RIPA Policy and inform Members of activities in relation to information requests, complaints made to the Local Government Ombudsman and the use of RIPA in 2018/19.

Background Papers

Nil

For further information please contact: Karen White regarding RIPA on ext. 5240 and Jill Baker regarding Information Governance and Ombudsman enquiries on ext. 5810.

Karen White
Director – Governance & Organisational Development

24 July 2019

By email

John Robinson
Chief Executive
Newark & Sherwood District Council

Dear Mr Robinson

Annual Review letter 2019

I write to you with our annual summary of statistics on the complaints made to the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2019. The enclosed tables present the number of complaints and enquiries received about your authority, the decisions we made, and your authority's compliance with recommendations during the period. I hope this information will prove helpful in assessing your authority's performance in handling complaints.

Complaint statistics

As ever, I would stress that the number of complaints, taken alone, is not necessarily a reliable indicator of an authority's performance. The volume of complaints should be considered alongside the uphold rate (how often we found fault when we investigated a complaint), and alongside statistics that indicate your authority's willingness to accept fault and put things right when they go wrong. We also provide a figure for the number of cases where your authority provided a satisfactory remedy before the complaint reached us, and new statistics about your authority's compliance with recommendations we have made; both of which offer a more comprehensive and insightful view of your authority's approach to complaint handling.

The new statistics on compliance are the result of a series of changes we have made to how we make and monitor our recommendations to remedy the fault we find. Our recommendations are specific and often include a time-frame for completion, allowing us to follow up with authorities and seek evidence that recommendations have been implemented. These changes mean we can provide these new statistics about your authority's compliance with our recommendations.

I want to emphasise the statistics in this letter reflect the data we hold and may not necessarily align with the data your authority holds. For example, our numbers include

enquiries from people we signpost back to your authority, some of whom may never contact you.

In line with usual practice, we are publishing our annual data for all authorities on our website, alongside our annual review of local government complaints. For the first time, this includes data on authorities' compliance with our recommendations. This collated data further aids the scrutiny of local services and we encourage you to share learning from the report, which highlights key cases we have investigated during the year.

New interactive data map

In recent years we have been taking steps to move away from a simplistic focus on complaint volumes and instead focus on the lessons learned and the wider improvements we can achieve through our recommendations to improve services for the many. Our ambition is outlined in our [corporate strategy 2018-21](#) and commits us to publishing the outcomes of our investigations and the occasions our recommendations result in improvements for local services.

The result of this work is the launch of an interactive map of council performance on our website later this month. [Your Council's Performance](#) shows annual performance data for all councils in England, with links to our published decision statements, public interest reports, annual letters and information about service improvements that have been agreed by each council. It also highlights those instances where your authority offered a suitable remedy to resolve a complaint before the matter came to us, and your authority's compliance with the recommendations we have made to remedy complaints.

The intention of this new tool is to place a focus on your authority's compliance with investigations. It is a useful snapshot of the service improvement recommendations your authority has agreed to. It also highlights the wider outcomes of our investigations to the public, advocacy and advice organisations, and others who have a role in holding local councils to account.

I hope you, and colleagues, find the map a useful addition to the data we publish. We are the first UK public sector ombudsman scheme to provide compliance data in such a way and believe the launch of this innovative work will lead to improved scrutiny of councils as well as providing increased recognition to the improvements councils have agreed to make following our interventions.

Complaint handling training

We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. In 2018-19 we delivered 71 courses, training more than 900 people, including our first 'open courses' in Effective Complaint Handling for local authorities. Due to their popularity we are running six more open courses for local authorities in 2019-20, in York, Manchester, Coventry and London. To find out more visit www.lgo.org.uk/training.

Finally, I am conscious of the resource pressures that many authorities are working within, and which are often the context for the problems that we investigate. In response to that situation we have published a significant piece of research this year looking at some of the

common issues we are finding as a result of change and budget constraints. Called, [Under Pressure](#), this report provides a contribution to the debate about how local government can navigate the unprecedented changes affecting the sector. I commend this to you, along with our revised guidance on [Good Administrative Practice](#). I hope that together these are a timely reminder of the value of getting the basics right at a time of great change.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'M King', with a horizontal line underneath.

Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Local Authority Report: Newark & Sherwood District Council
For the Period Ending: 31/03/2019

For further information on how to interpret our statistics, please visit our [website](#)

Complaints and enquiries received

Adult Care Services	Benefits and Tax	Corporate and Other Services	Education and Children's Services	Environment Services	Highways and Transport	Housing	Planning and Development	Other	Total
0	1	1	0	3	0	0	1	0	6

Decisions made

Incomplete or Invalid	Advice Given	Referred back for Local Resolution	Closed After Initial Enquiries	Detailed Investigations			Total
				Not Upheld	Upheld	Uphold Rate (%)	
0	0	0	6	2	2	50	10

Note: The uphold rate shows how often we found evidence of fault. It is expressed as a percentage of the total number of detailed investigations we completed.

Satisfactory remedy provided by authority

Upheld cases where the authority had provided a satisfactory remedy before the complaint reached the Ombudsman	% of upheld cases
0	0

Note: These are the cases in which we decided that, while the authority did get things wrong, it offered a satisfactory way to resolve it before the complaint came to us.

Compliance with Ombudsman recommendations

Complaints where compliance with the recommended remedy was recorded during the year*	Complaints where the authority complied with our recommendations on-time	Complaints where the authority complied with our recommendations late	Complaints where the authority has not complied with our recommendations	
2	2	0	0	Number
	100%		-	Compliance rate**
<p>Notes:</p> <p>* This is the number of complaints where we have recorded a response (or failure to respond) to our recommendation for a remedy during the reporting year. This includes complaints that may have been decided in the preceding year but where the data for compliance falls within the current reporting year.</p> <p>** The compliance rate is based on the number of complaints where the authority has provided evidence of their compliance with our recommendations to remedy a fault. This includes instances where an authority has accepted and implemented our recommendation but provided late evidence of that.</p>				



**REGULATION OF INVESTIGATORY POWERS ACT 2000
POLICY AND PROCEDURAL GUIDE¹**

Adopted by Council:	
Reviewed/amended ²	
Reviewed/amended	
Reviewed/amended	

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1. INTRODUCTION

- 1.1 This policy document shall be readily available at the offices of Newark and Sherwood District Council ("the Council"). It will be available on the Intranet for staff use only and the Internet site of the Council for public to view.
- 1.2 The purpose of this document is to ensure that the Council complies with the Regulation of Investigatory Powers Act 2000 (RIPA) and any associated codes of practice or Government (or other) guidance.
- 1.3 This document provides guidance on the regulation of any covert surveillance that is carried out by Council officers. This includes the use of undercover officers, informants and private investigators and other agents of the Council.
- 1.4 Any covert surveillance will have to be authorised and conducted in accordance with RIPA, the statutory codes of practice and this Guide. Any such covert surveillance shall only be for one of the purposes set out in this Guide and for a purpose which the Council is legally required or empowered to investigate as part of its functions.
- 1.5 Covert surveillance will only be used by the Council where it judges such use to be proportionate to the seriousness of the crime or matter being investigated, and the history and character of the individual(s) concerned.
- 1.6 Before requesting authorisation, Investigating Officers will have regard to this document and the statutory Codes of Practice issued under section 71 of RIPA. The Codes of Practice are available from the RIPA co-ordinator and direct from the Home Office at <http://www.homeoffice.gov.uk/counter-terrorism/regulation-investigatory-powers/ripa-codes-of-practice/>
- 1.7 Authorising officers will have to consider whether it is reasonable, necessary and proportionate for Investigating Officers to undertake covert surveillance and

whether it is possible to obtain the evidence through other means.

- 1.8 Authorising Officers must give detailed consideration to the risk of collateral intrusion, i.e. the risk of intruding into the privacy of others while watching someone else. All reasonable and practical steps will have to be taken to minimise or negate this risk.
- 1.9 There should be no situation where an officer engages in covert surveillance without obtaining authorisation in accordance with the procedures set out in this document, the statutory Codes of Practice and from RIPA.
- 1.10 Any queries concerning the content of the document should be addressed to the RIPA co-ordinator. Details of all relevant co-ordinator and authorising officer details are on page 18 of this document.
- 1.11 If you are in any doubt as to whether RIPA applies to any activity you intend to carry out, please seek legal advice from the team or RIPA co-ordinator before you undertake the activity.
- 1.12 This policy should be read in conjunction with the Council's social media policy.

2. THE REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA)

2.1 The background to RIPA

RIPA provides a legal framework for the control and regulation of surveillance and information gathering techniques which public authorities undertake as part of their duties.

The need for such control arose as a result of the Human Rights Act 1998. Article 8 of the European Convention on Human Rights states that:-

1. Everyone has the right to respect for his private and family life, his home and his correspondence.
2. There shall be no interference by a public authority with the exercise of this right except such as is in accordance with the law and is necessary in a democratic society in the interests of national security, public safety or the economic wellbeing of the country, for the prevention of disorder or crime, for the protection of health and morals or for the protection of the rights and freedoms of others.

This right under Article 8 is a "qualified right" and public authorities can interfere with this right for the reasons given in paragraph 2 of Article 8 (above).

RIPA provides the legal framework for lawful interference.

2.2 The scope of this Policy and Guide

This Guide intends to cover the surveillance and information gathering techniques which are most likely to be carried out by the Council.

Neither RIPA nor this Guide covers the use of any "overt" surveillance (i.e. out in the open so that the person/people being observed would know), general observation that forms part of the normal day to day duties of officers, the use of equipment to merely reinforce normal sensory perception (i.e. binoculars) or circumstances where members of the public who volunteer information to the Council.³

RIPA does not normally cover the use of overt CCTV surveillance systems since members of the public are aware that such systems are in place.

If an Investigating Officer envisages using any CCTV system for surveillance they should contact the RIPA co-ordinator.

RIPA deals with a wide variety of surveillance types. Some of the other techniques that are covered by RIPA will not, or cannot, be used by local authorities. These include:-

1. Interception of any communication such as postal, telephone or electronic communications without both the sender and receiver's permission; ie to prevent the addressee receiving the communication or reading it prior to them receiving it.
2. The acquisition and disclosure of information as to who has sent or received any postal, telephone or electronic communication; and
3. The covert use of surveillance equipment within any premises or vehicle, including business premises and vehicles with the intention of covertly gathering information about the occupant(s) of such premises or vehicles.

2.3 Consequences of not following RIPA

Section 27 of RIPA provides that surveillance shall be lawful for all purposes if authorised and conducted in accordance with an authorisation granted under RIPA.

Lawful surveillance is exempted from civil liability

Although not obtaining authorisation does not make the authorisation unlawful per se, it does have serious consequences:-

- (i) Evidence that is gathered is likely to be inadmissible in court;
- (ii) The subjects of surveillance can bring their own proceedings or defeat proceedings brought by the Council against them on human rights grounds, ie. we have infringed their rights under Article 8;
- (iii) If a challenge under Article 8 is successful the Council could face a claim for financial compensation;
- (iv) A complaint could be made to The Investigatory Powers Commissioner's Office and
- (v) The government has also introduced a system of tribunal. Any person who believes that their rights have been breached can have their complaint dealt with by way of a tribunal.

All of the above have a financial impact on the Council as well as harming our reputation with the public, the courts and other professionals.

2.4 The Surveillance Commissioner

Investigatory Powers Commissioner's Office (IPCO) provides independent review and regulation of the use of investigatory powers by intelligence agencies, police

forces, councils and other public authorities.

The IP Commissioner and his Judicial Commissioners are responsible for regulating and overseeing the use of investigatory powers by public authorities which include law enforcement, the intelligence agencies, prisons, local authorities and other government agencies (e.g. regulators). In total over 600 public authorities and institutions have investigatory powers.

The IPCO has unrestricted access to all locations, documentation and information systems as necessary to carry out their full functions and duties. They regularly review the way in which public authorities implement the requirements of RIPA. The Council will receive periodic visits from the IPCO. They will check to see if the Council is complying with RIPA.

It is important that the Council can show, with appropriate evidence, that it complies with this Policy and guidance and with the provisions of RIPA.

3. COVERT SURVEILLANCE

There are three categories of covert surveillance:-

1. Directed surveillance
2. Covert human intelligence sources (CHIS); and
3. Intrusive surveillance (but nothing in this Policy allows the authorising of “Intrusive surveillance” as defined in RIPA (ie. in respect of anything taking place on residential premises or in a private vehicle, involving the presence of an investigator on those premises/vehicles or carried out through a surveillance device such as a camera, recording device or similar).

3.1 Directed Surveillance (DS)

3.1.1 The majority of covert surveillance that will be undertaken by the Council will fall under the heading of Directed Surveillance (DS).

3.1.2 DS is defined as surveillance which is covert, but not intrusive, and is undertaken:-

- (a) for the purpose of a specific investigation or operation;
- (b) in such a manner as it is likely to result in obtaining private information about a person (whether or not that person is the target of the investigation or operation); and
- (c) in a planned manner and not by way of an immediate response whereby it would not be reasonably practicable to obtain an authorisation prior to the surveillance being carried out. i.e. if an officer walked past just as a fly-tip took place and recorded it on their mobile phone getting the drivers car registration and video of him.

3.1.3 It is irrelevant where the subject of the DS is being observed.

3.1.4 If you intend to instruct an agent (eg a process server or investigative service) to carry out the DS the agent must complete and sign the form marked “agent’s agreement form” contained in **Appendix B**. The agent will be subject to RIPA in the same way as any employee of the Council would be. This is unlikely to happen often in the Council

3.1.5 The flow chart in **Appendix C** gives guidance on when authorisation might be needed.

3.2 Covert Human Intelligence Sources (CHIS)

3.2.1 This involves the establishment or maintenance of a personal or other relationship with a person for the covert purpose of obtaining or disclosing private information. A CHIS is a person who:-

- (a) establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c);
- (b) covertly uses such a relationship to obtain information or to provide access to any information to another person; or
- (c) covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.

3.2.2 A relationship is established or maintained for a covert purpose if and only if it is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the purpose. Eg signing on with a false social media account to hide that you are from NSDC and engaging with someone on there.

3.2.3 A relationship is used covertly and information obtained is disclosed covertly, if and only if the relationship is used or the information is disclosed in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question. Eg asking a pub landlord to listen in on a customer and report to NSDC about them; asking a neighbour to befriend someone suspected of ASB and to keep diary sheets about them for NSDC

3.2.4 Covert Human Intelligence Sources may only be authorised if the following arrangements are in place:

- that there will at all times be an officer within the local authority who will have day to day responsibility for dealing with the CHIS on behalf of the authority, and for the CHIS's security and welfare;
- that there will at all times be another officer within the local authority who will have general oversight of the use made of the CHIS;
- that there will at all times be an officer within the local authority who has responsibility for maintaining a record of the use made of the CHIS; and
- that the records relating to the CHIS maintained by the local authority will always contain particulars of all matters specified by the Secretary of State in Regulations.

3.2.5 Legal advice should always be sought where any matters for investigation may involve the use of other enforcement agencies, including the police.

3.2.6 Special consideration must be given to the use of vulnerable individuals for CHIS. A 'vulnerable individual' is a person who is or may be in need of community care services by reason of mental or other disability, age or illness and who is or may be unable to take care of himself, or unable to protect himself against significant harm or exploitation.

3.2.7 Any individual of this description, or a juvenile as defined below, should only be

authorised to act as a CHIS in the most exceptional circumstances and only then when authorised by the Chief Executive or, in his absence, by the person acting as Chief Executive or in case of short term absences, by the Director of Governance and Organisational Development and Monitoring Officer.

- 3.2.8 Before an Investigating Officer undertakes any surveillance involving a vulnerable individual they **must obtain legal advice** and consult the RIPA co-ordinator concerning any clarification on the administrative process. Also in these cases, any authorisation must be carried out by the Chief Executive or, in his absence, by the person acting as Chief Executive or in case of short term absences, by the Director of Governance and Organisational Development and Monitoring Officer
- 3.2.9 Special safeguards also apply to the use or conduct of juvenile CHIS; ie someone under the age of 18 years you wish to engage as a CHIS. On no occasion should the use or conduct of CHIS under 16 years of age be authorised to give information against his parents or any person who has parental responsibility for him.
- 3.2.10 There must be additional supervision and care taken for any proposed juvenile CHIS and the person responsible for their use must ensure that additional consideration of their wellbeing and safety is documented before, during and throughout the matter. Refer back to paragraphs 3.2.4 and 3.2.6 above
- 3.2.11 In other cases, authorisations should not be granted unless the special provisions contained within The Regulation of Investigatory Powers (Juveniles) Order 2000; SI No. 2793 are satisfied. Authorisations for juvenile sources should only be granted by the Chief Executive (or in his absence, the acting Chief Executive).
- 3.2.12 Before an Investigating Officer undertakes any surveillance involving a juvenile they must consult the RIPA co-ordinator.
- 3.2.13 The flow chart in **Appendix D** gives guidance on when authorisation might be needed.
- 3.2.14 Any Investigating Officer considering the use of a CHIS must seek advice from the RIPA Co-ordinator before taking any steps in relation to a CHIS.

3.3 Intrusive surveillance

- 3.3.1 Intrusive surveillance is defined as covert surveillance that:-
- (a) is carried out in relation to anything taking place on/in any residential premises or in any private vehicle; and
 - (b) involves the presence of any individual on the premises or in the vehicle or is carried out by means of a surveillance device.
 - (c) if the device is not located on the premises or in the vehicle, it is not intrusive surveillance unless the device consistently provides information of the same quality and detail as might be expected to be obtained from a device actually present on the premises or in the vehicle.

Local authorities are not authorised to conduct intrusive surveillance.

4. Procedure for Obtaining Authorisations

- 4.1 The Senior Responsible Officer:-

Role:

- 4.1.1 The Director – Governance and Organisational Development and Monitoring Officer is designated the Council’s Senior Responsible Officer (SRO) with responsibilities for:-
- (a) ensuring the integrity of the Council’s RIPA processes;
 - (b) ensuring compliance with RIPA legislation and the Home Office Codes of Practice;
 - (c) engaging with the IPCO when its inspector conducts an inspection;
 - (d) overseeing the implementation of any post-inspection plans;
 - (e) ensuring that all Authorising Officers are of an appropriate standard in light of any recommendations made by the IPCO inspection reports;
 - (f) ensuring that concerns are addressed, where IPCO inspection highlights concerns about the standards of Authorising Officers or application of RIPA.

4.2 Authorising Officers

Role:

Authorising Officers can authorise, review and cancel directed surveillance. Each of them can authorise, review and cancel the employment of a juvenile or vulnerable CHIS, or the acquisition of confidential information.

- 4.2.1 The Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010 prescribes that for local authorities the Authorising Officer shall be a Director, Head of Service, Service Manager or equivalent. They must be distinct and in a senior role from the officer responsible for the conduct of an investigation.
- 4.2.2 Officers of a lower rank **cannot** grant authorisations.
- 4.2.3 A designated Authorising Officer must qualify **both** by rank and by competence. Officers who wish to be designated must have been trained to an appropriate level and must maintain their training appropriately so as to have an understanding of the Act and the requirements that must be satisfied of before an authorisation can be granted.

Appendix A sets out the officers within the Council who can grant authorisations.

- 4.2.4 Authorisations must be given in writing by the Authorising Officer. .
- 4.2.5 Authorising Officers are also responsible for carrying out regular reviews of applications which they have authorised and also for the cancellation of authorisations.

4.3 Investigating Officers - What they must to before applying for authorisation.

- 4.3.1 Investigating Officers should think about the need to undertake DS or CHIS before they seek authorisation. They need to consider whether they can obtain the information by using techniques other than covert surveillance. There is nothing

that prevents an Investigating Officer discussing the issue of surveillance before progressing further. Consultation should take place with the Officer's manager and/or legal services. Any comments made by a manager or legal representative should be entered into the application for authorisation. Notes of all the discussions should be kept and retained on file.

4.3.2 The Codes of Practice advise that Authorising Officers should not be directly responsible for authorising investigations or operations in which they are directly involved although it is recognised that this may sometimes be unavoidable. This is highly unlikely however. Legal advice together with advice from the Authorising Officer's senior line manager should take place before any authorisation is signed in these circumstances.

4.3.3 If an Investigating Officer intends to carry out DS or use CHIS they should complete and submit an "Application for Directed Surveillance" form which is marked as such, or an "Application for the use of CHIS" to an Authorising Officer. An electronic version of the most up-to-date forms and Codes of Practice are available online downloaded from the Home Office in **Appendix B**. The Investigating Officer should also consider including an assessment of the risk of collateral intrusion and detail any measures taken to limit this.

4.3.4 **Appendix C** shows the steps which are required as part of the authorisation process and the Covert Surveillance and Property Interference Revised Code of Practice (August 2018) contains best practice guidelines with regard to applications for Directed Surveillance including the need for information to be presented in a fair and balanced way.

4.3.5 The person seeking the authorisation should obtain a Unique Reference Number from the RIPA Co-ordinator and complete parts 1 and 2 of the form having regard to the guidance given in this Guide and the statutory Codes of Practice.

4.3.6 The form should then be submitted to the Authorising Officer for authorisation.

4.4 Authorising Officers - What they must do before authorising surveillance

4.4.1 Before giving authorisation an Authorising Officer **must** be satisfied that the reason for the request is the permitted reason under the Act and permitted under the Regulation of Investigatory Powers (Directed Surveillance and Covert Human Intelligence Sources) Order 2010, i.e.

- in the case of directed surveillance, for the purpose of the prevention and detection of conduct which constitutes one or more criminal offences that are:
 - (i) punishable by a maximum term of at least 6 months imprisonment;
or
 - (ii) are offences under:
 - a. Section 146 of the Licensing Act 2003 (sale of alcohol to children)
 - b. Section 147 of the Licensing Act 2003 (allowing the sale of alcohol to children)
 - c. Section 147A of the Licensing Act 2003 (persistently selling alcohol to children); or
 - d. Section 7 of the Children and Young Persons Act 2003 (sale of tobacco etc. to persons under eighteen); and

or

- in the case of CHIS, for the purpose of the prevention and detection of crime or for the preventing of disorder;

and

- e. the desired result of the covert surveillance cannot reasonably be achieved by other means;

and

- f. the risks of collateral intrusion (the risk of obtaining private information about persons who are not the subject of investigation) have been properly considered, and the reason for the surveillance is balanced proportionately against the risk of collateral intrusion with particular consideration given to cases where religious, medical, journalistic or legally privileged material may be inferred or where communications between a Member of Parliament and another person on constituent business may be involved.

and

- g. there must also be consideration given to the possibility of collecting confidential personal information. If there is a possibility of collecting personal information the matter should be passed to the Senior Responsible Officer for consideration.

4.4.2 An Authorising Officer **must** also be satisfied that the surveillance in each case is **necessary** and **proportionate**.

This is defined as:-

Necessity

- Obtaining an authorisation under the 2000 Act will only ensure that there is a justifiable interference with an individual's Article 8 rights if it is necessary and proportionate for these activities to take place.
- The 2000 Act first requires that the person granting an authorisation for directed surveillance believes that the authorisation is necessary in the circumstances of the particular case for the statutory ground in section 28(3)(b) of the 2000 Act being "*for the purpose of preventing or detecting crime or of preventing disorder*".

Proportionality

- The following elements of proportionality should be considered:
 - i) balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or harm;
 - ii) explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
 - iii) considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the information sought;
 - iv) evidencing as far as reasonably practicable, what other methods have been considered and why they were not implemented, or have been implemented unsuccessfully.

When the Authorising Officer has considered if the surveillance is necessary and proportionate they must complete the relevant section of the form explaining why in his/her opinion the surveillance is necessary and proportionate.

4.5 Judicial Approval

4.5.1 From 1 November 2012, any DS or CHIS authorisation granted by an Authorising Officer **does not** take effect until an order has been made by a Justice of the Peace ("Magistrate") approving the grant of the authorisation.

4.5.2 When an authorisation has been granted by an Authorising Officer, an Officer authorised by the Council to appear on its behalf in Magistrates' Court proceedings (the "Applicant") needs to make an application to the Magistrates' Court for judicial approval of the authorisation before the authorisation can take effect (i.e. before lawful surveillance can begin). These steps will be taken by Legal Services. The Investigating Officer will however be asked to attend court when the application is heard.

4.5.3 Under the Criminal Procedure Rules 2012, the Applicant must:

- (i) apply in writing and serve the application on the appropriate court officer;
- (ii) attach the authorisation which the Applicant wants the court to approve (NB the original authorisation should be shown to and a copy provided to, the Magistrate. The original authorisation should be retained by the Investigating Officer) ;
- (iii) attach such other material (if any) on which the Applicant is relying to satisfy the court that the authorisation was necessary for the purposes of the prevention and detection of crime and was proportionate (as set out in paragraph 4.4.1) and that the authorisation was granted by a person designated for the purposes of RIPA .

The Applicant should also provide the Magistrate with two copies of a partially completed judicial application/order to assist the process.

4.5.4 The relevant Magistrate may approve the granting of a DS authorisation if, and only if, they are satisfied that:

- (i) at the time of the grant (i.e. when approval was given by the Authorising Officer):
 - a. there were reasonable grounds for believing that the authorisation was necessary for the purposes of the prevention and detection of crime and was proportionate (as set out in paragraph 4.4.1); and
 - b. that the authorisation was granted by a person designated for the purposes of authorising DS; and
- (ii) at the time when the relevant Magistrate is considering the matter, there remain reasonable grounds for believing that the authorisation is necessary and proportionate (as set out in paragraph 4.4.1)

4.5.5 The relevant Magistrate may approve the granting of a CHIS authorisation if, and only if, they are satisfied that:

- (i) at the time of the grant (i.e. when approval was given by the Chief Executive)
 - a. there were reasonable grounds for believing that the authorisation was necessary for the purposes of the prevention and detection of crime or disorder and was proportionate (as set out in paragraph 4.4.1) and that the arrangements set out in paragraph 3.2.3, together with any other prescribed requirements, were in place; and
 - b. that the authorisation was granted by a person designated for the purposes of authorising CHIS, and
 - (ii) at the time when the relevant Justice of the Peace is considering the matter, there remain reasonable grounds for believing that the authorisation is necessary and proportionate (as set out in paragraph 4.4.1)
- 4.5.6 Where an application is approved by a Magistrate, the Investigating Officer should:
- (i) retain a copy of the judicial application/order that has been signed by the Magistrate;
 - (ii) retain the original authorisation; and
 - (iii) notify the RIPA Co-Ordinator of the Court's approval for the authorisation and provide a copy of the authorisation, application and Order for the RIPA records.
- 4.5.7 Where an application is not approved by a Magistrate, the authorisation does not take effect and the surveillance proposed in the authorisation must not be carried out.
- 4.5.8 Where an application is refused by a Magistrate, the Magistrate may make an order quashing the authorisation.

5. Record Keeping, Duration, Review, Errors, Renewal and Cancellation of Authorisations and Errors

5.1 Record Keeping

- 5.1.1 A record of all authorisations should be centrally retrievable within the Council for a period of at least three years and should be regularly updated and made available to the Investigatory Powers Commissioner and inspectors upon request. This record should contain the information outlined within the Covert Surveillance and Property Interference Revised Code of Practice (August 2018).

5.2 Duration

- 5.2.1 DS authorisations will cease to have effect after three months from the date of judicial approval unless renewed (also subject to judicial approval) or cancelled.
- 5.2.2 Authorisations should be given for the maximum duration (i.e. three months) but reviewed on a regular basis and formally cancelled when no longer needed.
- 5.2.3 CHIS authorisations will cease to have effect after twelve months from the date of approval. However, if using a juvenile CHS, the authorisation lasts for one month only but can be reviewed and renewed with court approval. For CHIS authorisations, legal advice must be sought.

5.2.4 Investigating Officers should indicate within the application the period of time that they estimate is required to carry out the surveillance, this will be proportionate to the objectives of the investigation and give due consideration to collateral intrusion.

5.2.5 From 1 November 2012, urgent verbal authorisations are no longer available.

5.2.7 It is the responsibility of the Investigating Officer to make sure that the authorisation is still valid when they undertake surveillance.

5.3 Review

5.3.1 An Investigating Officer must carry out a regular review of authorisations. If an authorisation is no longer required it **must** be cancelled.

5.3.2 The results of any review must be included on the review form (see forms “Review of Directed Surveillance” and “Review of CHIS” available from the RIPA Co-ordinator, or the Home Office website address given in **Appendix B**).

5.3.3 The Authorising Officer also has a duty to review authorisations that have been granted when it is necessary or practicable to do so. Particular attention should be given to authorisations involving collateral intrusion or confidential material.

5.3.4 The Authorising Officer should keep a copy of the review form for at least 3 years and a copy should be given to the Investigating Officer. A copy of the review form must also be sent to the RIPA Co-ordinator.

5.4 Renewals

5.4.1 An Investigating Officer can ask for, and an Authorising Officer can grant, subject to judicial approval, a renewal of an authorisation before it would cease to have effect and not more than 7 days before the original authorisation is due to expire.

5.4.2 A renewal can last for up to three months, effective from the date that the previous authorisation would cease to have effect.

5.4.3 An Authorising Officer can grant more than one renewal, subject to judicial approval, as long as the request for authorisation still meets the requirements for authorisation. An Authorising Officer must still consider all of the issues that are required for a first application before a renewal can be granted.

5.4.4 If the reason for requiring authorisation has changed from its original purpose it will not be appropriate to treat the application as a renewal. It should be treated as a new authorisation request. The original authorisation should be cancelled and a new authorisation should be sought, granted by an Authorising Officer and approved by a Magistrate.

5.4.5 An application for a renewal must be completed on the appropriate form (see forms “Renewal of Directed Surveillance” and “Renewal of CHIS” available from the RIPA Co-ordinator, or the Home Office website address given in **Appendix B**).

5.4.6 The Authorising Officer should keep a copy of the renewal and a copy should be given to the Investigating Officer. A copy of the renewal form, judicial application and order must also be sent to the RIPA Co-ordinator.

5.5 Cancellations

- 5.5.1 If the reason for requiring the authorisation no longer exists, the authorisation must be cancelled and in any event as soon as the operation for which an authorisation was sought ceases to be necessary or proportionate. This applies to both original applications and renewals (see forms “Cancellation of Directed Surveillance” and “Cancellation of CHIS” available from the RIPA Co-ordinator, or the Home Office website address given in **Appendix B**).
- 5.5.2 Authorisations must also be cancelled if the surveillance has been carried out and the original aim has been achieved. Authorising Officers will ensure that authorisations are set to expire at the end of the appropriate statutory period.
- 5.5.3 It is the responsibility of the Investigating Officer to monitor their authorisations and seek cancellation of them where appropriate.
- 5.5.4 The Authorising Officer should keep a copy of the cancellation form and a copy should be given to the Investigating Officer. A copy of the cancellation form must also be sent to the RIPA Co-ordinator.

5.6 Errors in applications

- 5.6.1 An error must be reported if it is a “relevant error” to the Investigatory Powers Commissioner as soon as reasonably practicable. If the error is of a serious nature then the Commissioner may require that the person concerned (i.e. who you intended to monitor) is informed of the error. They will consider the seriousness of the error and the potential impact on the person involved ie under surveillance. Legal advice should be sought as soon as possible if errors are identified

5.7 Review of Policy and Procedure

The Council’s Policy and Finance Committee will receive annual reports on the use of RIPA including the use of RIPA by the Authority.

6. The RIPA Co-ordinator

6.1 Role

The RIPA Co-ordinator will:-

- (i) provide a Unique Reference Number for each authorisation sought;
- (ii) keep copies of the forms for a period of at least three years;
- (iii) keep a register of all of the authorisations, reviews, renewals and cancellations, including authorisations granted by other public authorities relating to joint surveillance by the Council and that other public authority;
- (iv) provide administrative support and guidance on the processes involved;
- (v) monitor the authorisations, reviews, renewals and cancellations so as to ensure consistency throughout the Council;
- (vi) monitor each department’s compliance and act on any cases of non-compliance;
- (vii) provide training and further guidance on and awareness of RIPA and the provisions of this Guide; and

- (viii) review the contents of the Guide, in consultation with Investigating Officers, Authorising Officers and the Senior Responsible Officer.

All original applications for authorisations and renewals including those that have been refused must be passed to the RIPA Co-ordinator as soon as possible after their completion with copies retained by the Authorising Officer and the Investigating Officer.

The RIPA Co-ordinator shall be either of the people in post of Senior Legal Officer.

All cancellations must also be passed to the RIPA Co-ordinator.

6.2 It is however the responsibility of the Investigating Officer, the Authorising Officers and the Senior Responsible Officer to ensure that:-

- (i) authorisations are only sought and given where appropriate;
- (ii) authorisations are only sought and renewed where appropriate;
- (iii) authorisations are reviewed regularly;
- (iv) authorisations are cancelled where appropriate; and
- (v) they act in accordance with the provisions of RIPA.

7. Legal Advice

Legal Services will provide legal advice to staff making, renewing or cancelling authorisations, including making applications for judicial approval.

8. Joint Investigations/Collaborative working

Where joint investigations are carried out with other agencies, such as the Department of Work and Pensions (DWP) or the Police, the RIPA Co-ordinator should be notified of the joint investigation and provided with a copy of any RIPA authorisation granted by another agency in respect of a joint investigation involving Council officers.

Any person granting or applying for an authorisation will need to be aware of the particular sensitivities in the local community where the surveillance is taking place.

Where possible, public authorities should try to avoid duplication of authorisations as part of a single investigation or operation. Where two agencies are conducting directive or intrusive surveillance as part of a joint operation, only one authorisation is required. Be cautious however of undertaking any form of surveillance that the Council is not authorised to do under another Authorities authorisation.

9. National Anti-Fraud Network (NAFN)

9.1 Since September 2014, Local Authorities can only access communications data via the National Anti-Fraud Network (NAFN). 'NAFN is a not-for-profit, non-incorporated body formed by its members to provide services which support their work in the protection of the public purse. Established in 1997, NAFN was created as a centre of excellence to provide data and intelligence to its members. This includes assisting members in the provision of effective corporate and financial governance. NAFN works with its members and other stakeholders to enhance and expand its

range of services. It maintains all data in a secure and confidential environment conforming to Government legislation and national best practice

- 9.2 The Council is a member of NAFN. We must remain a paid up member in order to make use of its single point of contact (SPoC) service in relation to communications data.
- 9.3 The Council is a member, primarily to make use of other services provided by NAFN (credit referencing, DVLA checks, debtor tracing etc.) but given that Officers could now utilise the RIPA SPoC service and obtain communications data, guidance needs to be in place to govern the process.
- 9.4 This procedural guide is based on the requirements of The Regulation of Investigatory Powers Act 2000 (RIPA) and the Home Office Code of Practice on the Acquisition and Disclosure of Communication Data. The Council takes responsibility for ensuring its RIPA procedures are continuously improved and asks that any Officers with suggestions contact the RIPA Coordinator in the first instance. If any of the Home Office Codes of Practice change, the appropriate guide will be updated, and the amended version placed on the internet / published accordingly. Regular training sessions will also be provided to ensure that staff members are fully conversant with the Act

10. Complaints

The Investigatory Powers Tribunal (IPT) has jurisdiction to investigate and determine complaints against a public authority use of investigatory powers. It is the only appropriate tribunal for human rights claims against the intelligence services. All complaints for the use of powers should be directed to the IPT.

Notes and definitions

Superscript notes:

1. Wherever in this document the word Policy and/or Guide is used; this applies to this whole document and is the Council's RIPA Policy.
2. Complete dates on when Policy is adopted and then dates of each review.

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OFFICERS

The following officers are the Senior Authorising Officer and the Authorising Officers for the purposes of RIPA.

<p>Senior Responsible Officer</p> <p>Director Governance and Organisational Development and Monitoring Officer - Karen White</p>
<p>Authorising Officers – Directed Surveillance</p> <p>Sanjiv Kohli - Deputy Chief Executive. Director of Resources. S151 officer</p> <p>Matthew Finch- Director of Communities and Environment</p> <p>Matt Lamb –Director of Growth and Regeneration</p>
<p>Authorising Officer – CHIS</p> <p>Chief Executive – John Robinson</p>
<p>RIPA Co-Ordinator – Senior Legal Officer – Caroline O'Hare</p>

AUTHORISATION FORMS

All of the forms necessary for RIPA are available from the Home Office website. These forms are a mandatory part of the process and must be used in line with the guidance.

All decisions about using regulated investigatory powers must be recorded as they are taken on the required form.

This is the case for applicants seeking authority to undertake regulated conduct and for Authorising Officers and designated persons who consider and decide whether to grant authority or give notice for that conduct. Select the form that you require from the hyperlinked lists below:-

<https://www.gov.uk/government/collections/ripa-forms--2>

Directed Surveillance

<https://www.gov.uk/government/publications/application-for-use-of-directed-surveillance>

<https://www.gov.uk/government/publications/renewal-form-for-directed-surveillance>

<https://www.gov.uk/government/publications/review-of-use-of-directed-surveillance>

<https://www.gov.uk/government/publications/renewal-form-for-directed-surveillance>

Covert Human Intelligence Sources

<https://www.gov.uk/government/publications/application-for-the-use-of-covert-human-intelligence-sources-chis>

<https://www.gov.uk/government/publications/reviewing-the-use-of-covert-human-intelligence-sources-chis>

<https://www.gov.uk/government/publications/reviewing-the-use-of-covert-human-intelligence-sources-chis>

<https://www.gov.uk/government/publications/cancellation-of-covert-human-intelligence-sources-chis>

Reporting errors to the IOCCO

<https://www.gov.uk/government/publications/reporting-an-error-by-a-csp-to-the-iocco>

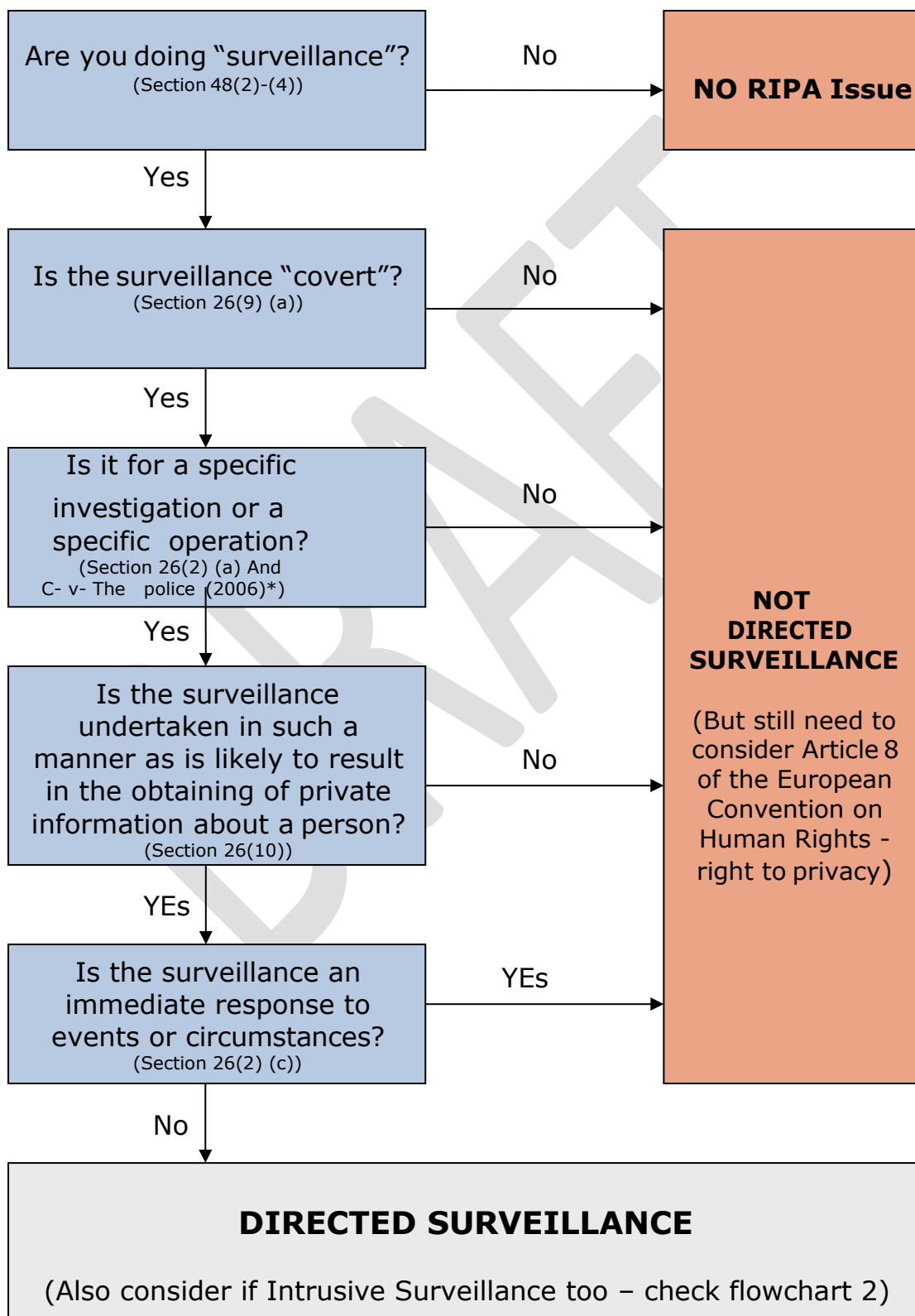
<https://www.gov.uk/government/publications/reporting-an-error-by-a-public-authority-to-the-iocco>

FLOWCHARTS

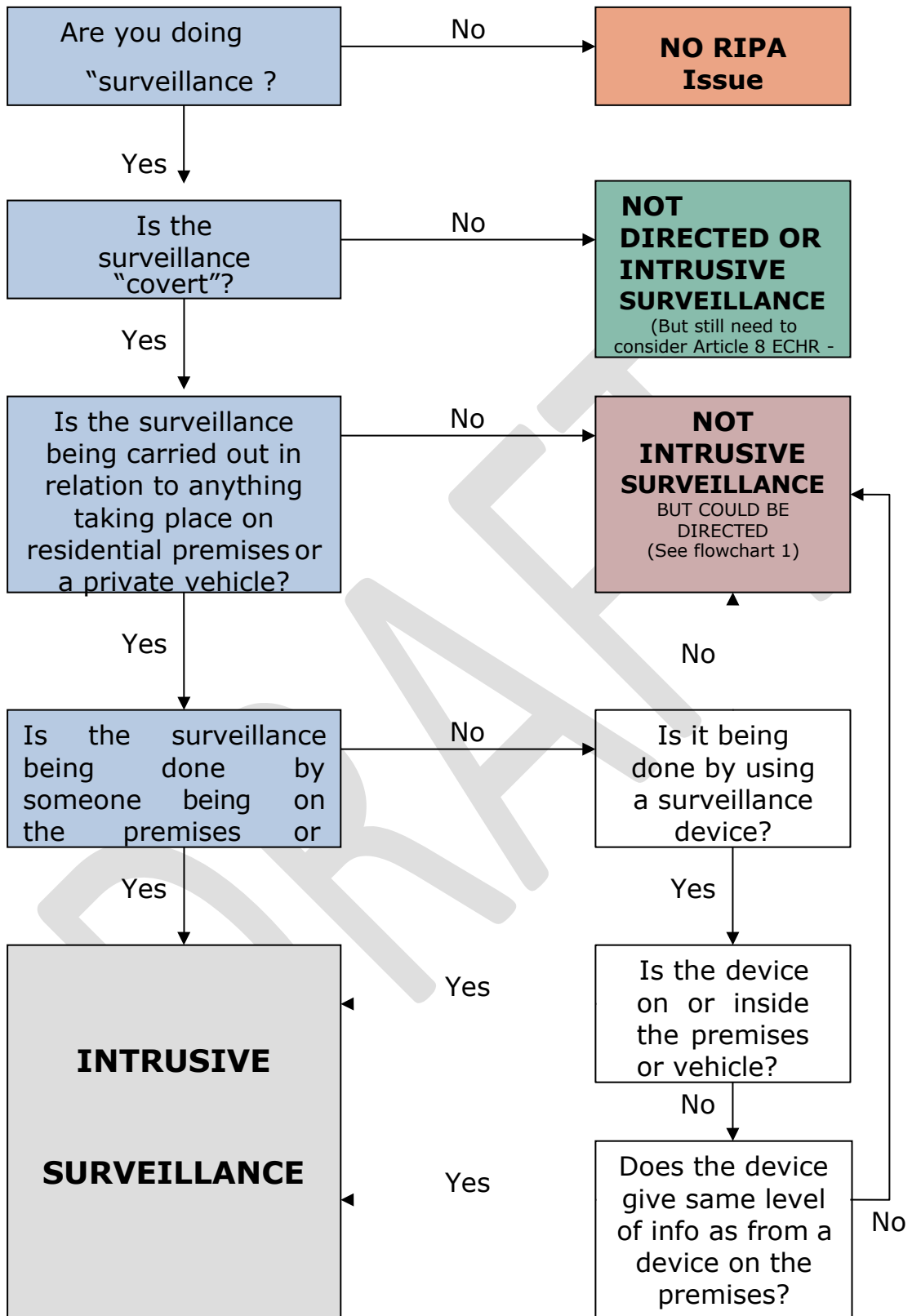
Appendix C

Flowchart 5.1 - Are you doing Directed Surveillance?

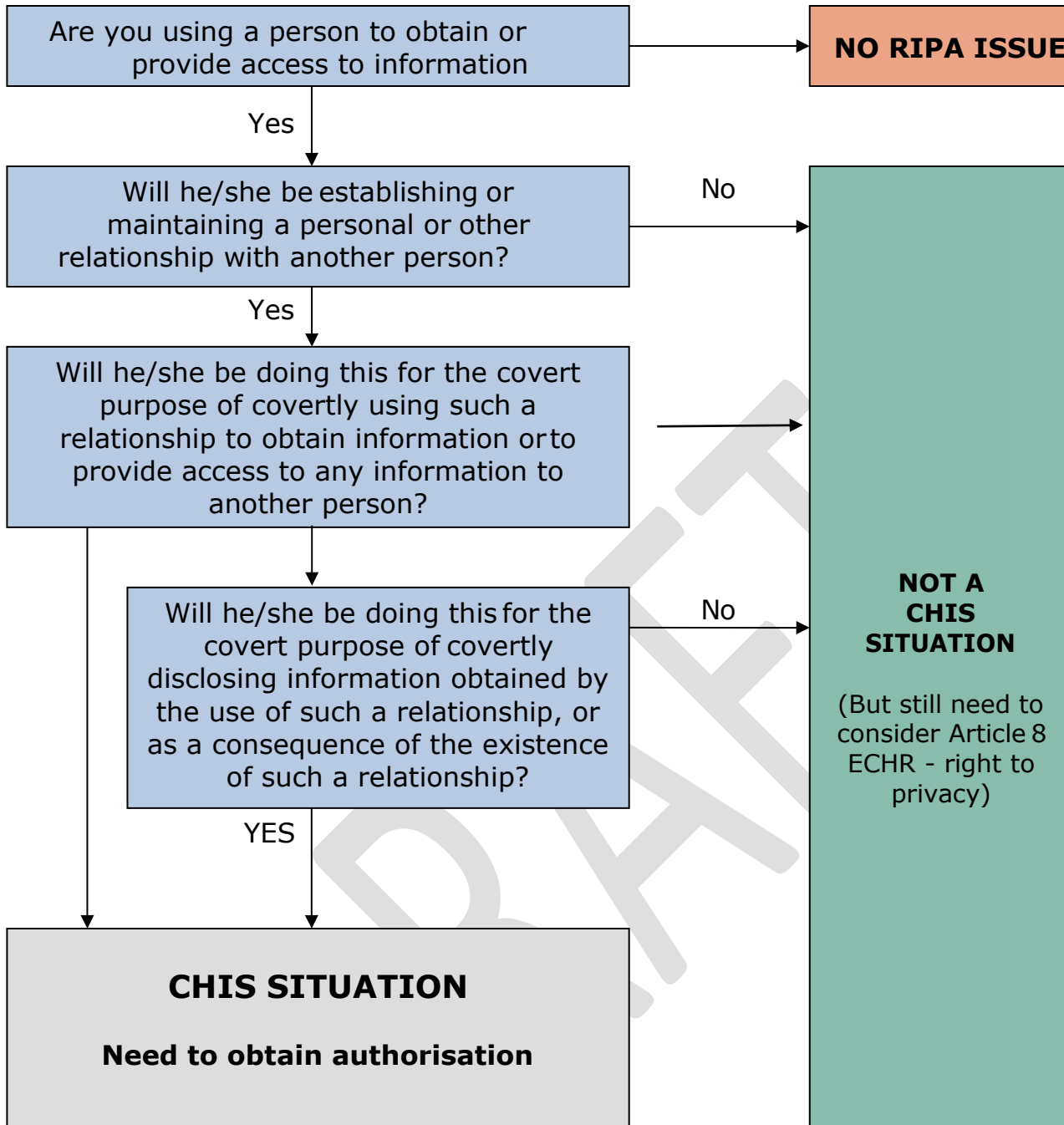
All references are to sections of the Regulation of Investigatory Powers Act 2000



Flowchart 5.2 -Are you doing Intrusive Surveillance?

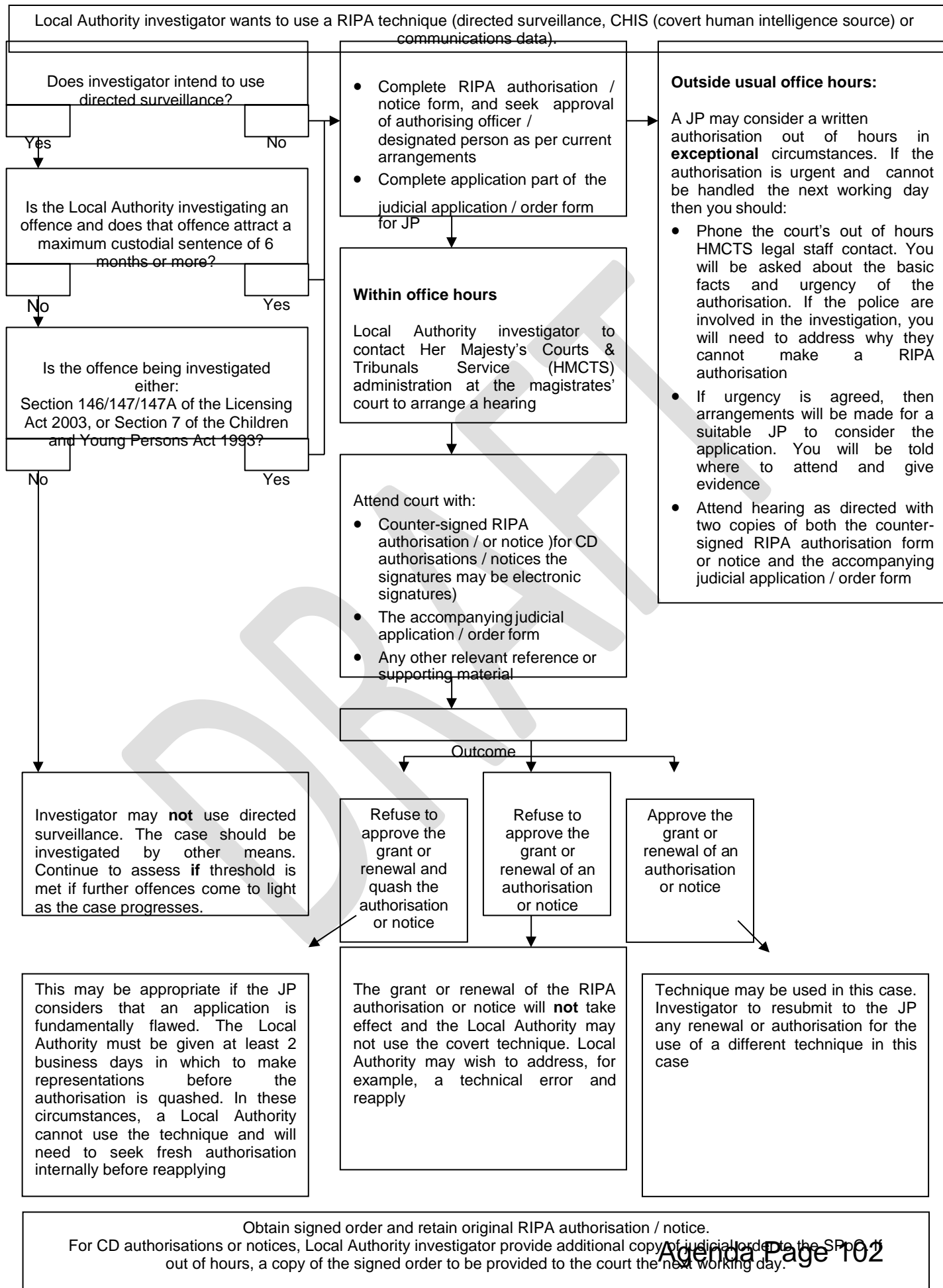


Flowchart 5.3 - Are you using CHIS? (Section 26(8))



LOCAL AUTHORITY PROCEDURE:

APPLICATION TO A JUSTICE OF THE PEACE SEEKING AN ORDER TO APPROVE THE GRANT OF A RIPA AUTHORISATION OR NOTICE



CODES OF PRACTICE

<https://www.gov.uk/government/publications/interception-of-communications-code-of-practice-2016>

<https://www.gov.uk/government/publications/equipment-interference-code-of-practice>

<https://www.gov.uk/government/publications/code-of-practice-for-the-acquisition-and-disclosure-of-communications-data>

<https://www.gov.uk/government/publications/covert-surveillance-and-covert-human-intelligence-sources-codes-of-practice>

<https://www.gov.uk/government/publications/code-of-practice-for-investigation-of-protected-electronic-information>

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POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

NEWARK TOWN MUSEUM DELEGATION

1.0 Purpose of Report

1.1 The report sets out a request received from Newark Town Council that the District Council delegates to it the exercise of the powers set out in Section 12 of the Public Libraries and Museums Act 1964, to allow it to continue to provide and maintain a museum and art gallery.

2.0 Background and Proposal

2.1 Newark Town Council has recently discovered that they do not, as a matter of law, possess an ability to run an accredited Museum and Gallery, notwithstanding that they have done so since 1997.

2.2 Section 206 of the Local Government Act 1972 (as amended by the Local Government Act 1985, s. 102(2), Schedule 17) defines local authorities for the purposes of the Public Libraries and Museums Act 1964 in England. It does not include town and parish councils. Under the Localism Act 2011 and Local Authorities: General Power of Competence 2012 a town or parish council may incur expenditure for museum provision. However, Newark Town Council does not currently fulfil the requirements laid out in the General Power of Competence, meaning it cannot officially run an accredited museum.

2.3 Such an 'oversight' has, to Officers knowledge, only recently been identified elsewhere. Other authorities have taken the precautionary measure of formally deleting this function to a relevant Town or Parish Council.

2.4 It is proposed that the District Council formally delegates to the Town Council an ability to continue a museum as is currently the case. It is recommended that such delegation be conditional upon the museum continuing to maintain its accredited status and any significant changes to the existing demise or content being firstly agreed with the District Council.

3.0 Equalities Implications

3.1 None

4.0 Financial Implications (FIN19-20/9982)

4.1 No financial implications arising from this report.

5.0 Comments of Director – Growth and Regeneration

5.1 The Town Hall Museum has operated for many years and there is no desire to remove or prejudice the ability of Newark Town Council to continue to run this offer. Members will be aware, however, that there is a renewed focus on Newark Town Centre, Newark Town (given the recent announcement of the Future Towns Fund), and its wider re-purposing.

The District and Town Council have a proud record of working collaboratively and I see no reason why this would not continue. I support the proposed delegation and that this be conditional upon retaining accreditation and agreement to any significant changes to the current demise and content.

6.0 RECOMMENDATIONS that:

- (a) the Council authorise the Director – Growth & Regeneration to formally delegate to Newark Town Council (for as long as it remains a Town Council), subject to Arts Council England Museum Accreditation Status being maintained, those powers under Section 12 of the Public Libraries and Museums Act 1964 to provide and maintain a museum and art gallery at the Town Council’s current extent of demise of the ‘Newark Town Hall Museum and Art Gallery’ under a legal agreement which also sets out the standards and policy aims of museum service to be provided;**

- (b) the Council authorises the Director – Growth & Regeneration, in consultation with the Business Manager - Legal Services and the Business Manager - Heritage, Culture & Visitors to finalise negotiations on the standards and policy aims of the museum service to be provided by the Town Council at the ‘Newark Town Hall Museum and Art Gallery’; and**

- (c) the Director – Growth & Regeneration be given delegated authority, in consultation with the Chairman and Business Manager - Heritage, Culture & Visitors, to negotiate and amend any future revisions to the demise, standards, and policy aims of the ‘Newark Town Hall Museum and Art Gallery’.**

Reason for Recommendations

To allow Newark Town Council to continue to deliver a Museum and Art Gallery.

Background Papers

Nil.

For further information please contact Matt Lamb, Director – Growth & Regeneration on Ext.5800

Matt Lamb
Director – Growth & Regeneration.

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

PROPOSED PLAN OF ACTION IN RESPONSE TO THE COUNCIL'S DECLARATION OF A CLIMATE EMERGENCY

1.0 Purpose of Report

1.1 To propose a plan of action and indicative timetable in response to the Climate Emergency declared by Newark & Sherwood District Council.

2.0 Background Information

2.1 Newark & Sherwood District Council declared a Climate Emergency at the Full Council meeting on July 16, 2019.

2.2 The agreed motion was:

The United Nations Intergovernmental Panel on Climate Change have warned that we have 12 years to make the necessary changes to limit a rise in global temperatures to 1.5°C. Failure to act will see a marked increase in sea levels and flooding, extreme and abrupt changes to weather patterns, crop failures, extinctions of plant, insect and animal species and global economic disruption and crisis.[1] The increased frequency and intensity of weather events that we have experienced locally highlight why this is such an important issue for Newark and Sherwood District Council to respond to.

At the Global Climate Talks in Poland last December the UK along with over 200 nations agreed action on climate change with a much greater role strongly implied for Local and Regional Authorities like Newark & Sherwood District Council in assisting Governments to achieve their carbon emission savings.

Newark & Sherwood District Council therefore:

- Declares a Climate Emergency;
- Notes that we will need to develop measures to try and offset climate change and global warming; and
- Will take the following measures;
 - (a) make the Leisure & Environment Committee responsible for looking into what the District Council does in trying to mitigate carbon emissions, improve recycling and to work with the partners to improve carbon efficiencies;
 - (b) to work with other local authorities and public, private and voluntary sector partners on carbon reduction projects;
 - (c) to lobby the Government for the necessary resources and powers so that Newark & Sherwood District Council can make its contribution to the UK's Carbon Reduction targets; and

[1] Intergovernmental Panel on Climate Change, Special Report – Global Warming of 1.5°C October 2018

(d) the Leisure & Environment Committee provide and publish an annual review of measures taken by Newark & Sherwood District Council and their impact on the District's carbon footprint.

2.3 The declared Climate Emergency infers specific links with:

- the United Nations [Intergovernmental Panel on Climate Change](#) (and, by association, the United Nations [Sustainable Development Goal #13](#) to “take urgent action to combat climate change and its impacts”)
- UK Government commitments to carbon emission savings. The UK Government passed [laws](#) on 27 June 2019 to end the UK's contribution to global warming with the target of bringing all greenhouse gas emissions to net zero by 2050.

3.0 Proposals

3.1 In response to the declaration, Newark and Sherwood District Council has established a cross-Council project team to examine how the Council should most appropriately respond to the declaration. This reflects the fact that the Council does not currently have a single point of responsibility for climate change in the way that some authorities currently do have.

3.2 Attached at **Appendix A** is a summary of the activities currently undertaken by the Council which could be described as having a positive impact in terms of reducing the Council's carbon footprint. For example, the move from the Grade I listed Kelham Hall to the modern, purpose built Castle House building in Newark, which is A rated in terms of efficiency and, closer to a main centre where a significant proportion of officers live, has enabled more sustainable methods of transport to work, including walking and cycling.

3.3 However, clause d) of the motion agreed by Full Council requires that the Council is able to understand how the measures in **Appendix A** and further interventions from the Council will impact upon the wider District's carbon footprint. Government data is available at the district level in terms of carbon emissions, but it is not able to describe the District Council's contribution to that footprint. In order to achieve the requirement within clause d), therefore, there is a need for the Council to first understand its carbon footprint.

3.4 Establishing a baseline will enable the Council to understand its current performance and be able to consider the interventions and resources required in order to reduce its footprint further. Furthermore, as well as considering its own response, the Council is able to influence carbon reduction through its regulatory role, in procurement and in commissioning services. There are further opportunities to influence this agenda across Nottinghamshire recognising that key impacts upon the carbon footprint of the district will be in the gift of others, including the County Council, for example, with its responsibility for air quality, highways and sustainable transport.

3.5 The project group is therefore recommending the following actions are undertaken in order to deliver the requirements set out in the Climate Emergency:

- audit existing environmental practice within the Council

- establish data to determine the carbon footprint of Newark and Sherwood District Council (currently limited)
- consider the Council's contribution to the district carbon footprint more widely, according to [national data](#) from reputable sources
- engage with stakeholders
- coordinate a Climate Emergency Strategy with reference to all of the above
- produce an accompanying generational Carbon Reduction Action Plan to mitigate carbon emissions from the Council.

3.6 In addition, the project group would recommend that a wider Climate Emergency Working Group of members is established to guide this work. In addition to ensuring that the requirements within the Climate Emergency motion are delivered, the purpose of the group would have a further two objectives.

3.7 Whilst Leisure & Environment Committee has recycling within its remit, issues such as planning and green spaces sit within Economic Development, whilst responsibility for the Council's housing stock sits within Homes & Communities. Finally, the Committee responsible for assessing and approving any interventions with finance implications sits within Policy & Finance. It would therefore seem logical to establish a working group under the direction of Policy & Finance Committee to ensure a Council-wide response from its Committees.

3.7 Furthermore, it is important to recognise that there are a wide range of groups which may be able to offer valuable insights into how the Council responds to this agenda and be able to influence the behaviour of others. A key role of this group will therefore be to engage with those groups to influence the development of the Climate Change Strategy and Action Plan.

3.8 Subject to approval by Leisure & Environment Committee and Policy & Finance Committee on September 26, indicative milestones would include:

- October: Commission consultancy to establish the Council's carbon footprint and assist the Council in the production of the Climate Change Strategy and Action Plan
- October/November: Meetings of the Climate Change Working Group, to establish calls for evidence which may include written submissions and meetings of key stakeholders with the Working Group
- February 2020: Production of a draft Climate Change Strategy and Action Plan
- March 2020: Consideration of the Climate Change Strategy, Action Plan and Resourcing to Policy and Finance Committee
- March 2021: First annual update in terms of interventions and impact in line with Clause d) of the agreed motion.

4.0 Equalities Implications

4.1 There are no equalities for the course of action outlined above. However, on receipt of a climate emergency strategy and carbon reduction action plan an equalities impact assessment may be required if proposed actions to mitigate carbon emissions might impact equality areas such as socio-economic.

5.0 Financial Implications (FIN19-20/3520)

- 5.1 A report titled Reallocation of Resources is on the agenda for the Policy & Finance Committee - 26 September 2019 which, amongst other items, seeks to create a budget which will assist the Council with the establishment of its baseline carbon footprint and assist with the production of the Climate Change Strategy and Action Plan.
- 5.2 The financial implications arising from the production of the strategy and action plan will be considered by the Policy and Finance Committee in March 2020.

6.0 Community Plan – Alignment to Objectives

- 6.1 Although the declaration of a Climate Emergency was made after Newark & Sherwood District Council's publication of the Community Plan 2019-2023, the Climate Emergency project might incorporate a number of actions from the Community Plan. Further consideration of these actions may also offer a means for addressing carbon reduction and green initiatives within the context of the Climate Emergency project, thus in turn possibly contributing to all eleven of the Community Plan objectives but specifically:

- improve the cleanliness and appearance of the local environment
- improve transport infrastructure to reduce congestion and facilitate growth
- accelerate the supply of new homes including associated facilities (playing pitches, health, schools, community centres etc.)
- protect, promote and enhance the district's natural environment
- enhance and sustain town centres
- improve the health and wellbeing of local residents
- increase participation with the Council and within local communities

7.0 Leisure & Environment Committee

- 7.1 The Leisure & Environment Committee are to consider this report at their meeting to be held on 24 September 2019. Their recommendations will be reported orally to the Policy & Finance Committee.

8.0 RECOMMENDATIONS that:

Subject to the recommendations of the Leisure & Environment Committee:

- (a) the course of action and indicative timetable be approved;**
- (b) a Climate Change Working Group be established under the direction of this Committee, to comprise the Chairman, Vice-Chairman and Opposition Spokespersons on the Policy & Finance, Leisure & Environment, Economic Development and Homes & Communities Committees; and**
- (c) the budget within the Reallocation of Resources report in relation to the production of the Climate Change Strategy and Action Plan be approved.**

Reason for Recommendations

To respond to the Climate Emergency declared by Newark & Sherwood District Council

Background Papers

Appendix 1 - An initial collation of environmental practice at NSDC.xlsx

For further information please contact Kate Marshall, Policy & Projects Officer on Ext. 5302

Matthew Finch
Director - Communities & Environment

Directorate	Business Unit	Title	Description	Further information	
Communities and Environment	Housing, Health and Community Relations	Energy and home support	The Energy and Home Support team aims to help low income residents within Newark and Sherwood District to heat their home at an affordable cost; ensuring those most in need achieve affordable warmth and so enjoy a better quality of life. Grant funding may be available via Warm Homes on Prescription (often high efficiency A-rated mains gas boilers replacing lower efficiency ones) and energy advice might include solid wall insulation guidance. While heating can create carbon emissions, proper insulation can mitigate these.	https://www.newark-sherwooddc.gov.uk/energy/	
		Home Energy Conservation Act (HECA) Reporting	The Home Energy Conservation Act 1995 ('HECA') requires all 326 local authorities ('LA's) in England to submit reports to the Secretary of State demonstrating what energy conservation measures they have adopted to improve the energy efficiency of residential accommodation within that LA's area. HECA reporting includes information relating to the Private Rented Sector (PRS) Minimum Energy Efficiency Standards.	https://www.newark-sherwooddc.gov.uk/energy/homeenergyconservationactheca/	
		DFG - Disabled Facilities Grant	The Disabled Facilities Grant (DFG) system is aimed at providing financial assistance to a disabled person for measures like stair lifts, replacing baths with showers, additional heating and works to improve accessibility. The works must be recommended by an occupational therapist from Nottinghamshire County Council. Replacing baths with showers is likely to reduce water usage.	https://www.newark-sherwooddc.gov.uk/disabledfacilities/	
		Travel Choice	The Council works with Travel Choice, who offer information and advice on different ways to travel in Mansfield, Newark, West Bridgford and Daybrook. Information on cycling, walking, public transport or car sharing is provided.	https://www.nottinghamshire.gov.uk/travelchoice https://www.newark-sherwooddc.gov.uk/	
		Modern methods of construction	Modern methods of construction and adherence to regulations in building projects ensure a level of energy efficiency. Examples of planned construction cited for exploration in the Community Plan include: providing a new modular swimming pool at the Dukeries Leisure Centre; supporting the provision of an extension to Southwell Leisure Centre+D39.	https://www.newark-sherwooddc.gov.uk/media/newarkandsherwood/imagesandpdfs/strategiesandpolicies/pdfs/20190308CommunityPlan2019to23.pdf	
	Parks and Amenities	Green Flag Parks	Four parks and open spaces in the district have been recognised as some of the very best in the world. Sconce and Devon Park in Newark, Vicar Water Country Park in Clipstone, Newark Castle and Gardens and Sherwood Heath in Ollerton – which are all managed by Newark and Sherwood District Council – are among 1,970 UK parks to receive the coveted Green Flag status - the mark of a quality park or green space. This international award, now into its third decade, is a sign to the public that the space boasts the highest possible environmental standards, is beautifully maintained and has excellent visitor facilities.	https://www.newark-sherwooddc.gov.uk/news/newsarchive/name,108991,en.php	
		Tree Planting	A major programme of green projects to plant tens of thousands of new trees in Newark and Sherwood will be considered by members of the district council's economic development committee.	https://www.newark-sherwooddc.gov.uk/news/latestnews/name,109995,en.php	
		Local nature reserves	English Nature has categorised the whole of England into a series of 'Natural Areas'. Within Newark and Sherwood there are two Natural Areas: Trent Valley and Rises Natural Area and the Sherwood Natural Area.	https://www.newark-sherwooddc.gov.uk/naturereserves/	

Public Protection	Regulatory function that considers air quality	We review and assess local air quality on an annual basis and submit a report of our findings to the Government.	https://www.newark-sherwooddc.gov.uk/pollution/airpollution/
	Industrial emissions	Some businesses are regulated to reduce any pollution they cause and, in particular, to help improve air quality.	https://www.newark-sherwooddc.gov.uk/environmentalpermits/
	Smoke control areas	This authority has declared parts of the district as Smoke Control Areas.	https://www.newark-sherwooddc.gov.uk/smokecontrol/
Waste and Transport	Recycling streams	Veolia's Materials Recovery Facility (MRF), located in Mansfield, processes the recycling from households in the seven district and borough councils of Nottinghamshire. The facility sorts up to 85,000 tonnes of recycling each year.	https://www.newark-sherwooddc.gov.uk/recycling/whathappensomyrecycling/
	Garden waste	Garden waste collection services are available across the district. Recycling your garden waste helps to reduce the level of general waste going for disposal. If we all compost at home it means that thousands of extra tonnes of kitchen and garden waste can be turned into useful soil conditioner for our gardens, instead of going to landfill.	https://www.newark-sherwooddc.gov.uk/gardenwaste/
	Compost support		https://www.newark-sherwooddc.gov.uk/composting/
	Love food, hate waste	For foody hints and tips and making the most of the food we buy! Cut out waste and save money by making small changes with the help of Love Food, Hate Waste. We provide a waste recycling service to schools in Newark and Sherwood. This is part of our continuing programme to drive up recycling throughout the district and to ensure all schools receive the same level of service.	https://www.newark-sherwooddc.gov.uk/lfhw/
	School recycling	To join the scheme all you have to do is purchase a bin which is collected fortnightly free of charge. All that we ask is that you ensure the bin is easily accessible for collection.	https://www.newark-sherwooddc.gov.uk/wasteandrecycling/schoolsrecyclingservice/
	Trade recycling	We offer a recycling service to our trade customers. This service allows you to recycle: paper; plastic; tins. Collections take place weekly or fortnightly depending on your needs.	https://www.newark-sherwooddc.gov.uk/tradewaste/
	Electrical waste	We can collect and recycle your electrical waste.	https://www.newark-sherwooddc.gov.uk/wasteandrecycling/electricalwaste/
	Community repaint	Recycle old paint and help improve the community. Newark's Brunel Drive is now taking part in the Community Repaint Scheme to help people dispose of paint safely and help distribute what is useable.	https://www.newark-sherwooddc.gov.uk/repaint/
	Battery recycling	We collect batteries for recycling from households across the district. Once you've filled a bag with batteries – they can be any size of household battery (no car batteries, please) – simply leave your filled bag on top of your GREEN BIN where our collection teams can clearly see it and we will take it away. Bags left inside the bins won't be recycled.	https://www.newark-sherwooddc.gov.uk/wasteandrecycling/batteryrecycling/
	Advice and guidance about recycling	We offer detailed information about recycling services, including how to be "bin smart" to avoid recycling contamination.	https://www.newark-sherwooddc.gov.uk/recycling/

<https://www.newark-sherwooddc.gov.uk/wasteandrecycling/reusingandreducing/>

		Cleaner, Safer, Greener	We work hard to ensure that our residents live and work in a district they can be proud of. A clean, safe and green environment promotes well-being, happiness and productivity, improving the quality of life in our district and the experience of visitors.	https://www.newark-sherwooddc.gov.uk/greener/
Governance and Organisational Development	Administrative Services	Road sweepers	The Council road sweeping equipment includes provision for water to be re-used throughout the cleaning process.	From the Environmental Projects Officer on request
		Administrative services	Administrative services that incorporate environmental considerations may include: shared print services at Castle House; hybrid mail capabilities; amenities such as hand driers or glasses and paper cups (not plastic cups); green cleaning equipment. Investigation regarding best environmental practice concerning all of the above is ongoing.	From the Business Manager: Administrative Services on request
		Online payments	A number of services can be paid for online, avoiding the need for travel to Castle House.	https://www.newark-sherwooddc.gov.uk/pay/
	Customer Services, Communications and Information Governance	Recycling schemes within Castle House	Operated by the Communications team, there are additional initiatives for staff to recycle crisp packets and milk bottle tops.	From the Communications team on request https://www.newark-sherwooddc.gov.uk/socialmedia/
		Communications	Social media is just one of the means by which the Council shares information. This may often include detail of green initiatives within the district more widely.	https://www.newark-sherwooddc.gov.uk/wasteandrecycling/organiseacommunitylitterpick/
		Community litter picks	We are happy to support litter picks and can also help to promote your event locally.	https://www.newark-sherwooddc.gov.uk/becomingacouncillor/index.php
	Democratic Services	Member papers are electronic	Papers for Committee meetings are supplied electronically, where possible, reducing paper use.	https://www.newark-sherwooddc.gov.uk/workforums/
HR and OD	Flexible working	The council operates a range of flexible working opportunities including job sharing, flexitime, term time only working, home working and annualised hours. The council's flexitime scheme allows employees to vary their starting and finishing times, provided that the needs of customers and the service are not compromised. Flexible working can reduce the need for extensive travel which may contribute to carbon emissions.	https://www.newark-sherwooddc.gov.uk/housingstrategies/	
Growth and Regeneration	Housing Strategy and Development	Local housing strategy	The local housing strategy aims to identify and address the unique challenges for the district of Newark and Sherwood. Priorities include to "take action to improve the condition of existing homes, reduce carbon emissions and fuel poverty along with raising standards of maintenance and management for the benefit of our local residents."	

Resources	Tourism Asset Management and Car Parks	Photo voltaic panels on homes	Hedge Row, Caunton, has been developed by Nottingham Community Housing Association in partnership with the Homes and Communities Agency and Newark and Sherwood District Council, which worked closely with Caunton Parish Council over several years to deliver the project. The homes include a number of eco-friendly measures, including photovoltaic panels, electric storage heating and high levels of insulation. PV panels are also installed on a number of other properties, including some of those managed by Newark and Sherwood Homes.	https://www.newark-sherwooddc.gov.uk/news/newsarchive/name,88305,en.php
		Planning and heritage assets	Planning and control to address heat efficiency and thermal improvements.	https://www.newark-sherwooddc.gov.uk/planning/heritageconservation/planningandheritageassets/
		Renewable energy planning advice	Renewable energy technologies like wind turbines, solar panels and biomass heaters offer an alternative to fossil fuels and can help reduce your home's CO2 emissions. Trees and hedgerows are valuable for many reasons. At the council we deal with applications for works to trees in a conservation area and those protected by a Tree Preservation Order (TPO).	https://www.newark-sherwooddc.gov.uk/energy/renewableenergy/
		Tree Protection Orders	The Planning Policy team is responsible for the formulation and implementation of the Council's Development Plan, known as the Local Development Framework or LDF. The LDF sets out the Council's Vision and Objectives and Planning Policy for the District. The LDF's aim is to support sustainable growth in economic, social and environmental terms.	https://www.newark-sherwooddc.gov.uk/trees/
		Local Development Framework	We are rightly proud of our natural environment and have sought to bring together a range of strategies, programmes and planning policies to help to continue to protect, maintain and enhance this outstanding resource.	https://www.newark-sherwooddc.gov.uk/ldf/
		Biodiversity and landscape		https://www.newark-sherwooddc.gov.uk/biodiversity/
		Greenspace provision improvement plans	This report provides Greenspace Improvement Plans prepared by Knight Kavanagh & Page for Newark and Sherwood District Council.	https://www.newark-sherwooddc.gov.uk/evbase/communitygreenspaceprovisionimprovementplans/
		Wind Energy SPD	The Wind Energy SPD provides detailed guidance on how proposals to develop wind energy schemes will be assessed in this District. Known for its ancient woodlands, wide range of outdoor activities and legendary association with Robin Hood and his Merry Men, Sherwood Forest offers something for everyone amid its beautiful country parks, activity centres, villages and natural wildlife habitats.	https://www.newark-sherwooddc.gov.uk/planning/policy/localdevelopmentframeworkldf/windenergy/
		Visit Newark and Sherwood		https://www.visitnewarkandsherwood.info/visit-herwood-forest/
		Asset management	Comprehensive management of a range of assets (properties) with consideration of environmental impact.	https://www.newark-sherwooddc.gov.uk/property/
Electric vehicle charging points	A charge point is available in the Castle House car park at weekends.	https://chargemap.com/nsdc-3-castle-house-car-park.html		

<p>Commercialisation and Major Projects</p> <p>Financial Services</p> <p>ICT</p>	Castle House	Castle House in Newark achieved BREEAM excellent accreditation and incorporates solar protection, thermal mass, high levels of insulation and extensive arrays of roof-top photo-voltaic panels all of which result in high energy efficiency and low carbon output. The accommodation is also shared with partners such as the DWP who experience the same benefits.	https://www.wm-saunders.co.uk/nsdc-offices/ http://wellandprocurement.org.uk/wp-content/uploads/2019/05/Tolkit-v1.pdf https://www.newark-sherwooddc.gov.uk/media/newarkandsherwood/imagesandfiles/strategiesandpolicies/pdfs/ICTstrategy2017_2021.pdf
	Procurement	Environmental impact is considered as part of procurement.	
	ICT strategy	Environmental impact is implicit and runs through the entire ICT vision and strategy.	

All Business Units (incl. Revenues and Benefits / Legal / Town Centre Development / Heritage, Culture and Visitors) contributed to the wider discussion but comments have been attributed as above.

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

YMCA COMMUNITY AND ACTIVITY VILLAGE

1.0 Purpose of Report

- 1.1 To update the Committee on the progress of this flagship project in Newark and Sherwood, and to note and seek approval for the District Council's funding contribution to the project to enable the delivery of Phase 2.

2.0 Background and progress update

- 2.1 Members will be aware, given previous updates on 6th April 2017 and 25th January 2018 of the transformational nature of the offer the YMCA are creating on the site and beyond. The community offer being developed will truly be of National importance as the first of its kind in providing education (Early-years, FE, HE and Adult), recreation, professional sport, health and family-based services integrated in a community facility space.

Phase 1

- 2.2 Phase 1 of the YMCA project, which has a scheme cost of £3.15m, included the construction of two full size floodlit 3G pitches, a floodlit 6 lane synthetic athletics track and field facility, full perimeter security fencing, temporary changing provision and car parking to facilitate the early operation of the site. The two 3G Football pitches and Athletics Track which are now fully operational and the feedback from local football and athletics club users has been extremely positive.
- 2.3 This phase of the project was completed in mid-September 2018 along with enabling infrastructure for Phase 2, which included advanced works such as mechanical and engineering aspects associated with the main village building, which will expedite construction and reduce future installation costs associated with each part of the project.

Utilisation

- 2.4 As of August 2019, 88 groups have based themselves at the Village, utilising either the football pitches or the athletics track. Ten months operating, as of August 2019, peak-time utilisation of the football pitch is 34% and peak-time utilisation of the athletics track is 12%.

Phase 2

- 2.5 The YMCA was on track to commence Phase 2 works in Autumn 2019 with the construction of the main village building and its immediate surrounds. Other elements of the project including tennis, cycling, boating, MUGA and skatepark facilities will follow, subject to funding discussions.
- 2.6 Phase 2 works have been delayed in order to realise additional funding resources and to provide additional time to secure agreements with substantial key stakeholders including:

- Nottingham Trent University
- Confetti
- Newark College (Lincoln College)
- Mansfield and Ashfield CCG (NHS)
- Magnus Academy
- Inspire

2.7 Phase 2 build costs are £9.4m (inclusive of contingency). R.G. Carter Construction was selected by the YMCA to build the Village building after a full OJEU Procurement process was completed. Final contractual discussions are due to be complete by December 2019, ready to commence building onsite by March 2020. The build timeline will support a soft-launch by May 2021 and full launch by the start of summer 2021.

2.8 The Phase 2 building includes: educational classrooms, changing facilities, large community cafe and kitchen, function spaces, early years nursery provision, dance hall, arts and music classrooms, physio therapy rooms, mental health and NHS consulting rooms, PT and functional fitness suite. An Olympic standard climbing centre will be the centre point of the Community and Activity Village.

3.0 **Funding**

3.1 The YMCA project has been supported by a number of organisations, notably in terms of funding, the District Council, Nottinghamshire County Council and Newark Town Council. A summary of the level of committed funding to date is provided below. The YMCA have recently launched their fundraising scheme. The first phase is raising community and national awareness of the project, starting with the YMCA Tall Ships Adventure (see details below). Further professional and business engagement and awareness sessions will commence in November 2019. The YMCA plan to launch a full community capital appeal in February 2020, which will run for the duration of the build cycle.

Funding to Date from NSDC

3.2 **S106 Contributions**

Members will be aware from previous resolutions of Policy and Finance Committee of the overall support towards the YMCA project via S106 spend. A summary of this is captured below:

S106 Receipts	Paid to YMCA	Amount Remaining	Money Held (Total Contribution)
Off Site Sports Provision	£166,068.49	£0	£166,068.49
Maintenance of Sports Facilities	£146,967.42	£0	£146,967.42
Recreation	£26,000.00	£71,422.32	£97,422.32
Community Facilities	£150,000.00	£156,182.79	£306,182.79
Total	£489,035.91	£227,605.11	£716,641.02

3.3 The remaining £71,422.32 from a S106 Agreement at Hoval Works which remains outstanding must be spent by 6th November 2019. It is proposed that this be the final payment transferred to the YMCA via S106.

3.4 The remaining £156,182.79 must be spent by March 2022 and was agreed at this committee to be paid to the YMCA and will be paid in line with agreed triggers which are regularly monitored by the Housing, Health and Community Relations Business Unit.

3.5 Tall Ships Adventure (TSA)

In addition to the above NSDC has recently committed £15,000 to the YMCA Tall Ships Adventure (TSA). The TSA is a fundraising venture launched on 30 August 2019. It is a relay-style sailing challenge around the UK. There are eight legs in total, and at each port a new crew of community members will take to the helm. It is supporting up to 80 young people and adults from Newark and Sherwood to sail around Great Britain 'telling the story by action'. At the time of print 72 individuals have engaged or will engage on the activity, with recruitment still ongoing.

3.6 All funds raised by crew members will support the build of Community and Activity Village, which will deliver many benefits for residents in Newark and Sherwood and beyond our district boundaries. Therefore, the YMCA approached the Council as one of its primary delivery partners to provide a financial contribution.

3.7 Due to the timing of this request, to prevent unnecessary delay and given that the Adventure set sail in between committee dates, a contribution of £15,000 was approved under the Council's delegation arrangements for dealing with matters of urgency. It was agreed, in consultation with Councillor David Lloyd, Leader and Chairman of Policy and Finance Committee and Councillor Paul Peacock, Labour Group Leader and Oppositions Spokesperson on 4/09/2019 to fund the Council's contribution from the Change Management Reserve.

Capital Receipt from the sale of Elm Avenue

3.8 Members will be aware that the Elm Avenue (stadium) site was transferred by NCC to the District Council in September 2018 for a consideration of £1 in order to generate a capital receipt which would be split equally between the YMCA and NCC after reasonable costs have been deducted in securing planning approval for residential development. The NSDC capital receipt is required under the terms of the agreement with NCC to be recycled into the YMCA project.

3.9 As the sale of the land has yet to be concluded, the YMCA has requested that the District Council forward fund £150,000 of its anticipated capital receipt to support the financing required by the YMCA in order to secure the delivery of Phase 2. Asset Management colleagues have confirmed that the market value of the site, even accounting for the NSDC 50% share and deduction of reasonable costs, would generate funds comfortably in excess of the £150,000 advance sought.

- 3.10 As Members will recall from the report to the Policy and Finance Committee of June 2018 there is an aspiration to secure additional land from Tarmac in order to allow an improved cycle track and boating offer. Such discussions are ongoing and at the time of print are yet to be concluded, as captured in an exempt report on this agenda. It is not proposed that NSDC contribute any additional monies to any lease which may be agreed. Rather, NSDC will take a head lease, with YMCA absorbing (including costs) a sub-lease.

Funding to Date from Other Organisations

- 3.11 Members will be aware from previous reporting of the contributions towards the YMCA project from Nottinghamshire County Council and Newark Town Council. For the avoidance of doubt Nottinghamshire County Council have contributed £1m towards the scheme. Newark Town Council have contributed £352,000 capital. The football foundation have additionally contributed £450,271.

4.0 Equalities Implications

- 4.1 Equalities implications are considered in the Equality Impact Assessment and this will be subject to further monitoring as part of the evaluation process and ongoing monitoring of the impact of the project. However, there are no adverse Equality Implications identified in the Equality Impact Assessment.

5.0 Financial Implications (FIN19-20/6214)

- 5.1 The S106 contribution captured in paragraph 3.3 is available and has a time limit, therefore it would be reasonable to transfer these funds to the YMCA.
- 5.2 The S106 contributions and Tall Ships Adventure funding captured in paragraphs 3.4-3.6 are already authorised and within budget.
- 5.3 The forward funding of £150,000 of the Elm Avenue capital receipt can be made available from the Capital Provision until such time as the receipt is received. This is likely to be several months away, subject to the market offers, but as confirmed in paragraph 3.9 above the overall likely sales value will more than recover the £150,000 however, it should be noted that if a land sale does not progress or the sale value is less than anticipated, the Council will have to fully or part finance this transaction.
- 5.4 The revenue budget should include an income and expenditure budget for the lease with Tarmac as per paragraph 3.10. This will have a nil impact due to the sub lease with the YMCA.

6.0 Community Plan – Alignment to Objectives

- 6.1 The YMCA is a key partner and the delivery of this project will contribute towards the delivery of a number of priorities contained within the Community Plan 2019-2023; particularly the objective to ‘improve the health and wellbeing of local residents, with a particular focus on narrowing the gap in healthy life expectancy and other health outcomes’ and to ‘reduce levels of deprivation in target areas and remove barriers to social mobility across the district’.

7.0 Comments of Director – Growth & Regeneration

7.1 I welcome the progress made on what will be a transformational and long-term project with far reaching benefits for residents of Newark and Sherwood. The report provides a helpful update on the funding strategy and particularly the overall levels of financial support rightly offered by the District Council to realise phase 2 of the project.

8.0 RECOMMENDATIONS that:

- a) **Members note the decision made by the Leader and Leader of the Opposition to contribute £15,000 to the YMCA Tall Ships Adventure, as captured at paragraphs 3.4-3.6 above;**
- b) **Members authorise the forward funding of £150,000 of the overall 50% of capital receipt (minus reasonable fees) from the sale of the Elm Avenue site to the YMCA;**
- c) **Members authorise the allocation of £71,422.32 from the Hoval Section 106 monies, as captured at paragraph 3.3 to the YMCA Community and Activity Village;**
- d) **the Director Resources/Deputy Chief Executive be given delegated authority to enter into a lease agreement with Tarmac to secure additional land as identified on the plan at Annex 1 of this report for a terms of up to 2063 (with the ability to renew up to 2113), subject to terms also being agreed with the YMCA for the overall costs of this lease to be met solely by the YMCA for the lifetime of the lease between NSDC and Tarmac.**

Reason for Recommendations

To provide an update on the progress of this development and seek approval for the required funding and land assembly to complete phase 2 of the YMCA Sports and Activity Village.

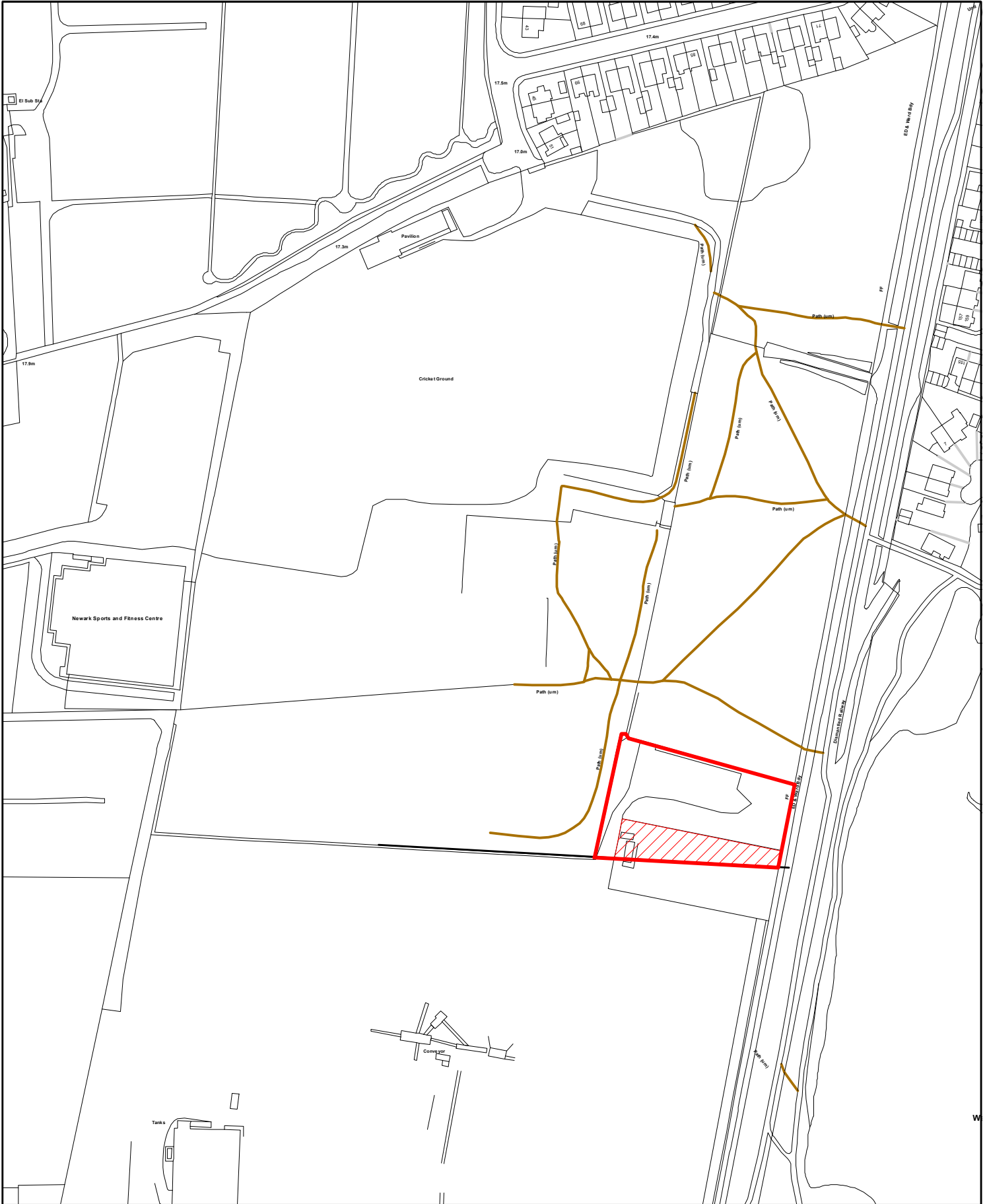
Background Papers

Nil

For further information please contact Leanne Monger on Ext 5545, Andy Hardy on Ext 5708 or Nick Wilson on Ext 5317.

Matthew Finch
Director – Communities & Environment

Asset Management



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Tarmac Additional land
Community and Activity Village
Nottinghamshire
For Identification Purposes Only



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POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

OLLERTON & BOUGHTON NEIGHBOURHOOD STUDY

1.0 Purpose of Report

1.1 Further to the completion of the Ollerton & Boughton Neighbourhood Study this report is seeking budget approval to enable the submission of a planning application for the allocated site (OB/MU/2) between the Stepnall Heights and Hallam Road estates, subject to a viable development option.

2.0 Background Information

2.1 The role of a Neighbourhood Study is to provide a comprehensive assessment of an area focusing on the localities socio-economic characteristics (*people*), the built environment (*place*) and the opportunities and challenges these bring.

2.2 The intention is to create a locally driven document, with community involvement at the heart of this, providing all local stakeholders (*including the Council*) with a strategic and long-term plan to guide future decision making and investment requirements for a defined area.

2.3 By engaging with local residents, a Neighbourhood Study presents opportunities not only to gain a qualitative insight into local issues, but to also capture the voices of residents by including them at the start of the planning and development process.

2.4 When looking at the findings and options of a Neighbourhood Study in relation to local priorities, consideration is set against the wider strategic priorities and objectives of the Council, having regard to the total resources available.

Delivery Model

2.5 A Neighbourhood Study is delivered through the following three key steps:

Step 1: Baseline Report

This sets out an initial appraisal of the existing data for the neighbourhood, including the historical context. It also presents the first stage of community consultation and local stakeholder engagement in order to identify emerging 'People' (socio-economic) and 'Place' (built environment) opportunities and challenges for a given locality. The information collected then informs the consultant's brief, covering the engagement programme and master planning exercise.

Step 2: Interim Report

This is consultant led, providing a comprehensive account of data from the resident and stakeholder engagement programme and identifies emerging priorities. It provides a framework of initial 'People' and 'Place' options for consideration and invites all stakeholders to feedback on these.

Step 3: Final Report

This consists of collaborative work between the Council and Consultant, summarising all the activities undertaken through the themes of 'People' and 'Place', identifying the priorities and vision for the locality and providing a delivery plan setting out a detailed appraisal of the prioritised options, including who will action these, the resources required and a time frame to work within.

3.0 Ollerton & Boughton Neighbourhood Study

3.1 At the meeting of the Economic Development Committee on 11 September 2019 it endorsed the final draft of the Ollerton & Boughton Neighbourhood Study, which followed the methodology set out in Section 2 above.

3.2 The Ollerton & Boughton Neighbourhood Study examined two geographies:

A. Outer Study Area - Ollerton & Boughton:

This is the whole town and including wider strategic and physical issues through a desktop study, consolidating the existing Council and stakeholder knowledge base. According to the 2011 National Census the population of this area is 9840.

B. Inner Study Area - Ollerton & Boughton:

This is the area around the Stepnall Heights and Hallam Road estates, including the allocated site OB/MU/2 (*Housing Revenue Account (HRA) land*). The estimated size of this population is 1,427 and is predominantly Council housing (41%).

3.3 The outcomes of the Neighbourhood Study were based on a range of 'People' and 'Place' activities informed by local resident and stakeholder consultation, the details of which were reported in full to the Economic Development Committee.

People

3.4 In terms of the 'People' actions the Economic Development Committee noted that a review of the action plan is being undertaken in the context of the recently approved Community Plan (CP) to particularly explore its relationship with the following CP objectives:

- Reduce levels of deprivation in target areas and remove barriers to social mobility across the district
- Improve the health and wellbeing of local residents, with a particular focus on narrowing the gap in healthy life expectancy and other health outcomes
- Increase participation with the Council and within local communities

3.5 This is to ensure that there is an holistic 'place based' approach across the Council, with the identification of a designated lead to deliver both the 'People' actions and all other activities that are planned for the locality.

Place

3.6 For 'Place', the Study puts forward five master plan options for the future development of the allocated land (OB/MU/2) between the Retford Road and Hallam Road estates, as shown at **Appendix A**.

- 3.7 The first three options were an outcome of the engagement workshops with local residents and stakeholders. The final two options were prepared by the consultant URBED taking into account all feedback and the potential opportunity of utilising additional land currently within the boundaries of the Dukeries Academy in order to enhance the recreational and amenity offer to local residents, which is a key theme from the Study. Following approval by this committee on 28 June 2018, the Business Manager - Asset Management & Parking Services is now progressing the acquisition of this land with the Academy and Nottinghamshire County Council, and therefore a budget of £70,000 needs to be added to the Capital Programme in order to progress the purchase.
- 3.8 As part of the Study a headline viability assessment has been undertaken for each of the options, this concluded that Option 5 has the potential to deliver a viable scheme based on a range of property types, though planning contributions are reduced from the stated policy requirements. The explanation for which is detailed in the main body of the Neighbourhood Study.
- 3.9 All master plan options were presented for feedback at a public exhibition on 2nd October 2018, with Option 5 identified as the 'preferred option' based on the outcome of the viability work.
- 3.10 As emphasised to all residents and stakeholders involved in the Study, for acknowledgement by the Committee, Option 5 is the emerging preferred option and based on a desk top assessment only. This is reflected by URBED who were commissioned to compile the Study, who state:
- 'At a desk top level this has been tested in terms of practicality with regard to the site constraints, viability and also been subject to public consultation. All of this work gives us the confidence to recommend that the scheme should progress to more detailed feasibility and technical work.'*
- 3.11 Due to the scope of the Study and allocated budget no technical studies have been undertaken to establish any constraints that may exist on the land that could impinge on the design and number of units that could be delivered. Once such activity is undertaken this would then inform an updated financial appraisal to assess the viability of any future development proposal.
- 3.12 The Study also provides commentary on the approaches to develop this land, advising that the Council will need to consider and appraise the options available. This matter will be explored in further detail as work is progressed to prepare and submit a planning application, pending the necessary approvals.

4.0 Proposal

- 4.1 The Economic Development Committee at its September meeting considered the narrative at paragraphs 3.6 – 3.12 and approved that in consultation with the Chairman, Vice Chairman and opposition spokesperson, and any appropriate community engagement, the preparation for and submission of a planning application for the allocated site (OB/MU/2), in the Housing Revenue Accounts ownership, between the Stepnall Heights and Hallam Road estates. This will be subject to the identification of a viable development option, informed by undertaking detailed feasibility work.

4.2 In this respect the proposal is for the Committee to allocate a budget of £300,000 to undertake the necessary detailed feasibility stages leading to the submission of a planning application.

5.0 Equalities Implications

5.1 According to the 2011 National Census Ollerton and Boughton is a relatively homogenous community. Of a population of 9840, 9640 people classified themselves as White, British. The next largest ethnic group was White other (99 people). 7 people identified as White Gypsy or Irish Traveller. The Census recorded 46 people who have been resident in the UK for less than 5 years.

5.2 Within the 'Inner Study Area', a markedly younger population was identified. Any agreed option emanating from the study will be subject to equality reviews, including equality impact assessments and there is opportunity therefore to positively impact on younger people as part of this development and regeneration proposal.

5.3 The engagement techniques undertaken as part of the study were delivered to ensure as far as is feasible that there is a gender, ethnicity and age balance, along with being accessible for people with physical and learning disabilities.

6.0 Financial Implications (FIN19-20/5251)

6.1 The Economic Development Committee approved a budget of up to the value of £48,000 to undertake the Ollerton & Boughton Neighbourhood Study. The Study has been completed within budget at a final spend of £43,127.

6.2 It is proposed that the Council undertakes work to prepare and submit a planning application for the allocated site. This activity would include the commissioning of external consultants including but not limited to an architect, planning consultant, cost consultant, valuer, engineer and further technical roles to complete the necessary site investigations.

6.3 £70,000 is available within the Capital Provision for the land acquisition.

6.4 It is estimated that a budget of £300,000 will be required for the activity set out above and it is proposed that the necessary budget provision is funded through the Change Management Reserve. By contributing this £300,000 this would leave the balance of the Change Management Reserve at £6,314,280.

7.0 Comments from the Business Manager – Planning Policy

7.1 As noted earlier in this report the land between the Retford Road and Hallam Road estates is allocated in the Allocations & Development Management DPD (July 2013) for a mixed use scheme with 120 dwellings and enhanced open space. The allocation policy envisaged that a master planning exercise be undertaken involving the local community to guide future development.

7.2 The Neighbourhood Study has addressed this element of the allocation policy by providing a comprehensive assessment of the potential for development of the site. This approach

has resulted in a preferred option, which not only delivers more housing than envisaged but secures enhanced open space and community benefits.

8.0 Community Plan – Alignment to Objectives

8.1 The relevant objectives of the CP are referenced at paragraph 3.4, in addition to the supporting action to:

Develop insight into the barriers our residents face in the areas of highest deprivation and those dependent on public services within the district, and use this information to deliver targeted interventions through:

- *Well researched and well utilised Neighbourhood Studies;*

and the objective to:

Accelerate the supply of new homes including associated facilities;

with the supporting action of:

Direct delivery of homes:

- *Delivery of new homes in Ollerton and Boughton.*

9.0 RECOMMENDATIONS that:

- (a) a budget of £70,000 be added to the Capital Programme, financed by the Capital Provision in order to purchase the land in front of the Dukeries Leisure Centre; and**
- (b) approval be given to the allocation of £300,000 from the Change Management Reserve to enable the submission of a planning application for the allocated site (OB/MU/2) between the Stepnall Heights and Hallam Road estates, subject to the comments of the Economic Development Committee at paragraph 4.1 and detailed feasibility work and identification of a viable development option.**

Reason for Recommendations

To develop a Neighbourhood Study approach, in accordance with the Community Plan, so to inform current and future policy development for a study area, to the benefit and prosperity of its residential and business community.

Background Papers

Nil

For further information please contact either Rob Main, Business Manager – Housing Strategy & Development on 01636 655930 or Cara Clarkson, Regeneration & Growth Lead on 01636 655923.

Matt Lamb
Director – Growth & Regeneration

Ollerton & Boughton Neighbourhood Study: Development Options

Option 1:



- 112 houses and 54 apartments (166 homes in total)
- Parking provision at 217%
- A new road linking Hallam Road to Kirk Drive
- A new road linking Hallam Road to Stepnall Heights Road
- Retained playing field adjacent to the Dukeries
- Formalised open space to the north of the site, surrounded by woodland

Option 2:



- 105 houses and 18 apartments (123 homes in total)
- Parking provision at 240%
- A new road linking Hallam Road to Kirk Drive
- A new road linking Hallam Road to Stepnall Heights Road
- Formalised open space in the centre of the site
- New housing in the north east corner surrounded by retained woodland

Option 3:



- 119 houses and 15 apartments (134 homes in total)
- Parking provision at 233%
- A new road linking Hallam Road to Kirk Drive and Bentinck Close
- Retained playing field adjacent to the Dukeries
- Formalised open space in the centre of the site
- New housing in the north east corner surrounded by retained woodland

Option 4:



- 139 houses and 32 apartments (171 homes in total)
- Parking provision at 190%
- A new road linking Hallam Road to Kirk Drive but less directly
- Pockets of open space - at the centre of the site and north of Bentinck Close
- New housing in the north east corner surrounded by the retained woodland

Option 5:



Option 5 retains the Option 4 layout with 30 additional homes facilitated by the addition of Dukeries Land, which is protected and enhanced for recreation and open space.

POLICY & FINANCE COMMITTEE
26 SEPTEMBER 2019

GENERAL FUND & CAPITAL PROJECTED OUTTURN REPORT TO 31 MARCH 2020 AS AT 30 JUNE 2019

1.0 Purpose of Report

1.1 This report compares the Revised Budgets for the period ending 31 March 2020 with the Projected Outturn forecast for the period, based on meetings with Financial Services staff and the appropriate Business Manager. These are based on three months performance information on the Council's revenue and capital budgets, including:-

- General Fund Revenue
- Capital Programme

1.2 To inform Committee of the individual contributions to, and withdrawals from, Usable Reserves.

2.0 Background Information

2.1 The Council's Constitution states that the Section 151 Officer shall present to the Policy & Finance Committee, at least twice in each financial year, budgetary control statements showing performance against the approved estimates of revenue expenditure and income. The appropriate Chief Officer will report on any major variances from planned budget performance.

2.2 Where it appears that the amount included under any head of the approved budget is likely to be exceeded or the budgeted amount of income under any head is unlikely to be reached then Business Managers are required to find savings elsewhere in their budget. In circumstances where savings cannot be identified it will be necessary to consult with the Section 151 Officer and ultimately take a report to the Policy & Finance Committee.

3.0 Proposals

Overview of General Fund Revenue Projected Outturn for 2019/20

3.1 The accounts show a projected unfavourable variance against the revised budget of £0.147m on Service budgets, with an overall unfavourable variance of £0.161m as shown in the table below:

	Original Budget £'m	Revised Budget £'m	Projected Outturn £'m	Variance £'m
Dir - Communities & Environment	5.963	6.067	6.101	0.034
Dir - Governance & Occ Dev	2.632	2.595	2.548	-0.047
Dir - Growth & Regen	2.817	2.851	2.731	-0.120
Dir - Resources & DCE	2.074	2.160	2.440	0.280
Net Cost of Services	13.486	13.673	13.820	0.147
Other Operating Expenditure	3.421	3.586	3.836	0.250

Finance & Investment Inc & Exp	0.768	0.568	0.518	-0.050
Taxation & Non Specific Grant Inc	-18.330	-18.344	-18.544	-0.200
Net Cost of Council Expenditure	-0.655	-0.517	-0.370	0.147
Transfer to/-from Usable Reserves	2.483	2.371	2.395	0.024
Transfer to/-from Unusable Reserves	-1.828	-1.854	-1.864	-0.010
Transfer to/-from General Reserves	0.00	0.00	0.161	0.161

3.2 As can be seen from the table above there are variances projected in service areas and other budgets. Looking at the underlying trends, the detailed variances by Committee can be further summarised and these are shown at **Appendix A**.

3.3 The level of overspending on Service Budgets managed by the Business Managers is **£0.147m** and represents 1.08% of the total service budgets. The breakdown below of variances by type of income/expenditure (CIPFA classification), shows where outturn is projecting to be favourable or unfavourable, when compared to the revised budget figure.

	£'m
Employees	£0.202
Premises	£0.036
Transport	-£0.003
Supplies	£0.089
Income	-£0.455
Rent Allowances/HB	£0.278
Total	£0.147

3.4 Non-Service expenditure is expected to be overspent against the revised budget by **£0.014m**.

3.5 The variance relating to Other Operating Expenditure relates to the Commercial savings target. The current forecast general fund saving is £0.110m sits within Service budgets rather than within Other Operating Expenditure. The Council's cash position has meant that it hasn't currently needed to take borrowing in relation to the General Fund and hence this has reduced the forecast interest expenditure resulting in a forecast saving of £0.050m. A forecast of £0.200m has been made in relation to income from the Nottinghamshire Business Rates pool which was not budgeted for.

3.6 Should this materialise it would reduce the General Fund Working balance below the £1.5m total set within the Medium Term Financial Plan as approved at Council on 7 March 2019, should the deficit be funded by that reserve.

Overview of Projected Capital Outturn 2019/20

3.7 The table below summarises the position for the Capital Programme up to the end of June 2019, and is split between General Fund and Housing Revenue Account.

	Revised Approved Budget £'m	Revised budget updated for Approval £'m	Actual Spend to June 2019 £'m	Forecast Outturn £'m
General Fund	16.326	18.237	2.454	18.237
HRA	22.093	19.106	7.267	19.106
Total	38.419	37.343	9.721	37.343

3.8 The capital programme changes during the year as projects are developed and spending commitments are made. It is a requirement that Policy & Finance Committee approves all variations to the Capital Programme, for which the budget approved at the 27 June 2019 meeting was £38.419m. The additions and amendments that now require approval are detailed in **Appendix B** as follows:

Additions/Reductions	£1.539
Reprofiles	-£2.615
Total	-£1.076

3.9 If these variations are approved, then the revised budget will be reduced to £37.343m. These changes are due to a review of the budget available and more accurate estimate of profiling and additions approved during the financial year. A more detailed breakdown at scheme level, including some comments on projects progress, can be found at **Appendix C** (General Fund) and **D** (HRA).

Capital Programme Resources

3.10 The Capital resources available to the Council are not static. Capital receipts are generated throughout the year, additional grants and contributions are paid to the Council, and borrowing may be increased to fund some projects.

3.11 In summary, the estimated outturn of £37.343m will be financed as follows, with every attempt to minimise the impact on the Council's revenue budget

	General Fund	HRA	Total
Borrowing	£2.281	£3.000	£5.281
External Grants & Contributions	£4.532	£2.551	£7.083
Capital Receipts	£1.887	£5.490	£7.377
Revenue Contributions	£9.537	£8.065	£17.602
Total	<u>£18.237</u>	<u>£19.106</u>	<u>£37.343</u>

Capital Receipts

3.12 The Council has been successful in securing a number of capital receipts for both general fund and HRA in previous years, and continue to do so. The current level of capital receipts is detailed in the table below:

	General Fund £'m	HRA Receipts £'m	HRA 1-4-1 Receipts £'m	Total £'m
Balance at 1st April 2019	2.039	3.828	1.873	7.740
Received up to the end of June 2019	0.000	0.051	0.191	0.242
Approved to use for financing	1.887	4.146	1.344	7.377
Estimated receipts for remainder of the financial year	0.350	0.267	0.527	1.144
Available Capital receipts balance at 31 March 2020	0.502	0.000	1.247	1.749
Estimated Receipts 2020/21 - 2022/23	0.000	2.022	2.434	4.456
Approved for Financing 2020/21 - 2022/23	0.449	2.022	3.681	6.152
Estimated Uncommitted Balance	0.053	0.000	0.000	0.053

- 3.13 The RTB receipts for Replacement Homes (known as 1-4-1 Receipts) are retained through a RTB agreement. Under the terms of that agreement, the RTB receipts have to be spent on new supply of affordable housing within 3 years of their arising, or have to be returned to Government with penalty interest applied. In addition to this, the receipts cannot be used where a scheme is funded wholly or in part by grant income. Those receipts used for Council new build supply can only be used to fund up to 30% of the cost of any scheme, with the Council required to fund the remaining 70% through the HRA.

4.0 Financial Implications (FIN19-20/7098)

- 4.1 All of the financial implications are set out in the body of the report.

With regard to the General Fund revenue outturn, the overspend of £0.147m represents a variance of 1.08% on the overall General Fund budget.

With regard to capital, any savings on projects will be assessed and used to meet additional demands, or to fund the Council's Capital Programme in future years.

5.0 RECOMMENDATIONS that:

- (a) the General Fund projected unfavourable outturn variance of £0.161m be noted;
- (b) the variations to the Capital Programme at Appendix B be approved; and
- (c) the Capital Programme projected outturn and financing of £37.343m be noted;

Reason for Recommendations

To update Members with the forecast outturn position for the 2019/20 financial year.

Background Papers

General Fund Monitoring Reports to 30 June 2019
Capital Financing Monitoring Reports to 30 June 2019

For further information please contact Jenna Norton on Ext 5327.

Nick Wilson
Business Manager – Financial Services

Variance Analysis by Director - Projected Outturn as at 30th June 2019

<u>Director of Communities & Environment £0.034m</u>	£'m
Increase in fly tipping	0.013
Waste collection income increases primarily from garden waste customers	-0.024
Reduced CCTV income from customers cancelling/disputing service	0.014
Other small variances	0.031
Total	0.034
<u>Director of Governance & Occ. Dev. -£0.047m</u>	£'m
Staff saving in Org. Dev due to changes to the structure and charging of Business Manager cost	-0.020
Apprentice Allowance budgeted centrally, needs to be vired to appropriate service budgets	-0.056
HR salaries overspent due to Budget Manager time being split incorrectly	0.020
Other small variances	0.009
Total	-0.047
<u>Director of Growth & Regeneration -£0.120m</u>	£'m
Salary underspend in Planning Policy team	-0.010
Salary underspend in Strategic Housing due to vacant post only recently being filled	-0.010
Salary underspend in Dev. Management - BM & ABM still vacant	-0.095
Salary underspend in Town Centre Management team - BM only recently in post	-0.021
Reduced income at NCWC due to reduced price whilst new "World turned Upside Down" exhibition is installed	0.020
Other small variances	-0.004
Total	-0.120
<u>Director of Resources & DCE £0.280m</u>	£'m
Vacancy Factor of 3.5% of Sals - savings in cost centres	0.360
Increased income from Ringo cashless parking system	-0.019
Fin Services - Increased income from Recharge to A4T, budget understated	-0.030
Impact of Universal Credit roll out on Rent Allowances & HB	-0.120
ICT termination payment to former Business Manager	0.022
ICT additional software and licences required	0.051
Newark Beacon - Maternity leave & sickness cover	0.039
Under provision of Business Rates budget	0.044
Other small variances	-0.067
Total	0.280

General Fund Additions

Project	Capital Description	Additions / Reductions 19-20	Additions / Reductions 20-21	Additions / Reductions 21-22	Additions / Reductions 22-23	Comments
TA1219	S106 - Blidworth LC Steam & Sauna Facility	30,980				Budget approved at P&F 27.06.19
TA3286	Technology Investment	-269,609	179,910			Removed budget for Warden Call System - not due to be carried out until beyond 22/23. Budget added for hardware for Members, Tourism Website Development and Council website development.
TB2253	Vehicles, Plant & Equipment	29,123	-20,000			Additional budget required for mobile lifting equipment to be suitable for heavier vehicles, partly funded by budget allocated in 20-21.
TB6159	S106 JW School Off Site Sports Provision	43,000				Budget approved at P&F 27.06.19
TB6160	S106 JW School Community Facility	50,294				Urgency Item reported to P&F 26.09.19
TC2003	Land Acquisition	70,000				Budget approved at P&F 28.06.18
TC3266	Contribution to Robin Hood Development	1,650,000	1,650,000			Budget approved at P&F 04.04.19
TF6011	Disabled Facility Grants	152,557				Budget increased to match additional grant allocation.
TF6012	Discretionary Disabled Facility Grants	18,875				Budget increased to match additional grant allocation.
TF6807	Warm Homes on Prescription	55,000				Budget increased to match additional grant allocation.

Total General Fund Additions/Reductions	1,830,220	1,809,910	0	0
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General Fund - Reprofiting

Project	Capital Description	Additions / Reductions 19-20	Additions / Reductions 20-21	Additions / Reductions 21-22	Additions / Reductions 22-23	Comments
TA3286	Technology Investment	100,000	60,000	-140,000		Reprofile to suit business requirement.
TB2253	Vehicles, Plant & Equipment	-20,000				Reduce budget as per urgency item - added to above to facilitate the enhancement of Meritec since Garden Waste service taken back.

Total General Fund Re profiling	80,000	60,000	-140,000	0
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HRA Additions/Reductions

Project	Capital Description	Additions / Reductions 19-20	Additions / Reductions 20-21	Additions / Reductions 21-22	Additions / Reductions 22-23	Comments
SA1033	Estate Regeneration	-394,709				Reduce budget to match grant available.
SA1047	New Build Programme Contingency	-262,324				Reduced budget to part fund increases in Phase 2 budget.
SA1048	Boughton Extra Care Scheme		1,337,000			As per P&F 27.06.19
SA1050	Phase 2 Cluster 1 - Coddington	58,580				Increase for fees and prelims
SA1051	Phase 2 Cluster 1 - 1-4-1 Coddington	54,970				Increase for fees and prelims
SA1052	Phase 2 Cluster 2 - Southwell	97,060				Increase for fees and prelims
SA1053	Phase 2 Cluster 3 - Hawtonville	58,170				Increase for fees and prelims
SA1054	Phase 2 Cluster 3 - 1-4-1 Hawtonville	70,770				Increase for fees and prelims
SA1055	Phase 2 Cluster 4 - Sherwood	26,270				Increase for fees and prelims
SA1060	Phase 3		545,286			Increase due to inclusion of Forster Ave properties (P&F 27.6.19) and following review of spend in first two phases.
SA1070	Phase 4			162,730		Increase following review of spend in first two phases.
SA1080	Phase 5				14,900	Increase following review of spend in first two phases.

Total HRA Additions/Reductions	-291,213	1,882,286	162,730	14,900
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HRA - Reprofiting

Project	Capital Description	Additions / Reductions 19-20	Additions / Reductions 20-21	Additions / Reductions 21-22	Additions / Reductions 22-23	Comments
SA1048	Boughton Extra Care Scheme	-178,261	178,261			Re-phase expenditure to match current plan.
SA1060	Phase 3	-2,617,264	2,617,264			Re-phase expenditure to match current plan.
SA1070	Phase 4	100,000	-100,000			Re-phase expenditure to match current plan.
SA1070	Phase 4		-3,080,000	3,080,000		Re-phase expenditure to match current plan.
SA1080	Phase 5		100,000	-100,000		Re-phase expenditure to match current plan.
SA1080	Phase 5			-3,790,000	3,790,000	Re-phase expenditure to match current plan.

Total HRA Re profiling	-2,695,525	-284,475	-810,000	3,790,000
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Total Additions/Reductions	1,539,007	3,692,196	162,730	14,900
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Total Re profiling	-2,615,525	-224,475	-950,000	3,790,000
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General Fund - Spend against budget - Estimated in year

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
TA3286	Information Technology Investment	Dave Richardson	697,679	488,070	42,538	39,954	405,578	488,070	0.00	8.8.19 150 laptops purchased and currently being rolled out.
TB6148	Lorry Carpark Extension	Steven Syddall	592,205	592,205	238,726	192,884	160,596	592,205	0.00	8.8.19 Work due for completion by end of Aug 19. Extn complete, up to 150 vehicles per night at the moment 14.08.19 Delayed slightly due to underground cables and rain.
TC1000	New Council Offices	Matthew Finch	288,923	288,923	-5,946	39,461	255,408	288,923	0.00	14.08.19 defects being dealt with.
TC3131	Extension to London Road Car Park	Steven Syddall	107,407	107,407	0	0	107,407	107,407	0.00	8.8.19 currently on hold
TC3134	Works to SFACC	Darren Wardale	222,471	222,471	52,902	107,478	62,091	222,471	0.00	14.08.19 - phase 1 came in over budget due to structural issues shell complete. Phase 2 (new block in car park of craft centre) is on hold at the moment to review best use of remaining funding.
TC3135	Works to Buttermarket	Matt Lamb	250,000	250,000	0	0	250,000	250,000	0.00	14.08.19 - waiting on a decision from LEP re funding
TC3136	Solar Panels to Council Offices	Steven Syddall	30,000	30,000	0	0	30,000	30,000	0.00	14.08.19 waiting for issues with roof to be resolved.
TC3266	Contribution to Robin Hood Development	Matt Lamb	0	1,650,000	0	0	1,650,000	1,650,000	0.00	
	RESOURCES		2,188,687	3,629,078	328,220	379,777	2,921,080	3,629,078	0.00	
TA1215	Leisure Centre Car Park Extension	Matthew Finch	0	0	-1,174	7,638	-6,464	-0	-0.10	
TA1216	Dukeries LC New Pool	Matthew Finch	2,500,000	2,500,000	0	0	2,500,000	2,500,000	0.00	8.8.19 Work progressing towards detailed design to seek planning permission
TA1217	Southwell Leisure Centre Improvements	Matthew Finch	0	0	0	0	0	0	0.00	
TA1218	Leisure Equipment Purchase	Matthew Finch	0	0	0	0	0	0	0.00	
TA1219	S106 - Blidworth LC Steam & Sauna Facility	Andy Hardy	0	30,980	0	0	30,980	30,980	0.00	
TB6153	Cricket Facilities Kelham Rd - S106	Andy Hardy	21,007	21,007	8,890	5,213	6,904	21,007	0.00	14.08.19 - waiting for final account. 1st September official opening with ECB.
TB6154	S106 Community Facilities Provision Community & Activity Village	Andy Hardy	156,183	156,183	0	0	156,183	156,183	0.00	8.8.19 Waiting on final stages of project for payment to be released.
TB6159	S106 JW School Off Site Sports Provision	Andy Hardy	0	43,000	0	0	43,000	43,000	0.00	
TB6160	S106 JW School Community Facility	Andy Hardy	0	50,294	0	0	50,294	50,294	0.00	
TB2250	Vehicles & Plant (NSH)	Andy Kirk	0	0	0	10,008	-10,008	0	0.00	complete
TB2253	Vehicles & Plant (NSDC)	Andy Kirk	1,648,747	1,697,870	171,279	1,266,119	260,472	1,697,870	0.00	14.08.19 replacements ongoing.
TF2000	CCTV Replacement Programme	Alan Batty	66,000	66,000	0	0	66,000	66,000	0.00	
TF3221	Southwell Flood Mitigation	Alan Batty	453,421	453,421	0	0	453,421	453,421	0.00	
TF3224	Seven Hills	Leanne Monger	0	0	0	9,451	-9,451	0	0.00	
TF3227	Lowdham Flood Alleviation	Alan Batty	200,000	200,000	0	0	200,000	200,000	0.00	
TF3228	Homeless Hostel	Leanne Monger	1,000,000	1,000,000	0	0	1,000,000	1,000,000	0.00	
TF6011	Private Sector Disabled Facilities Grants	Alan Batty	599,358	751,915	134,233	19,085	598,598	751,915	0.00	8.8.19 ongoing expenditure - demand led
TF6012	Discretionary DFG	Alan Batty	81,125	100,000	16,056	0	83,944	100,000	0.00	
TF6807	Warm Homes on Prescription	Leanne Monger	74,196	129,196	19,489	13,960	95,747	129,196	0.00	
	COMMUNITIES & ENVIROMENT		6,800,037	7,199,866	348,772	1,331,474	5,519,620	7,199,866	0	

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
TA3053	Museum Improvements	Carys Coulton-Jones	434,258	434,258	9,083	23,028	402,146	434,258	0.00	
TB3154	Castle Gatehouse Project	Phil Beard	34,995	34,995	13,404	20,114	1,477	34,995	0.00	
TC2000	Land Acquisition	Steven Syddall	35,000	105,000	0	0	105,000	105,000	0	
TE3268	Southern Link Road Contribution	Matt Lamb	2,833,333	2,833,333	0	0	2,833,333	2,833,333	0.00	
	GROWTH		3,337,586	3,407,586	22,487	43,142	3,341,957	3,407,586	0	
TG1001	Investment in Arkwood Developments	Nick Wilson	4,000,000	4,000,000	0	0	4,000,000	4,000,000	0.00	8.8.19 Payment made in July 2019 following P&F approval on 27.06.19
	CAPITAL INVESTMENT		4,000,000	4,000,000	0	0	4,000,000	4,000,000	0.00	
TOTALS			16,326,309	18,236,529	699,479	1,754,393	15,782,657	18,236,529	0	

HRA - Spend against budget - Estimated in year

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
PROPERTY INVESTMENT PROGRAMME										
S91100	ROOF REPLACEMENTS	NSH	432,000	32,000	0	0.00	32,000	32,000	0	
S91113	Roof Replacement Works 17/18	NSH	0	0	0	0.00	0	0	0	
S91115	Roof Replacement Works	NSH	0	200,000	11,235	0.00	188,765	200,000	0	8.8.19 On target and on budget
S91116	Flat Roof Replacement Wrk	NSH	0	200,000	4,738	0.00	195,262	200,000	0	8.8.19 On target and on budget
S711	ROOF REPLACEMENTS		432,000	432,000	15,973	0.00	416,027	432,000	0	
S91200	KITCHEN & BATHROOM CONVERSIONS	NSH	1,620,000	120,000	0	0.00	120,000	120,000	0	
S91217	Kit & Bathrooms 2017/18	NSH	0	0	0	0.00	0	0	0	
S91218	Kit & Bathrooms	NSH	0	1,500,000	264,189	528,754.84	707,056	1,500,000	0	8.8.19 On target and on budget
S712	KITCHEN & BATHROOM CONVERSIONS		1,620,000	1,620,000	264,189	528,754.84	827,056	1,620,000	0	
S91300	EXTERNAL FABRIC	NSH	324,000	124,000	0	0.00	124,000	124,000	0	
S91336	External Fabric Works	NSH	0	200,000	-12,386	0.00	212,386	200,000	0	8.8.19 Rention due to be paid.
S713	EXTERNAL FABRIC		324,000	324,000	-12,386	0.00	336,386	324,000	0	
S91400	DOORS & WINDOWS	NSH	183,600	13,600	0	0.00	13,600	13,600	0	
S91412	Doors & Windows Works	NSH	0	170,000	17,133	145,376.50	7,491	170,000	0	8.8.19 Nationally, fire doors are not meeting safety standards following Grenfell this is causing a delay to the programme and is being monitored. Alternative doors are being investigated.
S91413	Doors & Windows	NSH	0	0	0	0.00	0	0	0	
S714	DOORS & WINDOWS		183,600	183,600	17,133	145,376.50	21,091	183,600	0	
S91500	OTHER STRUCTURAL	NSH	54,000	54,000	-17,950	350.00	71,600	54,000	0	
S91511	Walls Re-Rendering	NSH	54,000	54,000	0	0.00	54,000	54,000	0	
S91530	18 Bentinck Close	NSH	0	0	0	0.00	0	0	0	
S91531	Locking Systems	NSH	0	0	-3,289	3,288.35	1	0	0	
S715	OTHER STRUCTURAL		108,000	108,000	-21,239	3,638.35	125,601	108,000	0	
S93100	ELECTRICAL	NSH	648,000	48,000	0	0.00	48,000	48,000	0	
S93113	Disturbance Allowance 17/18	NSH	0	0	0	0.00	0	0	0	
S93114	Rewires 17/18	NSH	0	0	-37,396	37,396.65	0	0	0	
S93115	Rewires	NSH	0	600,000	-11,935	10,173.45	601,761	600,000	0	8.8.19 On target and on budget
S731	ELECTRICAL		648,000	648,000	-49,331	47,570.10	649,761	648,000	0	
S93200	SMOKE ALARMS	NSH	0	0	0	0.00	0	0	0	
S732	SMOKE ALARMS		0	0	0	0.00	0	0	0	
S93300	PASSENGER LIFTS	NSH	0	0	0	0.00	0	0	0	
S733	PASSENGER LIFTS		0	0	0	0.00	0	0	0	

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
S93500	HEATING	NSH	594,000	44,000	0	0.00	44,000	44,000	0	
S93509	Heating/Boilers 2017/18	NSH	0	0	0	0.00	0	0	0	
S93510	Heating/Boilers	NSH	0	550,000	76,726	433,621.91	39,652	550,000	0	8.8.19 On target and on budget
S735	HEATING		594,000	594,000	76,726	433,621.91	83,652	594,000	0	
S93600	ENERGY EFFICIENCY	NSH	162,000	162,000	0	0.00	162,000	162,000	0	
S93621	EE Boilers 2017/18	NSH	0	0	-4,269	0.00	4,269	0	0	
S93622	Pv Invertors	NSH	0	0	0	0.00	0	0	0	
S93624	EE Boilers	NSH	0	0	0	0.00	0	0	0	
S736	ENERGY EFFICIENCY		162,000	162,000	-4,269	0.00	166,269	162,000	0	
S95100	GARAGE FORECOURTS	NSH	81,000	6,000	0	0.00	6,000	6,000	0	
S95109	Garages	NSH	27,000	27,000	0	2,277.00	24,723	27,000	0	
S95113	Resurfacing Works 2017/18	NSH	0	0	0	0.00	0	0	0	
S95115	Resurfacing Works	NSH	0	75,000	0	0.00	75,000	75,000	0	8.8.19 On budget. Two sites re car parking.
S751	GARAGE FORECOURTS		108,000	108,000	0	2,277.00	105,723	108,000	0	
S95200	ENVIRONMENTAL WORKS	NSH	162,000	162,000	0	0.00	162,000	162,000	0	
S95202	Howes Court Balcony	NSH	0	0	0	0.00	0	0	0	
S95250	Communal Lighting	NSH	21,600	21,600	0	0.00	21,600	21,600	0	
S95251	Door Entry Systems	NSH	0	0	-13,000	8,015.00	4,985	0	0	
S95252	Flood Defence Systems	NSH	10,800	10,800	0	0.00	10,800	10,800	0	
S95253	Play Areas	NSH	21,600	21,600	0	0.00	21,600	21,600	0	
S95254	Estate Remodelling	NSH	70,200	5,200	0	0.00	5,200	5,200	0	
S95291	Parking Works	NSH	0	0	0	0.00	0	0	0	
S95293	Fencing Works	NSH	0	65,000	0	0.00	65,000	65,000	0	8.8.19 Communal fencing at several sites facing the public highway to resolving safety issues
S752	ENVIRONMENTAL WORKS		286,200	286,200	-13,000	8,015.00	291,185	286,200	0	
S97100	ASBESTOS	NSH	54,000	4,000	0	0.00	4,000	4,000	0	
S97115	Asbestos Surveys	NSH	0	30,000	12,119	2,658.75	15,223	30,000	0	8.8.19 On track with surveys
S97116	Asbestos Removal	NSH	0	20,000	3,739	13,722.54	2,538	20,000	0	
S771	ASBESTOS		54,000	54,000	15,858	16,381.29	21,761	54,000	0	
S97200	FIRE SAFETY	NSH	54,000	54,000	-8,735	0.00	62,735	54,000	0	
S97221	Fire Doors Various	NSH	0	0	0	0.00	0	0	0	
S772	FIRE SAFETY		54,000	54,000	-8,735	0.00	62,735	54,000	0	
S97300	DDA IMPROVEMENTS	NSH	21,600	21,600	0	0.00	21,600	21,600	0	8.8.19 Community centre improvements. On programme.
S97309	Dda Works	NSH	0	0	0	0.00	0	0	0	
S773	DDA IMPROVEMENTS		21,600	21,600	0	0.00	21,600	21,600	0	
S97400	DISABLED ADAPTATIONS	NSH	432,000	32,000	0	0.00	32,000	32,000	0	

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
S97416	Major Adaptations	NSH	0	340,000	56,959	206,279.53	76,761	340,000	0	
S97417	Minor Adaptations	NSH	0	30,000	575	20,996.70	8,428	30,000	0	
S97418	Adaptation Stair Lift/Ho	NSH	0	30,000	-190	25,486.00	4,704	30,000	0	
S774	DISABLED ADAPTATIONS		432,000	432,000	57,344	252,762.23	121,893	432,000	0	
S97500	LEGIONELLA	NSH	32,400	32,400	0	15,000.00	17,400	32,400	0	8.8.19 On programme - contractors on site.
S97503	Legionella 2017/18	NSH	0	0	0	0.00	0	0	0	
S791	UNALLOCATED FUNDING		32,400	32,400	0	15,000.00	17,400	32,400	0	
S99100	PROPERTY INVESTMENT CONTINGENCY	NSH	54,000	54,000	-1,519	0.00	55,519	54,000	0	
S791	UNALLOCATED FUNDING		54,000	54,000	-1,519	0.00	55,519	54,000	0	
	PROPERTY INVESTMENT		5,113,800	5,113,800	336,743	1,453,397	3,323,660	5,113,800	0	
AFFORDABLE HOUSING										
SA1023	Bowbridge Road	Rob Main / Kevin Shutt	-0	-0	0	0	0	0	0	
SA1030	HRA Site Development	Rob Main / Kevin Shutt	0	0	0	0	0	0	0	
SA1031	Site Acquisition (Inc RTB)	Rob Main / Kevin Shutt	1,411,029	1,411,029	92,500	0	1,318,529	1,411,029	0	
SA1032	New Build Programme	Rob Main / Kevin Shutt	0	0	2,363	48,284	-50,647	-0	-0	
SA1033	Estate Regeneration	Rob Main / Kevin Shutt	626,423	231,714	73,205	78,762	79,748	231,714	0	
SA1034	Former ASRA Properties	Rob Main	588,971	588,971	0	0	588,971	588,971	0	
SA1041	Phase 1 Cluster 1 Newark	Rob Main / Kevin Shutt	0	0	-30,898	30,184	714	0	0	
SA1042	Phase 1 Cluster 2 Farndon Hca	Rob Main / Kevin Shutt	0	0	-30,349	57,376	-27,026	0	0	
SA1043	Phase 1 Clust 2 Farndon 1-4-1	Rob Main / Kevin Shutt	0	0	-2,997	4,484	-1,488	-0	-0	
SA1044	Phase 1 Clust 3, West	Rob Main / Kevin Shutt	0	0	-52,532	27,299	25,233	0	0	
SA1045	Phase 1 Clust 4, Collingham	Rob Main / Kevin Shutt	0	0	60,704	21,355	-82,058	0	0	
SA1046	Phase 1 Clust 5, Balderton	Rob Main / Kevin Shutt	0	0	-21,925	141,856	-119,931	-0	-0	
SA1047	New Build Contingency	Rob Main / Kevin Shutt	539,382	277,058	1,475	0	275,583	277,058	0	
SA1048	Boughton Extra Care	Rob Main / Kevin Shutt	2,386,500	2,208,239	46,875	-3,938	2,165,302	2,208,239	0	8.8.19 Tender accepted, aiming for start on site October 2019. £2m grant funding confirmed.
SA1050	Phase 2 Cluster 1 - Coddington	Rob Main / Kevin Shutt	957,939	1,016,519	239,893	595,047	181,579	1,016,519	0	8.8.19 Phased completion between Nov 19 and Feb 20, running on target and on budget at the moment.
SA1051	Phase 2 Cluster 1 - 1-4-1 Coddington	Rob Main / Kevin Shutt	704,070	759,040	177,055	293,053	288,933	759,040	0	8.8.19 Due for completion by Feb 20, currently on target and on budget.
SA1052	Phase 2 Cluster 2 - Southwell	Rob Main / Kevin Shutt	346,688	443,748	129,571	92,619	221,559	443,748	0	8.8.19 Due for completion by Feb 20, currently on target and on budget.
SA1053	Phase 2 Cluster 3 - Hawtonville	Rob Main / Kevin Shutt	1,623,458	1,681,628	224,052	1,144,589	312,987	1,681,628	0	8.8.19 Due for completion by Mar 20, currently on target and on budget.

Project	Capital Description	Project Manager	Revised Budget 19/20 (Following P&F 29.06.19)	Revised Budget including Variations for Approval	Actuals to end of June	Current outstanding orders	Additional anticipated spend in year	Total Projected spend in year	Variance	Comments - Spend to date
SA1054	Phase 2 Cluster 3 - 1-4-1 Hawtonville	Rob Main / Kevin Shutt	949,691	1,020,461	158,113	615,387	246,962	1,020,461	0	8.8.19 Due for completion by Mar 20, currently on target and on budget.
SA1055	Phase 2 Cluster 4 - Sherwood	Rob Main / Kevin Shutt	1,244,667	1,270,937	336,999	761,185	172,753	1,270,937	0	8.8.19 Due for completion by Mar 20, currently on target and on budget.
SA1060	Phase 3	Rob Main / Kevin Shutt	5,600,000	2,982,736	11,053	154,554	2,817,129	2,982,736	0	8.8.19 Have identified and carried out feasibility on approx 100 units of which we have 15 with planning approval. Due to deliver 50-60 units in this phase, depending on types and confirmed costs to stay in line with budget. Remaining units with feasibility will roll into phase 4.
SA1070	Phase 4	Rob Main / Kevin Shutt	0	100,000	0	0	100,000	100,000	0	8.8.19 Identified 40 units to date, which are more complex to develop, but sites are progressing and more sites will be added as time goes on.
SA1080	Phase 5	Rob Main / Kevin Shutt	0	0	0	0	0	0	0	
SUB TOTAL AFFORDABLE HOUSING			16,978,819	13,992,081	1,415,155	4,062,095	8,514,831	13,992,081	0	
TOTAL HOUSING REVENUE ACCOUNT			22,092,619	19,105,881	1,751,898	5,515,493	11,838,490	19,105,881	1	
RECONCILIATION			22,092,619	19,105,881	1,751,898	5,515,493	11,838,490	19,105,881	1	

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

RESOURCING THE DELIVERY OF THE COMMUNITY PLAN 2019-2023

1.0 Purpose of Report

- 1.1 To inform the Committee of the progress in re-alignment of the financial resources to fund the delivery of the Council's Community Plan priorities.
- 1.2 To inform the Committee of the allocation of funding from the Change Management Reserve to fund one off expenditure to support the delivery of the objectives of the Community Plan.
- 1.3 To inform the Committee of the proposed changes to the base budget that will be presented to the Council's Committees as part of setting the 2020/21 general fund base budget, and seek support for these changes.

2.0 Background Information

- 2.1 The Community Plan was prepared after consultation with the residents of Newark & Sherwood District Council and was agreed by Council on 7 March 2019. The Plan sets out the key objectives for 2019-2023 and while some of the actions that underpin these objectives can be delivered through "business as usual", there are many, particularly relating to major projects, that require either re-focusing of resources, additional financial resourcing or a combination of the two.
- 2.2 The Council's senior leadership team have carried out a full review of the finances of the Council and in addition, as requested by Full Council, given consideration to the proposals of the Labour Group which were submitted as a budget amendment in March 2019 (Appendix 1). As a result, SLT have identified around £400,000 of the current base budget that can be re-allocated to support the delivery of the objectives in the Community Plan. In addition to base line changes to the budget, £480,000 has been identified as being required as one off expenditure to be funded from use of the Change Management reserve and the Cleaner, Safer, Greener (CSG) reserve.
- 2.3 The base budget amount of £400,000 has been identified by carrying out a review of the last 4 years actual net expenditure and comparing this with the net budgeted expenditure for each year. Through this process, 4 areas of consistent over budgeting of expenditure, or under budgeting of income, have been identified. These 4 areas are:
 - Rent allowances
 - Rent rebates
 - Industrial Estates
 - Environmental Health

There are also many other smaller variances that make up the total of £400,000. The Council has over the past 3 years had significant positive variances on its net expenditure and therefore senior management are confident in putting forward the proposal to re-allocate £400,000 during the 2020/21 budget setting process to meet the actions identified in the Community Plan.

3.0 Proposals

Senior Management, in consultation with the leadership of the council, have identified the following areas as priorities where additional resourcing in line with the Community Plan priorities will be required:

- Housing Health and Community Relations
- Waste, Trade Waste and Ground Maintenance
- Growth and Regeneration
- Corporate Capital Projects
- Land at Lowfield Lane
- Lorry Park Security
- Apprenticeships
- Information Technology
- Commercialisation and Major Projects

3.1 **Housing, Health and Community Relations**

3.1.1 In January 2019, as part of the corporate restructure, a new Business Unit, Housing Health and Community Relations was created to contribute towards achieving;

- a more integrated approach to protecting the public and the 'Cleaner, Safer, Greener' agenda;
- strengthen the focus on improving the lives of the most vulnerable residents in the District, particularly in relation to reducing health inequalities;
- play a lead role in developing more active and meaningful engagement with local communities

The following was immediately implemented in respect of the Community Relations Team:

- The post of Community Projects Manager was deleted and replaced with a new post of **Senior Health Improvement and Community Relations Officer**.
- The post of **Health Prevention Officer** was transferred to the new Housing, Health and Community Relations Business Unit
- The post of Access and Equalities Officer was deleted and replaced with a new post of **Community Relations Officer**.

3.1.2 The focus of the new Community Relations Officer post is to build links with, and between, the gypsy and traveller community and other communities in the most deprived areas of the District. The officer spends 90% of the time in the community, working directly with residents and partners. Therefore, this role has become a valuable asset and source of information for the Council; gathering local intelligence, developing community assets, delivering the councils aspirations to become a more engaging council and improving its reputation.

3.1.3 The Senior Leadership Team temporarily increased the establishment within the Community Relations Team by 0.5 FTE from April 2019 to March 2020, which was funded from the movement of funds between cost centres within the Business Unit. This enabled 1 x permanent FTE and 1 x temporary 0.5 FTE appointments to be made. These appointments were made in recognition that this is likely to be an area of growth, requiring additional capacity/resource in order to successfully deliver the Council's new Community Plan objectives.

- 3.1.4 The two Community Relations Officers (1.5 FTE) have made a significant Impact and have helped deliver a number of positive outcomes to the Community.
- 3.1.5 Looking ahead, there remains a significant amount of work activity and initiatives, such as the development and implementation of a new Community Initiatives Fund and Community Lottery, to set up and deliver.
- 3.1.6 A gap has been identified in the structure of the team by the Business Manager, given the stretched capacity of the Senior Community Relations Officer in relation to day to day supervision, co-ordination of the community relations officers work activity, performance management and ability to support and enable resolutions to issues identified within vulnerable communities - whilst also working corporately across the Council and with partners to ensure engagement activity is well co-ordinated within target areas.
- 3.1.7 The proposal for Housing, Health and Community Relations is, therefore, to increase the establishment with an additional 1 x FTE Community Relations Officer to enable a locality/neighbourhood working model (with 1 x FTE working within the priority areas in Newark and 1 x FTE working within the priority areas within Sherwood) together with two new posts. It is proposed that the main emphasis of the two new posts will be:
- Senior Community Relations Officer/Co-ordinator - to provide day to day supervision and co-ordination of the community relations officers work activity; working with other business units, to administer grants and support the voluntary and community sector partners with bid writing whilst also adding resilience to the team in their locality working model to ensure there is a demonstrable impact in delivering the Council's corporate objectives.
 - Health Improvement Assistant/Apprentice - to support with the delivery of public health deliverables such as breast feeding friendly, Healthier Options Takeaway (HOT), wellbeing@work, monitoring delivery of the Community Alcohol Partnership (CAP) action plan, co-ordinating a programme for Health and wellbeing events, such as the drop-down days within schools, supporting with mental health initiatives such as, the proposed Youth Mental Health Peer Mentor project and administration of the schools N&S Mental Health Network.

Estimated costs for these proposal for the remainder of 2019/2020 are £20,200-£22,160 and £98,730-£107,760 for 2020/2021 onwards, as follows:

- 3.1.8 The increase in the base budget, at the top of the scale, is therefore £22,160 in 2019/20 and an additional £85,600 in 2020/21, taking the base budget increase from 2020/21 to £107,760.

3.2 **Waste, Street Cleansing & Grounds Maintenance**

- 3.2.1 To support the shift of emphasis towards the Cleaner, Safer, Greener agenda, Waste Consulting Limited (WCL) were contracted by the Council to conduct a diagnostic review of grounds maintenance and waste services, including trade waste and street cleansing. The review was undertaken between February and May 2019. The objectives of this review were;

- to identify opportunities for commercial development of the services

- to assess the performance and efficiency of the services, and
- to identify opportunities to improve the services.

3.2.2 The review covered:

- Grounds Maintenance
- Waste (Including Trade Waste, Food Waste, Recycling and Kerbside Glass)
- Street Cleansing

3.2.3 The review was undertaken to help the Council understand how to deliver the vision for 'Environmental Services' over the next five years and to achieve commerciality where appropriate. The vision for the service is to;

- Improve resident satisfaction and show that “what matters to residents matters to us,”
- Deliver commercial services (trade, garden and grounds maintenance) and for trade waste to run at a modest or higher surplus and grounds maintenance to run as, at least, a cost neutral service so that the income created covers the cost of the service,
- improve the quality of the service in target areas focusing on;
 - Improving recycling rates with a focus on targeting poorly performing areas,
 - Clean streets with a focus on town centres, and
 - Increased enforcement (especially tackling fly tipping).

The objectives of this review therefore link to the corporate objective to “generate more income, improve value for money and increase residents’ satisfaction with the Council” as well as supporting the objective to “improve the cleanliness and appearance of the local environment.”

A full report of the findings will be presented to the Leisure & Environment Committee and therefore only those recommendations that have an immediate financial requirement are referred to in this report.

3.3 Grounds Maintenance

The review found that staff delivering ground maintenance services perform well and have good working practices. However, the review identified a number of health and safety improvements which form part of action plan that has been developed and **£12-15k** is required to complete the actions in this plan

3.3.1 The review carried out by WCL on the waste (including trade waste, food waste, recycling and kerbside glass) makes some recommendations for improvement but none of the recommendations have immediate resource implications for 2019/20 or 2020/21.

3.3.2 Following the review by WCL, the proposal is it to have a two-part implementation plan. The first part being to bring the services to a required baseline to get best performance and establish a foundation for commercial growth (August 2019 to March 2020). This will involve a cross service restructure to deliver a joined up model for the delivery of high quality Environmental Services. The second part being planning for, and delivering, commercial growth and development of the services (April 2020 onwards).

3.3.3 WCL will be further required to support the transitioning services and help deliver the restructure. In part one of the review 1.5 waste rounds will be removed. 1 domestic round

and half a trade waste round will be removed creating a saving of £134,300 to be reinvested into the cleansing service. This additional capacity will be key within waste as cover to prevent waste 'borrowing' cleansing staff for cover.

The main deliverables for phase one of the implementation project are;

- Grounds Maintenance
 - Deliver the Health & Safety action plan
 - Introduce a management system (for trees, inspections and work scheduling)
 - Set-up 0-based budgeting, review recharges and make a commercial pricing matrix
 - Separate grounds and parks services
 - Plan for and implement the creation of a multi-skilled 'action support team'
- Street Cleansing
 - Change shift patterns to allow weekend evening cover in Newark Town Centre
 - Zoning across the district
 - Embed multi-agency enforcement to tackle criminal commercial fly-tipping
- Waste
 - Deliver the proposed restructure and develop the service
 - Review and redesign the waste, recycling and trade rounds
 - Staff Performance- Support staff to operate nearer optimum
 - Commence consultation to change garden waste collection to seasonal hours
 - For trade waste change to 0-based budgeting and charge by weight
 - Better scheduling of the workshop capacity and formalise succession planning

3.3.4 The proposed restructure to be delivered in phase one of the project will involve role movements, the removal of 5 roles (with the reshaping of 3 roles) and the creation of 9 new roles.

To deliver this restructure, therefore, a revenue increase of £156,600 will be required. This will be partly funded by the savings of £134,300 (as per paragraph 3.3.3 above) with the remaining requirement of £22,300 to be built into the 2020/21 budget.

In addition, it should be noted that WCL estimate that the commercial team will be self-funding after two years, generating around £141,700 of income per annum from trade waste, garden waste and grounds maintenance. This team will also explore additional commercial activities to increase income generation. Therefore, by 2022/23, it is estimated that 68% of the additional revenue costs will be offset by new income.

3.3.5 Part Two: Commercial Development and Business Planning (April 2021 onwards)

The aim of the second half of the project is to plan for, and deliver, the commercial growth and development of the services. This project will be delivered in house over 1 to 2 years and external support may be required but the nature of this support cannot yet be determined. As one of the primary directives of this project is income generation this project can be considered commercial. The main deliverables for phase two of the project are;

- Grounds Maintenance and Cleansing
 - Staff Development/ Review of T&Cs (if not completed in phase one)
 - Development of a 5 year Business Plan considering fleet procurement
- Waste
 - Prepare for the National Waste Strategy
 - Deliver a trade waste Business Plan and Marketing Plan
 - Outline an Environmental Services Commercial Business Plan to be taken forward within the new structure

3.3.6 Delivery of Phase 1 and Phase 2 of the Strategy

3.3.7 The Council will need on-going support from WCL to deliver phase 1 and phase 2 of the Plan. WCL have quoted **£99,718** for support of around 170 days.

3.3.8 The support required for Grounds Maintenance is 'doing' with WCL working with the staff to deliver some of the recommendations of the review to get ground maintenance to the 'baseline' from which it can develop. The support will be in these key areas;

- Creating a specification for the system required for site information/ works
- Support staff to understand what does the system needs to hold
- Support to design systems and processes for; scheduling, inspections and checks
- Advice for the reviewing of Ts & Cs, annualised hours and transition to shifts.
- Support succession planning
- Zero Budget project to cost the service ready for operations in April 2020
- Reschedule and resource operations, produce work schedules for April 2020
- Develop a costing matrix for pricing work
- Creation of multi-skilled team

3.3.9 The additional budgetary requirement is therefore a one off budget of **£100,000** for the continued involvement of WCL in supporting the implementation of the review action plan, and £12,000 to **£15,000** for the delivery of the Grounds Maintenance Health and Safety Action Plan. The restructure costs of **£156,600** will be partly funded from the £134,300 savings set out in paragraph 3.3.5 above with the remaining cost of **£22,300** built into the base budget for 2020/21. The potential additional income of £141,700 (3.35 above) will not be budgeted for until such time as it is certain to be received.

3.4 Growth & Regeneration

Multiple projects critical to the delivery of the Community Plan have continued to develop over the course of the last 6 months. A number have now reached a stage where additional one-off resource and/or support is required. This includes specific external professional support to deliver York Drive Estate Regeneration scheme with cost estimated at **£50,000**, an extension of the term for the project management resource for 18 months for the Buttermarket at an estimated cost of **£37,000**, the creation (including escalated delivery) of an Environment Strategy (linked to Climate Change discussions, as will be reported via the Committee system) with estimated cost of **£40,000**, and developing and implementing the Sherwood Forest Corner Masterplan (linked to the Sherwood DMP) at an estimated cost of **£40,000**.

3.4.1 The total one-off funding requirement is **£167,000**

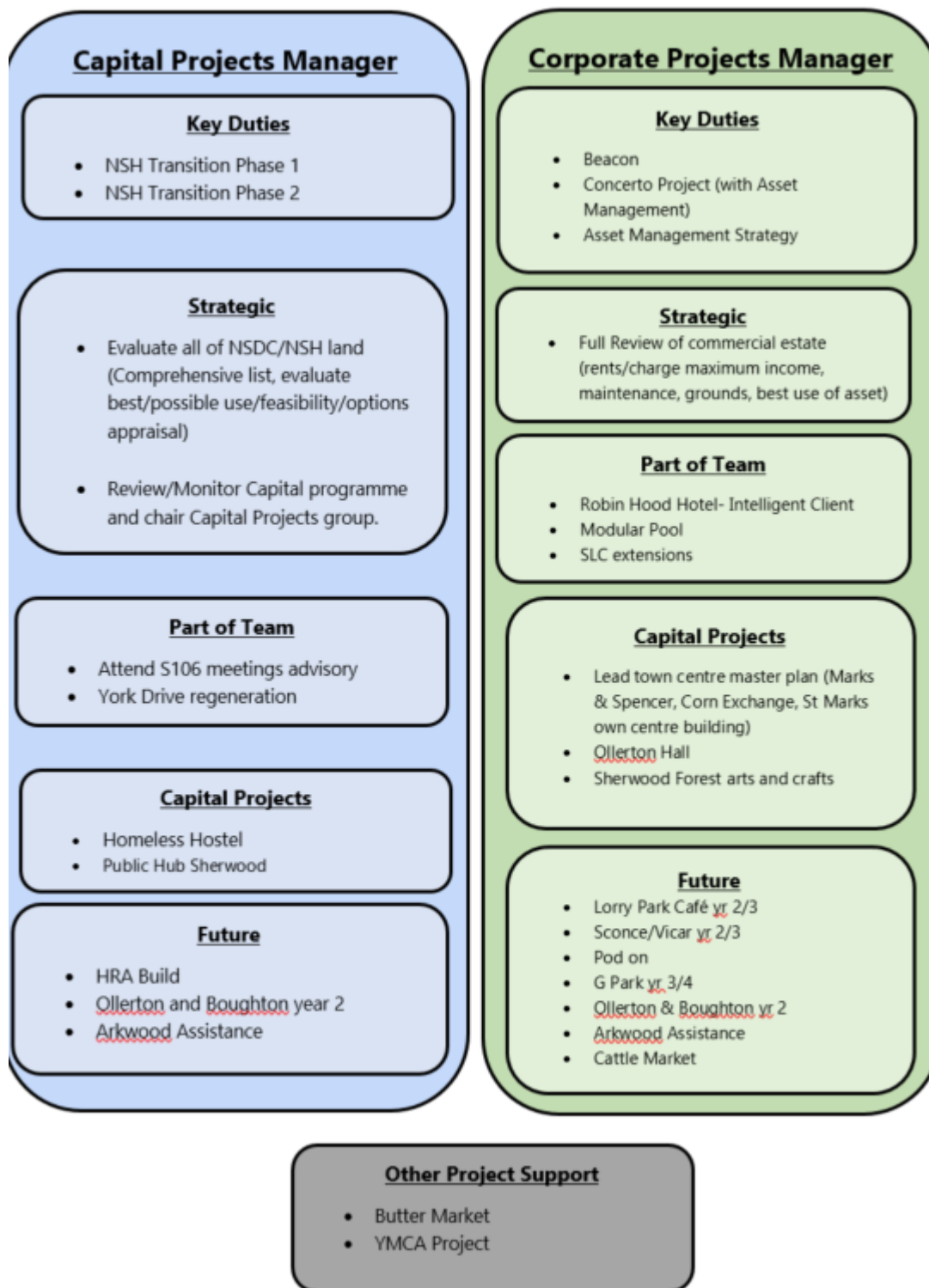
3.4.2 As Members will be aware the adoption of the Community Plan in March 2019 was preceded, in February 2019, by the appointment of the Director for Growth & Regeneration. Since that time the Director has been recruiting to key posts within the Directorate (notable Business Managers for the Town Centre's and Planning Development), alongside reviewing the resources and overall structure required to deliver on the very clear Community Plan objectives. It is considered that the Directorate requires adjustment in some areas. Consequently, in addition to the one off funding requirements, there will be a need to increase the base budget within the Directorate as follows:

- i. Planning Development Business Unit.
It is proposed to create new planning enforcement resource within the Planning Development Business Unit. This will offer an ability to be more proactive in this service area, including with respect to monitoring of planning conditions. Support for an enhanced enforcement resource has been advanced by the Planning Committee and Councilors Commission and will aid the delivery and credibility of the service and Community Plan.
- ii. Infrastructure and Economic Development
The Community Plan has a keys objectives around facilitating growth, improving social mobility, and enhancing town centres. Such objectives sit alongside recent aspirations and announcements, via the Future Towns funding, to focus on economic development, skills, culture, digitalisation and transport. Proposals to resource the Directorate to meet this challenge are to be progressed by the Director, with any changes being subject to formal approval via the budget setting process.
- iii. Regeneration Project Support
The Directorate has very clear objectives around sustaining and enhancing town centers, identifying barriers to residents in areas of highest deprivation, and escalating the delivery of new homes. It is proposed to create a new FTE project support role to work across the Planning Policy and Town Centres team.

3.4.3 It is estimated that these four proposals will require an increase in the baseline budgets for this Directorate, from 2020/21 of **around £64,000**.

3.5 Corporate Capital Projects

The Council has a number of major capital projects that require management, coordination and project support. Senior officers of the Council have reviewed the existing capacity and expertise to deliver all of these projects and have taken the opportunity presented by the changes in the housing management structure to make two key appointments. If these appointments were not made then the Council would have to procure these services externally at significantly higher costs. The respective role responsibilities of the two posts are set out below:



The establishment of the Council will increase temporarily, for the remainder of this year by 2 FTE posts. The revenue implications are to increase the in-year budget for the current financial year by **£66,000**. This will be funded from the Change Management Reserve.

The on-going cost of these posts of around **£140,000** will be reported to Policy and Finance as part of the budget and medium term financial planning process for 2020/21.

3.6 Land at Lowfield Lane, Balderton

3.6.1 The Council, in 2016 purchased 13 acres of land at Lowfield Lane, Balderton. This land is a Strategic Residential Development Site on the edge of Balderton. The majority of the land is allocated for residential development within the Local Development Framework (LDF) (Policy NUA/Ho/10 Newark Urban Area - Housing Site 10)

3.6.2 The Council, at the same time, purchased an additional 3.19 acres of land adjacent to the main site which is currently not within the LDF (as the owner did not apply). This is also considered suitable for development.

3.6.3 These parcels of land were purchased as it was considered a unique opportunity for the Council to acquire a significant strategic development site and the land when packaged up represented good value for the District Council. However, the Council, thus far has not considered options for the best utilisation of this site.

3.6.4 With the establishment of Arkwood Limited, it is now considered an appropriate time to consider the options for utilisation of this whole site of 13.3 acres. In order to carry out an options appraisal, the Council will necessarily need to engage with professional advisers as follows:

3.6.5 Site appraisal surveys/3rd party assessments:

The Council will need to appoint an architect to undertake a master planning exercise and produce an outline scheme(s) for consideration taking into account all sites, the planning policy requirements and affordable provision etc.

To support the above a range of surveys/3rd party advice will be necessary to ascertain any site restrictions/exceptions that would either prohibit development and/or require the design to take account of as part of any onward progression.

3.6.6 The surveys/advice required would include;

1. Topographical survey of the site.
2. Full services searches including Local Authority, Drainage and Water, Energy & Infrastructure, Environment and Flood, Planning, Coal and Brine, Utilities and Highways.
3. Gypsum Report.
4. Land Registry Search.
5. Ecological Survey
6. Biological Records
7. Flood Risk and Drainage Assessment
8. Transport Assessment and Travel Plan
9. PAS 128 Utility Survey Category Type B (QL B1)
10. Phase II Exploratory Investigation Works, to include:
 - o A service avoidance scan of proposed exploratory hole locations.
 - o A programme of trial pits and window sampling boreholes across the site to investigate the ground conditions.
 - o Installation of ground gas and groundwater monitoring wells.
 - o A suitable programme of ground gas and groundwater level monitoring.

- o Environmental and geotechnical soil testing.
- o Production of a factual and interpretive Phase II Exploratory Investigation report providing discussion of potential contamination issues and remediation works, details of geotechnical issues and requirement for any further works.

The Ground Investigation Report is to include the following:

- o DCP TRL testing to measure in situ CBR.
- o Engineering assessment to include CBR and bearing capacities.
- o Infiltration testing and analysis - to BRE 365.
- o Waste classification sampling and analysis.
- o Testing for contaminants

3.6.7 Due to the complexity and scale of the multiple sites and possibility of more detailed surveys being required to assess the capacity of the local transport and services infrastructure it is difficult to place a specific cost at this time. It is, however, estimated that a minimum initial figure of **£100,000** be allocated from the Change Management Reserve to develop the masterplan for the site and progress initial surveys/gathering of information.

3.7 Lorry Park Security

3.7.1 Newark Lorry Park is a profitable enterprise for the Council. The Lorry Park was recently extended and there are now 167 spaces and, with parking support, could accommodate 190 Lorries.

3.7.2 The Lorry Park has been a target recently of high value thefts and has been listed as a 'hot spot' for criminal activity. This is detrimental to the Lorry Park's reputation and has impacted on usage and income. SNAP Account (National payment account for HGV vehicles) contacted the Council and advised that they would not permit their account holders to use Newark Lorry Park if we did not improve the security.

3.7.3 Currently security is provided by the Council's in-house staff from 14:45 to 22.45 Monday-Friday and by external security company from 23:00 to 7:00 Saturday and Sunday night times at a cost of £73,714.35 per annum.

3.7.4 Additional security is needed to:

- i. improve safety on site and reduce risk of crime,
- ii. To support efficient parking. On its busiest nights (Monday-Thursday) the Lorry Park can fit >190 vehicles with efficient parking (this will increase ticket income),
- iii. To ensure health and safety as the on-site presence will monitor Lorries with dangerous loads (this will be particularly important following the opening of the fuel bunker in Aug),
- iv. To enable Park Mark Safer Parking Accreditation to be awarded, improving confidence and credibility of Newark Lorry Park and making Newark Lorry park the first in Europe with this status.
- v. To mitigate the risk of the parking services manager being called out to deal with an issue/query out-of-hours (thus significantly reducing overtime spending), and
- vi. To improve the quality of the site as the onsite staff will be able to maintain the site, including washroom facilities, answer queries and direct users to services.

The proposal is to appoint an external security company to provide security cover from 16.00 to 8.00 every day. This will mean that there will be a security presence on site 16 hours a day Monday to Sunday 360 days a year (the Lorry Park closes on selected Bank Holidays such as Christmas Day and Boxing Day). The hours covered will be 4pm each afternoon until 8am the following morning which covers the peak time of use. Monday to Friday during normal office hours the parking services manager will be available to deal with any issues. The presence on site will;

- Patrol the sight and check the fences, CCTV and lighting,
- Investigate and record any incidents/ criminal damage for referral as appropriate,
- Undertake minor maintenance e.g. right a fallen bin, assist with recycling, litter pick
- Check and monitor as appropriate user parking and toilets/ facilities etc.,
- Assistance at payment machine if required,
- Health and safety on site including checking hazardous loads,
- As well as being the first point of contact for any issues.

3.7.5 It is proposed external security company be contracted to provide the service. This is preferable to extending the in-house delivery as it;

- Provides a professional security service providing confidence and credibility,
- Means a contractor presence will be assured (no gaps due to sickness/ leave),
- Allows savings on recruitment costs, training costs, 0-hour cover etc.,

There is also the potential for synergies with pre-existing security contracts at Castle House

The estimated cost for this additional cover for 2020/21 is £69,517. There will, however be a saving from the current budget of £27,179 That will be off set against the additional cost.

Current allocated provision Budget Saving	(£27,179.00)
Security (16hrs daily Monday to Sunday)	£69,517.00
Parking Services Manager Overtime*	£1,260.00
Total	£43,598.00

3.7.6 **In addition, there is a need to take measures to enforce** ‘parking and no waiting’ restrictions as soon as possible in Fernwood where up to 20 lorries are being parked on the road side. Drivers will be directed to the council owned Newark Lorry Park. A one-off cost of **£2,000** has been estimated for putting these measures in place. This one-off expenditure will be funded from the Cleaner, Safer, Greener Reserve.

3.8 Apprenticeship

3.8.1 In order to inform future considerations around how the Council might use apprentices to assist with succession planning, a review of age profiles and turnover for each service area has been undertaken. Consideration has also been given to the level of overtime paid within respective Business Units.

3.8.2 There are currently **18** people undertaking apprenticeships in the Council. **6** of these are members of staff employed in substantive posts where officers have taken the opportunity to use the Apprenticeship Levy to fund their training or where apprentices successfully applied for permanent roles (ICT - 2/HR – 1/R&B – 2/PP – 1).The remaining **12** are employed on apprenticeship contracts.

3.8.3 Some of the Business Units will be considering apprentices as part of their overall business unit structures, however the business units that will not be undertaking restructures will need to fund these posts corporately. Two such areas identified are Revenues and Benefits and Housing, Health and Community Relations.

The budgetary implications of the additional salary costs of either funding being built into the business units' budgets is as follows:

Business Unit	Number of Apprentices Recommended	Level	Estimated Salary cost per apprentice (total)	Estimated length of apprenticeship	Average yearly salary cost per apprentice (total after Levy)
Revenues and Benefits	2	4	£18,406 (£36,812)	18 months	£12,271 (£24,542)
Housing, Health and Community Relations	1	3	£18,406	18 months	£12,271
	3		£55,218		£36,813

3.9. Information Technology

- 3.9.1 It is expected that our Microsoft License costs for the Council will increase this year and definitely next year with the move to office365.
- 3.9.2 Microsoft will be inflating prices for on premise licensing of exchange, therefore forcing organisation to migrate to Microsoft Cloud licensing.
- 3.9.3 This requires a one off increase in budget this year to **£7,056.00** with a further increase in 2020/21 which will be built into the budget for 2020/21.

3.10 Commercialisation and Major Projects

- 3.10.1 The proposal for the Commercialisation and Major Projects Business Unit do not have financial implications until the year 2021/22, however, for completion, the proposal is as follows;
- 3.10.2 As part of the wider corporate restructure a fixed term contract post was created within Commercialisation and Major Projects Business Unit. This was for 2 years and is from Feb 2019 to Feb 2021. The post holder has taken this as a secondment opportunity and with the substantive post being within the Organisational Development business unit. The substantive post in the Organisational Development Team has, however, been filled with a fixed term contract for the same period
- 3.10.3 The aspirations of the organisation to be more commercial mean that the workload of the business unit is varied and busy.

The business unit is small and currently only has 2 substantive posts:

- The Business Manager Commercialisation and Major Projects and
- One Projects Officer (NC)

In addition to the 2 permanent posts above, there are:

- One Project Officer on FTC, 2 year secondment (subject of this proposal)
- One Graduate Apprentice on a 2 year programme
- 0.5 FTE of the Organisational Trainee

The organisational trainee will move on later in the year and will hopefully be placed elsewhere within the organisation in a suitable permanent post.

The Graduate Apprentice, similarly will be with the unit for 2 years and then hopefully be placed within the organisation in a suitable permanent post.

3.10.4 With this in mind, given the current and likely future workload it is proposed that the Project Officer post which is a fixed term contract be converted into a permanent post on the establishment from March 2021.

3.10.5 There is a budget in place to the end of the 2 year secondment (Feb 2021). Therefore additional revenue will only be required from Feb 2021. The full year cost for 2021/22, including on-costs will be £42,697.

3.10.6 It is anticipated that savings, efficiencies and additional income generated by the business unit moving forward will more than cover the cost of the post.

4.0 Equalities Implications

4.1 There are no direct equalities implications.

5.0 Community Plan- Alignment to Objectives

5.1 The proposals provide the financial resources to deliver the objectives of the Community Plan.

6.0 Financial/Budgetary Implications

6.1 The financial implications are summarised in the table below:

Business Service	Unit/	One-Off Revenue From C.S.G Reserve	One-Off Revenue From Change Mgt	2019/20 part year revenue	2020/21 full year revenue
			£	£	£
Housing, and Relations	Health and Community			22,160	85,600
Waste, Cleansing & Grounds Maintenance	Street &	15,000	100,000		22,300
Growth and Regeneration	and		167,000		64,041
Corporate Projects	Capital			66,000	74,000
Land at Lane	Lowfield		100,000		

Lorry Park	2,000			43,598
Apprentices				36,813
ICT Licences		7,056		
Commercialisation and Major Projects. Implications from 2021/22(per report)				
TOTALS	£17,000	£374,056	£88,160	£326,352

- 6.2 The one off expenditure of £17,000 will be funded from the Cleaner, Safer, Greener (CSG) Reserve. £374,056 will be funded from the Change Management Reserve. The balance on the reserves after these transfers will be £48,000 on C.S.G Reserve and £5,852,064 for the Change Management Reserve.
- 6.3 The additional budget requirement of £88,160 will be funded from the Change Management Reserve for 2019/20 (figures included within the balances above) and will be built into the base budget for 2020/21 as set out in paragraph 2.3 of this report.
- 6.4 The additional budget requirement of £326,352 will be provided as part of setting the 2020/21 budget, from the historical areas of over budgeting of expenditure/under budgeting of income as set out in paragraph 2.3 of this report.
- 6.5 The proposals can, therefore, be funded from the identified £400,000 in the base budget of the Council as per paragraph 2.2 and 2.3 of this report and the one-off use of reserves, up to £480,000, as set out in paragraph 2.2 of this report.

7.0 Comments of Director - Resources

- 7.1 The review of budgets and re-allocation of funding to meet corporate priorities is an essential and necessary part of sound financial planning.

8.0 RECOMMENDATIONS that:

- (a) the Committee support the work done to re-allocate the Councils general fund revenue budgets to fund the corporate objectives set out in the Community Plan;
- (b) the transfer of £374,056 from the Change Management Reserve and £17,000 from the Cleaner, Safer, Greener (CSG) reserve be noted;
- (c) the in-year change to the revenue budget of £88,160 funded from the Change Management Reserve for 2019/20 be approved and be presented to the relevant Committees of the Council as part of the budget proposals for 2020/21; and
- (d) the proposed changes, totalling £326,352, to the budgets for 2020/21 that will be presented to the relevant Committees of the Council as part of the budget proposals for 2020/21 be noted.

Reason for the Recommendations

To allocate financial resources that will underpin the delivery of the Community Plan objectives.

Background Papers

Nil.

For further information please contact Sanjiv Kohli on 01636 655303.

Sanjiv Kohli
Deputy Chief Executive, Director - Resources & Section 151 Officer

APPENDIX 1

LABOUR BUDGET MOTION TO COUNCIL 7/03/2019

Revenue Implications

Initiative	Timeframe	Cost			
		2019/20	2020/21	2021/22	2022/23
Supporting CAB to ensure that they don't go out of business leaving the District Council with a gap to fill and more homeless families to house.	April 2019-March 2023	25,000	25,000	25,000	25,000
Address some of the social mobility issues and health inequalities by extending the Homestart service across the District. We believe this will take time to set up but we would expect a start in Autumn 2019.	Autumn 2019-March 2023	10,000	30,000	30,000	30,000
Support towards a mental health support service, similar to the service Newark Mind used to provide in Newark until its recent collapse across the whole district.	Autumn 2019-March 2023	10,000	30,000	30,000	30,000
The creation of a Community Projects Officer to support and develop the opportunities which will emerge from the work of the new Community Relations Officer with Parish and Town Councils and other organisations. We would expect that role to be developed and established during the 2019/20 financial year to start Autumn 2019.	Autumn 2019-March 2023	15,000	30,000	30,000	30,000
The creation of 2 Health Promotion workers and Health Coaches introduced to help people in deprived wards whose healthy life expectancy is comparatively poor to alter their lifestyles. This will develop the research work being undertaken through funding already acquired by the District Council. These posts would be in September 2019 and be fixed term for 4 years	September 2019-onwards	30,000	60,000	60,000	60,000
The creation of a temporary 1 year research post to look into the causes of our poor social mobility performance and develop solutions. This to commence September 2019	September 2019-August 2020	15,000	15,000		
Total funding required		105,000	190,000	175,000	175,000
Review of charging for bulky domestic item collection in order to potentially reduce charging to mitigate fly tipping		?	?	?	?
Income generation/efficiencies generated		?	?	?	?

Linkages with the Community Relations Additional Capacity/Resource request to SLT 16 July 2019

Links to the Council's Discretionary Grants Programme (2019/20 value £105,960). There are plans to re-focus and align outcomes for delivery with the community plan over a three year term to be proposed to Members in Sept 2019.

The proposals for a NEW Senior Community Relations Officer and an additional Community Relations Officer in the team would deliver this - focus of the team will be to work with partners, which includes Parish and Town Councils to deliver the Community Plan and new Community Engagement Strategy - to be presented to Members in Sept 2019.

The proposals for NEW Health Prevention Assistant/Apprentice would deliver this, working together with the Community Relations Officers who are all committed to improving health outcomes as set out in the N&S Health and Wellbeing Partnership Plan - and work specifically at PCN level with the new Clinical Directors and new link workers (funded by NHS England)

The NEW Senior Community Relations Officer would work corporately with other Business Units to research these issues in target areas as part of its locality working model.

Capital Implications

The increase of the Community initiative capital fund from the proposed £200,000 to £1,000,000

Member decision - Criteria for the CIF (£200 over 4 years) will be presented to Members in Sept 2019

The proposals included above would increase the current budget gaps identified within the Medium Term Financial Plan. Any such additional funding added to the budget would require funding through contributions through reserves/additional income or budget redirection. The proposals are all fixed term until the end of the 2022/23 financial year and any subsequent further expenditure from these initiatives would therefore require additional funding post 2022/23.

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

NEWARK LORRY PARK

1.0 Purpose of Report

1.1 To update Members on the completed Newark Lorry Park Extension Project and the Newark Lorry Park 5 Year Business Plan (exempt **Appendix One** to the report).

2.0 Background Information

2.1 In November 2015, planning permission was granted for the provision of new Council offices, Castle House, on land adjacent to the Newark Lorry Park. Prior to the construction of the offices Newark Lorry Park could accommodate up to 160 vehicles and on average 111 Lorries parked in Newark Lorry Park every day. 38 spaces were lost during the construction and as such works were undertaken to reintroduce the spaces. In March 2016 the Economic Development Committee agreed to expand the Lorry Park to reinstate the spaces and expand and improve the offer. A scheme was developed to take the total spaces to 167 as well as improve the site offer and the safety and usability of the site. This included the introduction of a fuel bunker, a one-way system, improved lighting, additional pedestrian crossings, speed bumps and improved security on site including an access barrier. The main body of the works were completed in July 2019 and, at the time of writing this report, the construction of the fuel bunker (for haulage vehicles) was scheduled to end in August 2019. As such the expanded and improved site is scheduled to be completed in September 2019.

Timeline	
March 2016	38 spaces were lost in the Lorry Park due to the building of Castle House and the Economic Development Committee agreed to expand the Lorry Park to reinstate the spaces and expand the offer.
March 2017	The scheme was approved by Economic Development Committee.
March 2018	The scheme developed following approval in March 2017. It was reviewed by officers and developed to allow improve health and safety on site. This plan was approved by Economic Development Committee.
June 2018	The scheme plans and associated capital spend were agreed by Economic Development Committee and approved by Policy & Finance Committee in Sept.

2.2 The vision for Newark Lorry Park is to offer secure, high quality parking for Lorries, HGVs and coaches as well as provide for the wellbeing of drivers through the provision of quality facilities. Our aim is to provide users of the Lorry Park with a safe and secure site in a central and easily accessible location for day and overnight parking, and provide a range of quality facilities to cater to diversity of users, and in doing so secure good financial return for the council.

3.0 Update

3.1 This report will provide an update on three aspects of Newark Lorry Park:

1. The Extension of the Lorry Park
2. The Business Plan for the continued development of the Lorry Park (exempt)
3. The Lorry Park Café

3.2 Newark Lorry Park Extension

The project to extend Newark Lorry Park led by the Commercialisation and Major Projects Team was completed under budget and on time. The project was completed under budget with actual expenditure being £1,070,926 against a budget of £1,139,021. £68,095 will be returned to the capital budget to be spent on other capital projects.¹ NMCN were contracted to undertake the majority of the extension work. 167 spaces are now available at Newark Lorry Park and the build process was managed to ensure that parts of the lorry park stayed open throughout. This ensured there was continuity of service for users throughout the build. The safety of the Lorry Park was also improved during the project by; installing an access barrier, improving lighting, introducing speedbumps and pedestrian crossings, introducing a one-way system and improving CCTV. These developments help maximize the income potential of the Lorry Park asset and raise the profile of the Lorry Park as a quality parking site.

The total income in 2019/20 is budgeted at £427,760 (the Lorry Park Income for 2017/18 was £310,582) and the expected total income for 2020/21 is £457,129. Based on the current income and expenditure projections, as outlined in the Business Plan, the payback period for the works is 3.75 years.² This is a reduction from the 4 years payback period estimated at the start of the project. This is predominantly due to the addition of the haulage fuel bunker to the site and planned tariff increase from £14.50 to £16.50 to reflect the improved over (to be implemented from April 2020).

Alongside the extension works, the Council leased land in the Lorry Park for the provision of a fuel bunker for haulage vehicles. Works commenced in May 2019 and, at the time of writing this report, the bunker was expected to be open to users from late September 2019. The details of the income expected from this lease are outlined in the Business Plan. The Project Risk Register will be continued until the construction of the bunker is completed.

3.3 Newark Lorry Park 5 Year Business Plan

Newark Lorry Park is an important business for the Council and therefore a Five Year Newark Lorry Park Business Plan has been created by the Commercialisation and Major Project's team in collaboration with Asset Management and Car Parks business unit. The Business Plan outlines the principles of how Newark Lorry Park will be managed over the next five years, and explains how the offer at Newark Lorry Park will be developed with the aim of improving the user experience and improving the Council's financial return. The business plan is attached as appendix one.

The following table outlines the expected income from the Lorry Park from 2020/21 to 2024/25. Please note this is dependent on the approval of the tariff increase during the 2020/21 Budget Revenue setting. All estimations are based on a capacity of 167 spaces. However, with efficient parking the Lorry Park can accommodate up to 190 vehicles. The

¹ £59,493 contingency not required and £8,602 of savings.

² The full pay back period calculated pre-project (June 2018) was 7.8 years.

income projections are conservatively based on 167 spaces. Members should also note the increased revenue required to run the site is a reflection of the greater pressures of more customers on site. This is also reflected in the gradual increase in R&R which is the expected consequence of the increased costs of maintaining more infrastructure, tarmac and facilities.

3.4 5-Year Income Projections Table (as outlined in the Business Plan)

Description	Budget 2019/20	Proposed Budget 2020/21	Proposed Budget 2021/22	Proposed Budget 2022/23	Proposed Budget 2023/24	Proposed Budget 2024/25
Tickets	£369,440	£376,428	£468,961	£520,720	£560,945	£587,696
Additional Income	£58,320	£80,701	£81,603	£82,530	£85,135	£88,222
Total Income	£427,760	£457,129	£550,564	£603,250	£646,080	£675,918
Income % increase on previous year	-	6.9%	20.4%	9.6%	7.1%	4.6%
Expenditure*	£147,940	£202,790	£208,690	£214,770	£221,020	£227,460
R&R Contribution	£15,000	£20,000	£25,000	£25,000	£30,000	£30,000
Total Expenditure	£162,940	£222,790	£233,690	£239,770	£251,020	£257,460
Expenditure % increase on previous year	-	36.7%	4.9%	2.6%	4.7%	2.6%
Net Income to Service	£264,820	£234,339	£316,874	£363,480	£395,060	£418,458
Minimum Revenue Provision (MRP)**	9,905	21,749	21,749	21,749	21,749	21,749
Net Income to Council	254,915	212,590	295,125	341,731	373,311	396,709
Net Income % Increase	-	-17%	39%	16%	9%	6%

* Security costs currently unbudgeted but to the value of £42,336.00 for 2019/20.

**Represents the minimum amount that must be charged to the Councils revenue budget for financing of Capital Expenditure by borrowing.

3.5 Newark Lorry Park Café

Newark Lorry Park has recently been expanded and improved and these improvements are vital as they are directly connected to the proposed tariff increases. Therefore, in line with these improvements, work is being undertaken to redevelop the café to meet the high-quality standard of the extended site. The plans to improve the quality of the café include:

- Refurbishment of the café (expand and improve the seating, install Wi-Fi etc.);
- Diversification of the food offer; and
- Extension of the opening hours.

These works are scheduled to be undertaken late in 2019. Following this, in order to ensure the continued quality of offer at the café over the long term, the cafe will be run through a contractor. The aim is for the opportunity for this contract to be tendered in autumn 2019.

4.0 Equalities Implications

4.1 No implications identified.

5.0 Financial Implications Ref: FIN19-20/7911

5.1 The figures included in paragraph 3.4 show an income to the Council £1.874m over the 5 year period. If trends had continued from 2018/19 into the same 5 year period, the overall income to the Council would have been approximately £0.9m lower at £1.015m.

5.2 The Capital costs are estimated at the current time to be financed by borrowing. This will result in a charge to the revenue budget for the Minimum Revenue Provision (MRP) and this has been reflected in 3.4 using the revised scheme cost of £1.071m.

6.0 Community Plan – Alignment to Objectives

6.1 The Lorry Park was invested in to improve the quality of the offer available on site. This allows a higher fee to be charged to the customer increasing the surplus achieved by the Council thus contributing to the objective “Generate more income, improve value for money and increase residents’ satisfaction with the Council.”

6.2 The expansion of the Lorry Park also aims to reduce the number of HGVs and Lorries parking ‘off-street’ in motorway laybys or roadsides in rural areas. This form of parking can be dangerous to other road users, is a nuisance to residents and encourages freight crime. Therefore, the extension also contributes to the two objectives regarding increasing feelings of safety and reduction in congestion.

7.0 Comments of Director - Resources

7.1 The extension of the lorry park has been a very successful project. It has delivered the 167 parking spaces within budget and with a contribution back to the council’s capital programme of £68,095. Furthermore, the installation of the fuel bunker which will be operational from September 2019, together with the proposed increase in the tariff to £16.50, from April 2020, will increase the income to the council reducing the payback period below the 4 year period that was predicted when elected members gave approval to the project.

7.2 In order to further improve the offer to the users of the lorry park, proposals are included in the business case (Appendix One) to renovate and modernise the café at the lorry park. The proposed changes will enhance the experience of the customers and potentially further increase revenue to the Council.

8.0 RECOMMENDATIONS that:

- a) **Members note the exempt Newark Lorry Park 5 Year Business Plan approved by the Economic Development Committee; and**
- b) **Members note the saving of £68,095 and approve that this sum be added to the available funding of future projects in the Council’s Capital Programme.**

Reason for Recommendations

To generate additional revenue for the Council and to provide secure, high quality parking for Lorries, HGVs and coaches as well as provide for the wellbeing of drivers through the provision of quality facilities.

Background Papers

Appendix One- Newark Lorry Park Business Plan 2019/20 - 2024/25 [Exempt]

For further information please contact Ella Brady, Projects Officer - Commercialisation & Major Projects on Ext.5279 or Deborah Johnson, Business Manager - Commercialisation & Major Projects on Ext.5800

Sanjiv Kohli
Director – Resources/Deputy Chief Executive

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

PARISH AND TOWN COUNCIL INITIATIVE FUND 2020 - 2023

1.0 Purpose of Report

1.1 To secure Policy & Finance Committee approval for the new Parish & Town Council Initiative Fund 2020 – 2023 criteria.

2.0 Background Information

2.1 This fund is a year 1 priority for delivery as part of objective 10 in the Council's Community Plan to 'increase participation with the Council and within local communities'. It is aligned to the delivery of the Cleaner, Safer, Greener (CSG) priorities, which underpin and support:

- Objective 1 of the Community Plan, to 'improve the cleanliness and appearance of the local environment';
- Objective 2, to 'reduce crime and antisocial behaviour, and increase feelings of safety in our communities', and;
- Objective 6, to 'protect, promote and enhance the district's natural environment'.

3.0 Proposals

3.1 The proposed criteria for the Parish and Town Council Initiative Fund 2020 – 2023 (attached at **Appendix A**) has been developed based on consultation between the Council's Leader and member colleagues and will support projects and initiatives from parish and town councils which contribute to the objectives highlighted above.

3.2 The fund proposes that potential grants will be allocated over a three-year cycle, consisting of two grant panels per year, which are themed. In year one it is proposed the focus will be applications that support the 'greener' principle, year two the 'safer' principle and year three the 'cleaner' principle.

3.3 It is proposed that the awarding panel will be represented by the Chairman and Vice Chairman of Policy & Finance, Homes & Communities, Leisure & Environment Committees and group leaders; creating a panel consisting of nine members.

4.0 Equalities Implications

4.1 Equalities implications are considered in the Equality Impact Assessment that has been completed and this will be subject to further monitoring as part of the evaluation process and reporting requirements of the Fund. However, there are no adverse equality implications identified in the Equality Impact Assessment.

5.0 Financial Implications (FIN19-20/6484)

5.1 The Parish and Town Council Initiative Fund was created at the start of the financial year 2019/20 and £200,000 is available for the proposals being adopted. This fund will be used with effect from April 2020 over a 3 year period.

6.0 Community Plan – Alignment to Objectives

6.1 The implementation of the Parish and Town Council Initiative Fund 2020 – 2023 will support Objectives 1, 2, 6 and 10 of the Community Plan 2019 – 2023 as highlighted in 2.1 above.

7.0 Comments of Director

7.1 I support the proposal to approve the Parish and Town Council Initiative Fund 2020 – 2023 which will facilitate the development and delivery of parish and town councils initiatives and projects that will contribute to the achievement of local priorities and the District Council's Community Plan 2019 – 2023.

8.0 RECOMMENDATION

That Policy & Finance Committee approves the Parish and Town Council Initiative Fund criteria for 2020 – 2023.

Reason for Recommendation

To enable the Council to deliver key objectives within the Community Plan 2019 - 2023.

Background Papers

Nil

For further information please contact Leanne Monger on Ext 5545 or Andy Hardy on Ext 5708

Matthew Finch
Director - Community & Environment

Newark & Sherwood District Council

Parish and Town Council Initiative Fund

Newark & Sherwood District Council's Parish and Town Council's Initiative Fund contributes towards the Council's objective to 'Increase participation with the Council and within local communities'.

The District Council's Community Relations Team manage the Parish and Town Council Initiative Fund established to assist and enable communities to bring about a positive and lasting change for the benefit of the whole community.

Who can apply for funding?

Applications for funding are welcome from any **parish or town council** in the Newark and Sherwood district. Where no formal parish council exists, the local District Councillor, with endorsement from the parish, will be eligible to apply on its behalf.

What do we fund?

The focus of the £200,000 grant fund will be Cleaner, Safer, Greener (CSG) in line with the Council's commitment to making the District a better place to live and to 'improve the cleanliness and appearance of the local environment'. The grant fund will have themed rounds and will be available for projects that demonstrate lasting community benefit aligned to CSG principles.

Our funding can contribute towards any project that improves a community asset whether this be a community building, the purchase of new equipment, the creation of local community projects and initiatives and supporting community focused groups in order to improve to improve community engagement and community resilience in respect of the principles of CSG.

Any parish or town council and or parish meeting with an idea or a 'ready to go project' requiring some additional support are invited to get in touch with the team at communityengagement@nsdc.info

We will be able to discuss how your project aims and objectives relate to the Parish and Town Council Initiative Fund priorities and take you through the process and the details needed to secure funding.

Applications for funding will be assessed on their ability to demonstrate a positive and lasting community benefit and impact and how they contribute to both locally agreed community priorities such as Neighbourhood and community-led plans, such as a Parish Plan, and the District Council's priorities as listed in its Community Plan, which is available at <https://www.newark-sherwooddc.gov.uk/yourcouncil/councilpriorities>

The Fund Process

There will be two rounds of grant allocations a year. Grant applications will be considered and determined by a panel of district councillors who will meet in April and October to consider the applications received. The closing date for each panel will typically be a month before the panel meeting date and will be advertised on the Council's website <https://www.newark-sherwooddc.gov.uk/grantsandawards/>

Each round will be themed as follows:

- April 2020 and October 2020 – Greener initiatives
- April 2021 and October 2021 – Safer initiatives
- April 2022 and October 2022 – Cleaner initiatives

Only applications for the themed rounds will be considered and applicants will be notified of the panel decision in writing within two weeks of the panel meeting.

Fund Criteria and Eligibility

Applications should meet all of the following criteria in order to be considered. It is a competitive process, so grants will be approved on their merits.

- Projects/activities must deliver measurable results against the priorities of the District Council as set out in the Community Plan <https://www.newark-sherwooddc.gov.uk/yourcouncil/councilpriorities> which forms the cornerstone of all strategies and plans across the Council's service areas and responsibilities and aligns to the Cleaner, Safer, Green priority.
- Applications must be able to demonstrate alignment to local parish or town priorities.
- Applicants must be able to demonstrate that without support from the District Council the project/activity would not be able to proceed at all or to the extent outlined in the application.
- Applicants with significant funds in place or higher levels of reserves must demonstrate why funding from the District Council is needed.
- Applications must include relevant supporting documents such as business plan, project plan or specification (where applicable) to underpin the application.
- If the application is successful, it is expected that you will have a plan to sustain the project/activity after the end of the funding period.
- Successful applicants must provide appropriate reporting and/or monitoring for their projects/activities in a format determined by the Council.
- Successful applicants must acknowledge the support of the District Council in all publicity and media coverage relating to the project,
- Applicants must have appropriate policies, procedures and insurance in place to the satisfaction of the Council.

Financial Eligibility

Applicants will not normally be eligible for grants where they hold unallocated reserves in excess of one year's running costs. In cases where reserves held exceed this level, a reduced level of funding may be agreed.

The following funding is available under the scheme:

- The maximum allocation per parish or town council is £20,000.
- The District Council's contribution is a maximum of 50% of the project cost.

Applicants can apply as many times as they wish although the maximum grant funding that can be secured throughout the duration of the fund will not exceed £20,000. Applicants are advised that the Council has absolute discretion in respect of awards made by the grants panel.

What We Can't Fund

- Projects that already receive funding from other Newark and Sherwood District Council sources.
- Retrospective applications for projects or initiatives that have already been carried out, you must apply for a grant and receive an offer from us before starting any work or making any purchases.
- General/core running costs of an organisation.

How to Apply

- Applicants are advised to contact Council's Community Relations Team at communityengagement@nsdc.info to discuss your project.
- Application forms, criteria and guidance notes can be downloaded from this webpage <https://www.newark-sherwooddc.gov.uk/grantsandawards/>
- You will be required to submit a copy of your governing document/constitution, your last 3 months bank statements, annual accounts, and a breakdown of all costs associated with your project supported by at least two quotes or estimates from suppliers. Where a project or initiative involves work with children, young people or vulnerable adults applicants will be required to submit a safeguarding children policy and/or a safeguarding vulnerable adult's policy.
- Completed applications for funding should be returned to communityengagement@nsdc.info

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

EU EXIT PREPAREDNESS REPORT

1.0 Purpose of Report

1.1 To update the Policy & Finance Committee with preparations being made by Newark & Sherwood District Council (NSDC), and in line with advice received from the Ministry of Housing, Communities & Local Government (MHCLG) and other Government departments, relating to EU Exit preparedness.

2.0 Background Information

2.1 Following the 6 August 2019 letter from the Rt Hon Robert Jenrick MP, Secretary of State for Housing, Communities & Local Government, to the leaders of all local authorities in England, NSDC has appointed Matthew Finch (Director - Communities & Environment) as Brexit Lead Officer.

The letter set out the officer's role to include:

	Role	
1	Ensuring the council has taken all reasonable steps, in line with relevant guidance and messaging coming from Government and its agencies, to prepare for our exit from the EU on 31 October. This should include clear communication to local residents and businesses to support their own preparations for Brexit and a plan for how the council would communicate important messages to stakeholders	<p>GUIDANCE AND MESSAGING FROM GOVERNMENT NSDC monitors communications from MHCLG, the Home Office, the Department for Exiting the European Union and other Government departments. NSDC participates in teleconferences, webinars and workshops as required.</p> <p>RESIDENTS EU Settlement Scheme (EUSS) information for Newark and Sherwood residents is signposted via NSDC's own website. The NSDC Customer Services team can respond to general enquiries relating to EUSS, as summarised in the fact sheet for local authorities. For those residents without access to the Android app for ID verification and which forms part of the EUSS application process, the nearest location currently offering ID scanning is Lincolnshire County Council.</p> <p>BUSINESSES Local businesses may also find information about EU Exit preparedness via the NSDC web page. An email sign-posting to online Government, Local Enterprise Partnership and Chamber of Commerce advice was shared with contacts of the Economic Development team on 4 September 2019. In addition, a Brexit Business Surgery had been offered 14 May 2019. Future events may run, subject to demand.</p> <p>COMMUNICATIONS WITH STAKEHOLDERS In addition to the dedicated NSDC web page relating to EU Exit, the NSDC Communications team (liaising with the Brexit Lead Officer) can share messages via social media channels. The Local Resilience Forum, in which NSDC participates, also has mechanisms for communication in place. Additionally, Rushcliffe Borough Council will coordinate communications for all Nottinghamshire districts relating to Brexit.</p>

2	Ensuring the council has a team in place which is equipped to support the delivery of Brexit, ready for the period around 31 October	The Brexit Lead Officer, with support from the Policy and Projects Officer and working with many Council teams, will coordinate and support the delivery of Brexit for the period around 31 October.
3	Overseeing the expenditure of the specific Brexit funding allocated to their council and ensuring it is effectively contributing to local preparations	The Brexit Lead Officer will oversee allocated funding for Brexit preparations: £35,000 allocated to district councils in January 2019 and £17,484 to district councils announced in August 2019 .
4	Playing a full part in your Local Resilience Forum to ensure that its plans for No Deal take account of relevant local circumstances and potential impacts on local communities.	NSDC participates fully and actively in the Nottingham and Nottinghamshire Local Resilience Forum that is attended by NSDC's Emergency Planning and CCTV Officer, together with the Brexit Lead Officer as required.
5	Bringing together local public service providers, the voluntary and community sector, community groups and businesses to effectively prepare for the potential local impacts of leaving the EU without a deal	NSDC is engaging with Sherwood and Newark Citizens' Advice to explore a partnership approach to bringing the voluntary and community sector together, and with an exploration of commissioning support and advice services for those applying to the EUSS.
6	Acting as the principal contact point for your regional lead chief executive and central Government	NSDC's Brexit Lead Officer acts as the principal point of contact for the EU Exit Local Government Delivery Board , attended by Anthony May, Chief Executive of Nottinghamshire County Council and who represents the East Midlands. In addition, regular communications take place between the Brexit Lead Officers across Nottinghamshire.
7	Proactively raising with central Government or your regional chief executive representative any emerging trends, issues and other local intelligence that might assist in No Deal preparations	The mechanism for proactively raising any emerging trends exists via Brexit Lead Officers in Nottinghamshire and also via the EU Exit Local Government Delivery Board.

3.0 Proposals

3.1 The Brexit Lead Officer will continue to coordinate the Council's preparedness as outlined above and further responding to Government as required.

4.0 Equalities Implications

4.1 There are no equalities implications.

6.0 Community Plan – Alignment to Objectives

6.1 Although EU Exit preparedness is not a stated action within the Community Plan, engaging with residents and with businesses around EU Exit contributes to the wider objective to "increase participation with the Council and within local communities".

7.0 RECOMMENDATIONS that:

(a) Members note NSDC preparations and sign-post their ward constituents, if required, to the available resources via the web [page](#) and Customer Services advice; and

(b) Members seek any further advice required from the Brexit Lead Officer, Matthew Finch.

Reason for Recommendations

To actively manage the EU Exit, achieving a smooth transition for all in the District.

Background Papers

Nil

For further information please contact Kate Marshall, Policy & Projects Officer, Ext.5302.

Matthew Finch
Director - Communities & Environment

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

EQUALITIES UPDATE

1.0 Purpose of Report

1.1 To provide Members with an update on the progress made over the last year towards the Council's corporate equalities objectives and the gender pay gap and to give an overview of activities planned for the future.

2.0 Background Information

2.1 On 1 October 2010 the Equality Act came into force, bringing together over 116 separate pieces of legislation into one single Act.

2.2 The Public Sector Equality Duty included at s.149 of the Act came in to force in April 2011. Specific duties required under this Act are included in Section 3.

2.3 To ensure transparency and to assist in the performance of this duty, the Equality Act 2010 (Specific Duties) Regulations 2011 require public authorities to publish:

- equality objectives, at least every four years (from 6 April 2012);
- information to demonstrate their compliance with the public sector equality duty on at least an annual basis (from 31st January 2012).

2.4 During 2016 the Council adopted a revised Equality & Diversity Strategy which sets out the Authority's commitment on how it plans to meet the duties placed upon it by equality legislation.

2.5 The Council's corporate equality objectives for 2016 – 2020 are:

Equality Objective 1: In delivering the Council's priorities and themes, we will have due regard to equalities implications through leadership, partnership and organisational commitment.

Equality Objective 2: To improve our services by better understanding our communities through the collection and analysis of information, and engaging with partners to share as appropriate.

Equality Objective 3: To ensure our services are accessible to meet the needs of our citizens.

Equality Objective 4: As an employer, promote an inclusive working environment to maintain and develop a modern and diverse workforce.

3.0 The Equalities Act 2010

3.1 The Equality Act (2010) includes nine protected characteristics:

- Age;
- Disability;
- Gender re-assignment;
- Pregnancy and maternity;
- Race – this includes ethnic or national origins, colour or nationality;

- Religion or belief – this includes lack of belief;
- Sex;
- Sexual orientation.

It also applies to **marriage** and **civil partnership**, but only in respect of the requirement to have due regard to the need to eliminate discrimination.

3.2 In accordance with the Public Sector Equality Duty (s.149) the Council is required, in carrying out its functions, to have due regard to:

Eliminating unlawful discrimination, harassment and victimisation;

Advancing equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and

Fostering or encouraging good relations between persons who share a relevant protected characteristic and persons who do not share it.

3.3 Having **due regard** means consciously thinking about the three aims of the Public Sector Equality Duty as part of the decision-making process. This means that consideration of equality issues must influence the decisions reached in terms of:

- how we act as an employer;
- how we develop, evaluate and review policy;
- how we design, deliver and evaluate services; and
- how we commission and procure from others.

3.4 Having due regard to the need to **eliminate unlawful discrimination** and **advance equality of opportunity** involves considering the need to:

- remove or minimise disadvantages suffered by people due to their protected characteristics;
- meet the needs of people with protected characteristics; and
- encourage people with protected characteristics to participate in public life or in other activities where their participation is low.

Fostering good relations involves tackling prejudice and promoting understanding between people who share a protected characteristic and others.

3.5 As a local authority we also have a duty to collect and publish information on service users and our communities with regards to the protected characteristics and consider the impact of the decisions that we make on people with protected characteristics.

4.0 What the Council is Doing and Summary of Work Planned Over the Next 12 Months:

4.1 The Council has a number of projects, initiatives and work streams that contribute to delivery of the objectives contained within the Equality & Diversity Strategy, which are managed through the corporate Equalities Working Group.

4.2 A summary of key activities undertaken over the last 12 months is included below:

- Continued delivery of equalities based briefing sessions tailored to the needs of all staff including reference to, and improved understanding of, the Council's Equality & Diversity Strategy and Objectives as well as an understanding of the Council's and employees' obligations under the Equality Act. This programme is ongoing with further sessions planned for this year. 71% of Castle House staff have now completed the sessions and these will be extended to include all staff;
- Equality based training is now also available through the on line e-learning platform Page Tiger to facilitate refresher training and training for new staff;
- Specific equality based training has been delivered e.g. LGBT awareness ;
- Promotion of specific equality-based days, e.g. IdahoBit Day (International Day Against Homophobia, Transphobia and Biphobia aimed at raising awareness around LGBT+ rights);
- Raising awareness of the Gypsy Roma Traveller (GRT) community as part of GRT month;
- Raising Member and Business Manager awareness of equality and diversity related issues with particular reference to equality implications relating to policy decisions contained in committee reports to demonstrate that the Council pays 'due regard' to equality issues.

Junior members of the HR team have also worked together to deliver an Equalities Workforce project in which they:

- Created videos about visiting Castle House and what to expect at an interview. These videos have been posted on YouTube and other media channels (NSDC's Website "Working with us/ Applying for job" page, Facebook, Instagram and Twitter and links to the videos have also been included on job adverts. The aim of this project was give potential applicants an idea of what to expect when coming for interview and to put them at ease. It is hoped that the videos will help people with neurodiversity as the idea of going somewhere they don't know can often cause great anxiety;
- Worked to improve awareness of the Council's commitment to equalities matters on our recruitment material including adding more logos regarding our Armed Forces Covenant accreditation and our status as a Disability Confident, Mindful Employer and Age Positive Employer;
- Explored the possibility of developing a short video to support people complete job application forms (work in progress);
- Researched the potential costs of advertising on sites such as Disability Jobsite, Diversity Jobsite, LGBT Media, Disability Network and Ethnic Jobsite all of which target equalities based groups (to be considered once costs are known);
- Improving the Council's website to promote our work around the equalities agenda (ongoing).

4.3 In addition to the above the Council have also adopted a revised Community Plan. The plan includes a range of activities that will help address inequalities and support vulnerable groups in line with the objectives contained within the Equality Strategy.

- 4.4 Following the adoption of the Community Plan relevant actions have been mapped to each of the equality objectives to ensure that the Council continues to have *due regard* when making decisions, particularly when allocating resources, undertaking service planning, engaging with communities; planning and monitoring services which ultimately enable the Council to comply with its public duties. See Appendix 1 for a full list of completed Equality and Diversity Actions as at 31.3.2019.
- 4.5 As part of the business planning process Business Managers have identified a number of equality based objectives demonstrating how they will contribute to the Council's equality objectives for the current year. These have been incorporated in to Business Plans and where appropriate will be cascaded into individual employee appraisal documents as SMART objectives.
- 4.6 To ensure our ongoing commitment to and compliance with the Equalities Act and distil an understanding of how our services meet the Act, equalities work will continue to be actioned and reviewed. Along with a review of the current documentation a summary of the actions to be completed in addition to those referenced above over the forthcoming year are included below:
- Set up a project team to review our current equality objectives and to consult on new ones with a view to developing a new three year strategy which will align to the Council's existing Community Plan so that both documents can be reviewed /refreshed at the same;
 - Reviewing/updating the calendar of celebrating equality;
 - **Autism awareness** – a 2 hr introductory session for up to 16, delivered by Autism East Midlands to be delivered for front facing staff and business managers (date to be confirmed);
 - **Autism in the Workplace** - a 3 hr session on 4 November delivered by Autism East Midlands for up to 20 people, covering autism awareness, knowledge around employer adjustments and workplace strategies, including legislation and the law. This session is designed for line managers, team leaders and HR, who might want to support colleagues with autism;
 - **Gender identity** – a 3 hr session to be delivered by ACAS on 21 November for up to 16; designed for line managers, it will cover legislation (current and proposed changes); statistics, vocabulary, creation and implementation of policies (management and employee), data protection and getting it right with customers and service users;
 - **Mental Health 1st aid** – a full day training leading to the delegates being able to act as Mental Health Champions, who would be qualified and comfortable in supporting colleagues in need, advocating mental health awareness through the Council and building a mentally healthy workplace. Mental Health Champions will be willing and competent to train and advise other staff. Date to be confirmed;
 - **Mental Health 1st aid awareness** – a 4 hr session to cover mental health and factors which impact it, stress management, spotting signs of distress and “take 10 together” – how to initiate supportive conversations. Delegates will be able to look after themselves better and feel more confident about starting conversations about mental health with colleagues. Date to be confirmed;
 - **Action on hearing loss/deaf awareness** – a 3 hour session for 16 people who deal with customers with hearing loss / deafness. Date to be confirmed;
 - **Awareness of visual impairments** – a half-day session delivered by Visualise for up to 16 people who deal with customers with visual impairments;

- **Welcoming All Customers** – a full day for up to 16 people delivered by Welcome to Excellence, designed to boost the confidence of staff in anticipating and meeting the needs of disabled customers, including adapting communication styles to identify customer needs.

4.7 Consideration is currently being given to nominating less formal champions for other topics (autism awareness, good practice in communicating with deaf or hard of hearing service users and those with a visual impairment), whose remit would be to create/produce training content to be incorporated into Page Tiger modules for wider use.

4.8 A Page Tiger module on Dementia awareness, which will be used as follow up consolidation for new starters and then refresher training for all staff, is planned for early 2020.

5.0 Measuring the Gender Pay Gap

5.1 The Equality Act 2010 (Specific Duties and Public Authorities) Regulations 2017 requires all employers with more than 250 employees to report the following information on an annual basis:

- the difference between the mean and median average hourly rate of pay for male and female employees;
- the proportion of men and women in each quartile of the pay bands;
- the gender pay gap for any bonuses paid out during the year.

(Note – The Council does not pay bonuses and therefore there are no figures to report in this regard).

Results from the Gender Pay Gap review have been published on the Council's website and on the Government dedicated Gender pay gap reporting website.

5.2 Workforce Profile

On the 'snapshot' date of 31 March 2018 there were 411 employees in post. Of these 411 employees **381** were in scope for gender pay gap reporting. These were made up of 195 females, representing 51% of the workforce, and 186 males representing 49% of the workforce.

5.3 Our Gender Pay Gap

The data set out in this report has been calculated using the standard methodologies referenced in the Equality Act 2010 (Gender Pay Gap Information) Regulations 2017. This includes calculating an hourly rate for all staff paid on the snapshot date (31 March 2018) using ordinary pay.

Ordinary pay includes: basic pay; allowances such as market supplements; shift pay, on-call and stand-by allowances. Payments that are excluded are: payments for overtime; redundancy payments and sums relating to termination of employment. Also excluded are employees on reduced pay due to family or sick leave.

5.4 The **gender pay gap** is based on the difference between the average hourly pay received by men and women across the Council. We are required to report two measures for this purpose; the **mean** and the **median** gender pay gap.

MEAN – The mean is calculated by adding up the total salary for each gender (e.g. females) and then dividing the result by the number of female employees. We have calculated the mean average for both men’s and women’s hourly pay and have included the percentage difference below.

MEDIAN - The median is calculated by producing a list of salaries in numerical order for each gender. The median is determined by identifying the middle number for each gender. We calculate the median for both men’s and women’s hourly pay and report the percentage difference. The median gender pay gap removes any influences of very high and very low pay.

2018			
Hourly Rate	Men	Women	% Difference
Mean	£13.16	£12.88	2.14%
Median	£10.44	£11.02	-5.61%

5.5 Our Quartile Pay

The quartile data shows the Council’s workforce divided into four equal sized groups based on calculated hourly rates of pay. Each quartile is made up of 25% of the workforce. The lower quartile includes employees in receipt of the lowest pay. The upper quartile represents those in receipt of the highest pay. Our pay quartiles by gender are listed below:

2018					
QUARTILE	Men	Women	Number of Men	Number of Women	Total
Lower Quartile	60%	40%	58	38	96
Lower Middle Quartile	46%	54%	44	51	95
Upper Middle Quartile	36%	64%	34	61	95
Upper Quartile	53%	47%	50	45	95

5.6 Analysis

Following completion of the review it is noted that the Gender Pay Gap for the Council has reduced from **7.4%** in 2017 to **2.14%** in 2018 which means that on average men are now paid just 28p more per hour than women. However the median difference is now -5.61% meaning that women are now paid 58p per hour more than men.

The lower quartile now includes a proportionately higher number of men than women compared to 2017. This is predominantly due to the number of Waste Management Operatives, the majority of whom are men, now falling within a lower quarter than in 2017.

There are now a higher proportion of women in receipt of the highest levels of pay in the top quartile compared to last year.

The Council is committed to the principle of equal opportunities and equal treatment for all employees and as an employer we support men and women to develop to the best of their potential.

The Equality Act 2010 requires that men and women must receive equal pay for the same or broadly similar work or work of equal value. In line with this we have a clear policy of paying employees equally for the same or equivalent work, regardless of their sex, or any other characteristic. We do this through the use of a job evaluation scheme which robustly evaluates job roles and pay grades to ensure a fair and transparent pay structure.

The Council is therefore confident that our 2.14% Gender Pay Gap does not stem from paying men and women differently for the same, broadly similar or equivalent work / work of equal value; it is as a result of the type of roles in which men and women work within the Council and the salaries that these roles, having been evaluated, attract.

5.7 Actions to Further Reduce the Gender Pay Gap

Although the Council's gender pay gap is relatively small, we will continue to take the following actions to have a positive impact and help further reduce the gap:

- Use structured interviews for both recruitment and promotions, using skill-based assessment tasks where appropriate;
- Continue to offer flexible working arrangements for both men and women;
- Succession planning/career development.

6.0 Equalities Implications

6.1 This report is predominantly for information purposes and details the progress made in achieving the Council's Corporate Equality Objectives. A full Equality Impact Assessment was undertaken prior to the Corporate Equality Strategy 2016 – 2020 being agreed. Equalities Actions identified in this report support agreed Corporate Equality Objectives and aim to ensure Equality and Diversity issues are integral to the Council's performance and strategic aims as well as ensuring that there is a strong vision and public commitment to equality across services. The Gender Pay Gap Report should have positive impact on equality and diversity in terms of putting in place developing actions with the aim of reducing the gender pay gap further.

7.0 Financial Implications (FIN19-20/1016)

7.1 Funding for the actions identified in this report can be found from within existing budgets.

8.0 RECOMMENDATIONS that:

- a) the report and the progress made against the Council's equality and diversity objectives be noted; and
- b) the Committee note the outcomes and findings of the Gender Equality Pay Gap report and in particular the positive reduction of 5.26% compared our 2017 outturn.

Reason for Recommendations

To keep Members informed of progress made against the objectives included within the Council's adopted Equality and Diversity Strategy and the Gender Pay Gap Report.

Background Papers

Newark & Sherwood District Council Equality and Diversity Strategy 2016-2020

For further information, please contact Tracey Piper on Ext 5219.

Karen White
Director – Governance & Organisational Development

Appendix 1

ACTION - E&D Completed Actions 2018/19



To show completed E&D Actions for the period 01/04/2018 – 31/03/2019

Equality_01 In delivering the Council's priorities and themes we will have due regard to equalities implications through leadership, partnership and organisational commitment

Status	Code	Title	Responsible BU
✓	08 E&D 18/19	Develop a calendar of Equality Awareness display/days	(BU) Customer Services & Communications
✓	ADMIN_E&D1.01	As part of Business planning & service delivery, equality matters are routinely considered	Administrative Services
✓	ARTS_E&D1.03	Provide discretionary grants for partner organisations that deliver services e.g. Home Start family support, Newark & Sherwood "Play in the Park", RCAN, CVS	Housing, Health & Community Relations
✓	ASSET_E&D1.01	As part of Business planning & service delivery, equality matters are routinely considered	Asset Management & Car Parks
✓	COM-SAF_E&D1.01	Action plan through Partnership plus - costed and delivered	Public Protection
✓	COM-SAF_E&D1.02	Actively participate in Community Safety partnership which provides services such as: - Victim support worker - LMAP's vulnerable people - Framework worker - Hate crime awareness training - Community Cohesion Project	Public Protection
✓	COM-SAF_E&D1.03	Allocated funding through partnership plus to commission the Framework worker to work with vulnerable persons and promote the "Say no to hate" training	Public Protection
✓	CULTURE_E&D1.07	Friends of the Museum – local community group carry out charity fundraising for the Museum	Heritage, Culture & Visitors
✓	CUST-S_E&D1.04	Ollerton and Southwell Hubs open	Customer Services & Communications
✓	ECO-GRO_E&D1.04	Ollerton Outreach service - provides access to jobseekers	Economic Growth
✓	ECO-GRO_E&D1.06	Provide events across the district to reach all communities and ensure accessibility	Economic Growth
✓	ECO-GRO_E&D1.08	Time-wise project - working with employers to give them an understanding of different ways of working	Economic Growth
✓	ECO-GRO_E&D1.10	Survey of businesses that we work with regularly regarding Apprenticeships/Time-wise	Economic Growth
✓	ENV-H_E&D2.06	Consider Equality implications in respect of public spaces protection order	Public Protection
✓	FIN-SERV_E&D1.01	Ensure Financial Services meets the needs of all its (internal) customers. e.g. Provide paper payslips rather than Selima Online for those who require this.	Financial Services
✓	FIN-SERV_E&D1.04	Update contract procedure rules to align with latest E&D Legislation	Financial Services

Status	Code	Title	Responsible BU
✔	FIN-SERV_E&D1.05	Equality & Diversity clauses included in appropriate services & works invitation to tender and awarded contract documents	Financial Services
✔	HSG&SAF_E&D1.01	Corporate safeguarding	Housing, Health & Community Relations
✔	HSG&SAF_E&D1.02	EIA's – Policy and Strategy Development action planning with partners	Housing, Health & Community Relations
✔	HSG&SAF_E&D1.04	Monitoring strategy development, action planning with partners	Housing, Health & Community Relations
✔	HSG&SAF_E&D1.05	Live, Web based Enhanced Housing Options Self-Serve facility	Housing, Health & Community Relations
✔	HSG&SAF_E&D1.06	Rough Sleeper service	Housing, Health & Community Relations
✔	ICT_E&D1.01	Online forms – straight into back office applications – alternative access/delivery channels prevents re-keying of info by staff	ICT
✔	PLAN-P_E&D1.04	Continue to seek out representatives from community groups to achieve better communication with protected groups	Planning Policy
✔	REV&BEN_E&D1.02	Officers visit vulnerable claimants to assist with Benefit claims	Revenues & Benefits
✔	REV&BEN_E&D1.04	Providing alternative to cash payments at post offices (bar codes)	Revenues & Benefits
✔	STRAT_HG_E&D1.01	Develop & Inform health & housing agendas data policy, e.g. hospital discharge scheme; warm homes on prescription. (County Lead)	Housing Strategy & Development
✔	STRAT_HG_E&D1.03	Monitor Newark & Sherwood Homes to provide assurance that they meet equality objectives through regular meetings and delivery plans	Housing Strategy & Development

Equality_02 To improve our services by better understanding our communities through the collection and analysis of information, and engaging with partners to share as appropriate

Status	Code	Title	Responsible BU
✓	14 E&D 18/19	Annual report for Policy and Finance Committee.	HR & Organisational Development
✓	16 E&D 18/19	Review and update all Equality policy/guidance documents	HR & Organisational Development
✓	COM-SAF_E&D1.04	Encourage making projects sustainable through long term funding with the Office of Police and Crime Commissioner	Public Protection
✓	COM-SAF_E&D2.03	Understand our communities through Bassetlaw and Newark & Sherwood Community Safety Partnership	Public Protection
✓	COM-SAF_E&D2.05	Improve consistency and accessibility to the service through re-design of processes	Public Protection
✓	CULTURE_E&D1.11	Conduct exit surveys & observation studies – TripAdvisor/Visitors Verdict	Heritage, Culture & Visitors
✓	CULTURE_E&D2.01	Compare data set with overall community statistics and benchmark with similar heritage sites	Heritage, Culture & Visitors
✓	DEM-SERV_E&D1.01	Accessibility of Council and Committee meetings, publication of agendas on the website, use of induction loops and paper copies of information in meeting rooms as required	Elections & Democratic Services
✓	DEM-SERV_E&D1.03	Collate equalities data for those applying to work on elections	Elections & Democratic Services
✓	ECO-GRO_E&D1.01	Economic Development projects delivered and ongoing - Women in Engineering event - Newark Business project for primary schools	Economic Growth
✓	ECO-GRO_E&D1.07	Raise awareness of the variety of employment opportunities available across the district e.g. Apprenticeships	Economic Growth
✓	ECO-GRO_E&D1.11	Ongoing Listening Project for hard to reach groups in order to assist them into employment	Economic Growth
✓	ENV-H_E&D1.02	Consultation with all car park users	Public Protection
✓	ENV-H_E&D1.03	Disabled Facilities Grants looking at discretionary funding for home repair assessments	Public Protection
✓	ENV-H_E&D1.06	Health champions role, in sign posting and support	Public Protection
✓	ORG-DEV_E&D1.01	Monitor Equality & Diversity actions across all Business Units	HR & Organisational Development
✓	ORG-DEV_E&D1.02	Implemented Equality & Diversity monitoring action plan to reflect new Equality Objectives	HR & Organisational Development
✓	PARKS_E&D2.02	Gather Information from events held on NSDC green spaces to identify participants in relation to equality considerations	Parks & Open Spaces
✓	PARKS_E&D2.03	Repeat Survey work at S&D Park to establish different user group representation with a view to improving accessibility (2)	Parks & Open Spaces

Status	Code	Title	Responsible BU
✓	PLAN-P_E&D1.02	Carry out research and policy making to support the development of Planning Policy to meet community requirements	Planning Policy
✓	STRAT_HG_E&D1.04	Policy Development and Implementation e.g. Allocation Scheme undertaken	Housing Strategy & Development
✓	STRAT_HG_E&D1.05	When undertaking projects (Housing Needs Assessment and Neighbourhood studies), fully consider equality implications through EIS process and provide consultation materials in reasonable alternative formats.	Housing Strategy & Development
✓	STRAT_HG_E&D1.06	Monitor Impact of policies	Housing Strategy & Development

Equality_03 To ensure services are accessible to meet the needs of our citizens

Status	Code	Title	Responsible BU
✓	13 E&D 18/19	Equality Impact Assessments to be undertaken as appropriate.	HR & Organisational Development
✓	ARTS_E&D1.01	Provide opportunities for all members of the community to enable them to feel engaged and integrated locally. e.g. Activity and Community Village and health and wellbeing venue	Housing, Health & Community Relations
✓	ARTS_E&D1.02	Provide arts and cultural activities for hard to reach groups so they feel valued and a part of their community. e.g. working with Memory Cafe	Housing, Health & Community Relations
✓	ASSET_E&D1.02	Continued review to ensure facilities are inclusive, safe, appropriate and fully accessible for all visitors/residents as appropriate	Asset Management & Car Parks
✓	CULTURE_E&D1.02	Building accessible to all	Heritage, Culture & Visitors
✓	CULTURE_E&D1.03	Children's activities at permanent galleries (Pikes & Ladders/Events 4 kids)	Heritage, Culture & Visitors
✓	CULTURE_E&D1.04	Deaf and visual awareness training for L&P manager, Volunteer manager, front of house staff and volunteers	Heritage, Culture & Visitors
✓	CULTURE_E&D1.05	Subtitles and signing for films in cinema on request and signed performances of Panto	Heritage, Culture & Visitors
✓	CULTURE_E&D1.06	Free access for carers	Heritage, Culture & Visitors
✓	CULTURE_E&D1.08	Range of activities and events to encourage access and participation of all age groups	Heritage, Culture & Visitors
✓	CULTURE_E&D1.09	Makaton training for Front of House, Learning & Participation, Volunteers.	Heritage, Culture & Visitors
✓	CULTURE_E&D1.10	Newark and District Young Archaeologist Club (NADYAC) at National Civil War Centre	Heritage, Culture & Visitors
✓	CULTURE_E&D1.12	Signposting to access/car parking etc. on web and in print	Heritage, Culture & Visitors
✓	CUST-S_E&D1.01	Continue to ensure the website content is accessible -Browse Aloud, audible read and translate function - Review the content to ensure it's accessibility	Customer Services & Communications
✓	CUST-S_E&D1.02	Ensure services are accessible	Customer Services & Communications
✓	CUST-S_E&D1.03	Face to face services delivered in a number of locations	Customer Services & Communications
✓	CUST-S_E&D1.05	Translation service provided	Customer Services & Communications
✓	CUST-S_E&D1.06	Provide digital zones for customers	Customer Services & Communications
✓	CUST-S_E&D1.07	Identify customers who may require digital assistance	Customer Services & Communications
✓	DEM-SERV_E&D1.04	Continued review to ensure polling stations are accessible to all electors in addition to the statutory review,	Elections & Democratic Services

Status	Code	Title	Responsible BU
		promote the availability of postal voting	
✓	DEM-SERV_E&D1.06	Wider training for canvas staff to assist citizens with completing registration forms	Elections & Democratic Services
✓	DEV_E&D1.01	Continue to consult with relevant organisations regarding areas of work – i.e. planning applications etc.	Planning Development
✓	DEV_E&D1.02	Engagement with local branches of RNIB regarding content of letters – plain English	Planning Development
✓	DEV_E&D1.03	Ensure appropriate access to venues as part of planning related events (e.g. planning appeals/Hearings)	Planning Development
✓	DEV_E&D1.04	Provision of information in different formats (e.g. large print etc.) or face to face, telephone meetings	Planning Development
✓	DEV_E&D1.05	Review the provision of clear and understandable information – e.g. Application forms/jargon busting	Planning Development
✓	ECO-GRO_E&D1.02	Engage with and educate employers of sources of information available in respect of reasonable adjustments required by potential employees. e.g. Shift times, equipment	Economic Growth
✓	ECO-GRO_E&D1.03	Ensure customer facing staff are fully trained in Equality & Diversity	Economic Growth
✓	ECO-GRO_E&D1.05	Promotional material – available in reasonable alternative formats	Economic Growth
✓	ENV-H_E&D1.01	Equality Impact Assessment for Disabled parking policy completed and applied	Public Protection
✓	ENV-H_E&D1.04	Food hygiene training in different languages	Public Protection
✓	ENV-H_E&D1.05	Taxi Policy looks at wheelchair accessibility	Public Protection
✓	ENV-H_E&D1.07	Local alcohol action scheme to target/protect young people	Public Protection
✓	ENV-H_E&D1.08	Keep cash payments for dog control, Gypsy & Travellers	Public Protection
✓	ENV-H_E&D1.12	Provision of suitable service information for all potential lorry park users	Public Protection
✓	ENV-H_E&D2.04	Develop advice leaflets in other languages or picture-grams as necessary	Public Protection
✓	FIN-SERV_E&D1.02	Provide financial information in alternative formats where reasonable to both internal and external customers.	Financial Services
✓	HSG&SAF_E&D1.03	Health & Housing Alignment , Homelessness, Resettlement of asylum refugees, Fuel Poverty, Dementia Awareness training, Warm Homes on Prescription, Hospital Discharge, Severe weather provision for rough sleepers,	Housing, Health & Community Relations
✓	ICT_E&D1.02	Promotion of Digital Services	ICT
✓	ICT_E&D1.03	Website – text to speech – alternative languages	ICT
✓	ICT_E&D2.01	Provision of self-service digital zone in new council offices	ICT
✓	PARKS_E&D1.01	Engagement with different local communities' e.g. Sconce-fest event with Polish Food stand	Parks & Open Spaces

Status	Code	Title	Responsible BU
✔	PARKS_E&D1.02	Ensure Green spaces are physically accessible, e.g. Provision of appropriate footpaths	Parks & Open Spaces
✔	PARKS_E&D1.04	Maintain Green Flag status including community engagement to ensure appropriate services and accessibility	Parks & Open Spaces
✔	PLAN-P_E&D1.01	Carry out Equality Impact Assessments on new Planning Policy	Planning Policy
✔	PLAN-P_E&D1.03	Consultation documents available in reasonable alternative formats such as; paper copies in libraries as well as online	Planning Policy
✔	REV&BEN_E&D1.03	Provide financial assistance (Council Tax discounts, housing benefit, DWP)	Revenues & Benefits
✔	REV&BEN_E&D1.05	Digital Self Service provision	Revenues & Benefits
✔	REV&BEN_E&D2.01	Increase E Billing Take up	Revenues & Benefits
✔	REV&BEN_E&D2.02	Implement Online Benefit claim form	Revenues & Benefits
✔	STRAT-HG_E&D2.01	Embed regular E&D training and development within Business Unit	Housing Strategy & Development
✔	STRAT_HG_E&D1.02	Develop new housing to meet local need with reference to protected characteristics	Housing Strategy & Development
✔	WASTE_E&D1.01	Assisted Bin collections	Waste & Transport
✔	WASTE_E&D1.02	Staff awareness training	Waste & Transport

Equality_04 As an employer, promote an inclusive working environment to maintain and develop a modern and diverse workforce

Status	Code	Title	Responsible BU
✓	12 E&D 18/19	Review and update online equalities website information data	HR & Organisational Development
✓	CULTURE_E&D1.01	All groups welcomed and encouraged to apply for paid and volunteer roles	Heritage, Culture & Visitors
✓	CULTURE_E&D2.03	Monitoring volunteer diversity and identifying gaps	Heritage, Culture & Visitors
✓	DEM-SERV_E&D1.05	Employ election staff which reflects the make-up of our district – diverse workforce	Elections & Democratic Services
✓	DEV_E&D1.06	Consider equality needs as part of staff appraisals	Planning Development
✓	DEV_E&D2.04	Undertake training and awareness on a timely basis for team etc. (emphasis on development and control)	Planning Development
✓	ENV-H_E&D1.09	Agile working enables more home visits for people "less mobile" on grounds of disability/finance/age etc.	Public Protection
✓	ENV-H_E&D1.10	Equality & Diversity Training embedded into team meetings	Public Protection
✓	ENV-H_E&D1.11	Monitor performance against equality based objectives through team meetings and appraisals as necessary	Public Protection
✓	HR_E&D1.01	Focus recruitment and retention activities on supporting Equalities objectives	HR & Organisational Development
✓	HR_E&D1.02	Monitor and review HR Policies and practices to ensure no one particular group is disadvantaged	HR & Organisational Development
✓	HR_E&D1.03	Promote/provide equalities based training to employees and members	HR & Organisational Development
✓	HR_E&D2.02	Work with the Access and Equalities Officer to identify ways of involving community groups in recruitment activities with the intention of improving our equality-based employment statistics and create a more diverse workforce.	HR & Organisational Development
✓	ICT_E&D1.04	Agile working provision – home/life balance	ICT
✓	PARKS_E&D1.03	Involving volunteers from different backgrounds e.g. learning disabilities, Eden Housing Project, Rumbles Catering Project	Parks & Open Spaces

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

URGENCY ITEMS - MINUTE OF DECISION

Delegation arrangements for dealing with matters of urgency

Paragraph 7.2.1 of the Council's Constitution provides that Chief Officers may take urgent decisions if they are of the opinion that circumstances exist which make it necessary for action to be taken by the Council prior to the time when such action could be approved through normal Council Procedures. They shall, where practicable, first consult with the Leader and Chairman (or in their absence the Vice Chairman) and the Opposition Spokesperson of the appropriate committee (Constitution incorporating a scheme of delegation approved by the Council on 14th May 2013)

Subject: Community Facilities Contributions - Joseph Whitaker Community Leisure Centre Refurbishments Rainworth

Appropriate Committee: Policy & Finance Committee

Background Information:

At its meeting of 22 February 2017 the Councillor's Commission agreed that the remit of the Policy & Finance Committee should be amended to make clear that the determination of how S106 monies should be applied or obligations fulfilled falls within the remit of that committee rather than the Planning Committee;

The Commission further agreed that the scheme of officer delegation be extended to give all the Chief Executive and Chief Officers delegated powers to determine how S106 monies should be applied or obligations fulfilled where the terms of the s106 Agreement are sufficiently precise or where the amount of the proposed expenditure does not exceed £50,000. However, in cases where the amount of money in question is significant it was agreed that there should be some Member input into this process.

Details of Item

The purpose of this urgency item is to seek member approval to allocate a community facilities contribution of £50,294 held under the Section 106 Agreement AG 859 for the purposes of improving community infrastructure in the Parish of Rainworth. The money has a spend-by date of 1 October 2019 and had been ring fenced to a project at Rainworth Village Hall which has not progressed as quickly as anticipated. In order to meet the spend by date of the agreement it is proposed that the money held should be re-allocated as a matter of urgency to another suitable project which will deliver community benefit and can be spent before the 1 October 2019 deadline. If the money is not spent there is a risk that it may have to be repaid to the developer with any accrued interest.

The proposal is therefore to redirect the money held for an extension at Rainworth Village Hall to upgrades and refurbishment of squash courts, dance studio, gymnasium and changing facilities, all part of the community leisure facilities located at Joseph Whitaker School. The current facilities are well used by existing community groups and with further investment will meet the future needs of a growing community as new housing is delivered in the locality.

Members will also be aware that Rainworth and Blidworth are priority areas as identified in the Physical Activity and Sport Plan and the Community Plan in respect of health inequalities therefore investment in community infrastructure can lead to increased participation in sport, recreation and leisure activities which will contribute positively to improved health and wellbeing in the local area. Accordingly, approval to release the money will deliver improvements to the community infrastructure, enable increased participation in physical activity and fulfil the requirements of the S106 agreement.

It is also important to note that the Village Hall proposals can still be delivered as intended through the allocation of a community facilities contribution secured through Agreement AG919a where the spend by date is March 2024.

Budgetary Implications (Finance Officer's Comments) FIN19-20/1575

S106 balances are available as described above. With reference to the recommendations below, the Balance of £50,294 relating to AG859 would need to be transferred to Capital for financing the expenditure.

Decision

- a. **£50,294 from Section 106 Agreement AG859 be transferred to Joseph Whitaker School as a contribution towards improvements to the community leisure facilities as outlined in the report; and**
- b. **appropriate provision be made in the Council's capital programme for this scheme.**

Reason for Urgency

To ensure that the project proceeds without unnecessary delay.

Members Consulted:

Councillor David Lloyd – Leader of the Council and Chairman of Policy & Finance (19/08/2019)

Councillor Paul Peacock – Opposition Spokesperson Policy & Finance (19/08/2019)

Signed 

Date 19/08/2019

Director – Growth & Regeneration

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

URGENCY ITEMS - MINUTE OF DECISION

Delegation arrangements for dealing with matters of urgency

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Subject: New Swimming Pool at Dukeries Leisure Centre

Appropriate Committee: Leisure & Environment Committee and Policy & Finance Committee

Details of Item:

The purpose of this urgency item is to provide members with an update on progress in relation to the above project and to advise that an instruction to proceed to the next stage of the project has been issued.

Members will be aware that the project has formal approval to progress subject to costs being within the approved budget of £2.5M. Of this budget £2m is for the new build and £500K is for ancillary works as may be required to ensure the re-provision of car parking spaces, access arrangements and soft landscaping as part of the overall scheme. The Project Team has reviewed and risk assessed the submitted feasibility study and is pleased to report that currently the project remains within the approved budget of £2m. Accordingly, members are advised that an instruction to proceed to RIBA Stage 3 and 4 has been issued to Total Swimming, the project developer. This will enable the scheme to progress to detailed design and cost plan to provide greater certainty on the overall project costs in order that risks relating to the provision of utilities services are fully costed and understood.

The instruction issued allows the project to progress without unnecessary delays with options to review the project at detailed design stage to ensure that it remains in cost and can proceed to tender stage. At this stage a further review will take place to protect the Council's position and to ensure deliverability as per approvals. Should this not be the case a report will be presented to L&E and P&F Committee for further consideration at the appropriate time.

Financial Implications (FIN19-20/1302)

No direct financial implications arising from this report.

Decision

Urgency Item agreed by Members listed in order to ensure that the project proceeds without unnecessary delay.

Members Consulted:

Councillor David Lloyd – Leader of the Council and Chairman of Policy & Finance (05/08/19)

Councillor Paul Peacock – Opposition Spokesperson Policy & Finance (05/08/19)

Councillor Roger Jackson - Chairman of Leisure & Environment (05/08/19)

Councillor Yvonne Woodhead – Opposition Spokesperson Leisure & Environment (05/08/19)

Signed



Date 06/08/2019

Director - Communities & Environment

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

URGENCY ITEMS - MINUTE OF DECISION

Delegation arrangements for dealing with matters of urgency

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Subject: Budget Re-profile required to enhance the garden waste software system

Background Information

Previously the garden waste collection was delivered in partnership with Rushcliffe Borough Council (RBC) and Mansfield District Council (MDC). The garden waste service has approximately 11,500 garden waste customers.

At Policy & Finance Committee on 24 January 2019, Members agreed to transfer the administration for the garden waste scheme from RBC to an in-house provision and at the September 2018 committee to transfer the remaining RBC and MBC customers back in house, along with the addition of £450,000 into the Capital Programme for additional RCV's and to purchase the additional bins.

The first phase transfer from RBC was for the 4,500 properties administered by RBC but collected by NSDC. The renewal letters and stickers were sent out during February/March 2019 in readiness for the garden waste scheme commencing in April 2019.

Proposals

Following the initial transfer of these 4,500 properties it has been identified that further enhancements and modifications are required to the system used to administer the scheme to ensure that it meets both customer and process requirements for the additional 7,000 properties being transferred back to the council from April 2020.

Much was learnt from the first phase implementation and this second phase of software needs to be commissioned to address some of the usability and process flow issues that have arisen from using the initial implementation of the system for a number of months.

These enhancements/modifications include:

- Enabling bulk emailing for renewal letters which results in a streamline process for customers paying online and reducing postage costs.

- Addition of bar codes to enable customers who do not want to pay electronically to pay at post offices and other local outlets.
- Adjusting the collection routes in order to gain efficiencies.

Following the transfer of the 7000 properties from RDC and MDC an extensive marketing campaign, servicing the whole district, will take place to promote the garden waste service and increase take up.

The cost for the second phase of the software is £19,425. This is a one off capital cost and ongoing maintenance costs will not change from the current agreement.

The individual purchase price of the bins from RBC and MBC is less than was estimated in the business case at £80k however officers have managed to secure the bins at a reduced rate of approximately £54k, thus resulting in a saving of £26k.

Following the serving of notice to take the service back from the two respective authorities an agreement has been made whereby Newark & Sherwood DC will purchase and deliver all bins to new customers, signing up after 1 July 2019, within the Rushcliffe and Mansfield areas of the district. So far during the first week that cost has risen to £750. It is likely therefore that we will need to retain the £6k left over from the original £80k to cover these costs. It should be noted that this will still be using the money for the original intention all be it at a different point in the process. The remaining £20k could be used for the second phase of the software as described above.

Financial Implications (FIN19-20/1214)

As per the Policy & Finance Committee on 24th January 2019, £80,000 was added to the Capital Programme budget for 2019/20 to purchase the additional bins.

As per the Council's Financial Regulations, any underspends identified within the approved Capital Programme must be reported to Policy & Finance Committee and funding be released back to the central pot. However, it would be prudent at this stage to leave £6k of this saving with the budget for the purchase of bins, but the remaining £20k be redirected to Information Technology Investment.

Appropriate Committee:

Policy & Finance Committee

Details of Item and Decision Taken (including reason(s) for use of urgency procedure):

1. To seek approval for funding of £20,000 to be redirected to Information Technology Investment to enhance the garden waste software provision. The budget needs to be approved prior to the software provider being commissioned to carry out the work.
2. The enhancements to the software need to commence prior to the next Policy and Finance committee in September in order to meet the garden waste renewal schedule.
3. To use the £6k remaining to purchase garden waste bins for new customers in the two areas serviced by RBC and MDC.

Members Consulted:

Councillor David Lloyd - Chairman of Policy & Finance Committee – 18/7/2019

Councillor Paul Peacock - Opposition Spokesperson Policy & Finance – 16/7/2019

Signed

A handwritten signature in black ink, appearing to be 'aef', written over a horizontal line.

Date: 22/7/2019

POLICY & FINANCE COMMITTEE

26 SEPTEMBER 2019

URGENCY ITEMS - MINUTE OF DECISION

Delegation arrangements for dealing with matters of urgency

Paragraph 7.2.1 of the Council's Constitution provides that Chief Officers may take urgent decisions if they are of the opinion that circumstances exist which make it necessary for action to be taken by the Council prior to the time when such action could be approved through normal Council Procedures. They shall, where practicable, first consult with the Leader and Chairman (or in their absence the Vice-Chairman) and the Opposition Spokesperson of the appropriate committee.

Subject:

Use of S106 Funds for the refurbishment of the play area at Vicar Water Country Park

Appropriate Committee:

Policy & Finance Committee

Details of Item and Decision Taken:

The play area at Vicar Water Country Park is aging, increasingly expensive to maintain and desperately in need of upgrading. A bid for funding from the Veolia Environment Trust was submitted earlier this year but unfortunately this was unsuccessful. However more recently Parks Improvement funding of £18,967 has been received from the Government and it has been agreed that this should be used at Vicar Water for improvements to the play area and additional facilities such as a way-marked walking trail which will provide health benefits for users. There are 2 existing S106 agreements which can provide funds for the play area improvements (AG708 - £18,047.38 available and AG842A - £28,867.59 available) and these amounts, together with a substantial contribution from the Parks Improvement funding would allow for a thorough upgrade of the play area. Legal has confirmed that the use of the funds for the refurbishment of the play area would meet the requirements of the respective S106 agreements. The cost of the play area improvement works is estimated to be £64,000 and the remaining funding would be used for the health improvement facilities.

The scheme will help to deliver the following Community Plan objectives:

- Reviewing the quality and suitability of visitor attractions to broaden the appeal to a wider range of audiences
- Working with partners to develop and enhance the visitor offer at Sherwood Forest and surrounding Sherwood attractions
- Developing parks to include implementing improvements at both Vicar Water and Sconce and Devon Park subject to funding
- Developing strategies and plans to make best use of community/open spaces/recreational and leisure facilities as set out in the Council's Playing Pitch

Strategy, Facilities Plan and Physical Activity and Sport Plan to improve health and wider social outcomes

The reason for the use of the urgency item is that the next meeting of Policy & Finance is not until 26th September 2019 and an earlier decision will allow the project to be more speedily progressed.

Financial Implications (FIN19-20/2448)

The £18,967 grant from DCLG was received during 2018/19 and is held within the Repairs & Renewals fund.

The S106 monies referred to above are both available for use. Therefore, the total scheme of £64,000 can be financed by these three receipts leaving £1,882 for the health improvement facilities.

Decision

Urgency Item agreed by Members listed in order to set up £64,000 Capital Budget to ensure that the project proceeds without unnecessary delay.

Members Consulted:

Councillor David Lloyd
Chairman of Policy & Finance Committee – 29/7/19

Councillor Paul Peacock
Opposition Spokesperson Policy & Finance Committee and local member – 29/7/19

Councillor Scott Carlton
Local member – 30/7/19

Councillor Michael Brown
Local member – 1/8/19



Signed
Director – Communities & Environment

Date: 12/9/19

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